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THE PROBLEM OF TONAL DISUNITY

IN SERGEĬ RACHMANINOFF’S *ALL-NIGHT VIGIL*, OP. 37

by

OLGA (ELLEN) BAKULINA

A dissertation submitted to the Graduate Faculty in Music

in partial fulfillment of the requirements for the degree of Doctor of Philosophy

The City University of New York

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ABSTRACT

THE PROBLEM OF TONAL DISUNITY IN SERGEĬ RACHMANINOFF'S *ALL-NIGHT VIGIL*, OP. 37

By Olga (Ellen) Bakulina

Adviser: Professor William Rothstein

Recent English-language scholarship has given considerable attention to the issue of tonal disunity, particularly the concepts of tonal pairing, directional tonality, and double-tonic complex. Relatively little attention, however, has been given to Russian music, specifically liturgical repertoires, where tonal centricity has historically been weaker than in most tonal music. This dissertation investigates tonal disunity in Russian sacred works, with special emphasis on Rachmaninoff's *All-Night Vigil* (1915). This work, though in many ways tonal, relies largely on the structural principles of Russian sacred repertoire, a reliance that is especially evident in movements that challenge traditional Western norms of monotonality.

The order of the chapters is defined by a motion from theory to analysis. After a brief historical introduction to Russian liturgical music and the *Vigil* (Chapter 1), Chapter 2 offers a study of the Russian concept of mutability (*peremennost'*), which refers to tonal or modal decentralization, and provides a larger theoretical context by discussing related concepts that originate in English- and German-language sources. Chapter 3 applies all these concepts in the analysis of church music of Rachmaninoff's time (and slightly earlier). Chapters 4 through 6 focus on three movements from the *Vigil* that defy monotonal reading, using Schenkerian analytical technique. Movement 12 exhibits relative mutability (pairing of relative keys) at all levels, including the background; movement 1 displays multiple centers related to a proto-

harmonic structure (Andreĭ Miasoedov’s term); and movement 2 has a relative-mutable structure extremely decentralized by the weakness and indefiniteness of closure.

Further specific contributions of this work include (1) experimentation with the Schenkerian analysis of non-monotonal works, a task that has not yet been undertaken for this specific repertoire; (2) a study of cadence in Russian church music; (3) the occasional combination of Schenkerian (linear) and Riemannian (functional) analytical approaches; (4) a theoretical development of the recent Russian notion of proto-harmony; and (5) the introduction of the term *common church practice* to refer to the anonymous repertoire routinely used in the Russian Orthodox Church.

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I am indebted to several resources, which allowed me to get the scores that are not easily accessible, especially those published before 1917. These resources include the Russian Church of the Holy Trinity of Brooklyn, personal library of the choir director Zlata Mishina, who also helped with matters of liturgics, and the library of St. Vladimir's Orthodox Seminary. Special thanks go to Musica Russica Press and its founder Vladimir Morosan for his permission to use portions of the printed score of the *Vigil* as musical examples.

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INTRODUCTION

The position of Sergeĭ Rachmaninoff's *All-Night Vigil*, op. 37, in the history of music is rather unusual. This position is conditioned by complex issues of style, technique, genre, and Rachmaninoff's place in twentieth-century music. The work was written at a time when tonality had been largely abandoned by many, penned by a post-Romantic composer who has long been considered conservative—but whose his output, however increasingly been recognized as experimental in many respects.[1] The historical dialectic of Rachmaninoff's relationship to his contemporaries is further complicated because the *Vigil* belongs to the Russian Orthodox Church canon, uses its traditional materials (texts and chant melodies), and employs harmonic idioms proper to Russian sacred music outside of the so-called common-practice style. For this reason, one might say that the harmonic language of the *Vigil* is situated on two boundaries of the tonal era simultaneously: it lies both *before* and *after* tonality.

An examination of this work thus involves a reliance on both established techniques of tonal music analysis and certain digressions from them to account for the non-common-practice features of the music. The work ideally demands several different approaches, which would attempt to embrace the multifaceted, unique blend of stylistic resources Rachmaninoff draws upon.

Of all the aspects that constitute the remarkable richness of this composition, this dissertation explores a specific facet of harmony in the *Vigil*: the problem of non-monotonality.

---

[1] Rachmaninoff's compositional experiments were commented upon by Joseph Yasser as early as 1951 (he uses the word "progressive tendencies," although the composer was still considered conservative by many at the time (see, for example, Eric Salzman 1973). Present-day studies of Rachmaninoff's progressive features include Blair Johnston (2009, 2014a, 2014b); see his discussion of Rachmaninoff's position "between tonal 'norms' and chromatic or modal 'abnorms'" (Johnston 2009, 21–22). This discussion shows that Rachmaninoff's tonal traditionalism has generally been overemphasized and his experimentation undervalued.

This issue has been a focus of a number of recent North American studies, beginning with Robert Bailey's dissertation on *Tristan und Isolde* (1969) and his subsequent work on the same opera (1985). There, he introduced the concepts of tonal pairing and directional tonality, which have been developed by other theorists.[2] Both concepts refer to the co-existence of two keys in a piece, often involving a fluctuation between two tonics, but they differ with respect to the degree of this co-existence: directional tonality involves a hierarchical equality of the two keys at the global level of structure. In other words, a directionally tonal piece modulates from one key to another. In the same context, another term is often used, "dual": tonal duality or tonal dualism.[3]

Studies of tonal duality bring to the fore the fact that, in music of the nineteenth and early twentieth centuries, monotonality is not an absolute norm of tonal structure. William Kinderman (1996, 1) writes: "The monotonal orientation around a single governing tonic is weakened by the middle of the nineteenth century and sometimes replaced in the succeeding decades by a controlled tonal ambiguity, whereby extended passages are based on the tension between two key centers, most often a third apart." It is this practice that produces "alternatives to monotonality" in the Romantic age. As a composer trained in the European tradition, Rachmaninoff incorporates these techniques into his works, both secular and sacred.

The growing deviance from the laws of monotonality during the Romantic era, however, is not the only source of non-monotonality in Rachmaninoff, particularly in the *Vigil*. Another source is the harmonic and tonal structures of Russian church music of the nineteenth century.

---

[2] These include *The Second Practice of Nineteenth-Century Tonality* (1996), edited by William Kinderman and Harald Krebs; individual works by Krebs (1981, 1985, and 1991); and the writings of many other theorists that will be addressed in more detail in chapter 2. The distinction between the terms tonal pairing and directional tonality differs somewhat between sources after Bailey; therefore, my definition here is admittedly somewhat of a simplification. I will explore the distinction in more detail in other chapters.

[3] The term dualism, as well as other expressions using the word "dual," include Christopher Lewis (1987), Kinderman and Krebs (1996), and Benjamin Wadsworth (2012), among others. One should not confuse this notion with nineteenth-century German dualism in harmonic theory (of which Riemann is the most outstanding representative), where major triads are constructed up from a fundamental tone and minor triads down.

This style includes both an anonymous repertoire, largely orally transmitted, and a composed body of music, termed by the modern scholar Vladimir Morosan the New Russian Choral School (henceforth, “NRCS”), to which Rachmaninoff’s *Vigil* belongs. The pairing of diatonically related keys, most often relative, holds a crucial significance in the liturgical repertoire, and sometimes creates a directionally tonal situation.

In Russia the issue of tonal pairing—not the term—is known as *peremennost’*, usually translated as *mutability*. This concept often focuses on Slavic folk and sacred music; nonetheless, theorists of mutability have touched upon Western tonal music as well. Although mutability concerns some of the same issues as does tonal pairing, the two concepts have different histories, which reflect, to some extent, the different repertoires that have been the focus of Russian and Western theorists.

In this dissertation, my study of tonal disunity in the *Vigil* integrates three different dimensions: (1) concepts of tonal pairing and directional tonality in Western music theory, especially those that operate within a Schenkerian framework; (2) similar theories—but not in a Schenkerian context—in twentieth-century Russian scholarship; and (3) the history, style, and structural characteristics of Russian liturgical music contemporaneous with or slightly preceding the time of the *Vigil’s* composition (1915). Whereas tonal unity, more or less synonymous with monotonality, means situations where an entire piece can be meaningfully related to a single center, by tonal *disunity* I mean a lack of such a situation. I argue that those movements of the *Vigil* that challenge tonal unity draw on the harmonic resources of the work’s stylistic context—that is, the Russian sacred repertoires of the time—but these resources combine structural principles of Western tonality, which Rachmaninoff inherited as a composer trained in the

European tradition. It is in light of this combination that the tonal and harmonic logic, and specifically tonal decentralization, of the *All-Night Vigil* is best comprehended.

The nature of this study is analytical and theoretical. Not all the movements I analyze defy monotonality. Some of them suggest a monotonal reading, but their internal organization nevertheless suggests disunity of another kind (see, for instance, movement 7, discussed in Chapter 4). Often, the most challenging aspect of the analysis is to decide whether a movement that produces an impression of decentralization is or is not reducible to a single tonal center. Therefore, one of my goals is to explore the conceptual opposition monotonality/non-monotonality that, in actual music, does not always present itself as an opposition, but rather as a continuum between the two poles. Another goal is to examine mutability on its own grounds in the *Vigil*, focusing on such notions as the tonic or mutable center versus the beginning and ending harmonies; the relationship of specific mutable centers to large-scale formal structure, that is, their form-building potential; and the manifestation of mutable harmony at different levels of harmonic structure.

Finally, this study is an experiment in the application of Schenkerian theory to tonally disunified pieces. Naturally, in such cases traditional Schenkerian paradigms have to be, or at least *can* be, modified and adapted to the structures that offer two or more potential tonal centers. Similar experiments have already been made for different repertoires, for example by Lori Burns (1995) for J. S. Bach’s modal chorales and by Benjamin Wadsworth (2012) for Schumann’s early piano music. I build on these approaches to address certain structural principles of Russian sacred works, such as a combination of two complete or incomplete fundamental structures, plagal fundamental structures, and the presence of multiple tonics within one piece.[4] Rather than proposing some unalterable rules to which Schenkerian analyses of such pieces must adhere, I strive to explore which rules of Schenkerian theory fail to work in each hymn—that is, which structural elements depart from the norms of classical Western tonality, and how these departures relate to the style of Russian church music.

The organization of this dissertation follows the theoretical and analytical issues mentioned above. Chapter 1 provides a brief historical introduction, including Rachmaninoff's biographical circumstances at the time of the composition, and some general compositional facts about the *Vigil*. Chapter 2 concerns exclusively theoretical material: it is an investigation of the Russian concept of mutability and a comparison of this concept with similar ideas in Western theory. Chapter 3 applies this theoretical material to Russian sacred music more or less contemporary with Rachmaninoff. Apart from providing a context in which to consider the *Vigil*, this chapter introduces new concepts that address the ways in which this repertoire differs from Western tonal music. These concepts include the 3-IAC (a type of authentic cadence), adaptations of the Schenkerian *Urlinie*, and quasi-Schenkerian structures that begin and end on different harmonies. Drawing upon these concepts, chapters 4 through 6 offer analyses of several movements of the *Vigil*, all of which violate the principle of tonal unity. In the course of my analyses, I use both Schenkerian and other analytical techniques, specifically Hugo Riemann's functional approach and the idea of "proto-harmony," originated by Andreĭ Miasoedov.

A particular point regarding the methodological specifics must be explained here. My theoretical discussion and analyses question familiar concepts of a tonic or center, and I often offer analytical decisions that reject an assertion of a single tonic in a movement or passage. This raises the question whether this discussion should be framed in terms of "either/or" logic, when one has to set forth at least two different and mutually exclusive decisions (for example, two different keys), or a more inclusive method where different possibilities are admitted at the same time. In this dissertation, both methods are present, but they occupy different conceptual areas. When offering Schenkerian analyses, I adhere to the traditional Schenkerian tenets, which demand distinct structural levels and therefore a higher position of certain harmonic events over others. Whenever I alter certain tenets of the theory, adapting it to the repertoire, I always specify the aspects that I alter (or that previous scholars have altered, as in the case of double-*Ursatz* tonal structures), while leaving all other theoretical requirements in force. Whenever I leave the confines of a single Schenkerian graph of a musical excerpt, however, I allow for more analytical freedom. For example, I admit that, if different voice-leading interpretations are possible, the listener may or may not choose only one of them as his or her preferred way of hearing; or, in the case of a proto-harmonic structure, the listener has a choice between different proto-harmonic members to consider as more central than others.

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[4] Still further departures from traditional Schenkerian practices can be found in some studies of twentieth-century music, such as those by Olli Väisälä (1999 and 2002), Jeremy Day-O'Connell (2009), and David Forrest (2010). All of them deal with composers who far surpassed Rachmaninoff in abandoning tonal norms—Schoenberg, Debussy, and Britten respectively. On the conceptual problem of prolongation ion post-tonal music, see Joseph Straus (1987).

A note on the edition used

In this study, I use the edition of *All-Night Vigil* by Morosan and Alexander Ruggieri, published by Musica Russica in 1992, which has become the standard edition in the last couple of decades. It was later incorporated into Morosan's complete edition of Rachmaninoff's sacred works (1994). Both of these have many merits that help both scholarly work and performance. First, Morosan and Ruggieri's version is solidly based on the first edition (published soon after the premiere, in 1915,in close collaboration with the composer), and their own additions to it are always acknowledged as such. Second, the edition contains an appendix that gives all the chant melodies used by the composer as they are found in their original sources—chant collections published throughout the nineteenth century that Rachmaninoff used when composing the work.[5] Lastly, the 1992 edition has a piano reduction of the entire work, extremely helpful both for rehearsal and for use as examples in an analytical study.[6] I thank Musica Russica and Vladimir Morosan for the kind permission to use excerpts from the 1992 edition as musical examples in the present study.

A note on languages

All liturgical repertoire analyzed or mentioned throughout this study, including Rachmaninoff's *Vigil*, uses canonical texts in Church Slavonic, the official language of the Russian Orthodox Church. All translations from Church Slavonic (in canonical texts) and from modern Russian (in scholarly literature) into English are mine unless otherwise specified. Translations of the texts in Rachmaninoff's *Vigil*, however, are taken from Morosan and Ruggieri's 1992 edition of the work.

In this dissertation, I use the Library of Congress transliteration system as presented in the *Chicago Manual of Style* (16th ed., p. 568, Table 11.3). I allow exceptions in family names that end on "ий," and "ый" which I write as "y," as in "Smolensky," and in names that have established forms in English, such as Rachmaninoff or Yavorsky. Musical examples reproduced from Morosan and Ruggieri's edition of the *Vigil* preserve their own transliteration system, known as Russica, whose goal is to convey the character of Russian pronunciation as closely as possible (that is, it functions as transcription).

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[5] This allows one to identify the differences, as I do in chapter 4 of this study, between the original melodies and their versions as found in Rachmaninoff's work.

[6] A fourth advantage of Morosan and Ruggieri's edition pertains to the performance of the *Vigil* by non-Russian speakers: it is the detailed guidelines regarding Russian pronunciation and the Russica transcription system.

A note on liturgical terminology

Two terminological issues related to Russian liturgical music should be addressed here. First is the discrepancy between the terms *All-Night Vigil* and *Vespers,* by which the work is generally known in English. The equivalence of the two terms is mistaken, however. The Latin word "vespers" does not translate "all-night vigil," an exact equivalent of "vsenoshchnoe bdenie." Rather, vespers refers to a *part* of the vigil, namely, its first half; the second half is referred to as "matins."[7] The terminological confusion between vespers and vigil is probably owing to the Western genre of vespers, in which significant composers, such as Monteverdi, worked. The two service types, the Roman Catholic vespers and the Russian Orthodox all-night vigil, are related, but not completely the same.

The second terminological issue refers to liturgical categories of lower rank, those that designate sections of a church service rather than a complete service. The names of these sections, or hymnographic groups, such as troparion and sticheron, and some other church-related terms, together with brief explanations, are provided in a "glossary of liturgical terms" at the end of this dissertation. Some of these terms have established English equivalents, such as vespers or precentor (a church choir director), but most are Greek or Greek-derived words customarily used untranslated in both English and Russian.

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[7] See the section on the structure of the all-night vigil service, below ("The *Vigil*: general structure," p. 26).

The *Vigil* in music scholarship: A literature review

Although the *Vigil* has been one of the most beloved choral masterpieces from the time of its premiere, its presence in music scholarship is rather scarce in both English and Russian languages, but for different reasons. In the West, in addition to a general tendency until recently to ignore Rachmaninoff in scholarship, the difficulty of dealing with the *Vigil* has to do with its liturgical materials, generally unfamiliar to non-Russian musicians.[8] In the composer's homeland, the primary obstacle for studying sacred music during most of the twentieth century was the official atheistic ideology of the Soviet state, which forbade exploring church-related matters.[9]

After a long period of almost complete neglect of Rachmaninoff in North American scholarship, a gradual resurgence of interest has recently occurred. Recent publications include David Cannata's book on Rachmaninoff's symphonies (1999);[10] Robert Cunningham's study of Rachmaninoff's harmony in piano music from a Schenkerian viewpoint (1999);[11] Blair Johnston's study of harmony in the composer's late works, both vocal and instrumental (2009);[12] and Stephen Gosden's essay on *The Isle of The Dead* and the Third Concerto (2012). Johnston's most recent contributions to Rachmaninoff studies are two articles from 2014.[13] Although some of these authors, such as Johnston, deal with choral music, none of them actually concentrates on the choral, and specifically sacred, part of Rachmaninoff's output.

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[8] These materials are not well known to all Russian scholars either. One needs either to have a certain level of training or to conduct special research in church music to deal with a liturgical work properly.

[9] To illustrate the extent to which church music was an unacceptable topic of study, Khannanov (2011, 11) mentions a journal article by Alexeĭ Kandinsky, written in Soviet times, that discussed the *Vigil* as "fifteen folk songs about the fate of the Russian woman."

[10] Cannata has an important connection with the present study—the concept of tonal pairing (he prefers the term double-tonic complex), which he applies in his analysis of Rachmaninoff's Third Symphony and other orchestral works. The two keys involved are fifth-related, A minor and D minor (Cannata 1999, Chapter 5).

[11] Cunningham's work can be seen, in a way, as a precedent to mine, because he also applies Schenkerian analysis to Rachmaninoff's music. He analyzes the composer's piano works—in particular how their highly chromatic surface is supported by normal middleground and background structures. My approach differs from his in that I admit more departures from normative Schenkerian practice to account for the uniqueness of the liturgical style.

[12] Johnston also uses certain elements of Schenkerian analysis in his analyses of Rachmaninoff, but explicitly states that he does not intend to follow the Schenkerian conceptual framework strictly (Johnston 2009, 21–22).

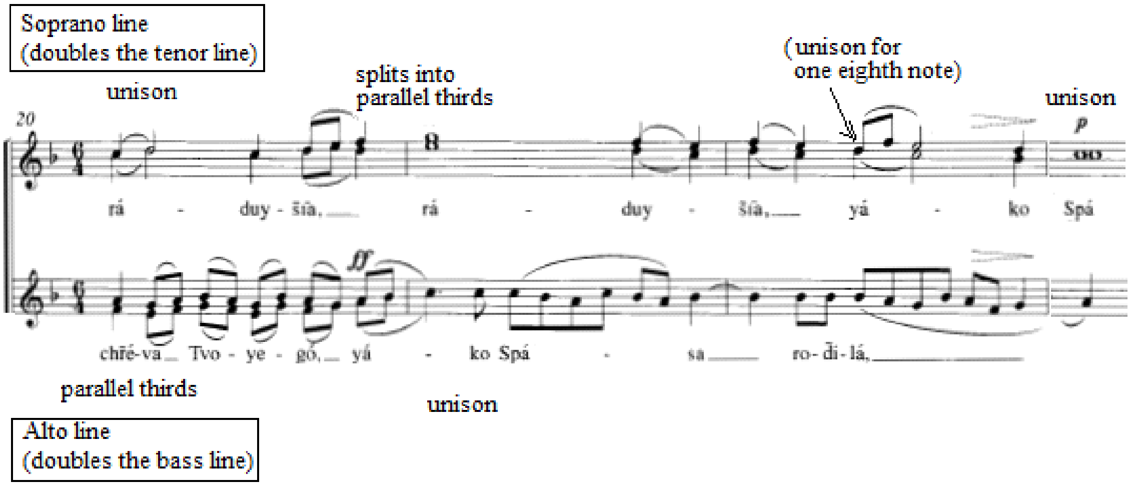
[13] Johnston 2014a and 2014b, respectively, a study of culmination in Rachmaninoff's *Rhapsody on a Theme by Paganini* and a more general investigation of modal idioms in Rachmaninoff.

Two earlier works are devoted specifically to the *Vigil*—doctoral dissertations by Stephen Prussing (1979) and Eric Loftis (1980). Prussing's work contains an impressive body of information regarding Russian history and Rachmaninoff's biography, as well as insightful analyses of each movement, including elements of melody, harmony, form, texture, and other musical dimensions. Prussing also provides a chapter on sacred works by a few of Rachmaninoff's contemporaries. Loftis's work, by contrast, focuses on one aspect—texture. Classifying textures with respect to the number of parts involved at each moment, Loftis shows how the density and variety of the choral fabric changes throughout the composition, at the same time omitting a texture-related concept that may without exaggeration be called crucial in the *Vigil*—heterophony. It is the ancient heterophonic principle, inherited from old folk and liturgical music of Slavic lands, that makes Rachmaninoff's choral parts split and fuse back together without any apparent reason.

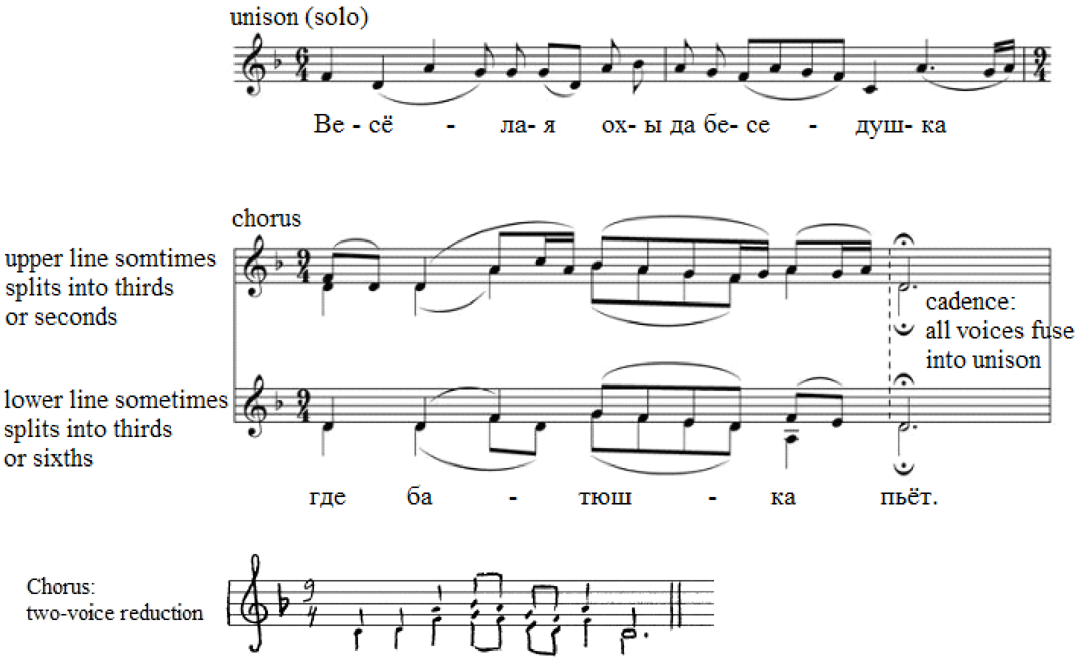
Example 0.1 presents two instances of heterophonic texture, one from movement 6 of the *Vigil*, "Bogoroditse Devo raduĭsia" (Rejoice, O Virgin Theotokos), mm. 20–23, and the other from the folk song "Vesiolaia Besedushka," transcribed by Anna Rudneva (1964). The passage from Rachmaninoff (Example 0.1a) shows the soprano and alto lines, which double at the octave the tenors and basses respectively. The soprano line, which begins as a single part, soon splits into parallel thirds, but they are not absolutely consistent: for a short moment, they fuse back into a single voice (m. 22). This happens because the upper part embellishes its line with a melodic third (it literally sinks into the lower voice in a Schenkerian sense), whereas the lower line gives the same melody, a third lower, with no embellishments. Measure 23 restores the unison texture.

Example 0.1 Instances of *podgolosochnaia* polyphony (heterophonic texture)

a) Sergeĭ Rachmaninoff. *All-Night Vigil*, movement 6, "Bogoroditse Devo raduĭsia," mm. 20–23. A heterophonic passage in the upper textural level (soprano and alto)


Soprano line
(doubles the tenor line)
unison
splits into parallel thirds
(unison for one eighth note)
unison
20
p
ff
rá - duy - šía, rá - duy - šía, yá - ko Spá
chré-va Tvo - ye - gó, yá - ko Spá - sa ro- di - lá,
parallel thirds
unison
Alto line
(doubles the bass line)

b) Folk song "Vesiolaia besedushka," strophe 1. From Anna Rudneva (1964), no. 70a


unison (solo)
Ве - сё - ла- я ох- ы да бе- се - душ- ка
chorus
upper line somtimes splits into thirds or seconds
lower line sometimes splits into thirds or sixths
cadence: all voices fuse into unison
где ба - тюш - ка пьёт.
Chorus: two-voice reduction

The altos feature the opposite procedure: having started in parallel thirds, they fuse into a single line exactly when the sopranos split.

For comparison, consider the folk song in Example 0.1b, where the chorus section (m. 3) begins and ends on a unison D, disturbed by a brief vertical third on the downbeat. In the rest of the passage, the texture splits into two principal lines that can be reduced to a motion in parallel thirds, shown in the example. Each of these lines branches into further variants, of which the highest one is the most embellished and the two inner parts the least embellished. A maximum of four voices occurs twice—at the soprano's highpoint C5 and right before the cadence (in what may sound like a V^7 without the leading tone). The low A before the cadential arrival seems to be an outgrowth of the upper line's A4. Together, the two excerpts in Example 0.1 show how melodic variants presented simultaneously produce the splitting of voices, whose number is not fixed for any substantial period of time, but rather can vary as often as every sixteenth note. This heterophonic principle shows Rachmaninoff's profound connection with a centuries-old folk style.[14]

That Loftis misses the concept of heterophony in his work should not be considered his fault. Although his analyses are carefully done, he did his work at a time when little material on the history and style of Russian church music was available in English. Most importantly, two seminal works had not yet appeared: Morosan's English translation of Johann von Gardner's

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[14] The doubling in thirds in both pieces in Example 0.1 does not correspond exactly to the concept of heterophony as it is known in English (see Peter Cooke's article "Heterophony" in *The New Grove Dictionary*). In Russian theory, however, heterophony includes what is known as *podgolosochnaia polifoniia* (polyphony with countervoices), or simply *podgoloski* (countervoices), in which third-doubling is most typical. T. Miuller, in her encyclopedia article on heterophony, provides a standard definition of it as a "simultaneous combination of different variants of the same melody" (1978, 974), and adds that Russian *podgolosochnaia* polyphony presents a branch of the heterophonic principle. Miuller's examples include third-dou bling in Russian, German, and Lithuanian folk songs. She also mentions "division of individual parts, periodically resulting in an increase of the number of voices" (975),a description that fits both passages in Example0.1..

Russian Church Singing (1980) and Morosan's own *Choral Performance in Pre-Revolutionary Russia* (the first edition of which appeared in 1986).[15]

This monograph represents one of the two significant writings Morosan, a specialist in Russian choral music, has contributed to our knowledge of Rachmaninoff as a composer of sacred music. The book, quite broad in scope, includes the history of Russian church music beginning from the tenth century, when Christianity became the official religion of Kievan Rus', as well as aspects of music history, performance practice, compositional techniques, liturgics, and chant notation. The section on Rachmaninoff is quite small—one and a half pages—but extremely important, because it places Rachmaninoff in the context of church music of the era to an unprecedented extent.[16] Morosan's other contribution is his edition of Rachmaninoff's complete sacred works (1994), prefaced with a long and detailed discussion of all three pieces, a preface that amounts almost to a self-sufficient scholarly study. However, due to certain limitations of the Preface (it is not an independent book) and Morosan's often one-sided analytical views (he is not a theorist but a historian of music), one can view this work as a springboard for a full-fledged analysis, rather than an exhaustive study of the music.

Russian writings on the *Vigil* are similarly meager, although the revival of the old religious culture in the last quarter-century, together with an undiminishing general interest in Rachmaninoff, has produced a few works related to the *Vigil*, mostly short articles. These include studies of text-music relationships (Naumov 2005), investigations of performance problems (Lapenko 2011), and a general analytical survey of the *Vigil* (Demchenko 2013). The latter article considers the *Vigil* as the culmination of the Russian pre-revolutionary choral-musical tradition, particularly from the viewpoint of content (i.e., rhetorical and textual content) and its relation to music.[17]

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[15] Morosan (1986) specifically discusses the heterophonic principle (including *podgolosochnaia* polyphony), on p. 231, with respect to Stepan Smolensky's ideas of Russian church and folk music. Smolensky's word for this type of texture is *kontrapunktika*.

[16] Prussing (1979) also considers Rachmaninoff in the context of contemporaneous church music, but to a lesser degree than Morosan does, with his encyclopedic knowledge of Russian sacred repertoire.

One relatively recent Russian-language work deserves mention here, even though it has no analyses of the *Vigil*—is Miasoedov's study of harmony in Russian music (1998). This book, which will be discussed in detail later, contains important theoretical material based on liturgical repertoire. The study also has a chapter on Rachmaninoff that links him to harmonic techniques crucial for Russian music, such as mutability, plagalism, and Miasoedov's own concept of proto-harmony. Rachmaninoff works analyzed include piano, orchestral, and solo vocal excerpts.

The most recent Russian-language study of Rachmaninoff is by Ildar Khannanov (2011). In it, Khannanov sets for himself the goal of exploring the composer's music as broadly as possible (different genres and compositional aspects) and, at the same time, incorporating English and German terms and ideas in his Russian-language text.[18] Characteristically for Russian scholarship on music, he pays much attention to aspects of expression and images represented (see chapter 2 on "emotional truth," for example). However, his approach is somewhat different from that of many others because it is explicitly philosophical. Khannanov reproaches Western and Russian scholars for largely ignoring the *Vigil* in their work (2011, 16), but, in fact, he also does not engage it much. (Exceptions include a brief discussion of movement 1, to which I will return in Chapter 5.) Nonetheless, Khannanov contributes important information regarding Rachmaninoff's involvement with Old Russian chant and its melodic structures, although most of the examples he offers are not sacred works.[19]

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[17] Some of these sources are not available outside Russia and are not published online, and I was able to read only abstracts of them. In addition to the Russian-language sources, another article, published in Finland, on performance issues in the *Vigil* is Alla Generalow (2010), who discusses the work's performance history in relation to the Russian national character of the *Vigil*.

[18] Creating connections between Russian and American (and to a certain extent German) musical scholarship is Khannanov's intention in this book, as well as his other writings. While bringing together different theoretical traditions is a worthy goal, he approaches it from an angle that would have been unacceptable in English-language scholarship: he constantly extols the Russian and sometimes demeans the American theoretical tradition, especially Schenkerian analysis (see, for example, pp. 178–79).

In all, even though the existing studies of the *Vigil* have approached it from several different perspectives, no attempt has yet been made to engage the composition in a large-scale analysis using recent theoretical achievements of either English- or Russian-language scholarship—or both. The present study attempts, at least partially, to offer such an analysis.

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[19] For example, Khannanov has a chapter (Chapter 1) devoted to Rachmaninoff's use of *popevki* (melodic formulas), borrowed from the old Russian and Byzantine church singing traditions, in virtually all genres the composer worked in. The idea is similar to that of Yasser (1969), who identifies a Kievan chant melody as the motivic basis of the main theme of Rachmaninoff's Third Piano Concerto.

CHAPTER 1
All-Night Vigil: Historical Background

The *All-Night Vigil*, op. 37, was written in the final years of Rachmaninoff's life in Russia. It is generally thought that the composer worked on the *Vigil* in January–February 1915,[20] although at least one source, the newspaper *Utro Rossii*, mentioned Rachmaninoff's work on the *Vigil* in 1912 (Morosan 1994, lviii).[21] The work is dedicated to the memory of Stepan Smolensky, who was a formative influence on Russian church music at the turn of the twentieth century. The *Vigil* was first performed from handwritten copies on March 10, 1915, by the Moscow Synodal Choir under the baton of Nikolaĭ Danilin, who also conducted the premiere of Rachmaninoff`s preceding sacred work, the *Liturgy of St. John Chrysostom* (1910). The *Vigil* was first published by the Moscow *Russkoe Muzykal'noe Izdatel'stvo* (Russian Music Publishing House) later in 1915. The work was praised by critics and immediately became loved by the public (Morosan 1994, lix).[22] The work was also highly regarded by Sergeĭ Taneev, Rachmaninoff's counterpoint instructor at the Moscow Conservatory and one of the most influential Moscow musicians.

The *Vigil* was written during a difficult time for the composer and his country. In the year 1915, not only was World War I already under way, but the political situation in Russia was nearing a crisis, which was soon to result in a revolution, a total collapse of the old regime, and a protracted civil war (most of which Rachmaninoff did not see, having emigrated in early 1918).

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[20] Sergeĭ Bertensson and Jay Leyda (1956, 190–91), Prussing (1979), Loftis (1980, 3), Norris (1994, 49), and Norris's article on Rachmaninoff in *The New Grove* (section 3) all mention early 1915, or the winter of 1914–15, as the time of the *Vigil's* composition.

[21] Norris correctly notes that, even though the composer is known to work on the Vigil during the winter of 1915, such a massive composition must have been in his mind for some time before he started to write it down (1994, 49); therefore, the solitary mention of the *Vigil* in *Utro Rossii* does not seem surprising.

[22] Morosan discusses in detail the rehearsals before the first performance, as well as the high critical acclaim the work received immediately after the premiere (1994).

The composer, whose creative process was often laborious even in calmer times, found it difficult to write music during this tragic period. The years immediately preceding offered a generous compositional outpouring, including several major works: the thirteen preludes op. 32 (1910), *Etudes-Tableaux* op. 33 (1911), the choral symphony *The Bells* and the Second Piano Sonata (both 1913). After the outbreak of the war, he composed less; the *Vigil*, the songs op. 38 (1916), and the Etudes-Tableaux op. 39 (1917) are the only major works written at this time. Following these, his creative output was brought to a long halt, the *Vigil* excepted. There were several reasons for this break. First, he toured Russia playing concerts for the war effort; later, he left the country for Scandinavia and then for America. There, his efforts were again devoted to performance, and he was able to return to composition only in the mid-1920s. The *Vigil*, therefore, proved to be the last major work written before drastic changes in the composer's life and a long compositional hiatus.[23]

For this reason, the *Vigil*, in a way, sums up an important period in the composer's life; but it is also a summing-up in some other respects. It is the last of Rachmaninoff's three important liturgical works, of which the other two are the sacred concerto *V molitvakh neusypaiushchuiu Bogoroditsu* (The Theotokos Ever-Vigilant in Prayer, 1893) and *Liturgy of St. John Chrysostom* (1910). Moreover, the *Vigil* represents one of the final products of the New Russian Choral School (NRCS), which practically ceased to exist around the time of the revolution. The *Vigil*, therefore, is situated at a historical crossroad both for the composer and for Russian church music generally. Morosan describes the whole body of Rachmaninoff's church works as a culmination reached by "the pre-Revolutionary renaissance of sacred choral compositions in Russia" (1986, 247), and the *Vigil* as attaining "new heights of expressive intensity, such as have been achieved in only a few choral masterpieces in the entire history of music" (1986, 248).

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[23] Morosan says that Rachmaninoff did not write liturgical music after the revolution because the ensemble for which this music was intended to be performed—the Synodal Choir—ceased to exist (1994, xlvii). More generally, this was one of the main reasons for the entire NRCS to end, although a still more significant reason was that, at least for those who remained in Russia, sacred music was banned by the Soviet regime.

The *Liturgy* and the *Vigil*, Rachmaninoff's two large-scale sacred works, have much in common. Both follow the Orthodox Christian tradition of strict a cappella choral writing. Both are multi-movement works that, in the liturgical context, embrace an entire service. Finally, both belong, each in its own way, to the style that dominated Russian choral music of the time, the NRCS. The two works, however, differ in important aspects as well. First, the *Liturgy* contains sections (such as the Litany) that, in the context of the service, are performed responsorially with the priest or the deacon, whereas in the *Vigil*, each movement is a self-contained musical structure that requires neither interjections nor other performers except the choir and the soloists. Second, the *Liturgy* is a freely composed work, whereas in the *Vigil*, the majority of movements (10 out of 15) are based on pre-existent chant melodies. Finally, and perhaps most importantly, the later work differs from the earlier one in character, offering a depth and intensity of expression unprecedented in the composer's liturgical works and arguably in the entire output of Russian sacred music.[24]

When speaking of Rachmaninoff's work in the liturgical realm, some commentators point out that he was not an experienced composer of sacred music. In the process of writing the *Liturgy*, he relied to some extent on the expertise of others, especially Alexandr Kastal'sky, his former classmate at the Moscow Conservatory and an important representative of the NRCS. Morosan notes that, for someone who did not specially study liturgics, certain aspects of

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[24] Morosan quotes a contemporaneous review by V. Derzhanovsky that states: "This work in particular bespeaks of a broadening of [Rachmaninoff's] creative flight, a conquest of new dimensions of the spirit, and, hence, a genuine evolution of his powerful talent" (1994, lix).

Orthodox church music presented difficulties, for example liturgical terminology and the language—Church Slavonic, a historical predecessor of modern Russian, now extinct except in the church setting (1994, xlvii).[25]

In contrast to the liturgical aspect of sacred music (church terminology and liturgical structures), Rachmaninoff knew the musical side of this repertoire much more intimately. Some knowledge of church music materials was instilled in him from childhood. At an early age, he attended with his grandmother, Sofia Butakova, church and monastery services in his native region of Velikiĭ Novgorod, one of the oldest cradles of Russian civilization.[26] Most likely, it is at these services that he first became acquainted with ancient Russian chant, which he would later use in the *Vigil*, and with the Orthodox Christian liturgy in general. Without doubt, the childhood experience of listening to liturgical singing kindled an interest in church music in a boy with such an extraordinary musical gift.

Khannanov goes so far as to state that the composer was a specialist in sacred music. He writes: "the pre-Revolutionary status of Rachmaninoff as a leading expert in ancient Russian church singing [*raspev*] was overshadowed by his other achievements" (2011, 11). Khannanov insists that the information about the composer as a specialist in church singing, though not generally known, was orally transmitted within the conservatories of St. Petersburg and Moscow.[27] But even without this apocryphal knowledge, one can feel that Rachmaninoff's treatment of chant in the *Vigil,* his sensitive and subtle motivic use of old melodies, and his heterophonic textures that weave the countervoices (*podgoloski*) into the musical fabric bespeak an experience that exceeds superficial familiarity with church music. In the chapters below, I show that some of his tonal structures show a profound connection with the Russian church-music tradition, no less than do his textures and motivic work.

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[25] Similarly, Norris (1994, 148) writes, "Rachmaninoff was no churchman, and it was a considerable undertaking for him to set the liturgy." Norris does not mention this difficulty with regard to the *Vigil*, perhaps owing to the fact that we have no evidence of the composer seeking anybody's help with this work. It is also possible that, by 1915, he felt surer of himself in the liturgical field than five years earlier.

[26] See Bertesson and Leyda (1956, 6) and Bazhanov (1962, 16–24) on Rachmaninoff's early listening experiences in churches (both liturgical singing and bells).

[27] Khannanov insists that, during the Soviet period, information about Rachmaninoff's expertise in church singing could not be published for ideological reasons. The author singles out Professor E. Levashev, who taught at the Moscow Conservatory in the 1970s and 80s, as someone who helped preserve this information about Rachmaninoff.

The New Russian Choral School

Rachmaninoff's sacred compositions did not appear out of nothing amid the rest of his oeuvre, simply owing to the composer's interest in liturgical repertoire. They were determined by, and constituted part of, the New Russian Choral School, Vladimir Morosan's term to refer to an outburst of sacred compositional activity in the late nineteenth and early twentieth centuries. To discuss the history and goals of the NRCS, we need to trace, however briefly, the history of church music in Russian throughout the second millennium.[28] In this brief summary, I wish to highlight several important aspects: the existence of multiple sets of chant melodies (as opposed to the dominance of Gregorian chant in the Roman Catholic tradition), the break in the use of chant starting in the seventeenth century, and a gradual Westernization of church music from this time until roughly the 1860s, when old chant finally found a new refuge in the work of the NRCS composers.

Church singing appeared at the time when Kievan Rus' accepted Christianity as its official religion, in the year 988. Between the eleventh and thirteenth centuries, two chant traditions had been developed, Znamenny and Kondakarny, of which only the former survived

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Following Levashev, Khannanov also mentions documents related to Rachmaninoff's work with the Moscow Synodal Choir that reflect the composer's expertise in church singing (Khannanov 2011, 11).

[28] The material in this section is based on Prussing (1979), Gardner (1980), Morosan (1986), and Kustovsky and Potiomkina (1999).

until well into the 1600s.[29] In the thirteenth century, musical and other creativity in Russia was impeded by the Tatar invasion, and only several centuries later the development of church music resumed. The sixteenth and seventeenth centuries yielded abundant fruits in this field: three new chant traditions appeared—Kievan, Greek, and Bulgarian—and polyphony (more precisely, multi-voice texture) came into use.[30] By the second half of the seventeenth century, the so-called *partesny* singing (from the Latin *partes*), motet-style polyphonic music, was in wide use.[31]

Partesny singing rose to particular importance during and after the *Raskol* or schism of the Russian Orthodox Church, initiated by the ecclesiastical reformer patriarch Nikon (served 1652–58). Chant melodies did not completely disappear from church use—at times, they were incorporated into multi-part harmonic compositions of the *partesny* style—but the centuries-old tradition of monophonic chant was nearly lost after the schism, to be revived only two centuries later. The gradual process of westernization of Russian church music culminated in the eighteenth century, after Peter the Great's (reigned 1682–1725) famous "cutting-through of the window" into Europe. Sacred music was increasingly modeled after the Italian style, especially during the reign of Catherine the Great (reigned 1762–96), who invited Italian maestri, such as Baldassare Galuppi, to St. Petersburg.

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[29] It is at this time that the system of eight tones, known as Octoechos, or Osmoglasie, formed; the principle was borrowed from Byzantine church singing. Just as is the case with the eight psalm tones of the Roman Catholic tradition, these tones (glasy) form a cycle of melodies to which various texts are set. Unlike the Western psalm tones, however, the Russian Octoechos is less systematized and varies from one chant tradition to another. Russian chant also contains unchanging *(ne-glasovye*, non-glas) melodies. For a detailed exploration of the melodic style of the Old Russian Znamenny Octoechos, see Swan (1940, part 2).

[30] Kievan chant originated as an outgrowth of Znamenny chant and, having further developed in Kiev for several centuries, was brought to Moscow in the mid-seventeenth century. Greek chant, notated roughly at the same time, does not denote actual Greek (Byzantine) origin. Gardner suggests that the term "Greek" appeared because the melodies were taken from Greek clerics, but were later "russified beyond recognition" (1980, 106–7).

[31] An earlier style of multi-voice music, *putevoe* singing, written with staffless notation, appeared in the sixteenth century. See Gardner (1980, 108) and Morosan (1986, 30).

The eighteenth century, however, also brought some achievements in indigenous Russian sacred music. In 1772, the first *Obikhod* collection was published by the Holy Synod, a leading organization of the Russian church that replaced the Moscow patriarchate, abolished by Peter the Great. The word *obikhod* literally means "something that is routinely used"; in church practice, it denotes a set of melodies, often harmonized, employed in services on a regular basis. The 1772 *Obikhod* contains chants of the Greek and Kievan traditions and includes various hymnographic groups such as stichera, troparia, and antiphons.[32] This publication was the beginning of a slow return of the old chant styles into Russian church-music practice. The Synod subsequently published many church-music collections, including those from the early twentieth century.

Russian church music stepped into the nineteenth century rather westernized. The long influence of the Italian maestri culminated in the output of Dmitriĭ Bortniansky, director of the Imperial Court Chapel until 1825 and a composer of major stature, who wrote Italian operas in addition to music for the Russian church.[33] While he served in the Court Chapel, his and other western-style music was performed at a very high level. The rest of the country suffered from the insufficient preparation of church singers, who were not trained to sing Italian-style works and yet were required to do so. This discrepancy between compositional style and performance training was addressed by the next two Court Chapel directors, Fiodor L'vov and his son Alexeĭ L'vov (headed the Chapel respectively in 1825–36 and 1837–61). In 1848, A. L'vov directed the task of harmonizing the entire repertoire of chant melodies, in a rather simplified form, in four parts and disseminating these harmonizations across the Russian Empire.[34] The simplicity of L’vov’s style allowed for church music to be performable by singers without solid musical training.

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[32] Once again, I direct the reader to the glossary of liturgical terms at the end of this dissertation.

[33] The St. Petersburg-based organization known as the Imperial Court Chapel (*Pridvornaia imperatorskaia pevcheskaia kapella*) began life as the Tsar's Singing Clerics, was later renamed Court Choir and finally Imperial Court Chapel (under Catherine the Great). In the eighteenth and nineteenth centuries, the Chapel's severe censorship over church music of the entire country impeded the development of sacred repertoire (Morosan 1986, chapter 3).

Apart from the music that was officially used in church, another stream of musical activity is important: a continuing attempt by many composers to create a truly “Russian” tradition of sacred music in the nineteenth century. These attempts began with Mikhail Glinka (1804–57). Marina Frolova-Walker discusses Glinka’s attempts, late in life, to produce Russian church music based on both Znamenny chant and the compositional techniques of the Western renaissance (2007, 133–38)—an attempt that did not produce any conclusive results but that is indicative of a nascent quest for new sacred repertoire among Russian composers.[35] Composers of the *Moguchaia Kuchka* (known as The Five) continued the line of composing church music, this time with more official ties to the church than Glinka had. In 1883, Miliĭ Balakirev, the leader of the Kuchka, became head of the Court Chapel and immediately invited his close associate Nikolaĭ Rimsky-Korsakov to be his assistant. Both composed sacred music, even though they did not create a distinct national style in this field. Tchaikovsky’s liturgical compositions, including his *Liturgy* and *Vigil*, also appeared at this time, between 1879 and 1887. At the same time, the growing interest in church repertoire among musicians produced the *Obshchestvo liubiteleĭ tserkovnogo peniia* (Church singing interest society), whose activity starting in the 1870s brought to life various editions of chant.

All these musical efforts finally bore fruit as a distinct national school of sacred composition, the NRCS. This style gradually formed in the 1860s, but its activity peaked between the 1880s and 1917.[36] It was a period in which choral composition and performance flourished, producing a substantial body of stylistically unique repertoire. The composers of the NRCS include Alexandr Kastal'sky (director of the Synodal School at the time when Rachmaninoff's *Vigil* was written), Pavel Chesnokov, Alexandr Grechaninov, Nikolaĭ Kompaneksky, Viktor Kalinnikov, Rachmaninoff, and a few minor figures. A very significant member of this movement was Stepan Smolensky, a leading scholar of Old Russian chant and an eminent pedagogue, director of the Synodal School in 1889–1901.[37] Although Smolensky did not compose much himself, he exerted a defining influence on the NRCS, and many of its composers sought Smolensky's compositional advice.[38] Under his influence, most NRCS composers incorporated chant into their works, although their treatment of it ranges from harmonizing complete chant melodies to composing on the motivic basis of certain chant styles (the latter technique is particularly common in Kastal'sky).[39]

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[34] On the extreme simplification of old chant melodies in the *obikhods* of A. L’vov and his successor in the Chapel Bakhmetev, see Kustovsky and Potiomkina (1999, 2).

[35] Glinka’s ideas resemble those of Sergeĭ Taneev (1856–1915), Rachmaninoff’s teacher, a theorist of counterpoint and a proponent of Western polyphony in the context of Russian sacred music.

Morosan singles out several factors that contributed to this phenomenon, among them the collapse of the Court Chapel's censorship (1880), long-awaited by many musicians; the work of musicologists, such as Dmitriĭ Razumovsky and Smolensky; a growth of general interest in indigenous Russian culture in the 1860s, following the emancipation of the serfs in 1861; and, most importantly, the activity of two closely affiliated organizations, the Moscow Synodal School of Church Singing and the Moscow Synodal Choir, which premiered all three of

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[36] Church music, though extremely important, is not the only part of what the NRCS produced. The school also produced a relatively modest amount of secular choral pieces, mostly on texts by nineteenth-century Russian poets. On the emergence of secular choral music in Russian, see Morosan 1986, 117–19.

[37] On scholarly work on chant by Smolensky and a few of his contemporaries, such as Ivan Voznesensky, see Nicolas Schidlovsky (1983).

[38] Smolensky was also the first to introduce Rachmaninoff to the theory of old Russian chant (Loftis 1980, 4).

[39] See Morosan (1986, chapter 6) for an approximate percentage of works containing chant for every major composer of the NRCS. The revival of old chant in nineteenth-century Russia resembles a similar revival of the Gregorian chant tradition in Europe a few decades earlier. Louis Niedermeyer (1905 [1856]) is an example of a renewed use of Western chant, with organ accompaniment stylized as "modal" (see his accompaniment suggestions starting on p. 14), a practice reminiscent of some NRCS composers such as Chesnokov, Kastal'sky, and others.

Rachmaninoff's sacred works (1986).[40] Another factor should be added to this list—the establishment of conservatories in the two capitals (1862 in St. Petersburg and 1866 in Moscow), which effected a general growth of professionalism in the country's musical life.

The emergence of the NRSC may seem a national cultural achievement of Russian musicians, who finally overcame the preceding two-century hegemony of Western musical style and technique. One should not forget, however, that this phenomenon would have been impossible without the academic training of its composers and their knowledge of both Russian and Western musical materials. Perhaps we should view the NRCS, and with it its remarkable outcome—Rachmaninoff's *Vigil*—as a product of *fusion*, an integration of techniques, styles, materials, and ideas that crystallized over several centuries in different countries, including Russia itself, rather than a purely national triumph (as Morosan seems to suggest in his 1986 work). Significant artistic accomplishments rarely, perhaps never, grow on the soil of a single geographic area without external cultural influence. The *Vigil* and the entire NRCS should therefore be considered primarily an achievement of the world's musical art and only secondarily as a high stage of the development of Russian choral music.

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[40] The Moscow-based Synodal Choir (which existed under this name from 1721 to 1918) originated as the Patriarchal Singing Clerics in the sixteenth century, was later renamed Synodal Singers and finally Synodal Choir in the eighteenth century. The choir was not an important performing entity until the second half of the nineteenth century, when it was reinforced by the pedagogical activity of the Synodal School of Church Singing, instituted in 1886. Morosan characterizes the Synodal Choir in the late nineteenth century as the "ideal choral ensemble of its time, and the one for which most choral composers conceived their works" (1986, 104).

The *Vigil*: General Structure

Within the total output of the NRCS, the genres of liturgy and all-night vigil are the most common, since they are the two principal types of service in Orthodox Christianity. Whereas the liturgy is a morning service on Sunday or an important holiday, the all-night vigil is an evening service on the eve of such a day.[41] The vigil as a service consists of two parts—*vecheria* (vespers) and *utrenia* (matins). Rachmaninoff sets those parts of the service that are sung by the choir alone as closed musical sections and omits other parts, which are usually sung to shorter and simpler musical phrases, usually using *glas* (Octoechos) material.[42] All the hymns he selected belong to the ordinary of the service. The result is a set of fifteen hymns, some of them longer than others.[43] Example 1.1 shows all the movements, with their opening lines, divided into two sections—vespers (movements 1–6) and matins (movements 7–15).

Example 1.2 provides a more detailed table of Rachmaninoff's *Vigil*, showing each movement's tonal structure (in a rather simplified way, as is inevitable in such a short table) as well as the presence or absence of a notated time signature, pre-existent chant, and solo voices. A dash indicates the absence of a certain element in the respective movement. For example, movement 4 is tonally unified (C minor), although its relative major also assumes some degree of importance, has no notated time signature, is based on a chant melody from the Kievan tradition, and contains no solo parts. The following several paragraphs elaborate on these musical aspects, concentrating on each in the order they are presented in the table.

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[41] By 1915, however, concert performance of sacred music was normal; such performances were given by Alexandr Arkhangel'sky's choir, the Moscow Synodal Choir, and other ensembles. See Morosan (1986, chapter 3) on the performance activity of Russian choirs in the late nineteenth and early twentieth centuries.

[42] These phrases mostly belong to the largely anonymous, orally preserved body of repertoire such as the eight tones (glasy) of the Octoechos. The Octoechos, in one of its versions, is preserved in Smolensky's *Glavneĭshie Pesnopeniia* (1893), to be discussed in chapter 3.

[43] See Morosan (1986, 210–17) on the detailed structure of the vigil and the liturgy; see also Morosan (1994, lix–lx) on the different types of these services—resurrectional (i.e., served on Sundays) and festal. Summaries of the Orthodox liturgical structure are also found in Swan (1940, part 1) and Gardner (1980, v. 1, chapter 2).

Example 1.1. Rachmaninoff. *All-night Vigil*, op. 37, general structure.

Part 1: Vespers (vecheria)	
• Priidite, poklonimsia	Come, let us worship
• Blagoslovi, dushe moia, Gospoda	Bless the Lord, oh my soul
• Blazhen muzh	Blessed is the Man
• Svete Tikhiĭ	Gladsome light
• Nyne otpushchaeshi	Lord, now lettest Thou (Nunc dimittis)
• Bogoroditse Devo, raduĭsia	Rejoice, o Virgin
Part 2: Matins (utrenia)	
• Slava v vyshnikh Bogu. Slavoslovie maloe, or Shestopsalmie	Glory to God in the highest (Gloria in excelsis Deo). The lesser doxology, or the Six Psalms.
• Khvalite imia Gospodne	Praise the name of the Lord
• Blagosloven esi, Gospodi	Blessed art thou, o Lord
• Voskresenie Khristovo videvshe	Having beheld the resurrection of Christ
• Velichit dusha moia Gospoda	My soul magnifies the Lord
• Slava v vyshnikh Bogu. Slavoslovie velikoe	Glory to God in the highest. The Great Doxology.
• Dnes' spasenie. Tropar'	Today salvation has come. Troparion
• Voskres iz groba. Tropar'	Thou didst rise from the tomb. Troparion
• Vzbrannoĭ voevode	To Thee, the victorious leader

The issue of tonal structure—specifically whether each movement is or is not tonally unified—is crucial for the present study of the *Vigil*. As the table shows, relatively few movements—five out of fifteen—offer alternatives to monotonality.[44] Of course, these statements about each movement's degree of tonal unity are, to some extent, subjective. For example, in movement 5, "Nyne otpushchaeshi," the opening with its recurrent G flat$^{6/4}$ chords might as well be heard in the key of G-flat major; if so, the movement modulates to B-flat minor and is non-monotonal (directionally tonal).[45] The particulars of alternative tonal interpretations

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[44] Three of these (movements 1, 2, and 12) will be discussed in detail in later chapters.

[45] For this and some other movements, I use the term tonal pairing in both monotonal and non-monotonal movements. This might seem like an inconsistency; yet, in the current literature, the term can refer to both situations. See, for instance, Peter Smith (2013) and Benjamin Wadsworth (2012), who use the term in monotonal

Example 1.2. *All-Night Vigil*, general musical characteristics of the movements.

Movement number	**Monotonal or not**	**Notated time signature**	**Chant**	**Solo parts in addition to chorus**
1	— Proto-harmonic (mostly natural system)	—	—	
2	— A minor/C major paired	—	Greek	Alto solo
3	D minor	—	—	
4	C minor (paired with E-flat major)	—	Kievan	
5	B flat minor (paired with G-flat major)	4/4 (changing)	Kievan	Tenor solo
6	F major	4/4 (changing)	—	
7	E flat major (paired with C minor)	—	Znamenny	
8	A flat major	4/4 (changing)	Znamenny	
9	D minor	—	Little Znamenny	
10	D minor	—	—	
11	G minor	—	—	
12	— Directionally tonal E-flat major—>C minor	—	Znamenny	
13	— A minor paired with $C^{mix.}$	4/4 (changing)	Znamenny	
14	— Proto-harmonic (natural system)	4/4 (changing)	Znamenny	
15	C major	4/4 (changing)	Greek	

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and non-monotonal situations respectively. Of all the terms related to tonal disunity, tonal pairing and mutability are the most fluid.

will be discussed in those movements that I study in detail (1, 2, 7, and 12). This column of the table also contains the term proto-harmony (from Miasoedov 1998, to be explored in chapters 2, 3, and 5), which refers to a certain kind of diatonic organization that does not require identification of a tonic. Movements marked as being in one key, with no mention of tonal pairing, literally begin and end with the same harmony, heard in both locations as the tonic.[46]

Interestingly, as the table indicates, the entire *Vigil* presents no keys with sharps in their signature. An answer to the question why this happens might require a separate study. Here it will suffice to note that the palette of key signatures is restricted to the area from zero to five flats. One can consider this a higher-order tonal "region," that is, a part of the spectrum of the circle of fifths, in which the entire work operates.[47] Within this region, movement 5 is the "darkest," following the tradition of hearing the flat side of the circle of fifths as expressively dark. By this logic, movement 1 is probably the "brightest," for, although its key signature contains no accidentals, the piece greatly emphasizes the A-major triad.[48] The last movement, firmly in C major, alludes to the opening C-major chord of the entire work.

The rare use of time signatures, reflected in the third column of the table, points to a deeper issue—that of the generally irregular meter in Russian church music. Metrical irregularity is perhaps the only element of Russian church singing that almost never changed throughout its history.[49] Just like Gregorian chants, Russian chant melodies are based on the rhythm of their texts, not a regular alternation of strong and weak beats. Composers and arrangers of the NRCS adopted this feature of liturgical song in both chant-based and non-chant-based works. With regard to notation, they approached irregular meter in several ways: the music might have no bar lines (except between textual phrases); it might use changing time signatures; or it might provide measures of varying lengths without notated time signatures.[50] Rachmaninoff uses all three types of notation in the *Vigil*.[51] The relatively rare presence of a time signature always points to a higher level of metric regularity compared to that in pieces with no notated meter. Movement 6, for example, is entirely in 4/4, except for the climactic section (mm. 20–26), which switches to 6/4. Regardless of the type of notation, however, the music always exhibits a more or less regular pulse, often at the level of the half note, although this pulse is at times disturbed.[52]

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[46] Throughout this dissertation, I use uppercase letters to designate keys when the words "major" and "minor" are used, for example, B-flat minor or G major. When the key is designated by the letter only, uppercase letters correspond to major and lowercase ones for minor; for instance, "a" stands for A minor and "A" for A major.

[47] I do not mean the term "tonal region" in Arnold Schoenberg's sense, where it designates a key area closely or distantly related to the main key of a piece (1969, 19–23).

[48] The tonal structure of movement 1, to be discussed in chapter 5, is extremely decentralized. Khannanov elusively says that the movement is "probably in A major" (2011, 17).

[49] The only time when regular meter was introduced in Russian church music was the period of Italian stylistic domination, that is, the eighteenth century. Dmitry Bortniansky continued this trend in the nineteenth century.

The fourth column of the table shows that ten out of the fifteen numbers contain a chant melody. These chant melodies come from three different traditions of monophonic liturgical singing: Greek chant (used in nos. 1 and 15), Kievan chant (nos. 4 and 5), and Znamenny chant (nos. 7, 8, 9, 12, 13, and 14).[53] In the remaining numbers, no pre-existent material is used, but, according to Rachmaninoff, he produced a "conscious counterfeit" of chant (Bertensson and Leyda 1956, 191).[54] For the most part, this statement is true, although we will see that his own melodies sometimes differ from the chant style; for example, the soprano line in movement 1 contains chromatic elements impossible in the strictly diatonic confines of chant.

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[50] See Morosan on the problems of rhythm and meter in Russian church music (1986, 260–67). Metrical irregularity in this style comes from its close dependence on the textual rhythm.

[51] In their 1992 edition, Morosan and Ruggieri virtually eliminate the first type of notation, since they add dotted bar lines within Rachmaninoff's "measures" that originally corresponded to entire textural phrases, as in movement 1.

[52] Fred Lerdahl and Ray Jackendoff (1983) call such a regular pulse the *tactus*.

[53] The sources of these chant melodies are eighteenth- and nineteenth-century *Obikhod* books.

[54] The statement about "conscious counterfeit" originates in Rachmaninoff's letter to Joseph Yasser from 1935, quoted completely in Bertensson and Leyda (1956, 311), where Rachmaninoff discusses his own and other composers' use of folk-music materials (in which he apparently includes anonymous church music). Yasser later included this discussion of Rachmaninoff's into his (Yasser's) *Vospominaniia* (Memoirs), referenced in Morosan (1994, lxi).

Rachmaninoff was familiar with the use of chant melodies in composed works from earlier examples of the NRCS, such as Tchaikovsky's *Vigil* (1881), most of Kastal'sky's works, many pieces by Chesnokov, and other sacred music of the time. Within the NRCS, two methods of chant use had formed. One was to use a pre-existent melody as a cantus firmus, with other voices harmonizing it, often heterophonically. The other method, pioneered by Kastal'sky, was to compose all parts on the motivic basis of a certain chant style (usually Znamenny), that is, to use chant motives instead of complete chant melodies.[55]

Although Rachmaninoff often uses chant motivically (sometimes even polyphonically, not a typical device for this style), the chant determines the form of his chant-based movements as well. The degree of strictness varies a little in his chant settings. Sometimes, as in movements 2 and 13, he preserves the melody unchanged (with octave transpositions in movement 2), whereas non-chant voices provide harmonization for the pre-existent line. Sometimes he takes more liberty. In movement 5 (see Example 1.3), the chant first appears in the solo tenor; later, one of the phrases (*ezhe esi ugotoval*) appears imitatively in several voices, creating a formal link with the next phrase (*pred litsem vsekh liudeĭ*), where the chant enters in the brighter register of the sopranos.[56] In movement 12, he puts chant phrases at different transposition levels; in the final section, chant motives are dispersed within the choral fabric, but no individual part sings the final phrase of the chant complete. Yet, even though the use of chant varies from movement to movement, the pre-existent melody always remains the foundation of the musical form.

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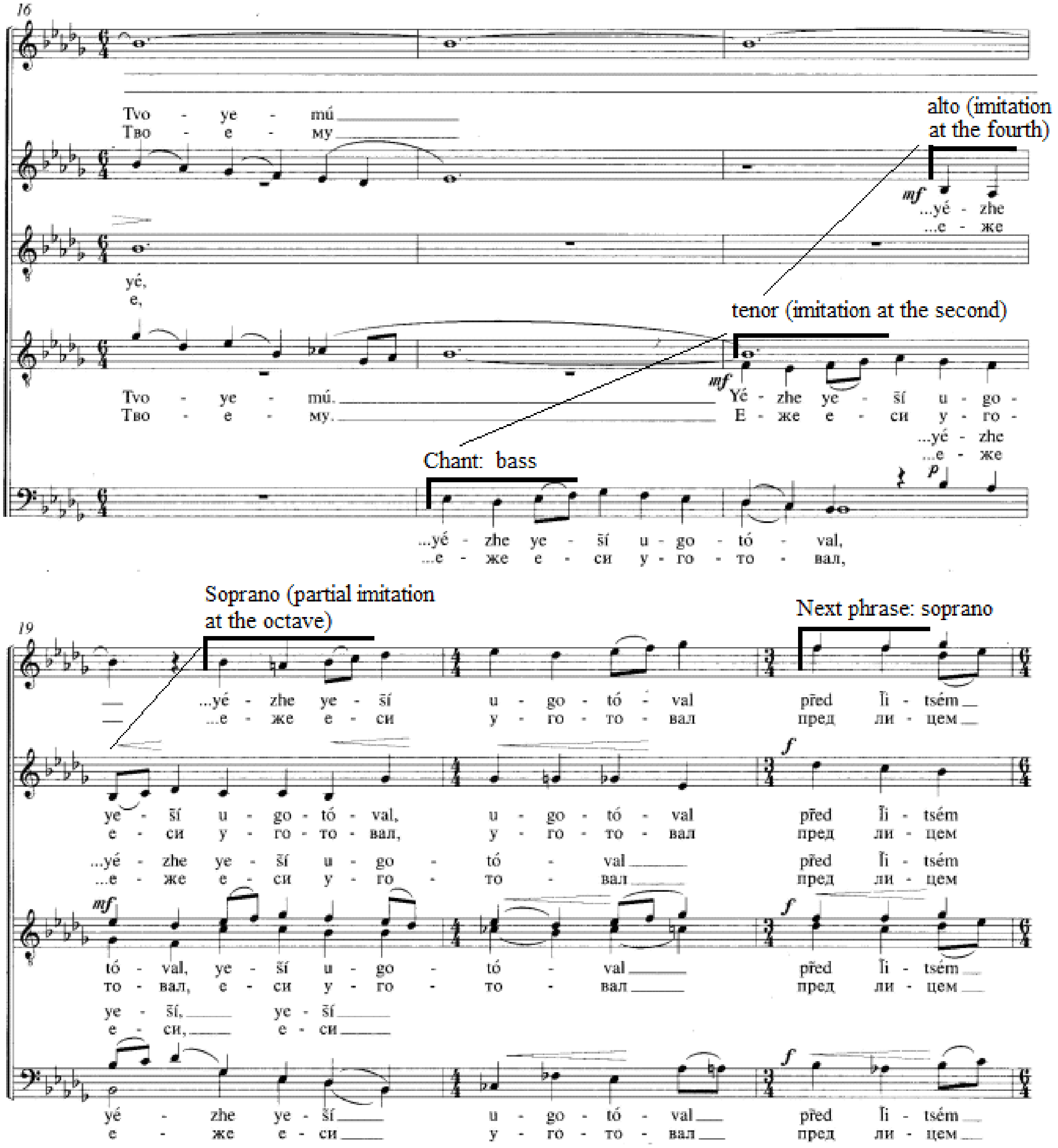
[55] See Morosan on the specifics of chant use in the NRCS (1986, Chapter 6).

[56] The text of movement 5, *Nyne otpushchaeshi*, is the Slavonic equivalent of *Nunc dimittis*. Rachmaninoff especially loved this movement and wished it to be performed at his funeral, which, unfortunately, proved impossible at the time of his death (1943). Later, however, the piece was performed multiple times at memorial services for him in some of Moscow's churches.

Example 1.3. *All-Night Vigil,* movement 5, “Nyne otpushchaeshi,” chant-based imitative passage in mm. 16–21[57]



16
Tvo - ye - mú
Тво - е - му
alto (imitation at the fourth)
...yé - zhe
...е - же
yé,
е,
tenor (imitation at the second)
Tvo - ye - mú.
Тво - е - му.
Yé - zhe ye - ší u - go -
Е - же е - си у - го -
...yé - zhe
...е - же
Chant: bass
...yé - zhe ye - ší u - go - tó - val,
...е - же е - си у - го - то - вал,
Soprano (partial imitation at the octave)
Next phrase: soprano
19
...yé - zhe ye - ší u - go - tó - val před ĺi - tsém
...е - же е - си у - го - то - вал пред ли - цем
ye - ší u - go - tó - val, u - go - tó - val před ĺi - tsém
е - си у - го - то - вал, у - го - то - вал пред ли - цем
...yé - zhe ye - ší u - go - tó - val před ĺi - tsém
...е - же е - си у - го - то - вал пред ли - цем
tó - val, ye - ší u - go - tó - val před ĺi - tsém
то - вал, е - си у - го - то - вал пред ли - цем
ye - ší, ye - ší
е - си, е - си
yé - zhe ye - ší u - go - tó - val před ĺi - tsém
е - же е - си у - го - то - вал пред ли - цем
mf
p
f

---

[57] This and all other excerpts from the *Vigil* are taken from Sergeĭ Rachmaninoff, Vsenoshchnoe bdenie [All-Night Vigil], edited by Vladimir Morosan and Alexander Ruggieri. San Diego: Musica Russica, 1992. Used by permission.

The last column of the table refers to the use of solo parts, present only in two movements, nos. 2 (alto) and 5 (tenor).[58] This category is important because, as a composer of several operas and an impressive body of solo songs, Rachmaninoff was an experienced writer for the voice, and he puts his experience to beautiful, although quantitatively modest use in the *Vigil*. Moreover, the use of solo voice here is not an exception within the NRCS; Morosan (1986, 297–98) mentions that several composers employed solo parts in their works, often with the intention to re-create the participation of soloists in the pre-Westernized era of Russian church music. Both examples of solo parts in Rachmaninoff's *Vigil* bear chant melodies, parts of which are transferred at times to other voices. The function of the solo voice is, among other things, to make the chant as prominent as possible.[59]

Another structural aspect is closely related to the chant, and that is form. The table in Example 1.2 includes no formal types because formal structures in the *Vigil* hardly lend themselves to classification. Most of the movements exist somewhere on a continuum between strophic and through-composed forms, although none of the pieces belongs to either of these pure types. The movements closest to the pure strophic type are nos. 1 and 2 (analyses of both will be given in later chapters). Movements 3 and 11 approach this type but include an important difference: both consist of strophes where the first section (the verse) varies significantly more than the second (the refrain) with respect to both melody and harmony. The refrains also undergo variation, including transposition and internal harmonic changes. These two movements, perhaps, come closer to rondo than strophic form. Finally, one of the movements (no. 9) represents an almost pure rondo. Here, the refrain, always sung by tenors and basses, never changes, whereas the episodes, though melodically and expressively similar, always have new material. This structure is followed by a prolonged section, beginning with the doxology "slava Ottsu" (Glory to the Father), that departs from the rondo principle and closes the movement without any further thematic returns; perhaps one could hear it as a lengthy coda.[60]

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[58] Norris says that, in the *Vigil*, Rachmaninoff "often makes use of solo voices set against a choral group" (1994, 151). This is a rather surprising statement, given than only two movements have this feature. Norris mentions movement 4 as one of the examples; however, in both the first edition (1915) and Morosan's edition (1992 and 1994) of the work, the tenor part at the beginning of movement 4 is not marked as solo.

[59] In movement 5, "Nyne otpushchaeshi," the solo tenor not only sings the chant melody but also impersonates an individual, the elder Simeon, to whom the text of the hymn *Nunc dimittis* is ascribed in Luke 2:29–32.

All the other movements are situated toward the other, through-composed side of the continuum. And yet none of them completely lacks internal repetitions. In movement 10, for instance, what can be heard as a ternary design is superimposed on an antiphonal structure, in which the material of the alternating male- and female-voice phrases is mostly similar within each choral section. The movement seems to have qualitatively outgrown the verse-refrain type that lay at its origin.[61] Other movements lie still further from the strophic form, such as nos. 4 and 5 (both Greek-chant-based) and nos. 13 and 15, all of which have very little internal repetition. Movement 14, in a rather free form, somewhat resembles the strophic type, for its three sections open with the same motive; the last cadence, however, is different from the first two. Movements 7 and 12, based on the same chant melody, are perhaps closest to a pure through-composed type, or at least pure non-strophic; both consist of a clearly articulated two-part design with only minimal internal repetition within each section.

One might suppose that the distinction between more and less strophic forms bears a connection to the distinction between chant-based versus non-chant-based movements. This hypothesis, however, proves untenable. Out of the five movements that I have discussed as relatively strophic (1, 2, 3, 11, and the rondo-like 9), two contain pre-existent chant (nos. 2 and 9), and three are freely composed. Movements 6 (free) and 8 (chant-based) are both through-composed, with internal motivic repetitions that articulate the form but are not substantial enough to make the piece truly strophic. One can only generalize that, whenever Rachmaninoff uses a chant melody, he follows its form; this form usually contains a certain degree of repetition, which provides a strophic element. In free movements, the composer emulates the same forms that one might encounter in the chant style. Thus, Rachmaninoff's famous expression that he created a "counterfeit of chant" in his free movements refers not just to the thematic material but also to the formal types of his movements.

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[60] This statement is somewhat inexact. The entire movement, based on a Znamenny melody, is made up of chant motives. The final section contains no thematic return only in the sense that it does not repeat the refrain in its original guise in terms of the text, choral scoring, harmonization, and exact rhythm.

[61] Prussing (1979, 127) interprets the movement's form as based on the antiphonal principle and mentions nothing about ternary form. My reading of it as ternary is based on hearing the *tutti* phrase "*Ty bo esi Bog nash*" (Thou art our God) as the middle section, followed by a thematic return in the male section.

The multi-dimensional connections between Russian chant and Rachmaninoff's music, both sacred and secular, is a fascinating topic that has by far not been exhausted. The work of certain authors, such as Yasser (1969) and Khannanov (2011), can be seen as just the beginning of an exploration of this this topic. In the following chapter, however, I wish to address another musical dimension that ties the *Vigil* to both Russian church (and folk) music and Western tonal repertoires—the dimension of tonality, more specifically those cases in which tonal unity is violated in one way or another. In order to discuss this topic with a maximum degree of theoretical precision, the next chapter offers a historical and theoretical discussion of a Russian concept known as mutability, which denotes various musical situation where a single tonal or modal center is not an unconditional requirement.

CHAPTER 2
The concept of mutability

Mutability, or *peremennost'*, generally defined as a fluctuation between two or more diatonically related tonal centers, has been a central concern in Russian music theory in dealing with folk and church music, as well as folk-inspired Russian classical music.[62] Although the idea mostly pertains to a specific body of repertoire, its conceptualization brings to the fore some crucial features of Russian theoretical thought in the twentieth century, such as a growing concern with tonal centricity, a strong reliance on Riemann's functional theory, and a focus on diatonic church modes. In this chapter, I show that the notion of mutability has traversed a path from a very specific idea involving concrete pitch relationships to a considerably more abstract idea involving a weakening of tonal centricity. I explore this concept in the writings of seven twentieth-century Russian-language theorists: Boleslav Yavorsky, Sergeĭ Protopopov, Leo Mazel, Viktor Berkov, Igor Sposobin, Yuriĭ Kholopov, and Andreĭ Miasoedov. In the process, I concentrate on three topics of theoretical importance: the notion of tonal gravitation, the distinction between modality and tonality, and the structure of the tonal center.[63]

In a chapter devoted to mutability and plagalism in the music of Mikhail Glinka, Daniil Zavlunov (2010) gives a brief historical outline of the concept. It is an excellent outline and, to my knowledge, the only systematic discussion of mutability in English so far. My own investigation of this notion, however, has somewhat different goals. First, Zavlunov aims to argue with the widespread view of Russian theorists that mutability is a specifically Russian musical phenomenon, and he successfully demonstrates mutability in a number of examples from nineteenth-century Italian opera. While this is a valuable result, I am less interested in the repertoire to which mutability applies than I am in the history of the concept itself. Further, I wish to question what seems to be Zavlunov's second important claim: that the theorists who wrote about mutability after Boleslav Yavorsky, the pioneer of the concept, distorted and simplified Yavorsky's ideas.[64] That Yavorsky's understanding of mutability is different from that of later writers is a fact; yet this fact does not necessarily mean distortion. The issue of distortion is, in my view, simply irrelevant here. Rather, I wish to show that post-Yavorsky theories of mutability put the notion into a different theoretical context.

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[62] The material of this chapter, in a somewhat compressed form, has been published in *Music Theory Online* as article "The Concept of Mutability in Russian Theory;" see Bakulina 2014.

[63] Although the concept of mutability was largely developed when Rachmaninoff had already emigrated, it began its life in 1908 in the work of Boleslav Yavorsky, who belonged to the same artistic and intellectual environment in Moscow as Rachmaninoff (Yavorsky also studied with Taneev). Moreover, the notion of mutability is routinely used in Russian scholarship in discussions of folk, folk-based, and church music of the Slavic peoples.

Thus, with regard to a changing conception of mutability, we should speak not of *distortion*, but rather of change, or a *paradigm shift*. I claim that, in the mid-twentieth century, mutability as a concept experienced two paradigm shifts: a *functionality shift*, from a tritone-based to a key-based understanding; and later a *centricity shift*, from a notion of specific key relationships to a more abstract notion of centricity versus decentralization. By claiming this, I place the changing conception of mutability into the context of Western harmonic theories of the last several centuries. I wish not only to show the crucial dependence of this theoretical construct on notions of tonality, mode, and harmony as they were developed by Western musical thinkers over hundreds of years, but also to highlight, by juxtaposing them with other harmonic and tonal notions, mutability's unique conceptual contributions to the history of musical thought.

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[64] "As many of Yavorsky's ideas and formulations were absorbed into mainstream theory, they became distorted, either because individual theorists chose to disregard the original meaning and context of the constructs, or they chose to reconfigure the constructs to suit their needs" (Zavlunov 2010, 429).

A note on terminology

Peremennost', a noun, originally appeared in the adjectival form *peremennyĭ* (changeable or mutable) in the writings of Yavorsky; the term was made into a noun only by later theorists. The term *peremennyĭ* has been translated into English as *variable* (in McQuere 1978 and 1983) and *mutable*.[65] The expression "mutable center," which I am introducing, is analogous to *tonic* in tonal theory. The difference is that in mutability, due to the multiple centers inherent there is always more than one such center, whereas there is only one tonic in any key, y.[66] In Russian, the term *peremennyĭi tsentr* (mutable center) is somewhat close to *ustoĭ*, a term that defies direct translation and that originates in the word *stoiat'* (to stand); the nearest match of *ustoĭ* is *stability*, which is an accepted English version of *ustoĭ*. However, in many contexts, as we will see, the term *ustoĭ* is closer to center or even tonic.

Monotonality: A brief historical survey

The theory of mutability, at least at its later stages, beginning with Leo Mazel (1937), is part of the theory of tonality. Therefore, the understanding of mutability is inconceivable without an awareness of the principal concepts of tonal theory. What follows is a brief history of theories of tonality, with the purpose of highlighting and problematizing theoretical constructs important for this study of mutability: the concepts of mode and modality, tonal gravitation, and tonic. An understanding of the historical theories is important not only for a general knowledge of the concepts, but also because of the continuity between nineteenth-century theories and the notion of mutability in twentieth-century Russian musical thought.

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[65] See Zavlunov (2010, 421) on the history of the term and its translations.

[66] Zavlunov (2010) uses "gravitational center," which, in my opinion, is too general: it can refer equally well to tonality, mutability, and modality, if we admit that modal music possesses some kind of gravitation.

Traditionally, tonality in Western theory has been mostly understood as monotonality, i.e., a pitch system with a single controlling tonic. As Arnold Schoenberg said, "According to this principle [of monotonality], every digression from the tonic is considered to be still within the tonality, whether directly or indirectly, closely or remotely related" (Schoenberg 1969, 19). Though various writers on tonal music express the idea in different ways, the presence of a single tonal center in any tonal piece has been universally accepted. Pieces that seem to violate this rule (for example, those that begin and end in different keys) are usually analyzed in such a way as to show one key as subordinate to the other.[67]

The notion of tonality is inextricably tied to the idea of center, or a referential sonority. This has been so since at least Rameau, who, in his *Génération harmonique* (1737), wrote that the tonic (*ton régnant*, in his terminology) "must be seen as the center of the mode, towards which are drawn all our desires."[68] Thomas Christensen (1993) has proposed that Rameau's idea of centricity originated in the Newtonian theory of gravity, which was disseminated in France at the time when Rameau was active as a theorist. The idea of gravity or attraction later is closely connected to his spatial model of relationships among the principal harmonies in a key: tonic (the center), dominant (the harmony a fifth above the center) and subdominant (a fifth below the center).[69]

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[67] Schenker's concept of *Hilfskadenz*, or auxiliary cadence, is one of the ways to subordinate one of the seemingly independent keys to another in analysis. See Schenker (1979, 88–89) and Burstein (2006) on the auxiliary cadence, and Burstein (1988) on non-tonic openings. Some recent studies, which will be discussed at the end of this chapter, have proposed the possibility of two equal tonics at the highest structural levels (for example, Robert Bailey, Christopher Lewis, and others).

[68] Rameau, *Génération harmonique*, 109; quoted from Christensen (1993, 189). Christensen then writes: "Rameau's description of tonal attraction is very much like this popular characterization of gravity." It must be noted that Rameau himself does not use the terms gravity and attraction; but his ideas, as Christensen convincingly shows, indeed seem very close to the contemporaneous physical theory.

[69] These are the abstract relationships of the fundamental bass tones taken outside of registral space.

In the nineteenth century, Francois-Joseph Fétis (1844) explicitly adopted the idea of attraction, connecting it to the *appellative consonance*, the tritone formed by scale degrees ^4 and ^7 that strive toward a resolution in the degrees ^1 and ^3. The essence of tonality, to Fétis, is the interrelationship between the intervals of attraction (which may be called unstable) and intervals of repose (or stable).[70] Rameau's theory of harmonic relationships found another follower, Hugo Riemann ([1893] 1989), who developed his theory of tonal functions based on tonic-subdominant-dominant relationships. In this system, primarily concerned with chord identity, every harmony represents one of the three principal triads either directly (i.e., T, S, or D) or indirectly, such as *Dominantparallell* (Dp), *Subdominantparallell*, and so forth.[71] Brian Hyer (2002) discusses various approaches to the idea of tonic, all of which include ideas of either center or control of some kind.[72]

By concentrating on the idea of tonic and tonal attraction, I do not suggest that all the theories equally strongly posit the dominance of monotonality. In fact, some theorists of the nineteenth and twentieth centuries rejected the necessity to begin and end a piece in the same key.[73] Even Schoenberg, in *Harmonielehre*, said that returning to the initial key was not an internal necessity by the end of the Romantic era. And yet, the idea of tonic itself suggests that, on some fundamental conceptual level, tonal music assumes the controlling presence of a single center, even if the history of music gradually led away from the absolute necessity of the same key at the beginning and end of a piece.

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[70] Fétis, (1844) 2008, chapter 2. See especially his summary of the principles of tonality on pp. 22–23.

[71] An important predecessor of Riemann is Moritz Hauptmann, who also places his dominant and subdominant symmetrically around the tonic, all three producing a unity of a higher order, in Hauptmann's dialectical terms. Hauptmann (1853) 1991, 10–13.

[72] *Stufentheorie*, a theory that found its first systematic expression in Gottfried Weber's writings (1817–21) and that is usually contrasted with functional theory, is somewhat less concerned with the idea of center, since this theory's referential concept is a scale rather than the central position of any single harmony. This theory, however, also relies on the primacy of the tonic among other harmonies simply by assigning it Roman numeral I.

[73] One such theorist is Felix Draeseke, one of the thinkers of the New German School. See Kinderman and Krebs 1996, 2–3.

One issue deserves special attention with regard to the theories discussed above: the structure of the tonal center itself. A crucial question is just what a center is exactly, whether tonal or mutable: is it a tone, an interval, or a harmony (and if so, what kind of harmony—a triad or something else)? Hyer, in his historical overview of tonality, begins his discussion with a general definition of tonality as "orientation of melodies and harmonies toward a referential (or tonic) *pitch class*" (Hyer 2002, 726; emphasis mine). His answer to my question seems remarkably straightforward. Yet even in the theories Hyer himself discusses, one finds different views of the tonal center. Fétis, for example, speaks about *intervals* of attraction and repose, focusing on the nature of the appellative consonance (the tritone) and the intervals of repose (the octave, the fifth, and the third as resolution of the tritone), although triads are also important for him. In contrast, Riemann concentrates exclusively on chords, *Klänge*, rather than intervals: the whole theory of tonal functions rests on the primacy of the three principal triads T, S, and D.[74]

Carl Dahlhaus (1990) offers a detailed comparison of Riemann's and Fétis's theories of tonality. The comparison may be summarized in the following points: (1) Riemann relies on mathematics and acoustics, while Fétis does not; (2) for Riemann, tonality rests on the relationships of the three functions – tonic, subdominant, and dominant, while for Fétis it rests on the contrast of triads and seventh chords; (3) Riemann is interested in harmonies, while Fétis is interested in the scale formed by individual tones; and (4) Riemann attempts to find a universal law for tonal organizations of all kinds, while Fétis admits that different rules can control different types of tonality (transitonic, pluritonic, and so on). Dahlhaus's third point is crucial for our present concern: for Riemann, every tone represents a certain triadic harmony, i.e., it is not an individual phenomenon, but always part of the system of tonal relationships. For Fétis, on the other hand, tone relationships are primary, the basis for harmonic relationships (Dahlhaus 1990, 7–13).[75]

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[74] Though Riemann is concerned with chords, he relies on intervals to a certain degree as well. In the Introduction to his *Vereinfachte Harmonielehre*, he quotes Hauptmann on "directly intelligible intervals" – octave, perfect fifth, and major third. See Riemann (1893) 1989, 6.

All of the questions discussed so far may have an exclusively theoretical meaning when speaking about common-practice music. After all, however Riemann or Fétis defines the tonic and other chords in tonality, anyone with sufficient listening, performing, or analytical experience in tonal music knows what a tonic "feels like" and how the tension between tonic and non-tonic chords sounds. Theoretical explanations are important for conceptual system-building, but do not always directly relate to auditory experience.[76] When it comes to mutability, however, all of these questions receive a much more concrete significance. In some theoretical works, to be discussed shortly, the difference between tonality and mutability is in just what kind of music they strive to explain. Writers on mutability have used the term to describe monophonic and heterophonic folk music; church music, which employs chords, but not always in tonally normative ways; and finally classically oriented Russian music that possesses certain features of mutability—that is, music that has more than one tonal center. Therefore, the question "is a mutable center a pitch, an interval, or a chord?" directly relates to the specific musical style we talk about, and how this style is related to classical tonality.

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[75] At least one other important view of the tonic should be mentioned, that of Heinrich Schenker. In *Free Composition*, he speaks about the chord of nature (the major triad); for him, then, the central sonority of tonal music is also a chord, a harmony. But his idea of structural levels allows for the possibility that, at the absolutely deepest level of reduction, the tonic triad represents a "composing-out" (very abstractly), an acoustical unfolding of the central tone, the tonic *pitch class*. (This, of course, dos not hold true for minor triads.) An important recent study of tonality that (partly) relies on Schenker is Matthew Brown (2005).

[76] Alexander Rehding (2011, 111) emphasizes that theories of tonality always go "beyond a particular musical style, period, or historical epoch"; the relationship between tonality as a concept and the specific music it is designed to explain is thus not straightforward. On the other hand, "all approaches to tonality have an inherent historical narrative" (112). In this regard, mutability is truly part of theories of tonality, for the notion of mutability also relates to specific repertoires in complex ways, and questions of historical development of music are indispensable for mutability.

Here we come to another concept that, according to some authors, mediates between tonality and mutability, namely modality. To contrast Riemann's conception of tonality (influential on Russian theorists) with the medieval and Renaissance understanding of modes, Dahlhaus is helpful once again. He devotes a considerable section of his book to a comparison between major/minor tonality and modality of the pre-tonal era. Dahlhaus posits that "the Ionian mode is an octave species but C major is a system of functions" (Dahlhaus 1990, 154). He then elaborates on the idea that modes are constructs based on relationships of tones, while keys rely on functions, and therefore chords. Yuriĭ Kholopov, to be discussed later, offers a similar idea about modality versus tonality. With both Dahlhaus and Kholopov, the idea clearly originates with the fact that modal theory began to be developed in the Middle Ages based on monophonic Gregorian chant.

