Sunken II Chords and Inwardness: A Correspondence Complex in Robert Schumann’s Liederjahr Songs

Alexander J.J. Martin

The Graduate Center, City University of New York

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SUNKEN II CHORDS AND INWARDNESS: A CORRESPONDENCE COMPLEX IN ROBERT SCHUMANN’S Liederjahr Songs

by

ALEXANDER MARTIN

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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Alexander Martin

This manuscript has been read and accepted for the Graduate Faculty in Music in satisfaction of the dissertation requirement for the degree of Doctor of Philosophy.

Date

L. Poundie Burstein

Chair of Examining Committee

Date

Norman Carey

Executive Officer

Supervisory Committee:

William Rothstein

Scott Burnham

L. Poundie Burstein

Harald Krebs

THE CITY UNIVERSITY OF NEW YORK
Abstract

Sunken II Chords and Inwardness: A Correspondence Complex in Robert Schumann’s Liederjahr Songs

by

Alexander Martin

Advisor Name: Professor William Rothstein

This dissertation advances a new approach to text-music relationships with a view to identifying and exploring a specific, recurring text-music relationship in Schuman’s Liederjahr songs. Chapter 1 proposes to update and restructure the taxonomy of possible text-music relationships. I argue that there are four categories of text-music relationships: two conjunctions, viz., correspondences and Widersprüche; and two disjunctions, viz., Gleichgültigkeiten and Eigenständigkeiten. I am principally interested in exploring how structures and tonal archetypes native to Schenkerian theory may function as musical metaphors for themes, ideas, and imagery in the text; a survey of extant literature reveals that Schenkerian analysts typically assert such correspondences using the linguistic formulations of metaphor (some variation on “M in the music IS T in the text”) or analogy (some variation on “m₁ IS TO m₂ in the music AS t₁ IS TO t₂ in the text”). A novel feature of my approach is that text-music relationships are formally expressed using a special symbolic notation. Symbolic definitions often collapse the distinction between metaphorical and analogical prose definitions, allowing analysts to compare seemingly disparate relationships on a level playing field.
In response to Agawu’s criticism that musico-poetic analyses of Lieder are usually ad hoc and one-off (1999), I argue for the possibility of families of recurring text-music relationships, which I call text-music complexes (we may further distinguish between correspondence and Widerspruch complexes). Text-music complexes are archetypes for how some element in the text is mapped onto some element in the music for the creation of musico-poetic meaning in song; text-music relationships are their individual instantiations. As text-music relationships are to individual songs, text-music complexes are to sets of songs whose membership is circumscribed in some predetermined manner (e.g., the songs in a collection or cycle, songs by a specific composer, songs written during a specific historical era, etc.).

Chapter 2 investigates the hermeneutical implications of passages where major V is followed, and prolonged, by minor II. The seeming breach of tonal syntax creates a perceived ebb in the tonal flow and gives the impression that V has somehow turned inward. By analogy to origami, I call this family of V prolongations a dominant sink fold; the Oberquintteiler here is called a sunken II chord, symbolized $\Downarrow$II. Because of their special voice-leading properties and inward affect, $\Downarrow$IIs possess unique potential for creating text-music correspondences.

The central claim of this dissertation is for the existence of a correspondence complex in Schumann’s Liederjahr songs that is bound up with a sense of inwardness. This correspondence complex ($C$) takes $\Downarrow$II as its musical element ($M$), and any form of involution in the semantic dimension of the text as its textual element ($T$); in symbolic notation, it is formally defined by the expression $C_{\text{inwardness}} = M_{\Downarrow}II \otimes T_{\text{inwardness}}$. As evidence for an inwardness correspondence complex, Chapters 3–5 present analyses of three Schumann Lieder in which a $\Downarrow$II in the music is meaningfully coordinated with some form of inward turn, introspection, or heightened subjectivity in the text. The
three songs are “Der Nussbaum” (op. 25, no. 3), “Ich hab’ in mich gesogen” (op. 37, no. 5), and “Berg’ und Burgen schau’n herunter” (op. 24, no. 7).
Acknowledgements

This Heine poem is about the burden of lost love, but it could also be about writing a dissertation. When I set out to write mine, I did not know exactly where to begin writing, and after I had begun, there were times when I felt I would never finish writing it. And yet now I have finished it… To pursue the misreading, the final line of the poem could be interpreted as a humbling reminder: *how* I wrote it is perhaps not so important a question as *who* helped me to write it. I’m honored now to acknowledge some of the people who helped and supported me along the way and to thank them for their contributions.

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In loving memory of my grandma Dot
Introduction

Aim and Scope

With this dissertation, I set out to demonstrate that there exist families of distinct, generalizable, and recurring text-music relationships in the *Liederjahr* songs of Robert Schumann. I am interested primarily in text-music relationships that go beyond word-painting, mimesis, or onomatopoeia. Rather, I concentrate on relationships that are predicated on deeper tonal structures and processes as revealed by Schenkerian analysis. I seek to identify recurring text-music correspondences in which some aspect of the text’s poetic content is reflected in, symbolized by, or embodied by some aspect of the musical structure. When I began work on this project, my working hypothesis was that certain musical structures, or tonal strategies, are amenable to being coordinated with certain broadly construed themes, images, or ideas in the text. In other words, I was interested in exploring the following question: are there shapes in music which lend themselves toward expressing shapes in the text? If so, we might reasonably expect to find recurring marriages of these types as first-level defaults.

This dissertation aims to lay the groundwork for developing a lexicon of stock text-music pairings in Schumann’s songs by reifying them as correspondence complexes—archetypes for how some element in the text is mapped onto some element in the music for the creation of musico-poetic meaning in song. It follows that the codification of different correspondence complexes must be cast in general terms, as the individual instantiations (i.e., text-music correspondences) are always *ad hoc* and unique to a given ecosystem (in this case, a specific song). Correspondence complexes have roughly the same status as musical *topoi* (e.g., horn-call, coup d’archet, pastorale, minuet, etc.), in the sense that they have certain general features (and possibly, but not necessarily, essential elements), yet their individual instantiations vary considerably—often to the point of uniqueness. Along these lines, we
may say that a correspondence complex is a topic for musico-poetic discourse. A novel feature of this dissertation is that both individual instantiations (what I am calling text-music correspondences, or simply correspondences) and families of those correspondences (what I am calling correspondence complexes) may be expressed formally using symbols, thus reducing the need for problematic prose definitions.

This dissertation identifies and maps out one specific correspondence complex in Schumann’s Liederjahr songs. This correspondence complex (ℂ) is characterized by a sense of inwardness. The musical element (𝕄) is a dominant harmony prolonged by its Oberquintteiler, i.e., an apparent II chord. By analogy to origami, I call this apparent II chord a sunken II chord and notate it using the symbol II. The textual element (𝕋) is an inward turn that occurs in the semantic dimension of the text. Using the symbolic notation developed here, this otherwise abstruse relationship may be expressed succinctly by the formulation

\[ ℂ_{\text{Inwardness}} = 𝕄_{\text{II}} \odot 𝕋_{\text{Inwardness}}. \]

As evidence for the existence of an inwardness correspondence complex, I present analyses of three Schumann Lieder that feature a text-music correspondence between II in the music and some form of inwardness in the text: “Der Nussbaum” (op. 25, no. 3), “Ich hab’ in mich gesogen” (op. 37, no. 5), and “Berg’ und Burgen schau’n herunter” (op. 24, no. 7).

To focus the discussion, this dissertation concentrates on practices witnessed in the settings of texts by German poets in the Liederjahr songs by Robert Schumann—that is, songs he composed between February 1840 through January 1841. This important and substantial corpus, chronologically

---

2 Schumann employs a markedly different tonal language when setting texts whose original language is not German. For instance, several of the songs from Myrthen (op. 25) are based on poems by the Scottish poet Robert Burns (1759–1796), as translated by the German dramaturge Wilhelm Gerhard (1780–1858). To Germans, Scotland was the exotic land of the north, home to such mytho-poetic characters as Ossian. Schumann’s Scottish settings—if we may call them that—respond
isolated from Schumann’s other Lieder, provides a sample size that is generous enough for finding common patterns, compositional practices, and tonal procedures. Nonetheless, concepts presented in this study arguably can be applied to a variety of other compositions and styles, a matter to which I shall return in the concluding pages of the dissertation.

Approach

There are many ways of approaching text-music relationships in Lieder. The traditional approach is to start with the poetry, then to look at the music, and then to see whether they are synchronized in any especially meaningful way. Stein and Spillman are representative of this approach: their book is organized into three sections, which consider the poetry, performance practice, and musical analysis, in that order.\(^3\) David Lewin’s approach is similar, but he emphasizes a short writing assignment as a preliminary exercise. A short précis is simply a brief written account of what happens in the poem, and it becomes something of a supplement to the primary text.\(^4\) Lewin’s endeavor is then to investigate ruptures or internal contradictions that arise between the poem, its précis, and what he calls the singer’s map and the music’s map. In his analysis of Schubert’s “Ihr Bild,” for instance, he seizes on discrepancies of temporality. Kofi Agawu’s general approach to song analysis is particularly to the Otherness of the text by eschewing certain conventions of common-practice tonality in favor of musical exoticism. These songs tend to feature drone fifths (simulating bagpipes), modal harmonies (especially III, VI, and VII in natural minor), simple or naïve harmonic vocabulary (e.g., I, V, and their inversions), and melodies drawn from the pentatonic minor.

Some of my findings are consistent with Balázs Mikusi’s exploration of Scottish tonality in Mendelssohn. While Mikusi’s article mentions horn fifths and pentatonic collections as surface expressions of Otherness, he concentrates specifically on an abrupt “excursus to the relative major” as a “topos in Mendelssohn’s multipart vocal works, and that is associated with texts about farewell, wandering, absence, or distance.” See “Mendelssohn’s ‘Scottish’ Tonality?” 19th-Century Music 29, no. 3 (Spring 2006), 240–60. The abrupt motion from tonic minor to a closely related major can be seen in some of Schumann’s Scottish songs, but where Mendelssohn moves to the relative major, Schumann appears to favor the submediant, as in his “Hochländer Abschied,” no. 13 from Myrthen, op. 25. To avoid the complications raised by exoticized tonal languages from this cultural milieu, I concentrate on Schumann’s characteristically German song settings of German poets.


\(^4\) See David Lewin, “Ihr Bild,” in Studies in Music with Text (New York: Oxford University Press, 2006), 135–149. I am reminded of Freud’s principle that, for the sake of dream analysis, the account of the dream—that is, how the dream is communicated, whether in conversation or in writing—is the dream. Lewin’s précis is apparently only concerned with the poetic content, i.e., its semantic meaning. It is not explicitly concerned with the poetic form, i.e., its material features.
robust, balanced, and flexible. He suggests a three-stage approach. Stage 1 begins by collecting data about the music, at first informally (1a), then using an explicit analytical methodology (1b), and finishing with a preliminary interpretation in which musical devices are taken as metaphors (1c). This process is then repeated in the domain of poetry (2a), and the preliminary interpretations are compared (2b). Stage 3 is a more explicit interpretation, which narrativizes the data and is free to draw on information from without (e.g., biography). More recently, Lauri Suurpää’s book on Schubert’s Winterreise adopts a similar approach. Suurpää begins by analyzing the music (using a Schenkerian approach), then examines the poem (using a Greimassian approach), then looks for associations between the two domains. Additionally, Suurpää makes five propositions concerning music’s relationship to the text: 1) music in song is non-representational; 2) music can imitate the text; 3) music and text in Lieder can include similar (or contrasting) emotions; 4) the music and text can have similar underlying structural features; and 5) text-music relationships are established through ongoing and interactive interpretation.

My approach is modelled after Agawu’s informal methodology for analyzing music with text. Whereas Agawu’s approach is a three-stage process, owing to the nature of my project, mine has an additional, inter-opus stage in which text-music correspondences between songs are compared and organized into text-music complexes. All else being equal, I prefer to begin with the music (pace Agawu and Suurpää), but I do not prescribe against starting with the poetry. While Agawu warns that analyzing the poetry before the music may unduly “cast a shadow” over the musical analysis, he and Suurpää both acknowledge that there are cases in which one cannot help but notice important or obvious things about the text. Personally, I prefer to think of these as moments of serendipity rather

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6 See Lauri Suurpää, Death in Winterreise: Musico-Poetic Associations in Schubert’s Song Cycle (Bloomington, IN: Indiana University Press, 2014), esp. chap. 3 and 4.
than invalidating lapses in methodological rigor. We should consider it equally possible that one’s analysis of the music might influence one’s reading of the poetry.

My methodology proceeds as follows:

**Phase 1: Analysis of the Music**

**Phase 1a:** Informal data collection. It is helpful to begin the analysis with a simple data collection, taking account things such as Roman numerals of the harmonies.\(^7\) This notation goes directly onto the score. At this point, the analyst will try to take notice of general features, including the form of the song (e.g., strophic, AABA, or through-composed), any important cadences, any interesting harmonies, etc. A good question to ask at this stage is: “what are the most striking and interesting musical features of this song?”

**Phase 1b:** The next step is to engage in formal data collection and revision. For instance, since my own study that follows is Schenkerian in approach, for me this stage entails a detailed voice-leading analysis of the song. As a bridge between phases 1a and 1b, I often write an informal précis of what is happening in the music, in which I analyze the music in contextually manageable segments (e.g., complete musical phrases, individual couplets, etc.).\(^8\) The point of this phase is to get a sense for how the informal Roman-numeral analysis from phase 1a might be parsed into a more explicitly Schenkerian reading. I begin to employ Roman numerals as *Stufen* rather than as chords.\(^9\) Usually, I try to locate underlying harmonic circuits (Schenker’s term is *Stufenkreise*) and larger phrase structures,

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7 By “traditional” Roman-numeral analysis, I refer to Gottfried Weber’s practice of using upper- or lower-case numerals to dramatize the chord quality (e.g., I for tonic major, i for tonic minor). At this preliminary stage, I employ arrow- or slash-notation for applied chords; modulations are indicated with elbow connectors to show pivot chords or areas. I also circle and label any non-chord tones directly in the score. In the back of my mind, I am already beginning to make decisions about the relative hierarchical status of different chords.

8 Cf. n. 4 above.

9 *Stufentheorie* uses only upper-case Roman numerals. Mode is designated using figured-bass symbols, and modulation is understood with respect to a global tonic.
and then try to get a sense for where tones of the *Urlinie* occur. Once a Schenkerian reading begins to form in my mind, I will draft a voice-leading sketch. A peculiarity of Schenkerian analysis is that it sometimes relies on intuition or leaps of faith on the part of the analyst.\(^\text{10}\) For this reason, sometimes several sketches are necessary. The same basic question from phase 1a returns, now modified to read: “What are the most interesting or striking *structural* features of the song as revealed by the graphic analysis?” Often, interesting or noteworthy features of the harmony and voice leading will stand out to me at this stage. These may or may not coincide with the features observed at phase 1a.

Since this stage requires greater feats of analytical interpretation, another important question to address at this stage is: “What passages in the song are resistant to analysis, or suggestive of multiple readings?” If multiple readings are possible, I recommend outlining how each of these would go, roughly, but to reserve final judgement until after considering the text. In general, I am open to allowing an understanding of the text to influence or even settle analytical decisions; I consider this flexibility a strength in song analysis, not a weakness. In such cases, however, it is imperative that the analysis be well-formed and plausible. While there is often not one single correct interpretation, there are, to be sure, demonstrably *incorrect* readings, and these should be discarded wherever they are recognized.

**Phase 1c:** Preliminary interpretation and the development of metaphors for “purely musical” devices. In my case, the latter correspond roughly to the various Schenkerian techniques employed at different levels of structure (i.e., *M* in my formal notation). The musical features uncovered at phase

\(^{10}\) Carl Schachter argues persuasively that a progressively reductive approach from foreground to background will not always succeed. For some pieces, “[w]hat the analyst must do is to arrive at the intuition of some higher level—middleground or background—and to test that intuition against the totality of impressions made by the piece.” See Carl Schachter, “Structure as Foreground: ‘das Drama des Ursatzes,’” in *Schenker Studies 2*, ed. Carl Schachter and Hedi Siegel (New York: Cambridge University Press, 1999), 302.
1b may suggest a purely musical narrative or process ($m_1 \Rightarrow m_2$ in my formal notation). This stage may precipitate the need for additional theorizing.\footnote{For example, the coordination of apparent II chords with inwardness in the text in Schumann’s Lieder prompted me to theorize in Chap. 2 about V–II progressions in tonal music.}

**Phase 2: Analysis of the Poetry**

**Phase 2a:** Analysis of the poetic form, also known as the prosodic dimension of the text. Following the principles of scansion and text-analysis in Stein and Spillman (1996), for example, the analyst might first consider the poetry’s outer characteristics: how it is organized into lines and stanzas, its rhyme-scheme, rhythm and meter, whether there are any substitutions of poetic feet, what kinds of cadences (line-endings) it uses, etc. At this stage, it is also good to take stock of any noteworthy poetic devices such as alliteration, assonance, the use of internal rhymes, vowel color, etc. To a certain degree, one can make preliminary observations about the poetic form and the musical setting. For example, the stanzaic organization of the poetry will often map directly onto the musical form. Discrepancies between the poetic form and the outer form of the music are often suggestive and invite analytical commentary.\footnote{The distinction between outer and inner form is made by William Rothstein. The former refers to “[t]he thematic aspect of a piece, as well as its layout into phrases and periods,” whereas the latter refers to “[t]he tonal dynamics of a work—its large-scale harmonic and linear layout.” See *Phrase Rhythm in Tonal Music* (New York: Schirmer Books, 1989), 104.}

**Phase 2b:** The next step is to do a close reading of the poetic content, also known as the semantic dimension of the text. What happens in the poem? Using Stein and Spillman as a guideline, for example, one may consider imagery, striking dichotomies, Stimmung, poetic progression, persona, mode of address, peripeteia, etc. In my project, I am primarily interested in the general theme of heightened individuality, especially in the form of poetic introspection, self-discovery, and moments of inwardness.

**Phase 2c:** This phase is only implicit in Agawu’s methodology, but I make it explicit here. At this phase, the analyst is concerned with preliminary interpretation and identification of
correspondences (and non-correspondences) between the poetry’s form and content. Questions to ask at this stage include: “Is there some aspect of the poetic form that is symbolic of what the poem is talking about?” or “In what ways do aspects of the poetic form underline imagery or themes in the text?”

**Phase 3: Consideration of Text-Music Relationships**

From the results of phases 1 and 2, the analyst will have four columns populated, ideally, with interesting items. These include features of the music’s outer form, features of the music’s inner form, features of the text’s poetic form, and features of the text’s poetic content. While the preceding will point up correspondences, Widersprüche, and Gleichgültigkeiten between tone and word (these terms will be defined in Chap. 1), I am primarily interested in correspondences between the inner form of the music and the poetic content of the poetry. In other words, in what ways are structures or processes in the tonal language symbolic of what the poetry is talking about?