The notion of mode, and the term itself, is at once a confusing and a clarifying conceptual force for an understanding of mutability and its relationship to tonality. On the one hand, with regard to Russian theory, Ellon Carpenter stresses that the concept of *lad* (mode) in Russian theory is extremely broad and does not have an exact English equivalent (Carpenter 1995, 76–7). On the other hand, one finds some rather broad conceptions, whether or not termed *mode*, in Western theories as well. Hyer (2002, 727-28), for example, shows that the term *tonal* can refer to very different phenomena, such as the modes of Indonesian music, Arabic music, Western ecclesiastical modes, classical tonality, and many others. In this sense, then, *tonal structure* in English approximates the Russian *lad*. Harold Powers, in his *New Grove* article on mode, writes: "to attribute mode to a musical item implies some hierarchy of pitch relationships" (Powers

2001, 776). This criterion is also very broad; it includes modes of traditional as well as twentieth-century music. In fact, it includes tonality too. Further, concentrating on modes in early Western and non-Western musical cultures, Powers distinguishes between two views of mode: (1) a scale-based and structural view, often including symmetrical constructions and used for the classification of melodies, and (2) a melody-based and motivic view, which is more flexible and often inherent in a particular musical practice.[77] For my present purposes, let us adopt a relatively narrow understanding of modality as a system of hierarchical pitch relationships that historically precedes tonality, and thus relies on melody more than tonality does.

Based on these distinctions, it would seem logical if, whenever a writer discusses mutability in a monophonic folk song, he or she will rely on scales or modes, as opposed to keys, and a tonic will mean a single tone; or, when we talk about chordal music, a tonic will be referred to as a tonic triad. To a certain degree, this is indeed so. But, in the following survey, we will see that inconsistencies occur, and that some of the theories represent a fusion, often unconscious on the writer's side, of tonal and modal conceptions, which mix together regardless of the musical style under scrutiny.

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[77] See Powers (2001, 776–77). Both of Powers's categories pertain directly to theories of mutability, especially to Yavorsky, whose symmetrical modes (to be discussed shortly) unequivocally belong to Powers's first category, and to Kholopov, who combines both of Powers's types into a single concept of *modality*. Dahlhaus's definition of mode, given earlier, clearly belongs to Powers's first type.

Mutability: A survey of conceptual development

As part of the theory of tonality (at least after Yavorsky), theories of mutability focus on the idea of center and gravitational pull. In a very general sense, the difference between traditional Western tonality and mutability is simple: the former contains one center, or tonic, and the latter contains more—whether two or more than two is a separate question, to be discussed below. The result is most often described by Russian theorists as either a rivalry or a fusion of two tonics (which I call mutable centers) of equal or nearly equal status.

Zavlunov (2010, 439) gives the following general definition of mutability: “Mutability consists of free vacillation within the confines of the diatonic collection, whereby two of its pitches—first and sixth scale degrees within the major-mode collection—can in turn serve as primary gravitational centers that carry equal or nearly equal weight.” Taking this remarkably concise and rather narrow definition as a starting point, let us trace the development of the concept from its origin to its present understanding.

Boleslav Yavorsky and Sergeĭ Protopopov:
Mutability and symmetrical modes

Boleslav Yavorsky (1877–1942) was a music theorist, composer, and pedagogue active approximately between 1900 (he graduated from the Moscow Conservatory in 1903) and 1940.[78] He published several theoretical works, the most important of which is *Stroenie muzykal’noĭ rechi* (The Structure of Musical Speech) (1908). It is in this book that his theoretical system, known as *teoriia ladovogo ritma* (the theory of modal rhythm), was first presented. He later

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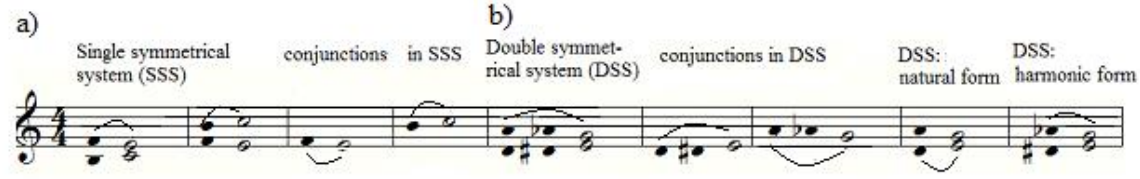
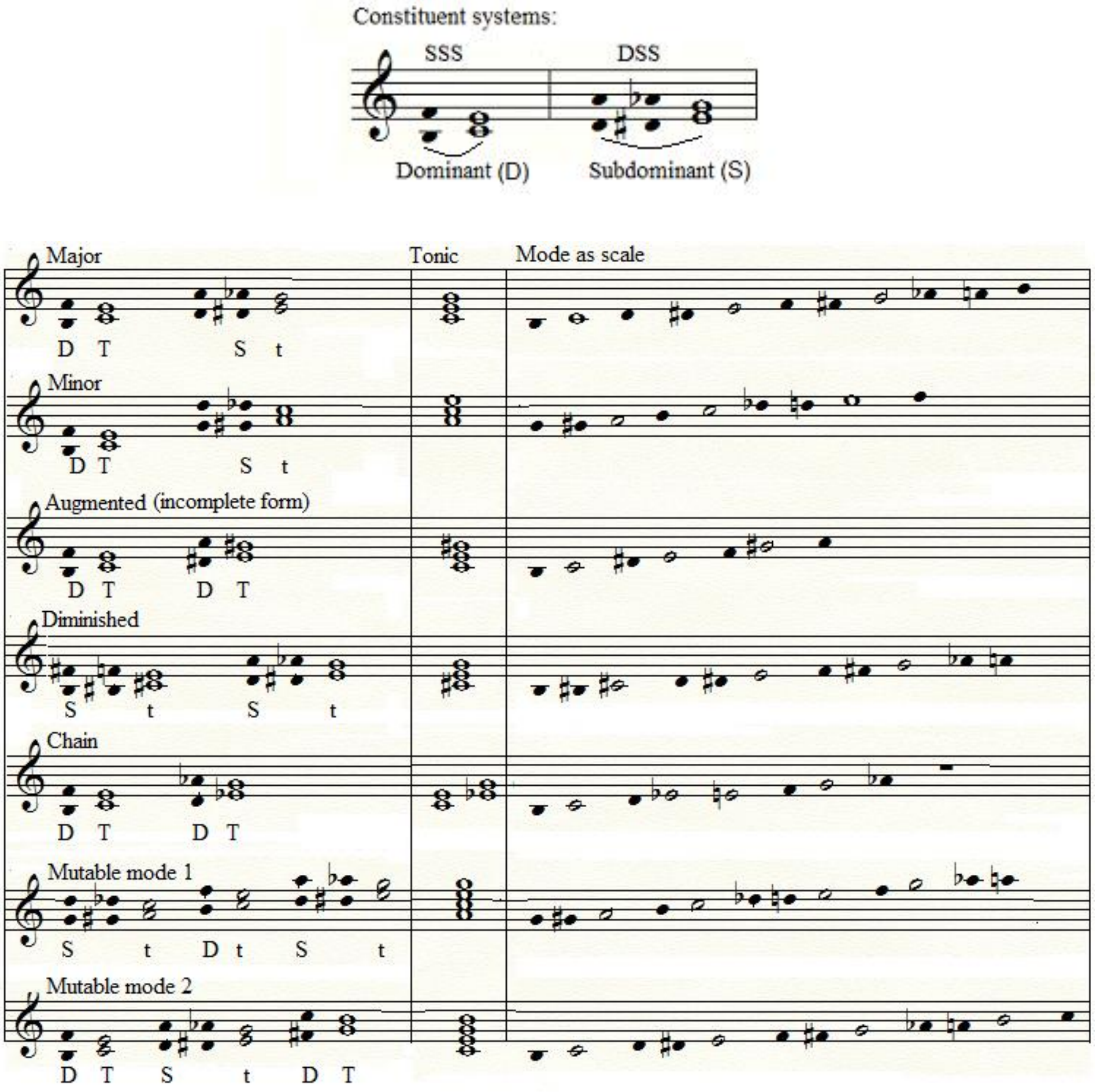
[78] On the life and work of Yavorsky, see the entries on Yavorsky in Keldysh (1973–82, vol. 6, 608–10) and Akopian (2010, 710–11).

Example 2.1. Yavorsky's symmetrical systems


a)
Single symmetrical system (SSS)
conjunctions
in SSS
b)
Double symmetrical system (DSS)
conjunctions in DSS
DSS: natural form
DSS: harmonic form

Example 2.2. Yavorsky's simple modes. Schemes based on Sergeĭ Protopopov (1930), Gordon McQuere (1983), Daniil Zavlunov (2010), and Philip Ewell (2012). Open noteheads designate stable tones (tones of the tonic chord), closed noteheads mean unstable tones.


Constituent systems:
SSS
DSS
Dominant (D)
Subdominant (S)
Major
Tonic
Mode as scale
D T S t
Minor
D T S t
Augmented (incomplete form)
D T D T
Diminished
S t S t
Chain
D T D T
Mutable mode 1
S t D t S t
Mutable mode 2
D T S t D T

applied the theory to music pedagogy in several other works.[79] The theory of modal rhythm was extensively used by Yavorsky's student Sergeĭ Protopopov (1893–1954) in his book *Elementy stroeniia suzykal'noĭ rechi* (Elements of the Structure of Musical Speech) (1930), which systematically presents Yavorsky's theory.[80] In my own discussion, I do not separate Yavorsky's and Protopopov's ideas on this subject. Since the mutable modes are part of the theory of modal rhythm, I begin with a brief survey of this theory.[81]

The general idea of Yavorsky's theory rests on two basic concepts of pitch organization—the single symmetrical system and double symmetrical system (henceforth SSS and DSS), both of which are presented in Example 2.1. A single symmetrical system is a tritone that resolves inward to a major third or outward to a minor sixth (Example 2.1a). A double symmetrical system, in its complete form, is a perfect fifth that resolves inwards through a doubly diminished fifth to a minor third (Example 2.1b).[82] A DSS can be presented in its complete form, natural form (the fifth directly goes to the minor third), or harmonic form (only the doubly diminished fifth with its resolution to minor third remains). Furthermore, the tritone in the SSS has the function of dominant, and the fifths (or diminished fourths) in the DSS that of subdominant, while the minor and major thirds that serve as resolutions express the tonic function.[83]

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[79] *Uprazhneniia v golosovedenii* (Exercises in Voice Leading, 1913) and *Uprazhneniia v obrazovanii ladovogo ritma* (Exercises in Modal Rhythm, 1915). See McQuere 1983 for a fuller account of Yavorsky's life and work. The word *rhythm*, in this context, means "the unfolding of musical speech in time; the crucial factor of this unfolding is, for Yavorsky, the gravitation of unstable sonorities to stable ones." See V. Tsukkerman's article on modal rhythm in the *Muzykal'naia Entsiklopediia* (Keldysh 1973–82, vol. 3, 143–46.)

[80] Protopopov's *Elements* are translated by Gordon McQuere (1979). See Zavlunov (2010, 423) for a more extensive list of sources for the theory of modal rhythm. One can also have a glimpse of the theory from Yavorsky's published letters and memoires (Yavorsky 2008, for example), but these never expose his theoretical ideas in any systematic way.

[81] The theory of modal rhythm has received excellent summaries in English-speaking scholarship; some of these include Gordon McQuere (1983) and Philip Ewell (2012). Since these summaries, in my view, explain Yavorsky well, my aim here is not to say anything new about his theory as such, but rather to place it among the concepts I am exploring here, such as mode, centricity, and the structure of tonic.

[82] It might be surprising that a perfect fifth needs to be resolved. For Yavorsky, in the context of the DSS, this interval is a sum of two tritones a semitone apart from each other, and thus it is relatively unstable.

On this basis, Yavorsky builds various modes, given in Example 2.2, all of which represent combinations of single and double symmetrical systems.[84] The simplest combination is that of one SSS and one DSS; if the SSS is on the bottom, the mode is major (Example. 2.2a); if it is on the top, the mode is minor (Ex. 2.2b). The augmented mode (2.2 c) consists of two SSS's whose lowest notes are a major third apart; the diminished mode (2.2d) contains two DSS's a minor third apart; and the chain mode (2.2e) combines two SSS's whose lowest notes are a minor third apart. Finally, the two mutable modes, first and second (Examples. 2.2 f and g), contain three systems, not two.[85] In the first mutable mode, a SSS is framed by two DSS's, and the tonic, a four-note combination (which Protopopov explicitly calls a seventh chord), is a major third surrounded by two minor thirds.[86] In the second mutable mode, a DSS is framed by two SSS's, and in the tonic, a minor third is surrounded by two major thirds.[87] The general principle of mode formation, in Yavorsky's own view, applies to all music universally, and thus includes tonal, pre-tonal, post-tonal and folk music.[88] The repertoire of the mutable modes is European folk and liturgical music (Protopopov, 109).[89]

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[83] The functions, as well as the tonal origin of these terms, will be discussed separately below. Protopopov (1930, 99–100) calls the functions "moments": the tonic is a stable moment, while the dominant and subdominant are unstable moments (when taken separately) and connecting moments (when taken together). As regards Example 2.1, Protopopov offers two more forms of a DSS, which he calls fourth and fifth, each of which omits one of the tones of a complete DSS (Protopopov, 100).

[84] This examples is not borrowed from Yavorsky's and Protopopov's works; it represents a combination of several sources, in particular McQuere (1883), Zavlunov (2010), and Ewell (2012).

[85] In most, but not all of Yavorsky's modes, the intervals forming the tonic sonority share a common tone with each other. For example, in the augmented mode (Example 2.2c), the two thirds C–E and E–G sharp that form the tonic share the tone E. Protopopov gives a definition of every mode where he specifies whether such a common tone is or is not present.

[86] The four-note tonic sonority in each mutable mode may look like two interlocked triads, one major and one minor Such a partitioning, however, would misrepresent Yavorsky's theory; for him, each tonic represents a sum of intervals, rather than a sum of triads.

[87] Yavorsky's system of modes also includes more complex structures—the duplex modes, formed of duplex single and duplex double systems, which I do not show here. McQuere (1983, 118–120) gives a good summary of duplex modes.

The mutable nature of the two mutable modes resides in the internal registral relationships of tones within each mode. In mutable mode 1 in Example 2.2, for instance, the tones G and A occur twice. The lower G is unstable and gravitates upward toward the stable A. The upper A is unstable and gravitates downward toward G. This happens because the Yavorsky/Protopopov system rejects octave equivalence of function, at least in folk music. Protopopov writes: "[I]f the melody exceeds an octave, the pitch collection of a folk song *cannot be determined* based on the pitches that occur within one octave" (Protopopov 1930, vol. 2, 3; emphasis mine). Thus, the mode is not octave-equivalent in terms of function: the same tone is stable in one octave and unstable in another. This changeable nature of tone function depending on its registral position is the defining characteristic of the mutable mode. Example 2.3a shows an instance of a mutable folk song analyzed by Protopopov. He explains that four stable tones are present: D flat 4, F 4, A flat 4, and C5, the latter tone being stable because it does not gravitate upward to D flat 5 (which would be the case is the C4 was used below Dflat4). Example 2.3b shows the mode formation in this song—the symmetrical systems and the tonic.

The principle of gravitation, which, as I have shown, was first implied by Rameau and later adopted by Fétis, bears great importance in Yavorsky's theory. Yavorsky's innovation is that he applies this idea strictly to single tones and intervallic relationships, but never to chords. To verify this, let us look once again at Example 2.1, which shows the interaction between

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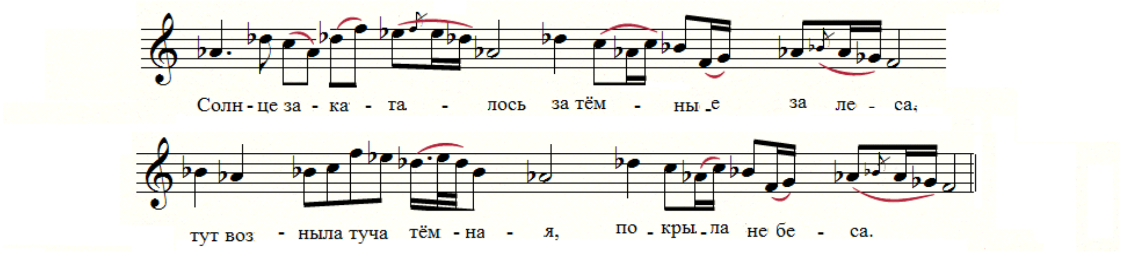
[88] See McQuere (1983, 109) on the supposed universality of Yavorsky's theory.

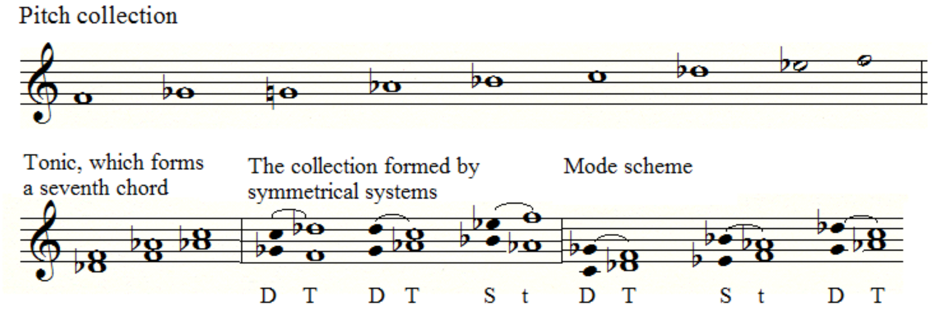
[89] Although the modes themselves in Protopopov's books develop those of Yavorsky, the latter does not mention, in his 1908 work, that the mutable modes are characteristic specifically of folk repertoire; this idea seems to be Protopopov's own (provided it didn't circulate in Yavorsky's teaching—as opposed to publications—which is possible too).

Example 2.3. Example of mutable mode 2. From Protopopov (1930, Volume 2, 51)

a) Russian folk song "Solntse zakatalos'," from the song collection of M. Balakirev.


Солн - це за - ка - та - лось за тём - ны - е за ле - са,
тут воз - ныла туча тём - на - я, по - кры - ла не бе - са.

b) Formation of mode in "Solntse zakatalos'"


Pitch collection
Tonic, which forms a seventh chord
The collection formed by symmetrical systems
Mode scheme
D T D T S t D T S t D T

unstable (closed note heads) and stable (open note heads) tones. What he calls a *sopriazhenie* (conjunction) refers to the resolution of an unstable tone to a stable one, which is one semitone (in a SSS) or two semitones (in a DSS) away from it. This semitonal relationship between stable and unstable pitches is precisely what constitutes gravity for Yavorsky. Taking these semitonal relationships—the conjunctions—as a single voice results in the gravitation of one tone toward another (for example, F to E, or B to C). Taking two conjunctions in two voices at the same time results in the gravitation of one interval toward another.[90]

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[90] Gravitation among individual tones is strongly emphasized in one of Yavorsky's letters to his teacher, Sergeĭ Taneev, from 1906. Yavorsky writes: "The pitches of resolution are totally *free, independent*. A destabilization of tonal stability, through a motion of a free pitch to a tritone tone joined to it, as well as *re-stabilization of tonal balance* through a motion of a tritone pitch to a free pitch joined to it. . .forms the first *primary intonation of the human voice* (statement, response)" (Yavorsky 2008, 7, emphasis his). Though this explanation may seem complicated, the complication is resolved when Yavorsky's terms become clear. By "a motion of a free pitch to a tritone tone joined to it," he means the attraction of unstable tones to stable tones. His explanation manifestly favors interaction between individual tones over interaction of chords (which he does not mention at all in this letter).

The tritone, with its gravitation toward a major third, is, of course, the same as Fétis's appellative consonance, and the reliance on intervals, as opposed to chords, is a major similarity between Fetis's and Yavorsky's theories. A difference here is, however, that Fétis strives to explain tonal music, and therefore ultimately looks upon a tonic as a consonant sonority. The gravitation of Yavorsky's tritone in a SSS does not necessarily point toward the tonic triad of a key; it points toward an interval that, in various modes, will be a part of different kinds of tonic collections, for example a diminished triad in the tonic of the diminished mode (see Example 2.2).[91]

The question of tonality versus modality, as well as the closely related question of function, is given little explicit attention in Yavorsky's theory, but can be reconstructed from his and Protopopov's writings. With regard to the previously examined views of mode and tonality, Yavorky's modes can be seen as falling into Powers's category of abstract modes as scales (see the discussion of Powers above). It is true that Yavorsky never writes his modes as actual scales or collections, but rather as combinations of symmetrical systems. The result of every such combination, however, is ultimately a pitch-class collection, and the focus on symmetrical structures further confirms their place in Powers's first, structure-based understanding of mode (as opposed to the second, motive-based understanding). As for the status of tonality, major and minor modes are part of Yavorsky's system. One can view tonality in Yavorsky as part of the universe of symmetrical modes.[92]

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[91] In his *Elements*, Protopopov actually talks about chords (the triads and seventh chords), not only intervals. His view of chords, however, is, in a way, intervallic too: a triad, for example, is a combination of two thirds. See McQuere (1979, 118–28). Moreover, Yavorsky does not directly discuss harmonic roles of chords, while he does explore such roles of the intervals within the modes. To be sure, he assigns functions such as S or D to chords, but these functions are always grounded in the function of a tritone and its resolution—i.e. the symmetrical systems—and not in the inherent quality of a triad.

[92] That tonality is part of the universe of the symmetrical modes is shown in some of Protopopov's unpublished analyses of tonal music, for example Chopin, where he uses a separate staff above the music to show symmetrical

Gravity, ensured by the presence of SSS's and DSS's for Yavorsky, works with an equal force in all kinds of modes, including major, minor, and mutable, and so do the functions of tonic, dominant, and subdominant (see Example 2.1).[93] Though Yavorsky borrows these terms from tonal theory, he does not retain their tonal meaning, except in one mode—major (Ex. 2.2a). Here, the tritone of the SSS is part of the traditional V7 chord (which he does not discuss, but whose existence he presumes), and the fifth of the DSS is part of what Rameau calls *cadence imparfaite*, involving IV with an added 6th and I, as well as subdominant chords in other tonal theories.[94] Outside of the major mode, however, Yavorsky transfers the meaning of the functional terms to other modal contexts, regardless of where the D or S function is located within the mode.[95]

The theories of Yavorsky and Protopopov are important with regard to mutability because term mutable (peremennyĭ) originated in their work and because other theorists, such as Mazel, refer to Yavorsky when they borrow the term. In my own theoretical and analytical work below, however, Yavorsky's ideas are less instrumental than those by later writers. Since I am concerned more with the role of mutability as related to tonality, rather than with Yavorsky's tritone-based system, I will refer to Yavorsky's work only occasionally.

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systems and how they create tonal structure. These analyses are held in the Glinka Museum in Moscow, Russia. It is important that Kholopov (1988, 414–16) puts symmetrical modes into the category of modality, not tonality.

[93] This is in contrast to Kholopov (to be discussed later), who defines mutability as weakened gravity.

[94] Rameau gives the notion of *cadence imparfaite* (which he had previously called *cadence irregulière*) in his *Génération*: the two chords of the progression—IV with added 6th and I—taken in C major, contain Yavorsky's DSS, i.e. the fifth D–A resolving to the third E–G. See Lester (1992, 116–117).

[95] Indeed, Protopopov (100) speaks about the dominant and subdominant functions in detail only in the context of the major mode, even though this mode is not the first one he discusses.

Leo Mazel and Viktor Berkov:
Mutability and major/minor tonality

Yavorsky and Protopopov wrote their works to develop a new theoretical system, a system that differs strikingly from earlier theories of tonality. Mazel's (1937) and Berkov's (1948) works are quite different in scope and purpose.[96] Mazel's book *Issledovaniia o Shopene* (Chopin Studies) (1937) and Berkov's *Garmoniia Glinki* (Glinka's Harmony) (1948) both have a radically different goal—to analyze the styles of composers, both of whom wrote in the first half of the nineteenth century. Yavorsky tried to create a system that would hold true for all music in the world; his mutable modes, however, are designed specifically for folk and church music. Both Mazel and Berkov, on the other hand, explore what it is that makes the style of a certain composer unique.

Due to the difference in repertoire, Mazel transfers Yavorsky's term *mutable mode* from the realm of (mostly monophonic) folk music into the realm of conventional tonal music and therefore tonal theory and tonal functions. Therefore, Mazel's concept of the mutable mode reveals a crucial change, a paradigm shift in the understanding of mutability, which I would like to call a *functionality shift*. In the section on the modulatory plan of Chopin's Fantasia in F Minor (op. 49), Mazel writes: "The main modal-tonality [i.e., key] of the Fantasia may be naturally considered not merely F minor or A-flat major, but a certain mutable mode f–A-flat (conditional tonic [uslovnaia tonika]), with which an analogous mutable mode c–E flat is juxtaposed in the subordinate group" (Mazel' [1971] 2008, 37). He further clarified his idea:

> Of course, it is necessary to take into account the fact that there is no mutable mode in the strict sense: there are no phrases and progressions that we would need to consider being in such a mode by assigning stable and unstable properties alternately to certain tones.

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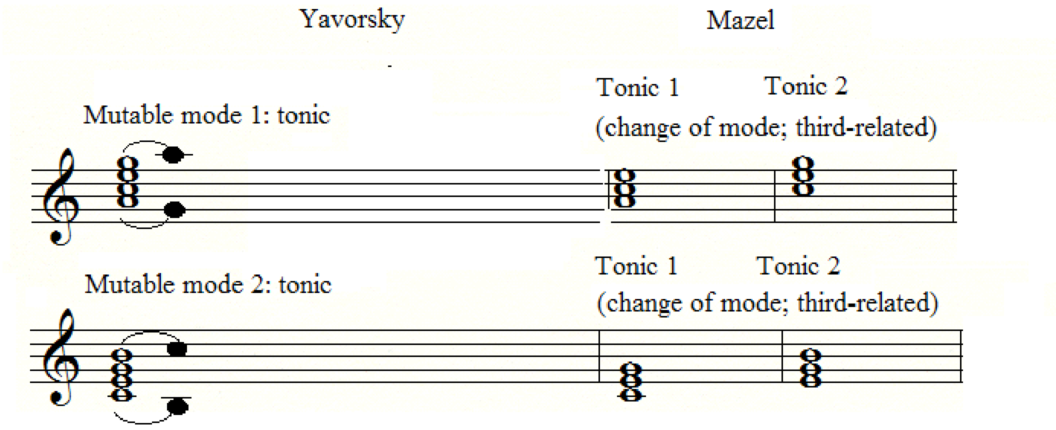
[96] For recent work on Mazel in English, see Zavlunov (2014), a study of the notion of "holistic analysis" (*tselostnyĭ analiz*).

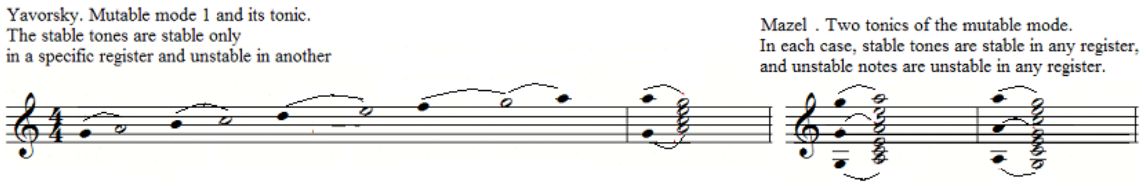
> We are only faced with a certain oscillation between F minor and A-flat major. . . . The term “mutable mode” is used here, therefore, in a broader sense than it is used by the author of the theory of modal rhythm [i.e., Yavorsky]. (Mazel’ [1971] 2008, 38)

Example 2.4. Tonic of mutable modes: Yavorsky and Mazel. It should be noted that this scheme is a model of the mutable modes; each model can have eleven transposition levels.



Although Mazel specifies that by mutability he does *not* mean a changing function of specific tones, in fact such a changing function does exist in his mutable mode, though not in Yavorsky’s sense. Example 2.4 presents my summary of the two views (here, Mazel’s column has been transposed from the four-flat system of Chopin’s Fantasia to the natural system). The example shows Yavorsky’s mutable mode 1, its four-note tonic, and the A–G pair, in which the stable/unstable relationship depends on register (see a detailed explanation in the preceding section). For mutable mode 1, for instance, G is unstable in the lower octave, but stable in the upper octave. Mazel partitions Yavorsky’s single four-note tonic into two interlocked triads that alternate as tonal centers in the course of a composition. Yavorsky’s changing function of the A and G still holds true for Mazel: the tone A can be stable and G unstable, or vice versa. But this function depends on which tonic currently dominates in a musical passage, i.e., on the tonal plan of a work, and *not* on the note’s registral position. For example, if a passage cadences in A minor, G is heard as unstable; if the music modulates to C major, A is unstable.[97] This happens because, as opposed to Yavorsky, Mazel accepts octave equivalence of tone function, which is shown in Example 2.5 by way of octave doublings in both tonic triads.

Example 2.5. Comparison of stable and unstable tones in Yavorsky's and Mazel's mutable modes. Stable tones are shown as open note heads


Yavorsky. Mutable mode 1 and its tonic.
The stable tones are stable only
in a specific register and unstable in another
Mazel . Two tonics of the mutable mode.
In each case, stable tones are stable in any register,
and unstable notes are unstable in any register.

Approximately a decade after Mazel, Berkov (1948) brings up the mutable mode in his book on Mikhail Glinka. Berkov's subject is a nineteenth-century compose, who is often considered to be the founder of the Russian classical tradition. Berkov's goal is to illuminate the characteristics that make this composer unique. The first section, on "Mode," from Berkov's chapter 2, "General questions of harmony," deals with mutability.[98] For Berkov, mutability is among the chief aspects that serve as the defining features of Russian-ness in Glinka. While he generally adopts Mazel's understanding of the mutable mode as part of tonality, Berkov's conceptualization is more precise with respect to relationships between the two tonics and their connections with other notions of mode.

Just as Mazel does, Berkov operates with the concepts of tonality. He acknowledges this fact at the opening of his chapter: "Glinka composed in the era of the unconditional dominance of major and minor" (Berkov 1948, 56). The word *tonality* is not uttered, but it is clear that after this statement he will operate with traditional tonal functions, as indeed he does. The concept of mode, so important to Yavorsky, is still important for Berkov, but he changes its meaning in the following definition of mutability:

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[97] I need to stress that my Examples 2.4 and 2.5 are reconstructed from Yavorsky's, Protopopov's, and Berkov's writings; Berkov does not compare his understanding of tonic in mutability with Yavorsky's and, in fact, never mentions Yavorsky's name.

[98] Berkov uses the term *mutability* in the nominative form for the first time. I remind the reader that Yavorsky and Protopopov speak of *mutable modes,* and use the adjectival form of the word.

> By mutability of modes, we understand the change of mode within a single closed structure, for example a period, and the tonics of both modal-tonalities must be expressed clearly enough. Mutability is most completely realized when, in the course of a closed structure (a period) a change of mode happens *multiple times*, and, as a result, a sense of ambiguity is created: the modes equally, or almost equally, claim supremacy. (Berkov 1948, 60, emphasis his)[99]

So, in this instance mode means major or minor, the two types of mode in tonal music. Yavorsky's tritone-oriented symmetrical notion of mode is totally absent. The notion of tonic also changes. Though Yavorsky and Berkov both use the word "tonic," Yavorsky's tonic may include various numbers of tones (see Example 2.2), while Berkov's (and Mazel's) tonic is, or at least points to, a consonant triad, as it does in all tonal theories.

A further unpacking of Berkov's definition reveals an important point implicit in his wording. Mutability involves two tonics of different mode—minor to major or, especially, major to minor—and therefore excludes relationships by perfect fifth, from which (provided it is diatonic) same-mode tonics would result.[100] Indeed, in Berkov's analyses, a shift of center by a diatonic third (usually the relative relationship) is consistently called *mutability*, while a shift by fifth is consistently termed *modulation*. In three different examples from Glinka—one of which, a number from the opera *A Life for the Tsar,* is shown as Example 2.6—Berkov shows this distinction:

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[99] The term *modal-tonality* (ladotonal'nost') means *key* in this context; it is Yavorsky's term, which both Mazel and Berkov borrow from him without changing its meaning.

[100] Berkov seeks to differentiate Glinka's inherently Russian, as he insists, style from Western classical tonality, for which fifth-relationships are crucial. Zavlunov (2010, 434) notes that, due to a heightened interest in specifically Russian music, an interest stimulated in mid-twentieth-century Soviet thought for political reasons, mutability was problematically regarded as a strictly Russian folk stylistic feature at this time. Interestingly, Yavorsky's mutable mode 2 never appears in either Mazel or Berkov, although theoretically it is part of Berkov's definition, i.e., the idea that change of mode from major to minor or vice versa constitutes mutability. However, Berkov does not distinguish between mutable modes 1 and 2; for him, any relation by third involving a change of mode (minor to major or vice versa) is mutable.

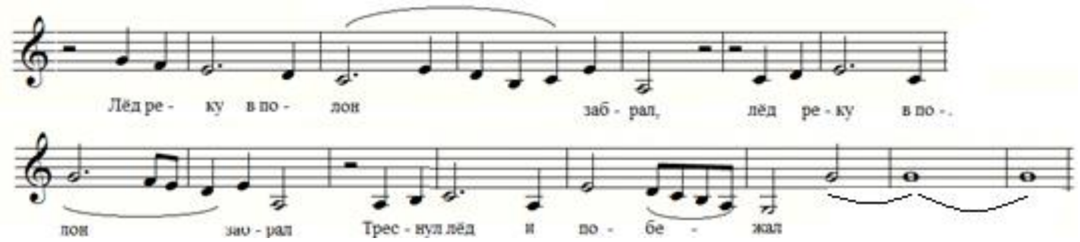
> At the beginning, this song is given as monophonic, later—with orchestral accompaniment. This way, later in the song, we can compare our own unintentional inward harmonization of the monophony with Glinka's harmonization. The basis of this song's harmony is the mutability between C major and A minor, the fluctuation between the two relative tonics. The song ends with the dominant of C major. (Berkov 1948, 61)

Two other statements display the conceptual nature of mutability for Berkov:

> After the appearance of the relative minor (in the form of a one-measure-long tonicization), a concluding modulation to the key of the opening major's dominant follows. [About another example, also from *A Life*; 61.]

> In all three examples, the relative minor, which, with the opening major key, forms the phenomenon of mutability of modes, is part of the internal development of the musical thought, while the abovementioned key of the dominant is at the end of the whole structure. (62)

Example 2.6. Berkov (1948, 60–61), an example of a mutable excerpt. (Mikhail Glinka, A Life for the Tsar, act 1, chorus)


Лёд ре - ку в по - лон заб - рал, лёд ре - ку в по -.
лон зао - рал Трес - нул лёд и по - бе - жал

These excerpts clearly show that (1) a single tone, even in a monophonic passage, always presumes potential harmonization, and therefore a mutable center (or tonic) is a harmony (usually a triad) and not a tone; (2) that mutability of third-related centers participates in the functional dynamics (T, S, and D) and modulatory motions of tonal music; and (3) that third-related and fifth-related tonal centers are categorically different kinds of relationships. In other words, Berkov explains mutability as a kind of tonality, a tonality in which the classical modulatory motion from a major key to its dominant is, at certain points in time, replaced with a third-related motion to a minor key.[101]

To summarize the difference between the views of mutability so far: The origins of Mazel's and Berkov's tonally oriented thinking ultimately go back to Rameau and other theorists of tonality. Just as for them, tones here imply harmonies that build normative tonal syntax, whether or not this syntax involves mutability. Yavorsky, on the other hand, is interested in the function of the tritone. In a monophonic context, he may assign a function (T,S, or D) to a tone, but they are not chordal functions; they are the functions created by tritones and symmetrical systems. Turning once again to Powers's two-fold definition of mode, Yavorsky's symmetrical systems define his mutability as a *modal* phenomenon (see Power's first, structure-based understanding of mode; Powers 2001, 776), and so does his rejection of octave equivalence for the functions of tones.[102] Mazel's and Berkov's mutability focuses on keys, triads, and modulations, which defines his mutability as a *tonal* phenomenon.

Another important feature of Berkov's mutability is his discussion of diatonic modes. "Let us not forget," he writes, "that we speak about the specific Russian folk mutability. It expresses itself in the process of fluctuation between the ancient diatonic modes, particularly Aeolian and Ionian" (60). Here we find some inconsistency. At the opening of the chapter, Berkov says that the two main modes in Glinka's music are major and minor and that "Glinka almost never uses these [other diatonic] modes in his creative output" (57). If he indeed does not use them, why does mutability refer to diatonic modes and not simply to major and minor? A further question would be: Would such diatonic modes preserve the harmonic concept of mutability, where the tonics are potential or literal chords? The answer to this would depend on the specific examples, since many folk songs, due to their heterophonic texture, have chords that may or may not be interpreted harmonically or even tonally, depending on the analyst's intentions. We may speculate that Berkov had a broader notion of mutability in Russian folk and folk-inspired music, of which Glinka's mutable passages are only a small part, and that such passages somehow combine the linear and modal nature of the folk song with the tonal functionality of nineteenth-century music. How exactly such a combination would work is a problematic question, and Berkov does not seem to answer it.

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[101] This statement is my summary of Berkov's discussion. In fact, his definition of mutability given above (block quotation from Berkov's p. 60) does not exclude a motion from a major key to the key of III (C major to E minor), but all of his examples illustrate only the relative relationship.

[102] Dahlhaus, as well as Kholopov, to be discussed later, both consider systems that reject octave equivalence modal, as opposed to tonal.

Igor Sposobin: Keys, modes, collections

Sposobin's work to be discussed here, *Elementarnaia Teoriia Muzyki* (Elementary Theory of Music) ([1951] 1994), is different in its function and content from both Yavorsky's and Berkov's books: it is a music fundamentals textbook. It neither introduces categorically new ideas, as Yavorsky does, nor focuses on the style of one composer. Instead, it offers an overview of theoretical concepts, beginning from notes and scales; most of this material ultimately pertains to common-practice music, with some emphasis on Russian classical and folk repertoire.

First published in 1951, with several subsequent reprints, *Elementary Theory* is almost exactly contemporary with Berkov's *Glinka's Harmony*. Whether for this or for some other reason, the two books share the primary theoretical basis as regards mutability—the paradigm shift from Yavorsky's tritone-oriented to a tonally oriented understanding of mutability. In Sposobin, the reliance on tonality is expressed in the sequence of material in the table of contents: from mode in general, to major and minor modes and various aspects of tonality, to other diatonic modes (pentatonicism and mutability are included here), which are viewed as, in a way, a branch of tonality. The entire table of contents, in translation, is given as Example 2.7.

Sposobin's definition of mutability is so solidly based on tonality that it makes sense to first give a summary of his explanation of tonality, for which he uses the term "mode." He defines mode as a means of musical expression that "contains two characteristics: 1) tension, and 2) color [*okraska*]." Further explanation clarifies:

> Tensions are produced by various means, among which the relationships between stable and unstable tones of sonorities occupy a significant place.
>
> Color is produced by the pitch position of scale degrees in relation to the tonic, or, more precisely, by the intervals that contain certain degrees of the mode. Two main modes – major and minor. . . – possess opposite colors, which are often compared to light and shadow. (Sposobin 1951, 89)

The next chapter deals specifically with major and minor as the two primary modes of (tonal) music. "By major, we mean a mode in which the stable tones, taken together, form a major triad" (90). The definition of minor is exactly analogous: "a mode in which the stable tones, taken together, form a minor triad" (103). In his discussion of the scale, Sposobin gives upper-case Roman numerals, inherited from the *Stufentheorie* tradition, but at the same time he emphasizes that "tonic, subdominant, and dominant are called the primary scale degrees, because they serve as the basis of the most important chords" (91).[103] The definition of *tonal'nost'* (tonality or key) is the simplest one: a specific pitch position of a mode, either major or minor (93).

We see, first of all, that what he means by *mode* can very well be referred to as *tonality* in the general common-practice sense, and that his theory combines elements of *Stufentheorie* and

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[103] In another contemporaneous book that Sposobin co-authored with three others (Dubovsky et al. [1956] 1987, the so-called *Brigadnyĭ Uchebnik*, Team Textbook) and in which mutability is given a conceptually similar, though less full, explanation, a reliance on functional theory is more apparent. There, every chord in a key is given a functional symbol T, S, or D. So, VII is DVII, II is sII, VI is tsVI, and III is DTIII. As regards mutability, only the relative-mutable mode is given (Dubovsky et al., 201–3). The combination of scalar and chordal understandings of tonality in Sposobin's writings resembles an earlier twentieth-century textbook, Louis and Thuille 1907 (see Schwartz 1982), which generally served as a basis for the *Brigadnyĭ uchebnik*

Example 2.7. Sposobin (1951). Table of contents, without page numbers

Chapter 1	Sound. Its pitch
Chapter 2	Sound. Its Pitch (continued)
Chapter 3	Rhythm. Meter. Tempo
Chapter 4	Intervals
Chapter 5	Chords
Chapter 6	General concepts of mode and its elements
Chapter 7	Major
Chapter 8	Minor
Chapter 9	Intervals and the primary chords of major and minor Resolution of intervals and chords
Chapter 10	Parallel keys. A comparative overview of major and minor. Expressive potential of major and minor. Identification of key in a piece
Chapter 11	Diatonicism. Pentatonicism. Special types of diatonic major and minor. General concepts of some other modes
Chapter 12	General concepts of modulation and key relations Chromaticism. The chromatic scale
Chapter 13	Transposition
Chapter 14	Melodic motion. Dynamic nuances. The concept of texture
Chapter 15	Some information on musical syntax
Appendix A	Abbreviated musical notation
Appendix B	Schemes of conducting gestures
Appendix C	Some musical terms
Supplement on the usage of V.V. Khvostenko's anthology of exercises in elementary theory	

Example 2.8. Types of mutability in Sposobin (1951)

• Relative-mutable mode	In a fixed diatonic collection, the tonic shifts from major to its relative minor or vice versa. Neo-Riemannian **R** relationship.
• Other types:	
• Change of mode sub-type; fixed tonic	With a fixed tonic, mode changes within the major category (major, Mixolydian, and Lydian) or the minor category (minor, Phrygian, Dorian)
• Change of mode; fixed tonic	With a fixed tonic, mode changes from major to its parallel minor or vice versa. Neo-Riemannian **P** relationship.
• Shift of tonic within a fixed collection	In a fixed diatonic collection, tonic shifts by any interval. **Includes** Neo-Riemannian **L** relationship; **excludes R** relationship.

Riemann's functional theory, expressed in the dominating role of the chords I, IV, and V. What is crucially important in his definition of tonic is that it is unambiguously understood as the sum of all the stable tones, and thus a *chord*, not an interval, nor a single pitch.[104] This determines the nature of whatever analyses might follow: any pitch, taken alone, will always point to or imply a complete harmony, related to other harmonies in the mode through what he calls "color."

The issue of mutability takes relatively little space, compared to the two main modes; it is part of Chapter XI, which is on diatonicism and modes other than major and minor. Sposobin considers diatonic modes as sub-types or variants of major and minor; thus, Mixolydian and Lydian are "variants" of major, and Dorian and Phrygian "variants" of minor. As regards mutability, he divides it into two main types: (1) relative mutability, or relative-mutable mode (*parallel'no-peremennyĭ lad*), and (2) mutability "of other types"; see Example 2.8. About the first type, the relative-mutable mode, he says: "as is well known, the kinship of relative major and minor is extremely close. This has determined their fusion into a single modal system" (145).[105] The fusion of the two keys happens "due to a certain equality of tonics," shared pitch collection, and two common tones of the tonic triads (p. 146). His examples, all folk melodies except one by Mussorgsky, are rather similar to Berkov's examples of mutability: they begin in one key and end in the other, such as Example 2.9a, or contain a few shifts between the two tonics.

His "other types" of mutability include several options. Option 1 is a change of mode sub-type with a fixed tonic, illustrated in Example 2.9b. Here, E functions as tonic throughout, and the mode remains the same (minor), but the collection changes from Aeolian to Phrygian, i.e.,

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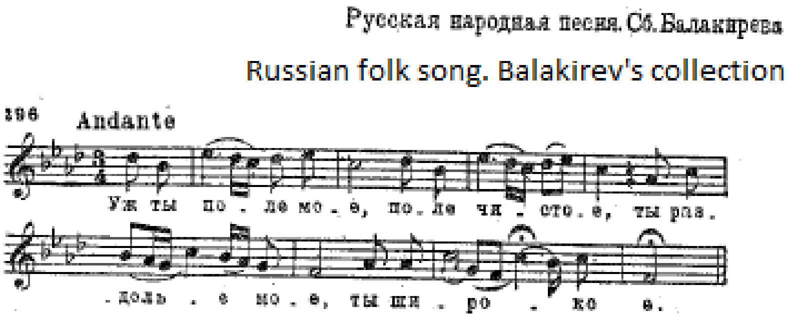
[104] The concept of tonic as the sum of stable tones is similar to Yavorsky (see the tonics in Example 3.2); but Sposobin's tonic, as opposed to Yavorsky's, is always exactly three tones.

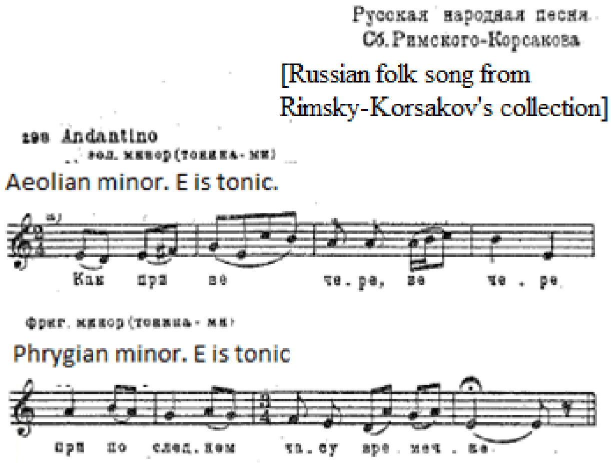
[105] Zavlunov (2010), in his analyses of mutable pieces, calls such a fusion "a two-key mutable system."

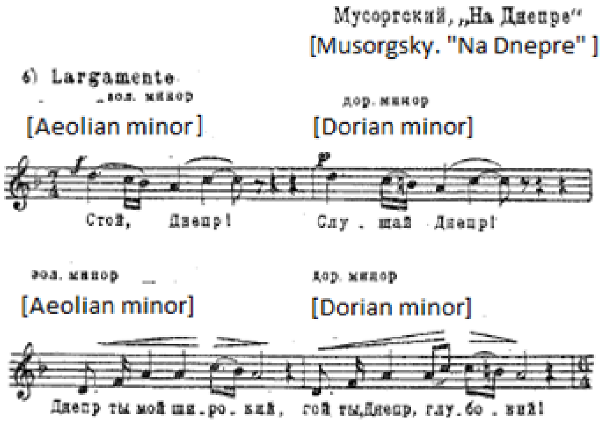
Example 2.9. Examples of mutability from Sposobin (1951)

a) Russian folk song “Uzh ty pole” (Sposobin’s Example 296)

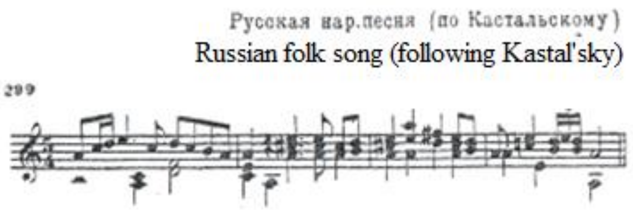

Русская народная песня. Сб. Балакирева
Russian folk song. Balakirev's collection
296
Andante
Уж ты по - ле мо - е, по - ле чи - сто - е, ты раз - доль - е мо - е, ты ши - ро - ко - е.

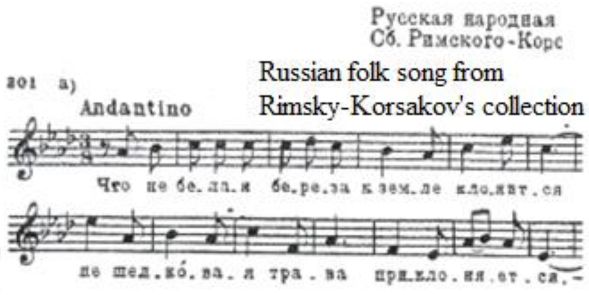
b) Russian folk song “Kak pri vechere” and Musorgsky’s “Na Dnepre” (Sposobin’s Example 298)


Русская народная песня. Сб. Римского-Корсакова
[Russian folk song from Rimsky-Korsakov's collection]
298 Andantino
эол. минор (тоника - ми)
Aeolian minor. E is tonic.
а)
Как при ве - че - ре, ве - че - ре
фриг. минор (тоника - ми)
Phrygian minor. E is tonic
при по - след - нем ча - су вре - меч - ке


Мусоргский, „На Днепре“
[Musorgsky. "Na Dnepre"]
б) Largamente
эол. минор
[Aeolian minor]
дор. минор
[Dorian minor]
Стой, Днепр! Слу - шай Днепр!
эол. минор
[Aeolian minor]
дор. минор
[Dorian minor]
Днепр ты мой ши - ро - кий, гой ты, Днепр, глу - бо - кий!

c) Russian folk song (following Kastal’sky) (Sposobin’s Example 299) and d) Russian folk song “Chto ne belaia berioza” (Sposobin’s Example 301)


Русская нар. песня (по Кастальскому)
Russian folk song (following Kastal'sky)
299


Русская народная
Сб. Римского-Корс
Russian folk song from
Rimsky-Korsakov's collection
301 а)
Andantino
Что не бе - ла - я бе - ре - за к зем - ле кло - нит - ся
не шел - ко - ва - я тра - ва при - кло - ня - ет - ся

from the one-sharp to the natural system. Option 2 is a change of mode from major to minor or vice versa, with a fixed tonic. In Example 2.9c, the mode changes from minor to major and back (the Neo-Riemannian P relationship); the tonic E remains fixed. Finally, option 3 is a change of tonic within a fixed diatonic collection. This type is of the same nature as the relative type, but the tonic shifts by intervals other than a third. In Example 2.9d, it shifts by a fourth down, thus resembling a modulation to the dominant, but implying the Mixolydian mode instead of the key of V.[106]

Sposobin's concept of mutability is fundamentally similar to Mazel's and Berkov's, because it is understood tonally, but allows for more possibilities, such as a change of mode without change of tonic. Sposobin is the first to give a clear distinction between mutability based on keys *and* on other modal and scalar notions. Such a distinction could imply that the key-oriented type would refer to tonal music, and the diatonic mode-oriented one to folk modality. The problem is, however, that in both categories he gives examples from both composed and folk music, and so it is not clear why the relative type must be so different from the other types. Perhaps the difference is simply that in the relative type no modes other than Aeolian and Ionian are involved. But then the question arises whether the Aeolian mode is conceptually different from natural minor (which Sposobin also touches upon) and Ionian from major.

On the other hand, this might not matter because Sposobin clearly presupposes tonal understanding of all modes, major/minor as well as other diatonic modes. As was mentioned before, he understands them to be "special types of major and minor," which differ from these two primary modes only in pitch collection (raised ^4 in Lydian, lowered ^2 in Phrygian, and so on), but not in principle. The differentiation, mentioned earlier in connection with Dahlhaus, between the diatonic mode as scales or pitch collections and the key as a system of functions is lacking. Therefore Sposobin's mutability, whether it is based on relative keys or diatonic modes, is a harmonic and tonal phenomenon, and the mutable center is always a tonic triad.[107]

---

[106] This classification resembles that of Ian Bates (2012). In his analysis of Vaughan-Williams's music, Bates singles out three types of relationships based on what he calls diatonic domains: fixedkey-signature relationship (corresponds to Sposobin's first and last categories in my Example 2.8), fixed-tonic relationship (corresponds to Sposobin's middle two categories), and fixed-scale-type relationship, which does not seem to have any correspondences in Sposobin and other theorists of mutability.

Yuriĭ Kholopov: Mutability and the centricity criterion

Kholopov, a student of Sposobin, was one of the most influential figures in the Russian theoretical and musicological community as a theorist and pedagogue. Over the span of his long career, his ideas changed; to some degree, this applies to his conceptualization of modal mutability. In this section, I primarily discuss Kholopov's *Garmoniia: Teoreticheskiĭ Kurs* (*Harmony: A Theoretical Course*). It was originally published in 1988, and a reprint appeared in 2003. The book is intended as a theoretical counterpart to his two-volume *Garmoniia: Prakticheskiĭ Kurs* (*Harmony: a Practical Course*) (2003).[108] Kholopov also wrote about mutability and mode in some of his other works. Despite some minor differences between his various writings on the topic of mode, his general ideas on modes do not change substantially from one work to another.

Harmony (2003) is comparable in its function to both Yavorsky's and Sposobin's writings. Like Yavorsky, Kholopov attempts to create a theory for music of all styles and eras; like Sposobin's, his work is a textbook, but a textbook for a more advanced level. Perhaps the main difference between Kholopov and the previous authors is his explicit acknowledgement of various theoretical sources, both Russian and Western (mainly German), and an explicit engagement in a scholarly dialogue with them. Kholopov's work is simultaneously a textbook and a treatise.

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[107] It is interesting that, in his examples, he chooses those that indeed project a very strong sense of tonality, as in Example 2.9b with its I–V–I motion at the end (not very common in the more ancient layer of Russian folklore).

[108] As opposed to *Theoretical course* (1988), *Practical Course* was first published only posthumously in 2003, and again in 2005, but had been used at the Moscow Conservatory since 1980 in copies printed on a manual typewriter. See Valeriia Tsenova's introduction to Kholopov 2003. I will refer to Theoretical Course as *Harmony* (1988) and Practical Course as *Harmony* (2003).

The topic of mutability appears in Kholopov's Chapter 9, "*Lady modal'nogo tipa*" [Modality-type modes]. However, since Kholopov's mutability is an inseparable part of mode and its typology, let us start with the concept of mode. Kholopov offers two definitions of mode, one for "European music of the last several centuries," and the other more inclusive, intended to encompass all existing and potential musical systems. The first is "a systematization of pitch relationships unified through a central tone or sonority, as well as the specific sonic system that embodies this systematization" (Kholopov 1988, 28). The second is "a systematization of pitch relationships, as well as the specific sonic system of logical mutual subordination of tones and sonorities" (29). The central idea seems to be *mutual subordination* in the second definition, concretized as *unity through a central tone or sonority* in the first definition. In their degree of generalization, both definitions surpass all those discussed before, and perhaps most definitions of mode in general.[109]

Returning to the question of mode in Chapter 9, he discusses two main types of mode: modality and tonality.[110] The distinction between modality and tonality, or more precisely, *lady modal'nogo tipa* [modality-type modes] and *lady tonal'nogo tipa* [tonality-type modes], possesses an overwhelming importance for Kholopov.[111] Example 2.10 gives my summary of this distinction (see Kholopov 1988, 160–67). The table may be expressed as follows: modality relies on specific melodic formulas and pitch collections, organized in register, with a single tone serving as a center, toward which there may or may not be strong gravitation.[112] Tonality relies on a system of functions independent of melodic material and of register, with a triad serving as center, toward which other harmonies show consistent gravitation.[113] The strength of gravitational pull, together with the opposition between melody versus functionality, is the kernel of the distinction: "In modality-type modes, the collection is strictly preserved. . .but the differentiation between and definitiveness of tonal functions may be present in any degree, up to the absence of consistent sensation of gravity towards a tonic and to tonal uncertainty" (161).[114] Obviously, his notion of tonality relies on Riemannian functional theory; his concept of modality, however, does not.[115]

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[109] Another work by Kholopov where he presents his view of mode is his entry in the *Musykal'naia Entsiklopediia* (Keldysh 1973–82, vol. 3, 130–43.).

[110] According to Tatiana Kiuregian (2008, 6), Kholopov was a pioneer in the field of theory of modality, which is true with respect to Russian theory (but not in general).

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[111] My translation of his terms here is forced to be inexact. The exact equivalent of his "*lad modal'nogo tipa"* would be "mode of modal type," which is tautological in English. Therefore, instead of "mode of modal and tonal types" I have chosen "modality-type and tonality-type modes," a translation that avoids tautology at least in part

[112] Mode as based on melodic formulas is one of Powers's two main types of mode as a concept (Powers 2001, 776–77). As Powers says, this conception of mode originates in studies of Eastern Mediterranean musical cultures and Eastern European liturgical music; the latter musical style is partly what serves as basis for Kholopov (see Kholopov 1988, 160–161 and 177–188).

[113] These definitions of modality and tonality are somewhat overgeneralized; it is not true, for example, that collection is always preserved in modality: Renaissance modal music often contains what is known as *mutatio toni* and *musica ficta*. Kholopov himself admits the possibility of collection change; see *modal mutability* below. One may view Kholopov's definitions, therefore, as what Matthew Brown calls law-like generalizations (Brown 2005, 2–4).

[114] The idea that modal music displays weaker gravity than tonal music first appeared in Fétis's writings. It must be noted that by modality, Kholopov does not mean any specific style or era, as shown by his stylistically varied examples, including various folk traditions, as well as twentieth-century composed music. Tonality, on the other hand, is more restrictive; it refers only to common-practice music. Interestingly, Kholopov's includes Yavorsky's symmetrical modes into the modality-type modes. Whether this inclusion embraces Yavorsky's major and minor (supposedly tonality-type modes) is not clear.

[115] In the introduction, Kholopov (1988) acknowledges his general indebtedness to Riemann's theory while rejecting some of its specific elements, such as harmonic dualism.

Example 2.10. Kholopov's (1988) modality-type and tonality-type modes: a comparative overview

Modality	**Tonality**
1: Reliance on scale, or pitch collection	1: Reliance on functions
2: Collection never changes	2: Collection may change; a series of micro-tonics are subordinated to the tonic
3: Center is a tone (not a chord), positioned with respect to a registrally organized scale	3: Center is a tonic triad, positioned with respect to other functions
4: Non-central tones **may** express some gravitation towards the center	4: Non-tonic harmonies express a **strong and consistent** gravitation towards the tonic
5: Reliance on pitch content; register is a mode-building factor	5: Reliance on pitch-class content; register does not matter
6: Mode is conceptually close to melody; specific melodic formulas serve as mode-building factors	6: Mode is an abstract structure
7: Mode works through a retrospective synthesizing of pitch structures that unfold in time. Modal center is clear only at the end of a piece	7: Tonic is given at the beginning and serves as center throughout an entire piece

It is only in the context of this distinction that we can view Kholopov's mutability, for he divides mutability into two types corresponding to the two types of modes. Example 2.11 summarizes the typology of modes and of mutability. (The table is mine, not Kholopov's.) As the example shows, mutability here is a sub-type of both modality and tonality, a sub-type based on the idea of a shifting center. "The main difference between these two types of mutability [modal and tonal] resides in that modal mutability is linked to pitch collections and tone-centers [*zvukami-ustoiami*], whereas tonal mutability is linked to tonal gravitations and the interactions between tonic chords" (Kholopov 1988, 176).[116] Note that he uses the word *gravitation* with regard to tonality, but not modality.

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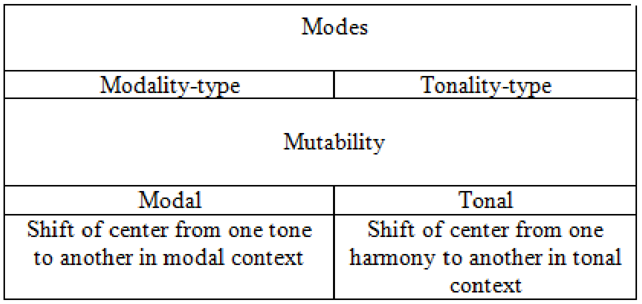
[116] Kholopov then notes that, in real musical situations, the distinction between tonality and modality is not a strict boundary; i.e., there is a continuity of options between the "pure types," and thus a strict boundary between tonal and modal mutability also does not exist.

Example 2.11. General typology of modes and of mutability in Kholopov (1988, 160 and 176). (Summary of Kholopov's prose)



<table>
<tr><td colspan="2">Modes</td></tr>
<tr><td>Modality-type</td><td>Tonality-type</td></tr>
<tr><td colspan="2">Mutability</td></tr>
<tr><td>Modal</td><td>Tonal</td></tr>
<tr><td>Shift of center from one tone to another in modal context</td><td>Shift of center from one harmony to another in tonal context</td></tr>
</table>

Kholopov classifies modal mutability into the following sub-categories (the excerpt is given with minor omissions).

> The concept of modal mutability is not used in a single sense; rather, it reveals different aspects of modal structure. With regard to modality, the most important of these aspects are the following.
>
> 1. Mutability of center (*ustoĭ*) with the pitch collection preserved. Examples: Russian folk song "Khodila mladioshen'ka po borochku" [see Example 2.12a], the mode is relative-mutable: C Ionian – A Aeolian; . . . Mutability may refer to more than two modal centers. As, for example, in the song "Pro tatarskiĭ polon" [Example 2.12b].
> 2. Mutability of collection with the center preserved. Examples: Russian folk songs "Chto ne yastreb sovykalsia s perepyolushkoy. . .; the Gregorian melody "Ecce nomen Domini" (antiphon of Tone 1). . .
> 3. Decentralization of mode (any caesura is perceived as a stability [*ustoĭ*] with a unifying single-pitch center). Examples: the melody of the third and the sixth *sticheron* of "Magdalyni Marii" by Fiodor Krest'ianin. . . [see Example 2.12c][117]
> 4. Decentralization of mode (again a stop on any tone is perceived as stability) *without* a single pitch-center unifying the piece. . . [the situation is the same as in Type 3, but the piece begins and ends on different pitches]
> 5. The theoretically possible mutability of *both center and collection* (Types 1 and 2 combined) occurs more rarely and signifies a fusion of two modal structures, rather than a single, if mutable, mode (Kholopov 1998, 173, emphasis his).

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[117] His wording is rather complicated here; he means that the piece begins and ends on the same pitch that serves as center, but in the course of the piece we experience other pitches as central when there is a caesura. What I have translated as pitch collection is Kholopov's *zvukoriad*; another terminological equivalent is *system*, used by Dahlhaus, which he employs, just as Kholopov does with his *zvukoriad*, mostly in modal contexts (see Dahlhaus 1990, 238ff.).

Let us unpack this classification. Four of the five categories (points 1, 3, 4, and 5) are characterized in some way by either shifting or uncertain center, i.e., ultimately weak gravitation. Only the second point reverses the relationship by changing the collection while preserving the center (which is somewhat incoherent, given Kholopov's contention that the collection never changes in modality). Thus, given that this is a classification of *modal* mutability, most of its sub-types highlight the central characteristic of modality in general—attenuation of gravity. Furthermore, he organizes the classification so as to emphasize the gradually decreasing centricity as the list proceeds, all the way to an almost complete lack of center—*decentralization*.

The classification of tonal mutability, as one might expect, relates to the issue of keys and tonics; most examples come from the nineteenth century. .

> [Tonal mutability] also exists in various forms: varied tonality,[118] most often bitonality (Chopin's Ballade No. 2, Tchaikovsky's romance "My sideli s toboi" [op. 73 no. 1]); ending not on the main tonic (Bach, Mass in B Minor, *Crucifixus*; Glinka, *Ruslan and Ludmila*, Chernomor's march); tonal fluctuation, usually between two centers, with a subsequent dominance of one of them (Tchaikosky's "StrashnaIa minuta" [op. 28 no. 6]); tonal looseness, decentralization with a unifying general center (*ustoĭ*) (Rimsky-Korsakov, *The Legend of the Invisible City of Kitezh*, Prince Yuriĭ's arioso); the same without a unifying center (Reger, Psalm No. 100); ending not on the tonic, analogous to ending not on the center (*ustoĭ*) in modality. (175–76)

Kholopov clearly intends this classification as a counterpart to that of modal mutability. Example 2.13a summarizes both classifications to stress their similarities. As the example shows, three of the tonal mutability types match three modal types (points 1, 3, and 4). The first tonal type is split between (a) a single tonic shift (what Bailey calls directional tonality), and (b) a deeper interpenetration of two keys, i.e., tonal fluctuation. Points 2 and 5 on the modal side,

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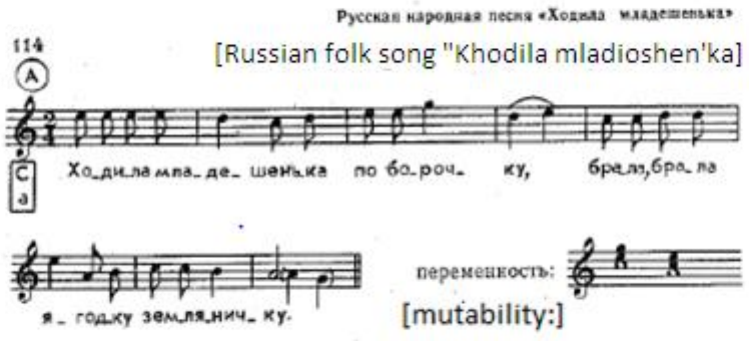
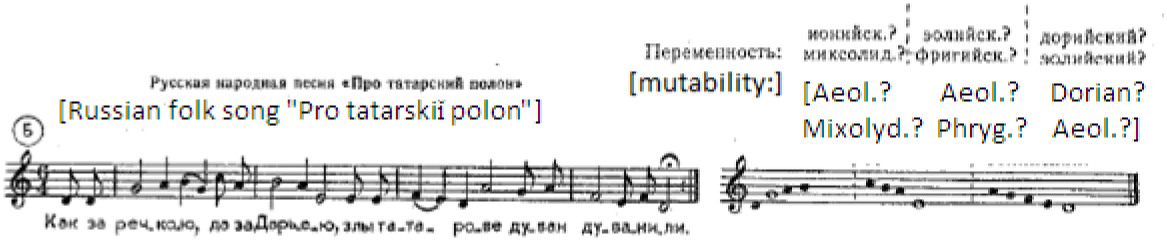
[118] *Varied tonality*, a literal translation of "*raznotonal'nost'*," might otherwise be termed *directional* tonality (Bailey's term) or *progressive* tonality.

Example 2.12. Kholopov's (1988) examples of mutability.

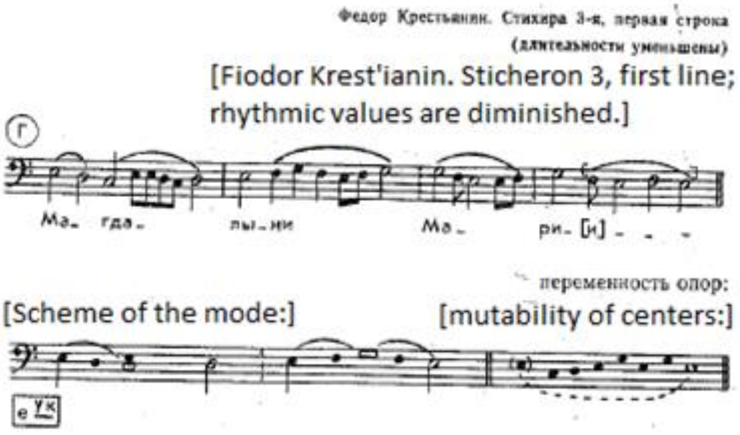
a) Russian folk song "Khodila mladioshen'ka" (Kholopov's Example 114a)


Русская народная песня «Ходила младешенька»
114
А
[Russian folk song "Khodila mladioshen'ka]
С а
Хо_ди_ла мла_де_ шень_ка по бо_роч_ ку, бре_ла, бре_ла
я_ го_ду_ку зем_ля_нич_ ку.
переменность:
[mutability:]

b) Russian folk song "Pro tatarskiĭ polon" (Kholopov's Example 114b)


Русская народная песня «Про татарский полон»
[Russian folk song "Pro tatarskiĭ polon"]
Б
Как за реч_кою, да за Дарь_е_ю, злы та_та_ ро_ве ду_ван ду_ва_ни_ли.
Переменность:
[mutability:]
ионийск.? миксолид.?
эолийск.? фригийск.?
дорийский? эолийский?
[Aeol.? Mixolyd.?
Aeol.? Phryg.?
Dorian? Aeol.?]

c) Fiodor Krest'ianin. "Magdalyni Marii" (Kholopov's Example 114d)


Федор Крестьянин. Стихира 3-я, первая строка (длительности уменьшены)
[Fiodor Krest'ianin. Sticheron 3, first line; rhythmic values are diminished.]
Г
Ма_ гда_ лы_ни Ма_ ри_ [и] _ _ _
переменность опор:
[Scheme of the mode:]
[mutability of centers:]
e УК

involving a change of collection, do not apply to tonality because, by definition, a tonality contains chromatic tones serving to introduce micro-tonics (see Example 2.10).

All the types of tonal mutability, therefore, involve the idea of a shifting or uncertain center, and thus bring tonality as close to modality as possible. This is especially true of the decentralization of tonality; indeed, in both the Rimsky-Korsakov and the Reger examples a center is hardly perceivable at all. Example 2.13b rearranges the classification to highlight the continuum between modality and tonality through tonal mutability. The proximity between modality and tonal mutability is also expressed in Kholopov's language, which reverts to modal terminology and specifically the word *ustoĭ*, rather than *tonic*, to denote a center, when it comes to decentralized tonality. In sum, Kholopov's mutability (of both modal and tonal types) may be thought of a general idea of weakened centricity, whether centricity of tones (in modality) or of harmonies (in tonality). In an article written at roughly the same time, Kholopov confirms this idea: "Mutability reflects the most important feature of modality-type mode. The modal *center* [*ustoĭ*] lacks the strength of the tonal center, i.e. the *tonic*" (Kholopov [1986] 2008, 101). Thus, one might think of tonal mutability as mediating between modality and tonality in that it attenuates a center—one of modality's main characteristics. This idea represents the second paradigm shift of mutability—the centricity shift.[119]

In general, Kholopov's theory of mutability, when compared to the theories presented before, is closest to Sposobin, and indeed is a further development of Sposobin's ideas. Both

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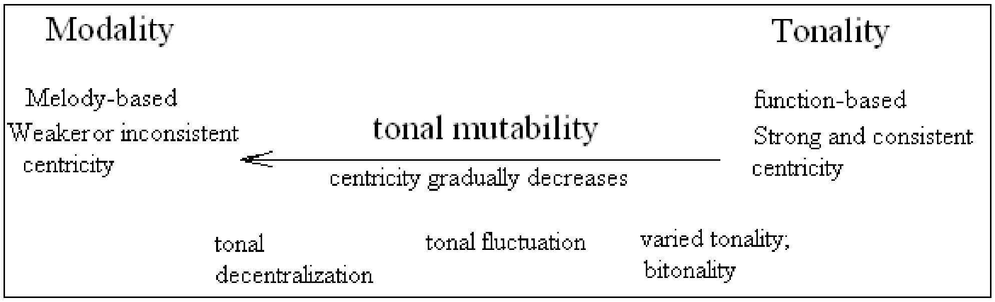
[119] The classification of mutability given so far receives a further development in one of Kholopov's later articles (Kholopov [1996] 2008). There, he offers the following four types of modal mutability: (1) *perekhod* (transition), referring to a change of both collection and center; (2) *peremennost'* (mutability), referring to a shift of center with fixed collection; (3) mutation, referring to a change of collection with center fixed and (4) metabole, referring to a change of genus, for instance from diatonic to pentatonic (Kholopov [1996] 2008, 93–94). Though this typology uses somewhat different terms, it bears obvious similarities to the 1988 work (see Example 2.14a). A significant difference, however, is that, in the 1996 article, he speaks exclusively of Russian folk music and folk-inspired music. Another difference refers to greater attention paid to the issue of *center* in 1988 versus *modal final* in 1996; the two, according to Kholopov, do not always coincide.

Example 2.13. Types of mutability in Kholopov (1988)

a) Classification of modal and tonal mutability in Kholopov: comparative table

Modal	**Tonal**
1. Center shifts, collection is preserved	1a. Tonic shifts; “varied” or directional tonality; bitonality. 1b. Tonal fluctuation (two centers)
2. Collection changes; center is fixed	-------------
3. Decentralization of mode, unified by a single enclosing center	3. Decentralization; tonal looseness; Unified by a single enclosing center
4. Decentralization of mode, not unified by a single center	4. Decentralization, not unified by a single center
5. Change of center and collection	--------------

b) Kholopov’s tonal mutability as a measure of relative centricity


Modality
Tonality
Melody-based
Weaker or inconsistent centricity
tonal mutability
centricity gradually decreases
function-based
Strong and consistent centricity
tonal decentralization
tonal fluctuation
varied tonality; bitonality

agree that mutability represents a *variant* of a certain system of pitch relationships, a system that normally displays one center, but receives more than one under mutable circumstances. Kholopov’s typology, however, is more complex due to the distinction between tonality and modality, as well as to the difference in repertoire: Kholopov looks, at least potentially, at all music; Sposobin looks at the tonal era and Russian folklore. To consider Example 2.13 once again, Sposobin’s typology of mutability occupies the two upper lines, without distinction between the left and right columns, for, as we have seen, he does not differentiate between tonality and modality. (Or, more precisely, Sposobin ignores modality as understood by

Kholopov.) In my analyses in later chapters, I will draw on Kholopovis idea of mutability as weakened centricity, as well as on his typology presented above.

Andreĭ Miasoedov: Mutability and proto-harmony

The last theorist to be discussed in this section is Miasoedov, who recently retired, in 2009, as a professor at the Moscow Conservatory after forty-nine years of pedagogical and scholarly work. His book *Gamoniia russkoĭi muzyki: korni natsional'noĭ spetsifiki* [Harmony of Russian Music: The Origin of the National Characteristics] (1998) is an exploration of what it is that makes Russian music harmonically unique. Among the works discussed so far, Miasoedov's is closest to Berkov's: both examine the harmony of a certain style and intend to explain the uniqueness of that style. The difference lies in the scope: Berkov's subject is one composer (Glinka); Miasoedov's subject is all Russian music from ancient times to the twentieth century. *Harmony of Russian Music* came out in 1998, i.e., ten years after the first publication of Kholopov's *Harmony: A Theoretical Course*. I show that conceptual intersections exist between the two works; while it is possible that Miasoedov was influenced by Kholopov, it is also possible that the two are mutually influential.[120]

Since Miasoedov's goal is to explain that which is inherently Russian in Russian music, he understandably begins at the origins—ancient Russian music, both folk and church (professional). He acknowledges the difficulty of this endeavor: folk music was not written down until the eighteenth century, and church music, though written, is often hard to read due to difficulties of notation. Therefore, he often necessarily relies on speculation: what could folk harmony *potentially* have been like, and how can we analyze it based on the most ancient layer of folklore available to us now? Another source of information on ancient folk song is, in his opinion, its extreme proximity to sacred music, especially at the origins of the latter.[121]

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[120] Kholopov and Miasoedov worked at the Moscow Conservatory simultaneously for forty-three years (between 1960 and 2003).

The first topic to be explored in Miasoedov's book is diatonicism, which he considers the basis of Russian music's pitch organization. He begins by giving the following definition: "Diatonicism is a system in which all the tones may be ordered by perfect fifths and, as a rule, do not outnumber seven" (Miasoedov 1998, 7). The definition is meant to include the Guidonian hexachord (which he mentions without referring to Guido and Western theory), pentatonicism, and collections of less than five tones, as well as more than seven tones.[122]

After this general definition of diatonicism, he turns to the very origins of folk music and states that the earliest diatonic collection was very small: four notes that may be ordered by fifths (see Example 2.14a). As a scale, the collection represents two major seconds separated by a minor third. These four notes, Miasoedov says, lie at the heart of all Russian music, melodically and harmonically, beginning from most ancient times and ending with most complex composed works by Mussorgsky, Tchaikovsky, Rimsky-Korsakov, Rachmaninoff, and others.

To continue his explanation of ancient Russian harmony, Miasoedov needs to introduce the topic of texture. It is often thought that folk music (Russian and more generally Slavic) is strictly monophonic. Miasoedov, however, argues in favor of its multi-voice nature, even at the very earliest stages of development. "Russian folk song has been multi-voice since ancient times…its heterophonic texture has a very old tradition" (12).[123] Quoting another author,

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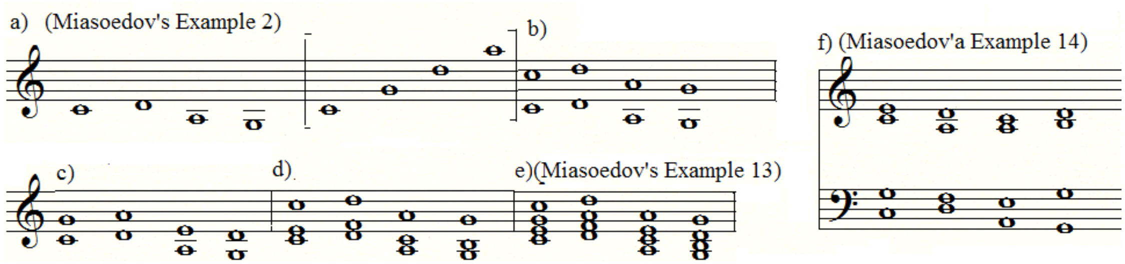
[121] The idea that church music developed out of folk music is borrowed from Smolensky; see chapter 1 on Smolensky's contribuations to Russian sacred music studies.
[122] Diatonic collections of more than seven tones include a system known in Russian church music as the *Obikhod* collection, which includes both B natural and B flat at different points in register (B flat is higher). The collection is recurrent at the perfect fourth (as opposed to octave) and resembles the Lesser Perfect System of Greek theory, something that Kholopov mentions (Kholopov [1996] 2008, 99–100), but Miasoedov does not.
[123] *Heterophony* is here a translation of *podgolosochnost'*. See the Introduction for a detailed discussion of *podgoloski* and heterophony in Russian folk songs.

Example 2.14. Miasoedov's (1998) proto-harmony as (a) a pitch collection, (b–e) the collection doubled in consonances and (f) a chord progression


a) (Miasoedov's Example 2)
b)
c)
d)
e)(Miasoedov's Example 13)
f) (Miasoedov'a Example 14)

Skrebkov, he writes: "We suppose that the tradition of multi-voice music goes back to the origins of pre-Christian Eastern-Slavic musical culture and that pure monody actually never existed."[124] Following this claim, Miasoedov suggests that the four-note collection presented in Example 2.14a was probably used in doubling. This doubling could involve various consonant intervals, including octave, fifth, fourth, third, and all of these together, resulting in triad doubling; see Example 2.14 b–e.[125] The triadic doubling of the four-note diatonic collection, he claims, became the foundation of all harmonic processes of folk and, later, composed music. It is the *proto-harmony* (pra-garmoniia) of Russian music.[126] In composed music of the nineteenth century onward, the progression has been used more often in normal common-practice voice leading, as in Example 2.14f.[127]

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[124] S. Skrebkov. 1969. *Russkaia khorovaia muzyka XVII – nachala XVIII vekov*. (*Russian Choral Music of the Seventeenth—Early Eighteenth Centuries.*) Quoted by Miasoedov 1998, 13.

[125] It is not known whether, in ancient Russian music, the interval of a third was indeed considered consonant. Miasoedov (15) discusses consonant and dissonant chords (major and minor), but not intervals.

[126] To show the fundamental nature of triadic doubling in Russian music, Miasoedov refers to an event, a church service he witnessed in 1946, when such doubling was used spontaneously by the entire congregation (14). This example, notated by him, represents proto-harmony (the harmonies A minor, C major, and D minor) with one chord omitted (G major).

[127] In the common-practice period of Russian music, mainly the nineteenth century, Miasoedov stresses one of the important consequences of proto-harmony—the syntactical freedom of Russian music from classical idioms. Progressions that can be reduced to D–S in Riemannian terms (as opposed to the classical S-D) are not abnormal due to their connection to proto-harmony. See, for example, 30–33.

But any system of pitch relationships is incomplete without some sense of centricity, even if it is very weak. He therefore turns next to the issue of tonic:

> In the harmonic progression, or, more precisely, among the four given triads, any one of them may take the role of "tonic." For Russian harmony, this is fundamentally important… It must be said that the perception of these triads as "tonics" is sufficiently relative. In all the schemes given above, it is very easy to undermine their stability. This is natural, because the notions of stability and instability are very relative in two-, three-, or four-chord diatonic systems, on which the triadic combinations given here are based. (Miasoedov 1998, 19)

For Miasoedov, since proto-harmony serves as the foundation of Russian music, this foundation may be viewed as part of major-minor tonality of Russian music in later centuries. In major, the C-major triad of Example 2.14f is central; in minor, the A-minor chord is central. At this point, Miasoedov mentions the relative-mutable mode (*parallel'no-peremennyĭ lad*, 19), Sposobin's concept, which, as I have shown, Sposobin considers the primary form of mutability, but Miasoedov views as only a by-product of the proto-harmony system and its inherently unstable center.

It must be noted that, in general, the term *mutability* appears rather rarely in Miasoedov's text. But the idea of a weak tonal center, moreover of *equality of status* between the chords of the proto-harmony, comes back several times. "So, ancient Russian proto-harmony offers, so to speak, to the future harmony of Russian music a system of equality among all the triads in major, with a 'priority among equals' given to I, II, VI, and V harmonies—the main triads of ancient Russian music" (35). He later mentions the relative-mutable mode again in connection with proto-harmony (in the section on modal-functional features of folk and church music):

> For church multi-voice music, certain tonicizations became characteristic, where the local tonic enters as one or another scale-degree of the main key and only later is endowed with the characteristics of the new [local] key; that is, the pivot chord does not precede it. Such tonicizations are closest to the progressions of the mutable mode and contribute to

> the preservation of diatonicism of harmony, regardless of the appearance of accidentals[128] [see Example 2.15] . . .Tonicizations of this kind, especially those that tonicize the main scale-degrees of the ancient proto-harmony, are special in that, in Russian music, the triads of these scale-degrees play the role analogous to that of the primary triads of Western European music in Viennese Classicism. (50–51)

Proto-harmony, almost always in connection with “mutability of modes,” i.e., a shifting center, appears in his discussion of Bortniansky, Glinka, Dargomyzhsky, and other Russian composers.

Thus, mutability as such, at least on the surface, does not figure prominently in Miasoedov’s theory. The only type of mutability he refers to is Sposobin’s relative-mutable mode, and when he mentions it, he does so only in passing. He never offers any classifications of mutability; neither does he provide classifications of his other concepts, including proto-harmony. He is more interested in the inner workings of chords based on proto-harmony than in classifying its various forms or usages. Below the surface, however, one might see a connection between Miasoedov’s equality of chords in proto-harmony (and other structures based on it) and Kholopov’s weakened gravity in tonal mutability and in modality in general (see Example 2.13b).[129] Given this connection, I would like to claim that the general idea of mutability as weak tonal centricity is strongly present in Miasoedov’s work. His unique contribution is that, for him, the idea of shifting center is an indispensable feature of small diatonic collections such as proto-harmony. A hypothetical definition of mutability in Miasoedov may be as follows: weak centricity based on the domination of proto-harmony, whose four triads, equal in status, may be present either on the surface or at deeper levels of structure.[130]

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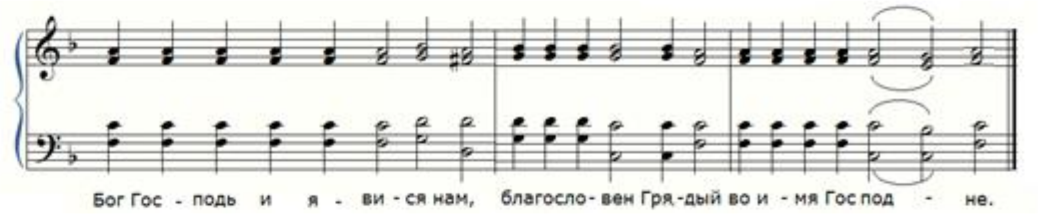
[128] To clarify, what is meant here is that, in Western music, a tonicization is signaled by accidentals, most often by the new leading tone, whereas, in proto-harmony, accidentals are not needed. Apparently, Miasoedov sees this feature of proto-harmony also as a characteristic of relative mutability.

[129] In fact, Miasoedov’s examples of such equality (see Example 2.14f and 2.15) instantiate Kholopov’s tonal mutability: tonal, because texture is chordal and keys can be heard, even if weakly; mutability, because the center is not stable.

[130] The use of Schenkerian terms such as “levels of structure” is my own contribution to this hypothetical definition. Though Miasoedov never uses them, they are implicit in such statements as this: “[B]eing in fact equal. . .[the triads

Example 2.15. Example of a proto-harmonic passage: an anonymous church hymn "Bog Gospod' i iavisia nam" (Miasoedov's Example 40)


Бог Гос - подь и я - ви - ся нам, благосло- вен Гря -дый во и - мя Гос под - не.

As a brief summary, let us return to the three central questions on which my examination of mutability is based: gravity, modality, and center. Since Miasoedov's mutability is the principle of shifting center in the context of proto-harmony-based structures, it instantiates weak gravity. As regards the question of modality versus tonality, he is not concerned with this distinction as much as Kholopov is. Nor do various kinds of modes have any significant role for Miasoedov. The idea of proto-harmony perhaps structurally *replaces* the notions of mode and modality. Finally, in relation to the structure of centers, Miasoedov is quite clear: since he does not consider any Russian or, more generally, Slavic music to be monophonic, all of this music, including its tonics, consists of triads, not individual tones, even if those triads are presented in incomplete form (see Example 2.14).

Since Miasoedov's idea presents a striking alternative to the norms of monotonality familiar from many Western theories, in the chapters below I will experiment with proto-harmony analytically. In particular, I will attempt to contrast this method with Schenkerian analysis in order to demonstrate that the two theories are practically incompatible in analysis, and to offer an innovative view of pieces that defy Schenkerian techniques.

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of the proto-harmony], becoming gradually 'endowed' with the whole sum of diatonic harmony, will become *the main triads of the major mode* in Russian music" (Miasoedov 1998, 19; emphasis his).

* * *

As I have shown, the idea of mutability and the term itself has received quite different explanations in the different writings explored here. Example 2.16 offers a schematic representation of the principal views of mutability. What follows is a verbal summary of this scheme. The notion of *mutable mode* first appeared in Yavorsky (1908) and was further developed by Protopopov (1930); it referred to two types of modes that differ from each other in their internal pitch relationships, particularly the structure of their four-note tonics. This notion is tritone-based and is part of a larger system known as the theory of modal rhythm. Mazel (1937) represents the first paradigm shift— the functionality shift—in that he partitions Yavorsky's four-note tonic into two triads and puts them into the context of functional tonality. For him, as well as for Berkov, mutability is a modulatory motion from major to minor or vice versa, a motion Berkov views as contrasting to the fifth-relationships of Classical tonality. Sposobin (1951) gives the term *relative-mutable mode* to the mutability of relative keys; he adds several new types of mutability, which include a change of collection with a fixed tonic. He thus introduces, for the first time, the two-fold nature of mutability: change of center versus change of collection. Kholopov (1988), while preserving this distinction, extends the preceding authors' ideas and defines mutability as *the principle of a shifting center* and therefore attenuated centricity, which he examines in both modal (individual-tone-based) and tonal (function-based) contexts. This conceptual is the second paradigm shift—the centricity shift. Finally, Miasoedov (1998) retains the idea of weakened centricity and puts it in the context of proto-harmony, a system of triadic relationships based on a small diatonic collection.

The concept of mutability has thus moved gradually from a tritone-based definition and concrete pitch relationships, through a contextualization in functional tonality, through interaction between major/minor keys and diatonic modes, to a general notion of weakened gravity. By this, I do not mean that the authors developed the idea in a conscious effort to produce a comprehensiVe theory of mutability. Rather, mutability is a sort of recurrent theme that comes to light at points where tonal unity is questioned in some way, usually in connection with folk music. An analysis of this recurrent theme, however, allows one to at least attempt, as I have done here, to find an implicit trajectory that the concept has undergone in the course of the twentieth century.

Example 2.16. Summary of mutability as a concept in Yavorsky, Protopopov, Berkov, Sposobin, Kholopov, and Miasoedov.