**Phase 4: Organization into broader families**

At the next level, findings are grouped into families of songs that share similar structural features and rely on pattern recognition to identify correspondence complexes.

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13 I agree with Schachter when he writes: “Perhaps the most fascinating and greatest settings are those where the tonal and rhythmic structure, the form, and the motivic design embody equivalents for salient features of the text: grammar and syntax, rhyme schemes and other patterns of sound, imagery, and so forth.” See “Motive and Text in Four Schubert Songs,” in *Unfoldings: Essays in Schenkerian Theory and Analysis*, ed. Joseph N. Straus (New York: Oxford University Press, 1999), 209. Agawu, however, cautions against privileging correspondences over non-correspondences and indifference from the outset, as this may marginalize aspects of the music and the poetry that, while interesting in their own separate domains, do not interact meaningfully with the other domain. See Agawu, “Theory and Practice in the Analysis of Nineteenth-Century ‘Lied,”’ 12–13. However, I see no harm in expressing enthusiasm for correspondences afterward. One form of compromise is to include as many complete voice-leading graphs as possible, without discussing every detail. This allows the reader to continue the search for correspondences, non-correspondences, etc.
The Current State of Song Scholarship

The nineteenth-century German art song has attracted a great deal of academic attention. Analyses of songs by Schubert, Schumann, and Brahms are especially well represented in the scholarly literature. When music theorists work with song, however, it is not always with the primary intention of demonstrating how the music interacts with the text. This is because it is possible to talk about a song’s musical dimension in complete or relative isolation. The analysis can make little or no reference to the text and need not delve into text-music relationships. A song excerpt may exemplify a theoretical principle or musical technique just as well as a passage of instrumental music. Thus, Heinrich Schenker famously uses “Aus meinen Thänen sprießen” (no. 2 from Schumann’s Dichterliebe, op. 48) to illustrate the principle of interruption of the fundamental line; he cites it later in his treatise as an example of a three-part song form arising through the expansion of $2/\sqrt{V}$. More recently, Allen Cadwallader and David Gagné have used the vocal melody in “Gute Nacht” (no. 1 from Schubert’s Winterreise, D. 911) to illustrate the melodic technique of descending register transfer. While their analyses of “Wandrers Nachtlied” (Schubert, D. 786) and “Lieb’ Liebchen” (Schumann, no. 4 from Liederkreis op. 24) do make specific and insightful references to the text, any commentary on text-music relationships is ancillary to their primary goal, which is to illustrate how the student might go about analyzing one-part forms. While analysts may talk about text-music relationships, they are under no obligation so to do.

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14 Kofi Agawu writes: “An analysis of song can include observations about musical, poetic[,] or musico-poetic elements. It seems unlikely, however, that an analysis will concentrate exclusively on the poetry and ignore either the music or musico-poetic relations. We are left then with two possibilities, the musical and the musico-poetic. Although different, the two approaches are in fact indispensable to any attempt to explicate the meanings and resources of song.” See Agawu, 22–23.
15 Schenker, Free Composition, trans. Ernst Oster (Hillsdale, NY: Longman, 1977), 36 and 132. See esp. Fig. 22(b).
17 Ibid., 218–230.
18 Indeed, Agawu cautions against the ideological position that analysts must talk about the poetry. See Agawu, 23. Historically, however, when music theorists ignore the text in favor of exploring solely musical relationships, this has
The degree to which an analysis concentrates on musico-poetic elements notwithstanding, several authors have penned penetrating analyses that showcase some of the ways in which word and tone are related in song with precisely that intention. Such analyses are usually one-offs that apply to one song. Typically, they do not allow a third party to use the same method to achieve similar results with a different test subject. This trend is partly explained by what Kofi Agawu calls the problem of \textit{ad hoc} reasoning: “\textit{Ad hoc} thinking sometimes unearths certain ‘marriages of convenience’ between musical dimensions. Although these marriages can often seem arbitrary, arrived at by means of an uncomfortably selected process, they are of some interest on account of their putative artistic value, their rhetorical power[,] or the degree of interpersonal resonance they achieve.”

I prefer to see this as a feature of song analysis, not a fault. The analyst must remain sensitive to a song’s context, its self-contained ecosystem. Additionally, the analyst is occasionally called upon to rely on his or her own artistic intuition to uncover relevant connections. Nevertheless, a measure of repeatability and broader application remain theoretical desiderata. By conceptualizing correspondence complexes, my dissertation addresses the dilemma that song scholarship is “dominated by individual ‘readings.’” My research has a greater potential for wide applicability to other songs and repertoires, while still preserving the elements of personal analytical expression. Additionally, this work contributes to Schenkerian theory, imbuing analytical concepts and techniques with hermeneutical value. In this way,

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tended to elicit criticism from the wider scholarly community, particularly from musicologists. Arthur Komar’s analytical essay “The Music of Dichterliebe: The Whole and its Parts,” published as part of the Norton Critical Score to Schumann’s \textit{Dichterliebe}, is a masterclass in structural analysis, key relationships, and motivic connections, but, despite its analytical rigor, it has been criticized for failing to make any mention of the text. In his review of this critical edition, Eric Sams chides: “[Komar] seems to be uniquely disqualified from discussing op. 48. The poems, he explains, impede his enjoyment of the music. So he offers a 30-page dissertation on harmonic unity and key-structure, which will leave singers wordless and some readers speechless. In the wondrously beautiful month of May, the poet’s love was notable chiefly for linear connections, whether in the foreground or background.” See Arthur Komar, ed., \textit{Dichterliebe: An Authoritative Score, Historical Background, Essays in Analysis, Views and Comments} (New York: W. W. Norton, 1971) and Eric Sams, “Review: Score-Reader’s Digest,” \textit{The Musical Times} 113, no. 1555 (September 1972): 869.
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19 Agawu, 9.
20 Agawu, 3.
21 Beyond the obvious applications to opera and cognate art song genres (e.g., French \textit{mélodie}), my research could be applied to rock and pop songs (to the extent that these are predicated on common-practice tonality).
I hope that my theory of text-music complexes hits what Joseph Straus calls the analytical “sweet spot.”

Schenkerian approaches to text-music relationships in song tend to examine how aspects of harmony, voice leading, and motivic development highlight ideas or imagery in the text. As I see it, there are three broad ways in which Schenkerians approach text-music relationships in the literature. These may be grouped under the headings metaphor, analogy, and rupture (see Chap. 1). The first two approaches, metaphor and analogy, capture two subtly different linguistic ways in which authors talk about text-music correspondences. While these read differently in prose, my formal definition of correspondence device collapses any distinction between them. The third approach is something of a wildcard; it takes as its starting point a discrepancy between the formal and semantic dimensions of the poem as a compositional problem to be solved in the musical dimension.

**Outline**

This dissertation has five main chapters and is organized into two parts. In outlook and attitude, Chapters 1–2 are theoretical, whereas Chapters 3–5 are analytical. This division reflects the author’s conviction that theory and analysis counterpoint each other: though separate and independent, they are equally important and intimately related musical endeavors.

Part I (Theory) begins by contrasting two analytical vignettes in Chapter 1. I next set out to map the territory of text-music relationships and arrive at a comprehensive taxonomy of possible relationships. Prose definitions for the term text-music correspondence are proffered, problematized, and ultimately rejected in favor of a new, formal definition that relies on symbolic notation. The new notation system is vetted against representative Schenkerian approaches to text-music relationships from the extent literature, and is shown to collapse distinctions between two common linguistic

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22 Personal communication.
formulations. The chapter concludes by abstracting from the concept of text-music relationship to arrive at my concept of text-music complex, and proposes a handful of potential candidates.

Chapter 2 provides a theoretical basis for a characteristic musical involution that occurs when V harmony is followed and prolonged by II. This tonal expression of inwardness will be taken as the musical element (M) of the inwardness correspondence complex explored in Part II (Analysis). Chapter 2 begins with an analysis of the ending to Schumann’s “Träumerei” (op. 15, no. 7), which is notable for its seeming breach of tonal syntax. Since the progression V–II is typically avoided in tonal music, I explore how it may nevertheless arise in three possible cases. Of the three cases, the third one accounts for situations like “Träumerei,” where V is expanded by a chord on its upper fifth (Schenker’s term is Oberquintteiler). To make this case more broadly accessible and immediately relatable, I develop a new conceptual metaphor for it by analogizing its linear-harmonic prototype to a folding technique native to origami.

Chapters 3–5 are complete analyses of individual songs that feature a text-music correspondence between sunken II chords and moments of inwardness. The analyses are presented in increasing order of complexity. In Chapter 3 (“Der Nussbaum”), the move from a structural dominant to ∅II occurs directly on the musical surface and is coordinated with the stanza that describes the innermost thoughts of a young woman. In Chapter 4 (“Ich hab’ in mich gesogen”), V and ∅II are related at the middleground but are not contiguous on the musical foreground. Nevertheless, the musical involution remains distinctly audible, and it is aptly suited to the text’s description of a transference of internalized springtime images from the poem’s protagonist to his beloved. Finally, Chapter 5 (“Berg’ und Burgen schau’n herunter”) shows how ∅IIs may be employed in a strophic setting, such that the musico-poetic meaning changes from strophe to strophe. In this
song, the changing meaning of ⊳II describes a narrative arc in which the poem’s protagonist contemplates—and ultimately rejects—suicide by drowning.

**Notes on the Scores**

As my primary text, I use scores from the *Robert Schumanns Werke* edition, edited by Clara Schumann and Johannes Brahms. In addition to being comprehensive and consistent, this edition has the benefit of being widely accessible online through the Petrucci Music Library (IMSLP). The *Liederjahr* songs coincide roughly with the first two volumes of *Series XIII: Für eine Singstimme mit Begleitung des Pianoforte*. Additionally, some 1840 compositions were published in later valedictory collections, e.g., opp. 127 and 142. Some of these songs were originally intended for inclusion in one of the better-known publications, such as *Dichterliebe* (op. 48) or *Zwölf Gedichte* (op. 35), but were withheld and only published toward the end of the composer’s life. I did not consider other vocal compositions for this project, e.g., duets, tercets, part-songs, works for SATB chorus, etc. Songs of these types are grouped in Series X (*Mehrstimmige Gesangwerke mit Pianoforte*), Series XI (*Für Männerschôr*), and Series XII (*Für Sopran, Alto, Tenor, und Bass*). Along the same lines, some of the songs from *Gedichte aus ‘Liebesfrübling’,* op. 37, are explicitly duets and are not considered here (viz. nos. 7 and 12).

A new historical-critical edition of Schumann’s complete works is currently being prepared by Schott Music under the title *New Robert Schumann Edition,* or *Neue Ausgabe sämtlicher Werke* (RSA for short). To date, only two volumes have been released as part of Series VI (*Lieder*). Volume 1 contains selections from Schumann’s late songs (op. 98 and onward); Volume 2 contains the scores to opp. 35 (Kerner *Liederreihe*), 36 (Reinick), 39 (Eichendorff *Liederkreis*), and 40 (various). Where appropriate, I consulted and compared the new edition against the Clara Schumann-Wieck edition.

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24 No. 6 “Liebste was kann denn uns scheiden?” is a special case: it contains duet elements but is mostly for solo voice.
Notes on the Translations

Translation from German to English for “Der Nussbaum,” “Ich hab’ in mich gesogen,” and “Berg’ und Burgen schau’n herunter” are copyright © by Emily Ezust, from the LiederNet Archive (www.lieder.net), and used by kind permission. These translations appear in Figures 3.1, 4.1, and 5.1.

Unless otherwise noted, all other translations are the author’s.

Notes on the Musical Examples

All musical excerpts and scores used in this document—annotated or otherwise—are drawn from music that is in the public domain. All scores are freely available from the Petrucci Music Library (http://imslp.org/).

All voice-leading graphs were made using Sibelius notation software. The graphic analyses represent original work by the author and are copyright to the author.
PART I: THEORY
Chapter 1: A New Approach to Text-Music Relationships

Prelude: Two Little Correspondences

Figure 1.1 Schumann, “Widmung,” no. 1 from Myrthen, op. 25, mm. 1–6

There is a lovely little correspondence between the text and the music in the opening to Schumann’s “Widmung,” the first song from Myrthen, op. 25. Figure 1.1 highlights how in m. 5, at the word *Schmerz* (the German word for pain), the accompaniment introduces F♭. This is the first chromatic note to appear in this song; in the home key of A♭ major, F♭ is an element of modal mixture functioning as b6.¹ Crucially for the correspondence, the substitution of F♭ for diatonic F alters the quality of the II harmony in this measure from minor seventh to half-diminished seventh.² Against the backdrop of its diatonic surroundings, the sudden splash of color at the end of this vocal phrase

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¹ That is, it is borrowed from A♭ minor, the parallel minor mode.
² In traditional Roman numeral analysis, chromatic iiø⁶/⁵ rather than diatonic ii⁶/⁵. In Schenkerian practice, which uses only uppercase Roman numerals qua harmonic *Stufen*, the quality is conveyed by literal figures (as opposed to movable figures). This chord would be notated as II⁶/⁵/b. 
marks this as a rhetorically charged moment. The expressive dissonance of the half-diminished sonority is like a twinge of pain in the music, and—as if by magic—the very meaning of the word Schmerz seems to come alive.3

A strikingly similar correspondence can be found in the first song from Schumann’s op. 39 song cycle with poetry by Joseph von Eichendorff. The first stanza of poetry reads:

1 Aus der Heimath hinter den Blitzen roth
2 Da kommen die Wolken her,
3 Aber Vater und Mutter sind lange todt,
4 Es kennt mich dort keiner mehr.

From the homeland and behind the red lightning
Come the clouds,
But father and mother are long dead,
No one knows me there anymore.

The poem’s protagonist is contemplating the coming movement of heavy thunderclouds on the horizon, clouds that seem to emerge from the same direction as his homeland.4 “If he’s homesick, why does he not simply go home?” we may wonder. But the next two lines reveal the grim prospect of any homecoming: his mother and father are dead and he no longer has any contacts there. He would be a stranger in his own hometown. With this stanza of poetry, Eichendorff conjures in our imaginations the emotional landscape of a Romantic wanderer confronting the knowledge that he can never truly go home.

3 The effect would not have been the same if Schumann had harmonized the passage more conventionally. If we look to the four-measure melody ending on 2, it is possible to imagine a hypothetical re-composition in which m. 5 ends with a half-cadence (i.e., 2/V). Were that the case, mm. 2–5 could have been the antecedent phrase in a parallel period. Schumann’s version, in my opinion, is better described as being in dialogue with a sentence-type theme: I read mm. 2–5 as the presentation and mm. 6–13 as an expanded continuation (fragmentation in mm. 6–9; cadential module in 10–13).
4 I assume a male protagonist because the beloved explicitly identified as female in this cycle (see song no. 12: Sie ist dein! Sie ist deint).
Figure 1.2 Schumann, “In der Fremde,” no. 1 from Liederkreis, op. 39, A section (mm. 1–9)

Figure 1.2 shows Schumann’s setting of these lines. While the vocal melody in mm. 2–5 is harmonized simply with I and V harmonies in the home key of F# minor, the harmonization of the repeated melody in mm. 6–9 is more complex. Once again, a prominent half-diminished sonority serves to highlight the text. Fig. 1.2 highlights how a half-diminished sonority appears precisely where the text describes how the protagonist’s mother and father are long dead (at lange todt). On a superficial level, the first thing that we might notice is that by drawing out the first syllable of the word lange with
an appoggiatura in m. 7, the very meaning of the word—its length—appears to be underscored. This kind of word-painting is of similar status to the correspondence we observed in “Widmung.”

Figure 1.3 Schumann, “In der Fremde,” sublimation of \( \#4 \) in mm. 6–8

This time, however, the musical context for the half-diminished sonority is more complicated. Unlike the II\(^{6/5} \) chord in “Widmung,” which has a local harmonic function as pre-dominant, the half-diminished sonority in m. 7 of “In der Fremde” is enharmonically spelled, making it an apparent seventh chord, i.e., a contrapuntal artefact that arises out of a 7–6 suspension over a VII\(^{6/3} \) chord. Figure 1.3 shows a contrapuntal derivation of the passage and helps to give us a more three-dimensional picture of what is happening. At Fig. 1.3 (a), we can see a prototypical expansion of tonic harmony by downward arpeggiation, \( \hat{1} \hat{5} \hat{3} \), in the bass; meanwhile, a lower neighbor to \( \hat{3} \) in the top voice is supported by a dividing dominant. At Fig. 1.3 (b), an incomplete neighbor chord on \( \#4 \) is prefixed to

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5 I am reminded of Alexander Pope’s famous couplet:

A needless Alexandrine ends the song,
That, like a wounded snake, drags its slow length along.

6 The foreground progression in mm. 1–6 is I–IV–II\(^{6/5} \)–V\(^{4/2} \)–I\(^6 \). “Widmung” and “In der Fremde” are alike in that both expand tonic harmony by moving from I to I\(^6 \), albeit it at different levels. In “Widmung,” this is accomplished in mm. 1–6; in “In der Fremde,” this takes place more locally in mm. 6–8.

7 Cf. Edward Aldwell and Carl Schachter’s discussion of the apparent half-diminished seventh sonority in Wagner’s Tristan und Isolde (Act III): “We use the term apparent seventh chord to indicate complexes of tones that appear to be seventh chords, but that in fact are not, since the dissonance is not caused by a 7th above the root.” See Harmony and Voice Leading, 3rd ed. (Belmont, CA: Thomson and Schirmer, 2003), 415–16, emphasis in the original.

8 See Allen Cadwallader and David Gagné, Analysis of Tonal Music: A Schenkerian Approach, 3rd ed. (New York: Oxford University Press, 2011), 56. Here, V divides the Tonraum (tone-space) of a sixth between \( \hat{5} \) and \( \hat{3} \) governed by I. For
the V chord and the interval between $\hat{5}$ and $\hat{3}$ in the bass is filled in with a passing $B^\#$. The parentheses around $C^\#$ indicates that this note is going to be elided at the next stage.\(^9\) In Fig. 1.3 (c), the removal of $C^\#$ alters the contrapuntal function of $B^\#_2$: whereas it was a passing tone at level (b), it functions at level (c) as an incomplete neighbor to $A_3$. Like ripples in a pond, $B^\#$ is relegated to the status of incomplete neighbor to an incomplete neighbor. The elision also affects the expected behavior of $B^\#_2$, whose desire to resolve upward as a secondary leading tone to V becomes frustrated with the removal of $C^\#_3$. Instead, its energy is redirected downward to $B^\#$. Frank Samarotto has described this as a sublimation of $^\#4$’s tendency to resolve upward to $\hat{5}$.\(^10\) The last change at level (c) involves a substitution of $D^_4$ for $C^_4$ in the inner voice, which transforms the more conventional $V^{4/2}$ into a fully diminished seventh chord in second inversion (i.e., $VII^{04/3}$). This alteration results in contiguous diminished seventh chords in mm. 6–7 and accounts for the dramatic quality of the soundscape of this passage. Finally, at Fig. 1.3 (d), the expressive 7–6 suspension is added in the top voice, yielding a half-diminished sonority on the strong part of the measure. In the actual song, this suspension is realized as an appoggiatura, since the vocal line briefly dips down to $F^4$ before leaping back up to $A^4$. The quotation marks around the $\ø$ symbol above the staff convey that this is an apparent sonority.\(^11\)

By delving deeper into the voice leading of mm. 6–9 in this fashion, we find that there is another text-music correspondence involving the elision of $C^#$ in the bass. In the text, the protagonist

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\(^9\) William Rothstein succinctly explains the process of elision in his article on implied tones: “The consonant point of origin—an octave—in an 8–7 passing motion has been elided; the seventh alone takes its place.” See “On Implied Tones,” *Music Analysis* 10, no. 3 (October 1991): 297.