	Mutability as related to tonality versus modality; scale versus functional view	**Gravitation**	**Structure of center**
B. Yavorsky; S. Protopopov	Mutable modes are symmetrical modes (collections) based on stable and unstable intervals. Tonality (major and minor) is part of symmetrical modes	Gravitation of unstable intervals (tritones) towards their stable resolutions.	Center is a sum of stable intervals. The tonics of Mutable modes 1 and 2 are four-note collections
L. Mazel; V. Berkov	Mutability is part of tonality. Status of diatonic modes with regard to tonality in Berkov is unclear.	Gravitation of unstable harmonies towards stable ones.	Two mutable centers are triads of opposite quality (major and minor)
I. Sposobin	Mutability is part of tonality, and so are diatonic modes. Combines both scale-oriented and function-oriented notion of tonality.	Gravitation of unstable harmonies towards stable ones.	Two (or more) mutable centers are triads, literally present or implied
Y. Kholopov	Mutability can be modal (based on scales and melodic unfolding) and tonal (based on tonal functions)	Mutability produces weaker gravity in comparison with tonality and non-mutable modality	Center is a (shifting) single tone in modal mutability and a triad in tonal mutability
A. Miasoedov	Mutability is a function of proto-harmony, which can operate within or outside tonality. Diatonic modes are not significant.	Mutability signifies weak centricity	Center is a triad; four such triads participate in proto-harmonic mutability

Mutability and the problem of tonal disunity in Western music theory

In the remainder of this chapter, I compare Russian theories of mutability with some Western concepts that deal with issues of tonal unity and that address the same theoretical problems. Specifically, I am concerned with the ideas of two theorists: Robert Bailey and Carl Dahlhaus. With regard to Bailey, I show that his notion of *tonal pairing* closely resembles Mazel's, Berkov's and Sposobin's mutability, while Bailey's double-tonic complex is similar to the tonic of Yavorsky's mutable modes.[131] Dahlhaus's *component key,* a notion that pertains to the early Baroque, conceptually approaches Miasoedov's proto-harmony.

Bailey's terms, which he coined in studies of Wagner's music, *tonal pairing* and *double-tonic complex,* have been applied by many theorists to a wide variety of repertoire. Both terms indicate a close connection between two keys. Tonal pairing involves vacillation between two third-related keys, which may be either major or minor (C major and A minor; C major and A major). In fact, whether they are major or minor may be an irrelevant question, since Bailey explicitly relies on Schoenberg's notion of twelve chromatic keys (1985, 116). Bailey, as well as many of his followers, insists on the equal hierarchical status of the two keys involved,[132] a statement that was rejected by some, especially Schenkerian, theorists. Bailey applied his ideas to the music of Wagner and slightly later composers (e.g., Mahler). Bailey's followers have applied his concepts to a wide range of nineteenth- and early twentieth-century music, beginning with Schubert. In their writings, the two tonics are not necessarily a third a part, as they are for Bailey.[133]

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[131] Both tonal pairing and double-tonic complex are in close conceptual proximity with directional tonality (another term of Bailey's), which also entails two keys of equal status, but of a slightly different kind: in directional tonality, different keys refer to the beginning and ending of a piece, not to a vacillation in the course of it. For a deeper discussion of directional tonality, see, for example, Mark Anson-Cartwright (2001, 234). Directional tonality corresponds to Kholopov's varied tonality. Another concept extremely close to mutability, tonal, and the double-tonic complex is Jan La Rue's (2001) *bifocal tonality*, introduced for baroque music and defines thus: "moving in a dual area considerably larger than any single tonality, [baroque harmony] focuses now on major, now on relative minor. Although other third relationships and various exceptions appear from time to time, the major-relative minor axis constitutes the main bifocal framework" (La Rue 2001, 292). Although La Rue focuses on a different repertoire, the idea is so similar to those discussed in this chapter that one could easily replace post-Berkov relative mutability and Bailey's terms with bifocal tonality.

[132] Krebs (1996, 17) defines tonal pairing as "situations where two keys simultaneously occupy the highest position in a tonal hierarchy." Another definition, by Matthew BaileyShea (2007, 195): "A piece consistently vacillates between two keys, usually third related."

The similarity between tonal pairing and the relative-mutable mode, as introduced by Mazel (without the term) and defined by Sposobin, is obvious. In both cases, an oscillation between third-related keys takes place; that is, in the course of a piece, the music moves from one key to the other multiple times. Tonal pairing and mutability have been invoked in similar contexts as a *fusion* of two keys. I especially wish to emphasize a crucial similarity between tonal pairing and mutability as understood by Berkov: both concepts exclude relationships by perfect fifth. Both seem to be designed to show a contrast with the more usual fifth-related motions.[134]

There are important differences between the two concepts, however. The main difference concerns the repertoire. The music Bailey analyzes allows him, and in fact demands, that the notion of tonal pairing include chromatic relationships, whereas the Russian folk music Berkov and Sposobin consider is diatonic. Further, Bailey's claim of hierarchical equality of keys is a problematic aspect with regard to mutability. Berkov stresses that, in a mutable passage, two keys are close to equality, but he never gives a final decision as to whether he does or does not allow a true equality of status.[135]

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[133] See Krebs 1981 and 1996, Lewis 1987, Kinderman 1996, Rothstein 2008, and Wadsworth 2012, among others.

[134] Bailey's tonal pairing has been applied by other analysts to various kinds of relationships. One finds relationships by diatonic third and chromatic third, as well as by second (in Lewis 1987, 35, about Schoenberg's *Traumleben*). The only time I have encountered mention of paired fifth-related keys is Wadsworth (2012, note 8, about Schumann's op. 2 no. 2). But, on close scrutiny, it seems that the piece displays directional tonality, rather than true pairing. Among writers who use the Russian term mutability, Taruskin (1997, 133; 137–39) has noted mutable relationships by a diatonic second.

[135] "[T]he two modes equally, or almost equally, claim supremacy" (Berkov 1948, 60). In his analyses, Berkov emphasizes the flexible motion between relative keys and sometimes fifth-related keys, without any definitive statements as to whether one key ultimately does or does not prevail. Another difference concerns the application of

Bailey's double-tonic complex, a notion that has been used by other theorists slightly less often than tonal pairing, is closely related to it. In his discussion of both concepts, Bailey does not always present them as strictly separate; thus, it is difficult to offer a clear theoretical differentiation between the two terms. Nonetheless, the double-tonic complex has at least one distinct feature: as opposed to tonal pairing, the double-tonic complex can be presented in music as an actual joining together of two relative tonics into a single sonority; see Example 2.17.[136] This view of the complex (Bailey-Shea 2007 shows that this is not the only way a double-tnoc complex can be seen) is, so to speak, an extreme case of tonal pairing, extreme because of its simultaneity. The resulting four-note sonority (Ex. 2.17a) resembles Yavorsky's tonic of mutable mode 1 (Ex. 2.17b).[137] While the two look similar on the page, one can find some hidden differences here as well. First of all, the double-tonic complex is a sonority that literally occurs in the music (*Tristan und Isolde*, act 1, scene 5, end of the love duet); hence its specific voicing as shown in the example. Yavorsky's tonic, on the other hand, is an abstract structure derived from monophonic folk songs he analyses. Furthermore, although Bailey's double-tonic complex occurs in the music as a single sonority, it still represents *two entities*—two triads—as its name suggests. For Yavorsky, the same sonority represents a *single* entity composed of three intervals. The difference between the two sides of Example 2.17 ultimately lies in the different relationship of the two concepts to tonality. Although the double-tonic complex violates the accepted

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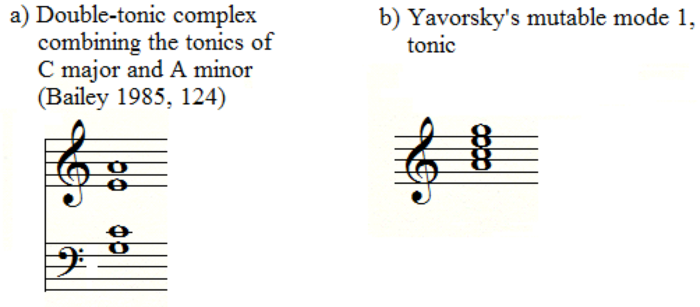
tonal pairing: this notion has been mostly applied hermeneutically to music that somehow involves contrasting or even conflicting semantic or emotional "worlds," represented by different keys (see Kinderman 1996, for example). This idea is absent in theories of mutability.

[136] See Bailey-Shea (2007, 193–95) for a discussion of the slippery boundary between tonal pairing and double-tonic complex as concepts.

[137] Both concepts are also extremely close to Straus's tonal axis (see Straus 1982). Just like Yavorsky's tonic of a mutable mode, tonal axis is either a minor or major seventh chord and is partitioned into two triads (see Straus 1982). Like the tonal axis, Yavorsky's four-note tonic does not have to be literally present at any point in a piece of music. On axis tonality in twentieth-century Russian music (particularly in Shostakovich), see Stephen Brown (2009). Double-tonic complex has also recently been discussed with reference to rock music (Drew Nobile 2015).

assumption that a tonic must be a triad, this notion nonetheless remains within the frames of tonality to a certain extent, since the four-note sonority a fusion of keys into a single structure (hence the word *double*). Yavorsky's mutable modes, however, are modes outside of the realm of tonality. Therefore, the tonic may be any structure, as long as it consists of thirds.[138]

Example 2.17. Robert Bailey's (1985) double-tonic complex and Yavorsky's (1908) mutable mode 1 tonic


a) Double-tonic complex combining the tonics of C major and A minor (Bailey 1985, 124)
b) Yavorsky's mutable mode 1, tonic

Let us now turn to the other concept closely related to mutability—the component key. Dahlhaus defined component keys (*Teiltonarten*) as "a system of degrees primarily related to one another and only secondarily related to a center" (245). It is a system in which, in the course of a composition, a series of cadences articulate scale degrees that together form the Guidonian hexachord, where none of these scale degrees has to be structurally prevalent over others. Dahlhaus discusses this device as the dominant harmonic technique of the sixteenth and seventeenth centuries; he then applies it to the analysis of Monteverdi's madrigals. Historically, therefore, the component key system exists "between modality and major-minor tonality" (the title of the chapter devoted to this topic).[139]

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[138] The thirds in the tonic are guaranteed by the fact that a symmetrical system always resolves to a third, and thus the third (major or minor) is the only stable interval.

[139] Another notion approximating component keys is Leonard Ratner's *solar tonality*, a notion that describes the equal position of keys closely related to the home key (Ratner 1980, 48–49). However, solar tonality displays a central tonic, and so differs from component keys, which, according to Dahlhaus, do not have to rely on any central

The idea of component keys bears a remarkable, and perhaps surprising, similarity to Miasoedov's notion of proto-harmony in Russian music. Though they refer to different repertoires, both notions involve a diatonic system of degrees, four in Miasoedov and six in Dahlhaus, that form a framework on which the entire musical structure relies. Both authors emphasize the *diatonic* nature of this structure, although both types of repertoire allow for chromaticism. Moreover, both authors refer to the attenuation of gravity, a crucial feature of these notions that distinguishes them from classical tonality.[140] For example: Relations between different member of the hexachord "do not urge the harmonic progression in a fixed direction, but are, as it were, *lacking in tendency*" (Dahlhaus, 245, emphasis mine). In a similar way, Miasoedov stresses the "equality" (*ravnopravie*) of the members of proto-harmony in Russian music (19).[141]

Naturally, the concepts of component keys and proto-harmony are not equivalent. The difference in repertoire, mentioned above, causes another major difference: the role of cadences. Dahlhaus builds his definition of component key on the notion of cadence, or clausula, a clearly defined progression that became standardized in Renaissance polyphonic practice. The hexachord, as it were, unfolds in the succession of cadences, which move freely among the notes of this hexachord. Miasoedov, however, does not tie Russian proto-harmony to any specific type of cadence. His discussions include small-scale progressions involving proto-harmonic degrees

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degree; some of Dahlhaus's examples do not have a single tonic, for instance Monteverdi's Madrigal "O Mirtillo." Moreover, solar tonality refers to the eighteenth century, while component keys refer to the seventeenth. Ratner contrasts solar tonality to the Classical *polar tonality*, where the main key and the key of the dominant occupy the central position.

[140] The idea of weakened gravity, of course, brings component key close to mutability as understood by Kholopov. "Mutability is expressed in the absence of strong central gravitation…" (Kholopov 1988, 175).

[141] Both component keys and proto-harmony are described in quasi-political terms, another similarity between the two notions. Dahlhaus connects his component keys to the idea of a "closed society" of diatonic degrees, a term he borrows from the sixteenth century. Miasoedov discusses the degrees of proto-harmony in somewhat more aggressive terms: "Every [scale degree] can, at any moment, 'outweigh' others, 'grabbing' the dominance from others" (20–21).

(see, for instance, Example 2.16). In fact, the idea of cadence does not bear any special importance in his explanation of proto-harmony.

In Russian writings about music, mutability is most often mentioned as a feature of Russian folk music, which appears either in actual folk contexts or in music inspired by folk or church styles.[142] What I have tried to show in this chapter is that, in fact, the notion of mutability touches upon theoretical and analytical questions pertinent to a wide variety of repertoires and theories. This pertinence is ultimately based on the issue of tonal unity—the question whether a piece must be controlled by a single tonal center. Other questions, such as the various definitions of mode and its relationship to tonality, also bring mutability close to theories of monotonality and non-monotonality. Mutability is not an isolated notion one may apply to the limited field of Slavic musical folklore; it is an idea has an almost universal applicability, at least in the context of the tonal era and, partly, the eras immediately preceding and following. It is for this reason that the concept of mutability has so many parallels in Western musical thought.

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[142] As a result, this view has appeared in English-language literature as well. Taruskin (1997, 29), for example, mentions “mutable mode” as a notion used by ethnomusicologists.

CHAPTER 3
An Analytical Exploration of Mutability in Russian Liturgical Music

The previous chapter explored the concept of mutability from a theoretical perspective. The purpose of the present chapter is to investigate this concept analytically. I use Schenkerian analytical technique, modifying it when other theoretical concepts suggest such modification. The repertoire under consideration is Russian church music slightly preceding Rachmaninoff's *Vigil*, that is, written toward the end of the nineteenth or at the beginning of the twentieth century. It is the style that Morosan (1986) calls the New Russian Choral School, although, for reasons to be clarified below, I also consider some pieces that he does not include in this category. I choose this music with a two-fold purpose: first, to experiment with voice-leading analysis of mutable pieces—and many of these pieces are indeed mutable; and second, to set a context for a detailed investigation of Rachmaninoff's *Vigil*.

As I have shown, different theorists have offered varying definitions of mutability. For the sake of analytical clarity, I adopt a general understanding of mutability as a tonal structure that is mostly diatonic and that exhibits attenuated centricity, most readily (but not exclusively) apparent in directionally tonal contexts. As was shown, some kinds of mutability, most importantly relative mutability, are practically equivalent to the notion of tonal pairing, specifically the pairing of relative keys. I demonstrate that, as this conceptual proximity suggests, relative mutability in Russian church music often results in structures similar to those in nineteenth-century Western music, beginning with Schubert. In other instances, however, where the style is intentionally non-Western, harmonic uniqueness is achieved through the integration of third-related mutable structures into proto-harmony, as defined by Miasoedov (1998). Further, whereas in Western nineteenth-century music various kinds of tonal duality, though frequent, are somewhat deviant from traditional norms of tonality, in Russian church music they are completely normal. In fact, they are more normal than monotonality. I contend that mutability as a stylistic norm originates in nineteenth-century harmonizations, largely anonymous and often improvised, of chant melodies, and that the more complex composed works of church music elevate the formulaic progressions of the improvised harmonizations to a higher structural level. I also offer certain adaptations of Schenkerian norms to account for the uniqueness of the style: first, the inclusion of proto-harmonic components (non-third- and/or non-fifth-related triads) into a single background structure; and second, the possibility for the *Urlinie* to not descend to ^1 of the concluding key, but rather arrive on ^3.[143]

The reason I have chosen the definition of mutability as weakened centricity relates to the richness of structural possibilities it provides. While most writes on mutability have concentrated on the relative type, such a choice may be somewhat limiting. A broader concept, proposed by Kholopov (1988; see Example 2.13), posits that (tonal) mutability does not signify any concrete type of key relationship, but rather the general principle that a piece can be governed by two or more tonal center. Miasoedov's proto-harmony, though it does specify concrete relationships of chords, suggests a similar idea—up to four potential tonal centers within a diatonic framework. Thus mutability as a tonal structure with conflicting or ambiguous tonal centers offer rich material for analytical experimentation. In this chapter, I focus on the idea of multiple centers and their representation in a Schenkerian—or sometimes quasi-Schenkerian—analytical context.

The subjection of mutability to any kind of analysis, especially such a rigorous and detail-oriented analytical technique as Schenker's, is a somewhat problematic task. Russian theorists not only offer different—and often conflicting—views of what mutability is (see chapter 2); much of the time, they are also not completely precise in their demonstration of how mutability manifests itself in specific musical situations. When both Kholopov and Miasoedov discuss mutability's specific realization in music, they generally offer verbal analyses only. But how can one show such a statement as "tonal center is weakened" or "tonality is decentralized" on a sheet of staff paper? Is there a way to relate certain kinds of mutability to specific voice-leading processes? Is it possible to propose specific analytical techniques for various kinds of key relationships? These are the questions to be explored in this chapter.

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[143] The emphasis on ^3 in the *Urlinie* is directly related to the unification of relative-mutable structures into a single background; it is also related to what Kopp (2002) and Rothstein (2008 and 2012) call common-tone tonality, to be discussed later.

I begin by exploring the nature of cadence in Russian church music and by relating cadences to deep-level voice-leading structures. Specifically, the normalcy of the IAC as a concluding cadence produces fundamental lines that end on ^3. Then I turn to relative mutability, ordering my analyses in decreasing conformance to Schenkerian theoretical tenets (first in monotonal and then in directionally tonal contexts). In monotonal contexts (a piece begins and ends in the same key), I build on existing analytical studies of tonal pairing of this kind, specifically Peter Smith (2013). In these cases, the relative major or minor is significant at a certain level or levels, but it does not affect the background structure of the piece. In Russian church music, however, the background structure *is* different from the Schenkerian norm in that the *Urlinie* normally arrives on ^3 instead of ^1. I then move on to the relative relationship elevated to the highest hierarchical level (directional tonality—a piece begins and ends in different keys). This also has analytical precedents. Harald Krebs, for example, presents several ways of graphing pieces that pair relative keys: the first is to offer alternative graphs of the same piece or excerpt, each in a different key (Krebs 1996); the second is to include two *Ursätze* in two different keys into a single background structure (Krebs 1991 and 1996).[144] The latter principle is also implied in Rothstein (2008), where the idea of common-tone tonality includes a common tone between two *Ursätze*. Further, Wadsworth (2012) offers similar analyses where one of the two *Ursätze* is incomplete, i.e., lacking the concluding tonic in the first key or the initial tonic in the second key.

This type of background, which at the surface usually presents some kind of smooth transition from one key to another, occurs in Russian church music quite frequently. In this stylistic context, such dual background structures with at least one incomplete *Ursatz* present special difficulties with regard to an ambiguous status of the harmony functioning as VII in minor or V in major. This ambiguity provides a conceptual transition to a different type of background structure, formed on the basis of Miasoedov's proto-harmony, a set of four diatonically related triads. Such backgrounds include the chords of a partial (three chords) or complete (four chords) proto-harmonic complex, or PH-complex. The value of proto-harmonic interpretations lies in the possibility of putting the problematic V of major on the same level with the other two chords and thus eliminating its ambiguous status. The chord is not subordinated to either of the two relative tonics, but forms, together with them, a single background structure.

At the end, I offer an alternative view of relative mutability in Russian church music as based on ancient Russian proto-harmony, as defined by Miasoedov (1998), and not on two relative keys fused together. To demonstrate this, I give examples where the tonal center is attenuated in a way other than a rivalry of two relative tonics. In such cases, the style is manifestly non-Western and relationships other than the diatonic third come to the fore.[145]

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[144] The idea of two tonics as completely equal in status at the highest level is the kernel of Bailey's (1985) original notion of tonal pairing, although he did not create the notion in the context of Schenkerian theory. Lewis (1987) was the first to propose the idea of equality of status in a Schenkerian context.

The cadence and the fundamental line

My main focus here is on structures that include in one way or another more than one tonal center. The non-monotonal nature of such structures necessarily affects voice-leading organization, including that at the background level, as various existing analyses of such cases show. The structural peculiarity of Russian church music, however, pertains not just to non-monotonal pieces. It begins with the issue of cadence: the imperfect authentic cadence with ^3 in the soprano is normative for both internal and concluding cadences. On the basis of this cadential norm, I propose to adjust the Schenkerian background prototype by modifying the fundamental line, which in Russian church music rarely descends to ^1 but instead arrives on ^3. What follows is a historical and a theoretical unfolding of this idea.

Church music by the NRCS composers is based on two different sets of harmonic norms. On the one hand, as part of nineteenth-century musical culture, the style is part of what is often called the common-practice period, although some composers' intention was to overcome the supposed rigidity of Classic-Romantic rules of composition.[146] In a more specific sense, the style of NRCS was unavoidably influenced by the immediately preceding style of church music—head of Court chapel Alexeĭ L'vov's harmonizations of simplified chant. These harmonizations, also known as “court chant,” were standardized and lacked the artistic individuality that the composers of the NRCS strove to achieve. Morosan characterizes this music thus: “The hundreds of chant harmonizations produced in this fashion were not only simple, but amazingly dull; worse yet, they represented another infusion into Russian church music of a foreign style” (218).[147]

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[145] That proto-harmony uniquely characterizes Russian music is precisely Miasoedov's main idea in his 1998 book. However, I do not wish to posit this claim too strongly, since a great amount of corroborating evidence would be necessary to prove it, and since at deeper structural levels the evidence is too vague owing to the interpretive nature of Schenkerian analysis. The last point will be demonstrated in analysis later in this chapter.

[146] Alexandr Kastal'sky, for example, intentionally broke voice-leading rules (used parallel fifths, for instance); so did Rachmaninoff and some others. Nikolai Kompaneĭsky purposefully attempted to create a close kinship between church and folk music (Morosan 1986, 238–40). The use of Russian chant formulae (by Kastal'sky, Rachmaninoff, and others) is also a feature that distinguished Russian church music from Western common practice.

Whether Morosan’s negative aesthetic assessment of the pre-NRCS church music is fair is perhaps unimportant. This style had an unavoidable influence not only on the NRCS but on any Russian liturgical music written since the mid-nineteenth century. Moreover, the court-chant style is far from being extinct. It was used ubiquitously in the Russian church until the revolution (1917); it was revived in the late twentieth century, when the Russian church started to function again after the collapse of the Soviet Union. New anthologies of church music have recently been published, based on pre-revolutionary editions and on the surviving oral tradition, for everyday use in the modern church.

L’vov, who oversaw “the gargantuan task of harmonizing the full yearly cycle of liturgical chants and disseminating the harmonizations” (Morosan 1986, 79), published his chant harmonizations in 1848, and the style was soon enthusiastically enforced by L’vov all over Russian, with the support of Emperor Nicholas I. These four-part harmonizations with the chant melody in the soprano eventually became a shared, orally transmitted possession of church choirs all over Russia, as well as in Russian churches outside the country. It is the very simplicity and often impoverished harmonic vocabulary (compared to composed music) of the harmonizations that helped them become universally appropriated to such a degree that even singers who lack music-reading skills are able to provide fitting inner and lower parts, if they know the chant in the upper part.

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[147] This sharply negative assessment largely rests on two questionable assumptions by Morosan: first, that the true flowering of church music in Russia was and is possible only on the basis of ancient (i.e., pre-seventeenth-century) monophonic musical materials; second, that Western musical influence on the Russian church is necessarily bad.

Thus what emerged as a government-directed enterprise of providing simplified and standardized musical material for the Russian church eventually evolved into a common musical practice fully alive to this day. The body of repertoire is largely anonymous. This practice, which I will refer to as *common church practice*, is only partially published; a considerable part is either hand-notated or orally preserved by church singers and precentors, and therefore varies somewhat from region to region. This communal ownership of this repertoire is what my term is intended to reflect.[148]

To offer an in-depth analytical study of the common church practice is beyond the scope of this dissertation. Only a few of its structural characteristics concern me here, most importantly the nature of the cadence. In order to highlight the special characteristics of cadences in this style, one should first review those of Western tonal cadences. As is well known (and reflected in many theory textbooks), closure in Western tonal music is achieved through the authentic cadence, classified as either perfect (PAC) or imperfect (IAC) depending on what scale degree—first, third, or fifth—is placed in the soprano voice.[149] The PAC is more conclusive and therefore normally occurs at or toward the end of a piece or a substantial section. It is the conclusive character of the PAC that led Schenker to consider the descent to ^1 in the soprano as the ending of the *Urlinie*.[150] Although not every piece of Western tonal music closes with a PAC, the PAC ending as normative holds for the period between ca. 1700 and the late nineteenth century.

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[148] My term common church practice is a rough translation of *obychnyĭ napev* (ordinary singing); alternative terms include *obikhodnyĭ* chant (Schidlovsky 1983), which refers more to the chant melodies than to the style of their harmonization, and Court Chant (Morosan 1986, 78–81), which overemphasizes the historical time of these harmonizations' appearance over the fact that this style is still widely used. In my own term, I intend to emphasize that this repertoire is communal, that it belongs to the bearers of the church singing tradition, rather than to a composers or composers. The oral nature of preservation of church music has prompted comparisons of this repertoire with Russian folk music. Morosan stresses the intention of some church composers, such as Kastal'sky and Kompaneĭsky, to bring the stylistic proximity between church and folk music to the fore in their compositions. See Morosan 1986, chapter 3.

[149] Another cadence type, the half cadence, is also important but less conclusive due to the absence of a tonic arrival. Beyond these three types, other types of cadence are often mentioned in theory texts; both Aldwell and Schachter (2003, 193) and Kostka and Payne (2008, 157) mention the plagal cadence as one of the means of conclusion. Caplin (1998), on the other hand, rejects the plagal cadence as a concluding function, at least in the Classical style. I need to stress that I do not consider progressions with inverted chords cadential; in this, I follow Caplin's system

In contrast to Western tonal music, the Russian common church practice displays many more IACs than PACs; moreover, the IAC possesses the measure of conclusiveness normally attributed to the PAC in Western music. There are at least as many church pieces that end with an IAC as those ending with any other kind of cadence.[151] One finds a good example of this norm in L'vov's 1848 *Obikhod*. The major portion of this book consists of the C-major triad in the position of ^3 in the soprano. Example 3.1a presents the very beginning of the Liturgy in L'vov's *Obikhod*. Here, each phrase of the choir begins and ends with the C-major tonic in the ^3 position, with an additional chord or two in the middle. Stated differently, each phrase prolongs the tonic without a descent to ^1 in the soprano. Examples 3.1 b–d present voice-leading graphs of L'vov's phrases given in 3.1a: m. 3 (Example 3.1b) and m. 5 (Example 3.1c). In both cases, the *Urlinie* remains on ^3 supported by I, with either a lower or an upper neighbor supported by a pre-dominant and a dominant chord. Finally, in Example 3.1d, interpreting L'vov's m. 4, Schenkerian practice encourages one to choose between the upper and the lower

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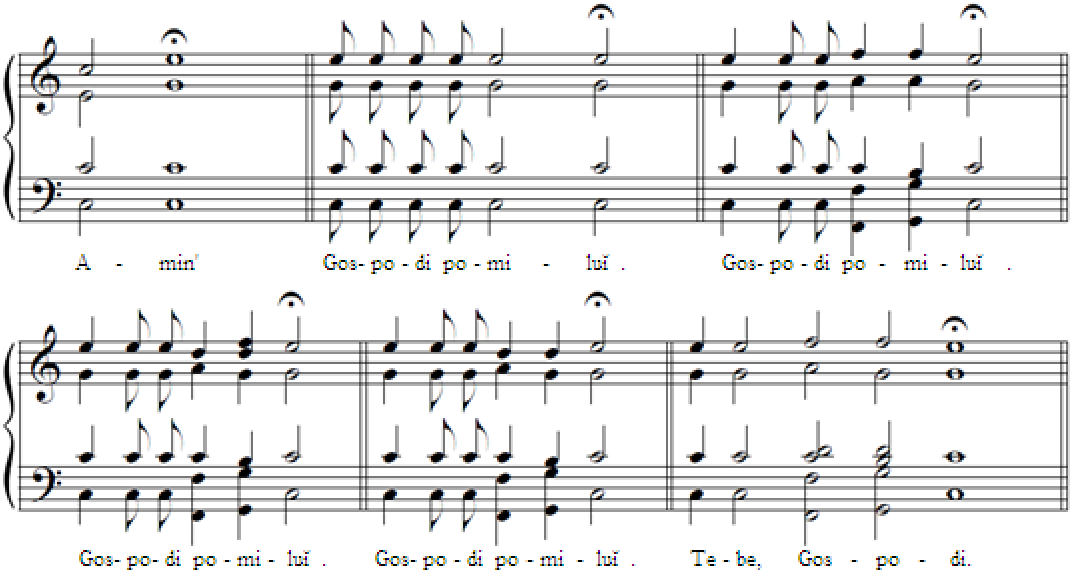
(1998 and 2004). Plagal cadences and plagal background progressions will be discussed in later chapters with respect to movements 1, 2, and 7 in the *Vigil*.

[150] Cadence might not be the only factor that prompted Schenker to favor ^1 as the end of the structural upper voice. Matthew Brown contends that the descent to ^1 is a legacy of modal counterpoint, in which one of the voices necessarily descends to the final of the mode, although Schenker, in his background structures, changes some voice-leading laws of modal counterpoint. See Brown 2005, 41–56.

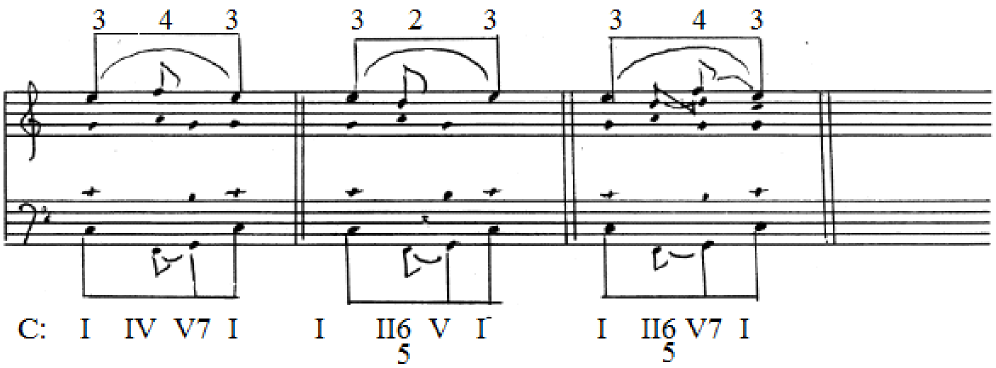
[151] To really buttress this claim, one would need to perform a statistical study of cadences in church music, which is beyond the scope of this work. But even a quick look at liturgical anthologies, such as the liturgical anthology of 1903, shows that the IAC is at least equally often, if not more often, used at the end of a piece as is the PAC. In L'vov's *Obikhod* of 1848, there are many more IACs than PACs. Beyond these two types of cadence, other kinds occur in Russian church music which are more difficult to classify; some of them may sound like half cadences, but this cadential type, due to a weakened sense of tonal center, is somewhat hard to define in this context. Other kinds of non-tonic endings are also possible.

Example 3.1. Alexeĭ L'vov (1848). Divine Liturgy, beginning. a) Score; b–d) foreground graphs


A - min'
Gos- po - di po - mi - luĭ .
Gos- po - di po - mi - luĭ .
Gos- po- di po - mi - luĭ .
Gos- po - di po - mi - luĭ .
Te - be, Gos - po - di.

[Amen. Lord, have mercy (4 times). To Thee, O Lord.]

b) c) d)


3 4 3
3 2 3
3 4 3
C: I IV V7 I
I II6 5 V I
I II6 5 V7 I

neighbor, both present on the surface, in the structural soprano voice. This graph favors ^4, which enters through the process that Schenker calls reaching-over, because it coincides with the stressed syllable "mi" in *pomiluĭ*.[152]

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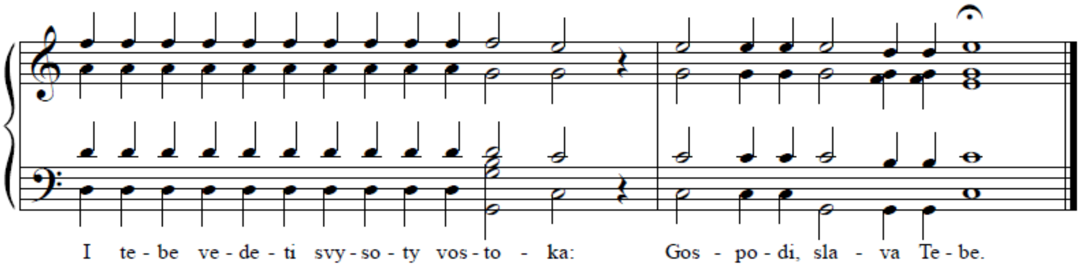
[152] My adaptation of normal Schenkerian practice to the specifics of a style has some precedents. Lori Burns (1995), for example, adjusts the normal background to account for the specific nature of Bach's modal chorales; this adjustment includes harmonic progressions and bass patterns (in Phrygian and Mixolydian chorales, for instance) not used in the common practice. Burns's results differ from mine in that I alter the upper voice of the background, not the bass line. Various diversions from the usual Schenkerian practice have also been proposed for twentieth-century music; see, for example, Vaisälä 2002, on prolongation of dissonance related to the harmonic series. A

The ending on ^3 supported by I proves to be the norm throughout L'vov's anthology. Example 3.2 gives the final measures of two other excerpts from the book, the troparion (3.2a) and the kontakion (3.2b) for the Nativity, both of which end on ^3 and thus conform to the conclusive norm of the IAC. With regard to voice leading, the troparion (3.2a) conforms to the structural prototype shown in Example 3.1c, with the upper voice featuring 3–2–3 at the end, and the kontakion (3.2b) fits the structural prototype in Ex. 3.1b (3–4–3 in the upper voice). Henceforth, I refer to both of these cadential types as the 3-IAC.[153]

Example 3.2. a) L'vov (1848, 14). Troparion for the Nativity


I te - be ve - de - ti svy - so - ty vos - to - ka: Gos - po - di, sla - va Te - be.

[They saw Thee from the heights of the East. Glory to Thee, O Lord.]

A further investigation of Russian church music demonstrates that L'vov was quite successful in enforcing his four-part harmonization style. The process of appropriation seems to have happened relatively quickly. Several decades after L'vov's enforcement of court chant across Russia and well after the emergence of the NRCS, Smolensky edited a volume entitled *Glavneĭshie pesnopeniia bozhestvennoĭ liturgii, molebna, panikhidy, i vsenoshchnogo bdeniia* (The main chants of Divine Liturgy, moleben, memorial service, and All-Night Vigil) (1893),

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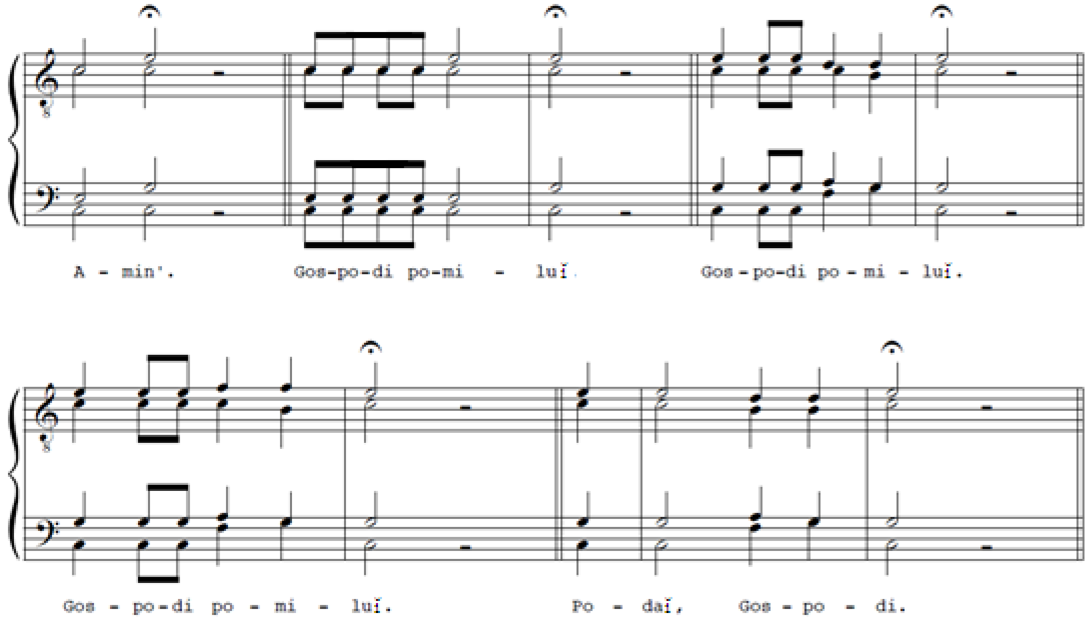
structural voice that remains on a single tone without moving anywhere else at the deepest level reselbles Richard Porterfield's (2014) notion of *Urpunkt* in Gregorian chant melodies. *Urpunkt*, however, is a lower-voice phenomenon (structural lower voice of monophonic chant), whereas my stationary "Urlinien" are in the upper voice.

[153] The notion of the 3-IAC, with a different name, has been proposed by Walter Everett (2004). Everett (31) explores unusual or incomplete fundamental lines in Romantic songs; the line that arrives on ^3 appears as type B^{3a} (5–4–3 line). He later offers a list of songs that feature this line (57).

which preserves in written form an oral practice of church singing that obviously relied on L’vov’s style but which Smolensky does not credit to him. Compare L’vov’s (Example 3.1) and Smolensky’s (Example 3.3) beginning of the Liturgy: not only are both constantly supported by a triad in the ^3 position, but most of the phrases are syntactically identical and differ only with respect to chord voicing.[154] This style, including some of Smolensky’s chants with or without minor modifications, is still widely used in the Russian Orthodox Church, where it continues to form a stylistic norm. This norm is reflected in such editions as the *Posobie po Izucheniiu Osmoglasiia* (A Manual for the Study of Octoechos), edited in 1999 by Kustovsky and Potiomkina. The edition, a written fixture of an oral tradition that originated in L’vov’s time and survived almost a century of attempted destruction by Soviet authorities, relies on and is at times identical to the section devoted to the eight tones in Smolensky’s *Glavneĭshie Pesnopeniia*.

Example 3.3. Stepan Smolensky (1893). Divine Liturgy, beginning



[Amen. Lord, have mercy (3 times) …grant us O Lord.]

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[154] Later sections of Smolensky’s volume feature pieces that are more independent of L’vov’s harmonization (see “Dostoĭno Est’,” Example. 3.11a, to be analyzed later), but the fundamental reliance on L’vov is evident at least in the preference for the 3-IAC.

In the remainder of this chapter, I will refer to the 1999 *Octoechos* as a sort of stylistic essence of the common church practice. It could seem more appropriate to use Smolensky's *Glavneĭshie Pesnopeniia* (1893) for the same purpose, since his edition is contemporaneous with Rachmaninoff and was in all probability known to the composer. The primary reason for my choice is that the 1999 version is more clearly organized: the eight tones (*glasy*) are arranged by number and are first given as short schemes without text; texts are added only later. This system offers remarkable visual clarity. In my own examples taken from the 1999 *Octoechos,* I re-notate the tones to match them with text. Some details differ between the two editions, sometimes including cadences. Neither offers works that are fixed once and forever, but they represent an *oral* tradition, which constantly changes in the process of transmission, although certain elements of it may remain unaltered for centuries.

Even a superficial glance at the 1999 *Octoechos* shows a crucial dependence on L'vov's four-part style, with its limited harmonic lexicon, absence of regular meter, recitations on a single chord, and an abundance of 3-IACs. Example 3.4a gives an excerpt from the *Octoechos* of 1999, a harmonization of Tone 1 (troparion), which almost exactly reproduces one of the troparia from L'vov's 1848 *Obikhod*, Example 3.4b,[155] only with a different voicing (L'vov's soprano melody appears in the alto part in the 1999 anthology).[156] Further, recitation on a single triad in the position of ^3, or a structure centered around such a triad, is used in some composers' liturgies, in particular their beginnings, including Tchaikovsky's (1878) and Rachmaninoff's (1910).[157] To this day, the constantly ringing major chord in the position of ^3 is a sonic marker of every Russian church.

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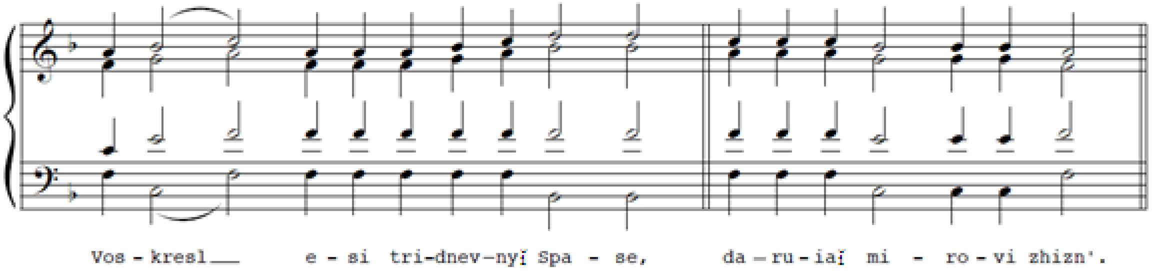
[155] To avoid repetition later in this chapter, it should be made clear here that all the music from Smolensky's 1893 *Glavneĭshie Pesnopeniia* and the 1999 *Octoechos* presents a simplified monophonic chant in the soprano and thus is chant-based in the most straightforward way.

[156] Smolensky 1893 has a voicing similar to L'vov's, but a slightly different melody. Therefore, in both Smolensky and L'vov this troparion has a PAC (^1 is in the soprano), while the 1999 version has an IAC (^1 is in the alto). The difference between the version of the troparion with PAC and with IAC is not surprising: as opposed to the Western church tradition, where the monophonic chant is fixed in the *Liber Usualis* and similar anthologies, the chant of the Russian tradition does not exist in a single authoritative form. While the more ancient (pre-seventeenth-century) sources are often difficult to decode, the more recent chants exist in multiple versions that differ depending on time and place (in other words, it is an oral tradition).

Example 3.4. a) *Octoechos* 1999 (Kustovsky and Potiomkina). Tone 1 troparion


Vos - kresl___ e - si tri-dnev-nyĭ Spa - se, da - ru - iaĭ mi - ro - vi zhizn'.

[Thou hast risen in three days, O Savior, who giveth life to the world.]

The 3-IAC is extremely typical of Russian church music, both anonymous and by specific composers. Let it only be mentioned that the 1999 *Octoechos* contains only a few PACs while comprising 45 pages of music, in which cadences occur quite often. The 3-IAC occurs in roughly half of all the final cadences (i.e., a cadence before a double bar line) in A.V. Kastorsky's All-Night Vigil (1910), part of which essentially belongs to the anonymous body of repertoire that I call the common church practice. Approximately the same percentage of 3-IACs is found in the *Tserkovno-Pevcheskiĭ Sbornik*, a church anthology published by the Holy Synod in 1903.[158]

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[157] Tchaikovsky's *Liturgy of St. John Chrysostom* presents a curious fusion of the common church practice and Western Romantic style. The sections of the service that are performed responsorially with the priest and the deacon employ short phrases organized around a triad in the position of ^3, though the harmony is more varied than in L'vov's 1848 edition. In the more self-standing movements, however, such as the Cherubic hymn and *Milost' Mira*, he completely abandons the church style and reverts to Western tonality, with its normal PACs, goal-directed tonal motion, and rich harmonic vocabulary.

[158] For an example of a final ^3-IAC in the 1903 anthology, see the hymn *Svete Tikhiĭ* in Volume 5, pp. 135–37. From a voice-leading viewpoint, the fundamental line of the piece may be read as both 5–4–3 and 3–4–3, as both scale degrees 3 and 5 are present in the first phrase.

Due to the normalcy of the 3-IAC, the voice-leading structures shown in Example 3.1 b and c may be considered the structural prototypes for much, though not all, of Russian liturgical music. These prototypes function in much the same way the Schenkerian fundamental structure functions in most Western tonal music, with one exception: a neighboring motion such as ^3–^4–^3 cannot be said to compose out an interval of the tonic triad. This difference would have been significant to Schenker; it is less so for our purposes. Example 3.5 juxtaposes two kinds of prototypes, the traditional Schenkerian one with a descent to ^1 in the *Urlinie* (Example 3.5a and b) and the one I propose to view as the foundation for the Russian common church practice (Example 3.5 c–e). The very last type, with a descent from ^5 to ^3, may also be found in many pieces; Ex. 3.6 provides an instance, Tone 8 (troparion) from the 1999 *Octoechos,* that conforms to this descending structural type.[159] In Example 3.5d, the dissonant V^7 chord supporting ^4 is noteworthy.[160] In short phrases such as those in L'vov's anthology, V^7 is rarely prolonged; rather, it is a single chord, after which a return to the tonic occurs. In more extended pieces, however, it is possible to interpret a longer passage as prolonging V^7, based on the prototype shown here.

Before turning to more extended pieces based on the prototypical background structures, a pause is appropriate to reflect on the nature of the IAC in the common church practice. In Western tonal music, the strength of a cadence—HC, IAC, or PAC, the last being the strongest—

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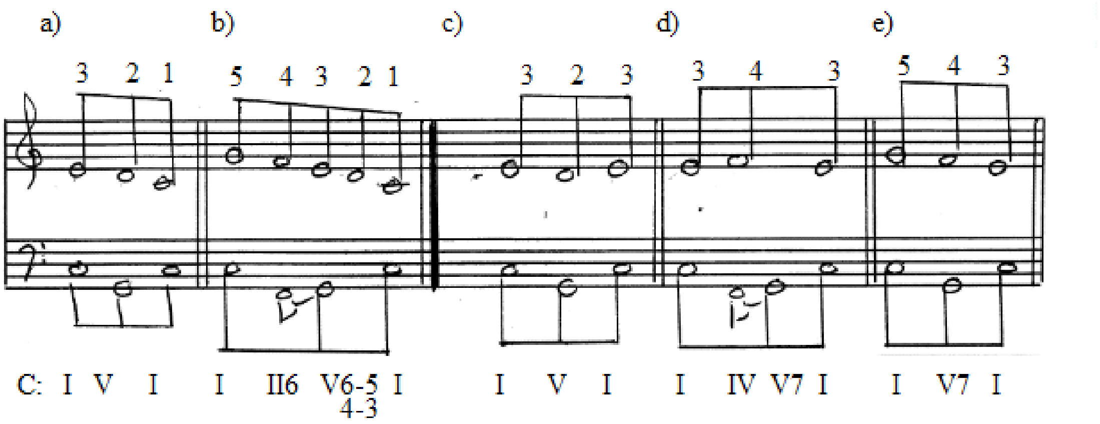
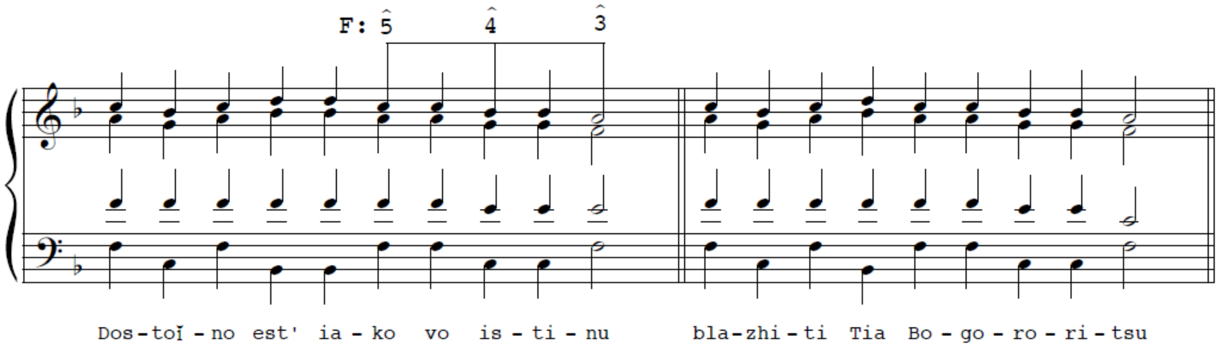
[159] In the eight tones of liturgical music, one or two (rarely three) phrases repeat over and over again as many times as any specific text requires, sometimes followed by a different concluding phrase that occurs only once at the end. Tone 8 (troparion), shown in Example 3.6, has only one phrase, and thus its cadence is also the final cadence of an entire piece (a troparion) that uses this tone. In Tone 1, shown in Example 3.4a, the final cadence of an entire piece is the cadence of the second phrase.

[160] It is worth mentioning that, taken alone, the soprano line of examples such as this Tone 8 troparion might sound as though it ends on the final of the Phrygian mode. While such an interpretation is possible, we do not possess any information that would suggest whether such a hearing was viable for monophonic chants before they were harmonized in four voices. No extant writings about Russian music that were produced before the eighteenth century contain anything pertaining to the concept of final. In the context of four-part harmonization, however, the function of the soprano note as ^3 in a major key is very clear.

Example 3.5. Background prototypes: a and b: Schenker (Western tonal music); c–e: Russian common church practice.


a)
b)
c)
d)
e)
3 2 1
5 4 3 2 1
3 2 3
3 4 3
5 4 3
C: I V I
I II6 V6-5 4-3 I
I V I
I IV V7 I
I V7 I

Example 3.6. *Octoechos* 1999, Tone 8 troparion.


F: 5̂ 4̂ 3̂
Dos - toĭ - no est' ia - ko vo is - ti - nu
bla - zhi - ti Tia Bo - go - ro - ri - tsu

depends partly on its placement within a piece. The stronger the cadence, the more significant formal closure it provides (for example, the end of a piece or a long section).[161] The deployment of cadences, therefore, depends directly on the concept of ending (and therefore of beginning too), and the hierarchy of cadences relies on a hierarchy of formal units. In the Orthodox liturgical practice, however, the sense of beginning and ending is significantly weakened. Returning to Example 3.1, one can see that each phrase is separated from the next one with a double bar line. This happens because what the choir sings is actually antiphonal, performed as a response to a phrase sung by the priest. The choir's phrases, therefore, function neither as self-standing sections nor as true endings. Rather, they are part of a process. The same refers to longer excerpts. The troparion given in Example 3.2a is immediately followed by the doxology, which, like the troparion itself, ends with the tonic in the ^3 position, immediately followed, in its turn, by a kontakion. The service is organized in such a way that none of the choir's phrases functions as a true close.[162] Thus the function of conclusion is somewhat attenuated in the Orthodox liturgical context, and this makes a strong cadence less necessary than it is in the context of self-standing pieces of non-liturgical nature.[163] The 3-IAC emphasizes the ongoing, processual nature of the service while also serving as a logical extension and structural elevation of the much-used triad in the position of ^3.

---

[161] This cadential hierarchy is based on Caplin (1998 and 2004, 107) and pertains primarily to the Classical repertoire. For Caplin, the hierarchy of cadences directly correlates with formal functionality. For a broader repertoire of tonal music, such a view of cadence (HC—IAC—PAC, in ascending order of strength) would be somewhat rigid, but still true in many cases. For a more inclusive view of cadence, see Ann Blombach (1987).

It is true that, for the most part, composers who wrote for the church around the turn of the twentieth century did not rely on the style dictated by L'vov. As Morosan says, some, such as Alexender Kastal'sky, Nikolai Kompaneisky, and Viktor Kalinnikov, strove to find unique styles that would reflect some features of Russian musical heritage. Others, like Alexandr Arkhangel'sky and, to a certain degree, Pavel Chesnokov, relied more on Western style than on anything specifically Russian.[164] And yet, the pervasive influence of L'vov's stylistic traits, and especially the ubiquitous use of the 3-IAC, allow one to consider it as a stylistic norm of Russian church music in general. It seems quite a natural choice for composers of liturgical pieces to incorporate this special feature of church music into their compositions, a feature familiar to all church singers and congregations regardless of their level of musical training.

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[162] Some priests augment this processual quality by insisting on a fast pace of the service. Moreover, even the actual end of an entire service is never completely fixed; after a final utterance, the priest may ask the choir for an additional piece, often of the precentor's choice.

[163] There are a few exceptions, such as the Cherubic hymn and the hymn *Milost' Mira* (The mercy of peace), both of them part of the Divine Liturgy and both usually performed as more independent units than others. It is perhaps for this reason that these hymns sometimes end with a PAC; see, for example, the final PAC in B major (before the seven-measure post-cadential phrase) of the Cherubic hymn in Tchaikovsky's Liturgy.

[164] Chesnokov did use Russian chant melodies (which are present in roughly one-third of his compositions, according to Morosan); his harmonic style, however, is more westernized than that of some other church composers.

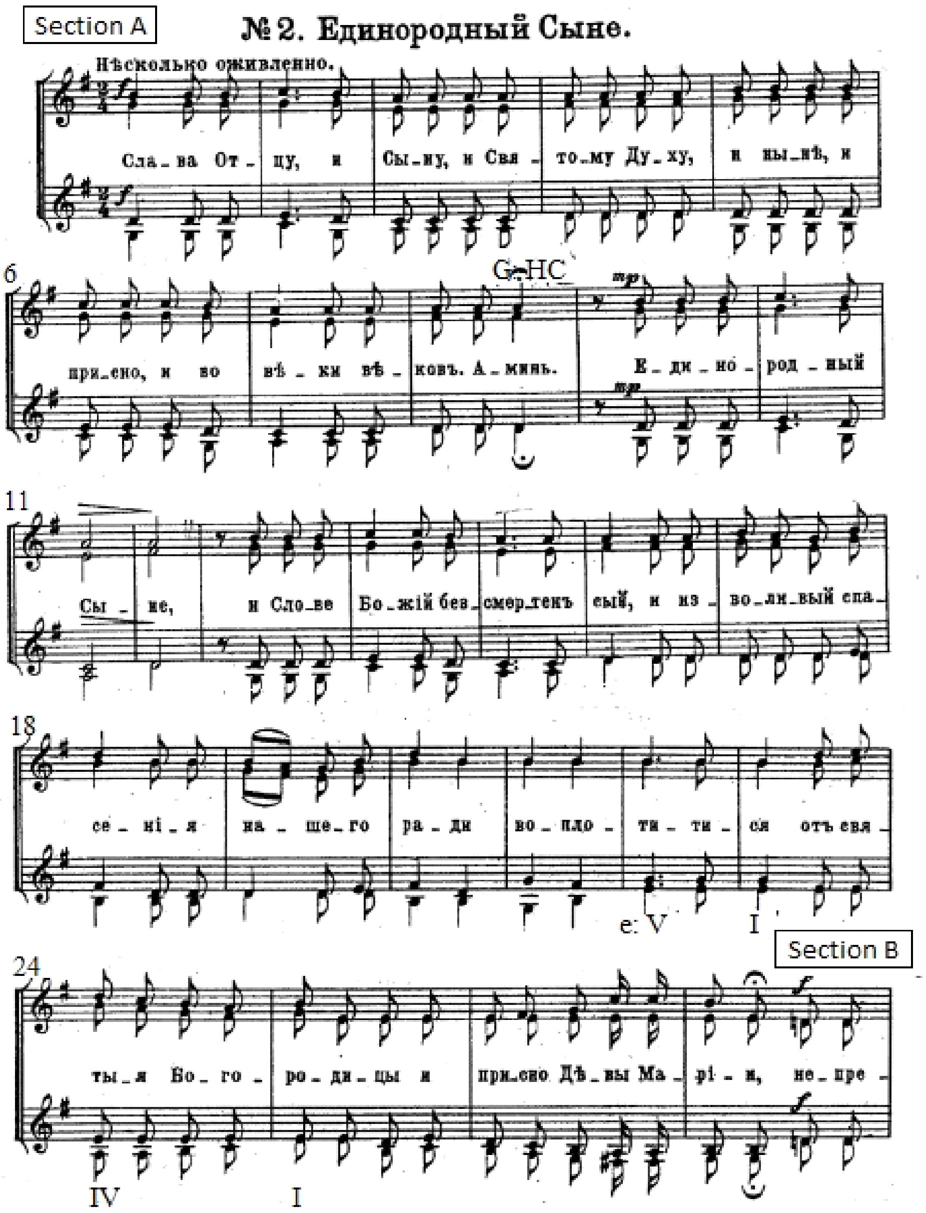
Finally, let us examine a relatively extended musical example featuring a ^3-IAC as a concluding cadence and thus conforming to a structural prototype with the *Urlinie* ending on ^3. The piece is *Edinorodnyĭ Syne* [Only Begotten Son], presented as Example 3.7a, from the Liturgy of Alexandr Kastal'sky (1905). In this hymn, we find a form that we may consider ternary based on harmonic content: section A (up to *Syi* in m. 16) establishes G major, with a few half cadences in this key; section B (up to *Bozhe* in m. 35) emphasizes E minor and returns eventually to G (HC in G, m. 38); section A' (m. 40 to the end), again in G major, brings back the opening material with modifications and cadences with a final 3-IAC in the very last measure. Example 3.7b presents foreground and middleground graphs of the hymn. The middleground graph highlights the large-scale motion from the tonic of G major to its relative E minor (VI) and to a half cadence in the latter key (the B major chord in m. 31); it shows an interruption at the HC in G in m. 38 and brings the structure to a tonic close at the end. As the graph demonstrates, the structure is not essentially different from that of a multitude of tonal pieces, the only difference being the closing imperfect cadence. Therefore, I read the *Urlinie* of the piece as returning to its initial tone, ^3, rather than descending to ^1, as it would normally do in Western music. The piece thus conforms to the structural prototype suggested in Example 3.5c, where the *Urlinie* features the neighboring figure 3–2–3, supported by I–V–I.[165]

In summary, one of the main stylistic features of Russian church music is the overwhelming importance of the triad in the position of ^3 and, as a logical extension of this feature, the normalcy of the 3-IAC as a conclusive cadence. Based on this cadential norm, first established by L’vov in the mid-nineteenth century, I have proposed to adapt the Schenkerian fundamental structure to Russian church music by altering the upper voice, which concludes on ^3 rather than ^1. While the behavior of the upper voice changes, all other norms of Schenkerian analysis, both voice-leading and syntactical, remain in force.

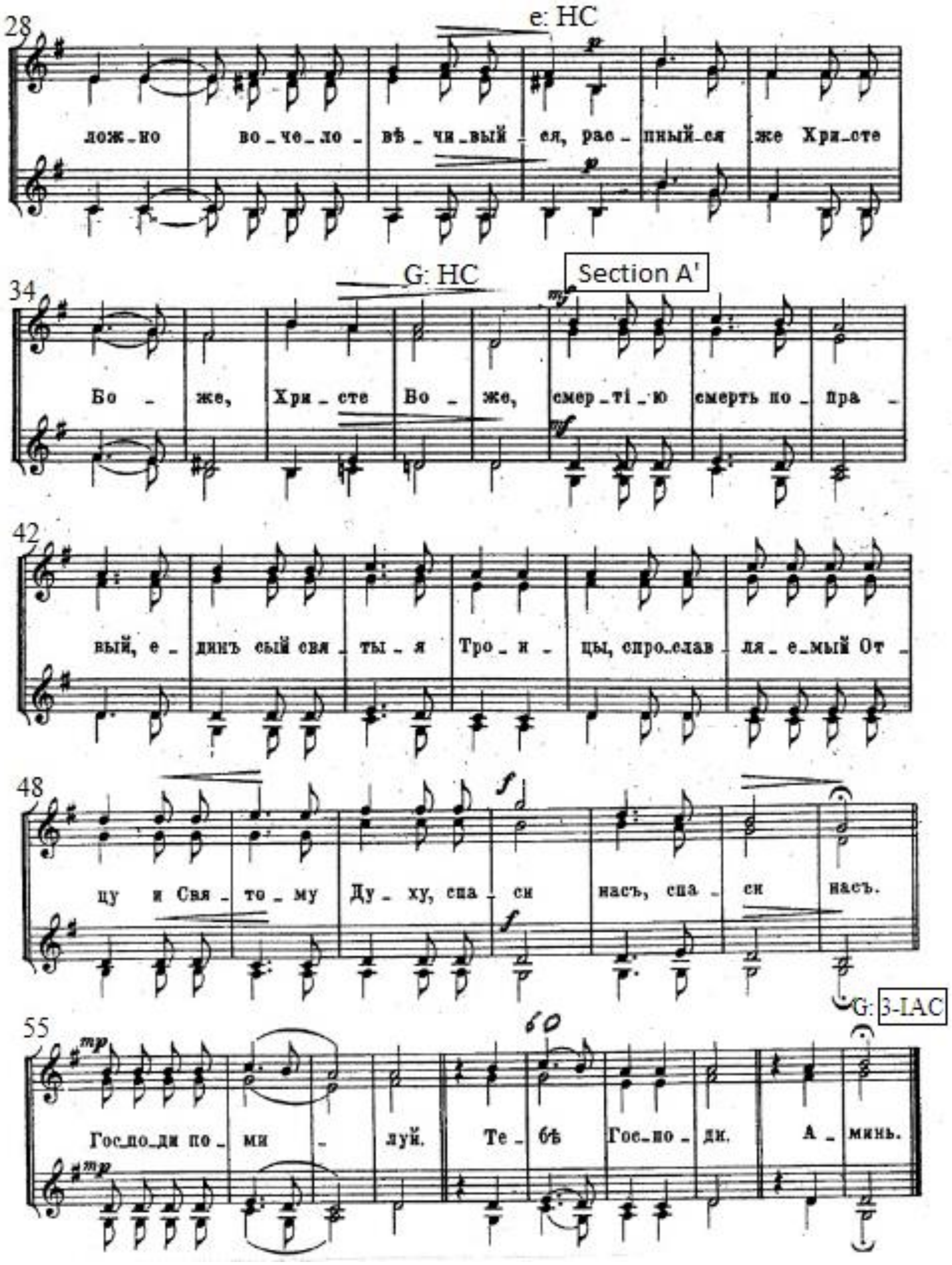
---

[165] Another significant feature of the piece is the high rank of E minor, which of course highlights the relative relationship. Although I would not call the piece truly relative-mutable, this feature pertains to the issue of mutability.

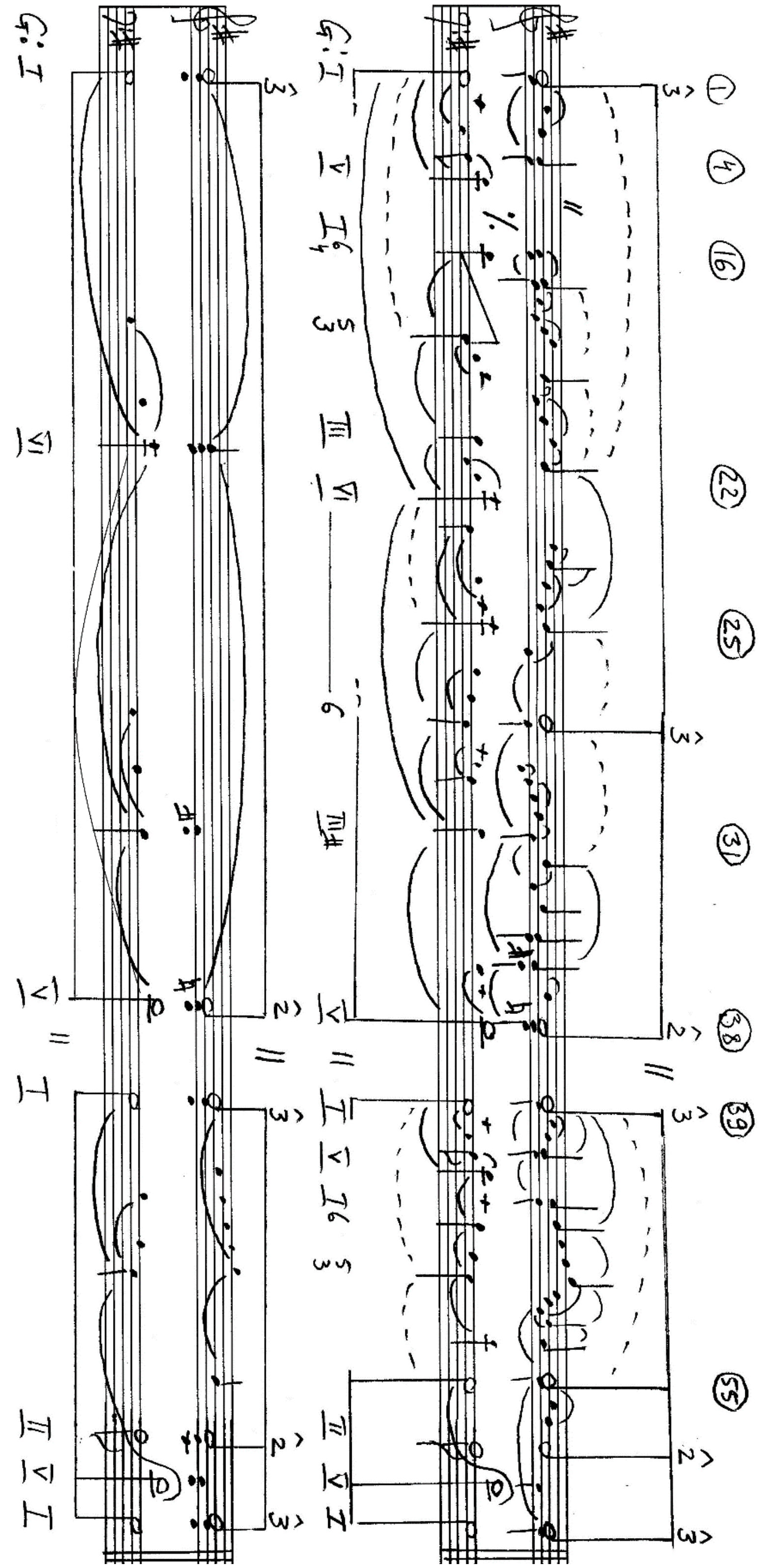
Example 3.7. a) Alexandr Kastal’sky, Divine Liturgy (1905), “Edinorodnyĭ Syne”


Section A
№ 2. Единородный Сыне.
Нѣсколько оживленно.
Сла - ва От - цу, и Сы - ну, и Свя - то - му Ду - ху, и ны - нѣ, и
6
при - сно, и во вѣ - ки вѣ - ковъ. А - минь. Е - ди - но - род - ный
G-HC
mp
11
Сы - не, и Сло - ве Бо - жій без - смер - тенъ сый, и из - во - ли - вый спа -
18
се - ні - я на - ше - го ра - ди во - пло - ти - ти - ся отъ свя -
e: V
I
Section B
24
ты - я Бо - го - ро - ди - цы и при - сно Дѣ - вы Ма - рі - и, не - пре -
f
IV
I

(Ex. 3.7a continued)


28
e: HC
лож-но во-че-ло-вѣ-чи-вый-ся, рас-пный-ся же Хри-сте
34
G: HC
Section A'
Бо-же, Хри-сте Бо-же, смер-тi-ю смерть по-пра-
42
вый, е-динъ сый свя-ты-я Тро-и-цы, спро-слав-ля-е-мый От-
48
цу и Свя-то-му Ду-ху, спа-си насъ, спа-си насъ.
G: 3-IAC
55
60
Гос-по-ди по-ми-луй. Те-бѣ Гос-по-ди. А-минь.

Example 3.7. b) Kastal’sky, “Edinorodnyĭ Syne,” voice-leading graph (foreground and middleground)


G: I
VI
V
I
II
V
I
3^
2^
3^
2^
3^
①
④
⑯
㉒
㉕
㉛
㊳
㊴
㊺

Analysis of relative mutability: Monotonal and directionally tonal contexts

We return to the question of mutability and the various ways in which it manifests itself in specific musical situations. As I have mentioned, relative mutability is the most common type of mutability in church music. Therefore, let us consider this type before moving on to more complex situations.

Let us first look at instances where the high significance of the relative relationship does not break the normative structural prototype of tonal music. Relative mutability, as I have shown, is conceptually close to the pairing of relative keys: both notions require repeated motion between the two keys. Although in some cases such a motion results in directionally tonal structures, Peter Smith (2013) has shown that “pairing need not correlate with a weakened sense of tonal centricity, but on the contrary may function as a driving force within avowedly monotonal contexts” (98). He then analyzes works by Beethoven, Schubert, Schumann, and Brahms where the relative relationship is emphasized at some level, or more precisely at multiple levels.

Smith’s assertion distances tonal pairing from mutability to a certain extent, since mutability normally presupposes a weakened tonal center. And yet, the situation suggested by Smith does occur in many pieces of the NRCS. Example 3.8a gives, with some omissions, a freely composed hymn by Alexandr Sheremetev, *Nyne Sily Nebesnyia* (Now the powers of Heaven) (1902). Unlike much Russian choral music of the time, the piece is written in a remarkably Western style: the harmonic syntax and part writing are normal, the harmonic vocabulary is varied, and tonal motion is rich and goal-oriented toward cadences. Sheremetev relies neither on L’vov-inspired court chant, with its unmetered recitations on a single chord, nor on the folk-based heterophonic style some church composers favored.[166] Within a context normal for Western tonal music, the composer explores the relative relationship at different levels of structure. After establishing the home key of D (mm. 1–3), he moves immediately to B minor and eventually arrives to a cadence on an F-sharp-major chord (m. 10), which I interpret as a HC in B minor; see my foreground-level graph in Example 3.8b. This event is followed by a more extended prolongation of B, on the words "Se bo vkhodit Tsar'" (the King of glory enters). This time, the process comes to a B-major chord that resolves to E major, producing a 3-IAC in this key. The next section, intended to be performed after a brief pause,[167] begins with a complete *Ursatz* replica in A major before returning to the final phrase in the home key, once again briefly touching upon B minor (mm. 46–47) with voice leading closely resembling that of the beginning (mm. 4–5).

The relative key, B minor, is thus employed at two different levels at least: twice at a more immediate level (in the first and last phrase) and once at a deeper level (see the lowest system of Example 3.8b), although it does not receive a fully-fledged prolongation such as an *Ursatz* replica. The very first move to B, mm. 4–5, is especially important because it is part of a I–V–VI progression, which, as will be shown shortly, is extremely characteristic for mutability in

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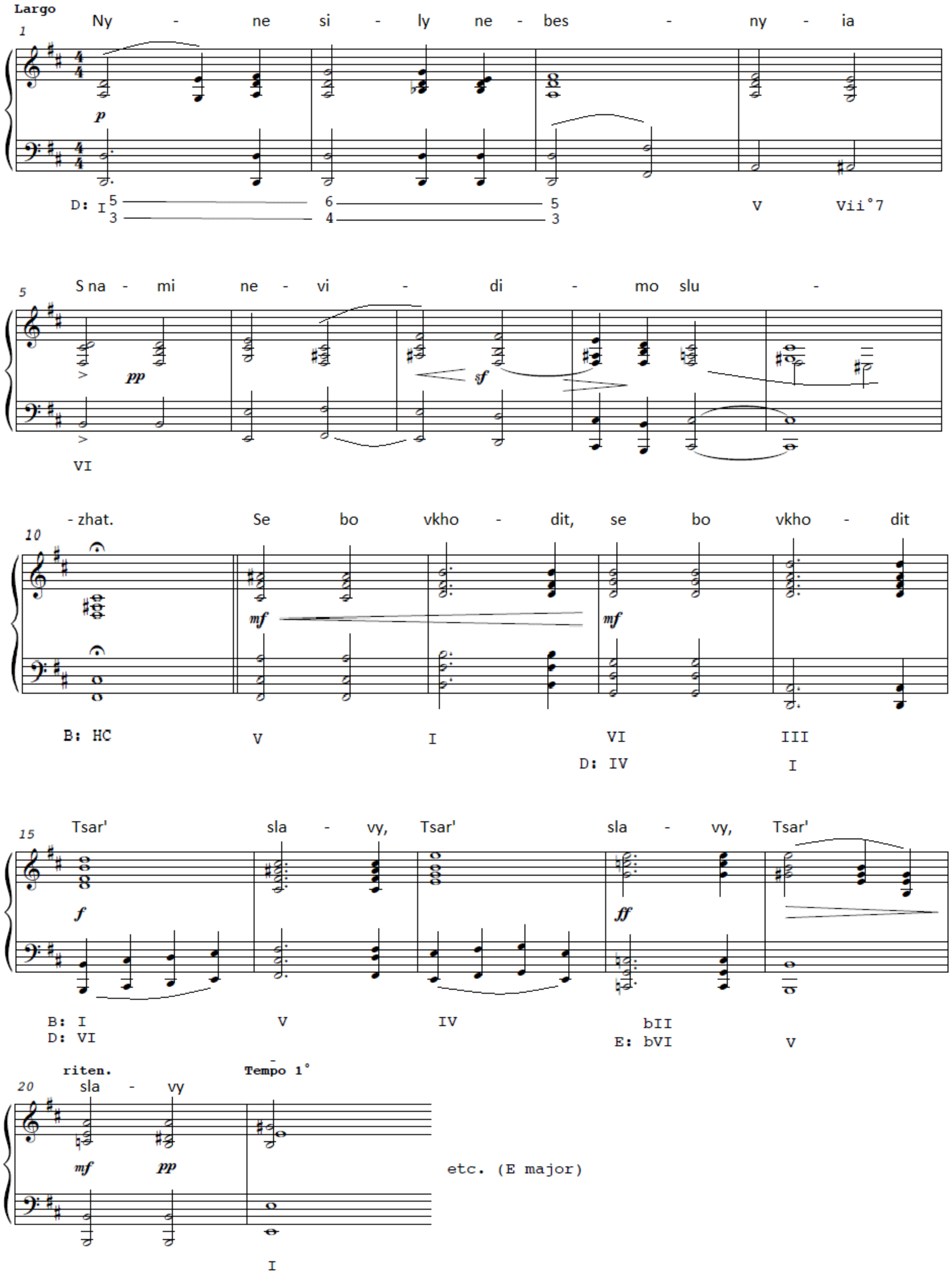
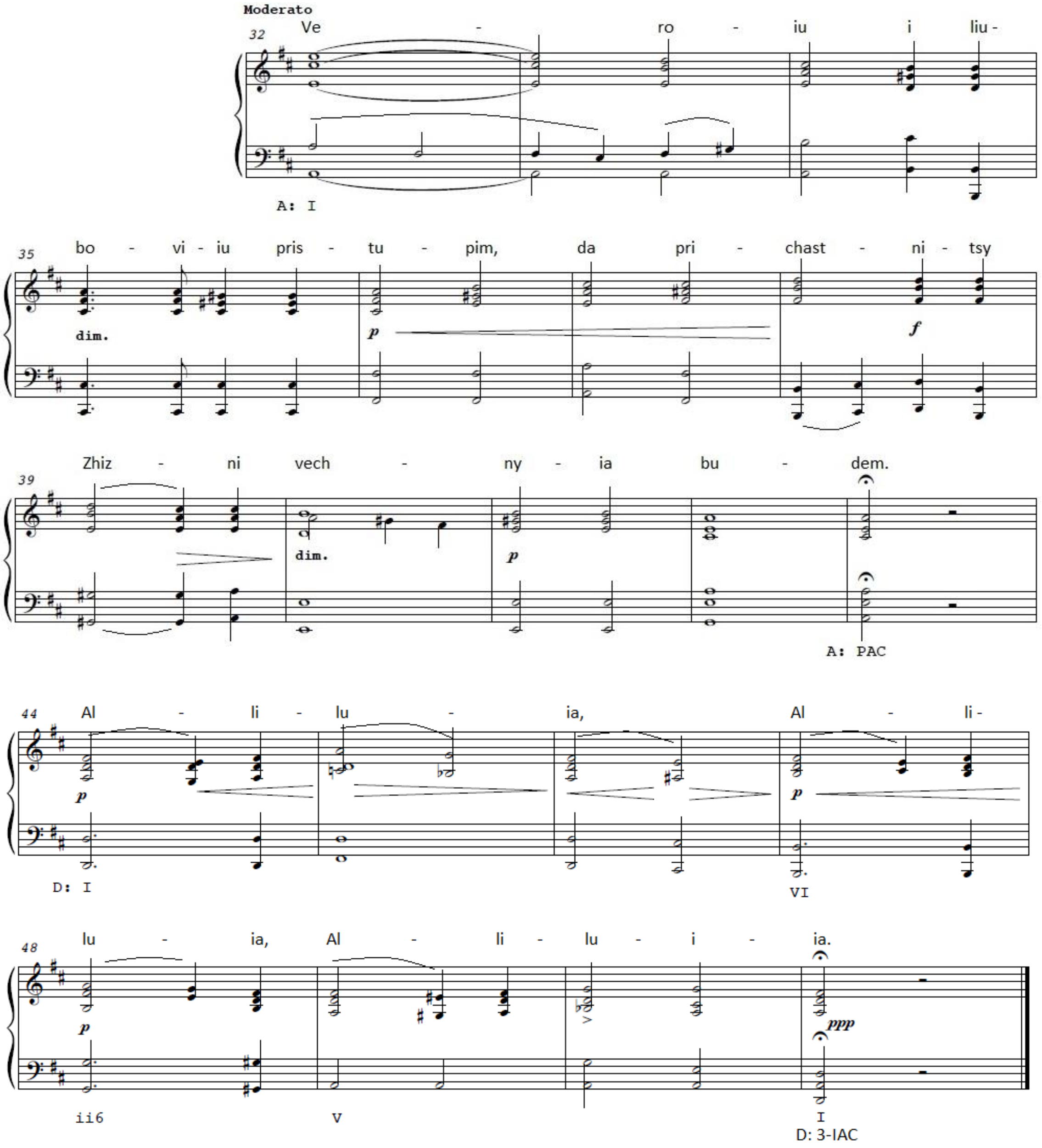
[166] Heterophony based on folk-choral tradition was especially preferred by Kastal'sky. Boris Asaf'ev wrote at length about Kastal'sky's heterophonic principle of weaving textures out of short melodic formulae (*popevki*) and "variant subordinate voices." See Asaf'ev, "Kharakternye osobennosti iskusstva Kastal'skogo" (Characteristic features of Kastal'sly's art), quoted in Morosan (1986, 233). To some extent, heterophonic texture, with voices at times converging or splitting, may be found in Smolenky's edited volume (1893). See, for example, Example 3.11a, phrase 4, where the two lower voices converge and four-part texture becomes three-part for a few words.

[167] The pause is used for a silent procession with the pre-sanctified gifts, followed by the moderato section of the hymn. The entire hymn is part of the liturgy of the pre-sanctified gifts in Lenten time; see Morosan's preface in Sheremetev 1998.

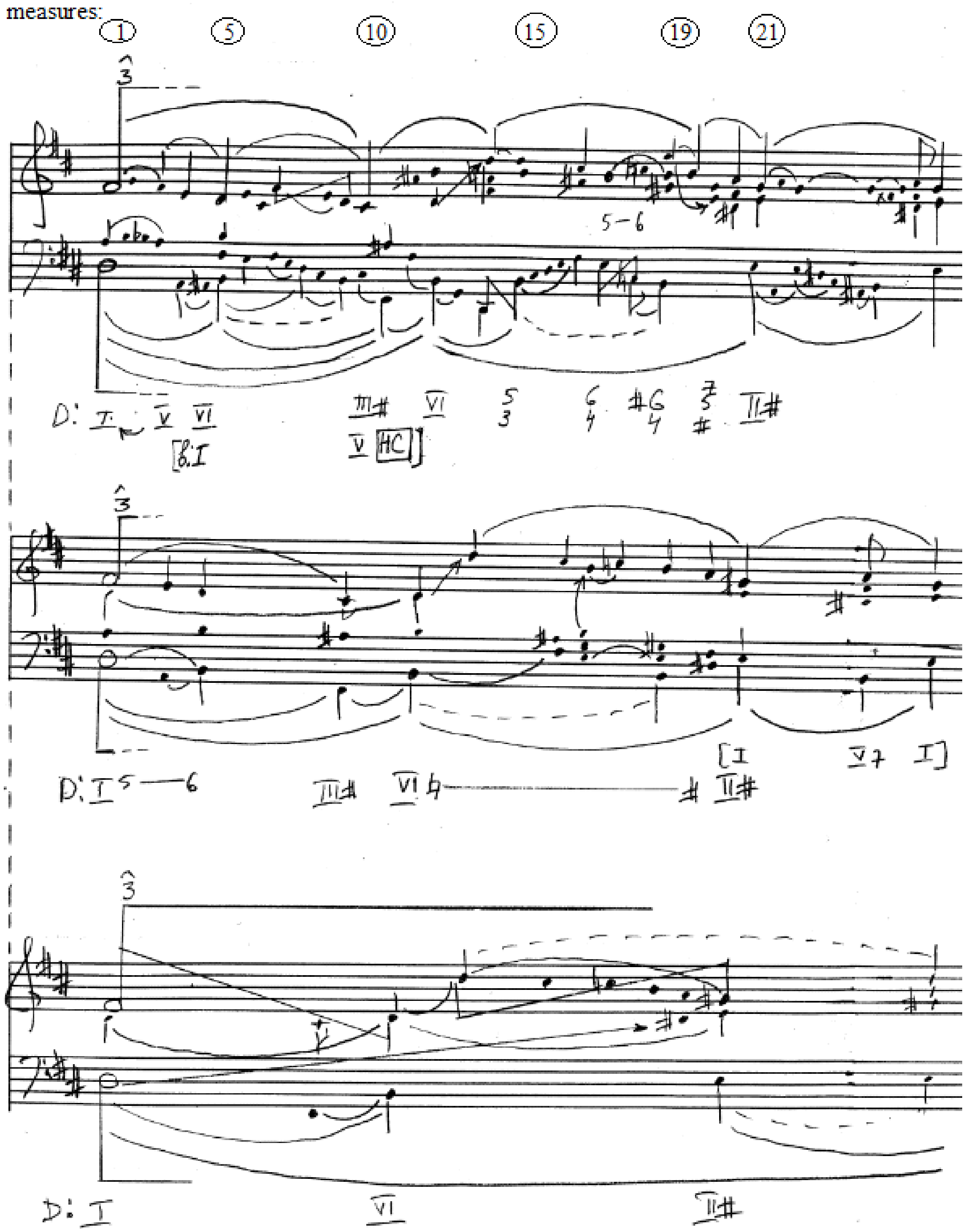
Example 3.8 a) Alexandr Sheremetev. “Nyne sily nebesnyia” (1902)


Largo
1
Ny - ne si - ly ne - bes - ny - ia
p
D: I 5 3 6 4 5 3 V Vii°7
5
S na - mi ne - vi - di - mo slu -
pp
sf
VI
10
- zhat. Se bo vkho - dit, se bo vkho - dit
mf
mf
B: HC V I VI III
D: IV I
15
Tsar' sla - vy, Tsar' sla - vy, Tsar'
f
ff
B: I V IV bII
D: VI
E: bVI V
20
riten.
Tempo 1°
sla - vy
mf
pp
etc. (E major)
I

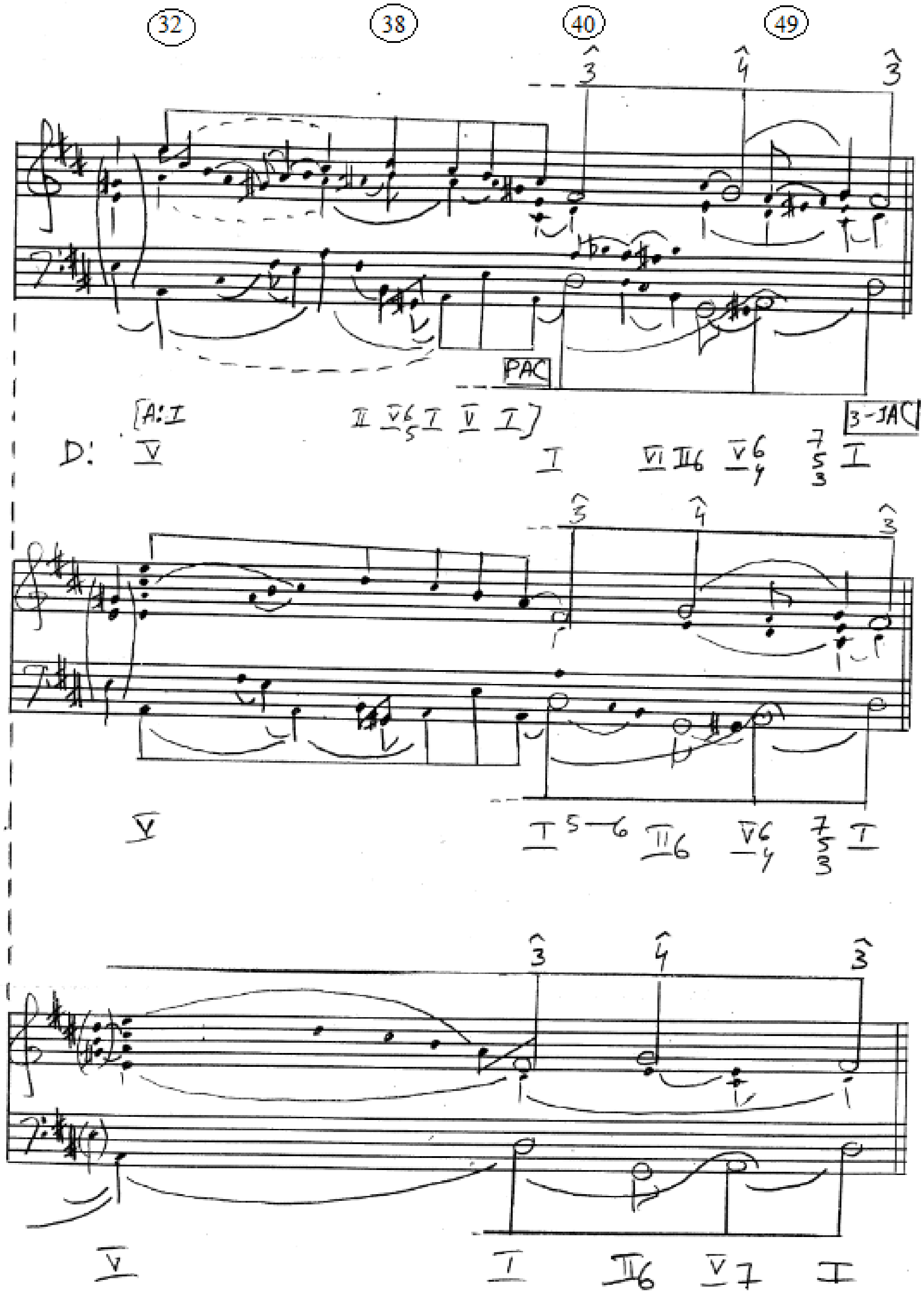
(Example 3.8a continued)


Moderato
32
Ve - ro - iu i liu -
A: I
35
bo - vi - iu pris - tu - pim, da pri - chast - ni - tsy
dim.
p
f
39
Zhiz - ni vech - ny - ia bu - dem.
dim.
p
A: PAC
44
Al - li - lu - ia, Al - li -
p
p
D: I
VI
48
lu - ia, Al - li - lu - i - ia.
p
ppp
ii6
V
I
D: 3-IAC

Example 3.8 b) Sheremetev, “Nyne Sily,” Voice-leading graph (foreground and middleground)


measures:
①
⑤
⑩
⑮
⑲
㉑
3̂
5–6
D: I V VI
[b: I
III# VI 5/3 6/4 #6/4 7/5/# II#
V HC]
3̂
D: I 5—6
III# VI ♮ # II#
[I V7 I]
3̂
D: I
VI
II#

(Ex. 3.8b continued)


32
38
40
49
3̂
4̂
3̂
PAC
[A: I
II V6/5 I V I]
3-IAC
D: V
I
VI II6 V6/4 7/5/3 I
3̂
4̂
3̂
V
I 5—6 II6 V6/4 7/5/3 I
3̂
4̂
3̂
V
I II6 V7 I

Russian church music.[168] The hymn as a whole fully conforms to the norms of tonal music. It does not even feature a true pairing of keys; it only hints at relative mutability at moments such as the I–V–VI progression at the beginning, as well as the alternation between B and D chords in mm. 12–15. The only digression of the whole structure from the Schenkerian norm is the ultimate arrival of the *Urlinie* to ^3 instead of ^1. The hymn thus fits the structural prototype 3–4–3 (I–V^7–I) (see Example 3.5d).

While Sheremetev's piece offers us only traces of relative mutability, a great many church pieces fully reside in the realm of this mutability type by constantly moving between two relative keys, while still remaining within a monotonal framework. In fact, some musical episodes used in the common church practice utilize nothing but two relative tonics and their dominants. For an example, look at Tone 6 (troparion) in the 1999 *Octoechos* (see Example 3.9a), set in E minor paired with G major. The tone consists of three phrases: the first prolongs E minor, the second its VII chord, the third moves from III (of which VII is dominant) and eventually moves back to V of E (half cadence) in the manner of a Western *romanesca*; see the graph in Example 3.9b. (Note the I–VII–III progression, equivalent to VI–V–I in major, so common in the church style, which we have encountered in Sheremetev's work as well.) The process repeats as many times as is required by the specific text used on a particular occasion; in this specific example I have used the text "Ne imamy inyia pomoshchi."[169] For the final phrase of the text, a new section is used, one that finally comes to a V–I cadence, a 3-IAC in E. The complete piece thus presents an interrupted structure where the interruption recurs multiple times until the final IAC resolves all the preceding dominants of E minor.

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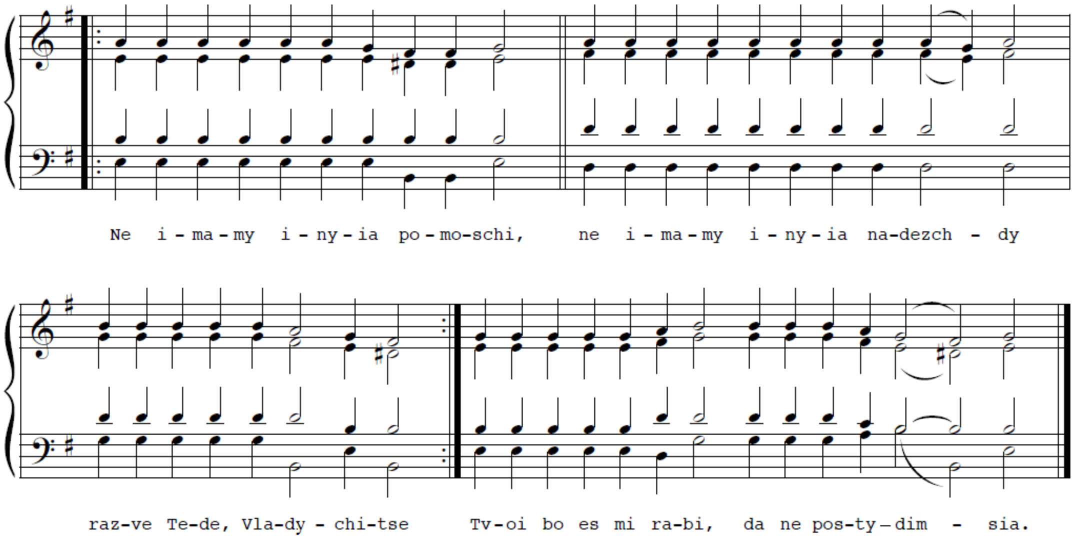
[168] The same progression in a reverse order, VI–V–I, occurs in the context of A major in mm. 36–37. The section as a whole hints at the pairing of A and F sharp, both of which occur more than once in this section (mm. 32–43).

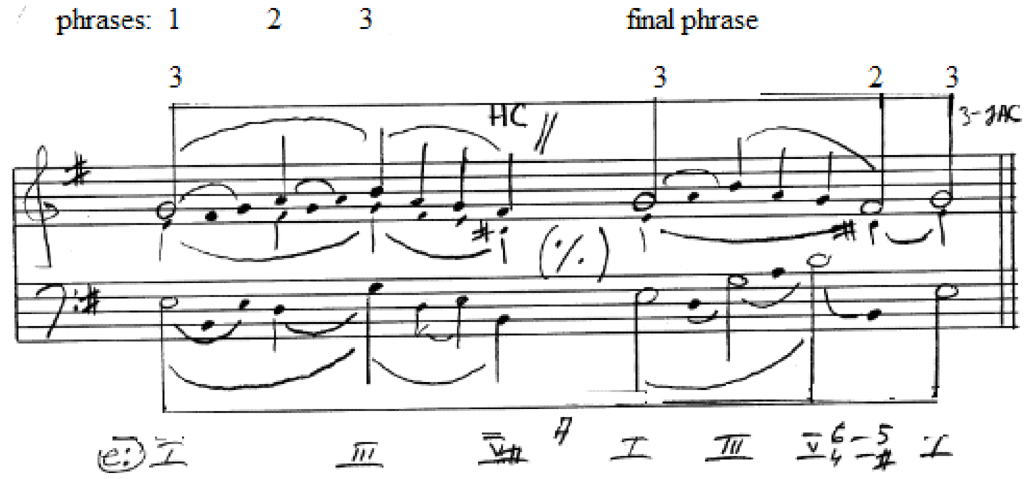
[169] This text is a troparion to the Mother of God, a hymn used for all types of service as well as for non-liturgical prayers, for instance, the kanon-moleben to the Most Holy Theotokos (see the 2006 edition of the Kanonnik, an Orthodox prayer book in Church Slavonic).

Example 3.9 a) *Octoechos* 1999. Tone 6 troparion.


Ne i - ma - my i - ny - ia po - mo-schi, ne i - ma - my i - ny - ia na-dezch - dy
raz-ve Te-de, Vla-dy - chi-tse Tv-oi bo es mi ra-bi, da ne pos-ty-dim - sia.

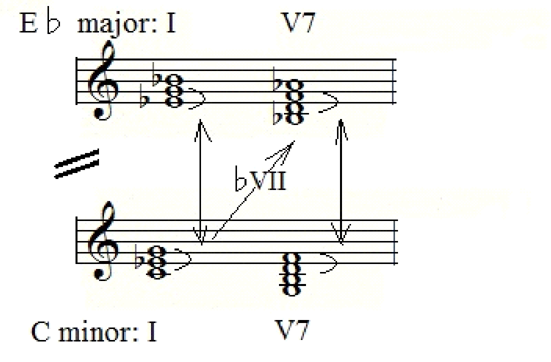
[We have no other help and no other hope but Thee, Queen of the world. . .we are Thine servants and so will not be ashamed.]

b) Tone 6 troparion, voice-leading graph (foreground)


phrases: 1 2 3
final phrase
3
3
2
3
HC
3-1 IAC
(%)
e: I
III
V#7
I
III
V 6-5 4-#
I

Except for the final cadence, which includes a brief pre-dominant chord, the entire tone displays only four harmonies: the tonics and dominants of E minor and G major. In a somewhat different context (the music of Mikhail Glinka), Zavlunov (2010, 439) calls this network of relative tonics and dominants primary and secondary mutable centers respectively.[170] Example 3.10 presents these four mutable centers schematically. For Glinka, as for many other nineteenth-century Russian composers, relative mutability and the primary- and secondary-center scheme are definitely important, but not to such an extent as in the case of Tone 6. Here, the use of the four mutable centers is amplified by the extreme limitation of the harmonic gamut and the extreme repetitiveness of musical material. This repetitiveness distinguishes the common church style from others, where recurrent motion between relative keys also takes place (such as some of the Italian operatic arias analyzed in Rothstein 2008), but where the tonics and dominants are normally complemented by other harmonies and diverse musical material is used. Let us consider Tone 6 as the prototypical, quintessential representation of relative mutability in a monotonal context.

Example 3.10. Schematic representation of relative mutability.



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[170] The network of primary and secondary mutable centers is implicitly foundational for those who consider relative mutability as either the only (Mazel and Berkov) or the primary (Sposobin) type of mutability. This network is also crucial in writings on the pairing of relative keys in Western music.

The limitation of harmonic vocabulary to the four mutable centers is rather typical for tone harmonizations and the common church practice in general. The progression shown in the last example, I–VII–III in minor (or VI–V–I in major) in this or the opposite order, is perhaps the most frequently used progression in the entire repertoire. In this progression, the middle chord, a secondary center, may perhaps be heard to function as a dominant of both tonics simultaneously.[171] Returning to Sheremetev's *Nyne Sily* (Example 3.8), for all the normalcy of its harmonic language, the same progression (a slightly composed-out I–V–VI) is found in mm. 3–5, later repeated in the recapitulation section. Given the church context for which the piece is intended, this harmonic gesture early in the piece definitely points to the quintessential mutable progression, the heart of the relative mutability so explicitly insisted upon in many tone harmonizations.

A similar harmonic vocabulary is found in the anonymous "Dostoĭno Est'" from Smolensky's *Glavneĭshie Pesnopeniia*; the beginning and end of the hymn appear in Example 3.11a; 3.11b offers a voice-leading interpretation.[172] The hymn, in A minor paired with C major, consists of four musical phrases, which follow each other in a somewhat irregular order (that is, the order is not always from 1 to 4).[173] The hymn uses exclusively the primary and secondary centers of relative mutability, i.e., the minimal harmonic requirement for the expression of the relative-mutable mode, with a single exception—the D-minor chord in phrase 3. In contrast to the previous example, this one displays some inverted chords, and the phrases themselves are

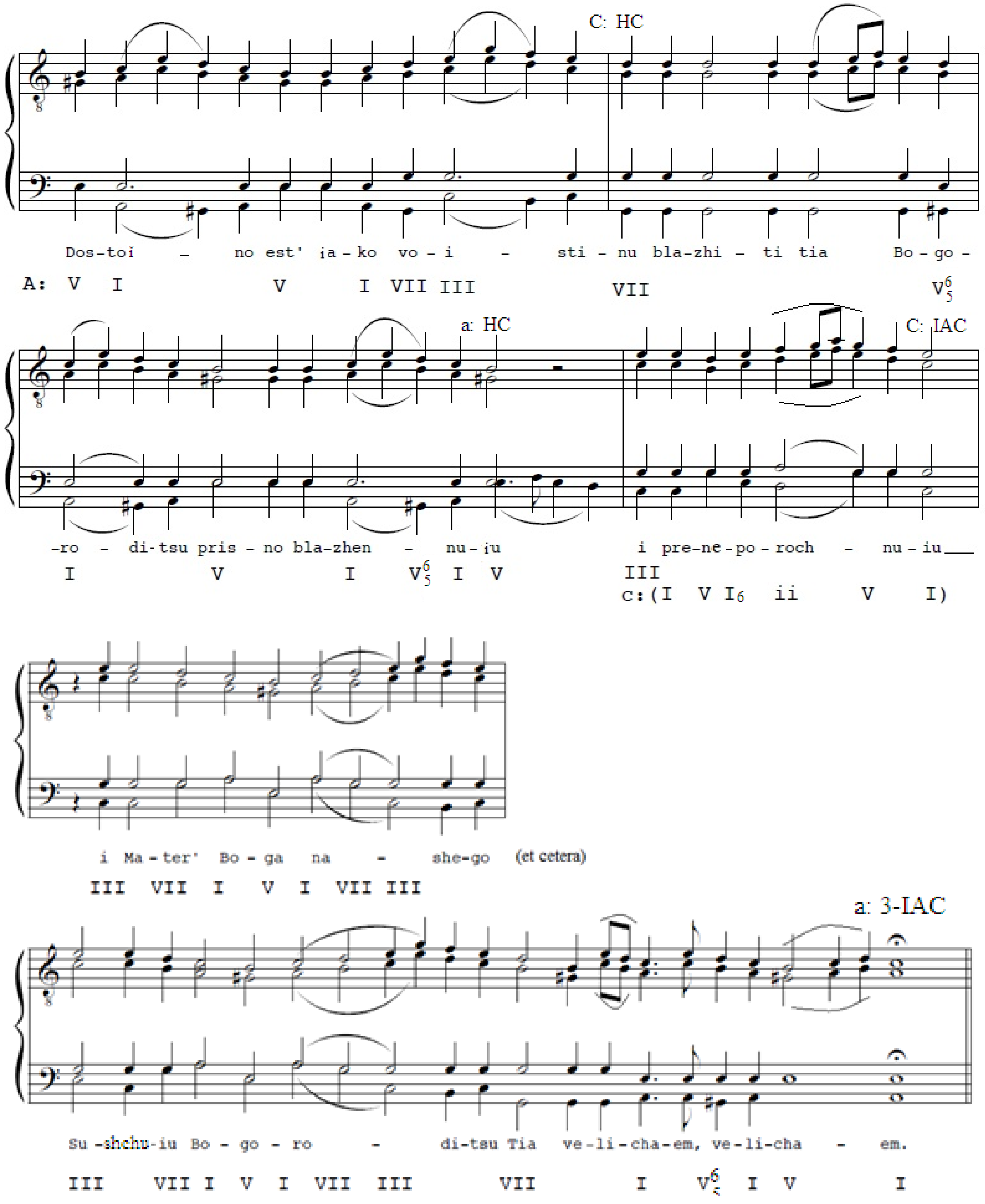
---

[171] This idea corresponds, in principle, to an assertion of La Rue's regarding baroque harmony, although the chord he discusses is the opposite of mine: it is the V of minor that, for him, "functions as alternate for the dominant" in the relative major (La Rue 2001, 292). Expressed in terms of mutability, this is primary/secondary center relationships that would create a diagonal line opposite to that in my Example 3.10.

[172] The text of this hymn is the same as the one given in Example 3.6 with the music of Tone 8 (troparion).

[173] The presence of a few musical units recurring each time with a different text makes this hymn resemble the structure of the tones. Smolensky, however, does not call this a tone, since the music is used only for this specific text and therefore is not an unchangeable chant, as a tone should be.

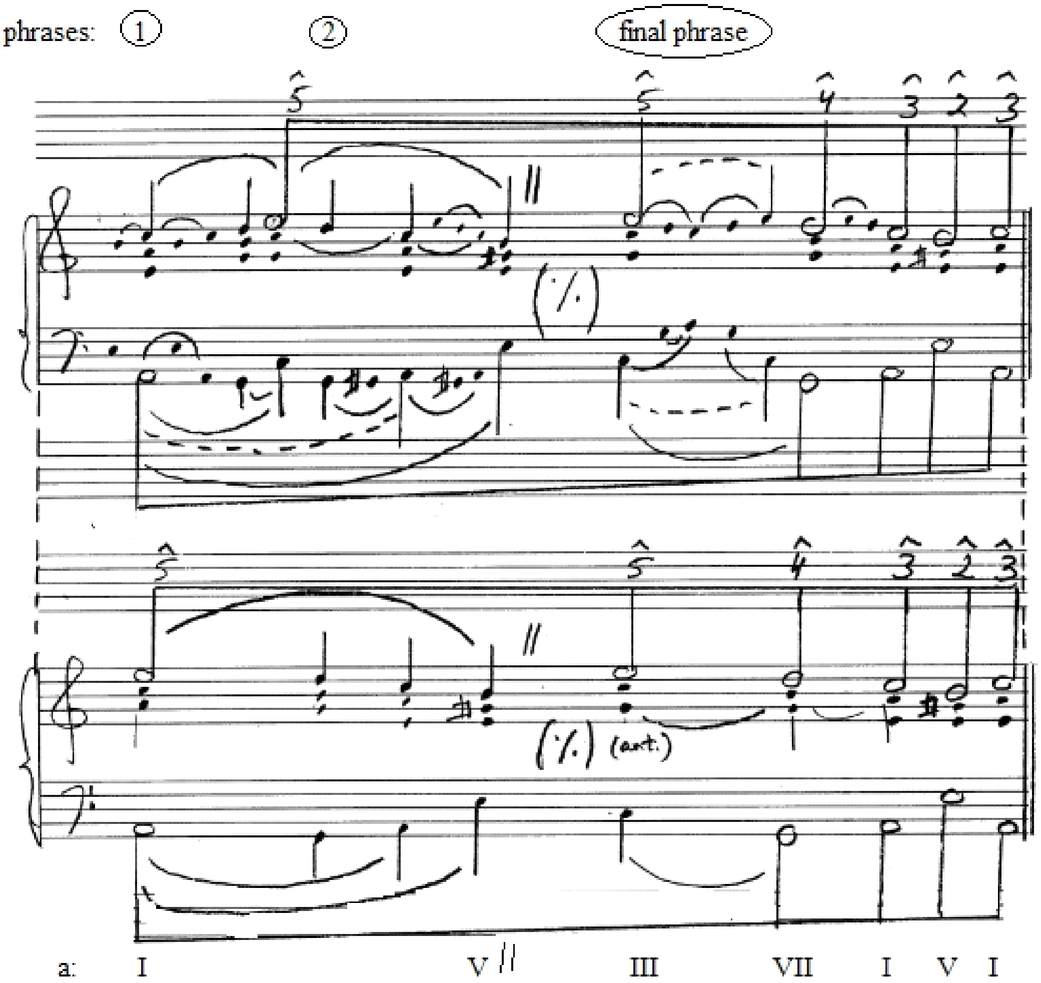
Example 3.11. a) Smolensky, *Glavneĭshie Pesnopeniia* (1893), “Dostoĭno Est’”



C: HC
Dos-toi – no est' ia-ko vo-i – sti-nu bla-zhi – ti tia Bo-go-
A: V I V I VII III VII V6/5
a: HC
C: IAC
-ro – di-tsu pris-no bla-zhen – nu-iu i pre-ne-po-roch – nu-iu
I V I V6/5 I V III
c: (I V I6 ii V I)
i Ma-ter' Bo-ga na – she-go (et cetera)
III VII I V I VII III
a: 3-IAC
Su-shchu-iu Bo-go-ro – di-tsu Tia ve-li-cha-em, ve-li-cha – em.
III VII I V I VII III VII I V6/5 I V I

[It is truly worthy to glorify Thee, Theotokos, blessed and pure and the mother of our God. . .we honor Thee, true Theotokos.]

Example 3.11 b) Smolensky, “Dostoĭno Est’,” voice-leading graph (foreground and middleground)


phrases: ①
②
final phrase
$\hat{5}$
$\hat{5}$
$\hat{4}$
$\hat{3}$
$\hat{2}$
$\hat{3}$
//
(%)
$\hat{5}$
$\hat{5}$
$\hat{4}$
$\hat{3}$
$\hat{2}$
$\hat{3}$
//
(%) (art.)
a: I
V //
III
VII
I
V
I

longer and more melodically developed. Phrases 1, 2, and 3 have their own unique endings and thus provide us with the following cadence types: HC in C, HC in a (phrase 2), and 3-IAC in C (phrase 3).[174] (Note the I–VII–V progression in phrase 1, the marker of relative mutability.) The only harmony that never appears as cadential until the very end is the tonic of A minor, whose continual delay makes the final 3-IAC in that key all the more satisfying and conclusive. The A-minor beginning and the final cadence give tonal unity to the hymn, which thus proves to be solidly monotonal, notwithstanding its unmistakably mutable nature, the constant vacillation between A-minor and C-major tonics and dominants. Example 3.11b shows this monotonal structure, in which the half cadence on E is especially apparent at the middleground (the second system), whereas the half cadence on G is subsumed into the passing motion E–D–C–B.

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[174] The HC in C major is less strong than the other cadences; it does not function as a goal on the larger scale (see the middleground level in Ex. 3.11b), since the tone D in the upper voice is passing in a motion towards a stronger cadence—the HC in A minor. Nevertheless, locally the G harmony on “*nu*” in “*voistinu*” (truly) serves as a brief stop and is usually performed this way, often with a breath taken right after this word. The G harmony is also emphasized by being held for several syllables.

Once again, a serious divergence from normative Schenkerian logic at the deep level is the final arrival of the *Urlinie* on ^3; another important feature is the VII harmonic support of ^4, producing parallel fifths at the background between the outer voices.[175] The parallels, however, are less surprising than they would be in a Western tonal piece. Surface parallel fifths sometimes occur in the common church practice and so justify the situation at deeper levels.[176] Given the VII harmonic support of the ^4, we are faced with a background structure that contains all four harmonic pillars of the relative mutable mode—I, V, III, and VII of A minor.[177] To summarize Smolensky's "Dostoĭno Est'," the piece is monotonal due to its beginning and ending in A minor and mutable due to the exclusive use of primary and secondary relative-mutable centers. Put differently, the hymn instantiates the pairing of relative keys within a monotonal framework.

Relative mutability manifests itself not only in pieces where the relative major or minor of the main key is prominent at some level, but even more clearly in cases where the beginning and ending are in different keys. Some have suggested interpreting such examples by means of an auxiliary cadence, for example Carl Schachter (1999) and Poundie Burstein (1983); in this case, the key of the beginning is read as subordinate to the key of the end, and we are faced with an off-tonic beginning.[178] Others, such as Lewis (1987), insist that in some instances the tonal duality is irreducible and that a monotonal reading of a piece where two keys are hierarchically equal is inadequate. Wadsworth (2013) has offered some prototypical structures, shown in Example 3.12, for such directionally tonal pieces.[179] In all of these schemes, the major key always comes first, and the minor follows. The first two schemes (Example 3.12a), which he considers directionally tonal, show two relative tonics with a soprano descent to ^1 in each key. In other words, each key receives its own complete fundamental structure, with a common tone between the two *Urlinien*. The other two schemes (3.12b), which he regards as instances of tonal pairing, are complicated by the absence of either a concluding tonic in the first key or an opening tonic in the second. The first *Ursatz*, therefore, is incomplete, and the second complete, or vice versa.

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[175] One way of avoiding the parallels at the background level would be to read the piece as a 3-line, with the *Urlinie* beginning on C. It seems to me, however, that the parallel fifths are not problematic in the context of this style, and that the 5-line interpretation here, just as in Tone 6 in the previous example, makes good musical sense.

[176] In the oral practice as fixed in the 1999 *Octoechos*, parallel fifths occur at times between phrases. See, for instance, sticheron of Tone 5 in Example 3.13, the motion to the G-major chord between phrases 4 and 5. Surface fifths happen in Rachmaninoff's and some other composers' choral works, as well as Rachmaninoff's non-sacred output (see, for instance, the lower voices in the main theme of *Symphonic Dances*, movement 1).

[177] It should be noted that, at the deep middleground level, the chord III preceding VII produced an unusual situation—an anticipation G in an inner voice, which in a more familiar context would move up to G sharp for a V chord.

Let me first explore the possibilities given in Wadsworth's first two schemes. In the common church practice, the double-*Ursatz* prototype occurs rather seldom. The reason for this is that few extended sections of the music he examines unambiguously prolong a single tonic. Not every piece displays an alternation of relative tonics, but the ones that do alternate continuously from the beginning to the end, which makes a complete prolongation of each tonic successively almost impossible. As opposed to some Western works, where a considerable amount of time is often spent in each key unambiguously, the common church practice puts more emphasis on incessant vacillation between two tonics, rather than on juxtaposition of extended stretches of time in each key.[180]

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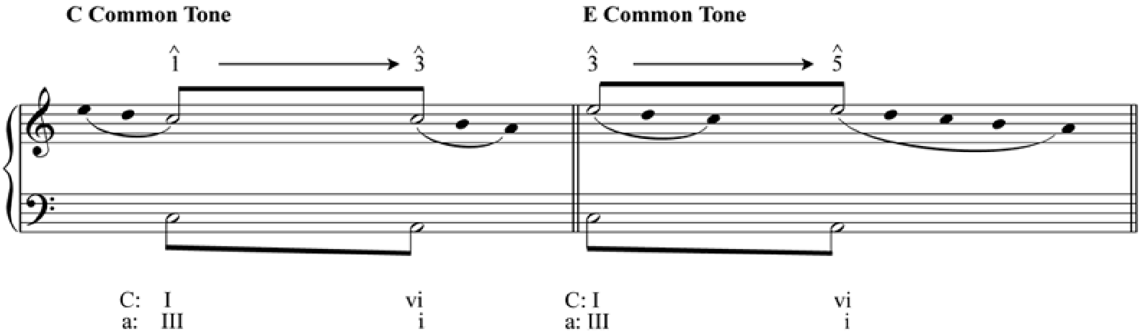
[178] Burstein (1983) presents an analysis of Wagner's *Tristan* (the prelude and the ending of Act 1) that, in a certain sense, can be seen as the opposite of Bailey's analysis: Bailey sees the prelude as based on two keys (C major and A minor) irreducible to each other, while Burstein refers all the events of this section to the tonic of C. On the concept of auxiliary cadence, a non-tonic beginning that is ultimately referable to a unifying tonic that appears later in the piece, see Burstein 2006.

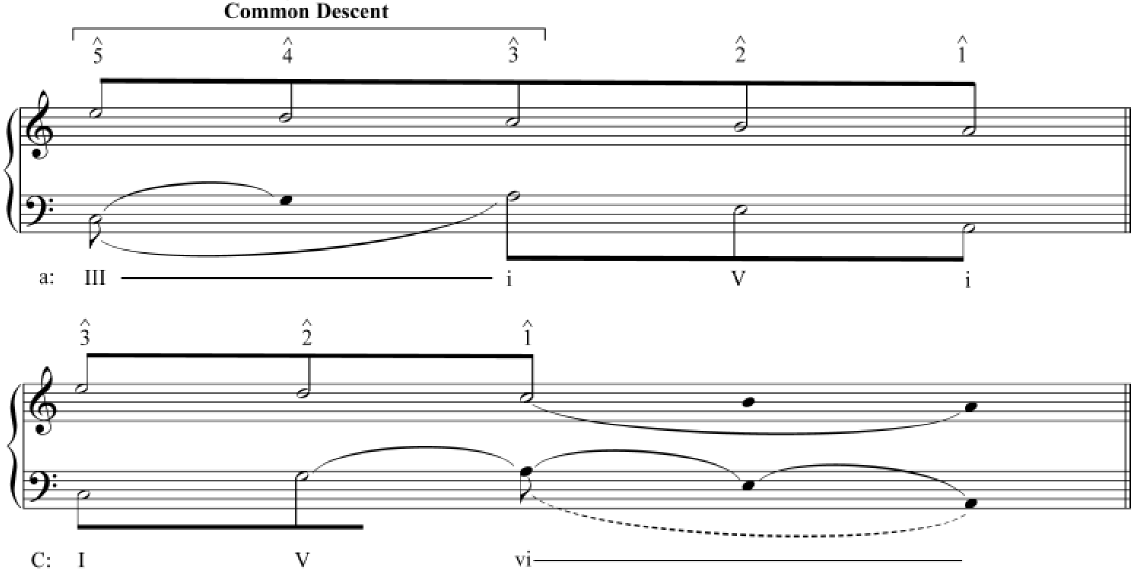
[179] The repertoire Wadsworth analyzes is early Schumann, but the prototypes work well for other tonal music, including Russian church music, with some differences that will be accounted for shortly.

Example 3.12. Benjamin Wadsworth, 2012 (his Ex. 3). Background prototypes for non-monototnal structures. (Used with the author's permission)

a) Directional tonality



b) Tonal pairing



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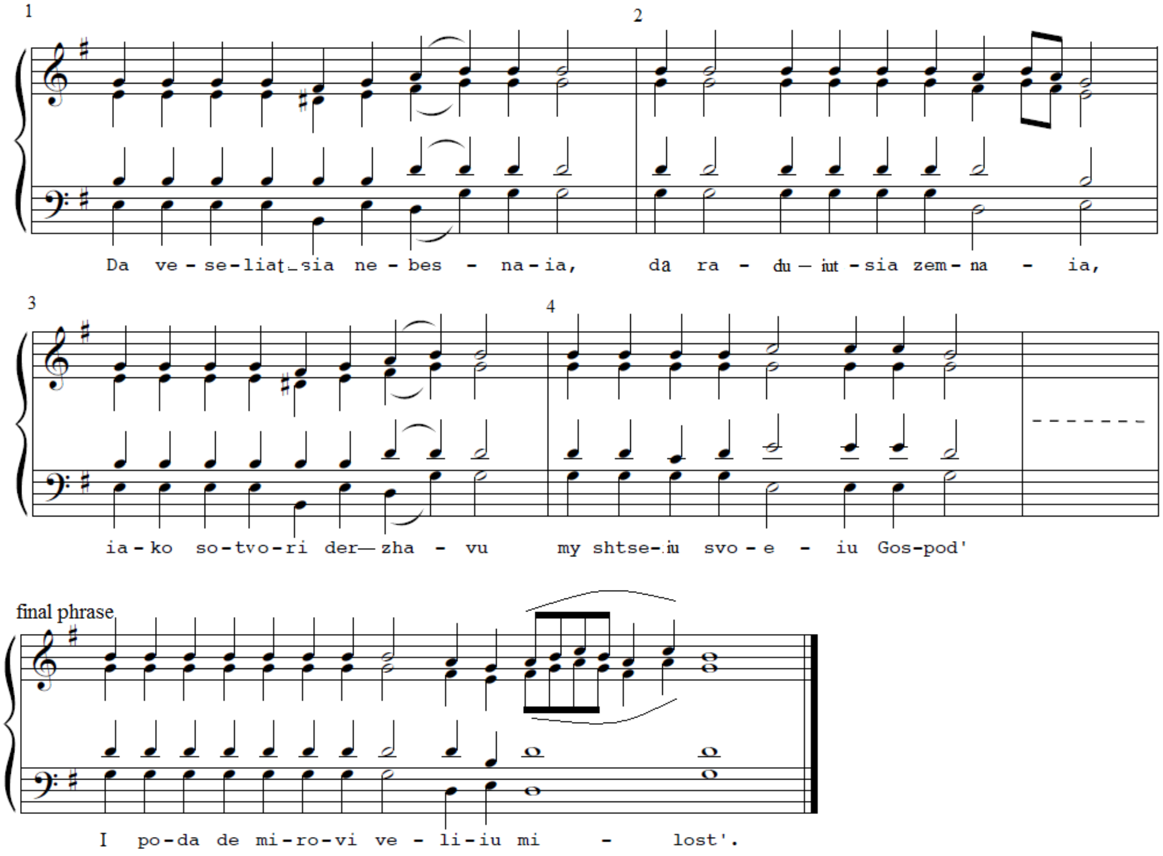
[180] A related point of difference pertains to the fact that Western Romantics, as well as Russian ones such as Tchaikovsky (see, for example, his song "My sideli s toboĭ," op. 73, no. 1), often dramatize the paired keys and provide them with opposite meanings, for example peacefulness and tension. A similar point is made in Korsyn (1996), where the keys of F major and A minor in Chopin's Second Ballade are discussed as strongly opposed to one another; Korsyn also connects the idea of directional tonality to the concept of deconstruction. This kind of opposition is completely absent from church music, at least the largely anonymous common church practice. Therefore, this repertoire does not need the tonal and dramatic opposition of extended sections, each focusing on a single key.

A rare example that does suggest a double-*Ursatz* interpretation is Tone 3 (troparion) from the 1999 *Octoechos* (Example 3.13a). Here, the first two phrases comprise a closed unit in E minor. A special feature of this unit is that, though it states the dominant of E minor, its more significant dominant chord seems to be the VII in m. 2, due to its longer value and its position close to the end. This prolongation of E by a I–VII–I progression is equivalent to the first half of "Dostoĭno Est'" (Ex. 3.11), in a different key. The replacement of the normal dominant V with VII (V of III) underlines the interrelatedness of the relative tonics. The third and fourth phrases provide a transition to G, but this transition is only illusory if the text, due to its length, requires a return to phrase 1 and hence to E minor. The true transition to G happens only when the final phrase is achieved, to be sung only once at the close of the hymn. This final phrase, together with the preceding one, forms a fully fledged prolongation of G. It includes a subdominant chord C (a somewhat rare event in this style), a pre-dominant E (an echo of the E-minor beginning), and a long V^7 with a *raspev*—a melismatic gesture for the penultimate syllable. The background of this tone forms a double-*Ursatz* structure, shown in Example 3.13b, where the prolongation of E is achieved through the chords of III and VII, and the prolongation of G through a more familiar (to Western musicians) I–V–I progression.

A much more usual type of background structure for the common church practice, as well as composed church pieces, is the type shown in Wadsworth's example "b," where one of the *Ursätze* is incomplete. As mentioned above, this happens primarily because the constantly alternating relative tonics and the limited variety of harmonies prevent the music from composing out a single tonic for a comparatively long time. Example 3.14a presents the score of Tone 5 (sticheron) from the 1999 *Octoechos*; Example 3.14b offers a voice-leading reduction. Here, the first two phrases outline a complete G-major matrix with the 3–2–3 (I–V–I) neighbor

Example 3.13 a) *Octoechos* 1999. Tone 3 troparion


1
2
Da ve-se-liat-sia ne-bes - na-ia, da ra - du-iut-sia zem-na - ia,
3
4
ia-ko so-tvo-ri der-zha - vu my shtse-iu svo-e - iu Gos-pod'
final phrase
I po-da de mi-ro-vi ve - li-iu mi - lost'.

b) Tone 3 troparion, voice-leading graph (foreground level)

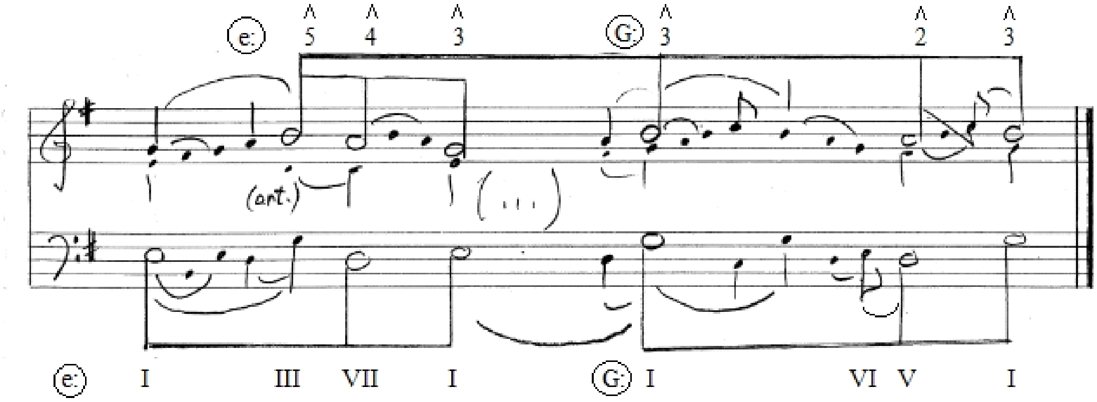

e:
^5
^4
^3
G:
^3
^2
^3
(art.)
(...)
e:
I
III
VII
I
G:
I
VI
V
I

figure in the upper voice. The G-major tonic is prolonged until the beginning of the last phrase, followed by a 3-IAC in E minor. Though on the surface this cadence begins with a root-position E-minor chord, it is not a deep-level tonic because it forms part of a sequence that moves from the tonic of G to the dominant of E minor. As a result, the piece offers a complete *Ursatz* in the first key (G major) and an incomplete one in the second (E minor), with a common tone B joining the two; see Examples 3.14 b and c.[181]

Comparing Example 3.12b (Wadsworth's "tonal pairing" scheme, especially the last one), which relies on Western tonal practice, with 3.14c, which relies on Russian church practice, we see the same logic, with the difference lying in the requirement of the upper voice to arrive to ^1 in the first case and the lack of such a requirement in the second. This difference causes another one: in the background structure of Tone 5, the close interaction of the relative tonics is amplified by the arrival of the upper voice to ^1 of the opening key, though not harmonically supported by the opening tonic. It is as though the soprano voice completes its journey to the concluding tonic of G, but the harmony disrupts the tonal unity by modulating to the relative key. In a certain sense, the soprano appears to be more structurally foundational, to be the real "skeleton" of the chant, while the other voices, including the bass, follow the melody so as to produce a 3-IAC. This dependence of the harmonic events on the soprano is understandable if we recall that, originally, these chants were single-voice melodies and only

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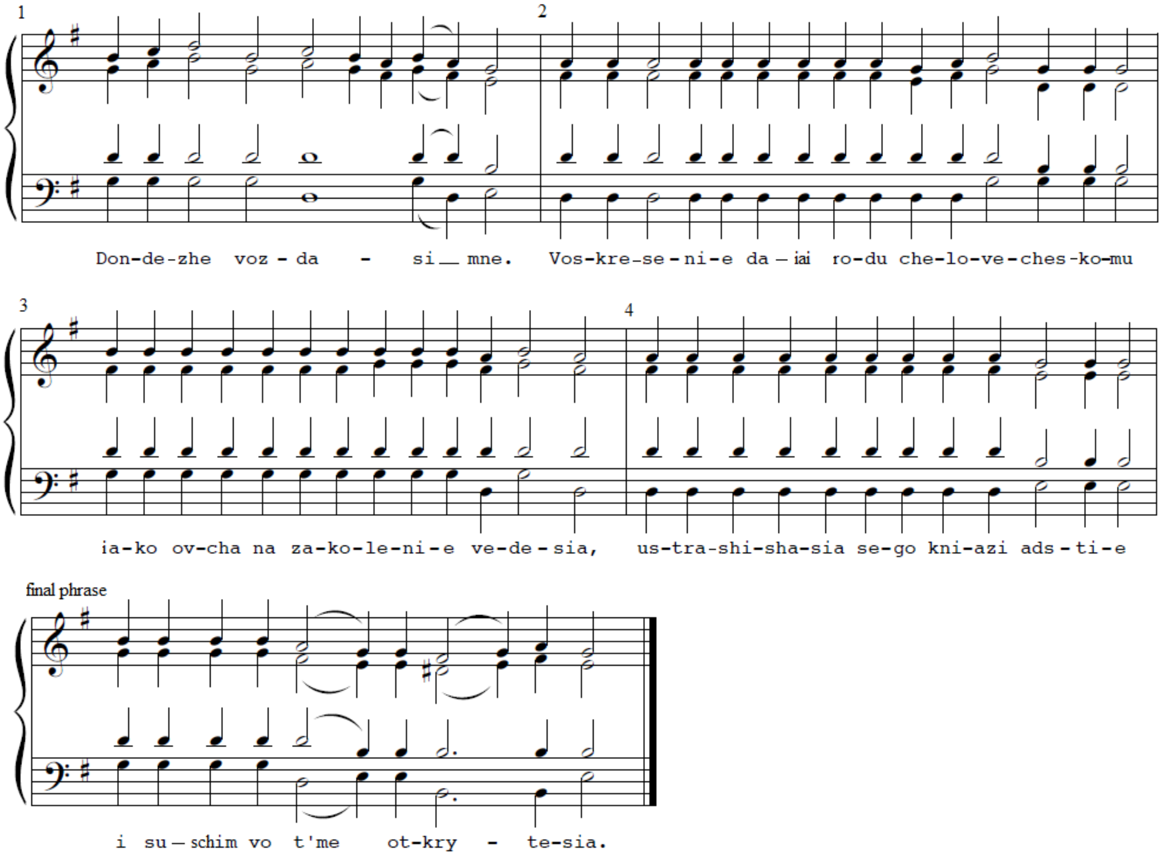
[181] The common tone joining two different fundamental structures directly related to the idea of common-tone tonality in Kopp (2002) and Rothstein (2008 and 2012). A shared *Kopfton* is found, for instance, in the "Cavatina Gualtiero" in Bellini's *Il pirata*, which Rothstein (2008) cites as an example of common-tone tonality (the keys G minor and B flat major are united through the tone D). Rothstein (2012) offers voice-leading graphs of the second-act finale of Bellini's *Norma*, showing how the tone E5 unites music in a series of different keys, including C major, A minor, and E (major and minor). A slight difference between the common *Kopfton* in the two stylistic contexts is that, in Italian opera, this tone is usually strongly emphasized melodically (Pierluigi Petrobelli's notion of *sonorità*), whereas in the common church practice this may or may not happen.

Example 3.14 a) *Octoechos* 1999. Tone 5 sticheron


1
2
Don-de-zhe voz - da - si _ mne. Vos-kre-se - ni-e da - iai ro-du che-lo-ve-ches-ko-mu
3
4
ia-ko ov-cha na za-ko-le-ni-e ve-de-sia, us-tra-shi-sha-sia se-go kni-azi ads-ti-e
final phrase
i su - schim vo t'me ot-kry - te-sia.

later were provided with four-part harmony.[182] By dependence, I mean the continuity of the soprano line (its stepwise nature at all structural levels) and discontinuity of the harmony (beginning and ending on different tonics). Moreover, the soprano, with its points of melodic stability on the notes D, B, and G, unfolds a single triad G,[183] whereas the harmony contradicts this by not prolonging a single chord from beginning to end.[184]

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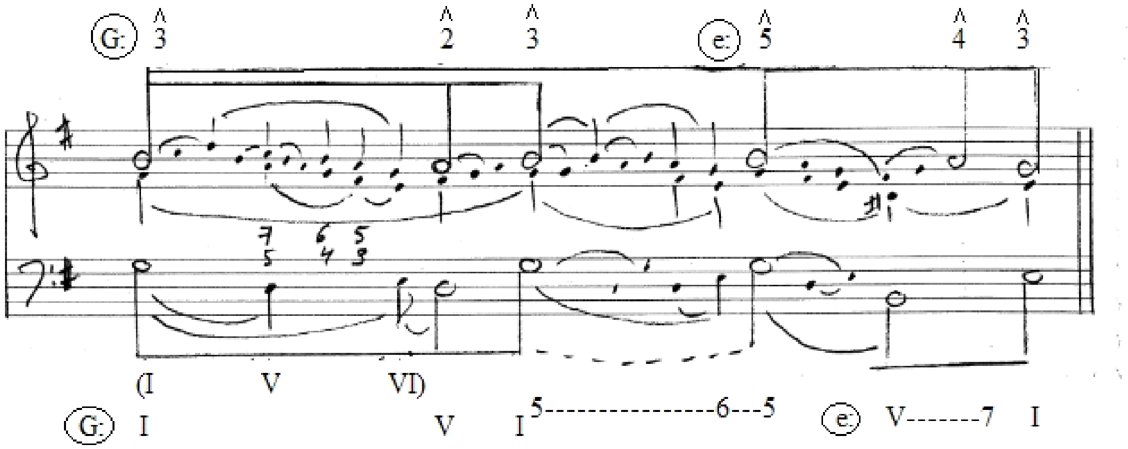
[182] The consistent harmonization of the note G as an E-minor chord and the note B as a G-major chord results in a one-to-one relationship of melody and harmony, in the sense that any note of the melody has only one possible harmonization in this tone (and most others in this collection). This one-to-one relationship ensures the possibility of improvised harmonization in church practice: once the singer hears a note, he/she knows how to harmonize it.

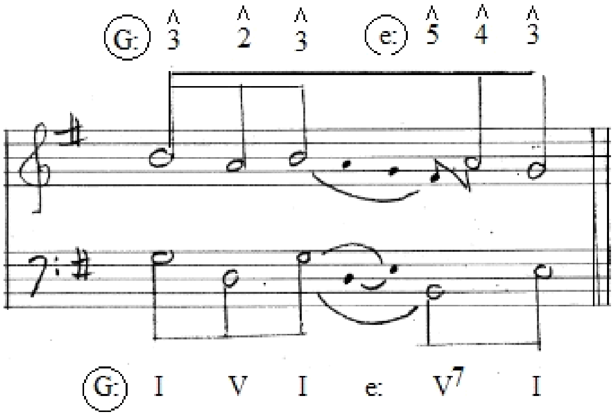
[183] By points of melodic stability, I mean precisely what Kholopov calls *ustoĭ*, a concept of melodic centricity in modal (i.e., non-tonal) structures.

[184] A minor, but interesting detail in Example 3.14b relates to the E harmony, which appears in no fewer than four different functions: as a pre-dominant leading to V of G; as a linear 5 –6 motion over the G tonic; as a passing

Example 3.14 b) Tone 5 sticheron, voice-leading interpretation (foreground level)


G: $\hat{3}$ $\hat{2}$ $\hat{3}$
e: $\hat{5}$ $\hat{4}$ $\hat{3}$
7 5 6 4 5 3
(I V VI)
G: I V I 5---------------6---5
e: V-------7 I

c) Tone 5 sticheron, voice-leading interpretation (background level)


G: $\hat{3}$ $\hat{2}$ $\hat{3}$
e: $\hat{5}$ $\hat{4}$ $\hat{3}$
G: I V I e: V7 I

A structure similar to that in Tone 5 but with the opposite order of keys (from minor to major) occurs in the next example (3.15a), Kastal'sky's "Tebe Poem" (To Thee we sing), again from his Liturgy of 1910. Kastal'sky's piece shows how a gifted composer can elevate the tonal-pairing principles of the common church practice to a new level of complexity. In this hymn, in E minor paired with G major, the close interaction between relative keys is brought to the fore in a rather sophisticated way. To begin with, the piece starts with a single tone B that subsequently

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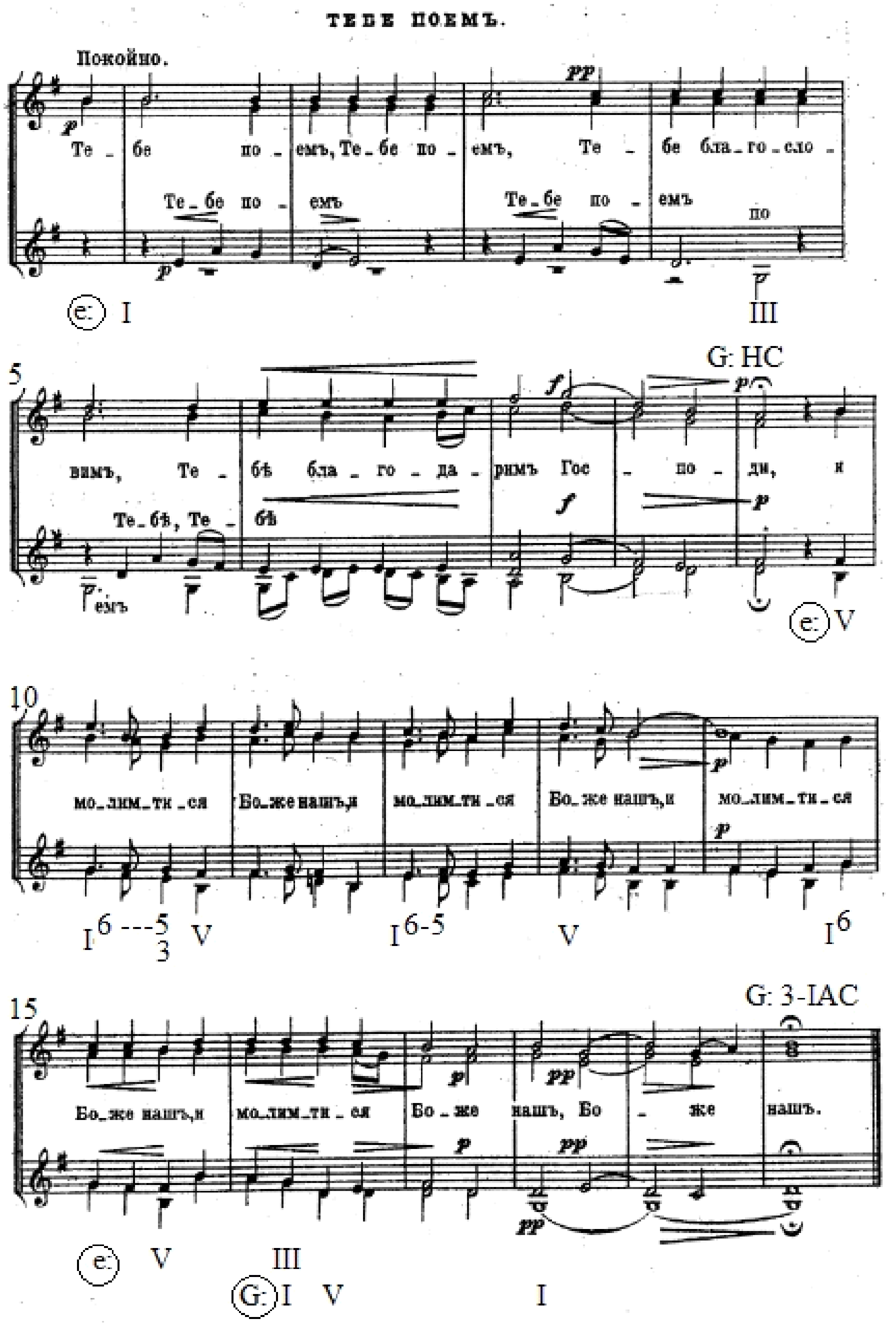
sonority on the way from G major to V of E minor (or possibly a 5–6 motion over G); and finally as the new tonic at the end of the hymn.

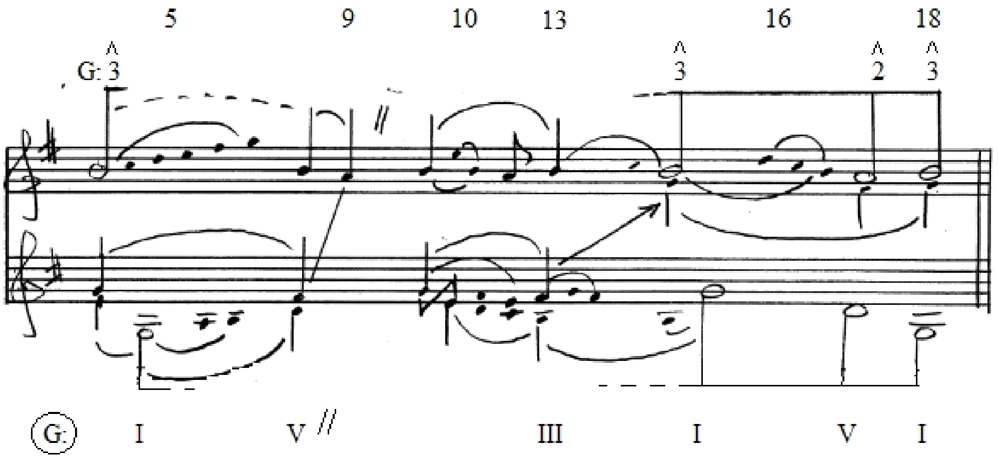
will serve as the common tone between two *Urlinien*. Before stating the E-minor triad for the first time in m. 2, Kastal'sky states the D in the lower voice, which, while not obscuring E minor, nonetheless gives a G-major sonority on the downbeat of m. 2. Very quickly, we move away from E to G, whose tonic arrives as early as m. 4 and is prolonged until a HC in G, m. 9. And yet, E minor is established clearly enough at the beginning and in mm. 10–15, where the I and V chords of E minor alternate. Therefore, until m. 15, the relative relationship is very prominent but still exists within a monotonal framework. The final section (mm. 15 to the end), though very short, is tonally distinct since it modulates to G major (somewhat reluctantly; see the B-minor sonorities in mm. 15–17) and closes with a 3-IAC in this key. Thus, the tonal ambiguity projected from the very beginning of the piece is resolved in favor of G major at the end.

In terms of large-scale tonal organization, the hymn allows for multiple interpretations. To some ears G major might seem to outweigh E minor, in which case it would make sense to analyze the piece as monotonal in G, with a short auxiliary cadence in E minor at the beginning; Example 3.15b presents this reading (middleground level). Although this way of hearing is legitimate, it underestimates the constant interplay of relative keys by unambiguously showing one key as prevailing over the other. Therefore, I offer another interpretation, which I consider more convincing; see Example. 3.15c. Here the E-minor section, notwithstanding its length, projects an incomplete *Ursatz* ending on V, which is then joined to a complete *Ursatz* in G major with the upper voice ending on ^3. The background level of this reading (Example 3.15d) very much resembles Wadsworth's structures (Example 3.12b, the first scheme) where the first key does not provide the final tonic and instead moves on to the relative tonic. An important difference is an almost complete lack of motion in the *Urlinie* in my scheme, which results both from the ^3 close of the upper voice and the key succession from minor to major. Example 3.15e

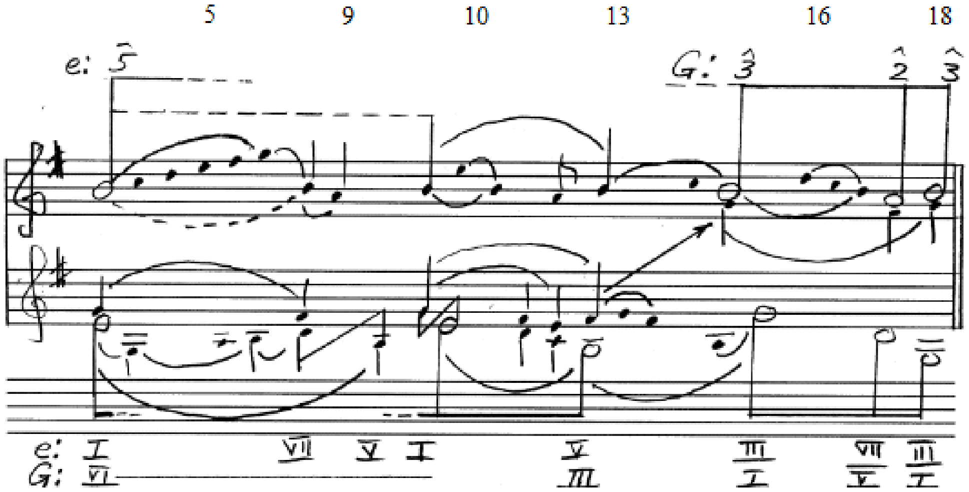
Example 3.15 a) Kastal’sky, Liturgy (1905), “Tebe Poem”


ТЕБЕ ПОЕМЪ.
Покойно.
Те - бе по - емъ, Те - бе по - емъ, Те - бе бла - го - сло -
Те - бе по - емъ
Те - бе по - емъ
по
e: I
III
5
вимъ, Те - бѣ бла - го - да - римъ Гос - по - ди, и
Те - бѣ, Те - бѣ
емъ
G: HC
e: V
10
мо - лим - ти - ся Бо - же нашъ, и мо - лим - ти - ся Бо - же нашъ, и мо - лим - ти - ся
I6 --- 5 3 V
I6-5
V
I6
15
Бо - же нашъ, и мо - лим - ти - ся Бо - же нашъ, Бо - же нашъ.
G: 3-IAC
e: V
III
G: I V
I

b) Kastal'sky, "Tebe Poem," a monotonal reading (foreground and middleground)

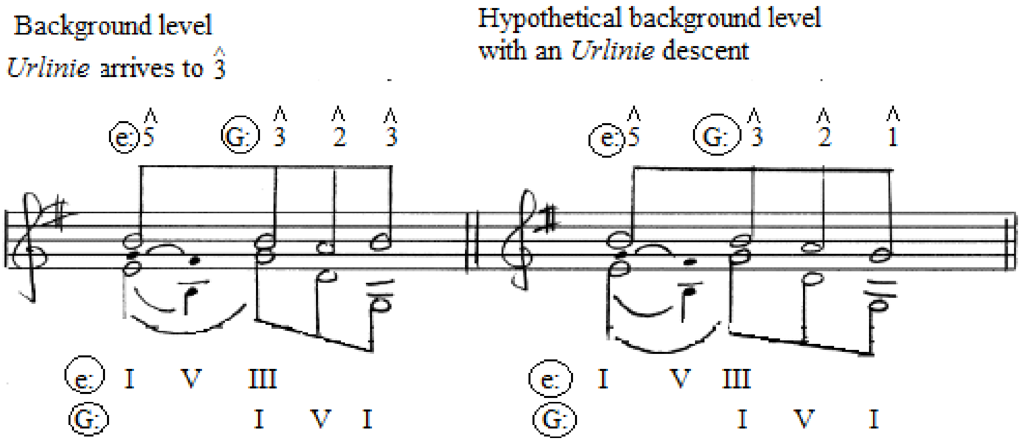

5
9
10
13
16
18
G: 3̂
3̂
2̂
3̂
G: I
V //
III
I
V
I

c) Kastal'sky, "Tebe Poem," a directionally tonal reading (foreground and middleground)


5
9
10
13
16
18
e: 5̂
G: 3̂
2̂
3̂
e: I
VII
V
I
V
III
VII
III
G: VI
III
I
V
I

Example 3.15 d) Actual, directionally tonal and e) hypothetical, monotonal background level,

.


Background level
Urlinie arrives to 3̂

Hypothetical background level
with an *Urlinie* descent

e: 5̂
G: 3̂
2̂
3̂
e: I V III
G: I V I
e: 5̂
G: 3̂
2̂
1̂
e: I V III
G: I V I

gives a hypothetical background structure of the same hymn with a final descent to ^1. In this case, the *Urlinie* looks as if the piece was monotonal with a normal 3–2–1 descent, but the harmonic support provides two different tonics (primary mutable centers) and another dominant (V of E, a secondary mutable center). This structure would work for a more normal tonal piece with a closing PAC in G.

Both this example and Tone 5, and to some extent Tone 3 (Example 3.13) discussed earlier, could be interpreted as having auxiliary cadences, thus subjecting the pieces to a monotonal reading. The same applies to Wadsworth's directionally tonal and tonal-pairing prototypes, especially the first tonal-pairing scheme. But such monotonal readings would normalize the tonal structure too much, neglecting the persistent alternation of the relative tonics in Tone 5 and the elaborately worked-out ambiguity of Kastal'sky's hymn. In both cases, the interaction of two keys, combined with different tonics at the beginning and end, is too prominent to reduce the structure to a single key. In Lewis's words, "an analysis that reduces one of the implied tonics to the role of a decorative element will misrepresent the background duality" (Lewis 1987, 29).[185]

This moment calls for a little broadening of theoretical context. The question of non-monotonality has been discussed by analysts of both tonal and post-tonal repertoires, often with a high degree of disagreement. Krebs (1981) touches upon these issues in the writings of Schenker, who always preferred monotonal interpretations even if they seemingly contrasted with the musical surface. Among post-tonal theorists, Dmitri Tymoczko (2002) engages in a debate with

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[185] At this point, we may return to our first extended example, Kastal'sky's *Edinorodnyĭ Sine* (Example 3.7), another piece where the relative relationship is highly prominent. This piece was discussed to show the conclusive function of the 3-IAC, a typical stylistic feature of the common church practice. Another typical feature, the prominence of the relative tonic, E minor, is also manifest: the bulk of the middle section is set in this key and contains a HC in this key. Moreover, the middleground level before the interruption emphatically relies on the four mutable centers—the chords I, III (#), VI, and V in G major. Although on the surface the piece may not be particularly mutable, the structural framework of relative mutability supports deep levels of structure.

Pieter van den Toorn and Richard Taruskin over polytonality (or polyscalarity), including the question whether hearing two keys (in Stravinsky) is possible.[186] Even though this discussion concerns a modernist composer, in principle the idea of hearing two keys (not two scales) at the time is pertinent to the *Vigil*. In subsequent chapters, I show that certain movements (the first and second especially) invite such dual hearing, which I interpret as ambiguity—i.e., the possibility to analyze the passage in relation to different tonics.[187]

Proto-harmony and Schenkerian analysis

It has been shown that one of the most typical progressions in the common church practice is I–V–VI (in major), which I have demonstrated both on the musical surface and at deeper levels.[188] It appears that, at the background level of modulating mutable examples, the progression coincides with what Wadsworth shows as his "tonal-pairing structures." This deep-level affinity between repertoires as different as Schumann piano pieces and Russian church hymns demonstrates a profound structural connectedness that ultimately goes back to the universality of the tonal language in the nineteenth century.

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[186] "[Polytonality] is a concept that has come in for much undeserved abuse. Some theorists, such as Benjamin Boretz and Allen Forte, have argued that the very notion of polytonality involves logical incoherence" (Tymoczko 2002, 84). Tymoczko expresses the disagreement as an opposition of the following: (1) that some passages of Stravinsky may be heard in two keys simultaneously and (2) that they instead belong to a single octatonic collection and thus are unified. (From the vantage of point of tonality, many church hymns are unified not by one tonal center, but instead by one diatonic collection—a relative-mutable or a proto-harmonic system.) Tymoczko's article was followed by a colloquy on Stravinsky's octatonicism in Music Theory Spectrum 2003/1.

[187] With regard to polytonality, it is timely to note that Yavorsky (1929) argues vehemently against the possibility of hearing two keys simultaneously. According to him, "Just as atonality, polytonality cannot be accepted as scholarly terms and mean sheer illiteracy in literature" (Yavorsky 1929, 21). Thus, whenever simultaneous references to dual tonics are made here, they concern passages that Yavorsky would definitely analyze as having one tonic (even if that tonic has more than three notes, such as his mutable-mode tonics). Interestingly, Kholopov in his 1988 work, accepts the concept of polytonality without any reservation (see Kholopov 1988, 399), whereas he rejects the idea in a later work on Stravinsky (Kholopov 1997). See Ewell 2013 for a discussion of polytonality in late Kholopov's thought.

[188] Miasoedov recognizes the significance of this progression, which he discusses in the opposite order, as VI–V–I, for instance with respect to Tchaikovsky's *Overture for the Year 1812* (Miasoedov, 28–29).

At this point, however, I would like to problematize this similarity and propose another explanation for this specific progression and for mutability at large in the Russian church practice. This explanation relies on Miasoedov's proto-harmony and its potential for deep-structural significance. I show that, while in the abstract this seems a viable idea, it is ultimately incompatible with the rules of Schenkerian analysis and specifically the idea of prolongation. This incompatibility in no way devalues either one of the two principles—proto-harmony and prolongation. It only shows that the idea of *equality* between chords (characteristic for proto-harmony) conflicts with the hierarchy inherent in Schenker's theory and therefore cannot be convincingly demonstrated in voice-leading analysis. Whether or not Schenkerian principles apply to various pieces, however, I maintain the high importance of progressions such as I–V–VI for the expression of mutability.

Proto-harmony, a group of diatonically related triads whose roots may be ordered by fifths, when brought into a maximally compressed form, creates a (0257) tetrachord. For instance, the chord roots that were shown in Chapter 2 (see Ex. 2.14) form an (0257) beginning on C: i.e., C, D, F, and G. Let us refer to such a formation as a *complete proto-harmony complex*. Sometimes, according to Miasoedov, not all but only some of the four potential chords occur in a certain piece or excerpt;[189] for example, it could be the harmonies rooted on C, F, and G. Let us call this kind of structure a *partial proto-harmony complex*. The chord roots of a partial proto-harmony complex must be at least three.[190] Taken together as a trichord, they must be a sub-set of the (0257) tetrachord, that is, either (025) or (027).[191]

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[189] Once again, see his analysis of Tchaikovsky's Overture and many other pieces of Russian music.

[190] The number of chords less than three—that is, two—would be too small, since a diatonically related pair of chords can represent any diatonic structure including Classical tonality, relative mutability, and many others.

[191] I should emphasize that set-class terminology applied to the idea of proto-harmony is entirely my own contribution. Miasoedov (1998) operates exclusively with tonal terms. The application of set theory to diatonic

In addition to these relationships, proto-harmony is characterized by equality of status between the chords. This means that, while a piece fluctuates between two harmonies, it might end on neither of the two, but a third harmony that belongs to the same proto-harmony complex. Alternatively, a work may emphasize two or more harmonies of a proto-harmony complex while leaving the listener uncertain as to which chord will ultimately "win" at the end as a tonic. The chords of a proto-harmony complex may serve as key centers in the course of a piece, or they may be the only harmonies used in an entire excerpt (which is the case in Ex. 2.15).

In his entire discussion of proto-harmony, Miasoedov never mentions anything that refers to Schenkerian analysis. Yet his idea that various members of a proto-harmony complex become, at various points in a piece, structurally prevalent suggests something like placing these members at the same hierarchical level. Necessarily, this level has to be the background, since Miasoedov insists on the fundamental equality of proto-harmonic chords. Proposing one of the chords as ultimately controlling the others at the deep level would eliminate this equality. Therefore, a proto-harmonic interpretation of a mutable piece would look similar to the graphs that display two tonics of equal status (as in Example 3.13), with the only difference: the number of equal chords will now be three or four.

In the abstract, such an adaptation of proto-harmony to Schenkerian theory seems a viable suggestion.[192] In practice, however, it proves to be incoherent with the fundamental

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structures has a precedent, however: Robert Gauldin (1983) explores the evolution of diatonic modes in different musical cultures using set-theory terminology. My aim here is to highlight the intervallic difference between the relative-mutable and the proto-harmonic sets of four chord roots.

[192] Implicitly, Miasoedov himself admits an employment of his proto-harmony in some kind of hierarchical analysis, which is clear from his writing. The following passage, quoted in chapter 4, is worth quoting again: "Tonicizations. . .especially those that tonicize the main scale-degrees of the ancient proto-harmony, are special in that, in Russian music, the triads of these scale-degrees play the role analogous to that of the primary triads of Western European music in Viennese Classicism" (50–51). He often mentions proto-harmonic degrees as central to a musical structure; a Schenkerian interpretation is only a logical continuation of this thought.

precepts of Schenker's theory.[193] To see the reason of this, let us look once again at "Dostoĭno Est'" from Smolensky's *Glavneĭishie Pesnopeniia*, previously discussed in Example 3.11.

This hymn creates favorable conditions for a proto-harmonic interpretation. I am specifically concerned with the middleground level of the graph in Example 3.11b. The progression shown in quarter-note values, I–VII–III in minor, equivalent to VI–V–I in major, the very unit that has been discussed as a marker of relative mutability, comprises chords rooted on A, G, and C, forming a (025) trichord, i.e. a partial proto-harmony complex. If one adopts a proto-harmonic reading, the progression can be interpreted as a group of equally structural harmonies (see Ex. 3.16), rather than two tonics A and C with a subservient dominant G, as analyzed previously.

Let us compare the two analyses—relatively "normal" (Example 3.11b) and proto-harmonic (3.16). The second interpretation eliminates the customary prevalence of the I–V–I scheme and favors I–V–VI in its stead (or III–VII–I, if one prefers to hear the final harmony as tonic). In doing this, this analysis creates two crucial points of difference compared to the "normal" reading. First, the problem of the G chord is solved, which in this style often has an ambiguous status: is it dominant of C, as in phrase 1 of the piece, or "dominant" (expressed as VII substituting for V) of A minor?[194] Now the G chord is neither of the two, since it does not have to be subordinated to any other harmony. Instead, it is a member of a proto-harmony complex situated at the same structural level as other members (A and C). The second point of difference is the downplaying of the E chord, which would normally be of utmost importance as

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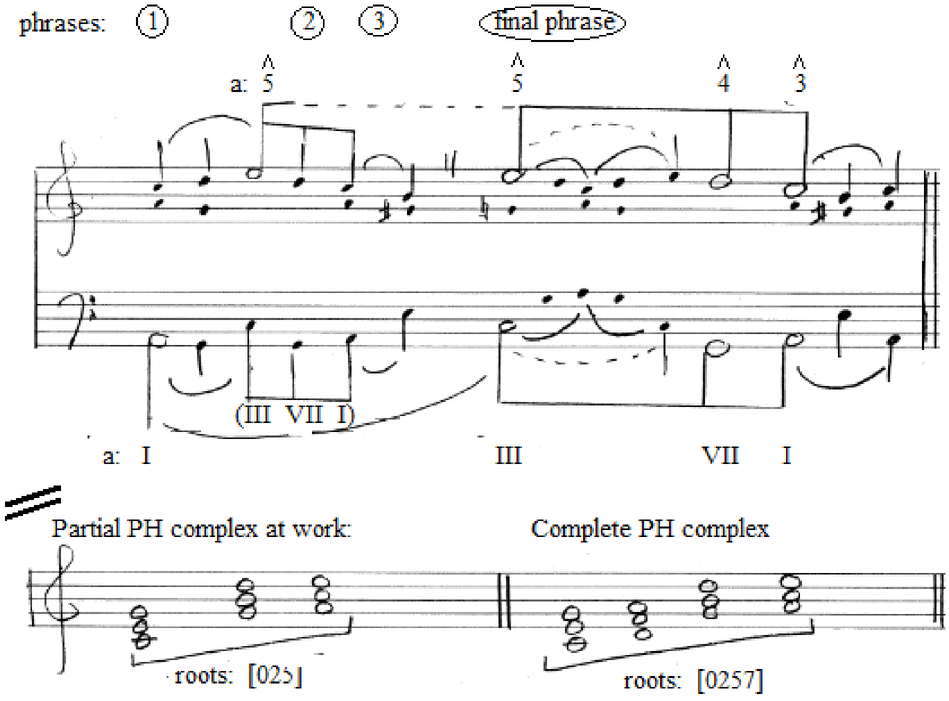
[193] Of course, double-*Ursatz* structures I have shown above also violate the Schenkerian principle of hierarchy to a certain extent, but, in proto-harmony, this case is more serious because, as I will show, proto-harmonic members often are not prolonged in a familiar Schenkerian sense. Also, once we adopt the idea of proto-harmony, harmonic syntax (both compositionally and analytically) is freed from that established in Schenkerian theory.

[194] The role of VII as a substitute of V has been commented upon in rock music studies; see, for example, Alan Moore (1995).

Example 3.16. Smolensky, “Dostoĭno Est’” (see score in Ex. 3.11). A proto-harmonic reading (middleground)


phrases: ① ② ③ final phrase
a: ^5
^5
^4
^3
(III VII I)
a: I
III
VII
I
Partial PH complex at work:
roots: [025]
Complete PH complex
roots: [0257]

the V of the ending key. Now the E harmony prolongs the A-minor chord in a I–V–I matrix at the end, but does not participate in the higher-level structure since it does not belong to the same proto-harmony complex. One might say that the G harmony takes over as the “dominant” of both A and C and, due to its proto-harmonic membership, is elevated to the same level as the two “tonics.”[195] The scheme also represents an ultimate dominance of the triad in ^3 position: the entire background structure consists of two triads with ^3 in the soprano, connected by a third chord.[196]

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[195] The interpretation of the III–VII–I progression in minor as the background level interestingly correlates with Wadsworth’s analyses of Schumann. His schemes presented in my Example 3.12 displays the same progression, C–G–A (the tonal pairing example), which he is forced to interpret as somehow incomplete, since he relies exclusively on
V–I relationships: the I–V–I matrix is interrupted in C major and another one begins in A minor. But the “common descent” part of the soprano line shows the connectedness of the two harmonic progressions. What my proto-harmonic graph does in comparison with his is to reverse the preferences: for me (because of church music stylistic norms), the C–G–A is the main part, and everything else is subordinate to it.

Although the reading in Example 3.16 is congruent with Miasoedov's idea of equality, this proto-harmonic interpretation fundamentally conflicts with the tenets Schenkerian theory: the tone D in the melody is passing and therefore automatically subordinate to E and C, which form an arpeggiation. Together with this tone, the whole G-major chord must also be subordinate—either a dominant of C or a neighbor of A. Therefore, the equality of the chords A, C, and G violates the law of structural subordination. It violates the hierarchy inherent in Schenkerian theory.

Hierarchy is not the only issue at stake here. Once we propose the emancipation of the (025) root progression as an independent prolongational unit and potentially a background structure, the question arises to what extent this kind of structure is actually prolongational. The idea of prolongation emerged in Schenker's writings with respect to a single chord prolonged by its dominant (due to the perfect fifth relationship) at the highest level and by other chords at later levels. When, however, the structure displays several equally ranked chords on various degrees of a scale, it is not exactly clear just what we are prolonging and how. In structures based on a complete or partial proto-harmony complex, the idea of prolongation is truly questioned, since this structure is not reducible to any one harmony. The problem becomes even more profound when the same progression recurs at different levels: if the background has three harmonies of equal status, why cannot other levels have the same?

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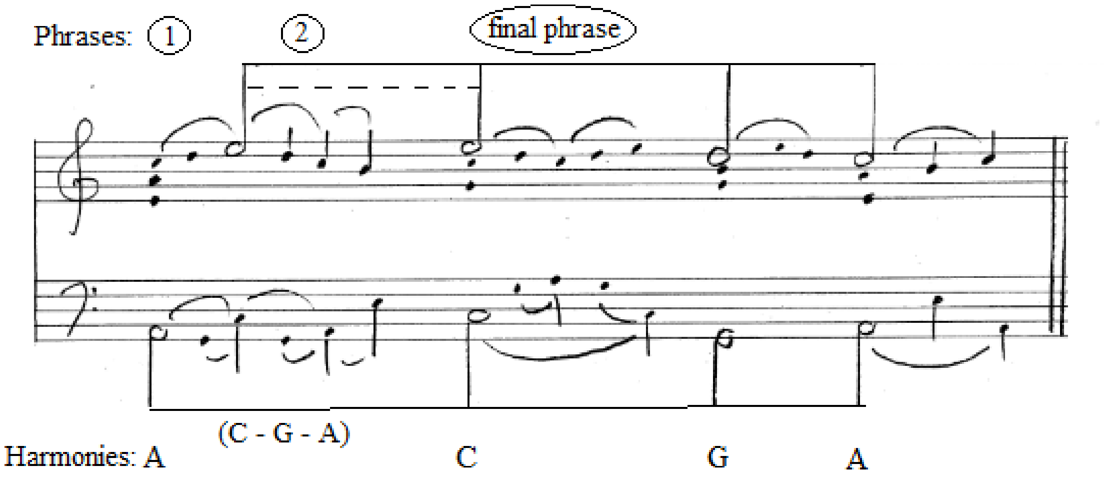
[196] Such a structure becomes more convincing when the V of the ending minor tonic is absent. For instance, some excerpts in the 1903 Anthology (*Tserkovno-Pevcheskiĭ Sbornik*) end with a melodic descent from A to B flat harmonized with F, D6/5 (without F sharp), and g-minor chord. Such endings, provided there is also a fluctuation between g-minor and B-flat major tonics, emphasize the proto-harmonic I–V–VI gesture.

The problem of prolongation in proto-harmony points to a general fact: the absence of a single tonal center undermines the laws of functional tonality and, by extension, the voice-leading analysis of tonal music. Put very simply, many mutable situations (to use “mutable” in the broadest sense, i.e., not having a single tonic) are not completely tonal; they depart from tonal norms in terms of harmonic syntax and unification by one center. Consequently, it is not surprising that many diatonic-mutable examples of church music do not conform to the norms of Schenkerian analysis. (Many others, however, do conform.)

Since no legitimate Schenkerian reading of a proto-harmony complex appears to be possible, I propose a different scheme for “Dostoĭno Est’” (Example 3.17), which essentially retains all the information found in Example 3.16 (a proto-harmonic reading), but removes graphic symbols pertaining to prolongation at the background level. This analysis is no longer Schenkerian; however, it retains at least one idea of Schenkerian theory—the idea of hierarchical levels of harmony (though the number of levels is smaller than in the previous reading). In this view, the deepest level of structure presents the progression A–C–G–A (the chords of the (025) group), in which the harmonies simply *follow each other in time*, rather than prolonging one another. Their order could potentially be different, since no syntactical rules have yet been proposed for proto-harmony. Moreover, the last chord could be different from the first, since the equality of status eliminates the requirement of tonal unity (i.e., unification by a single center). In a word, the deep-level A–C–G–A (the former I–III–VII–I) progression rests on the sole requirement: the chords must belong to the same proto-harmony complex. Significantly, I do not provide Roman numerals for the harmonies, since the idea of tonic is not relevant to this interpretation.

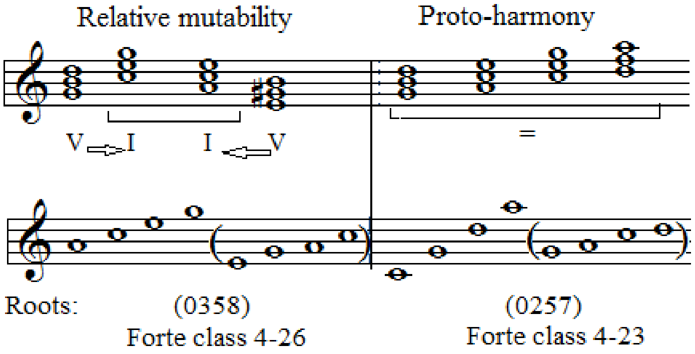
Example 3.17. "Smolensky, Dostoĭno Est'." A proto-harmonic reading with prolongation symbols removed



To further compare Examples 3.16 and 3.17, both of them proto-harmonic interpretations of "Dostoĭno Est'," I must emphasize that in the former, the harmonies retains functional meaning: though not familiar chords of tonal music, they are shown as tonic, pre-dominant, dominant, and tonic in A minor, the middle two chords serving to prolong A minor. Furthermore, this functional succession is found at more than one level (see the beamed progression at the beginning); it is recursive. In the latter case, though the recursion remains, the progression loses its functional meaning in relation to A minor and becomes de-centered, and thus non-tonal and non-prolongational. Put differently, though the notes are the same in the two graphs, these notes entail different meanings with regard to the concept of tonic.

The two alternative readings of the hymn, relative-mutable and proto-harmonic, illustrate a conflict that analysis of church music offers us constantly: a conflict between the relative-mutable scheme and the proto-harmonic scheme, both of which are juxtaposed in Example 3.18. On the left side, the example demonstrates the equality of the two relative tonics, characteristic of the relative-mutable/tonal-pairing structures, and the two dominants, each subordinated to its

Example 3.18. Relative mutability and proto-harmony: A schematic comparison



tonic. All four chord roots may be ordered by thirds and form (0358) tetrachord. On the right side, we have four chords, neither of which needs to be subordinated to another, whose roots may be ordered by fifths and form a (0257) tetrachord. The common church practice comprises abundant instances, such as the hymn just discussed, that allow reliance on either of the two schemes, i.e., the possibility of mutually exclusive relative-mutable and proto-harmonic interpretations. On the musical surface, this choice generally means the possibility to give preference either to I–V–I progressions in two relative keys or to progressions of the I–V–VI type. Partly, the conflict arises from the fact that the (025) trichord, on which the ubiquitous I–V–VI progression is based, is a subset of both tetrachords (0358) (the relative-mutable structure) and (0257) (the proto-harmonic structure).

My last example demonstrates that pieces exhibiting relative mutability are not the only instances that pertain to the idea of proto-harmony. The hymn “Strastiiu Tvoeiu” (With the help of Thy passion) from the 1903 *Tserkovno-Pevcheskiĭ Sbornik* (Anthology of church singing), Example 3.19a, illustrates non-relative mutability that operates within a proto-harmonic structure.[197] Here, three competing centers can be heard: F, B flat, and G. The F-major and G-minor chords, perhaps the most prominent, are related by second. F major seems to dominate at the beginning, but is then dominantized (see the E flat in the tenor in m. 3); the final cadence turns to the chord of II. According to Sposobin (1951), this is the type of mutability that shifts the tonic (by an interval other than a third) within a fixed diatonic collection; see the last line in the table in Ex. 2.8. According to Kholopov (1988), this is the type of structure where the end happens outside of the main center (*ustoĭ*), the main center being F, a structure that destabilizes mode.[198]

A hierarchical interpretation of this excerpt allows for several possibilities, shown in Examples 3.19 b through d. Each chord of this quasi-background structure, containing chords F–B flat–F–G, is shown with an asterisk in the score (3.19a). First, one can assume that the centers F and G are completely equal, and that the progression F–B flat–F (I–IV–I) "prolongs" the F-major harmony just as F–C–F (I–V–I) normally does in common-practice music (3.19b).[199] This reading is closest to the analysis according to Sposobin (shift of center by second). Alternatively, one may posit the opposite: F and B flat are the "skeleton" of the structure, again substituting for a I–V–I matrix, while the final G is a neighbor chord that accidentally happens to be the last in the piece (3.19c). This interpretation is closest to Kholopov's "end outside the main center" type.

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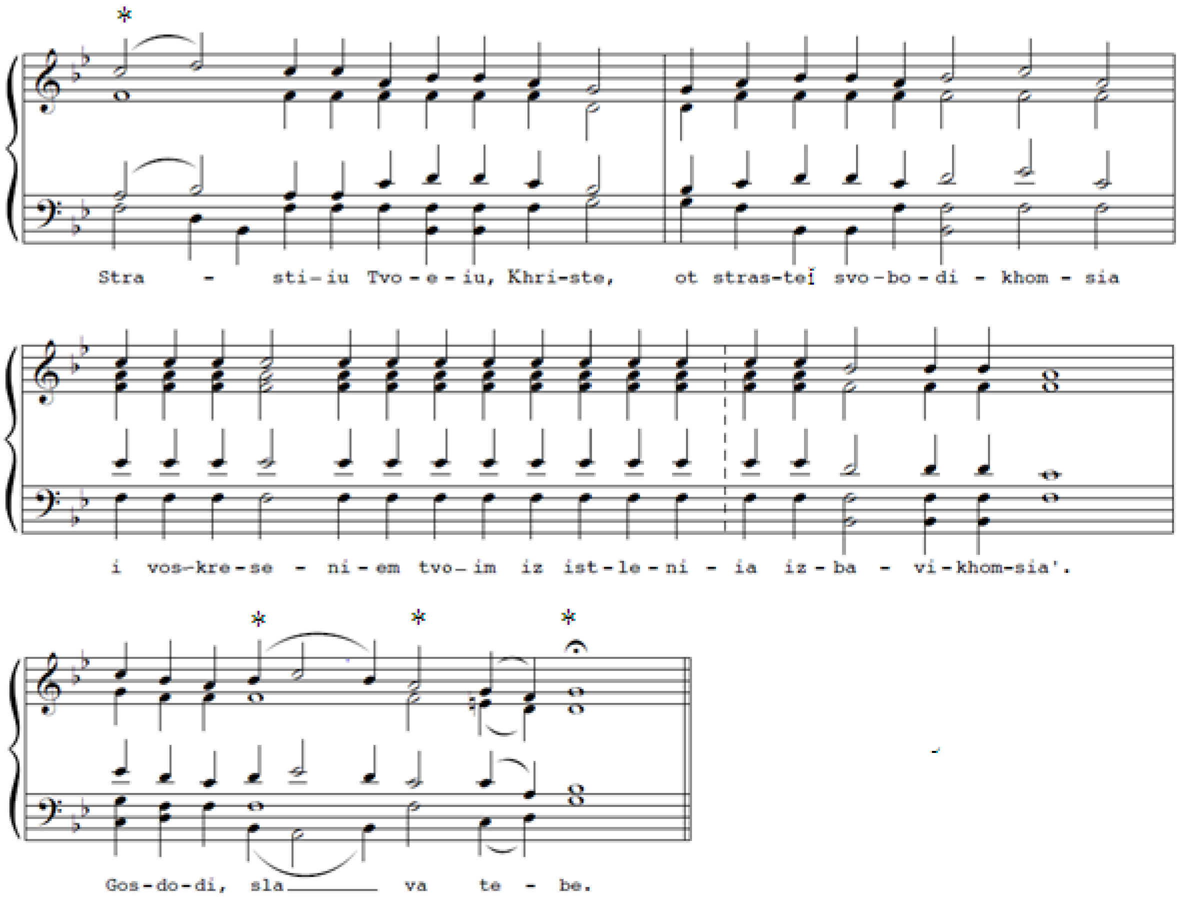
[197] The 1903 Anthology is one of several collections that were published by the Holy Synod one after the other within a few years: 1901, 1903, and 1905. All three are called the same (*Tserkovno-Pevcheskiĭ Sbornik*) and have the same structure, where the last volume—volume 5—is devoted to tone harmonizations (*glasy*). It is this last volume that I have used in this chapter. I should note that the 3-IAC, though it occurs in the 1903 anthology, is less common here than in sources associated with Smolensky; specifically the present examples does not end with a 3-IAC. This fact might have to do with geographic difference (the 1903 anthology was published by the Petersburg-based Synod, while Smolensky worked in Moscow) or with other factors that are yet to be explored.

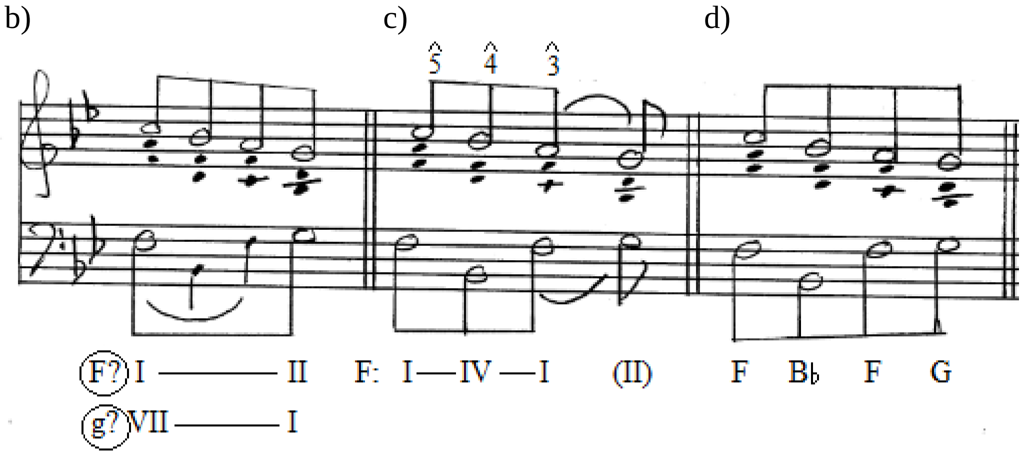
[198] See Kholopov (1988, 176) on the role of non-tonic endings in both modal and tonal mutability.

[199] On plagalism in Russian music, see Zavlunov (2010, 468) and Frolova-Walker (2007, 106–107). Both contend that the importance of plagalism in Russian music has been overstated. Rather than making far-reaching generalizations, I should only say that, in the liturgical examples I have analyzed, plagal progressions occur, but not too often. When they do, I have consistently analyzed them as 3–4–3 linear motion over the current tonic. In Rachmaninoff, plagal progressions at times receive great significance, as I will show further.

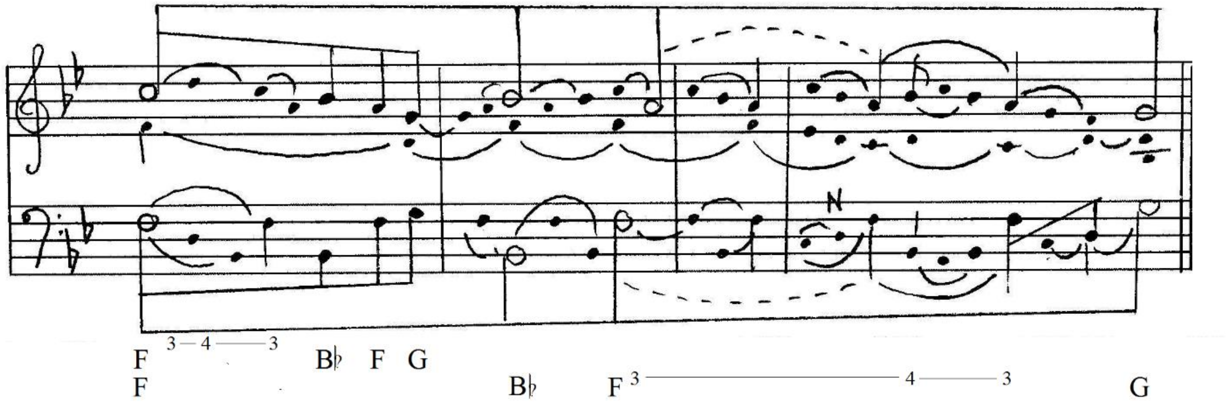
Example 3.19. a) 1903 Anthology of church music, “Strastiiu Tvoeiu” (Volume 5, 19, No. 5)


Stra - sti-iu Tvo-e-iu, Khri-ste, ot stras-teĭ svo-bo-di-khom-sia
i vos-kre-se-ni-em tvo-im iz ist-le-ni-ia iz-ba-vi-khom-sia'.
Gos-do-di, sla va te - be.

Example 3.19. b–d) “Strastiiu Tvoeiu,” Voice-leading graph (background): three different readings


b)
c)
d)
5̂ 4̂ 3̂
F? I — II
g? VII — I
F: I—IV—I (II)
F B♭ F G

Example 3.19 e) “Strastiiu Tvoeiu,” voice-leading graph (foreground level)



Finally, according to the logic of Miasoedov’s proto-harmony, none of the three harmonies has to be subordinate to any other. Instead, just as in the I–V–VI progression in relative mutability, one can put all three harmonies on the same level of hierarchy (3.19d and e), since the three chord roots form a (025) trichord and thus belong to the same proto-harmony complex. The background structure in this last example therefore exhibits a partial proto-harmony complex.