\(^11\) This is the traditional notation for apparent sonorities. In Chapter 2, I will introduce a new notation specifically for apparent II chords within V.
Is yearning for home, generally, and for his parents—figures that are intimately bound up in the very concept of home—specifically. Ordinarily, the concept of home might map neatly onto an expression of tonic function, but here the reverse is the case, since our protagonist finds himself abroad. The concept of home therefore must be conveyed by some other harmonic function. In this context, I propose that it’s natural for home to be signified by a structural V harmony, as this function helps to establish a musical dichotomy between the concepts of here and there in the poem. When the B♭⁷ chord arrives, it destabilizes F♯ minor tonality (here) and forecasts the arrival of 5 in the bass (there). The deeper correspondence turns out to be between two things that are meant to be there in prospect, but which turn out not to be there in retrospect. In other words, we can understand and appreciate the phantom C♯ as a symbolic representation of the protagonist’s parents. In the text, Vater und Mutter are dead, though our protagonist no doubt wishes they were still alive and able to comfort him; in the music, the diminished seventh chord on B♯ targets a resolution to V, but C♯ fails to appear in the bass. The correspondence is therefore one of absence: the music’s yearning for an absent note in the bass corresponds to the protagonist’s yearning for his absent parents.

In the preceding analytical vignettes, I have briefly explored two different text-music correspondences involving the half-diminished sonority in Schumann’s Lieder. While the correspondence in “Widmung” is relatively straightforward, the correspondence in “In der Fremde” is—upon closer inspection—deeper and multi-layered. The word-painting on the word lange is immediately apparent to a listener with little or no musical training, but the subtle correspondence between the elided 5 in the bass and the poetry is less accessible and requires a more nuanced understanding of tonal processes and structure. This dissertation aims to investigate a family of text-music correspondences that are more like the latter in their complexity. These text-music relationships
hinge upon a structural understanding of harmony and voice-leading as revealed by Schenkerian analysis.

This brief prelude raises several interesting points and serves as a springboard for a discussion of the concept of text-music correspondences in general. In this chapter, I will define some of the basic ways in which music and text may be understood to relate to each other and introduce a new framework and notational system for expressing these relationships formally. I will then differentiate between individual instantiations of correspondence and correspondence complexes, that is, broad families of recurring text-music correspondences that function as musico-poetic topics in Lieder. This is a necessary precursor for asserting the existence of a specific correspondence complex in the second part of this dissertation, a complex that involves the coordination of a special manner of dominant prolongation in the music with the general concept of inwardness in the text.

A Taxonomy of Text-Music Relationships

Let us begin by considering what kinds of text-music relationships are possible and defining key terms. According to Kofi Agawu’s seminal article on Lied analysis, text-music relationships in song fall under three basic categories: 1) text and music may “support or reinforce” each other, 2) they may “contradict” each other, or 3) they may be “indifferent” to each other. Agawu emphasizes that any methodology for analyzing song should produce correspondences as well as non-correspondences. While he is careful to point out that there is no “necessary” relationship between text and music, his three categories appear to account comprehensively for any complete song. That is, for any given song, one can describe any “point,” “moment,” or “area” as falling under one of the

13 This observation is in tension with the article’s optimistic final note: “We await the development of a syntax of song.”
three categories and with the assurance that the sum of all points, moments, and areas shall account for one hundred percent of the song. Let us consider each of these three categories in turn.

The first category of text-music relationship, “support,” describes a correspondence in the everyday sense. The examples from “Widmung” and “In der Fremde” explored in the section above both belong to this category. Since the concept of a text-music correspondence is central to my dissertation, I will provide a fuller definition below, but for now, suffice it to say that in a correspondence, an element in the domain of the text maps onto an element in the domain of music in a direct (or positive) way for the creation of musico-poetic meaning, to the effect that “x goes with y.” Let us call the nature of the mapping between domains (here, a direct or positive relationship) the valence of the text-music relationship.

Agawu’s second category (a “contradiction”) describes an altogether different kind of text-music relationship. Though the valence is not direct (or positive) like the first category, in my view, this describes a type of text-music correspondence nonetheless—but one with an inverse (or negative) valence. This category is commonly used to describe instances of text-music irony, where the text says one thing, but the music conveys just the opposite. As no single term is commonly used in the scholarly discourse to refer to inverse correspondences, I here adopt the term Widerspruch. A flexible German word that has several meanings, Widerspruch connotes contrariety, disagreement, conflict,

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14 Agawu, 12. Agawu’s varied use of language in this paragraph would appear to indicate that text-music relationships can occupy varying spans or lengths. Comprehensiveness is a common methodological desideratum in the field of music theory. For example, both Schenkerian analysis and PC set-class analysis are comprehensive, insofar as they are intended to be able to account for every single note of a piece of music.

15 Although Agawu obviously regards the first category (“support”) as correspondences in the way that I have been using the word up until now, it is unclear from his prose whether he conceives of the second and third categories (“contradiction” and “indifference”) equally as non-correspondences (or perhaps not correspondences), or whether that description only properly applies to the third category. It will shortly become clear that I regard both of the first two categories as correspondences and only the third category as a non-correspondence.

16 Compare Stein and Spillman’s definition of irony as a poetic device: “the expression of one thing to convey something else, often something having an opposite meaning. The power of ironic expression lies in the fact that what is being said is in the form of a dichotomy or duality. Ironic presentations are more complex, richer expressions, and often occur in sarcastic, sardonic, or humorous contexts.” See Poetry into Song: Performance and Analysis of Lieder (New York: Oxford University Press, 1996), 24 and 328.
opposition, protest, etc. The unity in the diversity is that it carries the implication that text and music speak, as it were, at cross-purposes. In a Widerspruch, there is still a text-music correspondence, in the sense that music and text are coordinated for the creation of musico-poetic meaning, but the outcome is one of inversion, i.e., a negative relationship, in the sense that “x goes AGAINST y.”

As with correspondences, Widersprüche can be superficial or deep. For a straightforward and relatively superficial example, consider the following passage from “Lust der Sturmnacht” shown in Figure 1.4. Although the text describes a rising motion at Lenzesblumen aufwärts dringen (spring-flowers strive upwards), the melody that sets this line descends by stepwise motion from C₅ to D₄.¹⁷

Figure 1.4 Schumann, “Lust der Sturmnacht,” no. 1 from Zwölf Gedichte, op. 35, mm. 28–33

¹⁷ Elsewhere, I have used this particular Widerspruch as evidence in support of a love-triangle interpretation of the op. 35 cycle. The B section of this song is, in my view, a fantasy on the part of the cycle’s protagonist: he imagines himself with the beloved (the subject of song no. 2), when, in reality, her heart belongs to the protagonist’s friend (the subject of song no. 6). The passage in question is a retransition from the calm B section (fantasy; union with beloved) to the stormy A section (reality; beloved unavailable). The text-music irony is the first sign that the fantasy is collapsing. See Alexander Martin, “On the Implied Narrative in Schumann’s Op. 35 Liederreihe” (paper presented at the annual meeting of the Music Theory Society of the Mid-Atlantic, Temple University, Philadelphia, NJ, April 2016).
A slightly more complicated instance of *Widerspruch* occurs in “Wenn ich in deine Augen seh” (see Figure 1.5). At the climactic moment when the beloved tells the protagonist that she loves him, the music warns us that something is wrong. Ordinarily, we take it for granted that it’s a happy and joyous occasion when, in German romantic poetry (to say nothing of real life!), one’s beloved says: “I love you.” Heine’s poetry preys precisely and expertly on this expectation, quashing it with the final line: *so muss ich weinen bitterlich* (then must I weep bitterly).

Figure 1.5 Schumann, “Wenn ich in deine Augen seh’,” no. 4 from *Dichterliebe*, op. 48, mm. 12–21

In Schumann’s G major setting, the peripeteia is foreshadowed by the tonicization of A minor. The appearance of a fully diminished seventh chord in m. 13 heightens the tension and generates urgency about what will be spoken. Since fully diminished chords are promiscuous in their possible chords of resolution, it is not until the arrival of the A minor chord in m. 14 that we realize definitively that

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18 Cf. Milton, *Paradise Lost*
all is not well.\textsuperscript{19} Though the beloved says “Ich liebe dich,” the minor quality of the triad tells us that what she truly means is “Ich liebe dich nicht.” The final line of the poem removes all doubt.\textsuperscript{20} Adding to the effect, the first syllable of lie-be is set as an appoggiatura (the surface realization of a 7–6 suspension from m. 13 into m. 14), and the moment is rendered in slow-motion with the indication \textit{ritardando}.\textsuperscript{21}

Since correspondences and \textit{Widersprüche} are alike in uniting words and music in a meaningful way, there is a taxonomic level just above Agawu’s three categories: a binary opposition between text-music \textit{conjunctions} and \textit{disjunctions}. Conjunctions are musico-poetically meaningful; disjunctions are not.