In a way, a proto-harmonic reading such as the one in Example 3.19d is somewhat simplified, since it removes one level of hierarchy (there is no subordination of either B flat or G to F or to each other). In this sense, the proto-harmonic logic of placing three harmonies on par with each other is a simplification, a refusal to choose between one or the other pair of chords as the most structural. And yet, this reading has value in that it emphasizes the status of a (025) progression as a structural pillar of mutability, whether relative or not.

* * *

In this chapter, I have explored the potential of mutability for Schenkerian analysis, or more precisely attempted to begin such an exploration on a very modest scale, applied to the repertoire of Russian church music. I have shown various structures and ways to interpret them analytically, placing my analyses in the order of decreasing conformance to Schenkerian norms. First, I have demonstrated the effect of the 3-IAC on the *Ursatz* structure; then I have shown the significance of relative mutability in monotonal and non-monotonal contexts, while incorporating the 3-IAC logic in the graphs; and finally I have made an experiment of graphing both relative and non-relative mutable pieces based on proto-harmonic structures, or the proto-harmony complex. This last experiment crosses the boundaries of Schenkerian theory due to its violation of the mandatory hierarchy of voice-leading analysis.

In offering an alternative approach to Schenkerian analysis of mutability—a proto-harmonic approach—I have tried to show that some obvious structural similarities between relative mutability in Russian liturgical repertoire and tonal pairing in Western music may be only apparent. The roots of relative mutability may not be necessarily in the confluence of two different keys related by third, as they mostly are in Western Romantic works. Instead, these roots may be in a larger and perhaps more ancient diatonic system composed of equally structural members, a system that Miasoedov calls proto-harmony.

CHAPTER 4

Relative Mutability in Rachmaninoff's *Vigil:* Movements 12 and 7

In the Russian liturgical music discussed in the preceding chapter, whenever two relative keys are interrelated in the same piece, they are customarily intertwined in a manner of unceasing alternation; tone harmonizations of the Smolensky tradition are representative of this principle.[200] Less often, a composer produces a more sophisticated impression of ambiguity (see Kastal'sky's "Tebe Poem" in Ex. 3.15). Rarely do we find a piece that consistently exhibits first one key and then another, i.e., directional tonality.

In Rachmaninoff's *Vigil*, however, at least one movement unquestionably exhibits directional tonality: movement 12, "Slavoslovie Velikoe" (The Great Doxology). What enables this directional structure is primarily the scope of the movement, one of the longest in the work: 130 measures. This length exceeds that of most liturgical pieces, either anonymous or written by composers of the NRCS, and is perhaps an indicator of the work's intended extra-liturgical function (it was intended as a concert work, rather than strictly for church service). The great dimensions of the Doxology permit the composer to build a closed, sufficiently developed structure in each key successively.[201]

In this chapter, I discuss this and another movement, movement 7, "The Six Psalms," both of which involve relative mutability, although not in the same way Though the two movements are associated through shared chant material, they differ crucially in at least one respect: no. 7 has one tonal center, E flat, to which all other harmonies are subordinated, whereas no. 12 pairs two relative keys at multiple levels of hierarchy. Both movements display a background duality of structure, but this duality relies on different aspects: in movement 12, on the two-key scheme (directional tonality), and in movement 7, at least in my interpretation, on the contrast between authentic and plagal background progressions in the same key.

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[200] The material of this chapter has been partly published in the *Journal of Music Theory* as "Tonality and Mutability in Rachmaninoff's *All-Night Vigil*, Movement 12" (Bakulina 2015). Musical examples from this article are used with the publisher's permission.

[201] I do not put Doxology in quotation marks because it is not only the title of a movement, but also a formula used in many different contexts.

Movement 12, *The Great Doxology*: Harmony and voice leading

The text of The Great Doxology is a combination of several texts from different sources. The opening portion, beginning with the words *Slava v vyshnikh Bogu* etc., is taken from Luke 2:14 and corresponds to *Gloria in excelsis Deo* in the Roman mass. Following a long portion of a later origin comes the formula known as the *trisagion* (a Greek term, known in Russian as *trisviatoe*; both mean “three times holy”), which begins with the words *Sviatyĭ Bozhe* (Holy God) and is uttered three times, and the doxology formula *Slava Ottsu i Synu* etc., corresponding to *Gloria Patri et Filii* etc. After that, Rachmaninoff repeats *Sviatyĭ Bozhe* once more, this time without internal repetitions.

The music of The Great Doxology presents a fusion of two relative keys, E-flat major and C minor, at many levels simultaneously. I argue that mutability, in the hands of an outstanding composer, can be not only a surface feature, as most commentators seem to suggest, but a complex phenomenon, a network of harmonic relationships that penetrates the whole structure up to the highest level of the tonal hierarchy.[202] I offer a large-scale directional-tonal (i.e., double-*Ursatz*) interpretation of the movement. I also demonstrate a far-reaching stylistic and structural connection of the movement to the NRCS through surface fluctuation between relative keys, a 3-IAC in the concluding position (thus the *Urlinie* arriving to ^3), and a high-ranking VII chord expressing dominant function. Finally, I discuss the movement's final, climactic section: its formal, expressive, and theological meaning.

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[202] Sources proposing (or, most often, implying) that mutability can be found on the musical surface include Taruskin (1997) and Johnston (2009), who identifies many passages in Rachmaninoff’s music where two relative tonic chords directly alternate. Johnston’s examples of surface alternation (he calls it the *peremennost’* idiom, which often involves ostinato figures) include Rachmaninoff’s Sonata No. 2, op. 36, and the last movement of *The Bells*, op. 35. Importantly, Johnston (2009, 166) comments on the role of mutability and attenuation of centrality in Russian liturgical contexts, citing Morosan (1986) and Smolensky (with whose ideas Johnston is acquainted through Swan 1940). Johnston (2014, 4.16) discusses the Second Sonata again and mentions interaction of relative tonics at

To orient the reader during the analytical discussion that follows, Example 4.1 offers a general formal scheme of the movement. I divide this chant-based, 130-measure-long movement into two sections of roughly equal length, 69 and 61 measures, based on the tonal plan: although the relative keys interpenetrate each other all the time, the first section begins and ends unambiguously in E-flat major; the second section is clearly in C minor. The junction of the two sections happens at the phrase *Budi Gospodi* (Let Thy mercy, O Lord; m. 66); the next phrase, *Iakozhe upovakhom* (as we have set our hope on Thee; m. 69), is the first solidly C-minor moment in the piece.[203] Example 4.1 also provides the tonal and cadential plan on a smaller scale, the text at the beginning of each of these smaller sections, and the placement of the chant.

Example 4.2 gives the beginning and the end of the chant melody used in the Doxology. This melody belongs to the Znamenny tradition of Russian church singing. Rachmaninoff uses this melody with some freedom: he transposes some sections of it, puts different sections in different vocal parts and registers, and mixes various sections of the text and the chant in various voices simultaneously. He especially takes liberty with the last line of the chant, beginning at the last iteration of *Sviatyĭ Bozhe* (Holy God), parts of which appear in both the soprano and the

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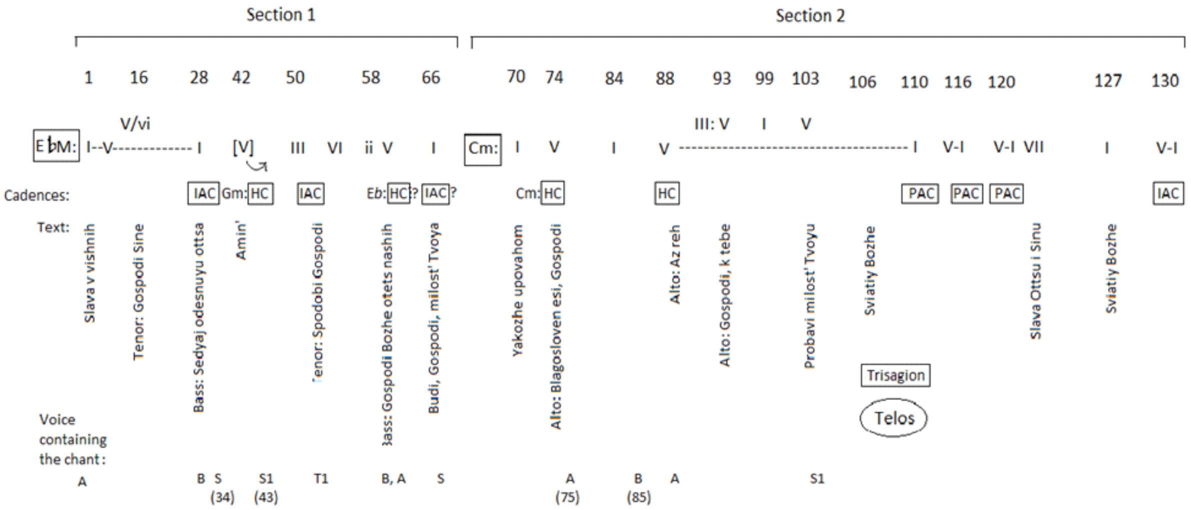
a somewhat higher level—as actual tonal centers rather than alternating chords—as an example of limited pandiatonicism in Rachmaninoff.

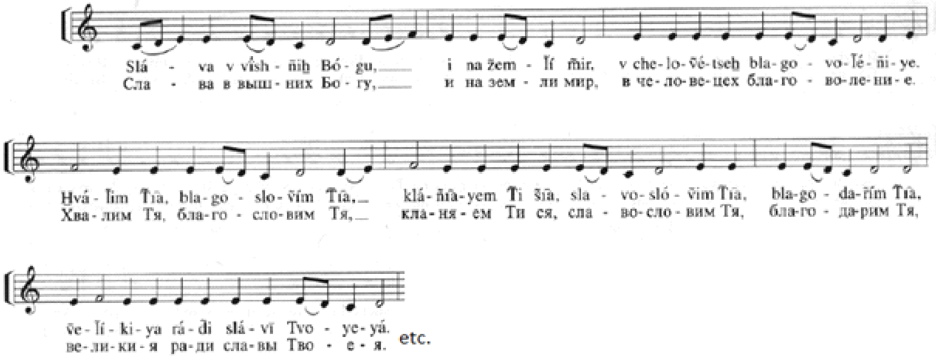
[203] The text of this junction area is translated thus in Morosan 1992: "Let Thy mercy, oh Lord, be upon us, as we have set our hope on Thee."

Example 4.1. Rachmaninoff, *All-Night Vigil*, movement 12, The Great Doxology. Formal structure

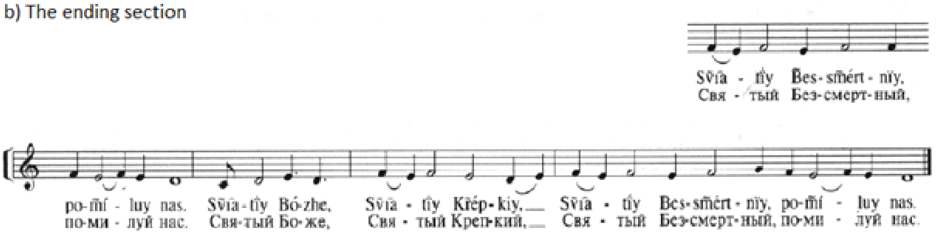

Section 1
Section 2
1
16
28
42
50
58
66
70
74
84
88
93
99
103
106
110
116
120
127
130
V/vi
E♭M:
I--V------------- I
[V]
III
VI
ii V
I
Cm:
I
V
I
V ------------------------------------ I
III: V
I
V
V-I
V-I VII
I
V-I
Cadences:
IAC
Gm: HC
IAC
Eb: HC?
IAC?
Cm: HC
HC
PAC
PAC
PAC
IAC
Text:
Slava v vishnih
Tenor: Gospodi Sine
Bass: Sedyaj odesnuyu ottsa
Amin'
Tenor: Spodobi Gospodi
Bass: Gospodi Bozhe otets nashih
Budi, Gospodi, milost' Tvoya
Yakozhe upovahom
Alto: Blagosloven esi, Gospodi
Alto: Az reh
Alto: Gospodi, k tebe
Probavi milost' Tvoyu
Sviatiy Bozhe
Slava Ottsu i Sinu
Sviatiy Bozhe
Trisagion
Telos
Voice containing the chant:
A
B
S (34)
S1 (43)
T1
B, A
S
A (75)
B (85)
A
S1

Example 4.2. Znamenny chant melody used in movement 12 (from Morosan and Ruggieri 1992, 119)

a) The opening section


Slá - va v víshniḫ Bó - gu, i na zem - lí mir, v che-lo-vé-tseḫ bla-go - vo-lé-ni-ye.
Сла - ва в выш-них Бо - гу, и на зем - ли мир, в че-ло-ве-цех бла-го - во-ле-ни-е.
Hvá - lim Tia, bla-go - slo-vím Tia, klá-nia-yem Ti sia, sla - vo-sló - vim Tia, bla-go - da-rím Tia,
Хва-лим Тя, бла-го - сло-вим Тя, кла-ня-ем Ти ся, сла - во-сло-вим Тя, бла-го - да-рим Тя,
ve - lí - ki-ya rá - di slá - vi Tvo - ye-yá.
ве-ли-ки-я ра-ди сла-вы Тво - е - я.
etc.

b) The ending section


Svia - tíy Bes-smért - niy,
Свя - тый Без-смерт-ный,
po-mí - luy nas. Svia-tíy Bó-zhe, Svia - tíy Krép-kiy, Svia - tíy Bes-smért - niy, po-mí - luy nas.
по-ми - луй нас. Свя-тый Бо-же, Свя - тый Креп-кий, Свя - тый Без-смерт-ный, по-ми - луй нас.

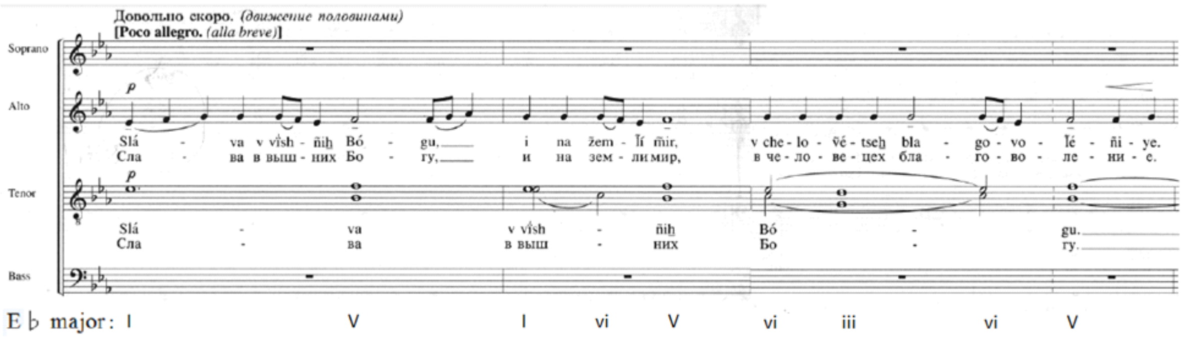
tenor lines at the end of the movement; the entire line as shown in the monophonic Example 4.2 is never stated. This is an important detail, to which I will return in my discussion of the *Urlinie*. With this general understanding of the form and the chant of the Doxology, I then proceed with a harmonic and voice-leading analysis of the movement. In all of the analytical examples and discussion, my purpose is to demonstrate the constant interpenetration of the two relative keys of E flat and c at all levels of structure, and particularly to the behavior of the *Urlinie* in C minor. I also want to emphasize the significance of mutability as formulated by post-Yavorsky theorists and as presented in Example 3.10—the scheme of relative mutability.

Heinrich Schenker, in his later analytical writings, always preferred to begin with the highest, i.e., the most large-scale, level of hierarchy. In the present study, I choose the opposite strategy—to begin with the foreground, since the specific techniques of connecting the foreground to deeper-level events are less familiar in this music than they are in the Western common practice familiar to most readers. Example 4.3a reproduces the opening of the Doxology, mm. 1–4; Example 4.3b is a foreground voice-leading graph of the passage.[204] One notices that the only harmonies Rachmaninoff employs for a long time (mm. 1–6) are the primary and secondary centers of mutability, i.e., the tonics and dominants of E flat and c. I and V^7 of E flat are the first two harmonies to be used; the second time the progression is iterated (m. 2), a C-minor chord is inserted between the other two. At this point, however, the status of the C chord as tonic has not yet materialized. Here, the C chord is only a humble neighbor of E-flat major’s dominant. The very next measure, however, elaborates this little neighbor with its own dominant (the C–G–C progression in m. 3), then returning to V of E flat.

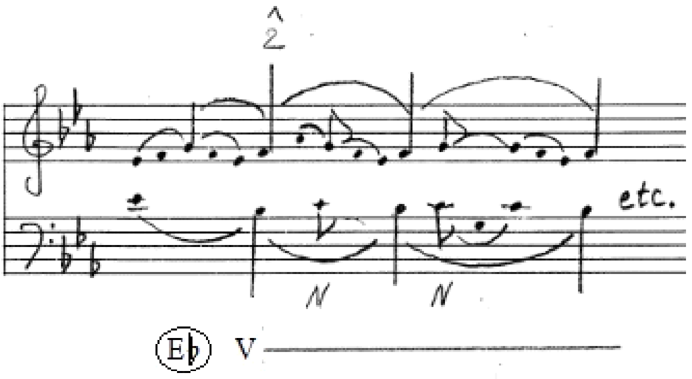
---

[204] The numbering of measures in this movement is somewhat problematic, mainly because it has no notated time signature. In the first edition (Moscow, 1915), the bar lines delineate rather long phrases of the text; the second bar, for instance, takes twenty quarter notes. In Morosan and Ruggieri's edition (1992), additional dotted bar lines are provided for ease of reading (the original second bar, for example, is subdivided into three bars of unequal length). In this dissertation, I use Morosan and Ruggieri's barring. Measure numbers used here also appear in their edition.

Example 4.3 a) Movement 12, mm. 1–4


Довольно скоро. (движение половинами)
[Poco allegro. (alla breve)]
Soprano
Alto
Tenor
Bass
p
Slá - va v vîsh - ñih Bó - gu, i na žem - lí mir, v che - lo - vé - tseh bla - go - vo - lé - ñi - ye.
Сла - ва в выш - них Бо - гу, и на зем - ли мир, в че - ло - ве - цех бла - го - во - ле - ни - е.
p
Slá - va v vîsh - ñih Bó - gu.
Сла - ва в выш - них Бо - гу.
E♭ major: I V I vi V vi iii vi V

b) Mm. 1–4, Voice-leading graph (foreground)



The opening measures, therefore, represent an exposition (not in the formal sense) of the four centers of relative mutability, which grow out of the initial I–V progression like a flower out of a seed; priority is given to the major key and especially its dominant.[205] Owing to this emphasis on the dominant, I interpret a large portion of the movement as prolonging V of E flat

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[205] The excerpt exhibits oscillation of a kind, but not of the kind that Johnston (2009) insists on when he demonstrates the significance of mutability in Rachmaninoff—oscillation between two chords. In the present case, oscillation occurs between V of E flat and its neighboring C chord, i.e., a primary and a secondary center of the E flat–c mutable system.

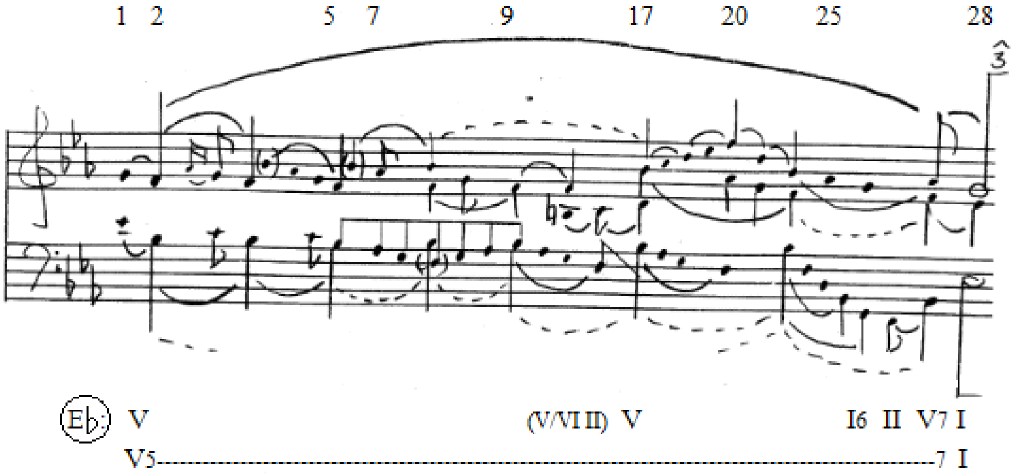
(mm. 1–27, with a resolution to I in 28), rather than I, even though the dyad E flat–G in m. 1 implies an E flat tonic. (This dyad is significant for the end of the movement as well, as I will show.) The focus on the B-flat harmony is determined not only by the constant return to this chord, but also by the chant. The chant melody, given to the alto for this entire section, mm. 1–28, consists of melodic patterns that consistently end on F. The Russian chant tradition lacks a systematic classification based on the final, as is the case with Western chant, but the consistent endings of the melody on the same note (D in the natural-system monophonic version in Example 4.2, F in the opening of Rachmaninoff's piece) project a sense of this note's centrality. It is remarkable that this stretch of music ends with another F ending of the chant (m. 27), after which Rachmaninoff *adds* an extra note to the alto line—the E flat of m. 28, to accommodate the authentic cadence at that moment. Thus the ending notes of chant phrases appear truly important: they articulate the harmony that structurally dominates a certain span of time. An ending on F means a dominance of the B-flat harmony; an ending on E-flat implies that E-flat harmony is now controlling. It should be noted that this dominant-focused reading of the opening section results in an auxiliary cadence resolving to the tonic in m. 28, as shown in Example 4.4.[206]

An emphasis on the dominant is, in fact, a significant feature of the whole movement. The first half (the E-flat-major section, mm. 1–69) focuses on the dominant of E flat, exemplified—but not exhausted—by the passage just discussed. The second, C-minor half of the piece, to be analyzed soon, exhibits the dominants of both E flat and c. It is worth noting that the effect of dominant prolongations is strikingly different in the first and second halves of the Doxology. The dominants towards the end of the piece are remarkably intense, whereas mm. 1–28 produce an impression of gentle rocking, peacefulness, and free flow. The latter effect is due

---

[206] This reading of the first 27-measure span as an expansion of dominant includes a prolongation of a dissonant chord, V7. On the prolongation of seventh chords, see Clark 1982 and Goldenberg 2008.

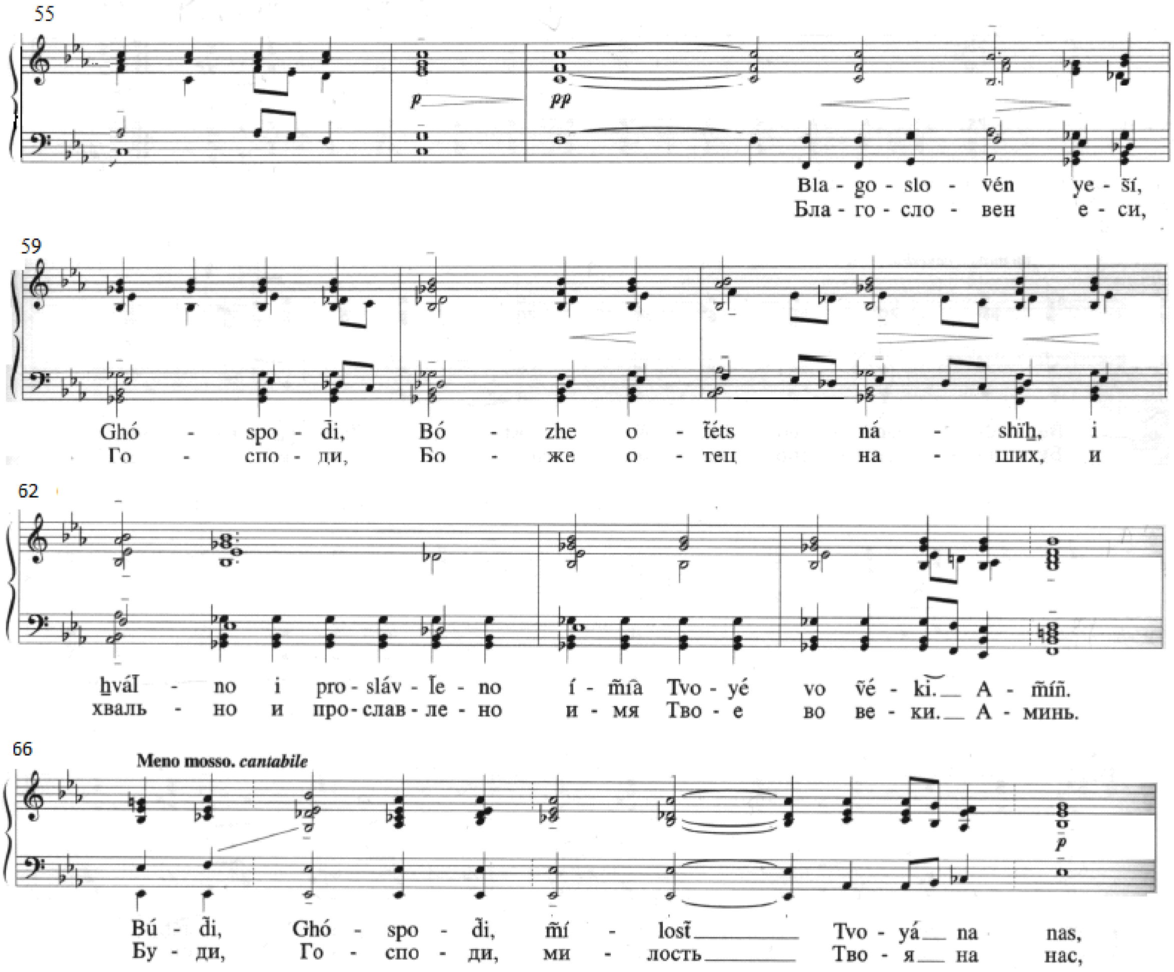
Example 4.4. Mm. 1–28, voice-leading graph: auxiliary cadence (middleground)



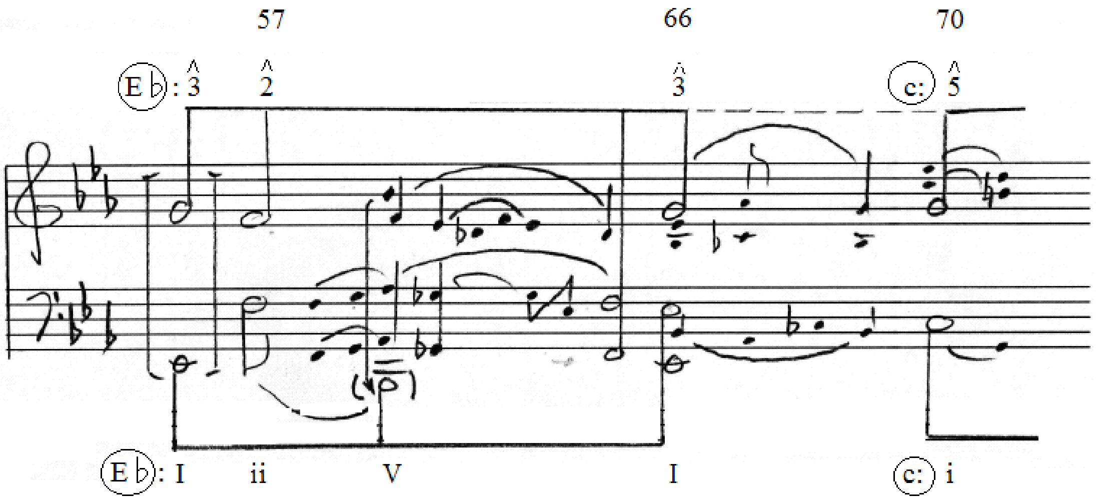
partly to the use of mostly consonant harmonies (as has been shown, the seventh A flat occurs mostly as a melodic elaboration of the consonant B flat triad) and partly to a certain tonal decentralization. Recall that the fluctuation between E-flat-related and c-related harmonies produces surface mutability; according to Kholopov (1988), mutability occurs not only when different tonal centers follow each other, but in situations of weakened tonal centricity as well. The alternating V of E flat and I of c in mm. 2–8 produce precisely this impression—one of suspended gravity, an unresolved hovering, even if E-flat major seems the likeliest tonal center.

Returning to the voice-leading analysis of the movement’s first half, one more segment deserves our attention: mm. 57–69, also exhibiting the dominant harmony; see Example 4.5a. This passage completes the E-flat-major portion of the movement; starting at 70, this key has no controlling power at the background level any more (although at more immediate levels the two keys continue to interact). After the first true statement of an E-flat-major tonic at m. 28, the music travels a full circle of fifths, with a notable cadence in F minor in m. 57. From there, after a brief pause, the basses take over the chant melody, doubled in octaves, with a little chromatic

Example 4.5. a) Mm. 57–69 (note the chant segment in the bass and in the soprano)


55
p
pp
Bla - go - slo - vén ye - sí,
Бла - го - сло - вен е - си,
59
Ghó - spo - di, Bó - zhe o - tẽts ná - shi̋h, i
Го - спо - ди, Бо - же о - тец на - ших, и
62
hvál - no i pro - sláv - le - no í - mĩa Tvo - yé vo vé - ki.__ A - mín.
хваль - но и про - слав - ле - но и - мя Тво - е во ве - ки.__ А - минь.
66
Meno mosso. cantabile
Bú - di, Ghó - spo - di, mí - lost__ Tvo - yá__ na nas,
Бу - ди, Го - спо - ди, ми - лость__ Тво - я__ на нас,
p

b) Voice-leading graph (foreground)


57
66
70
E♭: $\hat{3}$
$\hat{2}$
$\hat{3}$
c: $\hat{5}$
E♭: I
ii
V
I
c: i

inflection: the note G sometimes becomes G flat.[207] As early as the end of m. 57, the tone F is harmonized with a B-flat sonority ($V^{4/3}$ of E flat); after some passing events, the same harmony returns at m. 67, this time without a seventh ($V^{6/4}$). Following this, a resolution to tonic comes, in four-measure segment, the last one in a major key, conveys a sense of profound lyrical expressivity at the words *Budi Gospodi milost' Tvoia na nas*.

This tonic arrival sounds quite weighty; it is also the last one before the music moves permanently to C minor. Consequently, one is left with the only option—to read m. 66 as the final tonic event of the E-flat-major section, and the preceding dominant as the background V of that section. The inverted form of this V thus appears to be a fiction, a surface result of the chant's placement in the bass; the "real" background harmony (in a Schenkerian sense) is root-position V. The graph of this excerpt in Example 4.5b shows this interpretation, adding an implied tone B flat in the structural (as opposed to literal) bass voice.[208]

At this point, I take a more general look at the entire first half of the Doxology (mm. 1–69). Example 4.6 presents a middleground-level reading of this section. This reading includes the auxiliary cadence arriving at the deep-level tonic at 28 (with ^3 in the top voice), the following circle of fifths, the dominant (apparent 6/4 chord) and the final tonic, with ^3 in the top voice again.

The background structure offered in this graph requires some explanation, especially with regard to the return of the *Kopfton* at the end. This return, I claim, is justified by (1) the stylistic context of this music, and (2) the relationship of the structure to the literal chant melody. With

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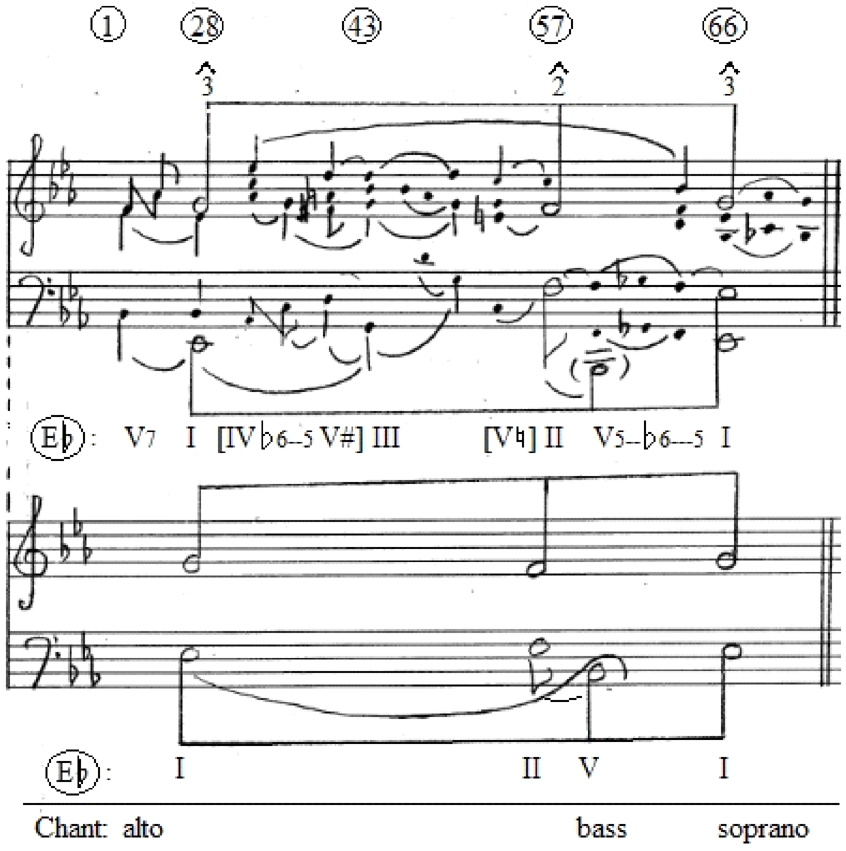
[207] The rationale behind the placement of the chant in the bass part, with a somewhat heavy, almost rude effect, might be the mention of "fathers," i.e., spiritual ancestors, in the text: *Blagosloven esi Gospodi, Bozhe otets nashikh* (Blessed be, oh Lord, God of our fathers), calling for an evocation of something mysterious and perhaps even frightful.

[208] On the ^2 of the *Urlinie* manifested in the bass, see Eric Wen (1999, 289).

Example 4.6. First half of movement 12, mm. 1–69, voice-leading graph (middleground and background)



regard to the first of these points, the arrival of the structural soprano to ^3 at the end, instead of a normal descent of the upper voice to ^1, brings us back to the music I discussed earlier—the traditional music of the Russian church. Smolensky's "Dostoĭno Est'," discussed in previous chapter, exhibits a descent of the structural line from ^5 to ^3; the first section of Rachmaninoff's movement displays a somewhat different line—a neighboring figure ^3–^2–^3. The idea, however, is the same in both pieces: scale degree 3 is stable enough to serve as both the initial (*Kopfton*) and concluding tone of the fundamental line.[209] In both pieces, the arrival to ^3 is produced by a 3-IAC in the last measure.[210] Therefore, let us consider m. 66 as a 3-IAC of global significance within the E-flat-major section of the piece.

The nature of this cadence and my decision to read the sopranos' G as a background ^3 might be questioned by some readers. Even if m. 66 is a cadence, is it not possible to read the E-flat (^1) in the first alto as the structural tone which, on the surface, happens to be in an inner part? My answer to this question would be yes, it is possible; but it would not necessarily the best solution. A norm-conformative Schenkerian analysis might have value in that it would show that the Doxology is another one of a myriad of tonal pieces (which it is, in a way). But such an analysis would neglect the stylistic context to which the piece belongs. It would neglect the fact that Rachmaninoff composed under the influence of Smolensky (the preserver of "Dostoĭno Est'"), Kastal'sky, and other church musicians of the time.

As I mentioned above, the 3-IAC in this music possesses a conclusive function that the PAC has in Western common practice. This tendency is more important for the Doxology than one might think: in the whole E-flat-major section, not a single descent to ^1 takes place in the literal upper voice. This lack of PACs suggests a remarkable dependence on the broader liturgical style, a dependence less noticeable, but perhaps structurally more significant, than the use of Znamenny chant. Based on the strength of the 3-IAC, therefore, I maintain that the return to ^3 of the *Urlinie* at the end of this section is more relevant stylistically than a hypothetical descent to ^1, and that in this case style should influence our perception of structure.

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[209] Schenker's term *Kopfton* refers to the first ("head") tone of a linear progression (any linear progression, not only the *Urlinie*). Because a neighboring motion such as ^3–^2–^3 is not a linear progression, my use of the term *Kopfton* for its main tone is somewhat loose.

[210] In Rachmaninoff's case, the cadence is less noticeable: since m. 65 constitutes a big caesura (with a breath mark in all voices in Morosan's edition; see Ex. 8a), a cadence in the following measure might not be obvious. I contend, however, that a perception of m. 66 as cadential is possible, especially if we use Donald Francis Tovey's concept (1931) of "closing into" (meaning "closing into the next measure," so that the measure in question serves both as end and beginning).

The chant, however, is also inextricably connected to the background structure shown in Example 4.6. As we have seen, the upper voice at the beginning of the piece—the voice that provides the F of the long auxiliary cadence—is the chant melody in the highest-sounding part (alto; the sopranos are silent until m. 7). Rachmaninoff does not always put the chant in the highest part. Yet, in my view, it makes good sense to consider the chant melody (or, to use a Western term, cantus firmus) the conceptual upper voice, as I have done in mm. 57–65, where the chant in the literal bass is shown as the structural soprano. Several factors contribute to such a function of the chant. First, the cantus firmus is the music's motivic basis, whose motives are used in all voices.[211] The chant is therefore thematically important and may be viewed as *the* melody of the multi-voice fabric. Second, the stepwise nature of the chant (see Example 4.2) helps one to read it as the structural upper voice, which is stepwise by definition. Therefore, I propose a general principle to regard the *Urlinie* of this movement as based on the chant melody.[212]

In the first half of the Doxology, this principle is manifested as follows. The first note of the *Urlinie,* G4 (m. 28), does not belong to the chant; but neither does the E flat of the alto (see Example 4.7), which, as I mentioned, is *added* to the melody, since the chant phrase ends on the preceding F. Of course that added E flat may also be a high-ranking tone, but an inner-voice tone, since at this point one needs the long-awaited arrival of the *Kopfton* (^3) in the soprano, both literal and conceptual. The next note of the *Urlinie*, F, is articulated by the chant placed in the bass (mm. 57–65). At this point, one expects the arrival of the upper voice on E flat, ^1; but the chant is interrupted here, and, after the caesura, is re-introduced in the soprano on ^3 of E-flat major (m. 66). Thus the descent to ^1 has represented motion into an inner voice (quite literally), ^3 being reasserted just as ^1 arrives. The arrival of the *Urlinie* to ^3, as shown in Example 4.6, is justified by both the stylistic context of Rachmaninoff's work and the behavior of the chant.

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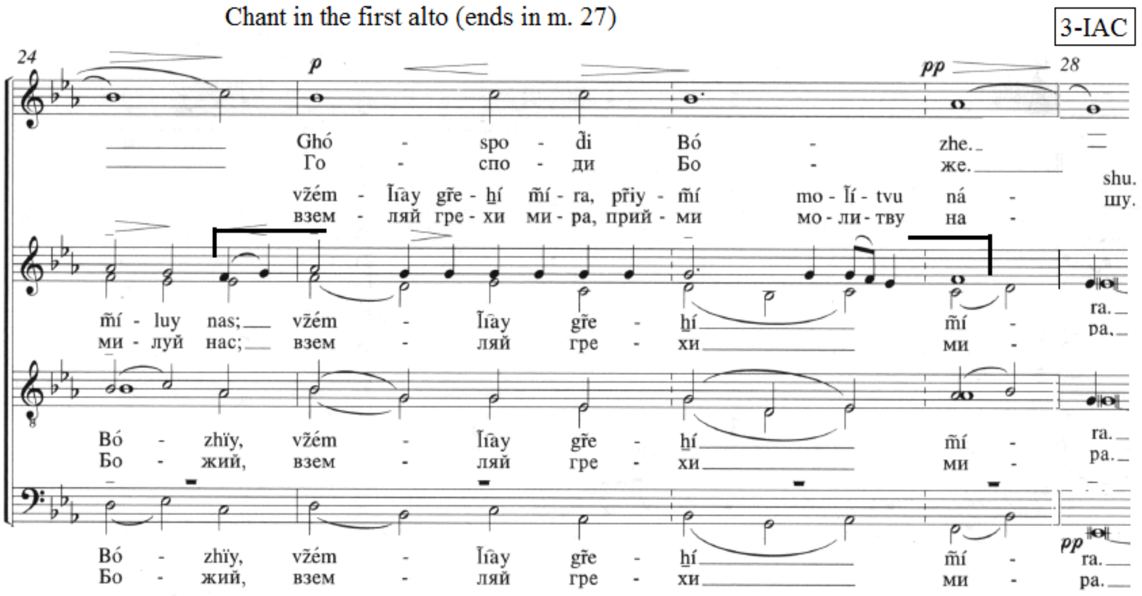
[211] I remind the reader that composing on the motivic basis of a certain chant melody or a chant style was one of the principal techniques of the NRCS, initiated by Kastal'sky. Moreover, heterophonic texture, often used in Rachmaninoff's work, is itself a principle of varied motivic repetition.

[212] In his analysis of the chorale fantasy that opens Bach's *St. Matthew Passion*, Schenker proposed to read a preexistent melody as the structural upper voice (Schenker 1990, 127–30), but in a different sense: he finds the chorale melody at deeper levels of structure at places where the chorale is absent from the musical surface. The same idea appears in analysis in Stern (1990) of a mass by Josquin. Since in Rachmaninoff's case the chant is constantly present, this analytical device is somewhat less pertinent (although I do not deny that such deep-level manifestations of the chant exist in the Doxology).

Example 4.7. Mm. 26–28


Chant in the first alto (ends in m. 27)
3-IAC
24
p
pp
28
Ghó - spo - di Bó - zhe.
Го - спо - ди Бо - же.
vzém - lïay grẽ - hí mĩ - ra, prĩy - mĩ mo - lĩ - tvu ná - shu.
взем - ляй гре - хи ми - ра, прий - ми мо - ли - тву на - шу.
mĩ - luy nas; vzém - lïay grẽ - hí mĩ - ra.
ми - луй нас; взем - ляй гре - хи ми - ра.
Bó - zhïy, vzém - lïay grẽ - hí mĩ - ra.
Бо - жий, взем - ляй гре - хи ми - ра.
pp
Bó - zhïy, vzém - lïay grẽ - hí mĩ - ra.
Бо - жий, взем - ляй гре - хи ми - ра.

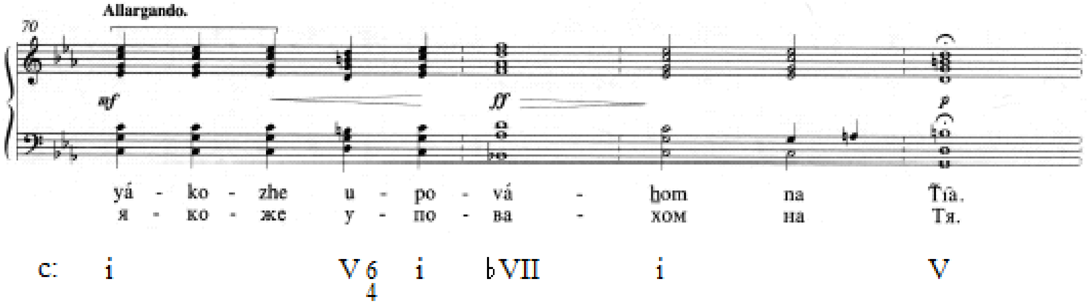
Having examined the first half of the Doxology, let us move on to the second half. The section begins with an abrupt move to C minor at m. 70.[213] Two aspects of interest are the abundance of dominant harmonies and the almost exclusive use of chords belonging to the relative-mutability scheme (i.e., primary and secondary centers). In effect, the whole C-minor section of the Doxology amounts, in terms of its harmonic content, to a variant of the hymn "Dostoĭno Est'," discussed in Example 3.11, and similar commonly used church pieces in that all this music represents a constant alternation of the primary and secondary centers of a relative-mutable system, with very few other chords. There is little ambiguity, however, in the large scale: towards its end the C-minor section contains, a triple full-cadential confirmation of the key (three PACs), in mm. 110, 115, and 120, followed by a final 3-IAC.

Let us examine the interaction of the mutable centers in this section of the Doxology. Although the C-minor tonic is stated in m. 70, both dominants—of E flat and of c—are introduced immediately, and moreover in a few different ways. The very first phrase, *Iakozhe upovakhom na Tia*, displays a tonic expansion through neighboring $V^{6/4}$ and flat VII (or V of III) chords and ends at m. 73 with a root-position V (c: HC); see Example 4.8. Just as the opening phrase of section 1 immediately introduced three harmonies of relative mutability—E flat, B flat, and c, the opening phrase of section 2 gives straightaway a different combination of relative-mutable centers: c, G, and B flat. Note that, in both cases, dominant chords are given more emphasis than tonic: see the 27-measure auxiliary cadence in section 1 and the half cadence in section 2 (m. 73).

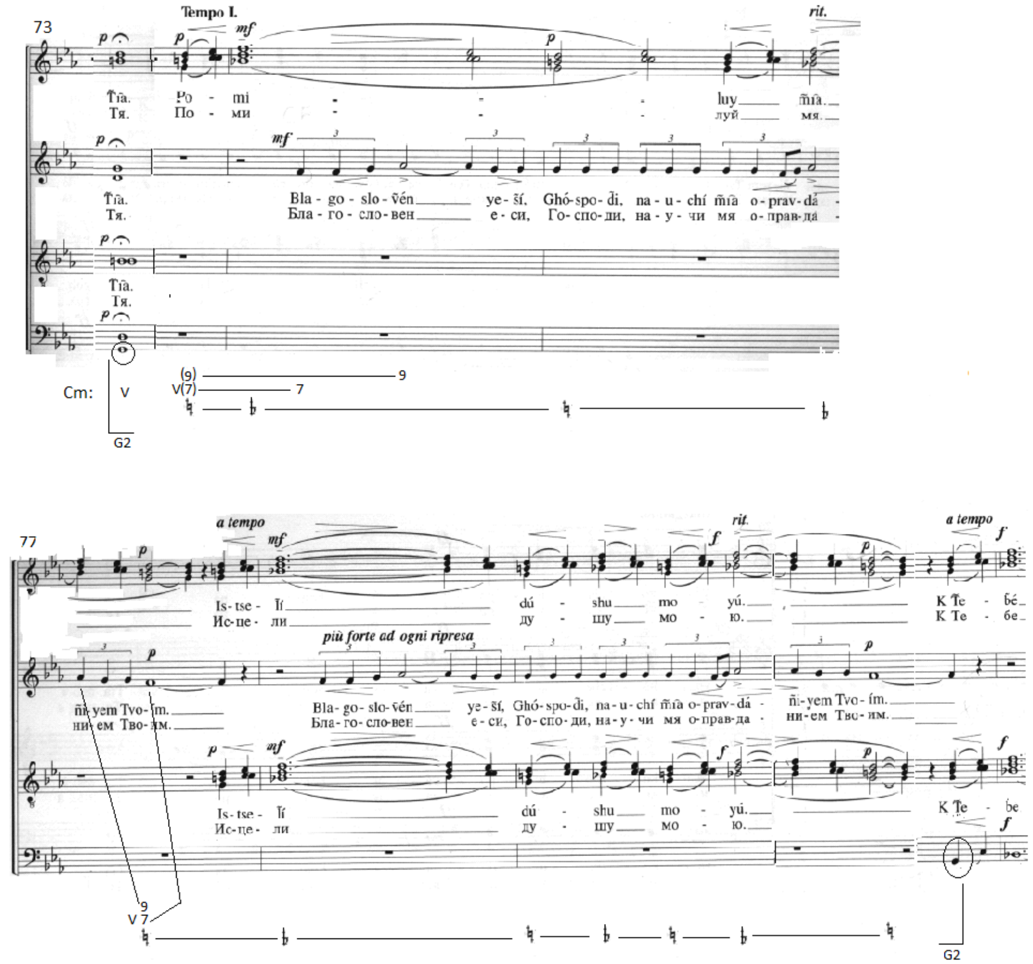
---

[213] It is interesting that, from the standpoint of the text, this juxtaposition of E flat and c happens in the course of a single sentence: (E flat:) *Budi Gospodi milost' tvoia na nas*, (c:) *iakozhe upovakhom na Tia* [Let Thy mercy, O Lord, be upon us, as we have set our hope on Thee]. Grammatically, it would make more sense to regard the beginning of the second large-scale section either at the opening of this sentence or after its end, rather than in the middle. Harmonically, however, the motion to a new key happens so suddenly and so unambiguously in m. 70 (*iako zhe*…) that placing the boundary at a different moment would mean to ignore the tonal and harmonic events of the piece.

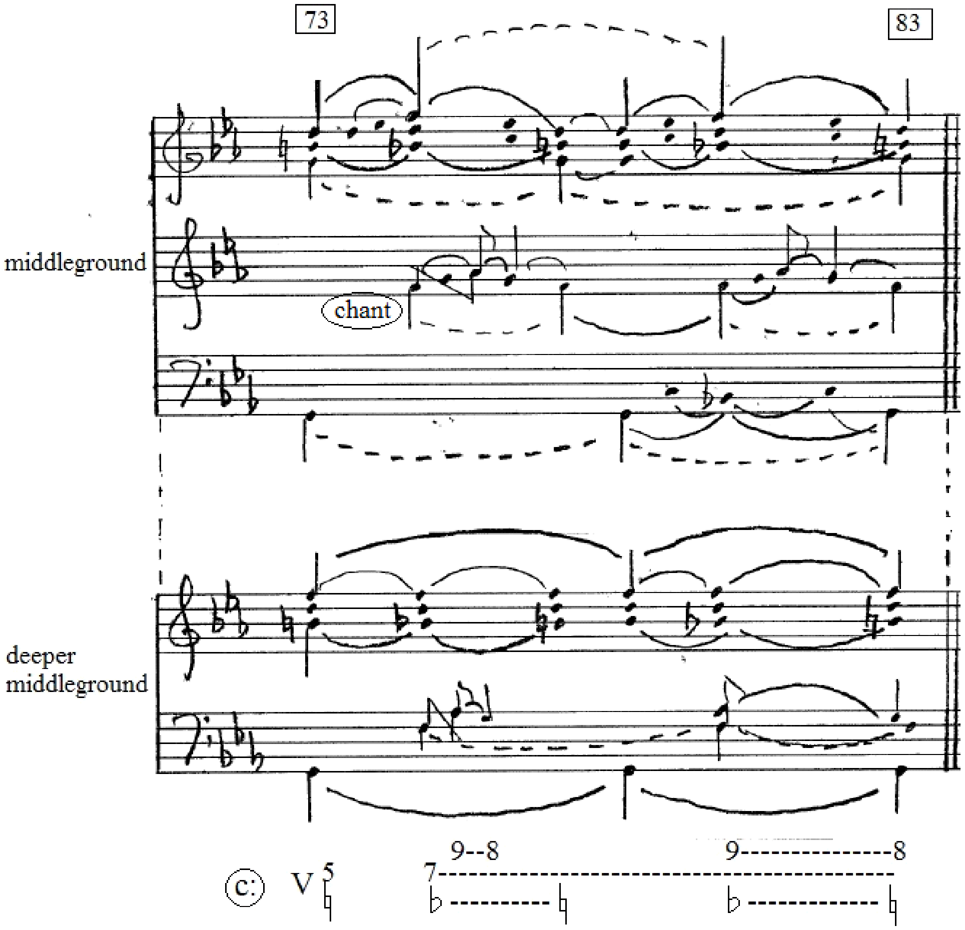
Example 4.8. Mm. 70–73, the opening of the second half of the Doxology (C minor)


70
Allargando.
mf
ff
p
yá - ko - zhe u - po - vá - hom na Tĭa.
я - ко - же у - по - ва - хом на Тя.
c: i V 6 4 i ♭VII i V

Example 4.9 a) Mm. 74–83, prolongation of V^9 and an apparent B-flat^7 chord


73
Tempo I.
rit.
Tĭa. Po - mi - luy mĭa.
Тя. По - ми - луй мя.
Bla - go - slo - vĕn ye - sĭ, Ghó-spo-di, na - u - chí mĭa o - prav-dá -
Бла - го - сло - вен е - си, Го-спо-ди, на - у - чи мя о - прав-да -
Cm: V
(9) 9
V(7) 7
♮ ♭ ♮ ♭
G2
77
a tempo
mf
rit.
a tempo
f
Is - tse - lí dú - shu mo - yú. K Te - bé
Ис-це - ли ду - шу мо - ю. К Те - бе
più forte ad ogni ripresa
ñi-yem Tvo - ím.
ни-ем Тво - им.
9
V 7
♮ ♭ ♮ ♭ ♮ ♭ ♮
G2

Example 4.9. b) Mm. 74–83, Voice-leading graph (middleground level)



Further events confirm that dominant harmonies are the focal point of the section. In most of section 2, they occur in a way that has not yet been explored in this piece: the two dominants, G and B flat, are juxtaposed several times. (In each juxtaposition a brief C-minor chord is inserted.) The first time this happens is the passage in mm. 74–83, which consists of three harmonically equivalent, though differently “orchestrated” phrases; see Example 4.9a. Each phrase begins and ends with a dominant triad of C minor but dwells mostly on the dominant triad of E flat. While this juxtaposition occurs in a growing amount of voices each time, the altos consistently sing the chant, emphasizing the tones F and A flat. The result is a kind of fusion of the two dominants into what could almost be heard as a “double-dominant complex” (picking up from Bailey’s “double-tonic complex”), with F and A flat as part of this complex (respectively fifth and seventh of B flat and seventh and ninth of G).[214]

The most problematic element of this complex is, of course, the conflict between B natural and B flat in the respective V chords. In Schenkerian terms, the most satisfying solution of this conflict, as shown in Example 4.9b, is to read the entire passage as a prolongation of V9 of c, where the B-flat harmony is a harmonic fiction, the result of temporarily withdrawing the root G and inflecting B natural to B flat. Such a reading is supported not only by the boundary play in general—the return of the G harmony at the end of each phrase—but also by the return of the tone G2 in its specific register; see mm. 73 and 80. Such a strong emphasis on dominant harmonies naturally produces great instability and intensity of expression, which is heightened still more in the music to come.

After a brief restatement of the C-minor tonic in mm. 84–87, the music returns to V of that key, stating it first as a seventh chord and then a ninth chord (mm. 88–89). This second dominant prolongation, mm. 88–110, is somewhat more unusual than the first and involves several moments that do not easily subject themselves to analysis, specifically the behavior of the ninth (the tone A flat). To begin with, the dominant prolongation contains an intrusion of an E-flat-major passage at mm. 99–102; see Example 4.10, a graph and an imaginary continuo (at the middleground level) of mm. 89–110. This intrusion comes rather abruptly when V7 of E flat directly follows V of C minor in m. 93 and is held for a considerable amount of time (six measures). Following this, the tonic of E flat occurs, the basses sounding the low E flat on *iako Ty esi Bog moĭ* [for Thou art my God]; after four measures, the B-flat chord returns, this time without a seventh (m. 103). Finally we regain the dominant of C minor at the cadential progression in that key, $V^{6/4}$–V^{7}–I in m. 110. The entire progression in mm. 89–110 moves thus: in C minor, V^{9}–V^{7}/III–III–V/III–$II^{6/5}$–$V^{6/4}$–V^{7}–I.

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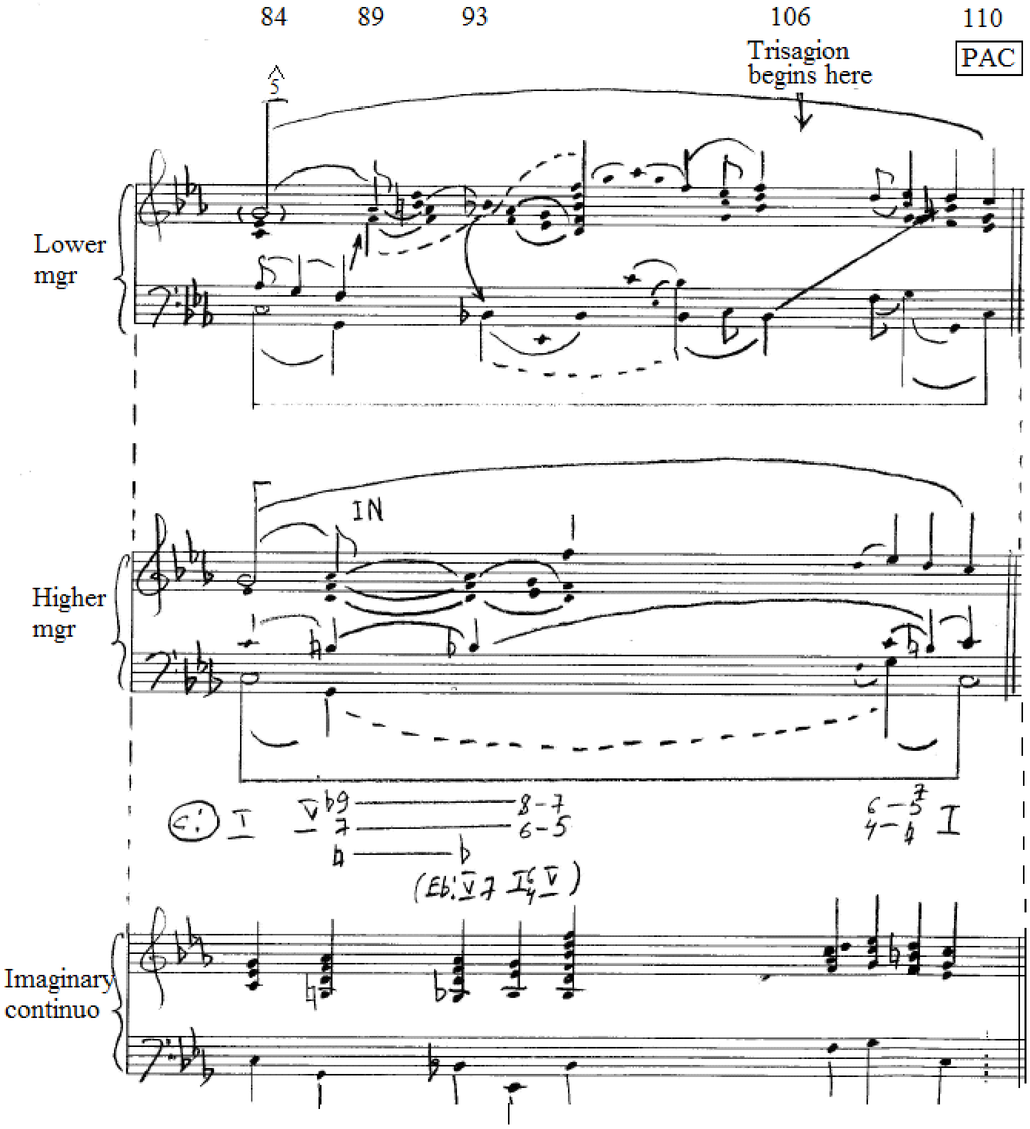
[214] David Damschroder (2010, 29) demonstrates a very similar situation in Schubert’s Rondo in B Minor for Violin and Piano. He calls the root of the (seeming) V7 chord, equivalent to the lowered third tone of the deeper-level V9, a “wobbly note”—a temporary chromatic inflection that is “corrected” at the deeper level. The process of juxtaposing the two dominant harmonies is, for him, an example of chordal evolution. More examples of wobbly notes will be shown in the Vigil later, particularly in movement 1.

Example 4.10. Mm. 84–110, voice-leading graph (middleground)


84
89
93
106
110
Trisagion begins here
PAC
^5
Lower mgr
Higher mgr
IN
c: I
V ♭9 7 ♮
8-7 6-5
♭
(E♭: V7 I6/4 V)
6-5 4-♮
7 ♮
I
Imaginary continuo

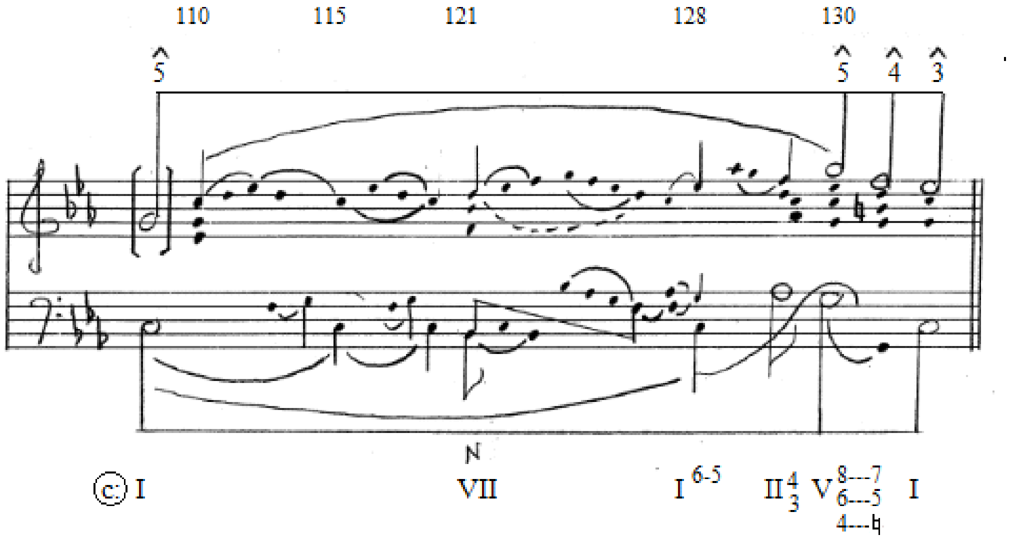
Example 4.10 gives a voice-leading interpretation of this passage, without doubt the most harmonically unusual in the movement. In essence, this graph shows the G harmony, first as V^9 and later as V^7, as the dominating event composed out up to the full cadential arrival of the C-minor tonic (m. 110). Just as in the previous dominant prolongation (Example 4.9b), the B-flat harmony appears to be a variant of G^9 with the root withdrawn and the third temporarily diatonicized (B natural becomes B flat). The E-flat harmony is at a still lower hierarchical level: it serves as an apparent triad (a 6/4 chord with a cast-out root) within a prolongation of B flat, which emphatically returns as a densely voiced *tutti* chord in m. 103.

The most interesting voice-leading element of this passage is the behavior of the tone A flat. Having come in as the ninth of a G^9 chord, it is reinterpreted as the seventh of Bflat^7 and disappears when that chord proceeds to the E-flat chord. Later, the tone A flat returns in the soprano within a renewed prolongation of the B-flat chord (a triad, mm. 103–106); this tone never attains its former function of a high-ranking chord tone. Therefore, the A flat that resolves to G in an *apparent* E-flat-major harmony (m. 99) proves, at the highest level, to be abandoned, and thus it serves an incomplete neighbor to G. Given the restricted harmonic vocabulary—Rachmaninoff uses the four mutable centers almost to the exclusion of other harmonies—it is remarkable how complicated this voice-leading process is.

The intensity and momentum created by all the dominant prolongations, as well as the increasing thickness of texture, are counterbalanced by repeated statements of the C-minor tonic in the final section (beginning with the first PAC in m. 110), corresponding to the *trisagion* section of the text. These tonic statements are of almost excessive force: Rachmaninoff hammers the tonic into the listener’s head by giving three PACs in a row (the only place in the entire movement where the 3–2–1/I–V–I descent occurs) and one more cadence at the very end, a 3-

IAC; see Example 4.11. This final cadence is preceded by one more excursus to the dominant realm–the neighboring B-flat harmony at mm. 121–26, VII in the current key. This gesture, of course, reminds one of the hymn “Dostoĭno Est’,” analyzed in Example 3.11, where a similar neighboring motion occurs at the highest level (background), and a multitude of other pieces in the same style.

Example 4.11. Final section of the movement (mm. 106–30), voice-leading graph (middleground)



By the time we reach the cadence in m. 110, we have seen all four of the central harmonies of relative mutability—the chords C, E flat, G and B flat—in a variety of tonal and voice-leading contexts. Especially interesting are the different ways of relating the B flat harmony to the other members of the E flat–c mutable system. This chord is, in a way, the most ambiguous, because it has a function in both keys: V of E flat and flat VII of c, representing two types of dominant function. (Recall a similar use of the VII chord in the hymn “Dostoĭno Est’,” where the G chord often sounds like dominant of A.) Example 4.12 provides a voice-leading summary of these relationships. This summary can be presented thus:

a) The most straightforward relationship. The B-flat chord functions as V^7 of E flat. This relationship appears in the first, E-flat-major section of the piece, at the middleground and background levels.

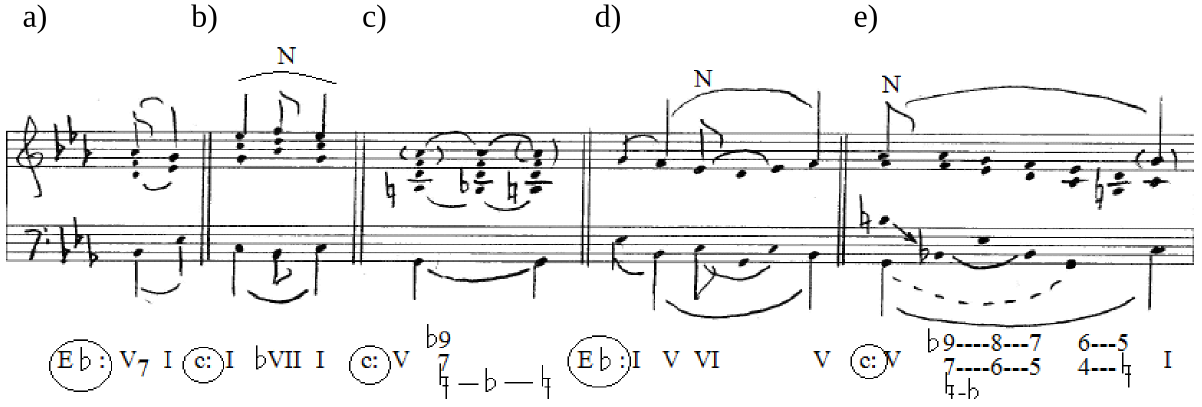
b) Relates Bflat^7 to the C-minor tonic as a diatonic neighboring chord. This relationship occurs, for instance, in the foreground in mm. 70–72 (see Example 4.11) and later at a higher structural level around m. 120, after the third PAC within the climactic section.

c) A less usual situation: Bflat^7 is a transformed version of V^9 of c; it sounds like a juxtaposition of two dominants on the surface; this occurs in mm. 74–83.

d) A hierarchically arranged relationship of all four mutable centers from the beginning of the movement (mm. 1–4), controlled by the dominant of E flat; the G chord is at the bottom of the hierarchy (subordinated to the neighboring chord C).

e) The least usual situation: A hierarchically arranged relationship of all four centers from the passage in mm. 89–110, controlled by the C-minor tonic, where the E-flat chord is at the bottom of the hierarchy (subordinated to the B-flat harmony, itself a variant of the G chord).

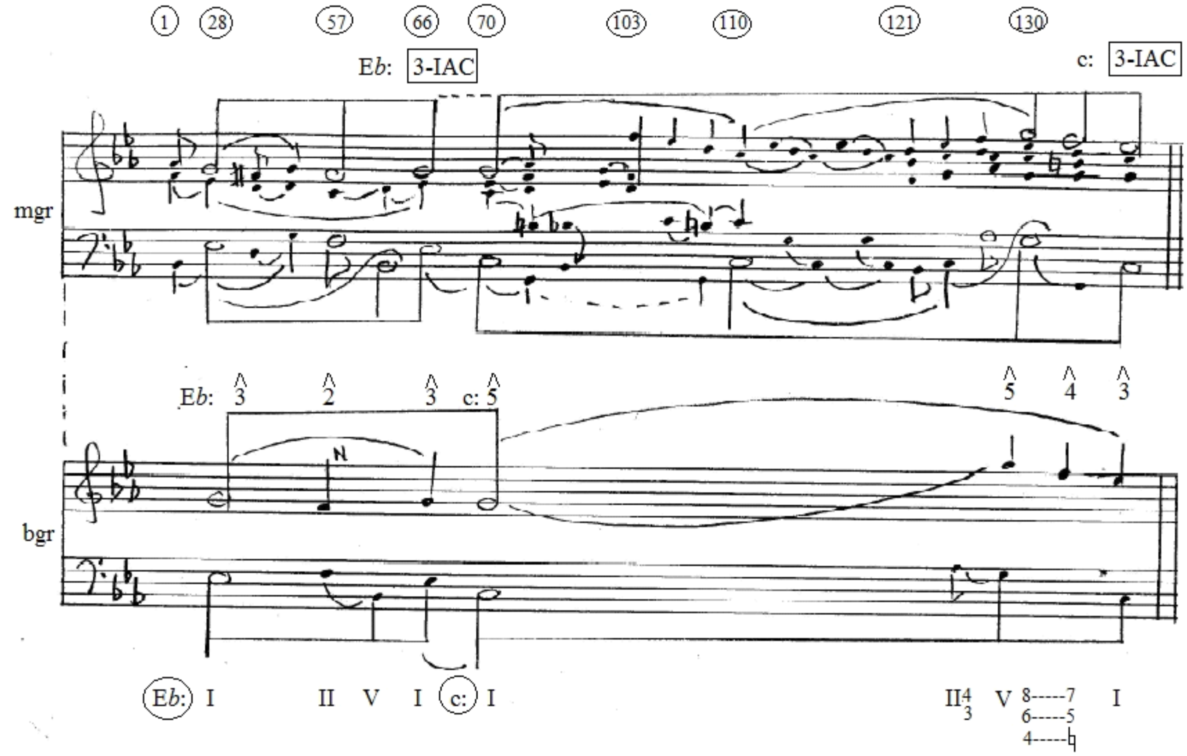
Example 4.12. Relative mutability (primary and secondary centers) in movement 12: a voice-leading summary



In effect, the movement presents an interplay of the four mutable centers, primary and secondary. Of course, these are not the only harmonies used in the piece. The first half provides a complete diatonic circle of fifths, and the second half contains a pre-dominant chord (usually II) in every cadence. But the four central harmonies indeed control the whole structure, as I and V in each of the relative keys. The movement is not simply a juxtaposition of an E-flat-major and a C-minor passage of music, which follow one another (a situation that takes place in many Western Romantic works featuring tonal directionality or tonal pairing), or an alternation of passages in two keys. It is even more than tonal ambiguity, although ambiguity does take place at moments such as the oscillation between two dominant chords (the ear does not know to which tonic the music will gravitate). The fusion of two keys into a truly unified system occurs through the interplay of the four central harmonies in different tonal and voice-leading contexts and at different hierarchical levels. This richness of different functions and relationships makes the movement unusually ingenious, since it draws on the harmonic resources of traditional church music while bringing these resources to a remarkable level of structural sophistication.

In order to examine the large-scale directionally tonal structure of the Doxology—the level at which two sections in different keys follow each other—I turn once more to the structure of shorter liturgical pieces discussed in the previous chapter. In Examples 3.13 and 3.14, both of them tone harmonizations, as well as the longer and more complex Ex. 3.15 (Kastal'sky), I have demonstrated double-*Ursatz* structures incorporating the norm of the conclusive 3-IAC and thus the *Urlinie* arrival on ^3 of the final key. Building on these double-*Ursatz* structures, I propose a reading of Rachmaninoff's Doxology as possessing two complete *Ursätze,* both featuring a ^3 arrival in the upper voice. Example 4.13 gives such a reading of the piece at the deep middleground and background levels. The first half of this graph shows the E-flat-major section, with its initial auxiliary cadence and the neighboring figure 3–2–3 in the soprano, harmonized as I–V–I. The second half shows the C-minor section, with its two long dominant prolongations, three PACs between mm. 110 and 120, and a final arrival of the *Urlinie* on ^3 of C minor in the last measure (m. 130). The two *Ursätze* share the common tone G, acting as the *Kopfton* in both keys. The reader is encouraged to compare this double-*Ursatz* structure with Wadsworth's background schemes (Example 3.12). Both structures share the same logic of joining two fundamental structures together, but mine includes the dominance of the melodic ^3, which I have shown to be a marker of Russian liturgical music.

Example 4.13. Movement 12, a directionally tonal reading (middleground and background)



Just as in the first section, the arrival of the *Urlinie* on ^3 in the second section requires some explanation. As we have seen, such an arrival in the E-flat-major context in mm. 66–69 was corroborated by the surface 3-IAC as well as the chant emphasizing the note G. In the C-minor context, the situation is somewhat more complicated. First, the placement of the chant is not so clear here. The ending of the movement is the only place where Rachmaninoff truly alters the pre-existent melody, and the last several measures (given in Example 4.14) do not exhibit the chant in any one part, although chant motives are still used. In particular, the last three notes of the chant (a semitone and a whole tone in downward motion; see Example 4.4) are present in the second soprano, arriving to ^1 of C minor. This factor certainly supports a PAC reading of m. 130, where the first soprano would be a covering tone—a structural inner voice that, on the surface, happens to be above the real upper voice. The second complicating factor is the three unambiguous PACs that occur in mm. 110, 115, and 120; the last measure could be heard as just another one of these PACs. If one chooses to read the movement's ending in this way, the background structure would end with a normal descent to ^1 in C minor in the structural upper voice.

And yet I wish to highlight the importance of the final cadence precisely as an IAC, with a clear reference to the stylistic background, the liturgical music in which the 3-IAC is at least as conclusive as the PAC. The decision to give this final IAC a conclusive status downplays the importance of the chant (but, as was mentioned, the chant practically falls apart at this point in any case). It also goes counter to the normal practice of Schenkerian analysis. But this decision is consistent with two significant aspects: (1) the unambiguous arrival of the E-flat-major *Urlinie* on ^3 in m. 66, and (2) the retention of the global *Kopfton*, G, until the downbeat of the very last measure. This tone, once we leave the first half of the piece, is greatly obscured and almost never

Example 4.14. Mm. 128–30, relationship of chant melody to Rachmaninoff's passage. (See the chant melody in Ex. 4.2)

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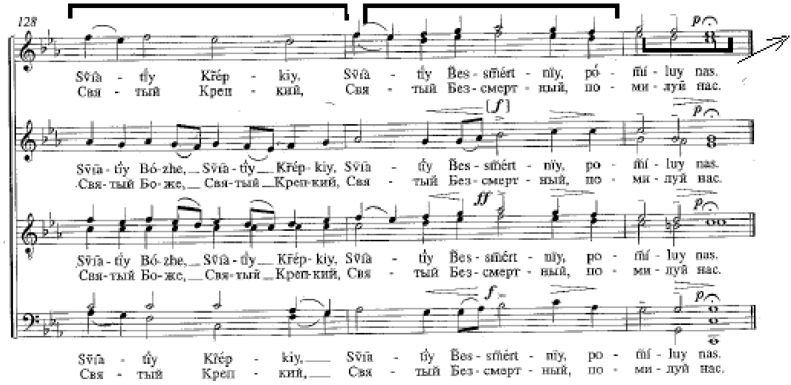
chant melody changed
(transposed version in the second soprano)

chant absent

3-IAC


128
Svia - tiy Krep - kiy, Svia - tiy Bes - smert - niy, po - mi - luy nas.
Свя - тый Креп - кий, Свя - тый Без - смерт - ный, по - ми - луй нас.
Svia - tiy Bo-zhe, Svia - tiy Krep - kiy, Svia - tiy Bes - smert - niy, po - mi - luy nas.
Свя-тый Бо-же, Свя-тый Креп-кий, Свя - тый Без - смерт - ный, по - ми - луй нас.
Svia - tiy Bo-zhe, Svia - tiy Krep - kiy, Svia - tiy Bes - smert - niy, po - mi - luy nas.
Свя-тый Бо-жс, Свя-тый Креп-кий, Свя - тый Без - смерт - ный, по - ми - луй нас.
Svia - tiy Krep - kiy, Svia - tiy Bes - smert - niy, po - mi - luy nas.
Свя - тый Креп - кий, Свя - тый Без - смерт - ный, по - ми - луй нас.
(f)
ff
f
p

last three notes of the chant (descending semitone and whole tone) in the second soprano

appears in the upper part (in inner voices, it is naturally articulated every time the C-minor tonic occurs). But, after a steady ascent of register throughout the second half, the last measure brings back that G, an octave higher than it was in the E-flat-major context, and one suddenly realizes that, structurally, this tone has been in force all the while. Only now does this tone, which joins together the two *Ursätze* at the deepest level, descend to ^4–^3 of C minor (V7–I) to end the movement.

Even more importantly, the final descent G–F–E flat creates an immense arch with the first bar of the movement—the progression E flat–F–G in the altos (an octave lower), which at that moment lacks clear harmonization in either E-flat major or C minor, since the first verticality is the dyad E flat–G. This dyad creates, for a short moment, tonal ambiguity. By the last measure, the ambiguity is resolved in favor of the minor key, but the dyad is still present until the last descent. The final descent, in a way, encapsulates the whole relative-mutable complex of the movement, since the major third E flat–G belongs to both tonic triads. Moreover, the final tone of the C-minor *Urlinie* falls on ^1 of the relative major, as if pointing to this key, abandoned earlier in the piece. Thus, what is called relative mutability in Russian theory manifests itself in this piece through the constant interplay of the twinned tonics and dominants (the four mutable centers), the background tonal duality of the movement, and finally through the changing function of the dyad E flat–G, ultimately leading to the concluding 3-IAC of the entire structure.

The *Trisagion* as Climax in The Great Doxology

So far, I have discussed the tonal structure of the Doxology, practically ignoring its formal organization. In this section, I touch upon several aspects of the form, especially focusing on the final section, containing the words *Sviatyĭ Bozhe, Sviatyĭ Krepkii, Sviatyĭ Bezsmertnyĭ pomiluĭ nas* (Holy God, Holy Mighty, Holy Immortal, have mercy on us), known in liturgical practice as the *trisagion*, which opens in m. 106. I consider this section to be the movement's climax, whose rhetorical force and semantic centrality is supported by its significance for the global harmonic process, and propose to call this section the *telos*, or goal, of the movement.[215] I show that the several divisions of this climactic section are unified by textural and metrical means and contain their own internal climactic ascent toward the movement’s final measures.

With regard to the form of the movement, the cadential plan is, of course, significant. The final 3-IAC results in an interesting structure, in effect a reversal of a more familiar cadential scheme. Instead of a stronger cadence (PAC) at the end, with weaker internal cadences, it is the reverse: internal PACs and a concluding IAC. It might be argued, of course, that, by the time of late tonal practice, the cadential hierarchy is less standardized than before. Yet the fact that Rachmaninoff uses cadences—PACs and IACs—of such unambiguous types in the last section suggests that his compositional practice, in this case at least, might be detached from the international late-Romantic style to a certain degree. The explicit use of liturgical stylistic features, such as mutability of tonal centers in a predominantly diatonic context and the heavy reliance on the melodic ^3 throughout the movement, removes the piece somewhat from its immediate historical context (the early twentieth century) and connects it instead to earlier, and specifically Russian, tonal practices.

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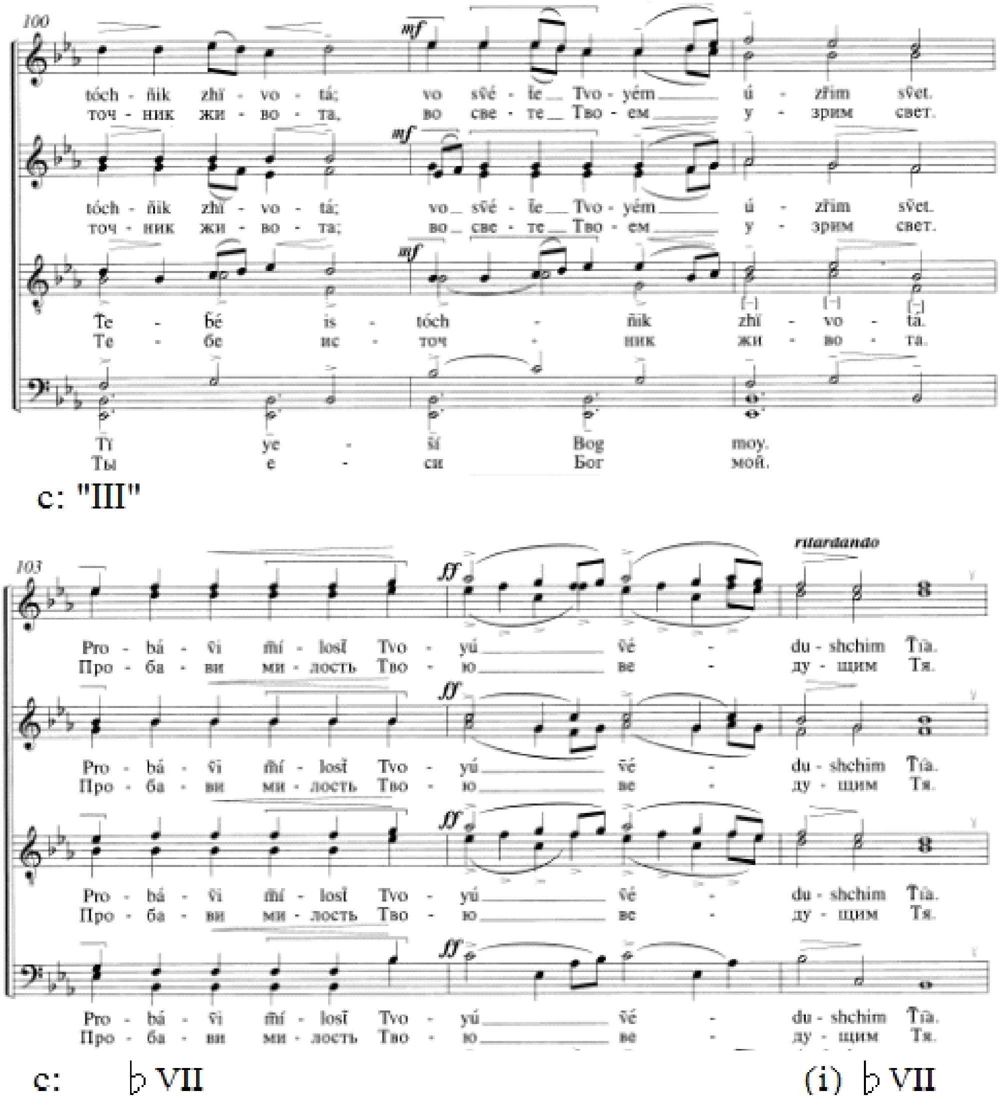
[215] The term *telos*, applied in music-analytical context, belongs to James Hepokoski, who first coined the term in his work on Sibelius (1993).

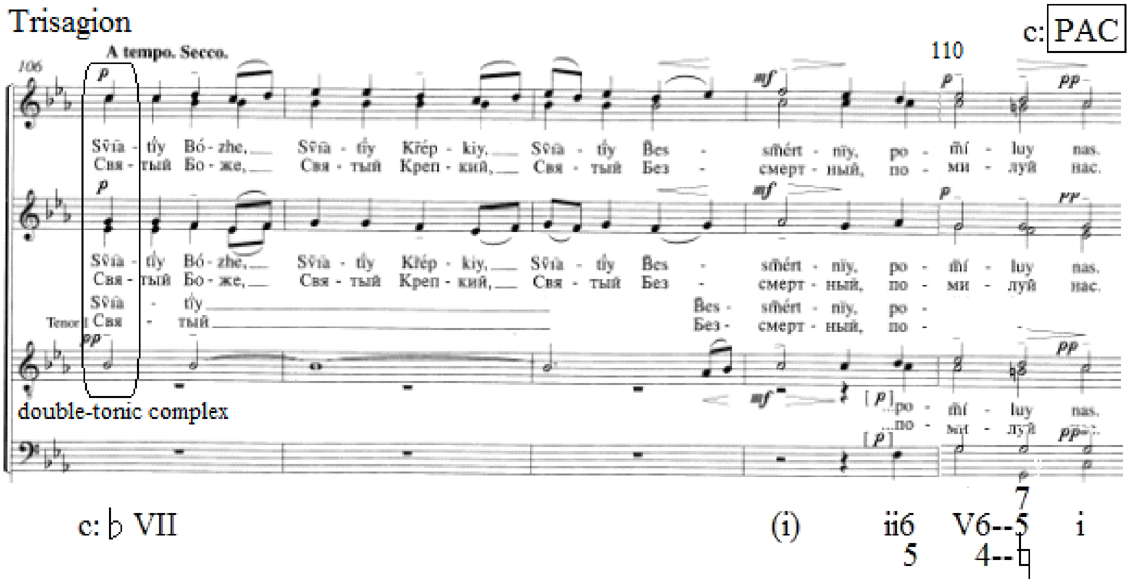
Perhaps the most intricate compositional decision related to the *trisagion*, featuring the three strong cadences, is the tonally obscured entry of the first *Sviatyĭ Bozhe* phrase, beginning in m. 106 (see again Example 4.10). One might expect that the preceding, dominant-packed section should arrive to a resolution, so that the *trisagion*, a new textual unit, might already begin in C minor, counterbalancing the instability of the preceding events. Indeed, in common church practice the boundary between *Sviatyĭ Bozhe* and what comes before, though not necessarily emphasized, is always noticeable, if only due to the textual salience of the formula. Rachmaninoff, however, blurs this boundary by beginning the first iteration of *Sviatyĭ Bozhe* on the B-flat-major harmony continued from before, so that the listener is truly uncertain whether the music will turn to C minor or E-flat major. The full cadence in the minor key arrives only at the end of the first iteration—the words *pomiluĭ nas* (have mercy on us), m. 110, and from here on this key is stable until the end. The first iteration of *Sviatyĭ Bozhe* thus contains not only an important cadence (the PAC in m. 110) but also the hinge where the dominant of the major key is finally abandoned after a lengthy prolongation.

The moment when the *trisagion* enters on the continued B-flat pedal, the downbeat of m. 106, deserves special attention. This moment, circled in Example 4.15, is harmonically unique in that it combines the pitches of the two tonic triads, C minor and E-flat major. As noted above in

Example 4.15. Movement 12, mm. 100–110


100
mf
tóch - ñik zhï - vo - tá; vo své - te Tvo - yém ú - zrim svet.
точ - ник жи - во - та, во све - те Тво - ем у - зрим свет.
Te - bé is - tóch - ñik zhï - vo - tá.
Те - бе ис - точ - ник жи - во - та.
Tï ye - sï Bog moy.
Ты е - си Бог мой.
c: "III"
103
ff
ritardando
Pro - bá - vi mí - losť Tvo - yú vé - du - shchim Tia.
Про - ба - ви ми - лость Тво - ю ве - ду - щим Тя.
c: ♭VII
(i) ♭VII

(Example 4.15 continued)


Trisagion
A tempo. Secco.
106
110
c: PAC
Svia - tïy Bó - zhe, Svia - tïy Krép - kiy, Svia - tïy Bes - smért - nïy, po - mí - luy nas.
Свя - тый Бо - же, Свя - тый Креп - кий, Свя - тый Без - смерт - ный, по - ми - луй нас.
Tenor I
double-tonic complex
c: ♭ VII
(i)
ii6 5
V6--5 4--♮ 7
i

his a discussion of Wagner's music Bailey (1985), suggests that such a combined chord functions as a concrete embodiment of a double-tonic complex. In the chapter on theories of mutability, I have shown that this notion is extremely close to the notion of tonic as a four-note structure in Yavorsky's mutable modes (see Example 2.2). Specifically, the double-tonic complex in m. 106 of the Doxology, when compressed to the form of a root-position minor seventh chord (C–E flat–G–B flat), corresponds to the tonic of Yavorsky's mutable mode 1. Remarkably, the similarity to Bailey's double-tonic complex is heightened by the same position of the chord, a literal 4/2 position with a fourth between the two lower parts and the two higher parts.[216] Example 4.16 juxtaposes the two double-tonic complexes, showing the identical voicing and the minor-third distance between the two sonorities. Given that the entire movement has navigated between C minor and E-flat major, the sonority in m. 106 appears to be of some importance.[217]

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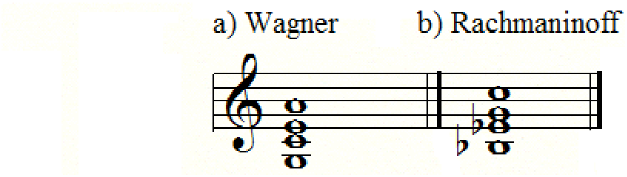
[216] Yavorsky's abstract tonic chord, however, is not in a 4/2 position, but a root-position seventh chord.

Example 4.16. The double-tonic complex in Wagner's *Tristan* (according to Robert Bailey 1985) and in Rachmaninoff's Great Doxology (m. 106)



How legitimate it is to call this moment a tonic is not clear, however. Rachmaninoff writes an unambiguous cadence in C minor a few measures later, while the other tonic, E-flat major, had been no less clearly established at the beginning. In fact, if one subscribes to the voice-leading interpretation I offer in Examples 4.10 and 4.11, which posits that V of E flat is prolonged as far as m. 110, the downbeat of m. 106 bears very little structural weight: it is an appoggiatura to the B flat chord. Also, given that the *Vigil* as a whole belongs to the Russian liturgical tradition, in which dissonances occur less often than consonances and are consistently used as unstable sonorities, to suggest that a dissonant chord can function as any kind of tonic seems counterintuitive.[218]

And yet the placement of the two-triad sonority at the opening of this important section, the *trisagion*, at a metrically strong position, suggests significance that goes beyond a mere appoggiatura. This placement points to some higher-order structure that transcends the hierarchy inherent in voice-leading analysis, a hierarchy where either the major or the (relative) minor triad can serve as a tonic at every moment in time, and where their coexistence in the same piece necessarily produces rivalry. The downbeat of m. 106 serves as a double-tonic sonority at a level above the key—a "hyperkey," so to speak, where each pair of mutable centers, primary and secondary (the vertical dimension of Example 3.10), conceptually forms a single function, not two functions in two different keys. This "hyperkey" is the relative-mutable system that governs the movement at the highest level. At that level, the opening of the *trisagion* encapsulates the entire four-note tonic function and by extension the entire mutable system, which at this moment does not present a tonal duality but instead a tonal *unity*—unity of two keys.

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[217] The double-tonic complex in Rachmaninoff's work has been discussed by Cannata (1999), who finds this structure in the First Symphony (movement 1) and the Third Symphony (movement 1), ultimately relating this technique in Rachmaninoff as inherited from Tchaikovsky's symphonies nos. 5 and 6. Cannata uses the term "double-tonic complex" in the sense of two interconnected keys (in one case even fifth-related—in the Third Symphony), not necessarily expressed in a single sonority encompassing two tonics.

[218] This is generally true of Russian folk music as well. No doubt, it is for this reason that Yavorsky does not insist that the four-note mutable tonic must appear as an entity in the music. Conversely, the tonal axis, a similar notion introduced by Straus (1982), conforms to the present case more than Yavorsky's tonic does, since an axis by definition has to occur in the music.

The *trisagion* section, therefore, represents the kernel of the movement's tonal and harmonic processes: this section contains the last decisive turn to the minor key of the tonal pair, provides important cadences, and gives a double-tonic complex as its first chord. All these aspects, however, are not the only ways in which Rachmaninoff highlights the *trisagion* and what follows it. In the remainder of this analysis, I show some other ways in which this section occupies a unique place within the Doxology; these include texture, meter, rhetorical expression, and the theological significance of the text. In all of these respects, the final section is a culmination that serves as a goal for the movement.

The "orchestration" of the *trisagion* is among the most potent ways of emphasizing the final section and building an internal climactic motion toward the final measures.[219] The three iterations of the *trisagion* formula constitute a process of intensification through gradually thickening texture. The chant being consistently in the soprano, the first iteration (mm. 106–110) is given to the two upper parts, while the tenor maintains the pedal point B flat and the bass comes in only for the last chords ($II^{6/5}$–$V^{6/4}$–V^7–I). The second iteration (mm. 111–15) resembles the first, but the tenor now gives the pedal point G, greatly stabilizing the key of C minor, the bass comes in earlier, and the alto part consistently sings *divisi*, providing a fuller texture. Finally, in the third iteration (mm. 116–20), the whole phrase is sung *tutti* and all parts except the alto sing *divisi*, producing what is literally a seven-part texture. Because the two tenor lines mostly double the two soprano lines, there are five real voices. (The chant sounds in two voices, first tenor and first soprano.)

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[219] Morosan (1886) frequently uses the word *orchestration* for the *a cappella* music of the NRCS, especially works (like this movement) with thick textures. The term seems especially relevant for a composer who wrote a significant body of orchestral works.

Strictly speaking, the *trisagion* ends here, since three iterations of the *Sviatyĭ Bozhe* have ended. The music, however, flows into *Slava Ottsu* (Glory to the Father) and then one more repetition of *Sviatyĭ Bozhe* without a change in texture and almost without a stop. The movement ends with the *tutti* initiated within the *trisagion*. Moreover, an uninterrupted process of dynamic growth embraces the whole section from m. 106 (*pp*) to the end (*ff* at m. 129, with a *diminuendo* into the final measure 130).

Moreover, the section in mm. 106–130 is unified and stands apart from earlier events with regard to meter. Just as in the remainder of the movement, the notation here lacks a time signature and the number of beats varies from measure to measure; yet, the very first bar of the *trisagion* establishes a regular pulse until the end of the movement. Even though the metric notation does not reflect this fact, the half note remains a stable beat, within which metrical and textual accents consistently fall on the first quarter note. In fact, the final section could be easily notated in 4/2 with no loss of metrical clarity. Although the half note is marked as the primary beat from the beginning of the movement, the music before m. 106 is replete with metrical conflicts.[220] For an example, see the beginning of Example 4.15. Here, the dotted half notes in the bass contradict the half-note motion of the second tenor, while the textual accents on *sve* in *svete* (m. 101) and *ba* in *probavi* (m. 103) essentially ignore the notated downbeat by putting an accent on the second quarter note (an accent confirmed in the latter case by a decisive change of harmony).[221] These conflicts disappear with the entrance of the *trisagion* (see the end of the example), which stands out as a kind of plateau of metrical stability, heightened by the stability of the authentic cadences. Changes of harmony, textual accents, and the rhythmic profile of all the voices conform here to the regularity at the half-note level. This newly achieved regularity of accents imparts an almost trance-like sense to the unceasing chordal recitation until the very end.[222]

The final section beginning in m. 106, the *trisagion* plus *Slava Ottsu*, thus appears to be a unified whole dynamically, texturally, metrically, and tonally (everything is in C minor, except for the beginning). It also resolves the metrical and tonal instability created in the preceding section. Therefore, in a large-scale formal sense, the entire second half of the movement, and especially the dominant prolongation starting at m. 89, gives the effect of an inexorable striving toward a goal—the *trisagion*. And since it occurs at the end, it is also the global climax of the movement, although the sense of expectation is more subdued in the first half. Reference to

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[220] The beginning of the movement is marked “motion in half notes,” and the entire movement conforms to this mark from the notational viewpoint, although text and other aspects do not always support this seeming metrical regularity.

[221] Using Lerdahl and Jackendoff’s (1983) system of metrical preference rules (MPRs), the accent produced by the change of harmony on the second quarter note of m. 103 is suggested by MPR 5f (relatively long duration of a harmony). This accent is also relevant to MPR 9 (time-span reduction) at a higher level, since this moment restarts a prolongation of flat VII of C minor after a brief recourse to an (apparent) III. Both rules enter into conflict with MPR1 (parallelism) suggested by the notated meter. For a complete list of MPRs, see Lerdahl and Jackendoff 1983, 347–48.

[222] The regularity at levels above the half note (which in this case may perhaps be regarded as hypermetrical, although this does not accord with the notation) is significantly weaker. Units (i.e., notated measures) comprising two, three, and four half notes alternate throughout the section.

Example 4.1 will help the reader to locate the climactic section in relation to the rest of the movement.

So the final section is, in its entirety, climactic. But in what sense can one call a section that begins with a *pianissimo* phrase a climax? The term might seem ill-chosen. Of course, by "climax" one might refer only to the final measures, with their *forte* dynamics and full texture, but in this case one would be ignoring the unified nature of the final section. I suggest that a better way to describe the formal role of this section is to call it a goal, or *telos* in Greek.

The concept of *telos* in the context of musical form has been used in reference to late-nineteenth- and early-twentieth-century music. The concept originates in James Hepokoski's work on Sibelius and denotes a section that serves as the goal of an entire movement. In Sibelius's symphonic works, the *telos* "often arises as a culmination of a set of rotationally staged cumulative pre-*telos* waves" (Hepokoski 2001, 327). The notion has also appeared in Hepokoski's work on Puccini (Hepokoski 2004) and in Warren Darcy's writings on Bruckner and Mahler (Darcy 1997 and 2001 respectively). In all of these works, *telos* is always discussed as the outcome of *teleological genesis,* a process of thematic growth that encompasses the movement, generating the *telos* somewhere toward the end.

There are several ways in which this concept of *telos* does not entirely correspond to the analytical needs of this movement.[223] First and foremost, the writers cited above inseparably tie the *telos* concept to thematic processes, which, moreover, are required to be rotational. In the Doxology, the rotational principle is irrelevant, since its thematic content is based on the chant, whose continual presence practically excludes the rotational principle.[224] Second, since *telos* is usually discussed in relation to symphonic works, the culminations possess a character typical for this repertoire—a forceful emotional peak using "climactic texture, eruptions or outbursts, and so on" (Hepokoski 2001, 329). This is impossible in the *Vigil* simply because the work employs no orchestra.

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[223] The idea of *telos* has been applied to Rachmaninoff's music in Johnston (2014a), who links this concept to Rachmaninoff's own notion of a culminating point; Johnston develops the idea with regard to the *Rhapsody on a Theme by Paganini*.

Notwithstanding the conceptual discrepancy, there seems to be some utility in referring to the *trisagion* as the *telos* of the movement. It is not a *telos moment*, as in symphonic works, but a *telos region*. It is a *telos* in the most literal sense, a goal to which all preceding events strive, at least within the second half of the movement. It is a tonal goal, since it contains a long-awaited tonal and metrical resolution. It is also a rhetorical goal, because, although *Sviatyĭ Bozhe* at m. 106 begins *pianissimo*, there is a steady ascent of register and dynamics immediately beforehand (reaching *ff* in mm. 104–5).[225] Given the breathless urgency of the passage leading up to this moment, as well as that of the movement's ending, the process indeed sounds teleological in the sense that it ascends toward an emotional high point. If one wished to find a single, specific moment of the highest rhetorical force, it would most probably be m. 129, which is also the registral highpoint in the first soprano.

In fact, one of the scholars who have theorized climax in tonal music, Kofi Agawu (1984), admits the possibility of a climactic *region*, or a *high region*, instead of a high point. According to Agawu, in Romantic Lieder (specifically Schumann's), a highpoint occurs when a process of intensification achieves a high point and then extends that point for some time until the end. He emphasizes that by a structural highpoint he means not only a registral high point in the voice part, but also a moment of greatest harmonic tension (tensional highpoint) or a harmonic release (terminal highpoint), which also usually involves a large registral span between the outer voices. In the Doxology the case is slightly more complex, since the section that I consider climactic does not begin with a highpoint. Instead, it contains a harmonic release (m. 110) and a registral high point in the soprano (m. 129) at different points in time. Example 4.17 juxtaposes Agawu's (1984, 166) high region and a proposed scheme of the Doxology's last section. The second scheme is obviously more complex, since the piece itself is more extended and more "orchestral" than a song normally is. But the idea of an extended region of a climactic nature, as opposed to a single highpoint, connects the two schemes.

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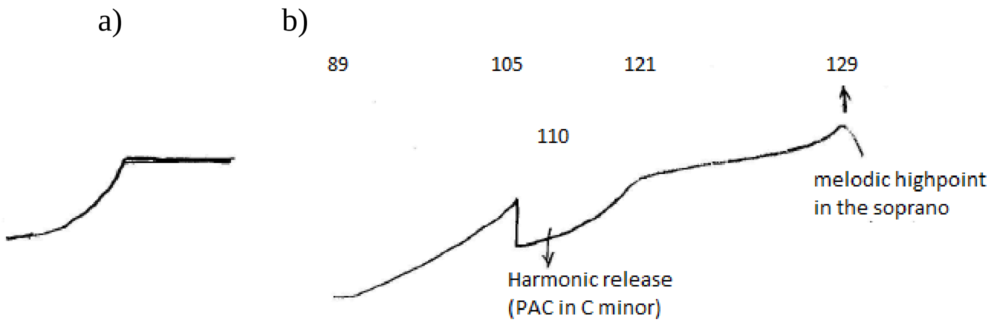
[224] The chant does not exclude the possibility of thematic work, since Rachmaninoff (and other composers of the NRCS) intricately develops motivic cells borrowed from the chant. But this development, which often results in heterophony, is oriented more towards textural richness than thematic transformation across long stretches of time, as often happens in late-Romantic orchestral literature.
[225] There is a fortissimo moment before as well (m. 71), but the one in mm. 104–5 arguably surpasses it in forcefulness thanks to the stability of the tonal arrival.

Example 4.17. Two Two highpoint schemes: a) Kofi Agawu's (1984, 166) high region and b) a scheme of the climactic motion for the *Vigil*, movement 12



Finally, the last section is a semantic goal because the text of *Sviatyĭ Bozhe* and *Slava Ottsu* stands as a textual key moment, a statement of faith which encapsulates the meaning of the entire *Vigil* service: a statement that requests forgiveness and affirms the dogma of the Holy Trinity, central to most branches of Christianity. In fact, the three perfect cadences of the *trisagion* might be read as a metonymic reference to the Trinity. This reference is, of course, inherent in the text, since the formula *Sviatyĭ Bozhe* always occurs three times, but the cadential strength further highlights the significance of this utterance. It is as if the composer enforces the theological idea onto the listener by the sheer force of the repeated V–I progression and the upper-voice descent to ^1.

Movement 7, "The Six Psalms": double-*Ursatz* structure and plagalism

Movement 7 of the *Vigil* is entitled *Shestopsalmie* (The Six Psalms), although in the composer's autograph the movement has the title *Slavoslovie Maloe* (The Lesser Doxology) instead.[226] It is the first choral element of the Matins, the second half of the vigil service. The reason this movement partly shares its title with movement 12 is that both use the text *Slava v vyshnikh Bogu*. (Glory to God in the highest). As opposed to the Great Doxology, one of the longest movements in the work, the Lesser Doxology uses only *Slava v vyshnikh,* which consists of three grammatical clauses, followed by a short excerpt from Psalm 50, beginning with the words *Gospodi, ustne moi otverzeshi*.[227] Consequently, the movement is considerably shorter than the Great Doxology. The section of the text shared by the two movements, *Slava v vyshnikh*, is set to the same Znamenny chant melody (mm. 1–3 in Example 4.2), which in movement 7 is repeated three times, each time with a somewhat different voicing.[228] The final phrase, *Gospodi ustne* (mm. 14–21), is freely composed, though it stylistically resembles Znamenny chant.

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[226] Sometimes the term *Hexapsalmos*, Greek for "six psalms," is used instead.

[227] Psalm 50 corresponds to Psalm 51 in the Western tradition, in which the numbering of psalms is slightly different. The excerpt from this psalm used in movement 7 translates as "O Lord, open Thou my lips, and my mouth shall proclaim Thy praise" (see Morosan 1992, viii).

[228] First time—soprano and alto; second time—alto; third time—soprano, alto and first tenor, but the last three words only alto.

The shared musical basis of the two movements suggests a consideration of them in relation to each other. In this section, I show that, in comparison with the Great Doxology, "The Six Psalms" exhibits two fundamental differences: first, it is monotonal at the background level; second, the harmonization of the beginning, even though it shares the melodic material with movement 12, suggests a prolongation of a different chord and ultimately a different middleground structure. There is also an important similarity: both movements, I argue, display two different *Ursätze* joined by a common tone. But in movement 7, this double-*Ursatz* structure results from the contrast between authentic and plagal relationships, rather than two keys.

The lower levels of structure are of interest primarily in the first iteration of *Slava v vyshnikh*, mm. 1–5. This section, presented in Example 4.18, sounds remarkably similar to the opening of movement 12 in several ways. In both the upper parts give the chant melody, set in relief by a gentle rocking in the lower parts, which keep returning to the same chord, while the bass is absent. In contrast to the later movement, however, in movement 7 the repeated return occurs toward the G-minor harmony (literally an open fifth G–D, circled in the score), not B-flat major; see the beginning of the graph in Example 4.19.[229] The graph shows three statements of the G harmony followed by a modified version of it—what looks like a G7 chord and springs from a neighbor note F in the soprano. This neighbor note is, of course, the same F that, in the *Great* Doxology, serves as the melodic stable point, embellished by the neighbor G and supported by the controlling B-flat harmony (see Example 4.3b). Here, the hierarchy of melodic tones is reversed, since the tone G, embellished by F, dominates the passage. It is truly remarkable how Rachmaninoff builds these two different tonal structures by re-harmonizing a very repetitive melody and keeping the same texture.[230]

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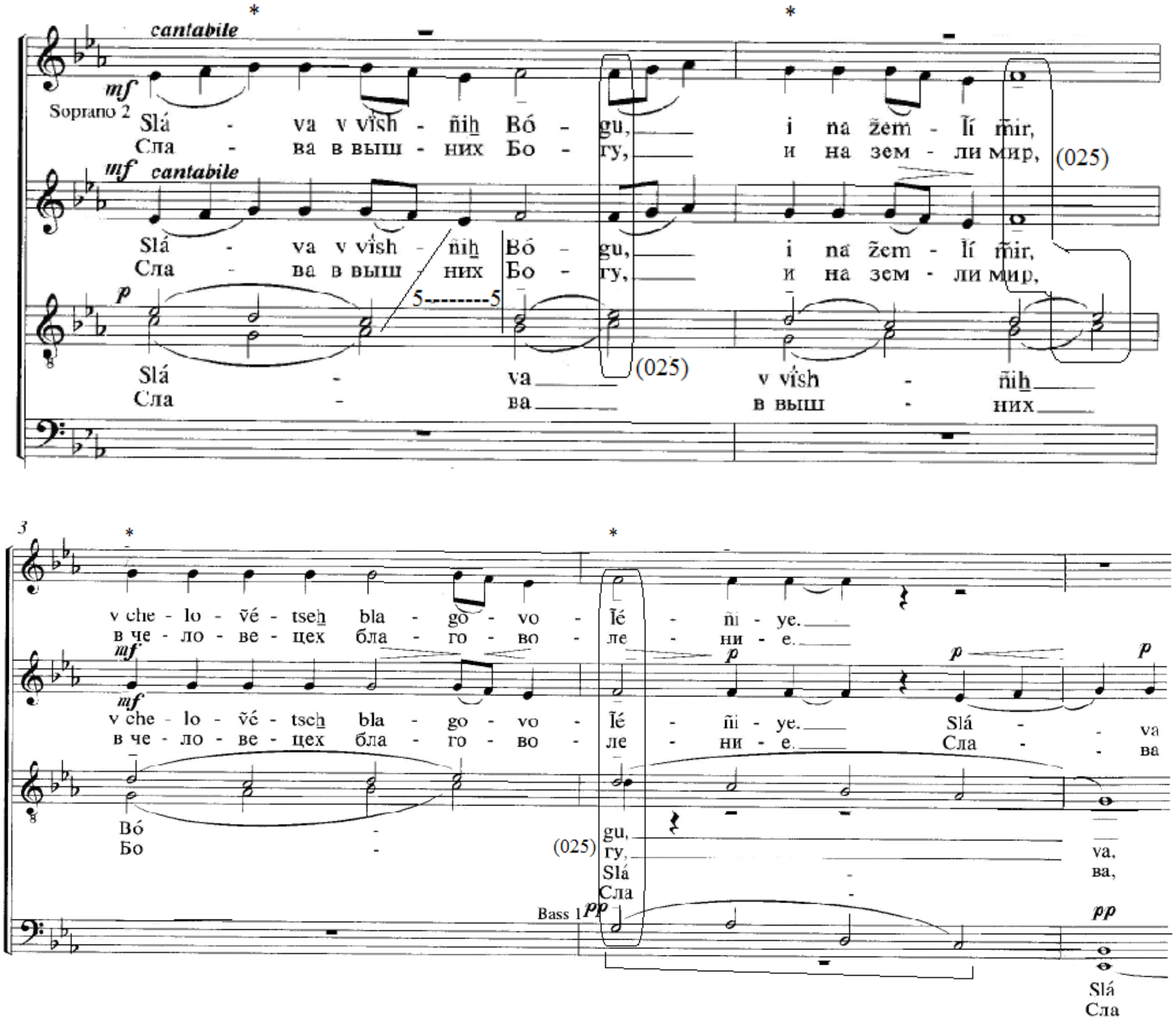
[229] Due to the relatively modest length of the movement, I give a graph in its entirety, rather than segmenting it in parts, as I have done with movement 12.

Example 4.18. *All-Night Vigil*, movement 7, "The Six Psalms," mm. 1–5. Unresolved dissonances are circled


cantabile
mf
Soprano 2
Slá - va v vïsh - ñih Bó - gu,
Сла - ва в выш - них Бо - гу,
i na žem - lí mir,
и на зем - ли мир,
(025)
mf cantabile
p
5--------5
Slá - va
Сла - ва
v vïsh - ñih
в выш - них
3
v che - lo - vé - tseh bla - go - vo - lé - ñi - ye.
в че - ло - ве - цех бла - го - во - ле - ни - е.
Slá - va
Сла - ва
Bó
Бо
gu,
гу,
Slá
Сла
va,
ва,
Bass 1
pp
Slá
Сла

The C-minor sonority is also strongly emphasized in this passage, and one might think that the dominating harmony is VI, rather than III, of E flat. After all, the first chord of the movement is C minor. This interpretation would be supported by the apparent G–C fourth-progression that is repeated in the second tenor; it would also conform to the norm of relative mutability in liturgical music. This reading, however, proves to be less satisfactory for two reasons. The first reason is metrical: although the notated first measure has five half notes, the first of these is more easily heard as an upbeat, the true downbeat falling on the G chord. The following three measures confirm this reading: in each, there are four beats per measure, and the G of the repeated G–A flat–B flat–G figure always comes on the first beat. The meter, therefore, gives preference to the G chord;[231] B flat (sometimes harmonized as B flat$^{5/3}$ and sometimes as a first-inversion G minor chord) is thus an offshoot of the G triad, and C is a neighbor to B flat.[232] Note the surface parallel fifths in the approach to the B flat–F fifth in mm. 1 and 2.

---

[230] The technique of reharmonizing an unchanging melody is often considered one of the defining features of Russian music; this compositional tendency is often said to originate from the women's chorus in Act 3 of Glinka's *Ruslan and Ludmila* (1842), a set of harmonic variations on a constant melody. Johnston (2009, 168) lists reharmonization among the main techniques in Rachmaninoff's mature works, often related to mutability. Gosden (2012) refers to this technique as the "Kamarinskaia" principle, after Glinka's Kamarinskaia (1848).

The second reason for the structural preference of the G-minor harmony is the way Rachmaninoff exits this passage. Measure 4 contains a striking bass line: G–A-flat–D–C–B-flat (bracketed in Example 4.18), this last note being an inner part of the tonic of E flat, m. 5. This unusual line, with a surprising horizontal tritone, suggests a reliance on G, D, and B flat, outlining the G-minor chord, whereas a preference for a middleground C minor proves problematic at this point. Moreover, the unexpected leap to D is explained by the vertical minor sixth that it forms with the first tenor, an inversion of the major third that had occurred on the corresponding beat in the previous measures. The two lower parts have exchanged their notes.

I now proceed to a more global level of the structure. The III (G minor) composed out in the first four measures initiates an auxiliary cadence that arrives at the background tonic, E flat, in m. 5, while the *Kopfton* G has been present from the very beginning.[233] Example 4.19 shows this especially clearly at the middleground level, where the initial lower-voice G3 ultimately becomes ^3 in an inner voice (tenor) in the same register. From here on, the E-flat tonic unambiguously dominates until the end; much of the time, the tonic is literally sustained as a pedal point, as in mm. 5–7 and 10–13.

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[231] Textually, this interpretation is not ideal: the stressed syllable *sla* in *Slava* does come on the first notated beat of m. 1, suggesting an accent there, not on the G chord. Melodically, however, it seems quite natural to hear an accent on the tone G, beat 2, and the short ascent towards it as an upbeat. Indeed, some performances give preference to this accentuation, even though it goes against the accentuation of the text.

[232] This B flat is all the more important because the vertical G chord is always an open fifth, without the third literally present.

This emphatic centrality of E flat to this movement stands in striking contrast with the tonal duality of movement 12. Not only does a single key control the entire movement 7, but even mutability in general is largely removed. Although one might argue that III is part of the relative-mutable scheme (V of the relative minor), this argument does not hold much musical meaning, since the minor tonic C never appears as such. The only element of mutability—not relative mutability, but mutability in Kholopov's sense of decentralized mode—is the opening, where the listener may be truly unsure if the local center is the first harmony, C minor, the metrically stressed G chord, or something else. It is this tonal decentralization that causes the difficulty to decide which chord is prolonged. Once the major tonic enters, the strength of monotonality is quite striking. It seems very possible that the composer's purpose was to offer two very different tonal decisions—one monotonal and the other mutable and directional—to two settings of the same chant.

There is, nevertheless, an important unifying feature between the two movements, and that is the dual structure of the background in both. Whereas movement 12 displays two *Ursätze* due to the equal status of two keys, in "The Six" *Psalms* it is a plagal progression at the end that determines the background duality. Example 4.20 provides the score of this passage, which features the IV chord twice: first at a shallower level (I–IV–I, mm. 14–16), then in a large I–VI–IV–I progression.[234] Example 4.19 shows this progression as one of global significance for the

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[233] Just as in the analysis of movement 12, my use of the term *Kofpton* is somewhat conditional, as the *Urlinie* in each fundamental structure does not form a linear progression, but instead a neighboring figure.

Example 4.19. Movement 7, a voice-leading graph

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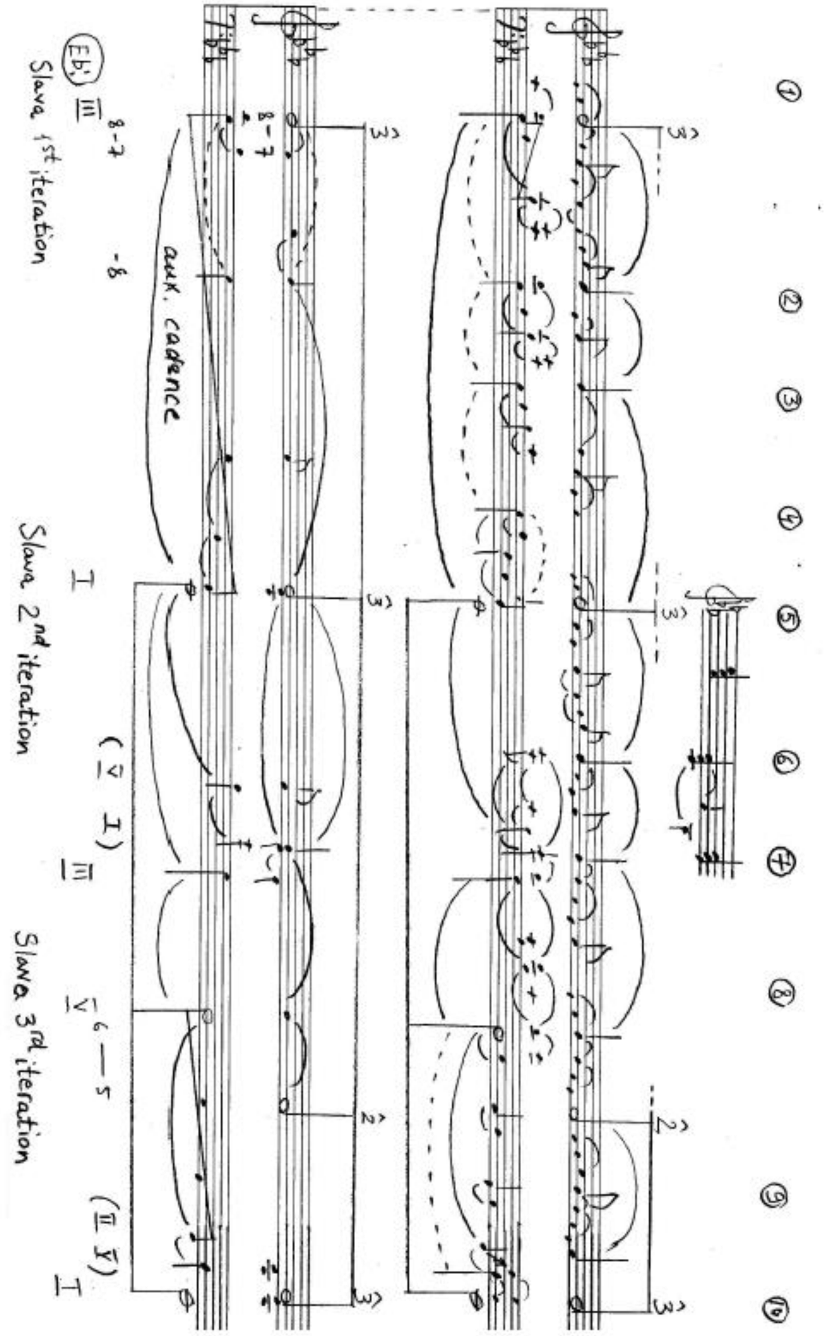
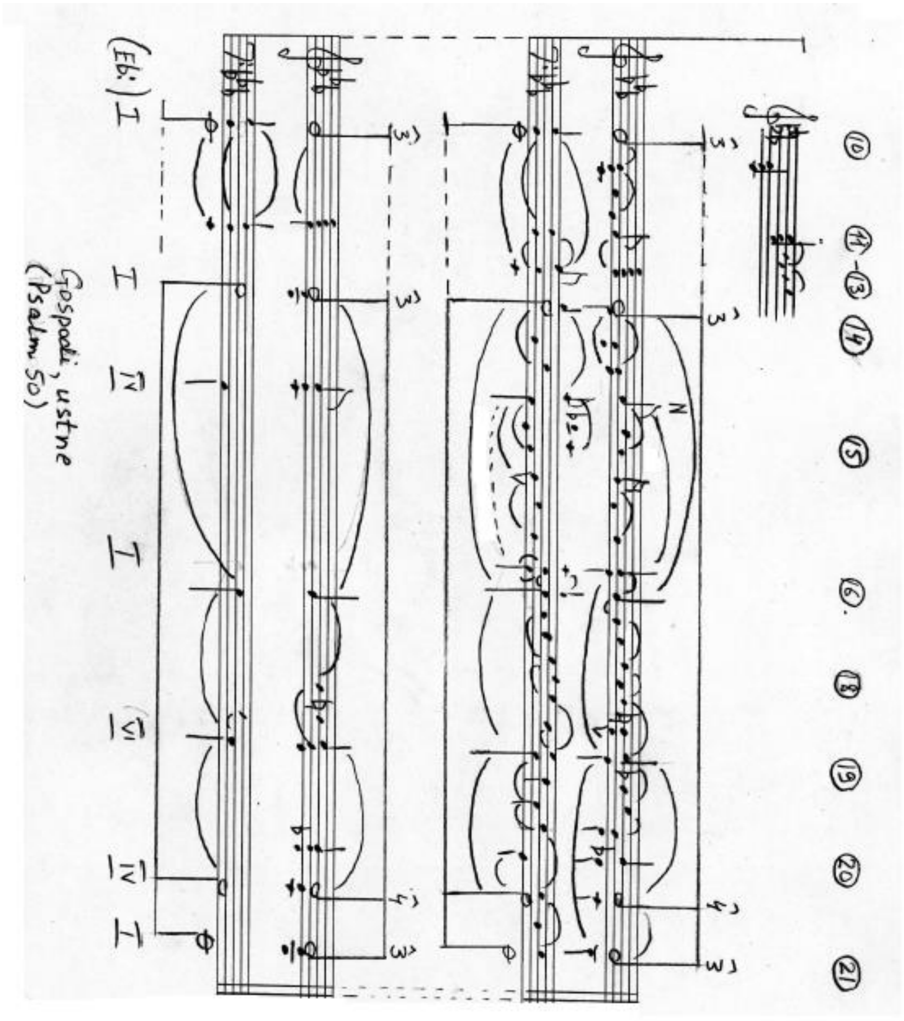
[234] An interesting gesture is found on the downbeat of m. 16: instead of returning to IV, Rachmaninoff withholds the root of that harmony, which creates an apparent 6/4 chord. In my graph, however, I suggest an implied A flat at this moment; in this case, the soprano and bass represent a mirror image of each other throughout the entire prolongational span of IV. This mirror outer-voice texture occurs in other places in the *Vigil*, for example mm. 3–5 in movement 1, where the first and last chord of the mirror passage is the same, suggesting a prolongational span. Therefore, one can hear the withholding of the root A flat in m. 16 as a slightly obscured version of the mirror formula. It should also be noted that the bass's leap across the bar line mimics the authentic cadence V–I.


① ② ③ ④ ⑤ ⑥ ⑦ ⑧ ⑨ ⑩
3^ 3^ 2^ 3^
3^ 3^ 2^ 3^
8-7
aux. cadence
Eb: III 8-7 -8
Slava 1st iteration
I
Slava 2nd iteration
(V I)
III
V 6 — 5
Slava 3rd iteration
(II V)
I

(Example 4.19 continued)



movement: the bass arpeggiates the subdominant chord downward, and thus the deep-level structure of the final section is I–IV–I.[235] This structure contrasts with the earlier background progression, encompassing mm. 5–13, which is much more traditional in a Schenkerian sense: I–V–I, where the V includes a remarkable descending fourth-progression in the bass (mm. 8–9); this bass line is embellished with incomplete upper neighbors, recalling the rocking effect of the beginning.

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[235] A background bass line featuring an arpeggiation of a triad in 6/4 position recalls a similar structure offered by Burns (1995, 43); she proposes a bass arpeggiation of a minor 6/4 as the background of Bach's chorales in the Phrygian mode. The global tonic, in this case, is the root on the arpeggiated triad, whereas in my case the tonic is the fifth of the arpeggiated triad E flat.

Importantly, both authentic and plagal background structures strictly rely on ^3 in the soprano, featuring a ^3-IAC in m. 10 and a plagal cadence on ^3 in m. 21. The behavior of the fundamental line, however, is different in each case: in the first, the upper voice moves through a lower neighbor (supported by V) back to ^3; in the second, it moves through an upper neighbor (supported by IV). Thus, the primary similarity between this movement and the Great Doxology is their dual deep-level structures joined by a common tone that is ^3 in the major key, a common tone that references the stylistic background—the common church practice. With regard to this retention of ^3, it is important that the composer was not at all bound to stress this scale degree at the end of movement 7, since he uses no chant here. And yet, he keeps this section stylistically and structurally consistent with the preceding music partly through the continued reliance on the melodic ^3.

My assertion of a plagal background structure may require explanation for several reasons, including the status of the plagal cadence in relation to the authentic cadence and the necessity of an additional background in a piece that already features a "normal" I–V–I *Ursatz* earlier. The first of these points relates to the significance of the plagal progression in late Romantic music in general, in contrast to Classical and earlier nineteenth-century repertoires.[236] In Russian musical scholarship, plagalism has been universally considered as a defining feature of Russian music for more than a hundred years, starting with debates surrounding Glinka's

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[236] The emergence of plagal structures in later Romantic music has been discussed by several theorists, including Deborah Stein (1983), who proposes the notion of the plagal domain (a network of harmonies related to the subdominant) in Hugo Wolf's Lieder. Daniel Harrison (1994) suggests a more radical argument—that the subdominant is fully equal in status to the dominant in later Romantic music. Kevin Swinden (2005) further theorizes the functional meaning of the subdominant in his study of functional mixture. In Rachmaninoff, plagal structures may be related to descending fifth progressions in church music such as the one shown in Example 3.19.

Ruslan and Ludmila.[237] The importance of the plagal progression specifically in Rachmaninoff has been, perhaps, one of the most beloved topics for Russian analysts of Russian music. Miasoedov (1998, Chapter 10) investigates in detail the various ways in which plagalism is manifested in Rachmaninoff's music, noting especially tonicizations of S-related regions and the use of Rachmaninoff's chord.[238] Influenced by Miasoedov, Natalia Sarafannikova (2007, 2) goes so far as to claim that Rachmaninoff's functional system relies primarily on the subdominant, which "becomes the leit-harmony of the composer's modal system."[239] It is important to note that, unlike some of the Western theorists mentioned here (specifically Stein 1983), the Russians do not believe that plagal structures are somehow inferior to authentic ones.[240]

It is not my purpose to offer a comprehensive survey of theories of plagalism or even just their relevance to Rachmaninoff. With respect to the *Vigil*, the plagal cadence as a conclusive event happens only twice—in movements 4 and 7.[241] However, given the by now general recognition of the important of plagalism to the musical surfaces of late Romanticism in general and Rachmaninoff in particular, one may defend its importance at deeper levels as well. The background level in the second half of Example 4.19 illustrates such a situation. A small but remarkable detail of the plagal close—and the deep-level plagal structure—is the neighbor note

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[237] On plagalism in Russian music, see Zavlunov (2010, 468–69). Frolova-Walker (2007, 111) located the origin of the "myth of plagalism" in Russian music, specifically Glinka, as early as 1857. Zavlunov (2010, 471–73) argues that Berkov was especially instrumental in positing plagalism as a marker of Glinka and, by extension, other Russian music, including folk music.

[238] What Miasoedov calls Rachmaninoff's chord is better known in Russia as Rachamaninoff's subdominant: vii$^{0\ 4/3}$ with ^3 substituting for ^2, plagally resolving to I in minor. Moreover, Miasoedov describes this and some other chords in Rachmaninoff as "subdominantized dominants" in the sense that notes of the S harmony are added to a dominant harmony; he further explains it as a form of bifunctionality (that is, more than one function in a single chord). The notion is nearly equivalent to Swinden's (2005) dual functions, where notes of the D and S chords are mixed, but one of these functions prevails.

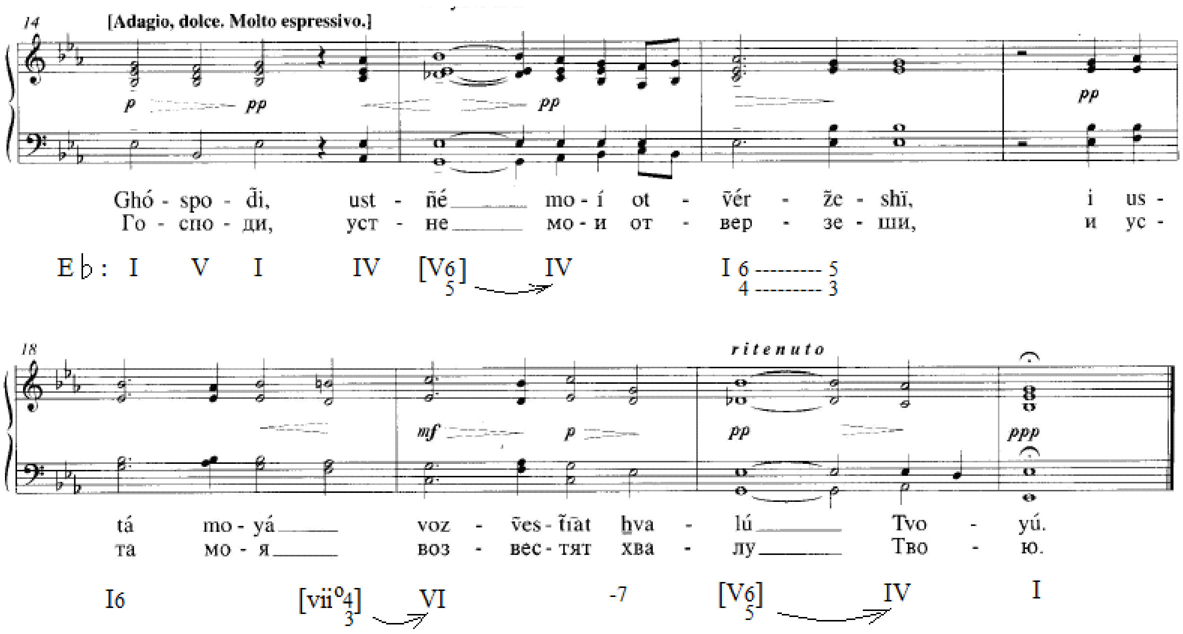
[239] Sarafannikova uses the word *modal* (*ladovaia*) in the sense *tonal* is used in English. See chapter 2 on the terms *mode* and *modal* in Russian theory.

[240] Stein's position originates in Schenker's postulate that the V–I relationship is structurally superior to any other.

[241] As I argue in detail in Chapter 6, movement 2 hints at plagal endings multiple times, but their strength is significantly attenuated by the nearly absent tonal center (the movement exists "between" the tonics of C and a) and by weakness of closure.

D in the tenor (shown at the foreground level). This leading tone hints at the absent dominant chord and adds gravitational pull towards the tonic.[242]

Example 4.20. Movement 7, final section: mm. 14–21


14
[Adagio, dolce. Molto espressivo.]
p
pp
pp
pp
Ghó - spo - di, ust - ñé mo - í ot - vér - že - shï, i us -
Го - спо - ди, уст - не мо - и от - вер - зе - ши, и ус -
E♭: I V I IV [V6 5] IV I 6 4 --------- 5 3
18
ritenuto
mf
p
pp
ppp
tá mo - yá voz - ves - tïat hva - lú Tvo - yú.
та мо - я воз - вес - тят хва - лу Тво - ю.
I6 [viiº4 3] VI -7 [V6 5] IV I

The question, however, arises as to why the final plagal phrase, mm. 14–21, should represent a *second*, rather than the only, background event—or, at the other extreme, why it is not merely a coda or post-cadential passage. The answer lies in the formal organization of the movement and its proportions. In m. 14, the text from Psalm 50 begins; therefore the first and second sections are textually separated and almost equal in length (given that the second section is slower than the first). They are also separated by a general rest marked *lunga* and by textural and dynamic contrasts: a thick choral fabric featuring a six-note *forte* chord at the end (m. 13), which Johnston (2014b) would call a climactic extended diatonic stack, is followed by four-part texture with occasional *divisi* in the bass and with *piano* dynamics.[243] In a way, the tonic arrival at m. 14 is a resolution of the diatonic stack, which has an element of the dominant function due to a sustained B flat–F fifth in the basses for several measures. This passage provides a link between the earlier authentic cadence at m. 10, which completed the I–V–I *Ursatz*, and the plagal I–IV–I "*Ursatz"* initiated at m. 14. Hence, the background duality results from two different textual and formal units highlighting two different tonal relationships—authentic and plagal.[244]

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[242] In terms presented in Stein (1983) terms, this neighboring leading tone is a "compensation" for the weakness of a plagal cadence, since ^7 adds gravitational pull towards I that IV lacks. Swinden (2005) would call this moment an S with an element of D, or S^D.

Apart from these large-scale aspects of "The Six Psalms," a few details are worthy of attention. First is the notation I have chosen at the foreground level in mm. 10–13 of Example 4.19: a few chords added on a third staff above the normal two. On the musical surface, these chords are meant to be separated from the rest of the texture and to create a sonic reference to the sound of bells.[245] This textural separation, in fact, is part of Rachmaninoff's oeuvre in general, particularly for the dizzyingly dense fabric of his virtuosic piano works. For this reason, Cunningham (1999) advocates three-staff foreground graphs of these pieces. The same notational device is also used in Ex. 4.9b, also for reasons of textural density. At deeper levels, the three staves are, of course, reducible to the usual two.

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[243] Johnston (2009) locates extended diatonic stacks in many of Rachmaninoff's works, including climaxes in the finale of *The Bells* and in the Sonata in B-flat Minor, op. 36. Both of these examples represent a contrast to what Johnston considers more normal—a chromatic climax as opposed to a diatonic and often mutability-based initial section. With regard to diatonic stacks, Miasoedov (1998, 114–15) also recognizes their importance in Rachmaninoff and considers them a product of the composer's subdominant tendencies, which seems a somewhat weak argument, since by definition such sonorities include pitch classes of both V and IV triads.

[244] I do not mean to assert that any piece with a plagal progression after a PAC should be viewed as a double-*Ursatz* structure, but only that the specific characteristics of this movement suggest such an analysis, which may be possible in some other contexts too, under similar circumstances.

[245] Imitation of bells is a universally acknowledged element of Rachmaninoff's music, touched upon in virtually any commentary on his works. One of the most obvious cases is of course the choral symphony *The Bells*, op. 35, from 1913 (chronologically extremely close to the *Vigil*, 1915). Morosan (1994, lxiv) mentions that, at this moment in the vigil service, the actual bells are supposed to ring.

Another interesting element is related to the first: it is the emotional character of mm. 10–13. I have already mentioned that the extended diatonic stack resulting from a superimposition of the A-flat-major chord over the fifth on B flat and the tonic pedal E flat has a climactic meaning. Compared with the climax of movement 12, with its slow ascent to a breathtaking rhetorical highpoint at the very end, this culmination proves to be quite different in character and function. Although mm. 10–13 create a sense of instability due to the dissonant nature of the diatonic stack and a *crescendo* toward m. 13 (*forte*), this crescendo takes only a few measures and is very far from building a climax comparable to that in the Great Doxology.[246] The two climaxes are therefore different in scope, just like the movements themselves. In terms of formal function, the climaxes of the corresponding movements also differ. In movement 7, the climactic stretch connects two larger-scale sections (and two background structures), whereas in movement 12, the climactic section constitutes a focal point, the goal of the entire form.

Finally, "The Six Psalms" are remarkable with respect to the kinds of vertical sonorities Rachmaninoff uses at a very local level. Beyond the diatonic stack in the connecting section, several other unusual verticalities deserve mention, all of them of a diatonic nature.[247] An example is the last chord in mm. 1 and 2: when the lower parts, in their repeated pattern, come to the dyad C–E flat, the chant in the soprano descends to F4, thus forming a vertical (025) trichord. This sonority returns on the same textual syllable, but in a different harmonic-functional context, in m. 6 (see Example 4.19). Here, it resembles more a local pre-dominant that moves to V, in which the suspended ^1 never resolves down. Another (025) occurs on the downbeat of m. 4—the apparent G^7 chord with a missing third (seen in Example 4.18).

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[246] Using Agawu's (1984) typology of climax, m. 13 is a tensional highpoint because it is the moment of greatest harmonic instability: the verticality, resembling at once subdominant and dominant due to its mixed pitch-class content, creates a strong sense of expectation, resolved at the tonic arrival at m. 14.

[247] Unusual (from the traditional Western standpoint) sonorities of diatonic nature, including unresolved or "incorrectly" resolved dissonances, often occur in the *Vigil*. Partly they have to do with the emphatic linearity of texture, where each part has a melodic trajectory somewhat independent from other parts. Such sonorities will be discussed in movements 1, 2, and some others.

It is remarkable that the (025) trichord is conventionally considered by ethnomusicologists to be the most ancient scalar and motivic element of Slavic folk music, a hypothesis adopted by Miasoedov (1998). And of course, this trichord is also part of Miasoedov's proto-harmonic tetrachord (0257). Note that these sonorities, though dissonant, do not receive the dissonant treatment normative for Western tonality: they are not resolved into an expected consonance. It is partly this non-resolution that makes these verticalities so marked in the context of a tonal work.[248] Movement 7 is not deeply influenced by proto-harmony or other non-tonal techniques. But at the most local level, the proto-harmonically derived diatonic formations, combined with the chant itself, create an effect of something profoundly ancient and folk-based, a creative reconstruction of how Russian church music might have sounded several centuries ago. Significantly, Rachmaninoff completely stops this effect when the chant ends and the freely written Psalm section begins (m. 14), solidly tonal and mostly consonant. This is another way of separating the two sections from each other.

In the chapter, I have examined two movements related to each other by means of text and chant material, but differentiated with regard to tonal structure. While the Great Doxology exhibits relative mutability at various levels, "The Six Psalms" juxtaposes authentic and plagal structures within a single key. Each of the movements illustrates, to a certain extent, a technique that has been long supposed to be a stylistic marker of Russian music. More interesting, however, is the internal organization of each movement and the way Rachmaninoff manipulates the materials of Russian church music, both melodic and tonal-harmonic, creating unique structures while preserving the recognizability of the stylistic basis he inherited from earlier historical stages of this music.

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[248] In folk songs of more ancient origin, when they are sung by an ensemble of singers, such unresolved dissonances of diatonic nature may occur due to the heterophonic nature of the style. In the common church practice, however, this technique is not normally used.

CHAPTER 5
Proto-Harmony and Decentralization in the *Vigil*: Movement 1

In the previous chapter I showed two movements that do not conform, in one way or another, to the normative unity of the traditional Schenkerian background. Both exhibit two closed structures that follow one another within a single movement. Despite the internally closed nature of these units, each movement lacks the absolute background unity that most works of the tonal era possess. Movement 1, “Priidite poklonimsia” (Come, let us worship), the subject of this chapter, is a further step in the same direction. Not only does the movement lack background unity, but the connection between its different sections and sometimes their internal structures also does not allow for a conventional analytical solution., As the ensuing graphs argue, the movement evades traditional Schenkerian analysis at both the middle- and background levels. In this chapter, I claim that the principal reason for this is a lack of any clear tonal center for the entire movement, although the first section is more centralized than the last. I further claim that this lack of center proceeds from the movement’s solid reliance on proto-harmony, which in effect replaces tonal structure, especially at the end of the hymn. In this sense, the movement is not tonal because it has no tonic.

I offer an analysis of “Priidite” in several steps. First, I survey the form of the movement, which consists of four strophes, and then I examine the general tonal implications of each strophe. Second, I consider the structure of the movement’s melody—the soprano part. Third, I explore the tonal process of each strophe in detail, using three different approaches: the idea of or mutability in functional terms, Miasoedov’s proto-harmony, and Schenkerian analysis. I especially wish to highlight the unifying status of the A harmony in the first section and the gradual emergence of C major, which initially does not receive great emphasis. Finally, I offer a voice-leading analysis of the entire movement. It is this deep-level reading that shows the movement's profound discrepancy with the tradition of functional tonality and with Schenkerian theory. The background-level reading is also an attempt to demonstrate just what a tonally decentralized work might look like in a voice-leading graph.

The hymn "Priidite" constitutes the very beginning of the Vigil service and thus belongs to its first part, the Vespers. The hymn follows two short phrases chanted (half-spoken) by the deacon and the priest.[249] The choir responds to the second of these with an *Amin'*, which Rachmaninoff sets to a single C-major chord in the melodic position of ^3. The status of this *Amin'* with respect to the form and tonal structure of the movement is ambiguous and will be discussed separately. The hymn—whose call for worship functions as the formal opening of the service—follows this directly.

The hymn contains no chant material. The movement is remarkably uniform with respect to texture and meter. The texture is almost perfectly homorhythmic. Though on the page there are always at least four voices, which sometimes split in a heterophonic manner, the tenors often double the sopranos, so real voices are almost always fewer than textural parts.[250] The meter is regular at the half-note level and almost regular (with the exception of mm. 26–27) at the whole-note level. No time signature is given, however, and the composer provides bar lines only between strophes.[251]

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[249] The first chanted phrase is "*Vosstanite; Gospodi blagoslovi*" (Arise; Master, bless). The second phrase is "*Slava sviateĭ i edinosuschneĭi i zhivotvoriascheĭi i nerazdel'neĭi Troitse, vsegda, nyne i prisno i vo veki vekov*" (Glory to the Holy, Consubstantial, Life-Creating, and Undivided Trinity, now, and ever, and unto ages and ages). Morosan 1992, v.

[250] For example, the first measures display sometimes five and sometimes six parts (the sopranos and the tenors split), but only three real voices: the upper layer of texture completely doubles the lower layer—or the reverse.

[251] I refer to the absence of regular bar lines in the first edition (Rachmaninoff 1915). Morosan and Ruggieri (1992) adds dotted bar lines that mostly conform to a would-be 2/2 meter.

The text of the hymn consists of four complete sentences, all of which are variations of each other. The first sentence is “Priidite,” *poklonimsia Tsarevi nashemu Bogu* [Come, let us worship God, our King], and all of the following sentences elaborate on either the word “worship” or the word “God.”[252] Owing to these elaborations, the sentences vary in length: sentence 3 is the longest; sentence 2 is somewhat shorter; sentences 1 and 4, roughly equal in length, are the shortest. Each sentence is set to a complete musical phrase, ending with a cadence; there are thus four phrases of varying lengths. Although each sentence could have been set to nearly identical music (as identical as the varying lengths would permit), Rachmaninoff chooses a different strategy. He keeps the beginning and ending of phrases 1–3 the same but varies the internal events. The last sentence is set to rather different music, although it preserves the opening of the preceding phrases. The form of the movement, therefore, conforms to the type known as modified strophic.[253] Henceforth I will refer to the four musical sections as strophes rather than phrases.

Example 5.1 offers a general formal scheme of the movement; Example 5.2 gives a piano reduction of each strophe. The formal scheme shows three strophes, each beginning and ending on an A-major chord, and the final strophe, beginning on an A and ending on a G harmony. On the surface, the actual first chord of each strophe is d^6, but the following A triad is emphatically brought out in all respects: it has a longer value (half note), is immediately repeated, is metrically strong (falling on the downbeat of the first measure), and coincides with the textual accent “di.” Therefore, the A-major chord sounds as the first main harmony of the piece and all its sections, with the previous D-minor sonority subordinated to it. The key of D minor, however, has a strong presence in strophes 1–3 (see Example 5.2). Example 5.1 also shows tonicizations of C major, of which that in strophe 2 is the most substantial. The scheme provides cadence symbols, but it purposefully avoids such a label for the last strophe, because the tonal center there is unclear: the cadence type will vary depending on which harmony one wishes to hear as tonic.

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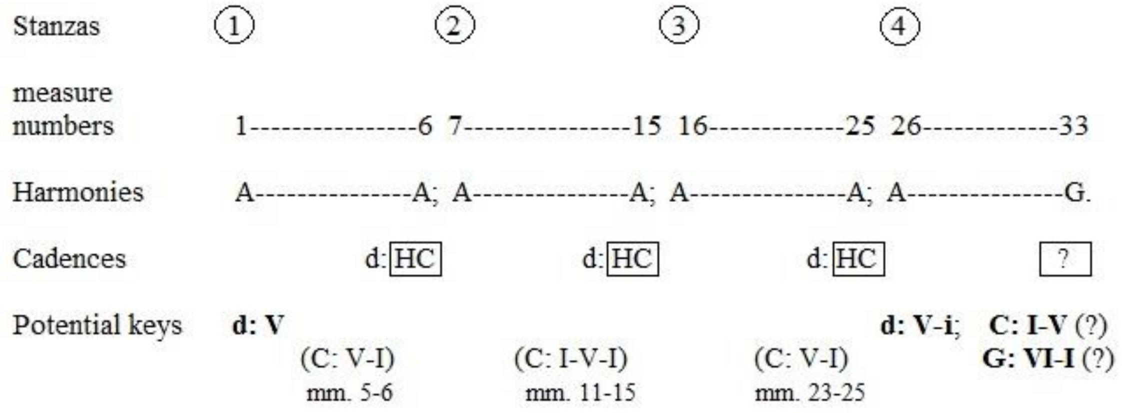
[252] Like many other textual sections of the vigil, this hymn is used in some other contexts, including non-liturgical ones, such as the standard morning prayer. See Kanonnik 2006, 291.

[253] According to Michael Tilmouth’s definition in *Grove Music Online*, the term “strophic form” is “applied to songs in which all stanzas of the text are sung to the same music, in contrast to those that are through-composed and have new music for each stanza.” Modified strophic form is based on the strophic model but allows for variation between stanzas.

Example 5.1. *All-Night Vigil*, movement 1, “Priidite, poklonimsia.” Formal structure



The most striking harmonic feature of Example 5.1 concerns the opening and concluding chords, A major and G major, which are not only different, but also relate to each other diatonically only in D major and B minor, keys that do not appear anywhere in the movement. Even though this creates a problem of tonal centricity, an attempt to view the movement in a single key has been made. In the preface to their 1992 edition of the *Vigil*, Morosan and Ruggieri state: “[I]n order to establish the tonality of C major, the first Amen may be sung” (1992, v; the Amen on a single C-major chord, separated from the following music with a double bar line, belongs to Rachmaninoff). One may conclude from this statement that they consider the whole of movement 1 to be in C major. This makes sense with respect to the key signature and, to a certain extent, with respect to harmonies: the chords of D minor, C major, and G major are respectively ii, I, and V in C major; A major is V of ii.

A serious problem undermines this reading, however: a piece that begins with an emphatic A-major sonority, has prominent D-minor passages, and ends with a G chord is hardly in the key of C. Such a piece neither establishes C at the beginning nor arrives at this key—at least, at its tonic—at the end. Morosan and Ruggieri's statement is, at least, useful for practical reasons: C major may work to tune the choir before the performance. But their observation does not reflect the inner structure of the movement, or reflects it too superficially. Instead of viewing the hymn in a single key, it seems more apt to view it as having at least two tonal centers.

Such a two-center view would naturally include D minor, clearly represented by its dominant and, to some extent, by its tonic, and C major, whose presence is stronger toward the end than at the beginning. Therefore, there is a pairing of keys diatonically related by a second. Examples of such pairings have been discussed both in English-language literature and in Russian writings.[254] The latter include both Sposobin (1951) and Kholopov (1988). For Sposobin (149), this pairing represents the type of mutability that allows for a shift of center by any interval in a diatonic or mostly diatonic context (see the bottom line of the table in Example 2.8). For Kholopov (176), it is one of the sub-types of tonal mutability—fluctuation between two centers, i.e., two keys.

From this tonal-pairing view, it could seem that, in "Priidite," a situation might have resulted similar to the one in movement 12. Each key might have received its own self-sufficient structure, the two structures being joined by a common element (for example, a common tone).

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[254] Among English-language writers, the pairing of second-related keys is discussed by Lewis (1987, 35) Taruskin (1997, 137) and Matthew Gelbart (2013); the latter examines modality and second-related double tonics in Mendelssohn's "Scottish" style.

Alternatively, the piece might have displayed a single overarching tonic, the second key striving to come out at important moments—a situation where "the pairing develops within a framework that is nevertheless traceable to a Schenkerian *Ursatz*" (Smith 2013, 79).[255] None of these possibilities, however, works for "Priidite." This is true for two reasons. First, the beginning and ending harmonies articulate the dominants of the two keys instead of their tonics. Second, the last strophe further destabilizes tonality because it does not prolong any one chord, and because its tonal motion differs drastically from any in the preceding music.

If the movement is so decentralized, what, besides the text, unifies it harmonically into a single entity? Is the hymn simply a random succession of chords, or is there some underlying principle that provides a coherent tonal logic? I contend that there is such a principle—or, to be precise, two different principles, which strengthen each other in providing internal unity. The first is the continuity of the upper voice at all levels of structure. The second is the membership of the four central harmonies—C, G, d, and A—in a single proto-harmony complex. The hymn represents a fundamentally proto-harmonic structure that, thanks to the internal syntactic conformance to tonal norms, creates a D-minor/C-major duality. Rachmaninoff thoroughly explores each of the four harmonies and each of the two keys. What follows is a detailed analysis of the soprano melody, followed by a systematic investigation of each strophe with regard to three aspects: the d/C tonal pairing, proto-harmony, and Schenkerian theory. While the three approaches yield somewhat different analytical results, each of them describes significant elements of the piece, which otherwise would be unnoticed or underappreciated. I discuss strophes 1–3 together, due to their similarity, and strophe 4 separately.

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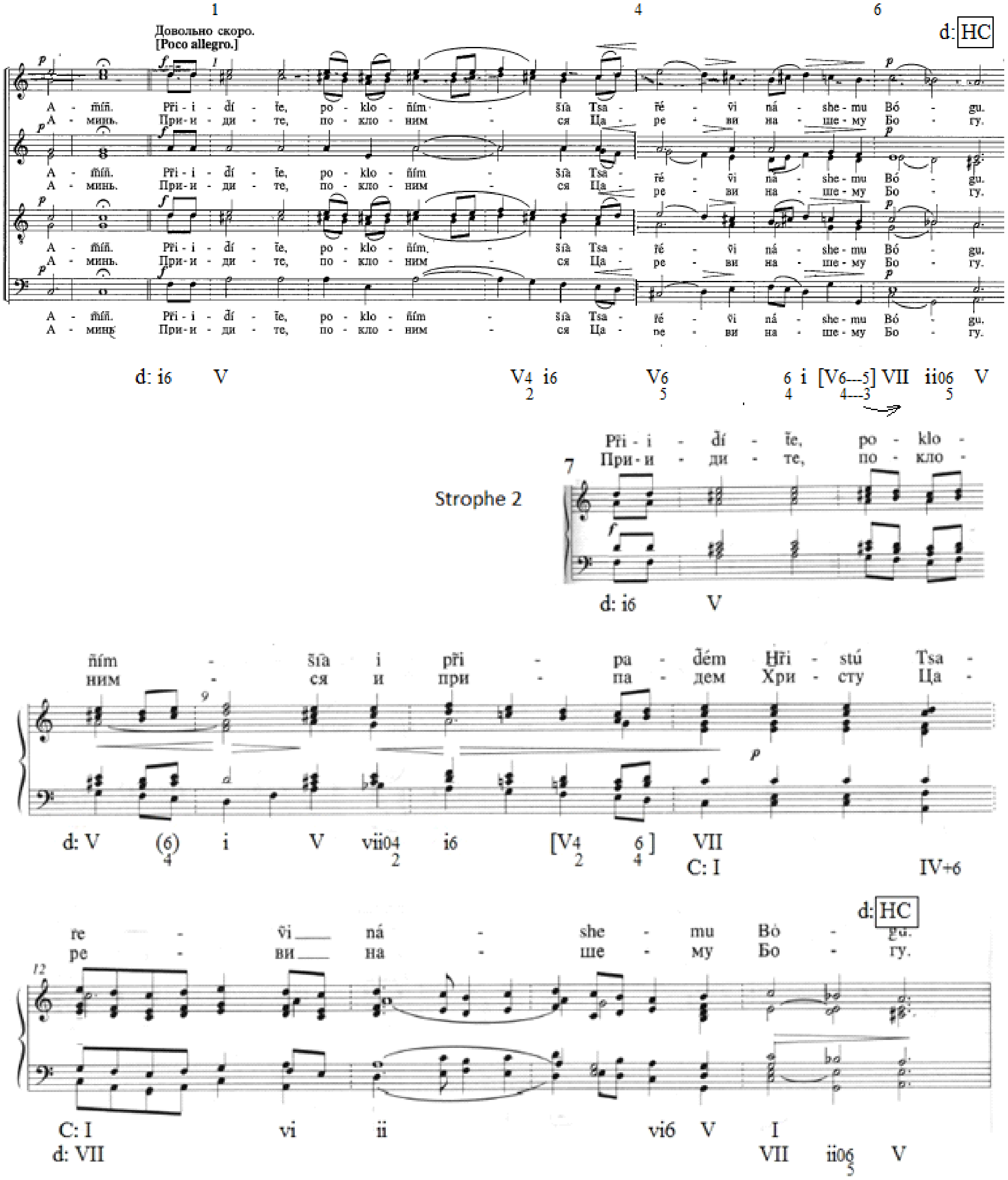
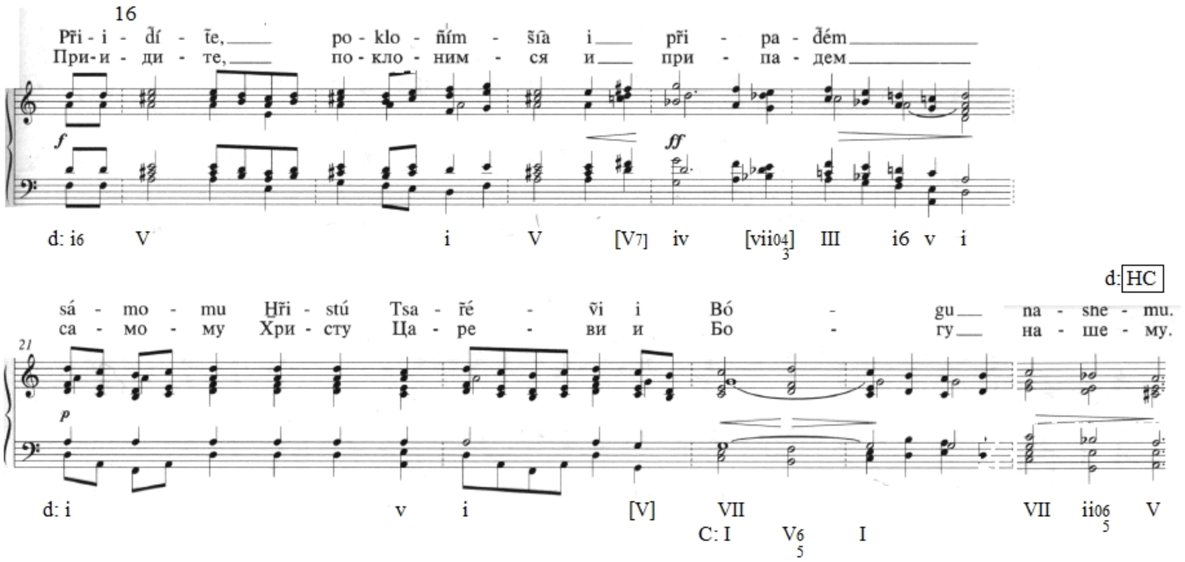
[255] Smith (2013) discusses specifically third-related tonal pairing, but his concept can work for other relationships too.

Example 5.2. Movement 1: piano reduction (from Morosan and Ruggieri, 1992)

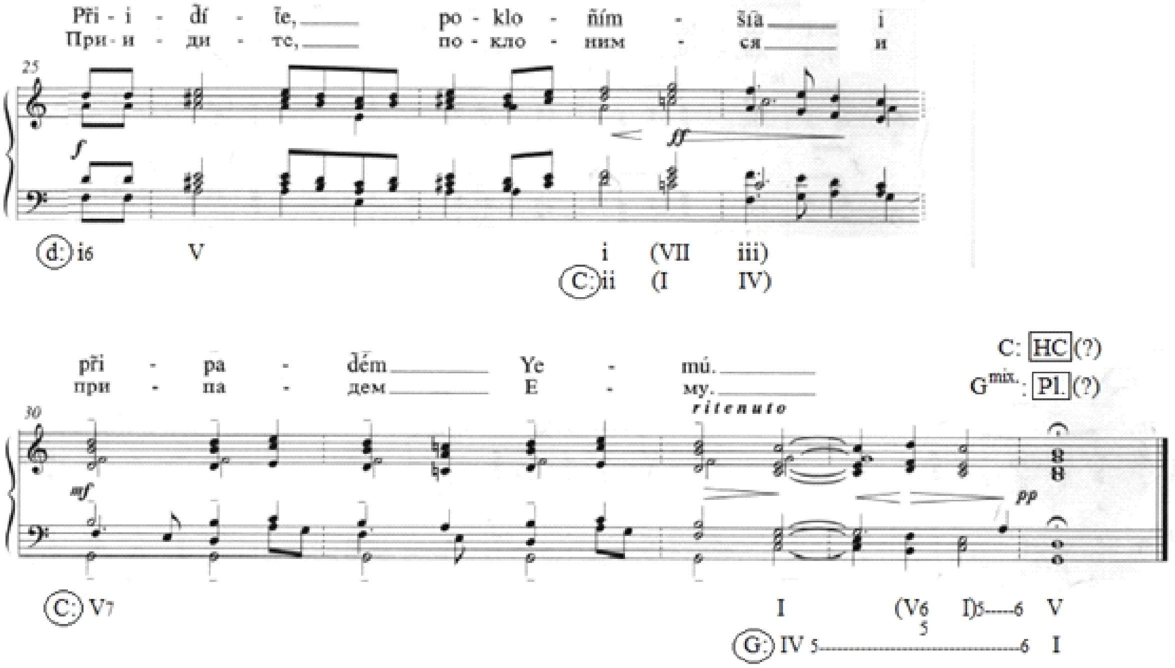
Strophe 1


1
4
6
Довольно скоро.
[Poco allegro.]
d: HC
A - mín. Při - i - dí - te, po - klo - ním - sia Tsa - ré - vi ná - she - mu Bó - gu.
А - минь. При - и - ди - те, по - кло - ним - ся Ца - ре - ви на - ше - му Бо - гу.
d: i6 V V4/2 i6 V6/5 6/4 i [V6—5/4—3] VII ii06/5 V
Strophe 2
7
Při - i - dí - te, po - klo -
При - и - ди - те, по - кло -
d: i6 V
ním - sia i při - pa - dém Hri - stú Tsa -
ним - ся и при - па - дем Хри - сту Ца -
9
d: V (6/4) i V vii04/2 i6 [V4/2 6/4] VII
C: I IV+6
12
re - vi ná - she - mu Bo - gu.
ре - ви на - ше - му Бо - гу.
d: HC
C: I vi ii vi6 V I
d: VII VII ii06/5 V

Strophe 3


16
Při - i - ďí - ťe, po - klo - ňím - šia i při - pa - ďém
При-и - ди - те, по - кло - ним - ся и при - па - дем
f
ff
d: i6 V i V [V7] iv [vii04 3] III i6 v i
d: HC
sá - mo - mu Hřistú Tsa - řé - ṽi i Bó - gu na - she - mu.
са - мо - му Хри - сту Ца - ре - ви и Бо - гу на - ше - му.
21
p
d: i v i [V] VII VII ii06 5 V
C: I V6 5 I

Strophe 4


Při - i - ďí - ťe, po - klo - ňím - šia i
При - и - ди - те, по - кло - ним - ся и
25
f
ff
d: i6 V i (VII iii)
C: ii (I IV)
C: HC (?)
Gmix.: Pl. (?)
při - pa - ďém Ye - mú.
при - па - дем Е - му.
30
ritenuto
mf
pp
C: V7 I (V6 5 I)5-----6 V
G: IV 5------6 I

Melodic Analysis

Of all the aspects of the piece—harmonic, melodic, textural, and other—the continuity of the upper voice is the most apparent unifying element of the structure. Rachmaninoff does not use a chant in this hymn. But, given his aspiration to create a "conscious counterfeit" of chant (Bertensson and Leyda 1956, 191), the upper part takes on the role of a quasi-chant. Indeed, as in old Russian chant melodies, the first soprano, consistently doubled by the first tenor, is absolutely stepwise. (A single exception occurs in mm. 17–18, where there is a leap of a minor third). Unlike the ancient chants, however, the melody contains chromatic elements, such as the pairs C sharp–C natural and B natural–B flat (see Example 5.2).[256] Nonetheless, the intricately waving stepwise line with a descent at the end clearly references the chant style.

The chant-like character of the upper part suggests hearing it as an independent entity. Example 5.3 offers a monophonic analysis of the melody without any regard to harmony. The example shows two levels of analysis, a more immediate (but not surface) level and a deeper one. The purpose of the example is to discern an implicit logic behind the melody—a structure on which the surface line relies, as well as modal implications of the movement's soprano part. To the extent possible, I have attempted to find a stepwise basis of the melody, although in some cases this basis—the higher-level line—suggests leaps rather than steps.[257]

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[256] Some authors have stated that, in the freely composed movements of the Vigil, Rachmaninoff stylizes chant so closely that it is almost indistinguishable from real chant melodies; see, for example, Culshaw (1950, 145), quoted by Loftis (1980, 32). Due to the chromatic elements in the melody, this statement is not totally correct. Khannanov (2011, 17) assigns the presence of both B and B flat to the use of the Obikhod collection, which includes both these tones. In this collection, however, the two variants of the note B appear in different registers, as they in the Greek Greater Perfect System, whereas in Rachmaninoff's movement they are found in the same octave in the soprano.

[257] Melodic analyses on which mine are partly modeled may be found in Rothstein (2008), especially the discussion of the Anvil Chorus from Verdi's *Il trovatore*, an analysis that suggests stepwise higher-level melodic lines and integrates modal terminology. Rothstein's use of modal terms (ambitus, system, and final) is closely associated with Harold Power's concept of tonal types. Another source that offers melodic analysis with a preference for stepwise lines is Hindemith's *The Craft of Musical Composition* (1945 [1937]), chapters V and VI. Hindemith's analyses

The melody in strophe 1 consistently exhibits short units that outline minor thirds, which themselves create a two-voice stepwise progression, shown on the second staff of the example. Third-units have in fact been recognized as the primary building blocks in Russian chant and in Rachmaninoff specifically.[258] The upper voice of this progression is given in the music in relatively long values, either half notes or quarter notes that follow pairs of eighths; within the last third, C–B flat–A, all of the notes are long. This higher-level line, the structural basis of the surface melody, traverses a fifth from E5 to A4, with the neighbor F embellishing the E.

A modal interpretation of this line must face the conflict between the overall pitch content of the melody and that of the higher-level line. The melodic surface suggests D minor with two variants of ^6 and ^7 (C natural and C sharp, as well as B natural and B flat). The higher-level line, however, is a Phrygian hexachord that, thanks to the ending on A, suggests that A is the main pitch center (Kholopov's *ustoĭ*). Furthermore, one could hear E as a secondary *ustoĭ*, since it is quite stable at the beginning, and thus as a modal co-final.[259] The overall mode, therefore, is authentic A Phrygian with incomplete ambitus (it does not go all the way up to A5).

The following strophes consistently retain the opening of strophe 1; its ending is retained in strophes 2 and 3, but not in strophe 4. In strophe 2, the surface contains more notes than before, but the higher-level line essentially conforms to the initial structure, while changing one of the thirds to major (C–E instead of C sharp–E). Strophe 3 finally changes the higher-level line by

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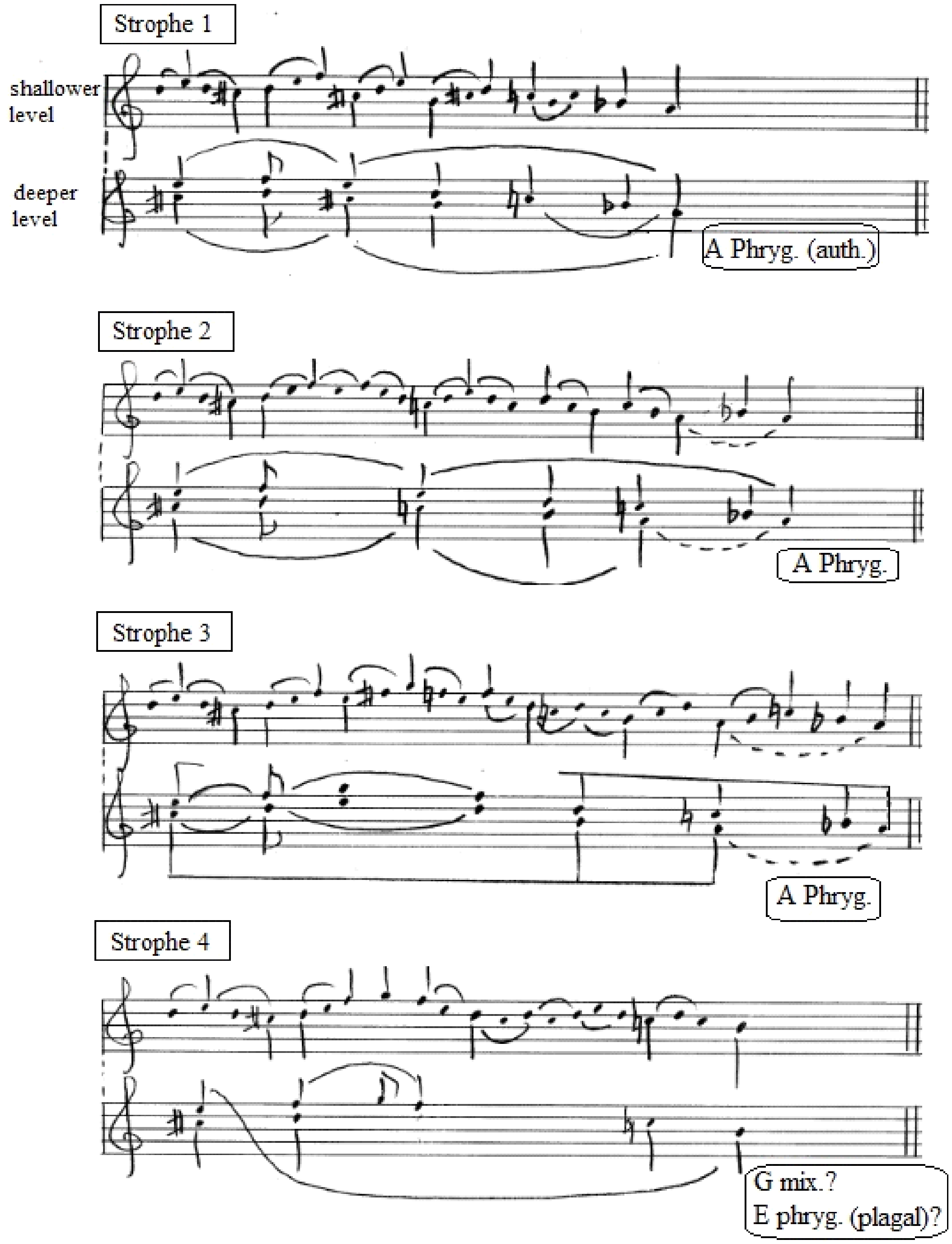
differ from mine is that the individual lines he finds in a melody are sometimes completely independent from each other; see his examples 175 and 176. Some simpler examples, however, such as his analysis of the Gregorian melody *Dies irae* (203), contain lines that seem to be coordinated with each other (mostly in thirds).

[258] Yasser (1969), when he compares the main theme of Rachmaninoff's First piano concerto with an anonymous Kievan chant melody, emphasizes "tertian cells" in both examples (318); this is what makes the two melodies so similar. Khannanov (2011, 17–19) calls this principle a "trichordal strcture," which, as he shows, characterizes Byzantine chant (!), Russian chant, and Rachmaninoff's *melos* in general.

[259] For monophonic analysis in terms of *ustoĭ*, see Kholopov (1988, 173–5, as well as 177–88). The terms stable and unstable that I use here approximately translate Kholopov's *ustoĭ* and *neustoĭ*; he uses them in both his theory of mode and his analyses of monophonic music (Russian folk and church examples).

Example 5.3. Movement 1, melodic analysis


Strophe 1
shallower level
deeper level
A Phryg. (auth.)
Strophe 2
A Phryg.
Strophe 3
A Phryg.
Strophe 4
G mix.?
E phryg. (plagal)?

adding the minor third E–G, filled in with both F natural and F sharp, and by omitting the C–E third. Although both of these notes are present on the surface, neither receives sufficient emphasis in terms of length to be considered stable.[260] The D, on the other hand, is very stable because it recurs multiple times, always in a metrically strong position.[261] The large-scale fifth of the higher-level line, however, is preserved, although two levels of neighbor tones are added to it.

Finally, strophe 4 alters the initial structure considerably. The higher-level line once again includes G5 (a neighbor to F), a half note and perhaps the climax of the entire melody: see the *ff* marking in the score. The motion in thirds breaks down due to the double-neighbor figure around D, as well as an absent third E below the climactic G. A modal interpretation of this strophe entails some problems, mainly due to the tritone above the final B. Given the high point on G5, one might hear G Mixolydian, although the status of B as "final" contradicts this possibility. At a still deeper level, a four-note line transpires: E–D–C–B, a Phrygian tetrachord.[262] The Phrygian color and intervallic structure of the last third (M2–m2 downward) recreate those of the previous strophes.[263]

The melodic line of the whole movement is thus rather complex and suggests multiple levels of structure. The *ustoĭ,* relatively stable in strophes 1–3, shifts in the last strophe. The initial surface motion in thirds references Znamenny chant; see, for example, the Znamenny melody of movements 7 and 12, which also consists of third-based melodic formulas, or *popevki*

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[260] The F of the D–F third also does not get a longer note (half note), but its position on the downbeat of m. 20 and the consistent emphasis on this note in the remaining strophes suggest hearing it as stable in this case as well. The emphasized C of mm. 23–24 belongs to the final descent; it forms a third with A, not E.

[261] The prolonged emphasis on D5 almost usurps the status of *ustoĭ*; modally, this would mean a plagal fourth of D Aeolian (D–C–B flat–A), instead of an authentic fifth of A Phrygian .

[262] This would mean plagal E Phrygian. In the abstract, then, the last B would be not the final, but the co-final.

[263] In Kholopov's terms, one might hear three *ustoĭ* following one another: E5, D5, and B4. These notes form a (025) trichord and a partial proto-harmony complex. Together with A, the final of every preceding strophe, this gives us the complete proto-harmony complex A–B–D–E. This proto-harmonic structure, however, relates exclusively to the melody in this case, not to triadic roots.

(see Example 4.2).[264] But in this case, these formulas inhabit a very narrow range—a perfect fourth—while in Rachmaninoff's melody in movement 1 the range is much wider, a minor seventh, which heightens the variety and complexity of melodic motion. Although the composer draws on the basic melodic resources of the chant tradition, his melody is distinct from it and bears richer implications for mode, pitch centers, and hierarchical levels. In the ensuing harmonic analysis, I show certain structural connections between the purely melodic dimension and tonal structure.

Harmony in Strophes 1–3

I now begin harmonic analysis of the movement according to my three chosen approaches: functional, proto-harmonic, and Schenkerian. I consider them as three different analyses of the same passages, but ultimately my goal is to discover structural elements of the movement that are somehow reflected, in different ways, in each of my analytical versions.

In terms of keys and functional relationships, strophes 1–3 represent tonal ambiguity in multiple ways simultaneously. While each strophe begins and ends on the A-major harmony, one can hardly say that the music "is in A major."[265] The other harmonies and the scale used within the section contradict this possibility; see the Roman-numeral analysis in Example 5.2. Indeed, the first strophe quite solidly articulates the key of D minor.[266] Even the A-major chord on the first downbeat does not sound like a tonic due to the d^6 chord on the upbeat to m. 1, although the first couple of measures may create the illusion of an A-major key (see the bass motion A–E–A). When the music finally moves beyond the alternating A-major and D-minor sonorities,[267] a brief tonicization of C major occurs (V–I progression), followed by a return to V of d ($ii^{ø6/5}$–V progression). Due to the predominance of the key of d, this last event functions as a half cadence.

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[264] On the structure of Znamenny chant melodies based on *popevki*, or short recurrent patterns, see Swan (1940). Swan's melodic analyses serve to support his claim that each *glas* (tone), as a melodic archetype, is characterized by certain types of *popevki*.

[265] Khannanov (2011, 16–17) interprets the movement, with some hesitance, as being "probably in A major" and interprets the D-minor harmony as the minor subdominant of A. He also recognizes the tonal disorientation of the section and calls is cathartic because it "exceeds normative length of syntax and breath."

[266] Using Arnold Schoenberg's term (1969, 150–51), we can say that the first three strophes are *in the region* of D minor. The concept of region, a key area of an entire piece or a section of a piece, is associated with the idea of tonal attraction and therefore intersects with Russian discussions of tonality touched upon in the chapter on mutability, especially Kholopov. Expressing the idea in Riemannian terms, non-tonic functions may point to the tonic, which can be thus projected with or without literally appearing in the music.

By concentrating on a dominant harmony, the very first measures immediately bring a high level of instability and hence expressive intensity to the piece. The rhetorical strength of the first *forte* dominant chord, combined with the upward motion of all voices toward the downbeat and the minor modality of the controlling tonic, makes this call for worship sound not just intense but poignant and almost desperate. Even the close of the strophe (m. 6), though it brings a melodic descent and a *piano* dynamic, does not allow for full emotional release because it returns to the V chord; resolution to the tonic does not occur. In spirit, this music recalls some choral *narodnye* (collective, or people's) scenes in Russian operas, with their folk-like stylization, semitonal "lament" intonations (see the semitonal melodic descent in m. 6), and choral *tutti*.[268]

The following music, strophes 2 and 3, reiterates the basic harmonic process of the first strophe, but significant differences occur. In strophe 2, C major is expanded from a tiny passage (mm. 5–6 in strophe 1) into a full-scale tonicization (mm. 11–15). This tonicization strengthens the second-related pairing by giving more weight to the key of C, and indeed makes this key comparable in significance to D minor. Without the D-minor half cadence in m. 15, C major would outweigh D minor as a tonal center. Strophe 3, the longest of all strophes, begins with a solid D-minor passage, reinforced by very brief tonicizations of iv and III (G minor and F major, mm. 18–20). The ensuing C-major phrase (mm. 23–25) is shorter than the corresponding passage in strophe 2; C major sounds somewhat weaker this time in comparison with the D-minor passage. In all, the first three strophes exhibit a C/d tonal pairing by alternating tonicizations of the two centers, but D minor is given unambiguous preference through the cadences.

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[267] Some of the D-minor chords include the note B natural. This unusual tonic, or tonic-based, sonority appears many times in this movement and will be discussed below in connection with Schenkerian analysis.

[268] See, for example, such collective scenes in Mussorgsky's *Boris Godunov* (choruses in acts 1 and 4) and *Khovanshchina*. Especially important in this association is the descending semitonal motive, which in *Boris Godunov* is widely used not only in choruses, but also as the leitmotif of the character Iurodivyĭ.

In addition to the tonal process just outlined, a detail of modality complicates the tonic/dominant relationships. Just as the soprano's endings on A suggest the Phrygian mode in the melody, the harmonic emphasis on the A-major chord suggests hearing A Phrygian, particularly at the end of each strophe. Indeed, the harmonic framework of the strophe can be represented as in Example 5.4: the plagal progression A–d–A. The most remarkable feature of this harmonic basis is that one can equally hear it as V–i–V in D minor and as I–iv–I in A Phrygian.[269] The first option would mean less stability and an (unfulfilled) expectation of a future full cadence in d. The second option implies greater stability, since the cadential chord (I) is the center.[270] This ambiguity may be ultimately undecidable, depending solely on the hearer's preference.

Therefore, from a functional viewpoint, strophes 1–3 exhibit two kinds of tonal ambiguity: that between D minor and C major, and that between the functions of the A chord as V and I. Perhaps one can imagine this music as bouncing back and forth on two levels. One level is the alternation of two fifth-related pairs: the d–A pair (or D-minor region) and the C–G pair (or C-major region). The other level is the ambiguity *within* the d–A pair: the possibility for each chord to serve as tonic. The same ambiguity of function within the other fifth-related pair, C–G, where each chord sounds as tonic in it own way, is found in the last strophe, to be discussed separately.

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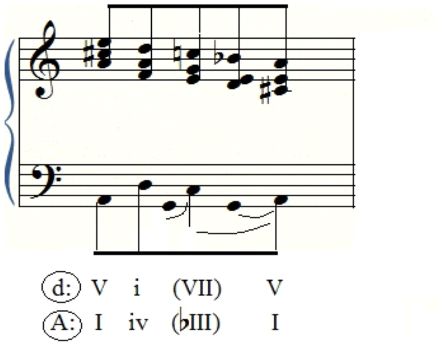
[269] Rachmaninoff's predilection for the Phrygian mode is discussed at length in Johnston 2014b, who also notes that the variant minor and major thirds above the Phrygian tonic (in this case, C natural and C sharp) are also typical in music that deploys this mode in general. Johnston also provides a brief overview of recent theoretical work on Phrygian mode in different musical cultures, particularly Andalusian.

[270] The term *Phrygian cadence* in this case would not be suitable, since this term usually refers to a cadential progression with a bass descending by a diatonic semitone. With regard to the cadence on I of a Phrygian mode, a more common final cadence would be iv–I in A (or i–V in d), which occurs, among other places, in J. S. Bach's Phrygian chorale settings, and which is not the case in this piece. The relationship of this hymn to Bach's modal chorales will be discussed below.