Of the two sub-categories of conjunctions, correspondences are much more common than \textit{Widersprüche}. Paired with the fact that correspondences tend to attract greater attention in scholarly writing,\textsuperscript{22} we may take them as the \textit{unmarked} form of a text-music conjunction.\textsuperscript{23} \textit{Widerspruch} is the \textit{marked} counterpart. And since we know that \textit{Widerspruch} is used to convey text-music \textit{irony}, then correspondence, by implication, can be understood to convey text-music \textit{earnestness}. The reader will

\textsuperscript{19} The chord might have resolved to IV or bVI of G major. Either of these choices would have been apt harmonic settings for an earnest declaration of love.

\textsuperscript{20} While there are several possible interpretations as to why the protagonist should weep bitterly, I personally am fond of (but not in love with) the reading that sees this utterance as the precise moment the protagonist realizes that the beloved is being deceitful.

\textsuperscript{21} Compare the setting of \textit{langtodt} in op. 39, no. 1 as elucidated in the section above.

\textsuperscript{22} Agawu cautions that by placing a high aesthetic value on this category, we might undervalue the other categories. “The overwhelming advocacy of correspondences of homologies […] often leads to the discounting of pertinent information and produces analyses in which the irreducible tension characteristic of any expressive structure that is formed by more than one semiotic system is undervalued.” Agawu, “Theory and Practice in the Analysis of the Nineteenth-century ‘Lied,’” 12–13.

\textsuperscript{23} According to Robert Hatten, “[m]arkedness as a theoretical concept can be defined quite simply as the valuation given to difference. Wherever one finds differentiation, there are inevitably oppositions. The terms of such oppositions are weighted with respect to some feature that is distinctive for the opposition. Thus, the two terms of an opposition will have an unequal value or asymmetry, of marked versus unmarked, that has consequences for the meaning of each term.” See Hatten, \textit{Musical Meaning in Beethoven: Markedness, Correlation, and Interpretation} (Bloomington IN: Indiana University Press, 1994), 34. See esp. Chap 2.
forgive me for pointing out the obvious, but an earnest rapport between text and music appears to be the default in art song.  

Just as conjunctions subdivide into correspondences and Widersprüche, so too do disjunctions have two modes of expression. To begin with, there is Agawu’s nebulous third category, which he describes as the text and the music appearing to be “indifferent” to one another. This could refer to passages of text-setting where aspects of the text are not meaningfully “translated” into the music, or where the music appears to be “unmotivated” by the text. Whereas tone and word unite for the creation of meaning in song with correspondences and Widersprüche, in a non-correspondence they appear together, but no musico-poetic meaning or significance arises from their pairing. These are contexts in which music and text behave like water and oil: they can go together into the same vessel (the song-space, to extend the metaphor), but they will remain separate. Once again, there is no single term for this kind of relationship in the literature, so let us define this as a text-music Gleichgültigkeit (German: indifference or disinterestedness). In a Gleichgültigkeit, an element in the domain of the text is paired with an element in the domain of the music merely coincidentally, such that no musico-poetic meaning emerges. In these circumstances, the relationship between the domains of text and music could be characterized as indifferent (pace Agawu), equivocal, nonplussed, blasé, laissez-faire, detached, lukewarm, disjunct, non-communicative, non-responsive, etc.

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24 Indeed, earnestness is central to German Romantic aesthetics. In The Oxford History of Western Music, Richard Taruskin makes a sophisticated argument about the role of Volkstümlichkeit, nationalism, and the unification of a lyric “I” with a collective “We” (i.e., a common language community— in this case, of German speakers) in shaping Lied aesthetics. See “Volkstümlichkeit: The Romantic Lied; Mendelssohn’s Career; the Two Nationalisms,” chap. 3 in The Oxford History of Western Music: Music in the Nineteenth Century (New York: Oxford University Press, 2010), 119–186, esp. 123–24. Taruskin cites the “Prince Charming” values—honesty, seriousness, simplicity, fidelity, and sincerity—as specifically celebrated in German folklore. He claims that these were “projected” onto German language culture, and, by extension, onto the genres of the Lied and Characterstück. Ibid., 123. German values contrasted sharply with what the Germans perceived as characteristically French and, to a lesser extent, Italian cultural truths: “It alone [i.e., German Kultur] valued das rein Geistige, ‘the purely spiritual,’ or das Innige, ‘the inward,’ as opposed to the superficiality, the amorality, the craftiness and artifice of contemporary civilization, as chiefly represented by the hated oppressor empire, France.” Ibid., 124.

25 Agawu, 12.
26 Ibid.
27 In the American—not the British—parlance.
It is surprisingly difficult to adduce a textbook case of a text-music *Gleichgültigkeit*. One has only to find the slightest modicum of correspondence or *Widerspruch*, and the claim of indifference is undone. To illustrate the dilemma, consider the opening to “Talismane,” shown in Figure 1.6. In this passage, the singer’s melody consists entirely of tonic arpeggiation supported by block chords in the piano accompaniment. The music is relatively undifferentiated, to the point where one might mistake it for a vocal warm-up if it were taken out of context. The rhythms and simple harmonies are suggestive of a march *topos*, but otherwise, there is nothing unique or especially artful about how the words go together with the music. It is doubtful that anyone would hold this passage up as a prime example of how musico-poetic meaning may arise in song. At first blush then, this opening might strike us as a good candidate for a text-music *Gleichgültigkeit*.

**Figure 1.6** Schumann, “Talismane,” no. 8 from *Myrthen*, op. 25, mm. 1–4

The devil’s advocate, however, might point out that even here there is a rudimentary correspondence that obtains in the dimensions of melodic contour and harmony. The statement about the *Orient* ends with a rising gesture, while the statement about the *Occident* ends with a contrasting falling gesture, such that east and west are in binary opposition.28 And yet the text tells us that both east and west belong to god (*Gottes*, genitive case). Similarly, what both statements have in common is

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28 The pairing could be an appeal to the natural world—the sun rises in the east and sets in the west.
that they outline tonic harmony. In sum, the text conveys two things that are simultaneously different and alike, and the music does likewise, albeit in a simple way.

**Figure 1.7** Schumann, “O Sonn’, o Meer, o, Rose!,” no. 10 from *Liebesfrühling*, op. 37, mm. 1–6

A common situation that may give rise to text-music *Gleichgültigkeit* is when the same music is used to set different text. This frequently happens with strophic songs, or with the return of A’ in ABA’ forms and the like.\(^\text{29}\) For example, in “O Sonn’, o Meer, o, Rose!” (see **Figure 1.7**), three different stanzas are sung to the same text. While there is certainly something *triumphant* (*triumphirend,*

\(^{29}\) A highly unusual case in Schumann is *Zwölf Gedichte* op. 35. Song nos. 11 and 12 from this collection both use the same melody to set different text. For a fuller discussion of these twinned songs, see Benjamin Binder, “Intimacy, Introversion and Schumann’s Lieder” (PhD diss., Princeton University, 2006), 166ff.
stanza 1) about the melody’s ascent to D₅ in m. 4, making a case for a correspondence between this same ascent and the meaning of the text in subsequent stanzas (the sea’s arms opening, stanza 2; the thousand-fold of spring, stanza 3) feels like it would be reaching. Here—and elsewhere in this song—I think it is fair to speak of patches of text-music Gleichgültigkeit.

Agawu’s three categories are incomplete—there is one last piece to the puzzle: we must consider passages where only one domain is active. In song, the absent or dormant domain is virtually always the text. Specifi- cally in Lieder, accompanimental preludes, interludes, and postludes are often understood to comment on or clarify some aspect of the text. In these cases, we have a correspondence despite the asynchronous presentation of the two domains. For example, the piano postludes to Schubert’s “Erster Verlust,” D. 226 and “Ihr Bild,” D. 957 may be understood to revoke the singer’s happy major endings by turning to the minor mode, thereby effecting a sort of reverse Tierce de Picardie. These dramatic endings, shown in Figures 1.8 and 1.9, can certainly be plumbed for musico-poetic meaning and provide strong evidence for the possibility that text and music do not need to sound simultaneously for us to perceive a musico-poetic association.

30 Though rare in Lieder to the point that I know of no examples, this could potentially include areas where the accompaniment is tacit and the singer literally reads the text aloud. This device is more common in popular music. To offer but one famous example, Pink Floyd’s Dark Side of the Moon (1973) ends with a man speaking the words: “There is no dark side of the moon really. Matter of fact, it’s all dark.”

31 I use the term loosely to describe a change of mode. In “Erster Verlust,” the nature of the mode change is defined by a Relative (R) transformation (Ab → f), while in “Ihr Bild,” it is defined by a Parallel (P) transformation (B♭ → b♭).