Example 5.4. Strophe 1, harmonic framework (not a Schenkerian background graph)



Having discussed the functional interaction of chords, it is important to ask how they relate to proto-harmony. In proto-harmonic terms, the tonal structure of the strophe is clearer: it articulates all the four chords of a proto-harmony complex, presented in Example 5.5. With respect to mutability, these four central harmonies comprise the primary (C and d) and secondary (G and A) centers. The logic is the same as in relative mutability, but the relationship of the tonics is different—a second instead of a third.[271] With respect to proto-harmony, no chord has to hold primacy over others, since "among the four given chords, any one of them may take the role of 'tonic'" (Miasoedov 1998, 19). The piece can begin and end on any one of the four chords, and this is precisely what happens—the hymn ultimately ends on G. Significantly, the arrival of the C-major tonic in m. 6 sounds very much like a cadence, which, in a proto-harmonic context, would not be in any sense abnormal.[272]

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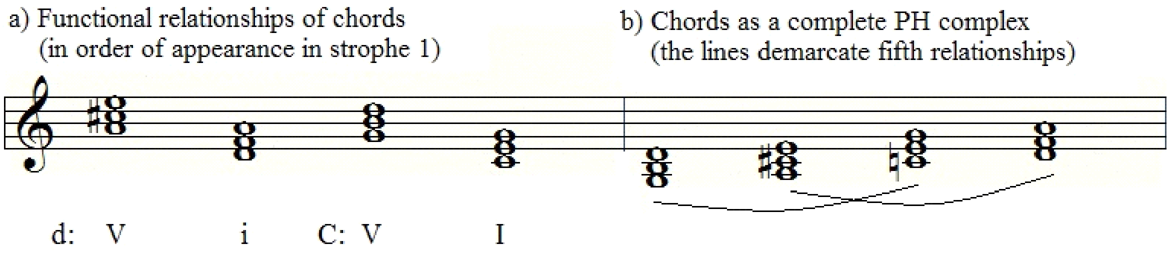
[271] For a schematic comparison of a proto-harmony complex with relative mutability, see Example 3.18.

[272] Indeed, the downbeat of m. 6 sounds as if the strophe is over; the last syllable "gu" could have remained on the same C harmony or could add a confirming V–I in that key. But the composer saves this decentralizing (in relation

Example 5.5. Movement 1, central harmonies


a) Functional relationships of chords (in order of appearance in strophe 1)

b) Chords as a complete PH complex (the lines demarcate fifth relationships)

One of the proto-harmonic chords, however, presents a problem, and that is A major. "Normal" proto-harmony, according to Miasoedov (1998, 18), is a fundamentally diatonic phenomenon, and "the quality of triads (major or minor) is dictated by the principles of diatonic organization…" When Miasoedov introduces the four triads C, G, d, and a, the *a* chord is minor (see Example 2.14). In Rachmaninoff's "Priidite," the A-major chord lies outside the diatonic proto-harmony complex. One is left, therefore, with two possibilities: (1) to exclude the A harmony from proto-harmony and claim that the movement is based on a partial proto-harmony complex (C, G, d); or (2) to claim a complete proto-harmony complex by including the A harmony, thus seeing the proto-harmonic structure of the hymn as slightly abnormal.

I choose the second option, for reasons of the internal organization of the piece. The hymn features a very clear pairing of C major and D minor, which Miasoedov himself stresses as being highly characteristic for Russian sacred music (1998, 49), and which originates in both tonics' common proto-harmonic membership. Given the immense emphasis on A major throughout most of the piece, it would be counterintuitive to exclude this harmony from the proto-harmony complex, to which its root naturally belongs. Therefore, I prefer to view the piece as representing a complete proto-harmony complex (C, G, d, A), adjusted to accommodate the

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to D minor) effect for the end of the piece. The proto-harmonic nature of the first three strophes is all the more highlighted by the order in which the chords appear—a progression by perfect fifths downward (see Example 5.5).

pairing of two keys, C major and D minor, and therefore including the major V of d (once again, see Example 5.5).[273]

I now turn to a Schenkerian interpretation of the first three strophes. Due to its intrinsic orientation toward linearity, a Schenkerian analysis of this music naturally correlates to my melodic analysis. The main connection is the melody's higher-level line outlining the fifth E5–A4 (see Example 5.3), which in a Schenkerian graph functions as a fifth-progression composing out the A harmony. One has to bear in mind, however, the discrepancy between this horizontal line, which composes out an A-minor triad (with a passing B flat), and the vertical dimension, which states A *major* at the beginning and end of every strophe.

Example 5.6 presents a graph of strophe 1. The A major-minor dialectic, touched upon in the analysis of proto-harmony, is reflected in the Schenkerian graph as well. Notwithstanding the C natural in the upper voice, the background of the strophe is shown to prolong the A-major chord. A sixth-progression in the alto, subdivided into a fourth plus a third and arriving at C sharp (!) at the end, accompanies the fifth-line of the soprano. The bass line, however, includes a large-scale arpeggiation A–C natural–A, thus suggesting A minor as the prolonged harmony and C natural as Damschroder's "wobbly note," ultimately composing out C sharp. The C natural; in the bass and soprano corresponds to the quasi-cadential arrival of C major in m. 6. A brief auxiliary cadence ($V^{6/4}$–$V^{5/3}$–I) leads up to this harmony. The deepest level of this strophe can be seen as an A-major chord in which the inner-voice C sharp is temporarily inflected to C natural and placed in the outer voices (downbeat of m. 6) but ultimately reaffirmed in the alto at the end.

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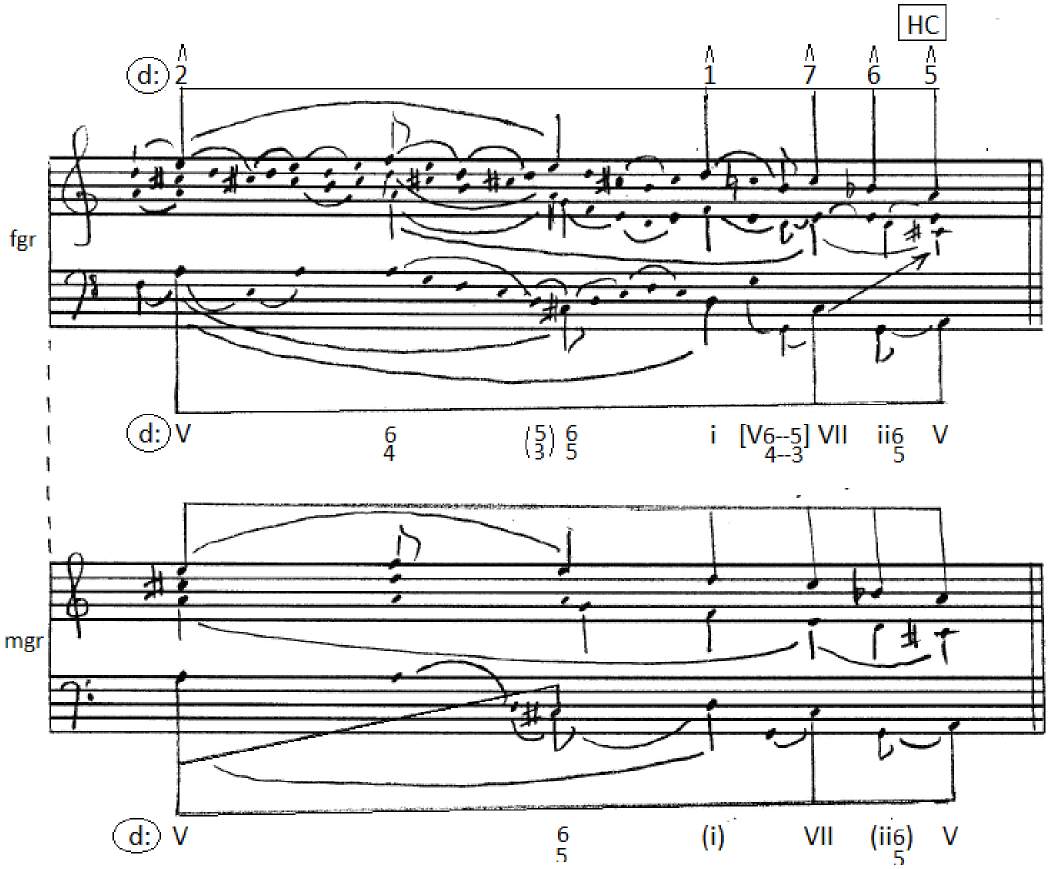
[273] Chromatic variants of proto-harmonic chords are featured in some of Miasoedov's own examples, although he does not give a consistent explanation for the phenomenon. Example 2.15 (from Miasoedov 1998, 59) contains a D-major chord in F major as V of ii; Miasoedov discusses it as "preserving the diatonicism of harmony, in spite of the 'accidentals'" (50). Significantly, he stresses the role of mutability in this example, referring to the second-related mutability of F and g.

If one is permitted to connect different methods of analysis, the presence of A minor in the linear dimension of the graph supports the diatonic proto-harmonic membership of the A chord. In a sense, the A chord in this piece is major and minor at the same time.

Example 5.6. Strophe 1: voice-leading graph (foreground and middleground levels)



The deep level of the Schenkerian graph differs from the functional analysis in a crucial way, which may be seen by comparing Examples 5.4 and 5.6. The difference concerns the tonal dialectics of C major and D minor. In the chordal analysis I have asserted the predominance of d over C, because D minor is the tonic to which the first and last chords relate as dominant. In other words, the functional logic posits D as the tonic. One might have expected the same structure, the progression A–d–A (d: V–i–V), as a Schenkerian background level as well. Despite beginning and ending on a dominant, this structure could be called plagal because d is the upper fourth, or minor subdominant, of A, in addition to representing the functional tonic.

In the abstract, a plagal background structure is possible. In the previous chapter, I offered a plagal background for movement 7 and mentioned discussions of plagalism in the work of other writers (Stein 1983; Harrison 1994; Burns 1995; Miasoedov 1998; and Sarafannikova 2007). Here, I especially want to highlight a structure that Burns (1995, 43–44) suggests for Bach's Phrygian chorales, for instance *Christus der uns selig macht*, given in Example 5.7. Burns introduces the notion of the Phrygian subdominant-tonic relationship (PH-IV), exemplified by the background progression E–a–E in this chorale.[274] According to her, "the subdominant side of the tonal spectrum is very strong in Phrygian chorales at all levels of structure." In "Priidite," the PH-IV would result in the graph given in Example 5.4. Indeed, this interpretation would agree with the Phrygian upper voice and with the widespread view among Russian scholars that plagalism holds enormous significance in Russian music.[275]

In the specific context of movement 1, however, this plagal analysis is not so satisfactory. In strophe 1, the D-minor chord does not receive great emphasis on the surface. The root-position chord appears only once, on the second beat of m. 5. Rather short and lacking metrical emphasis, the chord does not sound like an arrival, but rather as part of a motion toward the next goal—C major in m. 6, which falls on the downbeat and has a longer value (half note). Moreover, the C harmony is supported by a root-position V–I progression. The D-minor sonority in m. 5 actually belongs to the auxiliary cadence ii–V–I in C. Finally, the D-minor chord is not composed out in the way the corresponding A-minor harmony is in Bach's chorale (see mm. 5–6 in Example 5.7).[276] In all, D-minor in m. 5 is a transient moment, too unstable to serve as a background goal.

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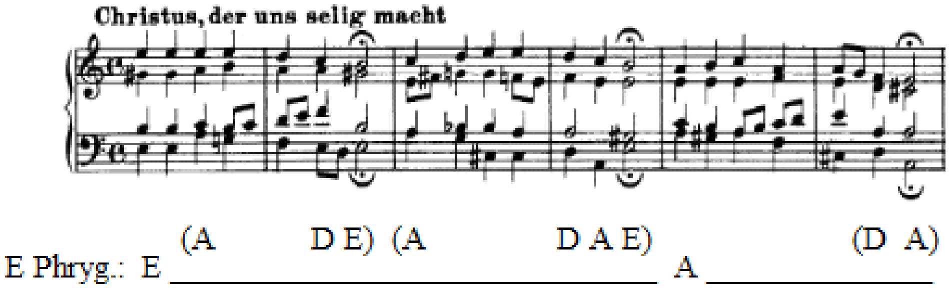
[274] Kholopov (2005, 20) uses the term *dominantovyĭ lad* (dominant mode) for similar cases in the minor mode with an emphasis on the dominant. He specifically applies the term to baroque pieces with Phrygian structure. Later in the same textbook (364–66), he partly returns to the same topic when he discusses *sostoianiia tonal'nosti* (states of tonality) at the end of the tonal era. One of the states is *inversionnaia tonal'nost'*, inverted tonality, where a piece produces no strong sense of tonic either at the beginning or at the end, or where both beginning and end are not on a tonic. The principle, therefore, is the same as in Kholopov's baroque dominant mode, and the concept of inverted tonality might be used in relation to "Priidite." Although chronologically the piece fits the description of inverted tonality (the *Vigil* belongs to the end of the tonal era), I am reluctant to unequivocally ascribe it to this type because the concept of mutability complicates the case—and the hymn is unambiguously mutable. While Kholopov's tonal mutability and inverted tonality are connected through the shared characteristic of decentralization, the specific relationship between them is not completely clear.

[275] For more on the general opinion on plagalism in Russian music, see Chapter 4.

Example 5.7. J.S. Bach, Chorale "Christus der uns selig macht." Bach (Riemenschneider) 1941, 19. Analysis reconstructed from the discussion in Burns (1995, 45), who offers this chorale as an example of the PH-IV progression. She designates the harmonies with letter names of their roots, rather than Roman numerals



The background dominance of C major, suggested relatively mildly in strophe 1, emerges fully in strophe 2. In Example 5.8, the C chord is again preceded by a brief auxiliary cadence (m. 10), and the following passage completes a *Stufenkreis* (harmonic circuit) in C major: I–ii–V–I.[277] While C major is fortified by this prolongation, D minor is significantly attenuated. The D harmony and the soprano's higher-level D5 (m. 13) now occur *within* the tonicization of C major, whereas in the previous strophe these events came *before* any statement of C major. Another occurrence of the D chord, m. 9, is relegated to a foreground event since it prolongs the A harmony that returns immediately afterward. In short, strophe 2 brings to the fore the background status of C major, a status that in strophe 1 is less explicit.

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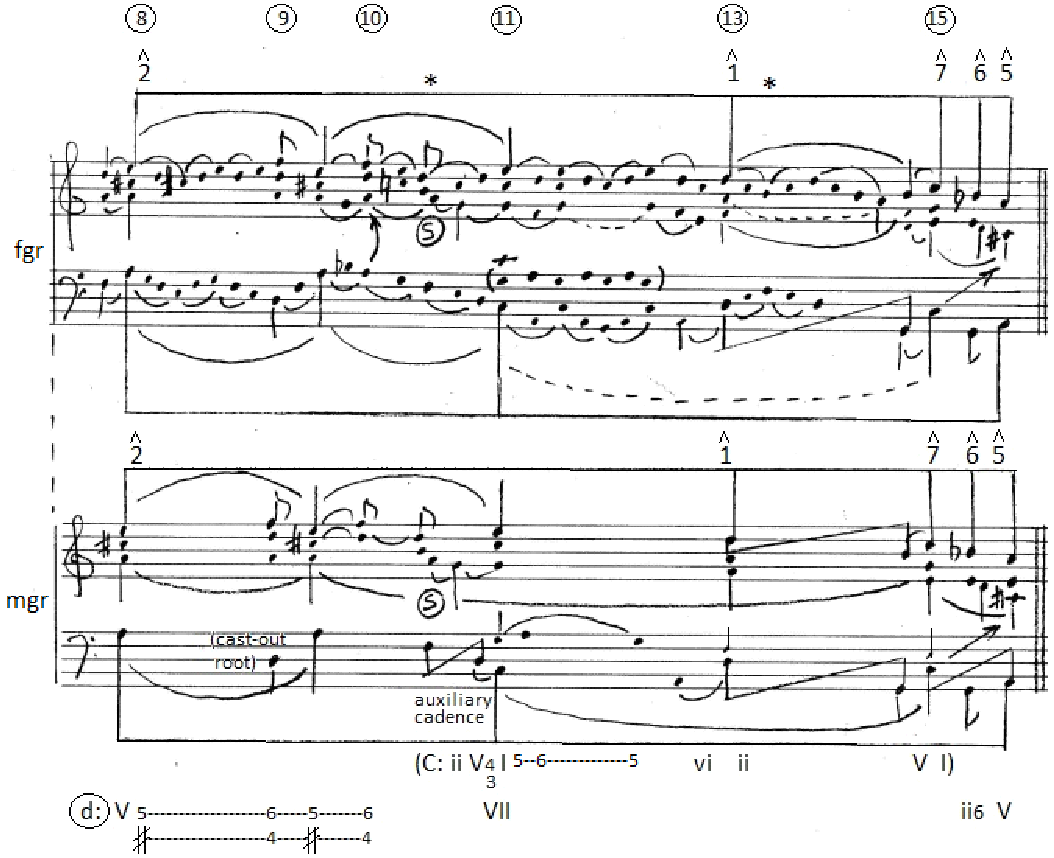
[276] Burns writes: "The third phrase [of the chorale, i.e. mm. 5–6] moves away from the final (E) to prolong the subdominant (A), in a plagal harmonic progression A–D–A. Thus, the prolonging harmony in the PH-IV gesture is itself prolonged in a subdominant-tonic harmonic relation" (1995, 45). This lower-level prolongation of the subdominant harmony (in the present case, D) is precisely what Rachmaninoff's hymn does not display.

[277] The auxiliary cadence leading to the C-major chord, m. 10, contains an inverted dominant ($V^{6/4}$ of C). This is possible for auxiliary cadences; Schenker, in *Free Composition*, offers examples with inverted dominant chords, such as Example 110 e1 (Beethoven, Piano Sonata op. 28) and 110 b2 (Schubert, Impromptu in G [sic] Major).

Example 5.8. Strophe 2, voice-leading graph (foreground and middleground). Asterisk Denotes the B half-diminished sonority



The auxiliary cadence leading to the tonicized C major contains a sonority rare for the Russian liturgical style—a neighboring diminished seventh chord (end of m. 9). The same chord, though spelled with a D flat, occurs in strophe 3, m. 19, where the D flat continues the C sharp of the preceding A-major harmony.

Strophe 3, graphically presented in Example 5.9, returns to the overall trajectory of strophe 1, although there are modest differences. Specifically, the D harmony is significantly composed out before the V–I gesture in C major. After a considerable prolongation of A, the middleground D-minor chord enters, elaborated with its (minor) dominant and followed by a tonicization of C, which this time is shorter than in strophe 2. The D/C rivalry for background status is, perhaps, strongest in this strophe, because both are solidly tonicized. Yet, having heard two strophes where D is subordinate to C, the listener is unlikely to interpret the background as A–d–A this time either. The modified strophic form suggests that the first three strophes share the same basic structure. Moreover, the D harmony in strophe 3 is attenuated by its minor v and by the note B natural, sometimes added to the D triad (mm. 20–21), which turns D minor into a half-diminished sonority.[278]

This chord, in literal terms a half-diminished B $^{4/3}$ (marked with an asterisk in every graph), requires special attention.[279] It appears in the movement many times and receives the status of a motive, adding a distinctive and poignant flavor to the movement. We hear the chord for the first time in the middle of m. 3. While on the surface the "extra" note B (soprano 2) proceeds to C sharp, at a deeper level it can be seen as part of the D–A fourth-progression ending in the alto (m. 4; see the foreground level in Example 5.6), which belongs to a local prolongation of d. Conversely, the next time the chord appears—on the downbeat of m. 5—it functions as a neighboring sonority, an offshoot of $A^{6/5}$ (see Example 5.6 again). Thus, even within the first few measures, the motivic half-diminished sonority has two different meanings.

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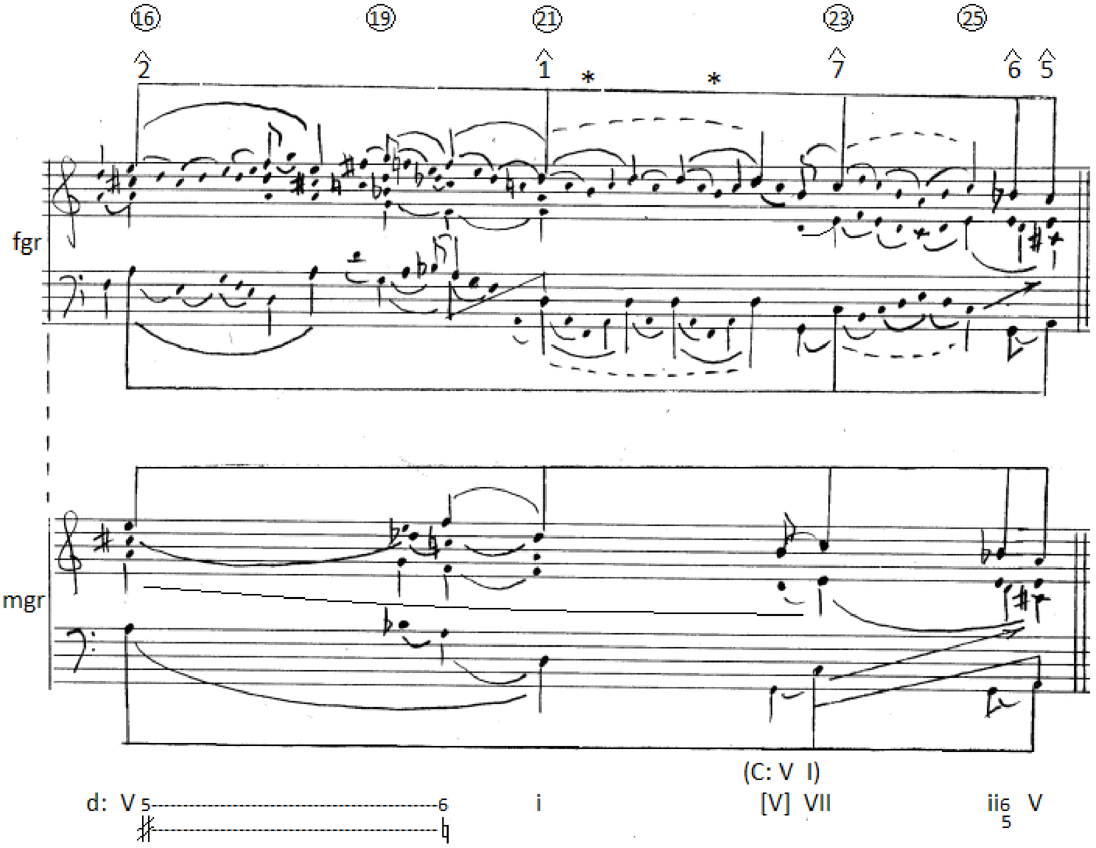
[278] In my melodic analysis (see Example 5.3), this B natural is shown as a structural tone, one of the tones of the lower voice in the two-voice structure.

[279] The half-diminished seventh is a relatively rare sonority in the Vigil. When it does occur, it usually functions as a pre-dominant $ii^{6/5}$ in cadences. See, for example, all three cadences in strophes 1–3 and the final cadence in movement 12, discussed in the previous chapter. The recurrent half-diminished B^7 chord in movement 1 gives a distinctive sound to the hymn. Rachmaninoff has another sacred piece that places a similar emphasis on the half-diminished sonority—movement 3 in his 1910 Liturgy.

Example 5.9. Strophe 3, voice-leading graph (foreground and middleground). Asterisk denotes the B half-diminished sonority



The following music further enriches this diversity of meanings. In strophe 2, the motivic sonority occurs in m. 10 on the way to I of C. Since the harmony leading up to the C-major triad is its dominant, as the end of m. 10 most clearly shows, I interpret the note A as a suspension to G (see Example 5.8, foreground).[280] So, in this case, the half-diminished chord represents $G^{4/3}$ with a suspended root. Later in the same strophe, the motivic sonority occurs in m. 13 inside a local prolongation of D minor as ii of C. This occurrence is the most difficult to explain. The lower voice outlines an unambiguous third-progression from D to F and back, and therefore the upper voice, which reflects the bass as an exact mirror image, will likely be heard as another third-progression, D–B natural. Strictly speaking, this analysis is wrong: the note B is not part of the D-minor triad and thus cannot be part of its prolongation except as a passing or neighboring note. Indeed, at a slightly deeper level, it is a passing note that proceeds to A in m. 14. But at the most immediate level, the chord with the B natural sounds as a version of D minor, something like a triad with an added sixth. In the next strophe, its quasi-D-minor function (mm. 21–22) is confirmed. The tonic of D minor is composed out in mm. 21–22 through a bass arpeggiation D–A–F, answered in the soprano with D–C–B, where the B sounds very much part of the harmony. Of all the occurrences of the half-diminished seventh chord, this one seems the most tonic-like, the B giving this local tonic a Dorian flavor.[281]

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[280] Another very fleeting occurrence comes in m. 8, where the $B^{4/3}$ is definitely a passing chord within a local composing-out of $A^{4/2}$.

Although locally this D-minor chord may sound like a tonic with a dissonant addition, at the middleground this addition weakens the D-minor chord in general and makes it a less likely candidate for a background harmony. This is another argument against the plagal background A–d–A throughout the movement and especially in strophe 3, where B natural constantly undermines the stability of D minor. C major, on the contrary, is invariably consonant and invariably longer—see the half note in m. 23. Thus, the motivic half-diminished chord contributes to the structural dominance of the C harmony over d in strophe 3.

Before concluding the analysis of strophes 1–3, a special detail must be mentioned: the status of the opening *Amin'*. Morosan and Ruggieri (1992, v) specify that this word, notated by Rachmaninoff as two measures of a C-major chord in ^3 position, is optional in concert performance, though required in a liturgical context.[282] Their measure numbers begin on the first A-major chord, while the two bars of the *Amin'* are unnumbered. Semantically, the word ends the previous exclamation of the priest and thus is better considered as a conclusion of the preceding section, rather than the beginning of the hymn "Priidite." At the same time, the *Amin'* is the first thing the choir sings in the entire *Vigil*, both in Rachmaninoff and in ordinary liturgical context, and is thus the musical initiation of the service.[283]

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[281] It would be possible to see the B natural in the soprano as an offshoot of the C, which itself would act as neighbor of D. In this case, the A-minor chord (A2 in the bass) would have to be understood as hierarchically superior to the bass's F2 and its half-diminished chord. This would conflict with the bass's D–A–F, which clearly outlines the local tonic D minor, not A minor.

The status of the *Amin'* is therefore virtually undecidable: it might or might not be considered part of the composition. Importantly, the possible inclusion of this chord into the structure does not make C the overarching tonic of the piece, contrary to Morosan and Ruggieri (1992). Rather, the A harmony retains its background significance thanks to the recurrent linear progression E–A and the consistent emphasis on the A chord throughout strophes 1–3 (it is both the initial and the concluding harmony). The opening C chord therefore receives the meaning of upper third to A, with a common tone E in the upper voice slightly below the surface; see Example 5.10.[284] Certainly, however, the C harmony points to important events later in the movement. In terms of keys, this chord prefigures the C/d rivalry later in the piece; in Schenkerian terms, it prefigures the future elaboration of the C chord and its background status.

To summarize my analysis of strophes 1–3: In all three respects—harmonic function, proto-harmony, and Schenkerian analysis—these strophes exhibit either ambiguity or a certain departure from a norm. In terms of keys and functions, the music vacillates between D minor and

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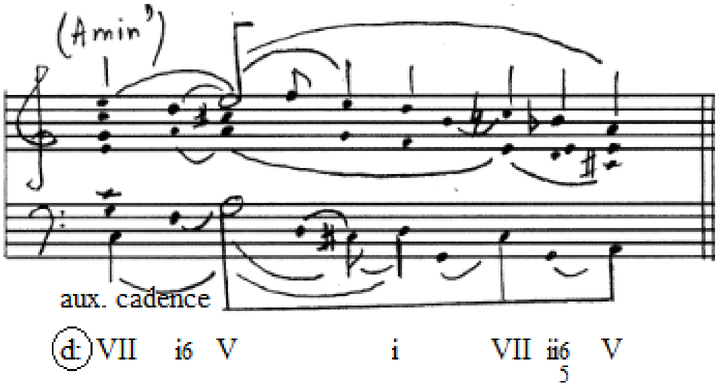
[282] The Amen at the beginning of movements 1 and 2 is the only liturgical detail the composer incorporates into the *Vigil*. Otherwise, he omits short phrases such as Amen, Lord have mercy, Glory to You oh Lord, etc., and concentrates instead on longer passages. For the complete liturgical text, including the Amen that precedes Rachmaninoff's movement 1, see the full All-Night Vigil at http://prav-molitva.narod.ru/sluz/vsen.htm.

[283] In a usual all-night vigil, the choir sings the hymn "Priidite" directly following the Amen, at best taking a breath between the two.

[284] Schenker relates such an unfolded third, VII–V, to the concept of auxiliary cadence, although it is not a cadence in either the conventional or in Schenker's sense. See Schenker (1979 [1935]), 89–90 and fig. 111.

C major, in addition to the ambiguous status of the A harmony (Phrygian tonic or V of D minor). In terms of proto-harmony, the major triad on A breaks the more usual diatonic structure, where that triad would normally be minor. In Schenkerian terms, the vertical and horizontal dimensions conflict with each other with respect to mode (major vs. minor A harmony), and the background lacks the normative I–V–I progression. In a sense all these aspects are interrelated: the proto-harmonic group C–G–d–A generates the C/d pairing through mutability (C and d are primary centers, G and A secondary ones), and the centrality of the A chord within this group eliminates the usual I–V–I in A, since the E-major chord required for this progression is not part of the proto-harmony complex. In other words, the background harmonies, A and C, are determined by a combination of the proto-harmony complex and foreground emphasis, not by the usual tonic-dominant relationships.

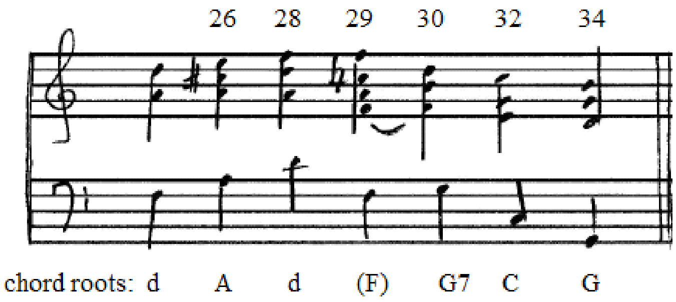
Example 5.10. Strophe 1, voice-leading graph (middleground), with the introductory *Amin'* as an auxiliary cadence



Harmony in Strophe 4

While strophes 1–3 contain many tonal conflicts and ambiguities, they are unified in at least one way: they begin and end with the same chord. In this sense they are tonally closed, even if the function of the concluding harmony may not be clear. The last strophe differs from the first three in this respect: it lacks tonal closure even of this limited, ambiguous sort. Strophe 4, therefore, removes the unifying force of harmony and retains only one element of unity: the stepwise melody. What follows is an examination of this decentralized passage from the same three viewpoints: functional harmony, proto-harmony, and Schenkerian analysis. Example 5.11 provides a general harmonic plan of the strophe, a deep-level imaginary continuo that will be useful for the various analytical approaches.

Example 5.11. Strophe 4, imaginary continuo (middleground level)



In spite of all the unusual events in strophe 4, it begins with a progression identical to the previous beginnings—the chords d^6–A. A first-time listener is therefore encouraged to await a continuation similar to those in preceding strophes. With respect to the movement's closure, the main expectation, a first-level default, so to speak, would be a final PAC (or maybe a 3-IAC) in D minor. This would give a monotonal picture of the hymn: a unifying key of d in which three half cadences are followed by a closing authentic cadence. Another expectation, a second-level default, could be a tonic cadence in C major, which would give a directionally tonal picture: three HCs in d followed by a PAC or 3-IAC in C. Instead, Rachmaninoff chooses to finish on neither of the two tonics, but on a G-major triad.

From the functional standpoint, the status of the final G major is somewhat equivocal. Given the functional relationships presented in Example 5.5a, the concluding chord represents C major as its dominant and thus heralds the ultimate "victory" of that key over D minor, which has dominated the preceding sections. Ultimately, therefore, the center shifts from D minor to C major. In C major, the harmonies in Example 5.11 are easily interpreted as ii–V/ii–ii–IV–V^7–I–V, with a half cadence at the end.[285] Characteristically, the cadential arrival occurs with the third in the soprano—what would be described as the melodic position of ^3 if the concluding harmony were the tonic (because the chordal third would also be ^3 of the key). Of course, ending with a half cadence in place of a PAC or IAC destabilizes tonality, already destabilized by the C/d pairing; but the normality of the syntax sanctions the interpretation of the last harmony as a dominant.[286]

An ending on a non-tonic harmony is, in fact, acknowledged as a common device in Russian music. Both Kholopov and Miasoedov stress that in Russian music, especially liturgical music, ending on the main center is not a requirement. For Kholopov, this tonal "openness" (*razomnknutost' ustoĭa*) is a function of mutability; for Miasoedov, it is a function of proto-harmony. Miasoedov writes, "[I]n Russian church music, the ending does not always occur on the main center [*ustoĭ*] of the hymn" (1998, 20) and he stresses that such endings contribute to the equality of proto-harmonic members. Rachmaninoff's "Priidite," therefore, profoundly partakes of a venerable tradition of church music, beginning long before the tonal era.

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[285] The bass line G–C–G at the end recalls the same line in other strophes, for example mm. 5–6 in strophe 1. The hierarchical relationship and the harmonization is different this time, however.

[286] A reading of the last cadence as V of C major might imply that the movement can ultimately be heard as being in C major. However, I still argue against such as reading because the key of C lacks tonic cadences and because of the overwhelming presence of the A harmony throughout the hymn.

The function of this final cadence, however, is more complicated than a simple articulation of V of C. The final G chord is approached in a way typical for a plagal cadence: note the stepwise ascent G–A–B in the second tenor (mm. 33–34). This rising gesture, harmonized as IV–I (in modern terms), was defined as *cadence imparfaite* (or *irregulière)* by Rameau (1971 [1722]).[287] The plagal gesture on G in the last measure of "Priidite" fits Rameau's imperfect cadence, and it affects the piece's tonal structure in an unexpected way. It allows one to hear G, not C, as the true final tonic, with C as its subdominant. This interpretation can be taken to suggest that the movement is based on two plagal I–IV pairs: A–d and G–C. If so, the movement begins and ends on the two tonics A and G. This structure would result in Example 5.5a with the internal relationships flipped—what appears as dominants become tonics, while tonics become subdominants. The interval of pairing—major second—remains unchanged. Given the G^7 chord two measures before the end, the final cadence suggests G Mixolydian, to be paired with the Phrygian A in strophes 1–3.

With respect to proto-harmony, the movement is much more straightforward. The progression in 5.11 features the complete proto-harmony complex (G, A, C, d), with the addition of the chord F (m. 29), explicable as either III of d or IV of C. The strophe traverses the following overall trajectory: A–d–[C: V^7]–C–G. Since the first chord rooted on G, in mm. 30–31, has a seventh, the chord is better heard as subordinate to C (V^7 of C), in contrast to the last harmony, which is a consonant triad and thus more independent.

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[287] Rameau conceived of the *cadence imparfaite* as a counterpart to the authentic cadence, or *cadence parfaite*. The added sixth of the subdominant chord, resolving upward to the third of the tonic, is functionally equivalent to the downward-resolving seventh of a V^7 chord in a V–I cadence.

The proto-harmonic logic behind this structure dictates not only the set of chords, but also the special emphasis on the G harmony, which floats rather unexpectedly out of the A–C–d partial complex established earlier. G is the only member of the proto-harmony complex that has thus far received minimal attention. In the previous strophes, the bass note G serves either as a very short V of C (m. 5 is an example) or as the predominant chord (iv^{+6} or $ii^{06/5}$) in the cadences, always in a metrically weak position. The conclusion of the hymn compensates for this subordinate position of the G harmony by positing it as the final, consonant event. By virtue of its closural function, this chord takes on a weight at least equal to that of the other three proto-harmony members, becoming a center in its own right. If equality of status is the guiding principle of proto-harmony, as Miasoedov suggests, the final cadence of “Priidite” affirms this principle by shifting the center at the end to a previously de-emphasized proto-harmony member. While with respect to tonality the last strophe departs from all norms and creates various ambiguities, with respect to proto-harmony the strophe is absolutely normal. It restores a proto-harmonic equilibrium that was previously lacking.

I now move on to a Schenkerian reading of strophe 4. The previous strophes exhibit a coherent background level, at which a single harmony (A) is prolonged, supported by the linear progression E5–A4, although the vertical and horizontal dimensions conflict with each other in terms of mode (major or minor). In the last strophe, the conflicts are greatly augmented: not only does it not prolong any single harmony in the background, but the upper voice is also sharply misaligned with the harmony. The melodic analysis showed that the soprano line of this strophe relies on a four-note higher-level line, E–D–C–B, suggesting plagal E Phrygian as the mode. In

Schenkerian terms, this might mean a fourth-progression composing out an E-minor (or possibly E-major) triad. The vertical dimension, however, has not even a shadow of the E harmony. In fact, the entire movement never articulates E major or E minor from beginning to end, mainly because the melody often involves the tone B flat, which would create a diminished E triad. Said differently, if the movement is mostly in the D-minor region, to use Schoenberg's term, no consonant E harmony is available diatonically. The last strophe changes the situation by switching from the one-flat to the natural system; and yet, no E chord occurs.

The horizontal line, therefore, is profoundly at odds with the vertical dimension because the upper voice does not provide a suitable linear progression to correspond to the harmonies used. But the harmonies produce no coherent prolongation, either. As the deep-level imaginary continuo in Example 5.11 suggests, no single chord controls the section, and therefore no overarching prolongation takes place. This situation removes any possibility of a well-formed Schenkerian analysis, even one based on an auxiliary cadence, because the major dominant of G does not appear. Instead, the strophe presents a series of chords, each of which is composed out locally but does not participate in a larger prolongational unit. In other words, while local levels are tonally more conventional, at a deeper level tonality—and prolongational logic—falls apart.[288]

These local levels, which are more conceivable in prolongational terms than the background, nonetheless offer a springboard from which one can at least attempt a voice-leading interpretation. Example 5.12 makes such an attempt. The strophe begins with the same harmony that initiates the previous strophes, A major, preceded by a short d^6 chord. At the foreground, the

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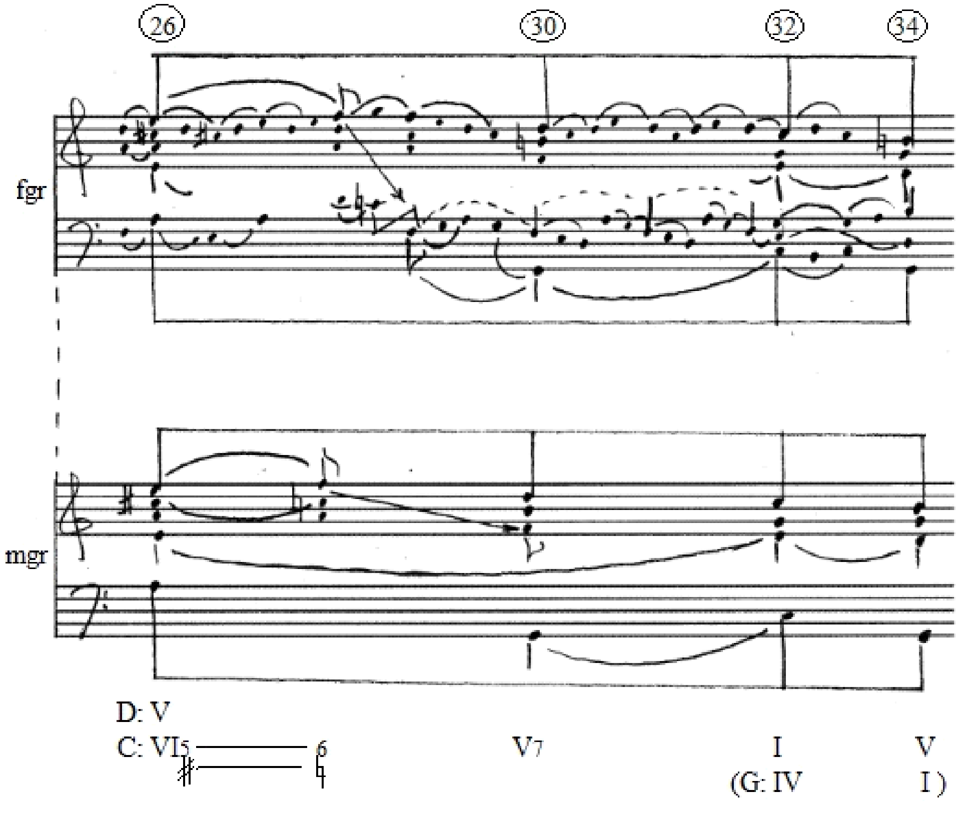
[288] Interestingly, Loftis mentions that, in this movement, “the final cadence varies [from the preceding ones] to provide conclusiveness” (1980, 61). He does not expound on this statement, and it is not at all clear what he means by conclusiveness, given the highly ambiguous status of this cadence and the lack of a single tonic.

A harmony proceeds to D minor, which however does not receive any substantial composing-out and quickly moves on to an F triad, slightly tonicized (V–I in F). As in the previous strophes, the upper voice has a neighboring F5, soon abandoned. The following harmony, rooted on G, which supports the tone D in the upper voice, might have claimed a deep-level status (it is very prominent on the surface and occupies five half notes) if it were not for the seventh, F. At the background level of the strophe, therefore, the dissonant G^7 chord is the upper fifth of C, which is followed by the final G triad.[289]

Example 5.12. Strophe 4, voice-leading graph (foreground and middleground)



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[289] The background level of this strophe contains parallel fifths. A similar case of parallels, though in a different harmonization, is also found in the background of movement 12 (see Chapter 4). Parallel fifths sometimes occur in deep levels of analyses in Schenker's work; see, for example, his treatment of the middleground level in Chopin's Etude in C Minor, op. 10, No. 12, in *Five Graphic Music Analyses* (Schenker 1969 [1932]).

The background progression, therefore, contains three harmonies—A, C, and G, all of them major, with the addition of C major's upper fifth, G (V^7, m. 30). These verticalities harmonize the quasi-fourth-progression E5–B4 in the upper voice. The logic of prolongation and of linear progression is virtually eliminated here; the stepwise fourth-line in the top voice may be considered the only source of unity. Thinking proto-harmonically, the background level of this strophe exhibits the partial proto-harmony complex G–A–C, while the foreground completes the proto-harmony complex by adding D minor, m. 28.

One can compare this situation with Example 3.19, also tonally decentralized and also defying normal prolongational analysis. In both cases, the upper voice is the source of large-scale continuity, while the harmonies simply follow each other in time, rather than serving as the composing-out of a unifying harmony. The same principle is found in other specimens of church music. Instances include the tone harmonizations in Examples 3.13 and 3.14, which also display a continuous soprano (in these cases, the chant) that carries the unifying function, while harmonic motion is much less unified. Undoubtedly, the hymn "Priidite" inherits the technique of harmonic and tonal decentralization from these and other anonymous liturgical examples.

The analysis in Example 5.12 contradicts some fundamental laws of Schenkerian analysis, as I have demonstrated. This raises the question whether another interpretation could work better with respect to the established analytical technique or to the piece. The answer is that, while multiple analyses are possible, each contradicts either the tenets of the theory or the musical behavior of the strophe. One such possible interpretation would posit four different proto-harmony members for the four different notes of the melodic fourth-line E–D–C–B: the triads A–d–C–G. This structure accords with the proto-harmonic principle (with the exception of the A major chord, discussed earlier), but it is not a well-formed voice-leading analysis. While three different background chords might already seem too much for a Schenkerian background, four chords are practically inconceivable. Another possibility is to replace the background partial proto-harmony complex A–C–G, found in Example 5.12, with another one, d–C–G. This would turn the initial A major into a subservient chord, while the next one, D minor, would be the first background harmony; the rest of the graph would remain the same. Two major problems arise here: first, the graph would involve a linear progression F–E–D in the alto, which suggests a dissonant G chord at the background level (G^7, since F is part of the chord).[290] Second, the beginning would be inconsistent with the preceding strophes, while on the surface the opening is the same as before.[291]

Finally, one might suggest that, just as in the preceding strophes, the C harmony can be heard as part of the initial A major. While this would be consistent with the earlier events of the movement, I would argue that this time the situation is different. First of all, A major does not return. Second (a consequence of the first point), the descending stepwise line in the upper voice does not unfold an A triad, as it did in the previous strophes. Third, although theoretically the root C is a chromatically inflected tone of the A major harmony, the permanent switch to the natural system virtually cancels the control of A major and makes it, so to speak, an event of the past. Finally, given the common proto-harmonic membership of the three harmonies, A, C, and G, placing them structurally on a par with each other, without any further levels of subordination, makes sense. To be sure, in "normal" Schenkerian analysis, such evidence would not be accepted as support for any analytical decision. And yet, in the absence of traditional linear progressions, an *Ursatz* structure, or a clear tonic, I believe that proto-harmonic considerations are more analytically compelling than they would be in a more traditionally tonal situation. Clearly, Example 5.12 is not a legitimate Schenkerian graph. But Schenkerian theory was not developed for the style of this hymn in the first place. The set of chords used in the movement and the obviously non-monotonal structure strongly suggest that the hymn relies on the laws of pre-tonal Slavic music, laws that Miasoedov calls proto-harmony, and not on the laws of tonality, on which Schenker based his approach. Given the explicit reference to ancient Russian music by way of the hymn's tonal openness, the structural equality within a proto-harmony complex overrides the prolongational principle. Therefore, in my graph I admit certain adjustments of Schenkerian analysis in favor of the idea of equality, inherent in proto-harmony.

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[290] In itself, a dissonant prolongation is conceivable (see the discussion of a prolonged V^7 in the previous chapter, p. 151), but as the final harmony of a movement such an event seems impossible, especially given that the actual last chord in the score, m. 34, is a consonant triad on G.

[291] On the other hand, the analysis with d–C–G as the background would better reflect tonal functional preferences, because the tonic D minor would prevail over its dominant, A major. But in Schenkerian theory this argument is inadequate; a functional tonic need not be the superordinate chord in a given passage.

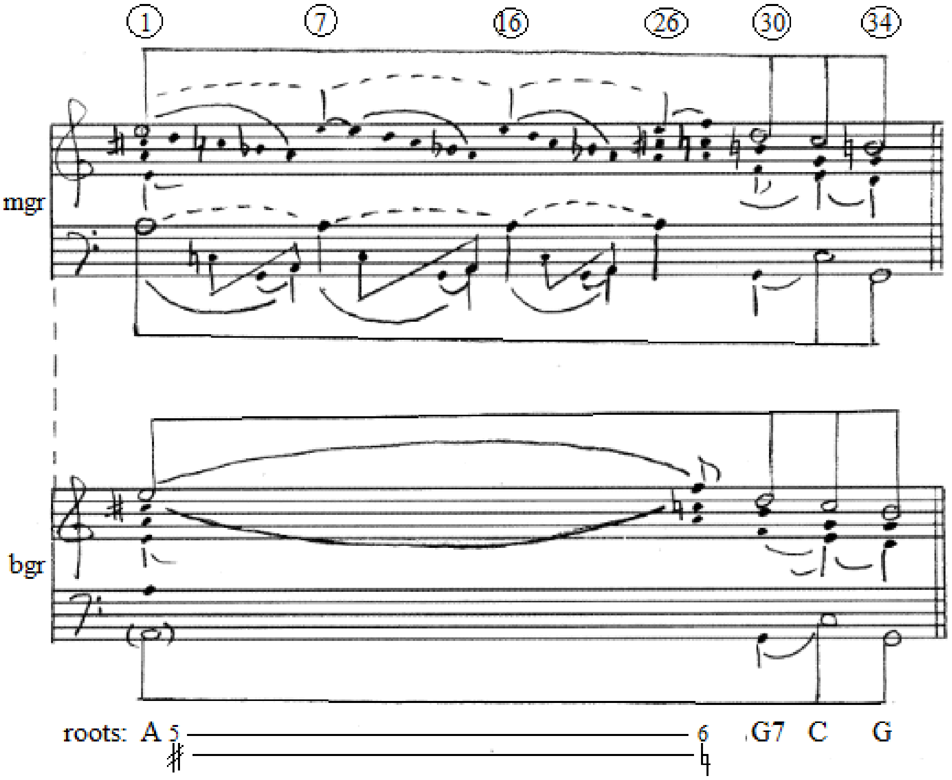
The last strophe of "Priidite" is quite normal with respect to proto-harmony, unusual and somewhat ambiguous in terms of tonal centers and functions, and almost inconceivable from the Schenkerian standpoint. If we now take a look at strophe 4 as part of the movement's global form, we see that, at the end, Rachmaninoff departs rather unexpectedly from both the norms of tonality (at least monotonality) and the established course of the previous strophes. Even if we can hear the final chord as I of G major or as a proto-harmony member and thus as a stable harmony, the effect of unexpectedness still remains. The first movement thus produces a certain sense of indefiniteness; its close is perhaps the most idiosyncratic and unstable of all in the Vigil. Rhetorically, while the hymn begins as a powerful call for worship in a *forte* dynamic, at the end it draws back and closes, in *pianissimo*, with a gesture resembling a bow.

The Background Level

A non-monotonal movement that consists of four strophes, none of which conforms to traditional procedures of tonal music, is unlikely to produce an *Ursatz* at the global level. Indeed, the background level offered in Example 5.13 defies any familiar type of fundamental structure, just as the deepest level of every strophe does. Since the opening of the last strophe is equivalent to the preceding opening phrases, the first three strophes and the beginning of the fourth lack any background motion, because they compose out a single harmony, A, and a single tone E in the soprano. True motion, therefore, occurs only in the last strophe. Consequently, the background structure of the movement is equivalent to that of strophe 4, only with a disproportionally (in comparison to other harmonies) expanded first chord, which occupies no fewer than 27 measures. The rest of the harmonies occupy the remaining seven measures.

Example 5.13 shows the “false” fundamental line E–D–C–B, harmonized with A (–G^7)–C–G. The first of these harmonies is thoroughly composed out, including three real linear progressions in the first three strophes. The following harmonies receive much less elaboration. As in every section of the work, especially the last one, the background structure is unified primarily by the stepwise continuity of the upper voice. If proto-harmony may serve as support for a graph of this kind, the background is also unified by the common proto-harmonic membership of the harmonies. Large-scale harmonic prolongation, however, is absent at this level. In addition, the background level effects more modal contradictions. While before, the linear dimension with C and B flat conflicted with the A-major vertical chords at the outer points of every strophe, now the final B natural conflicts with those internal B flats. By virtue of being the last note, B natural wins at the background level.

Example 5.13. Movement 1, voice-leading graph (middleground and background)



Looking at the overall structure on the bottom staff of Example 5.13, one might wonder if the sheer amount of music prolonging A in strophes 1–3 could mean that these strophes, with their A–C–A background progression, *are* the main structure of the movement. In this case, the final strophe would represent a subordinate event, something like a structural tail, quite literally a *coda*. (Such a reading would accord with Kholopov's and Miasoedov's idea of ending outside the main center, that center being A.[292]) This reading, however, would involve a serious problem: it would display no upper-voice descent and no tonal motion at the deepest level. The entire structure would have a single deep-level soprano note, E, elaborated by three descending fifth-progressions that represent motions into an inner voice. This is true because m. 26 brings a *return of the opening phrase*, and therefore a return of the primary tone E. This return tells us that the previous cadence, m. 25, has not yet brought the structural upper voice to its final destination; this return also makes strophe 4 sound very much unlike a coda, but rather an integral part of the structure. Therefore the "real" background motion of the movement occurs *after* the cadence in m. 25, not before it. In spite of all the unique features of this "background," the fact that the longer, earlier part of the hymn composes out a single chord and only then moves on to other deep-level harmonies corresponds to a great multitude of tonal pieces.[293] In this respect, "Priidite" is not exceptional.

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[292] Such an ending outside the main tonic has been discussed in the literature. An example is Schenker's reading of Chopin's Mazurka op. 30, No. 2, of which Schenker, in *Free Composition*, says that it is somehow incomplete because it does not end on the tonic and features no complete fundamental line. See Schenker 1979 [1935], ex. 152/7.

Therefore, just as in the last strophe, at the global background level of the movement prolongational logic virtually disappears. Especially important from this viewpoint is the irreducibility of the earlier events to the final cadential harmony, G, a point in the form that normally represents the highest-level harmony, the origin and goal of all the prolongations in a piece. In either Schenkerian or functional terms, the hymn does not offer a single interpretive possibility that would not contravene the tradition of regarding a work's ending as defining its mode or key. This tonally indefinite ending directly relates to what Russian theorists call weakened centricity, mutability of center, or modality (specifically in Kholopov's sense of an attenuated center). Of course, as is well known, a prolonged harmony is not theoretically equivalent to a tonal center, whether actually present in the music or implied. But in this hymn, the lack of a single tonic, or at least a harmony that would structurally prevail over others directly, produces the impossibility of finding a Schenkerian fundamental structure either for the whole movement or for individual strophes.

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[293] Among the many examples of background motion that takes place toward the end of a piece, see Schenker's analysis of Chopin's Etude in E Major, op. 10, No. 3, in *Free Composition*. There, within the 78-measure form, the background motion from I o IV and ultimately to V happens in mm. 68–71, whereas all the preceding music prolongs I. (Schenker 1979 [1935], fig. 153, 1.)

I have offered an analysis of this remarkable hymn from four perspectives: pure melody, keys and tonal functions, proto-harmony, and Schenkerian analysis. In a sense, all these perspectives tell us the same thing about the structure: they all show that the movement is not controlled by any single center, whether a pitch center or a central harmony. Since the hymn offers not even a modified or truncated *Ursatz*, and since in functional terms no unambiguous preference for a single tonic may be found, the movement is practically non-tonal. Even though at local levels most progressions sound tonally familiar, the global level pointedly departs from the traditions of tonal closure.

Within the *Vigil*, the hymn is almost exceptional. Only one other movement contains a similar tonal structure where the first and last chords are different (D minor and G major)—movement 14, *Voskres iz Groba* (Thou didst rise). There, the tonic is also ambiguous, for the composer emphasizes d, G, and C at different points in time. Just as in "Priidite," the three chords are proto-harmonically related, and the center wavers between them if only thanks to the opening and ending on different harmonies. This situation, however, is simpler than in "Priidite": movement 14 lacks the recurring leading-tone tonicizations of certain chords (specifically D minor) that movement 1 offers. The resulting effect in *Voskres* is that of "wandering" between various chords within the natural system, as opposed to fluctuation between different *keys* that occurs in movement 1.[294] Both movements are mutable, but in different ways: movement 1 has more levels of fluctuation and more chromaticism, whereas movement 14 creates a decentralized structure in an essentially diatonic context. If one applies Kholopov's classification of mutability

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[294] Movement 14 does contain a few local tonicizations, such as that of D minor, in mm. 15–17, but they do not affect the deep level of the tonal structure and they do not recur.

(see Example 2.13) to these two hymns, one should describe movement 1 as tonally mutable, because it oscillates between different keys, and movement 14 as modally mutable, because the near-absence of leading-tone tonicizations virtually removes a sense of key in a traditional sense.

In all other movements of the Vigil, even in those that have multiple or ambiguous tonics, the multiplicity or ambiguity results from relative mutability. In other words, there are never more than two potential tonics, and these two are each other's relatives. "Priidite" offers not only a different mutable relationship—that of a major second—but goes further by suggesting, in different ways, a centrality of no fewer than four harmonies: C and d (tonics in a conventional tonal sense), A (emphasized throughout at least three strophes with true Schenkerian prolongation), and G (the final cadential harmony). The number of centers also outnumbers that in movement 14. Out of a stylistic and theoretical context, such a variety of centers in "Priidite" may seem simply exceptional, a compositional experiment that has few analogies in Rachmaninoff's music. The stylistic context (Russian church repertoire of the composer's time) and the theoretical context (Russian theories of mutability, especially Miasoedov's theory of proto-harmony) help us to understand where this experiment comes from. Its unique structure originates in the ancient diatonic roots of Slavic music, where a harmonic or pitch center shifts or is even nearly absent. Rachmaninoff's movement, indeed experimental, instantiates an attempt to revive these roots in the syntactical and, to some extent, voice-leading context inherited from the Western common practice.

CHAPTER 6
Relative Mutability and the Problem of Closure: Movement 2

Tonal duality can manifest itself in a variety of ways. It can take the form of two extended musical passages in different keys successively (as in movement 12). It can also involve fluctuation between two keys within the confines of a smaller passage (a situation typical of the common church practice). Finally, it can produce a sense of tonal indecision, a fusion of two keys into a single system of diatonically related chords. This kind of tonal decentralization corresponds to Kholopov's last type of tonal mutability (see Example 2.13, bottom of the right column).

Just such a situation takes place in movement 2 of the *Vigil*, "Blagoslovi, dushe moia, Gospoda" (Bless the Lord, oh my soul). In this hymn, Rachmaninoff practically erases the boundary between C major and A minor by fusing them into one diatonic system, with almost no use of accidentals at all.[295] The hymn creates an effect of a gentle flow that bypasses points of potentially strong gravity.[296] And yet, even though harmonic statements that would allow one to discern a clear tonic are avoided, the listener is likely to perceive this decentralization as based on relative mutability. Subtle cues show that this structure originates from a fusion of C and a, not from any other pair of centers. These cues are primarily formal: while the composer uses a variety of harmonies within the movement, he concludes every phrase with an A-minor triad, a C-major triad (most often in inversion), or a dyad that can belong to either of these two keys.

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[295] The only place where accidentals appear is the beginning of the last strophe, m. 38. I address this unexpected chromaticism later in this chapter.

[296] This effect is similar to that at the beginning of movements 7 and 12. In both of these, however, stronger gravity to a tonic soon follows the decentralized passage, whereas in movement 2, an unambiguous tonic arrives only at the very end, in the last strophe. By avoiding points pf gravity, I do not mean avoiding the tonic chords of C major and A minor. According to Kholopov, tonic and gravitation toward it are two different categories (see, for example, his discussion of "states of tonality"; Kholopov 1988, 383–99).

Beginnings also play a certain role in the articulation of tonal centers, especially the opening measures of the hymn.

Accordingly, in this chapter I concentrate on the role of formal divisions, especially cadences, in creating the movement’s tonal structure. Giving the listener subtle tonal cues, the cadences both define the mode in a general sense (the relative-mutable mode) and give it the greatest possible degree of decentralization. The decentralizing effect is achieved through the avoidance of established cadential patterns and through a general evasion of closure. First I examine the formal placement, hierarchical relationships, and harmonic content of cadences. I then offer detailed analysis of selected strophes to show how almost every moment of the music allows for different tonal interpretations, illustrated by alternative Schenkerian graphs of the same passages. In this tonal multiplicity, cadences play a crucial role: by articulating the relative centers C and a in unconventional ways, they create genuine tonal ambiguity.

With respect to the analytical outlook, I show that, thanks to the attenuated cadences, the Schenkerian technique is less effective in “Blagoslovi” than in some other movements I have examined. The level of the individual strophe encourages multiple interpretive possibilities, which loosen the definitiveness of Schenkerian analysis. At the highest level—that of the entire piece—standard linear analysis proves even less satisfactory because the final strophe, where the listener expects a stronger cadence to finish the movement, provides extremely weak closure. Notwithstanding several internal cadences, the concluding strophe offers a picture of the gradual attainment of a C-major tonic. Thus, whereas individual strophes give a tentative possibility for hierarchization (based to some extent on texture and the organization of text), the collective body of all strophes together calls the idea of global hierarchy into question. Therefore, cadential weakness affects two aspects of tonal structure: the clarity of centers at lower levels, and structural hierarchy at the global level.

The chant and the form

The text of movement 2 is an extract from Psalm 103 (104 according to Western numbering), from which only certain phrases are traditionally used at this point of the Vigil service.[297] In Rachmaninoff's setting, each of these textual phrases corresponds to a musical phrase, with a caesura at the end. The text glorifies God as the Creator of the universe and the beauty of nature, a sentiment the composer chooses to represent in a meditative way, as a kind of quiet trance, to which the weakness of tonal gravity greatly contributes. "Blagoslovi" is the first movement in the work that uses chant, a melody from the so-called Greek tradition of the Russian chant repertoire.[298] Example 6.1 presents the portion of the chant melody that serves as a basis for Rachmaninoff's movement.[299]

Even a brief comparison of this chant melody with some others used in the *Vigil* reveals a considerably higher level of complexity in the present case. The melody is quite elaborate in its range, motivic structure, and the relationships of pitch centers. The range is a minor seventh, B3 to A4, a rather wide interval for this style. (Compare the chant in movement 12, Example 4.2, which is confined to a perfect fourth.) The lowest pitch, B3, however, is less structural than other notes, since it occurs only occasionally as a lower neighbor to C, mostly in cadences (for example, the cadence of strophe 3 before the refrain). The highest pitch, A4, also does not occur

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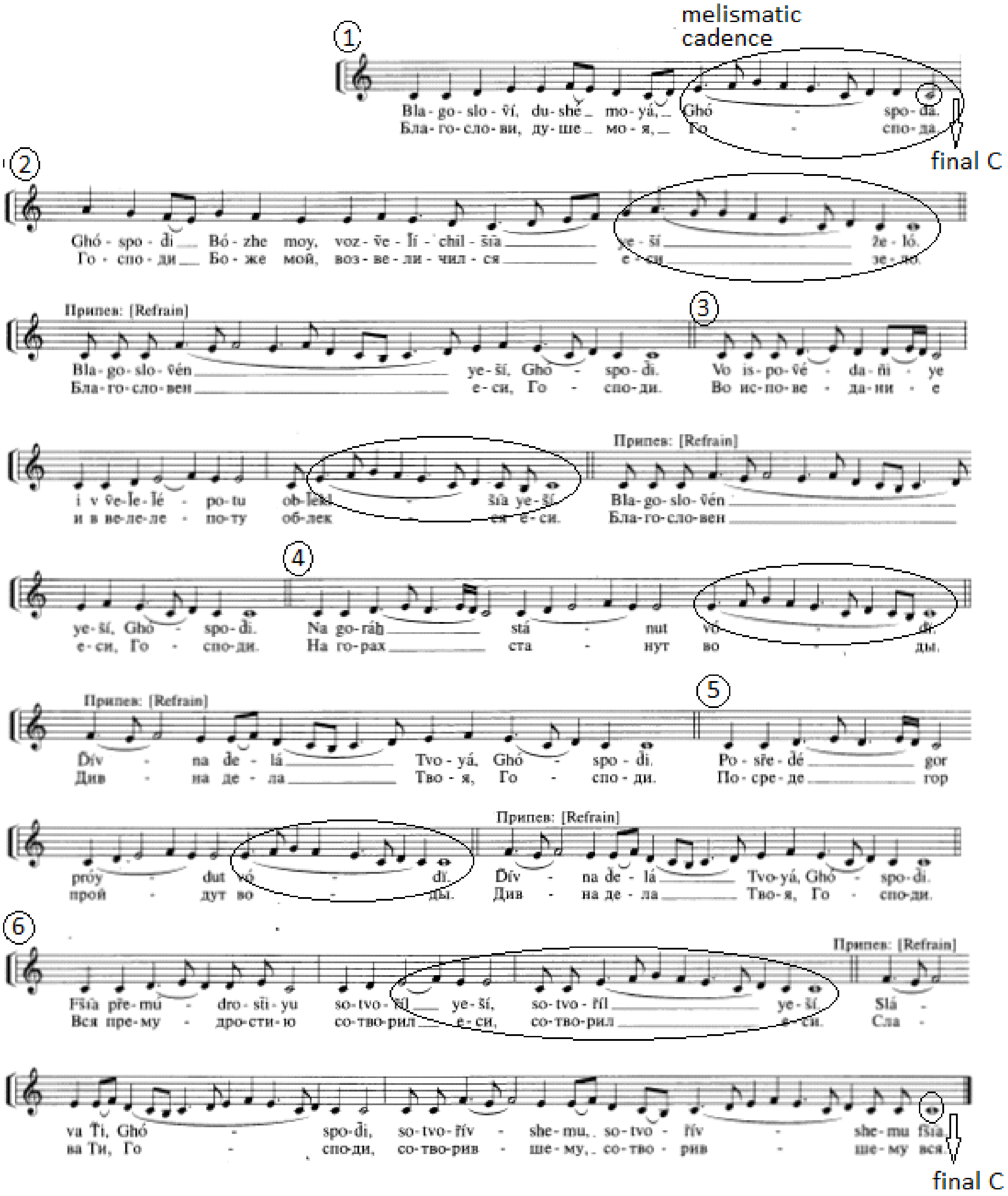
[297] This selective use of verses from Psalm 103 is the tradition in parish churches, as opposed to monasteries, where the psalm appears completely at this point..

[298] I remind the reader that the Greek chant does *not* mean that these melodies actually originated in Greece. See Chapter 1 for the origin of the Kievan and other chant tradition.

[299] Morosan, in his 1992 edition of the *Vigil*, gives a more complete version of the chant, taken from an Obikhod collection (p. vii). Rachmaninoff omits the second phrase of that complete version.

Example 6.1. “Greek” chant melody used in movement 2, “Blagoslovi” (from Morosan and Ruggieri 1992, 113). The example provides strophe numbers and shows the melismatic cadence (circled) of each strophe


①
melismatic cadence
Bla - go - slo - v̂í, du - she _ mo - yá, _ Ghó - spo - da.
Бла - го - сло - ви, ду - ше _ мо - я, _ Го - спо - да.
final C
②
Ghó - spo - d̂i _ Bó - zhe moy, voz - v̂e - l̂í - chil - šía _ ye - ší _ že - ló.
Го - спо - ди _ Бо - же мой, воз - ве - ли - чил - ся _ е - си _ зе - ло.
Припев: [Refrain]
Bla - go - slo - v̂én _ ye - ší, Ghó - spo - d̂i.
Бла - го - сло - вен _ е - си, Го - спо - ди.
③
Vo is - po - v̂é - da - ñi - ye
Во ис - по - ве - да - ни - е
i v v̂e - l̂e - l̂é - po - tu ob - l̂ek - šía ye - ší.
и в ве - ле - ле - по - ту об - лек - ся е - си.
Припев: [Refrain]
Bla - go - slo - v̂én _ ye - ší, Ghó - spo - d̂i.
Бла - го - сло - вен _ е - си, Го - спо - ди.
④
Na go - ráh _ stá - nut vó - d̂i.
На го - рах _ ста - нут во - ды.
Припев: [Refrain]
D̂ív - na d̂e - lá _ Tvo - yá, Ghó - spo - d̂i.
Див - на де - ла _ Тво - я, Го - спо - ди.
⑤
Po - s̑re - d̂é _ gor próy - dut vó - d̂i.
По - сре - де _ гор прой - дут во - ды.
Припев: [Refrain]
D̂ív - na d̂e - lá _ Tvo - yá, Ghó - spo - d̂i.
Див - на де - ла _ Тво - я, Го - спо - ди.
⑥
F̂šía p̂re - mu - dro - s̑t̂i - yu so - tvo - ríl _ ye - ší, so - tvo - ríl _ ye - ší.
Вся пре - му - дро - сти - ю со - тво - рил _ е - си, со - тво - рил _ е - си.
Припев: [Refrain]
Slá - va T̂i, Ghó - spo - d̂i, so - tvo - r̂ív - she - mu, so - tvo - r̂ív - she - mu f̂šía.
Сла - ва Ти, Го - спо - ди, со - тво - рив - ше - му, со - тво - рив - ше - му вся.
final C

often; the only place it appears is strophe 2, which receives a unique character due to the emphatic A at the opening. Apart from this strophe, all others begin on C; all the endings invariably articulate C. Therefore, the main range of tones encompasses the perfect fifth C4–G4 with C as the final, strongly suggesting an authentic C Ionian mode with an incomplete ambitus.

The form of the chant is also quite elaborate. Each of the six strophes consists of two halves, which I will call verse and refrain respectively.[300] All strophes except strophe 2 (the only one that begins with A) are very similar; in fact, one may hear them as variants of a single underlying prototype, each variant depending on the specific structure of the textual phrase. The verses, though different in length, all begin with stepwise motion and syllabic articulation of the text; they end with a melisma. This melismatic cadence, circled in the example, is little altered between different strophes; an upper neighbor A4 is added in strophe 2, a lower neighbor B3 in strophe 4. The refrains, which are limited to a narrower range (F is the highest pitch), also offer few variations, related mainly to the number of syllables in a phrase and to the optional neighboring note B at the end. It seems that this detail might indeed have been optional in performance of the chant. In the last strophe, the refrain is given twice consecutively.

Within the generally Ionian structure of the melody, points of melodic stability shift between the musical sections. While consistently gravitating to the final C at the large level, the chant exhibits several weaker centers that conflict with each other at times. The verses revolve mostly around E, and the melismatic cadences add a slight emphasis to G. The refrain begins with a long, accented F (if the first word begins with an accented syllable, as in strophe 4) or with an upward leap from C to F, the largest leap in the chant (if the word’s first syllable is unaccented). In both cases, the pitch F is greatly emphasized and almost rivals E, which is also constantly present. Thus the tones E, F, and G all take on centric roles at different points in the melody.

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[300] The term *refrain* is used in Morosan’s 1992 edition. Both musically and textually, the term is not absolutely exact, for the text of the refrain sometimes varies, and so does the harmonization of the chant refrain. The term *verse* appears well suited for the first half of each strophe, because the text here is indeed a verse—i.e., a textual line—from the psalm.

Rachmaninoff's use of this chant is straightforward. He sets the entire melody in the natural system and never uses transposition except by octave. He sets the musical and textual phrases in relief, to be effortlessly heard by the listener. He minimizes textural activity in the verses, so that the voices below the chant truly sound as an accompaniment, not as a counterpoint to the melody. In the refrain, although more polyphonic activity takes place, the chant is always clearly heard nonetheless. And most importantly, the composer strictly follows the chant's strophic form, consistently highlighting the boundaries between the verse and the refrain by means of registral changes.

Example 6.2 presents a scheme of the form, while Example 6.3 presents a piano reduction of the movement. The six strophes are presented linearly in Example 6.2; the lower lines show the choral scoring and chant placement. The scheme shows that Rachmaninoff is almost pedantically consistent here. All the verses are given to a solo alto with the accompaniment of male choral voices.[301] All the refrains are set for the choral female parts and tenors; the chant appears three times in the tenors (strophes 1, 2, and 4) and three times in the sopranos (strophes 3, 5, and 6). The basses fall silent after the first downbeat of each refrain, but they return after the last refrain to create, at the end of the hymn, the only *tutti* passage in the movement.[302] In effect, the form of "Blagoslovi" replicates that of the chant, while adding textural and timbral alternation between the heavier, low-voice verses and the ethereal, high-voice refrains.

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[301] Another movement in which a solo part is used is movement 5, *Nyne otpushchaeshi*, where tenor solo sings a Kievan chant melody; see my earlier discussion of this movement in chapter 1.

[302] The downbeat of every refrain is also given in *tutti*, but these are single moments, not passages of music.

Example 6.2. Movement 2, “Blagoslovi.” Formal structure

Strophes	①		②		③		④		⑤		⑥		
Measure numbers	1		9		16		23		30		37		
Form	Verse	Refrain	Verse	Refrain	Verse	Refrain	Verse	Refrain	Verse	Refrain	Verse	Refrain	Refrain
Chant placement	Alto solo	Tenors	Alto solo	Tenors	Alto solo	Sopranos	Alto solo	Tenors	Alto solo	Sopranos	Alto solo	Sopranos	________
Scoring (choral voices only)	T B	S A T	T B	S A T	T B	S A T	T B	S A T	T B	S A	T B	S A T	S A T

The status of the initial Amen, mm. 1–2, corresponds to the status of the same word in movement 1. Just as there, in the present case the opening measure may or may not be performed, and it may or may not be considered part of the musical structure. Morosan (1996, v) states that, this time, one should not perform the Amen because the exclamation that precedes it in an actual service does not appear. The decision on whether to perform these two measures, therefore, depends on whether the non-musical parts of the service are performed. I prefer not to consider it a genuine part of the form because, just as in the previous movement, the word Amen is a semantic ending, not a beginning.

It is perhaps to counteract the regularity and predictability of the form that the composer uses such a remarkable variety and ambiguity of harmony in this movement. Capitalizing on the strict diatonicism of the melody and, with the exception of m. 38, of harmony, the movement creates a sense of elusiveness from any potential tonic, except at the very end. This elusiveness stems from two principal sources: primarily, the idiosyncratic and tonally ambiguous cadential progressions; and secondarily, the internal harmonic and voice-leading content of the strophes, which suggests gravitation to both centers successively or even simultaneously.

The structure and tonal meaning of cadences

In this section, I show that the movement's cadences, defined primarily by formal and textual boundaries, project a relative-mutable tonal structure by articulating the relative centers C and a. Even though the specific meaning of each of these chords may be ambiguous, the very presence of these two harmonies at moments of cadential arrival signal the relative-mutable mode, though in a form more loosely organized than in a piece where relative centers simply alternate. In order to determine where the cadences are found, I first engage the metrical and phrase structures of the movement.

How does one find cadences in a piece of tonal music? William Caplin, in his article on the Classical cadence (2004), presents certain criteria: "Cadence effects formal closure at a limited number of levels" and "The harmonic content of the cadence—the *cadential progression*—is highly constrained" (56). Caplin's main message in the article concerns a double nature of the cadence: it is an aspect of form and of harmony at the same time. Neither the typology of cadences nor the identification of cadences should rely on one of these dimensions alone. Even when cadential *content* (i.e., the standard chords of a cadence) is found at a certain moment in a piece, one may ascribe to it a cadential *function* only if this moment serves as the end of a passage that also had a beginning and middle (81–82).

Even though Caplin addresses eighteenth-century repertoire, with its standardized cadences, his definition of cadence is pertinent to most tonal music, insofar as the cadence, regardless of its type, contains an established harmonic progression. There are certain cases, however, when composers intentionally sought to avoid convention, including cadential convention. In these cases, one of Caplin's criteria for cadence identification, whether form or harmony, has to be compromised. Rachmaninoff's movement presents such a case.

Russian church music does offer some typical cadential patterns, of which the 3-IAC is one; and yet, Rachmaninoff seems to avoid Classical phrase endings in "Blagoslovi." First of all, his endings vary considerably, and most of them bear no direct resemblance to the conventional authentic, half, or plagal cadence.[303] One of the cadential patterns the composer uses can be heard as deceptive (V–VI), but only if one hears these passages in C major, which is not always the only option. All the other patterns contain at least one inverted harmony. Second, the composer completely avoids the leading tone G sharp, even though some cadences land on an A-minor harmony. Given these non-Classical cadential progressions, and given the clarity of form provided by the chant, one must compromise Caplin's requirement of specific harmonic content as a criterion for a cadence.

Thus, only one criterion remains—form, itself defined by the structure of the text and of the chant. A cadence must be the end of a phrase, and the end of a phrase must be a cadence. The inherent circularity of this reasoning is greatly mitigated by the pre-existing chant. Since each strophe consists of two phrases—verse and refrain, each a grammatically complete sentence and musically separated from the other—each strophe contains two cadences by definition. I will refer to these as the *verse cadence* and the *refrain cadence*.

In the absence of prescribed harmonic content for a cadence, a question arises: exactly where does a cadence occur? What is the moment of cadential arrival? Although caesuras and changes of register delineate boundaries between the chant phrases in Rachmaninoff's setting, there is never a moment when all the voices are silent. Whereas refrain cadences are rather clear in this respect, in verse cadences the non-chant voices sometimes produce conflicting cues regarding the cadential moment. Consider, for example, the end of the verse in strophe 1 (Example 6.3, mm. 6–7), where the bass leaps from G to C (downbeat of m. 7) in what could very well be an authentic cadence in C major, although the harmonies ($C^{6/4}$ and $F^{6/4}$ respectively) contradict this possibility. Should this progression override the preceding measure, with a G–a progression and a feeling of a deceptive cadence in C major (or possibly a VII–I progression in A minor)?[304]

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[303] Both authentic and plagal cadences can be inferred, at various points in the piece, from the literal content of the musical surface. But none of these cadences are ever directly given at the foreground.

While harmony gives us conflicting or ambiguous signals, another dimension assists us in identifying exact formal boundaries: the metrical and phrase structures. The first strophe provides a cue that defines the beginnings of subsequent strophes: the initial upbeat, three half notes long. The half note is the longest value that is almost never disturbed in the movement; Rachmaninoff provides changing time signatures that are regular at the level of the half note (2/2, 3/2, 4/2).[305] The three-half-note upbeat (notated in m. 3 in the 1992 edition) therefore establishes the dominant metrical pulse—what Lerdahl and Jackendoff call the tactus. At the same time, the upbeat also shows that the phrase begins with a metrically weak event leading up to a downbeat, the first of which falls on m. 4.[306]

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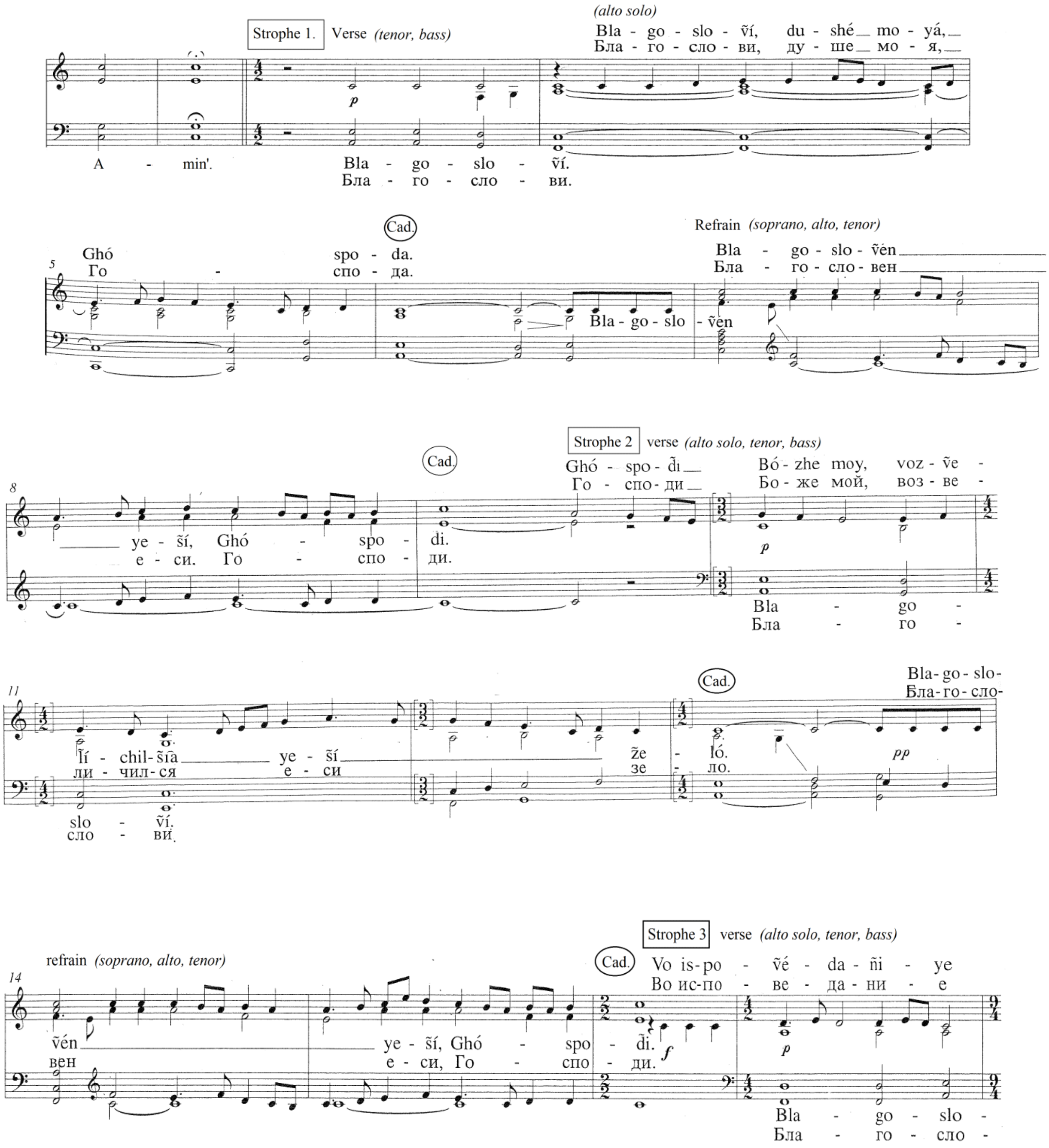
[304] The significance of the deceptive cadence in post-Wagnerian music and in this movement specifically will be explored below.

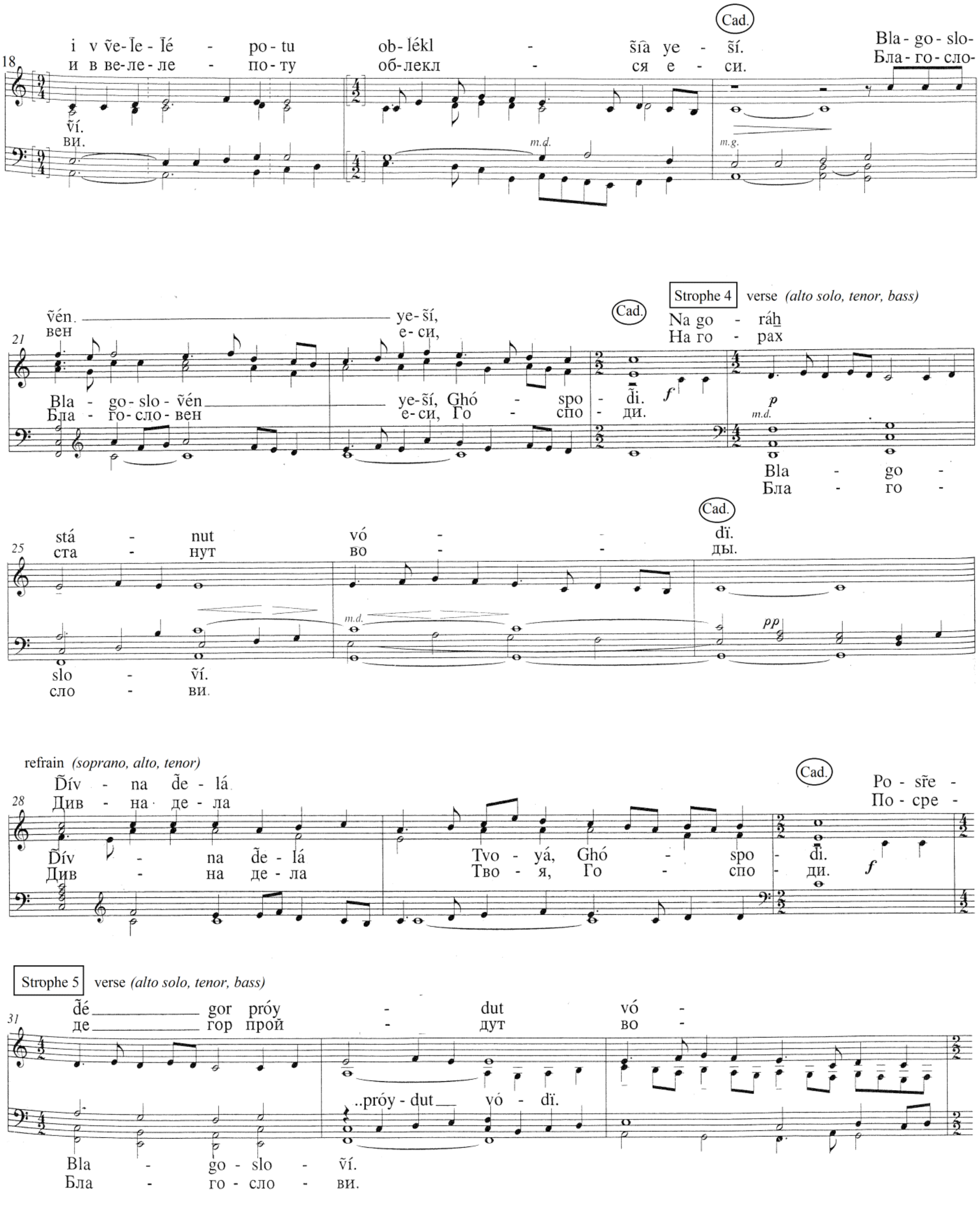
[305] The only exception occurs in m. 18, notated in 9/4, but at the same time provided (in both the first edition from 1915 and Morosan's edition from 1992) with dotted bar lines that show three quarters, four quarters, and two quarters. After this brief metrical disturbance, the regularity of the half-note level resumes. The half note, therefore, can be considered the primary metrical level (Joel Lester's term; see Lester 1986, 50).

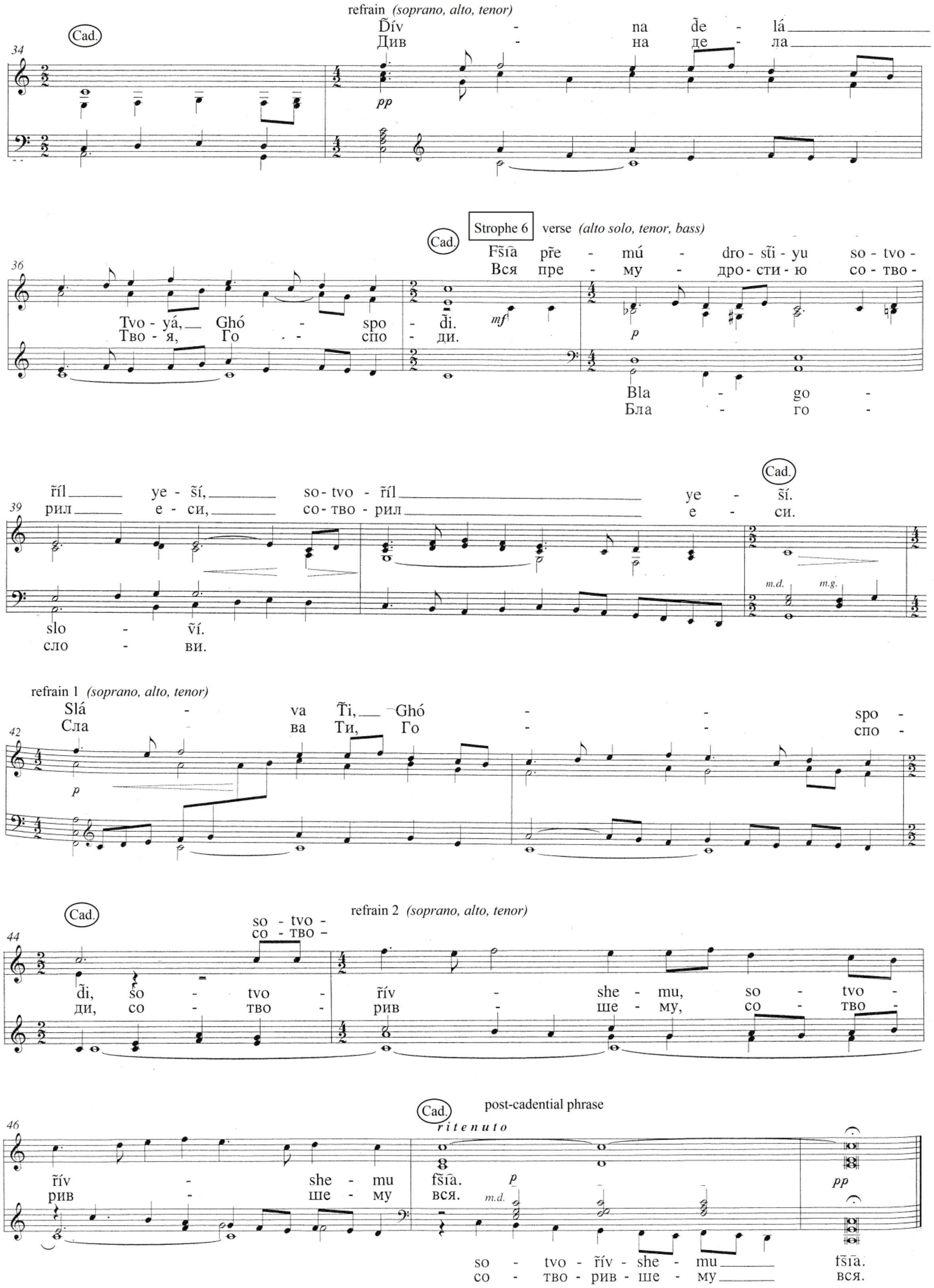
[306] The bar notated as m. 3 is actually given as a complete measure of 4/2. In notation, therefore, the first—silent—downbeat falls on m. 3. In real performative and aural experience, however, such a perception is highly improbable, given that no regular pulse is established before, or, in the case the initial Amen is omitted, no music at all sounds before beat 2 of m. 3.