Figure 1.8 Schubert, “Erster Verlust,” D. 226, cadence-altering suffix in mm. 17–22

Figure 1.9 Schubert, “Ihr Bild,” no. 9 from *Schwanengesang*, D. 957, mm. 31–36

By the same token, however, it would be overreaching to claim that every prelude, interlude, or postlude always and exhaustively bears an explicit relationship to some element in the text. We must acknowledge that the accompaniment can, at times, be called upon to fulfil strictly musical duties: preludes sometimes do little more than introduce a key and establish a texture; interludes sometimes provide simple fills between lines of text; and postludes sometimes consist of a stock cadential
formula. To account for this possibility, let us add a new, fourth category to Agawu’s three: we will call this sub-category of text-music disjunction an *Eigenständigkeit* (German: independence, discreteness, autonomy, self-reliance, etc.). This category allows us to account for accompanimental preludes, interludes, and postludes that are, either in whole or in part, not understood to comment in some way on the text, which is literally absent during the passage in question.\(^{33}\) Although rare in song, this category could also be applied to passages with lengthy melismas or to music sung to a neutral syllable.\(^{34}\)

Agawu describes disjunctive passages as the “positive residue” of song, by which I understand him to mean that these are the areas that remain when all instances of correspondence and *Widerspruch* have been accounted for and tallied up, as it were.\(^{35}\) While it might strike us initially as undesirable to have some, or even any, *Gleichgültigkeit* or *Eigenständigkeit* between word and tone in art song, the existence of disjunctions is actually a necessary precondition for the possibility of song. If we consider song to have a *musico-poetic texture*, that is, as having an optimal balance between conjunctions and disjunctions, then disjunctions are the backdrop against which correspondences and *Widersprüche* stand out—the bed of black, nighttime sky against which the stars shine.\(^{36}\) In much the same way that musical rests perforate the sounding of tones and allow the music to breathe, so too must disjunctions separate and cast into relief any correspondences or *Widersprüche*.\(^{37}\) To drive the point home, consider a hypothetical world in which a requisite in art song were that every single note should bear a non-

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\(^{33}\) This category is not intended to encompass *vocalises*, *Lieder ohne Worte*, and other forms of music that only allude to a text. In cases such as Brahms’s *Intermezzo* op. 117, no. 1 or Zemlinsky’s *Fantasie* op. 9, no. 1, where poetry is presented alongside the music, it is more accurate to speak of a *paratext*. Any musico-poetic meaning that arises due to the pairing of music and paratext happens in a different space than song or texted music with conventional text setting.

\(^{34}\) However, onomatopoeias such as *So la la!* for the sound of Damon’s flute in Wolf’s “Die Bekehrte” (no. 28 from *Goethe-Lieder*) would more properly be classified as a form of correspondence. For more on onomatopoeia and other forms of imitation as a form of text-music correspondence, see Lauri Suurpää, *Death in Winterreise*, 31–32.

\(^{35}\) Agawu, 12.

\(^{36}\) It would be beyond the scope of this project for me to make any claims or prescriptions as to what the optimal balance is or should be.

\(^{37}\) One of my clarinet teachers once told me, “breath is music, too”; the same may be said of silence.
trivial relationship to the text.\textsuperscript{38} The burden on song-writing would be one of maximally dense musico-poetic texture without any disjunctions. This constraint would afford the composer too little freedom—it would hardly be possible for composers to set many longer poems, e.g., ballads. A regrettable side-effect would be that moments of conjunction would become trivialized. As the saying goes, if everything is important, then nothing is important.

One wonders: is it possible for a text-music \textit{Gleichgültigkeit} to convey what the poetry is talking about despite the definition we have just ascribed to it? I can adduce no examples at present (and have labored in vain to find any), but I can well imagine a hypothetical situation in which the text describes an \textit{Gleichgültigkeit} (between \textit{dramatis personae}, say), and a Lied setting reacts to such an element in the text by having the music run its own course. In this imagined context, however, we are back to describing a correspondence. This thought-experiment goes to show that, under certain conditions, what would normally be taken as a text-music \textit{Gleichgültigkeit} might be taken as a correspondence or \textit{Widerspruch}.

The four text-music relationships explored in this section and their attributes are summarized below in \textbf{Figure 1.10}. This chart assigns each category a symbol, which will come into play when I introduce my notational system.

\textsuperscript{38} This could perhaps be read as an exaggeration of Hugo Wolf's Lied aesthetics. In fact, the Wolf-Brahms controversy—which is usually recast from the perspectives of text-setting (esp. declamation), form, and the primacy of text versus music—could be recast as a disagreement as to the optimal musico-poetic texture in song, with Wolf advocating for a relatively denser texture, and Brahms advocating for a relatively looser texture. For a good introduction to the Wolf-Brahms controversy, its influence on the reception of Brahms's Lieder, and its bearing on analytical approaches to song, see Heather Platt, “Hugo Wolf and the Reception of Brahms's Lieder,” chap. 4 in \textit{Brahms Studies: Volume 2}, ed. David Brodbeck (Lincon, NE: University of Nebraska Press, 1998), 91–111. Summarizing the two composers' contrasting approaches, Platt writes: “Wolf, influenced by Wagner, advocated a more realistic approach to text setting in which declamation approaches natural speech rhythms; as a result, his works include a considerable array of rhythmic values used in ever varying combinations. Brahms, by contrast, relied on the style of rhythmic patterns typically found in folk music, and while he did strive to place accented syllables in their metrically correct position, the Wagnerian style of rhythmically differentiating individual syllables was not an important part of his technique” (ibid., 96).
Figure 1.10 A taxonomy of text-music relationships and their attributes

Text-Music Relationships

<table>
<thead>
<tr>
<th>Type</th>
<th>Conjunction</th>
<th>Disjunction</th>
</tr>
</thead>
<tbody>
<tr>
<td>Category</td>
<td>Correspondence ((C))</td>
<td>Widerspruch ((W))</td>
</tr>
<tr>
<td>Valence:</td>
<td>• Directly related (or positive)</td>
<td>• Inversely related (or negative)</td>
</tr>
<tr>
<td></td>
<td>• “x goes WITH y”</td>
<td>• “x goes AGAINST y”</td>
</tr>
<tr>
<td>Conveys:</td>
<td>• Earnestness</td>
<td>• Irony</td>
</tr>
</tbody>
</table>

Attempting to Define Correspondence in Prose

Since it will be my stock-in-trade for the remainder of this dissertation, let us narrow our focus and attempt now to arrive at a working definition for text-music correspondence. As we shall see, attempting to pin down an acceptable prose definition for this concept presents many challenges. I would like to begin with one of my favorite quotes from Carl Schachter’s essay “Motive and Text in Four Schubert Songs.” Writing about the development of a simple motivic figure in the accompaniment and how it appears to capture the idea of nature speaking the beloved’s name in Schubert’s “Der Jüngling an der Quelle,” Schachter writes: “the musical image is, in symbolic form, what the words talk about.”\(^{39}\) Although Schachter was writing about a specific instance of correspondence, his definition could well be broadened to give us a working definition for text-music correspondences in general: to wit, a text-music correspondence is a musical image that is, in symbolic form, what the words talk about.

As a working definition, however, this formulation is not without limitations. We might ponder, for instance, the precise meaning of musical image. Does the musical element necessarily have to have an iconic or visual aspect to it? Or is Schachter’s language purely metaphorical? The discussion surrounding Schubert’s “Nacht und Träume” would suggest that the latter is the case. The central conceit of his analysis is that the G-major passage gives the song a “great central image” as a middleground expansion of the chromatic passing tone F♮ of an earlier F#–F♮–G♮ motive at the foreground:

By combining in a single sonority two different and contrasting orders of musical reality, Schubert gives this song a great central image; the song embodies a musical symbol of dreams. The G-major section crystallizes around a most transitory musical event—a chromatic passing tone. Yet, while we are immersed in it, it assumes the guise of that most solid tonal structure, the major triad. Only at “Wenn der Tag erwacht” does its intangibility become manifest; it vanishes, never to return except as an indistinct memory in the G♮s of the coda.40

Schachter’s description does not assert that there is any Augenmusik in the score. Rather, the image he invokes seems to be more like an imagined animation—a stop-motion picture whose individual frames consist of each stage in the contrapuntal embellishment as presented in his five-part explanation of the G-major passage.41 It seems desirable that a fuller definition should allow for musical images in both the literal, iconic sense, and in the figurative sense used by Schachter.

Another difficulty is that this definition seems to privilege connections between music and the semantic content of a poem (“what the words talk about”), while leaving aside the possibility that the music could be coordinated with technical aspects of a text (i.e., the poetic form; the materiality of the poem, i.e., how the words, themselves, sound). Now, it may be that from an aesthetic standpoint we assign great value to correspondences between certain elements in the text and music, but any general

40 Ibid. 217. Emphasis added.
41 Ibid., 218–19. See Ex. 8.10.
theory of text-music relationships should be equipped to describe correspondences between any two elements.

With the preceding discussion in mind, I define a text-music correspondence provisionally as any form of meaningful resonance between any element from the domain of the text and any element from the domain of the music. More specifically, correspondences may be said to occur when some aspect of the text is reflected in, symbolized by, or embodied by some aspect of the music. This new definition covers more area and avoids the shortcomings of the previous working definition, but two new deficiencies have arisen to take their place. The hydra’s new heads are 1) there is insufficient differentiation between the forms of expression I have listed (reflections, symbolizations, embodiments, etc.), and 2) the nature or threshold for “meaningful” requires clarification.

To the first point, an immediate difficulty arises when we ask ourselves: is there any substantial difference between a correspondence predicated on something in the text being symbolized as opposed to, say, embodied by something in the music? The same difficulty arises when we go to define Widersprüche or Gleichgültigkeiten (cf. the panoply of characterizations offered for these relationships in the section above). While it is desirable that we use different words to convey some degree of nuance, these characterizing words all appear to be synonymous with each other as connective tissue in practical terms. I propose that prose definitions of correspondence may all be understood to do the same kind of analytical work. When song scholars assert connections between word and tone in their analyses, what they are really doing, fundamentally, is identifying some element of the text that goes with some element of the music. Whether the nature of that goes with is best characterized as symbolizes,

42 Similar in this regard are formulations involving “highlighted by,” “supported by,” “reinforced by,” “underscored by,” etc.
embody, stands for, etc. is a matter of nuance and not of kind—in their musico-poetic function, they are all roughly equivalent.