Example 6.3. Movement 2, piano reduction (from Morosan and Ruggieri, 1992). Analysis includes formal markings (strophes and their internal section—verses and refrains) and cadences, but does not identify cadence types



Strophe 1.
Verse (tenor, bass)
(alto solo)
Bla - go - slo - ṽí, du - shé mo - yá,
Бла - го - сло - ви, ду - ше мо - я,
A - min'.
Bla - go - slo - ṽí.
Бла - го - сло - ви.
Cad.
Refrain (soprano, alto, tenor)
5
Ghó spo - da.
Го спо - да.
Bla - go - slo - ṽen
Бла - го - сло - вен
p
Cad.
Strophe 2
verse (alto solo, tenor, bass)
Ghó - spo - di
Го - спо - ди
Bó - zhe moy, voz - ṽe -
Бо - же мой, воз - ве -
8
ye - ší, Ghó - spo - di.
е - си. Го - спо - ди.
p
Bla - go -
Бла - го -
11
Cad.
Bla - go - slo -
Бла - го - сло -
li - chil - sia ye - ší
ли - чил - ся е - си
že - lo.
зе - ло.
pp
slo - ṽí.
сло - ви.
Strophe 3
verse (alto solo, tenor, bass)
refrain (soprano, alto, tenor)
Cad.
Vo is - po - ṽé - da - ñi - ye
Во ис - по - ве - да - ни - е
14
ṽén ye - ší, Ghó - spo - di.
вен е - си, Го - спо - ди.
f
p
Bla - go - slo -
Бла - го - сло -


18
Cad.
i v ṽe-l̃e-l̃é - po-tu ob-lékl - s̃ı̃a ye - s̃í. Bla-go-slo-
и в ве-ле-ле - по-ту об-лекл - ся е - си. Бла-го-сло-
ṽí.
ви.
m.d.
m.g.
21
ṽén ye-s̃í,
вен е-си,
Cad.
Strophe 4
verse (alto solo, tenor, bass)
Na go - ráh̲
На го - рах
Bla - go-slo-ṽén ye-s̃í, Ghó - spo - d̃i.
Бла - го-сло-вен е-си, Го - спо - ди.
f
p
m.d.
Bla - go -
Бла - го -
25
Cad.
stá - nut vó - - d̃ï.
ста - нут во - - ды.
m.d.
pp
slo - ṽí.
сло - ви.
28
refrain (soprano, alto, tenor)
Cad.
D̃ív - na d̃e-lá Po-s̃r̃e -
Див - на де-ла По-сре -
D̃ív - na d̃e-lá Tvo-yá, Ghó - spo - d̃i.
Див - на де-ла Тво-я, Го - спо - ди.
f
31
Strophe 5
verse (alto solo, tenor, bass)
d̃é gor próy - dut vó -
де гор прой - дут во -
..próy-dut vó - d̃ï.
Bla - go-slo - ṽí.
Бла - го-сло - ви.


refrain (soprano, alto, tenor)
Cad.
34
D͠ív - na d͠e - lá
Див - на де - ла
pp
Strophe 6
verse (alto solo, tenor, bass)
Cad.
36
Tvo - yá, Ghó - spo - d͠i.
Тво - я, Го - спо - ди.
mf
F͠sʲa pr͠e - mú - dro - s͠ti - yu so - tvo -
Вся пре - му - дро - сти - ю со - тво -
p
Bla - go -
Бла - го -
39
r͠íl ye - s͠í, so - tvo - r͠íl ye - s͠í.
рил е - си, со - тво - рил е - си.
Cad.
slo - v͠í.
сло - ви.
m.d.
m.g.
refrain 1 (soprano, alto, tenor)
42
Slá - va T͠i, Ghó - spo -
Сла - ва Ти, Го - спо -
p
Cad.
refrain 2 (soprano, alto, tenor)
44
so - tvo -
со - тво -
d͠i, so - tvo - r͠ív - she - mu, so - tvo -
ди, со - тво - рив - ше - му, со - тво -
46
Cad.
post-cadential phrase
ritenuto
r͠ív - she - mu f͠sʲa.
рив - ше - му вся.
p
m.d.
pp
so - tvo - r͠ív - she - mu f͠sʲa.
со - тво - рив - ше - му вся.

According to Lerdahl and Jackendoff's GPR (Grouping Preference Rule) 6, the parallelism rule, one might expect subsequent phrases to begin with the same upbeat.[307] Rachmaninoff does not fulfill this expectation consistently. At the beginnings of verses, he often reduces the upbeat to a single half note (for instance, at the beginning of strophe 4, mm. 23–24) or three quarter notes (mm. 16–17).[308] At the beginnings of refrains, on the surface the upbeats differ from one strophe to another. In mm. 6–7, for instance, the upbeat to the refrain seems to be the half-note G in the bass, corresponding to the three eighths (and an eighth rest) in the tenor's chant phrase. The same situation happens every time the refrain begins with the word *blagoslovi* (refrains 2 and 3). Beneath the surface variations of rhythm, however, the three-half-note upbeat can always be understood, except for instances in which the number of beats in the measure is reduced. In the first refrain, GPR 6 suggests that the phrase beginning should include the last three half notes of m. 6, even though the first of these contains no attack; following GPR 6, I include the last two and even, perhaps, the last three half-note beats as part of the refrain, not part of the verse.[309] The same considerations apply to m. 13. A similar situation occurs in the second verse, where the chant includes two half-note beats before the downbeat of m. 10, but parallelism with verse 1 suggests a three-half-note upbeat with no attack on the first one. In refrain beginnings in m. 20 and m. 27, the second half note in the 4/2 measure does contain an attack; thus the three-half-note upbeat is fully realized.

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[307] GPR 6 (parallelism) reads: "Where two or more segments of the music can be construed as parallel, they preferably form parallel parts of groups" (Lerdahl and Jackendoff 1983, 51).

[308] The three-quarter-note upbeat should be seen as a rhythmic variant of the half-note upbeat, because the extra quarter note in m. 16 is created by an extra syllable "vo" in *vo ispovedanie*.

[309] The absent attack on beat 2 of m. 6, in what can potentially be a three-half-note upbeat, creates a sense of intensification: beat 2 is a potential part of the upbeat (based on GPR 6) but has no attack; beat 3 has an attack in the inner voices; on beat 4, the bass and the chant voice (tenor) create what can be heard as a single-half-note upbeat. Although Lerdahl and Jackendoff do not speak of intensification in the realm of meter, the effect of refrain openings such as m. 6 can serve as a concrete realization of another metrical notion, that of Victor Zuckerkandl (1956, 166–70ff.), who conceived of meter as a wave of motion intensifying toward a downbeat.

The rhythmic variety of text and music notwithstanding, one can even infer an upbeat, suggested by grouping parallelism, in instances where the chant phrase begins on the downbeat. This happens in m. 34 (refrain 5), where the measure is reduced to two beats. One can hear the upbeat to m. 35 as either three quarter notes (based on the inner voices) or a single quarter note in the bass. Of course, the irregularity of meter at levels above the half note and the changing rhythm based on the text may obscure the grouping parallelism. But, upon a close comparison of the strophes, one can hear the parallel grouping structure of phrase beginnings, although in a somewhat abstract sense: every group (and textual phrase) begins with an upbeat of varying length, expressed in different textural layers.[310] The idea that musical phrases, both verses and refrains, begin with an upbeat provides a certain definitiveness regarding formal beginnings in this movement.

Beginnings and endings in musical form always depend on each other. In repertoires that employ standard cadential formulas, a cadence, by marking an ending, also shows where the beginning of the following unit is situated. In the context of "Blagoslovi" and its ambiguous cadences, the opposite holds true: the beginnings retrospectively show where the endings are situated. Therefore, in the case of the refrain in strophe 2 mentioned earlier, the downbeat of m. 7 cannot represent a cadential arrival, because the previous 1–3 half notes (and the three eighth notes in the chant) form an upbeat to m. 7 and thus constitute a phrase beginning, not an ending. Consequently, the preceding downbeat of m. 6 assumes a cadential function. The same logic applies to all phrases in the movement, regardless of the length of the upbeat. Significantly, the cadences defined retrospectively by initiating upbeats also coincide with the last syllable of the text in all phrases, falling always on a downbeat before the next phrase begins.

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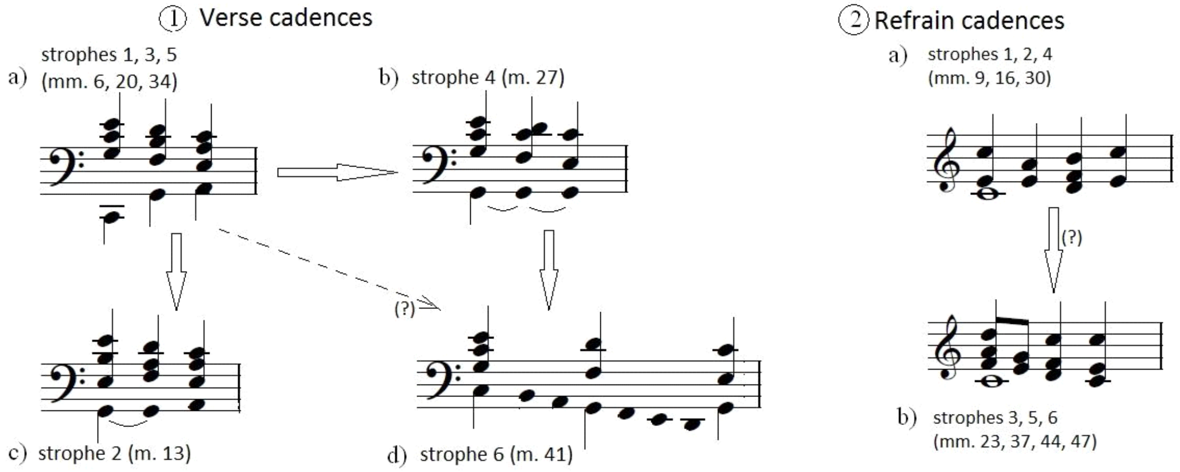
[310] On the difference between meter (and its regularity) and grouping, see Lerdahl and Jackendoff 1983, chapter 2; on their relationship, see also the section on hypermeter (99). On metrical irregularity in some non-Western idioms, one of which Rachmaninoff's movement represents, see the revised MWFRs 3 and 4 (97).

One might argue that, after all, there is such a phenomenon as formal elision. The cadential moment of one phrase may potentially serve as the beginning of the next (a situation frequently found, for example, at the boundary of the main theme and the transition in Classical sonata movements). In the present case, however, elision does not seem very convincing, mostly due to the structure of the text and the chant. The fact that the composer so consistently separates chant phrases both within and between strophes strongly speaks against elision. Since verbal phrases never overlap, the listener is also encouraged to perceive formal units as non-overlapping. The refrain cadences, moreover, never produce even a potential for phrase elision. Measure 9 exemplifies this: when the alto enters with its chant phrase, the other voices take a brief rest, undoubtedly signalling a phrase ending. The formal boundaries between strophes, therefore, are clearly delineated by textural means. In all, I argue that the phrase and metrical structures, as well as the separation of textual phrases, define the placement of cadences at the last syllable of each verbal unit.

Now that I have given a clear picture of formal beginnings and ends, I will discuss the way the cadences are executed in “Blagoslovi.” Example 6.4 presents a chart that lists all the cadential progressions used in the movement. The verse cadences are placed on the left, the refrain cadences on the right. I have reduced the progressions to bare chords, with the voicing and in the register they occupy in the music. Melodic details, such as the passing notes B in the soprano in m. 8, have been omitted. The note A in the same measure, however, remains, for it may have a harmonic meaning if we interpret the cadential dyad C–E as part of an A-minor chord. Measure numbers in the chart refer to the moment of cadential arrival, i.e., the last chord of the phrase.

Example 6.4. Movement 2, the genealogy of cadences



① Verse cadences
a) strophes 1, 3, 5 (mm. 6, 20, 34)
b) strophe 4 (m. 27)
(?)
c) strophe 2 (m. 13)
d) strophe 6 (m. 41)
② Refrain cadences
a) strophes 1, 2, 4 (mm. 9, 16, 30)
(?)
b) strophes 3, 5, 6 (mm. 23, 37, 44, 47)

Relationships between the progressions in the chart reflect the genealogy of cadences within the movement. In the middle of strophe 1, the first cadence in the hymn, Rachmaninoff uses a simple progression of root-position chords, C–G^7–a, a model that underlies the remaining verse cadences (Example 6.4–1a). This progression returns in m. 20 (strophe 3), but the initial C-major chord is withdrawn; instead, there is d^6, a pre-dominant harmony in either C major or A minor.[311] In m. 34 (strophe 5), the same cadence occurs, with the G chord lacking a seventh and a third, and with an anticipatory C in the solo part. In strophe 2, the progression is also modified (Example 6.4–1b, m. 12): e^6 substitutes for C major as support for E in the chant melody; G^7 chord is altered by an anticipatory A in the tenor (substituting for B). In strophe 4 (Example 6.4–1c), the composer further transforms the initial model by replacing the root-position C chord with $C^{6/4}$, which could be heard as a cadential 6/4, were it not for the double pedal G2/C4, sustained throughout the cadence. The progression is ambiguous, suggesting at once a prolongation of $C^{6/4}$ as a consonant chord and an implied fifth-leap to C in the bass at the downbeat (m. 27), a leap that actually happens, delayed, in the next measure (m. 28) below a $F^{6/4}$.[312] Finally, the most elaborate version of the underlying model occurs in the last strophe (Example 6.4–1d, m. 41), where we hear the chords C–$G^{7/sus4}$–d^7–$C^{6/4}$ with passing notes in the bass (almost the opposite of the Classical cadence d^7–$C^{6/4}$–G^7–C). One can trace the genesis of this both to the original cadence in m. 6, in which $C^{6/4}$ substitutes for the final A-minor, and to m. 27, where the quasi-cadential $C^{6/4}$ is replaced by a root-position sonority. The cadences in mm. 27 and 41 also share the $G^{7/4}$ chord, both times with unresolved fourth C.[313]

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[311] I intentionally refrain from stating whether the key is C major or A minor in each case. I discuss this issue in greater detail below.

If the verse cadences are traceable to a single underlying progression, the refrain-cadences are generated from two such models, both of which recur without variation. The right side of the chart in (Examples 6.4–2a and 2b) shows the two models, both of which have a pedal C either in the tenor or the alto. The first progression occurs three times, in strophes 1, 2, and 4. It is a b^o in first inversion resolved to the dyad C–E. This progression can be derived either from an authentic prototype in C or a plagal one in a, both of which Rachmaninoff explores in multiple ways.[314] The second progression contains a D-minor chord unfolded in the inner voices and an anticipatory C in the soprano, before the same C–E dyad. Although the tone B does not participate in this event, one can infer it from the other cadence type and thus consider the second cadence a variant of the first (b^{o6}, or $b^{ø6/5}$, to C^{3}). Alternatively, one can hear the first chord as a real D minor, which will result in a plagal interpretation in both C and a.

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[312] This delayed leap from G to C in the bass is one of the moments that produces a false cadential impression, due to its association with the authentic cadence in tonal music, an impression contradicted (and overridden) by the phrase-structural function of m. 28 as a new beginning.

[313] The non-resolution of the tenor's C3 in m. 40 is especially interesting, since it weakens the sense that the chord with the bass G is a dominant chord with a suspension. This chord, which may be also heard as d^7 without the fifth, resembles a similar sonority in some of the refrain cadences (see Example 6.4–2b).

[314] The progression b^{o6}–$C^{5/3}$ as authentic presupposed the diminished triad functioning as dominant.

The purpose of this list, which gives no Roman numerals and no keys, is to demonstrate both the variety of cadential progressions and their flexibility with respect to potential tonal centers. Indeed, all of the progressions, except those in mm. 27 and 41, can be heard either in A minor or in C major. By avoiding established cadential idioms, Rachmaninoff raises the tonal ambiguity of the cadences, and thus of the whole movement. In most verse cadences (the left-hand side of the chart), the ambiguity concerns chord function: is it a deceptive cadence in C or a VII–I progression in a? In the end-cadences (the right-hand side), the ambiguity concerns chord identity: does the C–E dyad represent a C-major or an A-minor triad? Both types of dual meaning engage the C-major/A-minor dialectic, that is, relative mutability; both depend on what happens before the cadence in each case.

The dyad C–E provides an especially interesting case of dual meaning. One is tempted to compare it to Bailey's double-tonic complex and Straus's tonal axis (see a discussion of these terms in Chapter 2), both of which include four notes combining two relative triads.[315] As such, these double-tonic structures project both tonics simultaneously by way of inclusiveness. Conversely, Rachmaninoff's refrain cadences project the same simultaneity of tonics by way of exclusiveness: the sonority is stripped of all the notes (A and G) that can signal one of the triads and thus deny the other. Thus, only the two common tones remain, the shared tonal seed of the paired keys. In this sense, the refrain cadential arrivals in "Blagoslovi" represent the opposite of the double-tonic complex.

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[315] The same refers, of course, to Yavorsky's tonic of mutable mode 1, but its meaning is different, as I showed in Chapter 2: this tonic does not represent a duality of keys (or modes), but rather a single tonic function that happens to contain four different pitches.

Meanwhile, the verse–cadential arrivals, since they contain complete triads, possess greater tonal-functional force, even though the harmonic content of each phrase will influence how we hear the cadence. An ending harmony, even when it is as unstable as a 6/4 chord, still projects a sense of finality, and thus stability, simply by virtue of being the last event in a formal division. In this more or less simplistic sense, the verse cadences articulate the large-scale duality of tonal centers. Even though in the purely diatonic context one can hear various harmonies as temporarily central (for example, F major sometimes acquires such temporary centrality), the cadential arrivals show that the structure originates from a relative-mutable seed.

Regarding the relationship between the chant and its harmonization, it is crucial to see that Rachmaninoff subverts the stability of the modal final C, so consistent in the chant, and makes this final a source of ambiguity instead. While the melodic tone C, out of harmonic context, means only the tone C (as part of the C Ionian mode; Kholopov's *ustoĭ*, a melodic modal center), its harmonization provides the greatest diversity of meanings imaginable in a relative-mutable context: C-major chords, A-minor chords (with ambiguous functions), and a dyad that can be interpreted in both ways. By creating such elaborate tonal elusiveness, the composer plays on the most stable aspect of the chant—its final.

Harmony and hierarchical relationship within the strophes

I now wish to address the harmony and tonal process of individual strophes in a more detailed way. I do this by analyzing the harmonic content of the strophes in both tonal-functional and Schenkerian terms. In this movement, my goal is to show different analyses, based on different tonal centers, that represent *equally plausible* ways of hearing the same excerpts of music. This pluralistic approach, which may be detrimental in other contexts, here corresponds the almost erased the boundary between relative keys; the multiple analytical versions reflect the multiplicity of our possible perceptions of tonality. By showing different graphs, I do not mean analytical uncertainty, but rather *different certainties*, equally viable in the process of listening.

Prior to a detailed analysis of harmony and keys, I must discuss an aspect of the cadences I have not yet touched upon: their hierarchical relationship within each strophe. Given that the cadences are greatly weakened by the avoidance of established patterns, to speak of a rigid system of structural subordination is somewhat problematic.[316] And yet, for the sake of effective Schenkerian analysis, one has to establish certain hierarchy of cadences at least at a lower level—that of the individual strophe. I am referring to the same logic that posits one cadence in a Classical-period work (normally the last one) more structural than another. Consequently, the question is: which of the two cadences in each strophe is the main one?

Although different listeners may answer this question in different ways, I argue that, in this case, the verse cadence bears more structural weight. It is the true harmonic ending of each strophe. The refrain cadence is structurally subordinated to the verse cadence; consequently, the refrain is also subordinated to the verse. In prolongational terms, deep-level harmonic motion of the strophe concludes at the first cadence, and the following refrain composes out the cadential harmony at a more surface level. The formal function of the refrain, therefore, is post-cadential, because it arrives after the structural end of the strophe has already occurred. Thus, one can call the refrain a kind of appendix, a term H. C. Koch uses for an addition after the cadence of a phrase.[317]

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[316] This problematic hierarchy becomes especially apparent at the highest structural level, partly because the final strophe avoids strong cadential arrivals.

[317] An appendix (*Anhang*), according to Koch, is "the addition of an explanation…which further clarifies the phrase" (Baker 1983, 45). Rothstein (1989, 70–73) uses the term *suffix* for the same phenomenon. Rachmaninoff's appendix/suffix differs from eighteenth-century usages with respect to proportion: for example, most of Koch's

It may be argued that the refrain cadence, on the contrary, must be seen as structurally superior because it is the last event in a strophe. After all, if Rachmaninoff avoids established cadential idioms, how can one propose that one cadence is superior to another, apart from propositions based on their formal placement? There are a few reasons for the refrain cadence to sound structurally weaker. The primary reason relates to the pedal point C4 in all the refrains without exception. Regardless of the variety of harmonies the refrain brings, including the cadences, they invariably take place over the sustained C in the tenor or the alto part. The cadence, therefore, is weakened by the pedal point, which structurally "overrides" the harmonic progression heard above it. In effect, the entire refrain prolongs a single harmony—which one, depends on our interpretation of the verse-cadential arrival—in the most literal sense: by sustaining a single tone in the lowest voice.

Registral play contributes to the same effect of attenuating the refrain's structural weight. When the bass part, having provided the verse cadence, falls silent after the downbeat of each refrain, the subsequent music sounds like a supplement, an additional segment heard in reference *to* the just-sounded cadential bass note. In other words, thanks to the registral contrast between the verse and refrain, one can easily hear the bass note of the verse-cadential arrival as an implied tone throughout the refrain. Moreover, the very incompleteness of the refrain's cadential chords suggests their dependence on a larger context. This context is provided by the verse cadence.[318] (In some cases I will show that the refrain itself, its subordinate status

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appendices are half as long as the basic phrase, while Rachmaninoff's refrains are roughly equal in length to the verses. The function, however, is similar: in both cases, the appendix provides an addition after the main formal closure has been effected. Both represent a method of phrase expansion.

[318] That the appendix continues or repeats an earlier harmony accords with Koch's statement that the appendix usually articulates the same harmony as the first cadence: "Through such an appendix the extended phrase usually acquires two phrase-endings *on one and the same root*" (Baker 1983, 45; emphasis mine). Rothstein (1989, 71)

notwithstanding, may change the harmonic meaning of its cadence in relation to the verse.) Finally, the text of the refrains also suggests a kind of subordinate position: they are not part of the psalm, but are added to the main text.

I should emphasize that, although internal cadential hierarchy within strophes is theoretically consistent, both verse and refrain cadences sometime produce extremely weak sense of closure, almost suggesting that the composer withdraws the idea of "end" from this movement. But for our present analytical purposes, let us keep in mind these hierarchical relationships and proceed to the analysis of individual strophes. I concentrate on the verses, insofar as they represent the "main" harmonic body of each strophe, and on the way the refrains confirm (or sometimes potentially contradict) the cadential harmony of the verse. In most cases, I focus on alternative tonal interpretations of musical excerpts. At least two instances (strophes 2 and 6), however, serve as counter-examples, because they project a single key less ambiguously than other strophes.

Example 6.5 shows four different graphs of the verse in strophe 1. The graphs correspond to three different keys—C major (example a), A minor (b and c), and F major (d). Of all the existing work on tonal pairing and related issues of tonal disunity, presenting of multiple analytical versions of a single passage in different keys most closely resembles Krebs's analysis of Schubert's song "Der Wanderer," D. 489 (Krebs 1996). Krebs gives two readings of the song in relative keys—C-sharp minor and E major, the former with a hypothetical C-sharp-minor ending (the piece actually ends with an E-major cadence).[319] A similar logic is used here, but

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similarly states that "[the suffixes] extend the basic phrase's closing harmony. A small suffix may simply elongate this closing harmony, or may stretch it out while embellishing it in some way." With its pedal point, Rachmaninoff's refrain indeed elongates that verse-cadential harmony in the most literal sense.

[319] The technique of giving multiple analytical possibilities has a connection to what Jackendoff (1991) calls the *parallel multiple-analysis model*. The concept refers to unconscious metrical interpretations of a musical fragment,

with a difference: the avoidance of conventional progressions or a clear tonal center, as well as the absence of any preceding music that could provide some degree of tonal clarification, creates an even greater number of interpretive possibilities than just two.

In this example, the four readings can be grouped in twos, where the first pair emphasizes the progression C–G–A, the second F–G–A; both can be read in two different keys, one of which is always A minor. The first pair of graphs, a and b, relies on the strongly stated C-major harmony on the downbeat of m. 5 (the low bass note C especially emphasizes this chord) and the subsequent cadence G–A. Beyond the considerable salience of this progression in the music, the gesture C–G–A is important for reasons of stylistic context: we have seen this configuration of chords in many samples of the common church practice (see Chapter 3). The progression also corresponds to a partial proto-harmony complex (of which the complete form is G–a–C–d). On the stylistic and theoretical basis, therefore, the first two readings appear quite convincing.

The background progression (with respect to the verse) shared by the first two analyses can be read in both C major and A minor. In the first case (Example 6.5 a), the opening represents a plagal (F–C) motion to the tonic, where the bass note F ultimately represents an inner voice that resolves upward to G or downward to E. This is followed by a deceptive cadence, V–VI.[320] With respect to the broader form, the deceptive resolution also functions as a modulation to the key of the next verse, which is unambiguously in A minor. The strength of the

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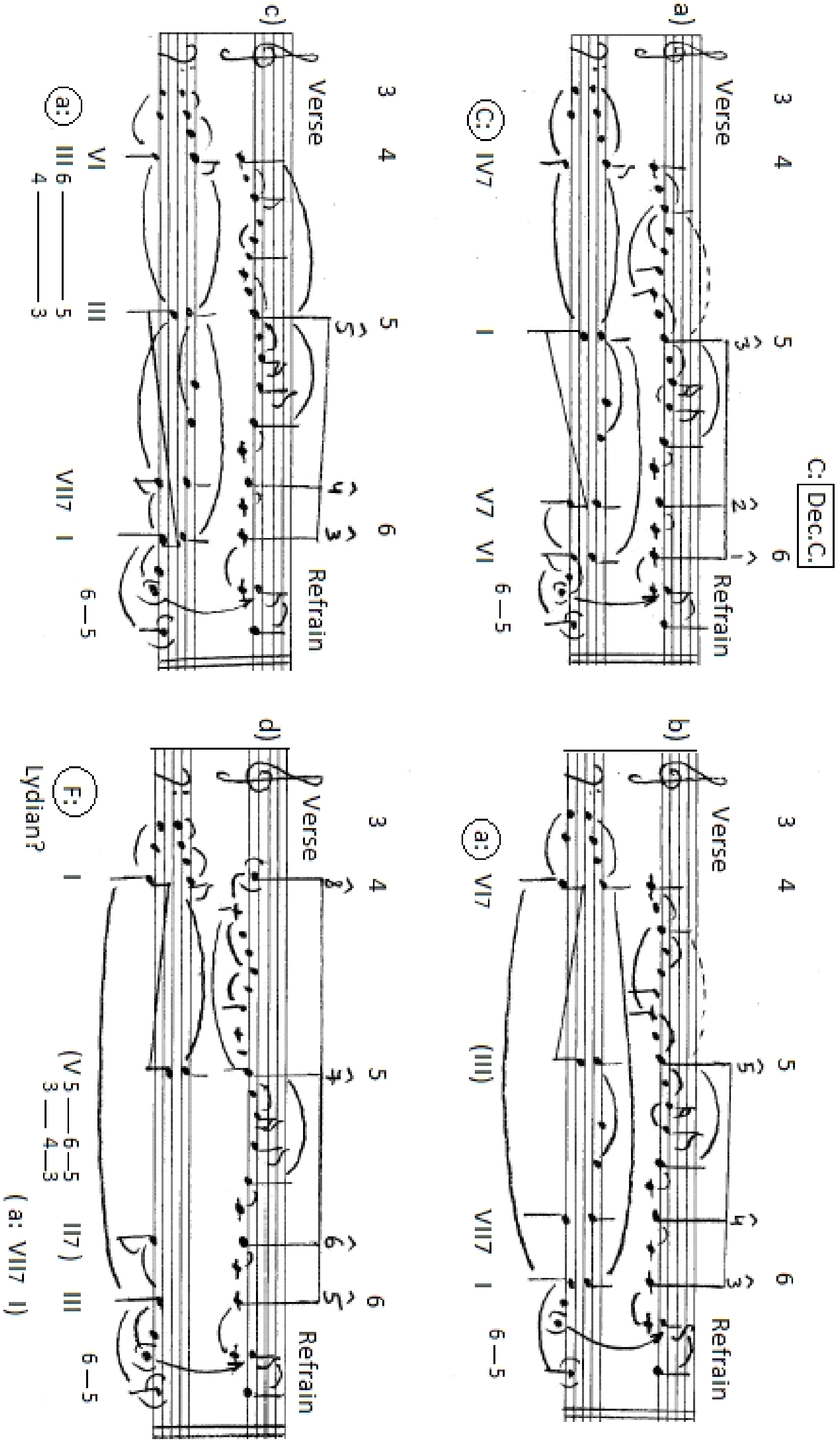
one of which ultimately prevails. “When the processor [i.e., listener] encounters a choice point among competing analyses, processing splits into simultaneous branches, each computing an analysis for one of the possibilities” (Jackendoff 1992, 62). The difference between existing applications of this concept (for example, in Danuta Mirka’s [2009] work on eighteenth-century meter) and the situation in Rachmaninoff’s movement is that, in the present case, no single possibility ultimately wins. The multiple possibilities (at least, C major and A minor) remain in force until the end of the strophe, and even for some strophe after that.

[320] While in Classical repertoire a deceptive cadence never provides closure, but instead delays the arrival of the tonic, in Wagner and later composers the deceptive cadence acquires some measure of closing function. See Rothstein (1989, 254, following Alfred Lorenz) on the role of Wagner’s deceptive cadence as a replacement of the

Example 6.5. Strophe 1, verse, voice-leading graphs: a) C major, b) A minor, c) A minor, d) F major


a)
Verse
3
4
5
6
Refrain
C: Dec.C.
3̂
2̂
1̂
C: IV7
I
V7 VI
6—5
b)
Verse
3
4
5
6
Refrain
5̂
4̂
3̂
a: VI7
(III)
VII7 I
6—5
c)
Verse
3
4
5
6
Refrain
5̂
4̂
3̂
a: III 6/4 — III 5/3
VI
VII7 I
6—5
d)
Verse
3
4
5
6
Refrain
8̂
7̂
6̂
5̂
F: I
Lydian?
(V 5—6—5 / 3—4—3 II7) III
(a: VII7 I)
6—5

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authentic. Therefore, the deceptive cadence in Rachmaninoff, a post-Wagnerian composer, may also possess a closural function, though perhaps a weaker one than a V–I progression.

C tonic is buttressed by the low and long C in the bass (m. 5), as well as by the relative conventionality of the deceptive cadence in tonal music. The chant, with its emphatic beginnings and ends on C, supports this key as well. In this sense, the C Ionian of the chant mirrors the C major of the harmonization.

The second, A-minor reading (Example 6.5 b) also posits the initial events as a plagal resolution to C, but this C is understood as the upper third of A minor, and the excerpt closes with a VII–I cadence in this key. Given the weakened dominant function of the VII chord, and in the absence of V of A minor, one can hear this ending as replacing an authentic cadence, just as the deceptive cadence in the C-major version replaces a PAC in that key. This VII–I progression with ^3 over the tonic can perhaps be heard as a weaker variant of the 3-IAC, which the composer rejects due to his avoidance of the leading tone G sharp. Of course, one could have read the A-minor tonic as prolonged from the very beginning, m. 3. But this would misinterpret the position of the initial A-minor chord as (1) metrically weak, and (2) preceding the chant, which enters only in the next measure. Measure 3 being introductory, the more structural events begin later, in this version in m. 4. Nonetheless, the A-minor in m. 3 foreshadows the tonic status of this chord that materializes by the end of the verse.

Even though the two readings just discussed reverse the hierarchy of the C/A pair, they are in fact similar. They put forward a single harmonic progression that the listener can hear in two different keys. An analysis that rejects the structural primacy of any one tonic, for example a proto-harmonic analysis, might have put the three background harmonies on par with each other. This would resemble the analysis of Smolensky's "Dostoĭno Est'" in Example 3.17. The G chord would serve either as a dominant of two tonics simultaneously or as an independent chord with no subordination to any other center. (This last possibility would comply best with the proto-harmonic idea of equality.) With or without tonal subordination, the progression embodies the principle of relative mutability, which will occupy the rest of the piece.

The second pair of graphs (Examples 6.5 c and d) highlights a different group of chords, F–G–A. Although this progression de-emphasizes the salient C in m. 5, another aspect of the verse comes to the fore—the stepwise motion of the bass from F upward, hidden a little beneath the musical surface. This reading privileges voice-leading smoothness over the aural salience and consonant nature of the C-major harmony. The strength of this interpretation lies also in the sheer amount of time the F-major chord occupies—nine quarter notes—and the stability of this harmony in m. 4, especially on the downbeat (either D or E is added to the chord later in the measure).[321]

The first of these graphs takes A minor for the tonic. This reading might, perhaps, seem the most counter-intuitive of all, since the large-scale arpeggiation of F in the bass ultimately embodies an inner-voice motion F–E, whereas the true center A arrives very late in the excerpt, prepared by neither its dominant E nor its upper third C. Yet, this hearing has the advantage of smoothness: the ascending stepwise bass F–G–A is mirrored by the descending stepwise soprano E–D–C, both voices traversing a third and arriving at the tonic dyad A–C. The result is an unfolded F7 chord, where the F represents the “sixth-phase” of the linear 6–5 motion over an implied bass A.[322]

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[321] The alternative hearings of the F harmony as either F major + D ($F^{add.6}$ or $D^{6/5}$) or F major + E (F^7) in m. 4 will be touched upon below. At this point, suffice it to say that some of my four graphs choose one and some choose the other.

[322] The notion of “sixth phase” comes from Damschroder (2010), where it refers to the chord corresponding to the sixth above the structural bass note in a 5–6 motion. A slight disadvantage of this analysis is the relationship of the primary tone E4 to the bass F, a major seventh. Although literally present in m. 4, the dissonant E is not present at the foreground for a long time, being quickly reharmonized as C major. In Example 6.5 c, I partially avoid this problem by reading the arrival of the structural E in m. 5, just as in all the other graphs. The preceding events of the upper voice form an initial ascent. At a deeper level, however, F^7 is prolonged until the arrival of the G chord.

The other, F-major version of the same background progression (Example 6.5 d) does the opposite: out of the four notes of the unfolded F7 chord, it eliminates the E at the deepest level, since this note does not belong to the tonic triad. This is the only reading where one is forced to read the E as less structural, and the most satisfactory way of achieving this deems E a passing tone descending from an implied F in m. 4. This implication contradicts the chant, since the melody at the beginning clearly ascends.[323] But the upper voice moving from F4 provides a consonant combination with the bass. The F-major reading has a strong advantage in the bass motion: it is the only version in which all the bass notes, except the passing G, arpeggiate the tonic harmony. At the same time, the sense of F major is somewhat attenuated by the absence of B flat. B natural, however, also does not figure very much; it occurs only once, in the cadence on III.

Both the A-minor and F-major versions of the F–G–A progression stress another detail that in the earlier analyses remains insignificant: the bass motion immediately following the cadence. The lowest voice, moving from A2 through G to an implied F2 (F appears literally as F3 in the first bass), mirrors the preceding F–G–A ascent and thus supports the stepwise reading of the verse over the other, more disjunct bass line starting with C. At a deeper level, the implied F in m. 7 has to be heard as a sixth over the A-minor root in a 5–6–5 motion (see graphs “c” and “d”), since the refrain does not return to F major; yet this tone gives another glimpse of the F-major chord, emphasized earlier in reading d.

In contrast to the graphs “a” and “b,” which focus on the relative pair C/a, graphs “c” and “d" highlight a different pair of centers: F/a. This combination corresponds to Yavorsky’s second mutable mode and to Sposobin’s type shown in my Example 2.8 as type 2b (this includes the neo-Riemannian L relation). In fact, the F^7 sonority in m. 4 literally embodies the four-note tonic of Yavorsky's second mode, thus representing a kind of double-tonic complex of a non-relative type. Once again, one need not give preference to either of the two tonics in this pair (unless one adheres to the Schenkerian paradigm, where hierarchy is unavoidable). One might also hear the first and last chords of the background progression, F and a, as structurally equal.

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[323] The ascent of the chant melody is in a structural inner voice in this reading.

Apart from the relatively large-scale harmonic events of the first verse, a smaller detail deserves mention here: the F harmony that arrives on the downbeat of m. 4. The reader has already seen two different versions of it in Example 6.5, as F^7 (a major seventh chord) and $F^{add.6}$. This distinction has to do with the chant melody, which adds to the consonant triad of the male voices both D and E several times in the course of the measure. Based on the chant, it makes more sense to give preference to E, because the melody generally emphasizes the tones C and E. Harmonically, this gives us a major seventh above F, stressed by the accented syllable "vi" (*blagoslovi*). Alternatively, one can perceive the melody as ascending from C through D to E on the downbeat of m. 5. This stepwise ascent, which I have chosen in graphs b and d, privileges a more consonant middleground and a more gradual ascent to the primary tone E.[324] This hearing, resulting in an F triad with added sixth, also suggests a plagal progression toward C major, a progression explored by Rachmaninoff in various movements of the *Vigil*.

The four analytical versions discussed so far offer two different ways of perceiving mutability. On the one hand, they give us three different tonal centers, all of which are viable in one way or another. C major is supported by its strong tonic (m. 5) and the I–V progression, A minor by the cadence in m. 6, and F major by the stability of its tonic at the beginning (m. 4). On the other hand, these readings show that the verse may be heard not in a single key, but in two keys, i.e., as tonally ambiguous, as shown by the two pairs of graphs. Moreover, this ambiguity exists in two pairs of keys, C/a and F/a, between which the listener is free to choose. The greatest degree of decentralization would be for the three centers to be heard as such at different points in time. Whichever way the listener may choose, the verse defies a single, unambiguous interpretation.

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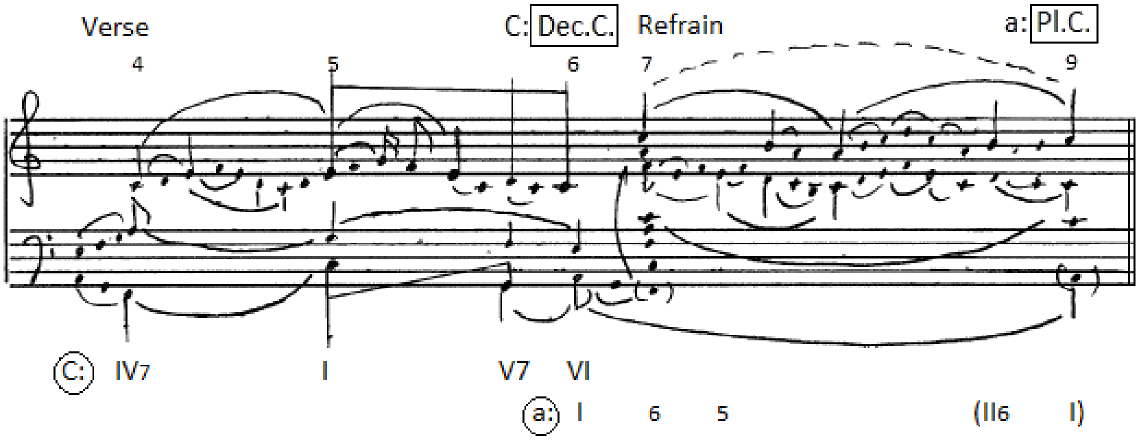
[324] The slight emphasis on consonance in the $F^{add\ 6th}$ version accords with the other verses, none of which introduces a dissonant harmony when a new chant phrase enters. In this sense, the analytical version with the added sixth chord minimizes the contrast between this verse, with more dissonances on the surface, and the following ones. Conversely, the version with the F7 also creates inter-verse connections, such as that with verse 5, where the major seventh chord on F occupies the entire m. 32.

Whichever reading of the verse one wishes to choose as the most satisfying, how does the verse relate to the refrain? As we have seen, the refrains always continue the harmony articulated at the verse cadence. In this case, the multiple analyses of the verse do not affect the meaning of the refrain: it prolongs the A-minor harmony, whether it is understood as I of a, VI of C, or III of F. Example 6.6 provides a graph of strophe 1, including both verse and refrain. In this graph, I have chosen the C-major reading of the verse; the refrain thus extends the cadential VI chord. The refrain begins with an allusion to the opening F-major harmony that, in the verse, resolved plagally to C major. Here, the F sonority quickly proceeds to A minor, on beat 3 of m. 7, in a 6–5 motion over the implied A (conceptually retained from the verse cadence). The refrain cadence in m. 9 is shown as plagal: the sonorities b^{o6}–C^{3} represent IV with an added sixth proceeding to I. This progression occurs over a double pedal point: the imagined pedal A2 (attacked on the downbeat of m. 6) and the actual pedal C4. This plagal cadence will recur in every refrain as long as it is understood to prolong the A-minor chord.

Even though this cadence confirms the harmony of the verse cadence, the refrain’s ending changes the meaning of that harmony in this case: A minor arrives as VI of C and is later reinterpreted as I of a (at the middleground, not the background level of the strophe). In this sense, therefore, the refrain represents a cadence-altering suffix. This is a concept Rothstein (1989, 94–97) introduces to refer to a phrase-expanding technique: after a cadence ends a basic phrase, the suffix lands on a different cadence. There is an important conceptual difference here. In Rothstein's eighteenth-century examples (Haydn's Symphony No. 84, for instance), the aspect being altered is the cadence type: an IAC is followed—and overridden (!)—by a HC that comes two measures later, in the same key. In Rachmaninoff's first strophe, at least in the C-major interpretation of Example 6.6, it is the key that changes, and the cadence type is altered as a result: deceptive in C, plagal in a.[325] The hierarchy is reversed too: given the subordinate position of the refrain with its pedal point, the first cadence overrides the second, which exists at a lower level.

Example 6.6. Strophe 1 complete, voice-leading graph (foreground).Verse: C major; refrain: A minor



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[325] In contrast to Rothstein's (1989, 95) cadence-altering suffix, which alters only the cadential harmony and not the key, in the present case may be called a key-altering suffix, since the refrain suggests a different key (relative). I must underscore once more that, in my analysis, the hierarchical status of the cadence-altering suffix is lower than that of the first cadence, due to the weaker structural position of the refrain; in Rothstein's eighteenth-century examples, the opposite is true.

Most refrains in this movement are similar to this one in that they project A minor more than C major. In strophe 5, just as in strophe 1, the verse suggests a roughly equal strength for both keys, whereas the refrain moves away from the major key. In strophe 4, a very similar refrain is coupled with a verse that ends on $I^{6/4}$ in C major (presumably representing $I^{5/3}$ at a deeper level). Here, therefore, the most likely hearing is a C-major verse with a (lower-level) cadence-altering refrain in A minor.

Subtle reharmonizations in the refrains sometimes affect the balance between A minor and C major, and sometimes the refrain can be heard in either key. This possibility is virtually ensured by the C–E dyad at the end. In these cases, a different kind of cadence-altering suffix may result, where both the key and the chord are reinterpreted in the refrain cadence. Strophe 3 is one such example.

In contrast to the situation in strophe 1, here the verse does not generate so many different analyses; this has partly to do with the two previous verse cadences, both of which articulate the A-minor triad, and partly with the internal behavior of the music. The verse begins with the progression IV^{6}–I in A minor, a plagal gesture that recalls the plagal beginning of strophe 1 (with respect to C major). In the first strophe, the situation was complicated by the cadence that departs from the C-major tonic and by the relative stability of the F-major chord at the beginning. Here, none of these complications exist: the first harmony (d) is weakened by inversion, and the cadence in m. 20 gives the same center as the verse’s beginning: a. The two rivals of A minor are thus eliminated, and the verse projects this key more clearly. In Example 6.7, the graph reflects this tonic. The C-major harmony is still present and tonicized (m. 19), but at a lower level: it is subsumed by the minor tonic and its upper third. F major completely disappears.[326]

The tonal definiteness of the verse is complemented by a slightly more complicated refrain. The refrain here, as in strophe 1, begins with an F sonority, this time in root position (m. 21). This is the first time that F major appears in this strophe, but its meaning is not as straightforward as before. The refrain stays in A minor until the middle of m. 22, where another F harmony occurs ($F^{6/4}$, if the pedal C4 is included), followed by the sonority G–B–E, which resembles V of C with a passing E (D appears on the next beat). It is this E, which previously was always harmonized with an A-minor chord (strophes 1 and 2), that thwarts a simple A-minor solution this time. The altos, meanwhile, produce a slightly disguised third-progression, G–F–E. With an implied G at the cadential arrival, courtesy of the third-progression, one can also discern a fourth-progression C–B–A–G.

The refrain of strophe 3 can be heard as modulating to C major. This analysis appears in the graphs in Example 6.7a and b. In these versions, much of the refrain is seen to prolong the initial F-major chord, followed by a cadence in C. It is remarkable that the cadence, as usual rejecting any obvious established pattern, can be traced to both an authentic and a plagal prototype.[327] The cadence is authentic if we regard the chord with E on the top as a dominant (the E is passing), which, after some passing activity in the inner voices, arrives at the C tonic. The cadence is plagal if we hear the chord with E as a completely passing sonority aimed at the

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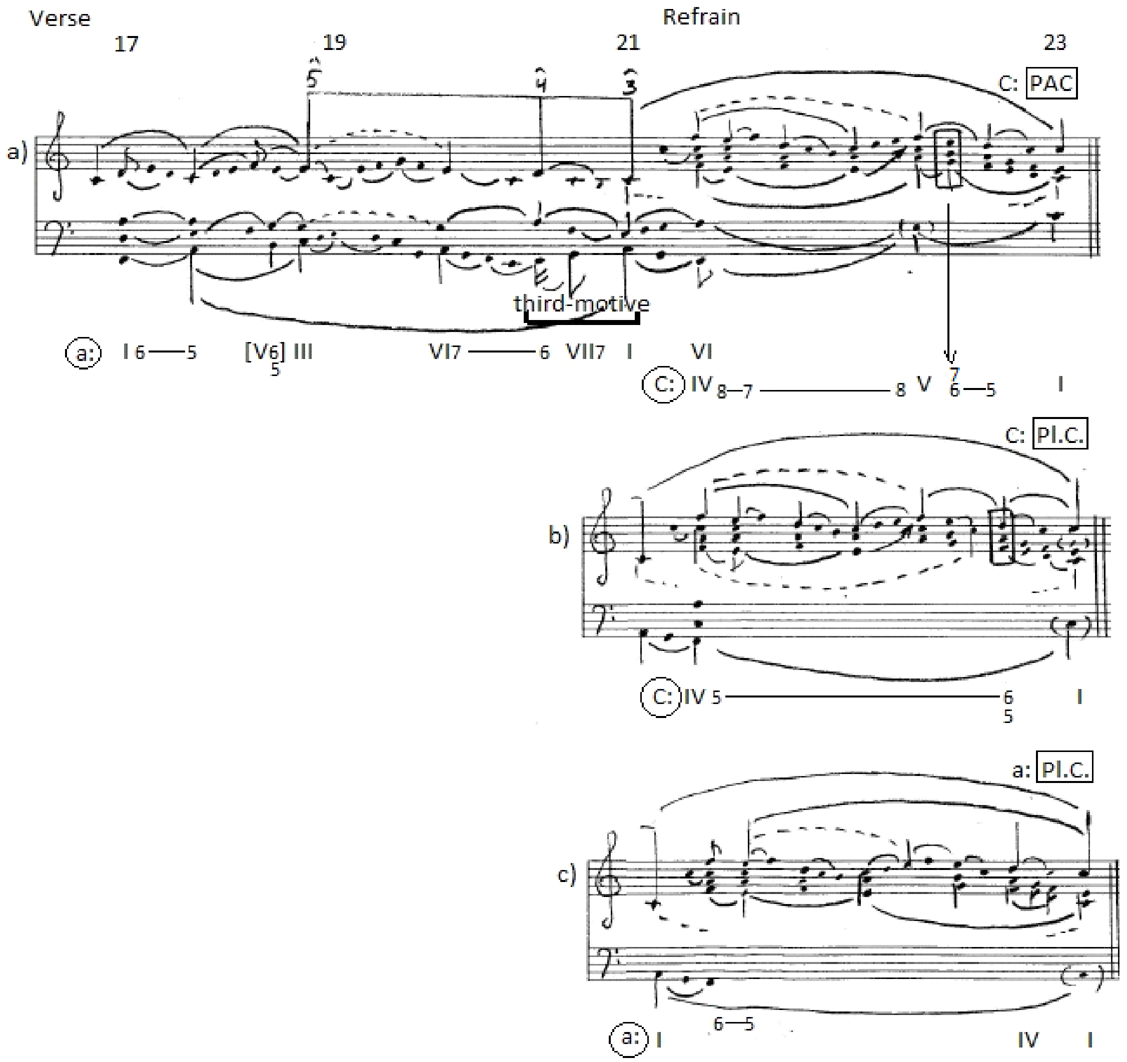
[326] In spite of the heightened tonal centralization in comparison with the first strophe, some elements remind us of it. Although F major as a potential center is absent, the motive A–G–F (mm. 20–21) connecting the verse to the refrain, is even more apparent here, because the note F2 is literally present in the bass, rather than implied due to the bass's leap to C3 (as in strophe 1). Another occurrence of this motive, in the order F–G–A, is found when the verse cadence is approached in m. 20. Motivically, therefore, this strophe has more in common with strophe 1 than tonally. These motives, particularly the third-span F–A, recurs at various moment in the movement, constantly bringing to our attention the F-major chord stated so strongly at the opening.

[327] I will return to the double meaning of this cadence in the section on functional mixture.

Example 6.7. Strophe 4, voice-leading graph (foreground), A minor. Three versions of the Refrain: a) C major: PAC; b) C major: plagal cadence; c) A minor: plagal cadence


Verse
Refrain
17
19
21
23
5̂
4̂
3̂
C: PAC
a)
third-motive
a: I 6—5 [V6/5] III VI7—6 VII7 I VI
C: IV 8—7 8 V 7/6—5 I
C: Pl.C.
b)
C: IV 5 6/5 I
a: Pl.C.
c)
a: I 6—5 IV I

D-minor chord toward the end of m. 22.[328] Just like the ambiguity of key (A minor or C major), the ambiguity of cadential type is produced by atypical, intentionally idiosyncratic voice leading with almost no leaps, and of course by the inherent ambiguity of the C–E dyad. Whether authentic or plagal, a C-major cadence in m. 23 creates a cadence-altering suffix, since this cadence contradicts the key projected by the verse cadence (m. 20). The key of the entire strophe at a deep level therefore remains A minor, while the refrain, which exists at a shallower level, potentially projects a modulation to C.

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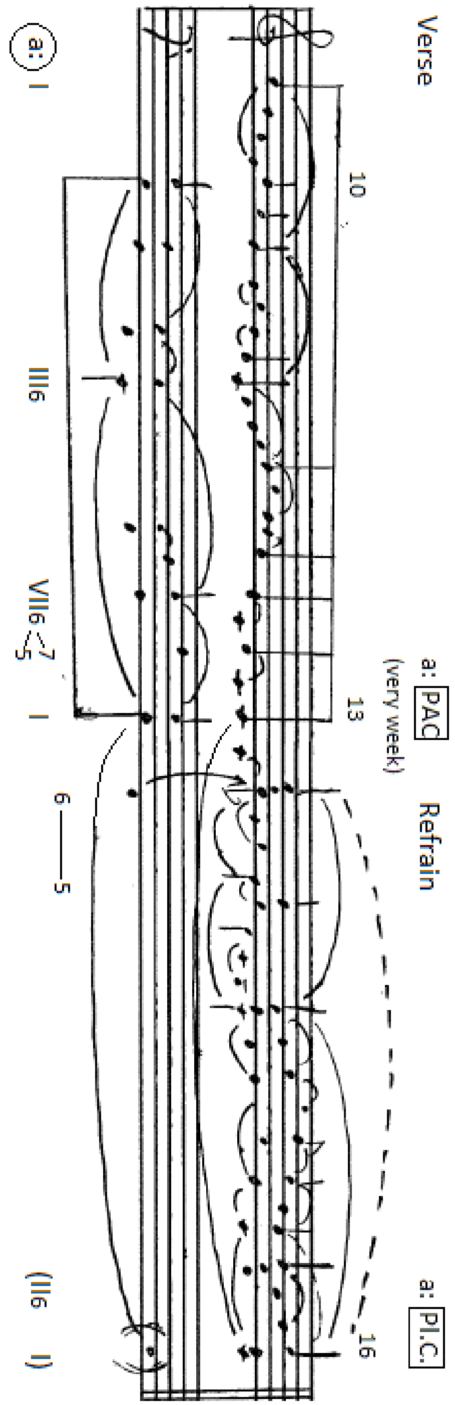
[328] The two interpretations of the C-major cadence—authentic and plagal—put the penultimate verticality in this strophe, D–F–C, in a very interesting position. This chord can be heard as either dominant with the C anticipated, or as an incomplete D^7 chord. More on this topic will be said in the last section on functional mixture.

I say "potentially projects" because a C-major interpretation is, in fact, not the only option. The absence of a straightforward plagal or authentic cadence in C enables one to continue hearing A minor until the end, although actual A-minor chords disappear from the surface after the first half of m. 22. The possibility of hearing the D-minor moment (marked in the graph) as the goal of that measure leads to another plagal interpretation—the progression IV^6–I in A minor. Not only does this hearing accord with the main key of the strophe, it also reproduces the plagal beginning (with the same d^6 chord, if the pedal is disregarded). In this version, the strophe appears as tonally closed in all respects—in terms of the beginning and end, and in terms of cadences.

In the refrain of strophe 3, the listener is thus faced with tonal ambiguity, just as in the verse of strophe 1. In both cases, the ambiguity is due mainly to the avoidance of standard cadential patterns and to unconventional voice leading (but predominantly stepwise). Not every strophe of the movement is as tonally vague as these two, however, whether in the verse or the refrain. At least two strophes offer a remarkably clear center in both their sections: A minor in strophe 2 and C major in strophe 6 (the last one).

Strophe 2 (Example 6.8) is tonally clear partly because of its chant phrase, so different from all the other phrases, and partly due to the bass line. The chant, as we saw in Example 6.1, at this point presents the only phrase beginning with A, temporarily throwing the dominating C Ionian into doubt. Rachmaninoff avails himself of the opportunity to harmonize the chant's beginning with an A-minor chord—something that happens in no other strophe except the first.

Example 6.8. Strophe 2, voice-leading graph (foreground), A minor


Verse
10
13
a: PAC
(very week)
Refrain
a: PI.C.
16
a: I
III6
VII6 7 5
I
6——5
(II6 I)

There, a root-position A-minor chord opens the strophe, but the chant enters a measure later, so this chord receives an introductory meaning. In strophe 2, this introductory material (three triads, descending with parallel fifths from A to F) recurs almost exactly in the lower voices, shifted in time so as to enter after the chant has come in with its own A4. This shift and the chant change the tonal meaning of this passage; and its entry now heralds the tonic of A minor (m. 10). The remainder of the strophe differs from strophe 1, for the composer avoids the F2–C2 leap (as in mm. 4–5) and instead opts for a stepwise line spanning the fourth A2–E2 and back.[329] This unfolded fourth gives another sign of the governing tonic a. Finally, that tonic is confirmed by the A-minor verse cadence (m. 13). The refrain, very similar to that in strophe 1, does not contradict this key. The final C–E dyad, therefore, projects the tonic a more strongly than any other refrain cadence.

Before proceeding to another strophe, a detail of strophe 2 should be discussed here: the opening bass gesture, which fills the third F2–A2. We have seen these tones in many contexts in different strophes. In fact, there is a motivic issue at stake: the third F–A, often filled-in as F–G–A or its reverse, receives a truly motivic status in the movement in a Schenkerian sense. At the opening, mm. 3–4, this descending third-progression in the bass mirrors the ascending progression C–D–E in the chant (see Examples 6.5 a and c). The motive is therefore chant-generated. But the composer's manipulations of it stress the specific pitch level A–F, mostly in the bass, rather than just its melodic relationship to the chant. The F–A third (descending) recurs at different points and structural levels, including the verse ending in strophe 3. In strophes 4 and

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[329] It is interesting to see what the bass's fourth-progression A–E and back does to the verse cadence. On the surface, the cadence remains the VII–I progression that we heard in strophe 1. At a deeper level, however, this progression is greatly attenuated because the G chord (m. 12) does not arrive as an independent harmony approached by leap from above, as before, but as a passing tone. The background progression, therefore, is I–III^6–I, where the III^6 results from a temporary shift of an inner voice from A to G.

5, the unfilled F–A third in the bass occurs in the middle (mm. 25 and 32–33). My version 3 of the first strophe (Example 6.5c) highlights the motive at the deepest possible level—as the background bass line. And of course, in the exit from the A-minor verse cadences (strophes 1, 2, 3, and 5), the bass reiterates the third-motive, whether it proceeds from A to a literal or implied F (see Example 6.3). In all, the F–A motive fulfills two purposes: it provides a motivic connection to the chant, and it recalls the F-major harmony so strongly posited in the first strophe. Thus, the movement, while fluctuating between A minor and C major, at the same time lives in the shadow of F major.

The final strophe (Example 6.9), though less straightforward than strophe 2, also projects a single key, but now it is C major. It is ironic that the clearest C major begins with the only moment that actually tonicizes A minor—with a real leading tone (m. 38).[330] One can, in fact, hear this moment as a farewell to A minor. The verse, after stating C major, comes to a cadence that is closest to an authentic type in C: the last beat of m. 40 represents V^7, and beat 1 of the next measure I, with an implied C2 in the bass (producing a stepwise line from G to C in the bass below the surface). At this point, the chant arrives at ^1 of C major. This measure being the last verse cadence in the piece, one might expect a greater degree of finality here, but the inverted C-major harmony destabilizes the cadence. A fuller, more persuasive tonic statement is thus delayed until later point.

That later point proves to be the double refrain of the strophe. This refrain is arguably the most remarkable with respect to the C/a pairing. Rejecting the relative-mutable fluctuations of the earlier strophes, it suddenly fleshes out C major to the greatest extent possible. The notes (C

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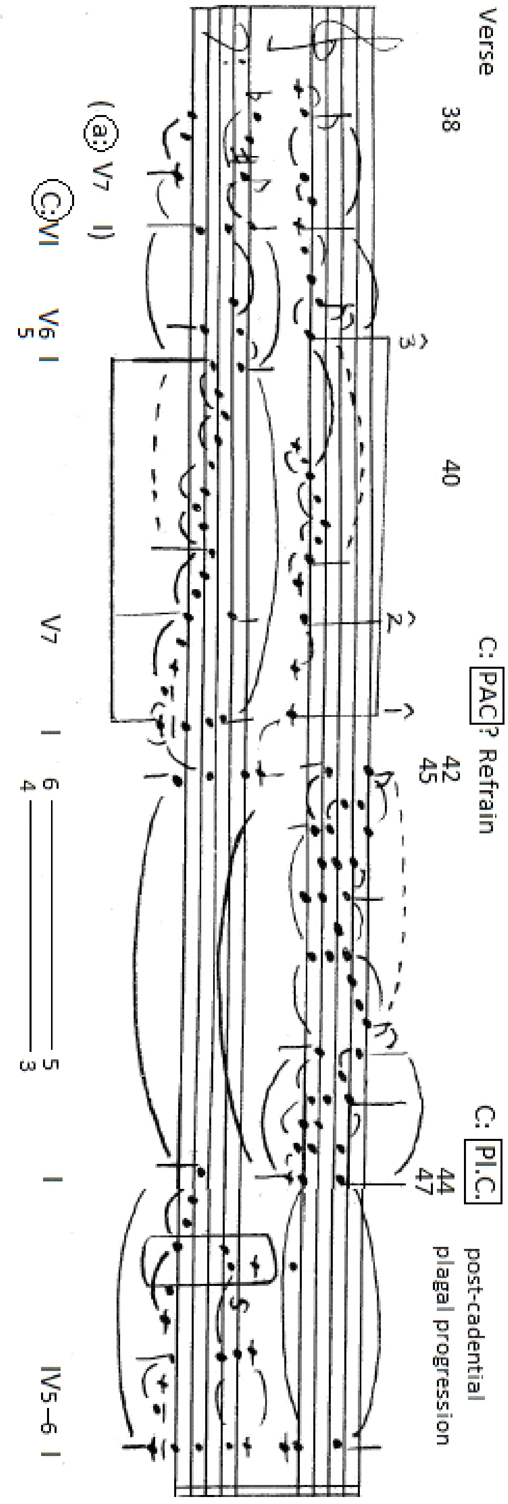
[330] Apart from the V^7 of a, the beginning of strophe 6 also contains another accidental, B flat. The result, the progression g–d^6–E^7–a, resembles what is known as a double plagal cadence in rock music studies (flat VII–IV–I; see, for example, Nicole Biamonte, 2010, 98–101), with the E chord inserted. This is the only moment in the piece that involves accidentals, and it occurs shortly before the music moves to C major to remain there until the end.

Example 6.9. Strophe 6, voice-leading graph (foreground), C major. The graph includes the double refrain and the final, post-cadential phrase.) All C-major chords in the refrain are circled


Verse
38
40
3^
2^
1^
C: PAC? Refrain
42
45
C: Pl.C.
44
47
post-cadential
plagal progression
(a: V7 I)
C: VI
V6 5 I
V7
I
6 4 — 5 3
I
IV5–6 I

and E) that were previously harmonized with A chords are now given C and occasionally F triads, circled in the example. The opening of the refrain (IV–I in C, m. 42) here signals a plagal progression in C, just as does the repeated refrain in mm. 45–47. But the cadence type is still as ambiguous as it was in a similar situation in strophe 3: one can hear the cadence as both plagal and authentic. (In Example 6.9, I have chosen a plagal analysis.)

The most unusual part of this strophe is the final phrase, mm. 47–48, which expands the C tonic in register, with the bass outlining the C3–C2 octave, divided by the fourth F (resulting in a plagal progression). Without being a real cadence, this phrase nonetheless has cadential weight since C major has already been stated many times in the previous measures including the verse cadence: the last phrase it removes all doubts regarding the tonal center, and it offers a true sense of finality by the sheer force of its textural density and sonic fullness.

The background level

The issue of closure in the last strophe brings me to my final topic, the large-scale structure of movement 2. This structure presents an interesting picture, especially in comparison with the other movements. I have shown movements with backgrounds consisting of two equally structural sections (movements 7 and 12), each of which closes with a cadence at a definite point in time. We have also seen a movement (No. 1) where the background virtually falls apart because of an absent overarching tonal center; and yet, the moments of cadential arrival are always clear. Conversely, movement 2 conveys an impression that the music is reluctant to end, and this reluctance has to do with the weakness of cadential statements.

I will address the background level of the movement in two ways: in strictly hierarchical terms of Schenkerian analysis and in terms of a more perception-oriented interpretation of closure. With respect to the structural hierarchy adopted in my analysis so far, the movement comes to a final closing point in m. 41 (the last verse cadence). The compositional intent, however, seems to be the avoidance of definite conclusive events until the very end, since no strong cadential arrival (root-position V–I or IV–I) appears on the musical surface. For this reason, strophe 6—and to a certain extent the general weakness of closure throughout the piece—suggests that the conventional Schenkerian hierarchy of structure is not the most efficient tool to represent the movement.

My graph of strophe 6 in Example 6.9 shows a structural close in the verse cadence at m. 41, which I have chosen for a few reasons. By analogy with all the preceding strophes, the refrain should be considered post-cadential. Just as earlier in the movement, the verse cadence closes the passage that has true harmonic motion, as opposed to the refrain with its consistent pedal. The chant voice descends to C, ^1 of C major, the key that will be maintained until the end. At this point the piece has come to its final tonal conclusion, articulated with the inverted tonic, a consonant 6/4 chord. The following two cadences, therefore, are seen as confirming the C-major harmony of m. 41. The final two-measure phrase is labelled in the example as post-cadential.[331] Consequently, at the global level, the last verse cadence in m. 41 is the background arrival of the tonic, followed by a tonic prolongation in the refrains and the final two measures.

And yet, the logical clarity of this decision notwithstanding, a feeling of a gradual attainment of the C-major tonic persists, a feeling that thwarts the adequacy of Schenkerian hierarchy at the deepest level. It is hard to ignore the sense that no stability has yet been achieved in the verse of strophe 6. For a first-time listener, at least, it would be strange to assume that, after all the earlier oscillation between relative keys, A minor will never return. The ear waits for a confirmation—or negation—of the C tonic proposed at the verse cadence. The twin refrains give such a confirmation both by the pedal and the persistence of the C harmony. But only in the final measures does this key attain full certainty with the deep-sounded *tutti* chord. The strophe thus suggests a gradual expansion of the C-major tonic in time and pitch space, a slow sonic growth that ultimately opens into the full-voiced final chord, rather than a dynamic process that comes to a cadence as a release after tension and instability.

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[331] The graph contains a detail in m. 40, where the outer pair has the "mirror" voice-leading pattern: the upper voice outlines the third E–G and the lower voice C–A in exact symmetry. As in movement 1 (see my analysis in Example 5.8), to emphasize the symmetry, I analyze this pattern here as if it prolonged the A^7 chord, which is in fact not true. The actual harmony prolonged here is the C triad.

If we do not assume that the last strophe should conform to the cadential hierarchy established in the preceding strophes, the last several phrases create considerable confusion regarding the cadential arrival. The same problem is seen in strophe 4, which uses a similar verse cadence, ending on an inverted chord.[332] But this avoidance of strong closure is at its clearest in strophe 6 *because* it is the last one and so bears the closural weight of the movement. The structural weight is here distributed among several potential closing points in such a way that none perceptibly overrides the others. The verse cadence (m. 41) is weakened by the inverted C triad and the two refrain cadences by the pedal point, as well as by the fact that the C tonic has already been reached in m. 41, inverted or not. Finally, no matter how stable the final *tutti* phrase might sound, it is post-cadential, because it arrives after three events that bear the cadential function to varying degrees.

Thus, in strophe 6, and hence at the background level, Schenkerian analysis is not fully adequate because it imposes upon the music a single point of definite closure that is absent from the musical surface and very possibly from the compositional intent (apart from the final measures). This absence of a single structural ending at the global level is consistent with the large-scale formal type. If all the strophes are variations of each other, none of them overrides the others in importance. According to this logic, it makes sense to suggest Schenkerian interpretations for individual strophes, as I have done above, but not for the whole piece, where one of the strophes would unavoidably prevail over others.

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[332] Just as the last strophe, strophe 4 inclines more toward C major rather than A minor, especially thanks to the cadence on $C^{6/4}$ in m. 27 (if this passage on a G pedal may be called a cadence at all). The refrain, though, strays back to A minor. The refrain cadence, therefore, may be seen as cadence-altering, just as in strophe 3, where the alteration moves in the opposite direction, from A minor to C major.

Though not perfectly representative of the music's behavior, a Schenkerian interpretation is not totally impossible, and one can tentatively develop for it a set of general criteria. For example, a deep-level analysis of the piece would necessarily rely on the cadential hierarchy established throughout the movement. This means that the harmonic arrival before the last and permanent pedal point, i.e., mm. 40–41 (V and I of C, the I with an implied root), would serve as the background dominant and tonic. This moment would also coincide with the arrival of ^1 in the alto's chant phrase, possibly the least ambiguous background event in the piece. The end of the movement thus suggests that C major is the home key, a suggestion that is in itself somewhat one-sided, given the constant interactions of the relative centers in the previous strophes.

Other dimensions of the analysis are still less clear. Even if we accept C major as the only tonic prolonged at the deepest level, where is the opening tonic chord of that background, and does it exist at all? Is it the first C-major moment of strophe 1 (m. 5), the first verse that firmly projects C major (strophe 4), or the tonic immediately before the background dominant (m. 39)? All three would make sense in different ways, but all would also misrepresent an important aspect of the music. The first possibility will show an amount of C-major prolongation difficult to infer from the surface, for m. 5 hardly overrides the many A-minor events of the movement. The second possibility would give undue structural preference to one strophe over others, which on the surface has no particular prevalence, but rather is only one of a series of variation-like sections. Finally, the third possibility conflicts with the extremely smooth, flowing bass line in m. 39, where the C tonic comes in the middle of a stepwise motion, a moment unlikely to bear global significance for a 48-measure-long piece.

One could, after all, say that there is no initial background tonic, that the entire movement represents an immense auxiliary cadence, VI–V–I in C major, with E–D–C for a fundamental line (or is it I–VII–III in A minor?), where the first harmony is composed out through m. 40. This would accord with the overwhelming majority of A-minor verse cadences before the final strophe and with the definite dominance of C in strophe 6, especially its refrains. But even then at least one problem remains: we have to assert a global-level dominant in m. 40, where the actual G chord is weakened by the lack of the leading tone and by the very short bass note G, "buried" within a stepwise surface line. (The same problem, of course, holds true in the other interpretation).[333]

In a word, several background interpretations appear possible, yet none gives a satisfactory result that would definitively override the others. I pay such close attention to the various analytical possibilities not just to show conflicting tonal cues, a situation found in many compositions, especially late- and post-Romantic ones. I want to connect this tonal uncertainly to the defining features of the movement that I have discussed here at length: the avoidance of standard cadential patterns; the weakness of closure in general; and extreme diatonicism coupled with extreme smoothness of surface voice-leading, obscuring and almost denying familiar common-practice voice-leading at deeper levels. Together, these techniques create a process virtually impossible to map onto a Schenkerian graph. The very compositional intention—

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[333] In *Free Composition*, Schenker offers two examples of such incomplete fundamental structures, where an entire piece represents an auxiliary cadence: Examples 110 a3 (Chopin, Prelude op. 28/2) and 110 d3 (Brahms, Intermezzo op. 118/1) (Schenker 1979, volume 2).

uncertainty of center and multiple, simultaneous tonal references—runs contrary to the Schenkerian analysis, which by definition selects a single possibility each time.

In the absence of a convincing Schenkerian background graph, what alternative global picture can we imagine in “Blagoslovi”? I suggest viewing the movement as a repeated 6–5 motion over C at a very deep level. The dominance of the bass C is ensured by the pedal points of the refrains and by the final strophe; the alternating fifth- and sixth-phases of the harmony can be freely chosen by the listener depending on his or her preferences for one or the other local center. In rare cases, such as strophe 2, freedom is very limited, because a single key temporarily assumes control. At the global level, the C tonic proves to be more central because it is its fifth—the tone G—that ultimately prevails in the last several cadences. But in the course of the movement, the multiple motions back and forth between deep-level A-minor and C-major harmonies produce the kind of decentralization that Kholopov considers one of the principal features of mutability. It is tonal decentralization within the diatonic framework of a single system—the natural system.

Janet Schmalfeldt (2011) suggests that musical form exists as a process of becoming. In Rachmaninoff’s “Blagoslovi,” not only form but tonality comes to life through a process of becoming, where retrospection plays an important role. It is a very gradual process, in which the listener moves through potential tonal centers as if gropingly, by guessing possible meanings for every cadence. Rarely can the ear decisively mark a tonic or a dominant of some controlling key; and even after a moment of relative stability, as in strophe 2, the following events overthrow that stability. The progressions, even when they function as cadential due to phrase structure, either elude a single tonal explanation or reject a sense of full closure. Absolute stability is only achieved in the final measures.[334] Now we realize that what we heard in the last few cadences was indeed a tonic. But the arrival of that tonic is blurred, it is gradual, and it exists in dialogue with the previous cadences, where the other center—the relative minor—was often stronger. One might well assert that C major *has become* the tonic by way of being stated in several cadences of varying strength and finally in the last chord.

Functional mixture

Functional mixture, or plural function, according to Swinden (2005, 258), results from multiple meanings of individual scale degrees in a key. A chord that represents the dominant function can also contain an element of subdominant function (D^S), or vice versa (S^D).[335] I touched on the issue of functional mixture in Chapter 4 when I discussed the final cadence in movement 7. In the IV chord of this plagal progression, the leading tone briefly appears. In movement 2, this issue is more significant, mostly because of the idiosyncratic, often decisively non-common-practice surface voice leading. Just as in movement 7, the most interesting instances of functional mixture occur in cadential areas; to explore them, we need to turn once more to Example 6.4, which lists the cadential progressions.[336]

In most cases, functional mixture in this movement involves a combination of scale degrees 1, 2, and 4 in C major—or 3, 4, and 6 in A minor—sometimes with the addition of another tone.[337] The most straightforward example occurs in the refrain cadences that have D in the soprano (Example 6.4 2b). We have already examined the authentic and plagal implications of this cadence in C major in strophes 3 and 6. This double meaning of the chord immediately preceding the cadential arrival as either dominant or subdominant results from the absence of the leading tone. The chord can be heard as either an incomplete II^7 or an incomplete V^7 with the C as an anticipation; the alternative graphs in Example 6.7a and b clarify this distinction with respect to the controlling V or IV harmonies. In the absence of other harmonic or voice-leading cues, one can interpret the chord in question as either D^S or S^D. What makes the options equally viable is, in part, the pedal C, which gives the root of neither D nor S, but of the tonic.

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[334] The gradual confirmation of C major at the end is part of the reason Rachmaninoff repeats the C-major refrain in the final strophe; the other reason is the two—instead of one—textual phrases at this point of the form, which therefore need a double refrain.

[335] "Since any pitch may imply one of several possible chords, a single pitch within a *Klang* cannot represent a single chord" (Swinden 2005, 258). The main function, on which the second function is superimposed, is determined by the bass line, and other voices suggest functions that may conflict with each other. In Rachmaninoff's case, the bass line is not always decisive, mainly because there are so many pedal points. Instead of clarifying the dominating function, the bass often obscures it.

[336] Functional mixture in Rachmaninoff has been discussed in Cunningham (199, 99–113), who calls it hybrid functions. His hybrid functions, however, are restricted to mixtures of tonic with another function and excludes the S–D combinations that Swinden has.

The verse cadences ending on the $C^{6/4}$ harmony, strophes 4 and 6, offer a different case. In strophe 4 (Example 6.4a), the pedal G significantly underscores the D function, so that the penultimate chord of the progression sounds as a D^S: the unresolved suspension C superimposes a sense of a $II^{6/5}$ harmony above the dominating V in the bass.[338] A very similar situation occurs in the verse cadence in strophe 6. This may also be compared to the verse cadence of strophe 2, where a II^6 harmony is superimposed on a G bass, suggesting D^S in C major. The verse being firmly in A minor, however, the functionally mixed chord projects a somewhat weaker version of the D^S function, provided that we accept the tone G as representing the dominant function in A minor (natural).

The most interesting example of functional mixture is found at the very end of the movement, in the post-cadential *tutti* phrase. The bass line, which traverses a complete octave

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[337] These scale degrees constitute the (025) trichord, remarkable for three reasons. First, the trichord is a subset of the proto-harmonic (0257) tetrachord. Second, the trichord is a melodic and modal kernel of much Slavic folk music of the most ancient origins. Finally, the trichord often sounds as a simultaneity in heterophonic folk songs.

[338] For Swinden, this signals an ambiguity of ^4 (F in C major), which, for him, exists as two different tones, one as part of IV and the other as part of V7. They occupy different spots on the *Tonnetz*, built in the context of just intonation (Swinden 2005, 257).

C3–C2, gives a double possibility for its subdivision: does it articulate C–G–C or C–F–C? The question, of course, leads us once again to the authentic/plagal ambiguity, this time with a pedal tone C in the soprano (in contrast to the pedal C in the lower voice in the refrains). G is metrically stronger; F has a clearer chord—IV with an added sixth. In the graph in Example 6.9, I have chosen the plagal option, partly to allude to the traditional Western "Amen" as a post-cadential plagal gesture. And yet, the harmony on the third beat of m. 47 gives a fleeting sense of D. If this is so, then the chord is functionally mixed: it sounds as a V harmony with a superimposed II, and therefore as D^S.[339]

Functional mixture in individual verticalities does not alone create the ambiguity of broader tonal meanings. These depend on vertical sonorities as much as on the behavior of the choral parts, on deeper-level voice leading, and on relationships of harmonies within a given formal unit. But functionally mixed chords are definitely related to the tonal ambiguities that I have explored in this chapter, specifically ambiguities between authentic and plagal progressions. More importantly, plural functions point to several broad and interrelated principles in this movement—unconventional voice leading and the avoidance of cadential clarity. Together, the weak and often tonally evasive cadences, the subtle interactions of relative keys, and occasional functional mixture contribute to the unique character of this piece—the fluidity and elusiveness that I addressed at the beginning. All these techniques reference two stylistic worlds simultaneously: the ancient folk and liturgical layer of Russian music and the subtlety of tonal relationships achieved throughout the late Romantic era. Rachmaninoff's "Blagoslovi" is a masterpiece of stylistic and structural integration—the integration of sacred-Russian and Western-tonal materials.

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[339] In voice-leading terms, V7 with a suspended C, just as in the verse cadences with $C^{6/4}$.

CONCLUSION AND SUGGESTIONS FOR FURTHER RESEARCH

Two years ago, in his 2013 dissertation *Triadic Music in Twentieth-Century Russia*, Christopher Segall wrote that his work "lays some of the groundwork for a renewed interest in Russian music theory. . .Further work will help bridge the gap between the two traditions and establish a profitable and meaningful exchange of ideas" (167). In the two years that have elapsed, as well as shortly before, much has been done in this direction. The recently formed (2011) Russian Society for Music Theory and its active participation in international scholarly events (such as EuroMAC VIII conference in 2014) has greatly promoted the communication between Russian- and non-Russian-speaking theorists. In Russia itself, the journal *Problemy Muzykal'noi Nauki* (Music Scholarship) has recently (2015) introduced an international section, which will include articles in foreign languages—and therefore with new ideas. In the USA, the interest in Russian theory is steadily growing. North American scholars have taken part in music scholarship in Russia.[340] In late 2013, SMT's Russian Theory interest group was formed, to further the collaboration between North-American and Russian music-theory worlds; in 2015, the annual SMT meeting is scheduled to have a Russian scholar session. Given that both traditions are inextricably tied to older European music-theoretical foundations and that some European theorists are also actively engaged in both North American and Russian scholarly events, the growing interconnection of the different traditions, it seems, is bringing the discipline onto a truly global level.

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[340] Patrick McCreless gave presentations in both Moscow and St. Petersburg in October 2009; a few years earlier (2011), he also took part in a conference on Russian and Soviet music at the University of Durham, UK, where Western and Russian music scholars were equally involved. The inaugural meeting of the Russian Society for Music Theory (OTM) included a keynote by Fred Lerdahl (see Ewell 2013).

The present dissertation contributes to the developing intellectual exchange between English- and Russian-language music theories. My goal has been to analyze Rachmaninoff's *Vigil* from the viewpoint of at three major sets of ideas: Schenkerian analysis, notions that originate from Bailey's work (tonal pairing and directional tonality), and the Russian concept of mutability. Beyond the analysis of the movements studied here—movements 1, 2, 7, and 12—I have placed the *Vigil* into two different contexts. First is the theoretical context, the Russian ideas of mutability, which includes many different meanings and conceptual facets. The second contextualization pertains to repertoire—the NRCS, which spans roughly three decades and to which Rachmaninoff's *Vigil* belongs.

In this study, I have only considered selected movements, which do not exhaust the problem of non-monotonality in the *Vigil*. Some other movements also offer instances of non-monotonality, mutability, or tonal pairing (see Example 0.1 in the Introduction for a list of tonal structures in the work). One of these movements is no. 4, "Svete Tikhiĭ" (Gladsome Light), where the monophonic beginning and the subsequent harmonized passage can be interpreted in both C minor and E-flat major. Another example of both tonal pairing and mutability is movement 5, "Nyne otpushchaeshi," where the beginning may suggest a B-flat minor/G-flat major ambiguity; later, however, b flat gradually wins and is confirmed with a 3-IAC at the end. Movements 13 and 14, both non-monotonal, can be explained in terms of mutability; the situation in movement 15 is further complicated by the Mixolydian color of C major at the end.[341]

Apart from an analysis of all the movements that challenge monotonality in the *Vigil*, the work presented here suggests other paths for future research. For one, the study of Russian chant and its motivic organization (*popevki*) can—and should—be further studied not just in the *Vigil*, but in Rachmaninoff's entire output. If it is true that his music deeply engages the Old Russian and even Byzantine church singing tradition, as Khannanov has suggested, this side of Rachmaninoff's works has barely been scratched by analysts. What this work would ideally do, beyond structural and semiotic analysis of *popevki*, is to study the hidden compositional and semantic links between Rachmaninoff's sacred and secular works.

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[341] This unusual situation corresponds to Kholopov's mutable mode in which both the center and the collection change—decentralization of mode without a unifying center.

The present study also suggests expansions of some of its parts. One of these expansions would be a further analytical exploration of Russian church music, both composed (that is, the NRCS) and anonymous (the common church practice). Given the significant amount of music the NRCS produced, and given that the common church practice varies between parishes and constantly evolves, the avenues for such a study are almost limitless. Questions of tonal structure, unity and disunity of key, chant usages, cadential types, and voice leading at all structural levels are some of the musical dimensions to be explored. This dissertation, having analytically introduced the NRCS as an extension of both Western tonal music and the common church practice, sheds new light on the works of Kastal'sky, Chesnokov, Grechaninov, and other Russian composers of liturgical music, and thus allows them to be studied form this angle in the future.

The common church practice and its roots in Old Russian music offer a particularly intriguing avenue for future research. Scholars since the nineteenth century have contemplated the question whether Old Russian chant traditions, such as Znamenny and others, have more ties with Slavic folk music or with Byzantine chant, introduced to Kievan Rus' soon after its

Christianization.[342] It is possible, after all, that both these sources have equally contributed to the formation of Russian chant. Whether or not this is true, the common church practice presents a rather unusual case—a permanent fusion of an older chant tradition, even if simplified, with four-part harmony borrowed from Western tonal music. To be sure, the tonal structures of these two traditions are different, the primary difference being the cadential norms and the frequent tonal disunity of Russian church music. Nonetheless, this fusion is quite extraordinary, in contrast to many other Christian chant melodies, such as Syriac or Byzantine, which have never been subjected to Western-style harmonization.

The common church practice, therefore, offers a rare opportunity for a study of non-monotonality, inherited from older practices, in combination with tonal—or at least at times tonal—progressions, four-part texture, and cadential patterns. How did the 3-IAC and the dominance of ^3 in general become a structural norm in this repertoire? Does it have any connections with folk music? What further suggestions, beyond those outlined here, does it carry for deep-level voice-leading structure and for mutability? Do all non-monotonal structures of the common church practice necessarily rely on relative mutability or on proto-harmony? How strong is the structural relatedness between these two theoretical constructs in the actual music? While some of these questions have been addressed here, they await further study, which may possibly engage connections of this repertoire with Russian folk songs, monophonic chant melodies, or tonal repertoire.

Finally, a separate topic is a further comparison of Russian and North American theories of tonality; the topic of mutability, explored here, is only a small part of the problem. Even though both sides have their roots in French- and German-language theories, such as those by Rameau, Fétis, and Riemann (more influential on the Russian side), the two traditions are different enough with respect to the concept of tonality. This divergence is particularly clear in the contrast between the Schenkerian linear approach and the Riemannian function-based one, brought to new heights by Kholopov. A future comparison of the different ideas of tonality as a theoretical and perceptual phenomenon may help us further investigate non-monotonality in both Russian and Western repertoires.

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[342] See Schidlovsky (1983, 90–92) on Smolensky's idea on the origins of Znamenny chant in Russian peasant songs. Morosan (1986, 11–12), on the other hand, claims that Slavic folk singing was not permitted in church, headed by Greek church officials at the time of Kievan Rus', and that therefore the influence of folk music on chant must have been very limited.

APPENDIX: a glossary of liturgical terms

Sources: Morosan 1986; Kustovsky and Potiomkina 1999; Shmeman 2002

NB: Russian terms are given only in cases when the word is originally Russian or has a standard Russian equivalent.

All-Night Vigil (Russian: *Vsenoschnoe Bdenie*): a service on the eve of Sunday or an important holiday (evening service). Consists of two parts: vespers and matins.

Antiphon: a relatively long hymn sung alternatively by two choirs (left and right).

Cherubic hymn: the hymn that begins with the words "*Izhe kheruvimy taino obrazuiusche*" (Like cherubim, whom we mystically represent). The hymn is part of the Divine Liturgy, in which it opens the second section (the so-called liturgy of the faithful) and accompanies the "great entrance" of the priest through the central gate of the altar. The music of the Cherubic hymn is always composed, usually independently of any pre-existent material.

Divine Liturgy (Bozhestvennaia liturgiia): a morning service on Sunday or an important holiday.

Doxology: the text *Slava Ottsu i Synu i Svyatomu Duhu, nyne i prisno i vo veki vekov* [Glory to the Father, and to the Son, and to the Holy Spirit, as it was in the beginning, both now, and always, and to the ages of ages]. Corresponds to the Latin text *Gloria Patri* etc.

Heirmos (plural: heirmoi; adjective: heirmological), also spelled as *irmos*: a short introductory hymn sung before each ode (that is, section) of a kanon.

Kanon, or canon: a long liturgical poem that consists of nine sections called odes. Each ode can contains one of more troparia. The kanon is a proper (dependent on the occasion) part of the liturgy.

Kontakion (pl.: kontakia): Presently equivalent to troparion, although historically it was a different (longer) type of hymn.

Matins (Russian: *utrenia*): the second part of all-night vigil.

Moleben: a brief service intended as a request or gratitude for a specific benefaction of God, Mother of God, or saints.

Precentor (Russian: *regent*): choir director in a Russian church. The precentor usually conducts and sings at the same time. The precentor's other duty, sometimes delegated to another choir member, is to chant some of the liturgical readings.

Prokeimenon (pl.: prokeimena): a hymn sung before a scriptural reading. Corresponds to the gradual of the Roman mass. Prokeimena are usually sung on one of the eight tone (i.e., use the Octoechos).

Sticheron (pl.: stichera): a poetic insertion into Gospels reading or another scriptural reading (for example, psalms), usually performed in sections in alternation with the reading. The texts of stichera are always proper (i.e., dependent on the occasion). Stichera are usually sung on the eight tones. (i.e., use the Octoechos). The Octoechos contains a full cycle of eight sticheron tones.

Theotokos ("Birth-giver of God" in Greek): one of the titles of St. Mary, mother of Jesus.

Trisagion ("three times holy" in Greek): the text *Sviatyi Bozhe*, *Sviatyi krepkij*, *Sviatyi bessmertnyi*, *pomiluj nas* (Holy God, Holy strong, Holy God, Holy Mighty, Holy Immortal, have mercy on us), repeated three times.

Troparion (pl.: troparia): a short hymn that expresses the main theme of the service. Troparion is the most commonly used type of hymn. The texts of troparia can be both ordinary (independent of the occasion) and proper (dependent on the occasion). Troparia are usually sung on the eight tones (i.e., use the Octoechos). The Octoechos contains a full cycle of eight troparion tones.

Vespers (Russian: *Vecheria*): the first part of all-night vigil

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