Then there is the second difficulty: what does it mean for something to be meaningful? Yes, it’s a ridiculous question, but there it is. We could chase our tails all day long on this matter, but ere we become too dizzy, I would like to suggest the following as a useful starting point: for a correspondence to be meaningful, it must claim some value or merit for being reified as such. The identification of a correspondence is an intersubjective matter that requires an analyst (or listener, performer, etc.) to stake a claim and argue it. In this spirit, one of Lauri Suurpää’s five propositions in *Death in Winterreise* is that the analysis of musico-poetic relationships is an ongoing process that is subject to negotiation: “Analysis of musico-poetic associations is therefore not a quest for the ‘true’ assessment of text-music relationships but rather a process of seeking plausible interpretations or associations between music and text, interpretations that may well co-exist with other equally plausible (but different) interpretations made in other analytical contexts.” The threshold for acceptance will naturally vary from person to person, but as a rule of thumb, a correspondence is meaningful if one can bring it to another person’s attention such that he or she would welcome it. In my experience, the greater the enthusiasm for the correspondence, the more meaningful the correspondence. To speak plainly, correspondences are meaningful if they identify a union that people like—whether because it’s poignant, poetic, beautiful, artful, amusing, useful, etc. The currency of the realm changes with each changing of the guard, and, as with all art, tastes will vary: one person’s correspondence is another’s Gleichgültigkeit.

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43 I am reminded of a personal experience as a performer. As a clarinetist, I would sometimes stray from the composer’s expressive indications in a score. Rather than chastise me for not playing what was written on the page, my teacher, Peter Stoll, would encourage me to explore my natural instincts. The caveat was that I had to make my interpretation believable through my playing—no amount of verbal explanation would suffice. “Convince me,” he would say. If I could convince him in performance, I could continue to play it my way. If not, I had to play as written.
44 See Lauri Suurpää, *Death in Winterreise*, 40.
Toward a Formal Expression of Correspondence

What is currently missing from the discourse on text-music relationships is a formal method for expressing such relationships in general terms. Drawing inspiration from Lauri Suurpää’s use of Greimasian narrative theory to represent symbolically the conjunction or disjunction between Subject and Object in Schubert’s *Winterreise*, I here introduce an abstract system of notation that will allow us to discuss text-music correspondences on a flattened playing field.\(^\text{45}\)

Correspondences may be defined and expressed formally as:

\[ C = M \otimes T \]

where \( C \) is the correspondence as it arises in song-space, \( M \) is some element from the domain of music, \( T \) is some element from the domain of text, and the marriage symbol (\( \otimes \)) asserts that their union produces musico-poetic meaning in song. Subscripts are used to convey more specific information about the individual elements, or, where this would be too cumbersome, one may specify the details in accompanying prose, e.g., “where \( M \) is such-and-such in the music.”

“Element from the domain of the text” is broadly construed for maximum flexibility. To give the reader some sense of the possibilities, this could be any aspect of the text’s poetic form (e.g., rhyme, assonance, poetic meter, enjambment, vowel color, etc.) or its semantic content (e.g., theme, idea, imagery, symbol, poetic progression, etc.). “Element from the domain of the music” is likewise broadly construed. This could be any aspect of the music’s pitch language (e.g., harmony, melody, counterpoint, voice-leading etc.), rhythm (e.g., meter, declamation, rhythmic dissonance, etc.), form (e.g., large-scale form, phrase structure, cadence scheme, etc.), timbre (e.g., orchestration, etc.).

\(^{45}\) Ibid., esp. 42–48.
instrumentation, etc.), texture (e.g., thickness or thinness, elements of figuration, etc.), or expression (e.g., dynamics, expressive indications, phrasing, etc.).

For example, if we want to describe the correspondence that obtains between the half-diminished chord and the word *Schmerz* in “Widmung” (see Fig. 1.1), we could write:

\[ C = M_{II}^{ø7} \text{ chord } \bowtie T_{\text{pain}}. \]

Such correspondences are typically expressed as metaphors by song scholars, who will write something to the effect that “element *M* in the music IS element *T* in the text.” The connector, “IS,” may be replaced by another verb (such as symbolizes, supports, underscores, etc.) for shading and nuance in prose. In this instance, we would understand the musico-poetic meaning of correspondence as: “The half-diminished II chord in the music IS the pain that’s described in the text.”

I explore below how this looks in selected examples from the Schenkerian literature.

In the prototypical formulation above, the terms are arranged such that the musical element comes first. This reflects a long-standing tradition in the reception of Lieder where the song setting is understood as an interpretation or commentary on the poem. However, the terms may be re-arranged freely: we could just as easily write “the pain that’s described in the text IS the half-diminished II chord in the music.”

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46 I here take the first of William Rothstein’s two dictionary-style definitions of the term: “Phrasing (noun): 1. the delineation and internal shaping of *phrases* (see definition above) by a musical performer. Includes both the joining of notes into phrases and the separation of these phrases from each other.” In other words, “the entire panoply of means—dynamic, rhythmic, and articulative—by which a good performer communicates the phrase structure of a piece of music.” See Rothstein, *Phrase Rhythm in Tonal Music* (New York: Schirmer Book, 1989), 11–12. Phrasing can be indicated in the score (by the composer, editor, or performer), or it can emerge in live performance.

47 Cf. Schachter’s emphasis in his formulation: “the musical image IS, in symbolic form, what the words talk about.” See n. 39 above.
Where $W$ is a *Widerspruch* in song-space, *Widersprüche* may be similarly defined. For example, if we want to represent the *Widerspruch* “Wenn ich in deine Augen seh’” (see Fig. 1.5) we could write:

$$W = M_{\text{A minor triad}} \otimes T_{\text{Love}}.$$ 

Since *Widersprüche* convey text-music irony, the divorce symbol ($\otimes$) is used in the place of the marriage symbol ($\otimes$) in the above formal definition.

There does not appear to be a need to define text-music disjunctions (i.e., *Gleichgültigkeiten* and *Eigenständigkeiten*) in this manner at present, but the theoretical apparatus is in place should the need arise.

Correspondences may be either simple, as above, or compound. Where simple correspondences describe a one-to-one mapping between elements in the domains of text and music, compound correspondences describe many-to-many mappings. When elements $M$ and $T$ are processes, changes, or transformations, these terms may be expanded, for example, to convey the initial and final states.

A compound correspondence is defined by

$$C = (m_1 \Rightarrow m_2) \otimes (t_1 \Rightarrow t_2)$$

where $M = (m_1 \Rightarrow m_2)$, $T = (t_1 \Rightarrow t_2)$, and the double-arrow symbol ($\Rightarrow$) indicates a change of state, i.e., $m_1$ becomes $m_2$. Compound correspondences may be expressed linguistically as an analogy: “$m_1$ IS TO $m_2$ in the domain of music AS $t_1$ IS TO $t_2$ in the domain of text.”
These relationships are summarized in Figure 1.11.

**Figure 1.11 Summary of notations for correspondences**

<table>
<thead>
<tr>
<th>Simple</th>
<th>Compound</th>
</tr>
</thead>
<tbody>
<tr>
<td>Formal Notation</td>
<td>$C = M \otimes T$</td>
</tr>
<tr>
<td>Linguistic Formula</td>
<td>Metaphor&lt;br&gt; e.g., “$M$ IS $T$”</td>
</tr>
<tr>
<td></td>
<td>$C = (m_1 \implies m_2) \otimes (t_1 \implies t_2)$</td>
</tr>
<tr>
<td></td>
<td>Analogy&lt;br&gt; e.g., “$m_1$ IS TO $m_2$ AS $t_1$ IS TO $t_2$”</td>
</tr>
</tbody>
</table>

Finally, let it be noted that the depth of a correspondence in no way depends on its form. Just because a correspondence is of the simple form does not necessarily imply that it cannot be deep or complicated in its realization. For example, the correspondence I identified in “In der Fremde” between the absence of $\hat{5}$ in the bass and the absence of the protagonist’s parents could be cast in simple form (e.g., $C = T_{absence \ of \ parents} \otimes M_{absence \ of \ c5}$). Similarly, that a correspondence is presented as compound does not preclude the possibility that its realization could be facile or superficial. With these disclaimers in place, I would hazard to point out that authors tend to gravitate toward expressing correspondences in compound form when they want to make an especially sophisticated argument.

**Schenkerian Approaches to Text-Music Correspondence**

Schenkerian approaches to text-music relationships in song tend to examine how aspects of harmony, voice leading, and motivic development highlight ideas or images in the text. For better or for worse, Schenkerians seem to privilege correspondences over *Widersprüche*. Typically, various techniques of melodic or harmonic prolongation native to Schenkerian theory are taken as musical representations for things in the text.

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48 See footnotes 22 and 24 above. There is no cabal; the likeliest explanation for the prevalence of literature surrounding correspondences is that correspondences are simply more common than *Widersprüche*.
Take, for instance, the concept of an initial ascent, or *Anstieg*. This is the term for an ascending linear progression that culminates in the arrival of the *Kopfton*, e.g., \( \hat{1} - \hat{2} - \hat{3} \) in a piece read from \( \hat{3} \). In *Free Composition*, Schenker describes how the initial ascent represents a retardation, or delaying action, at the outset of a piece.\(^{49}\) This delay can allow motion in the bass so that the *Kopfton* arrives over a harmonic *Stufe* other than I (e.g., \( \hat{3} \) over VI), but it can also serve a musico-poetic purpose. Schenker rarely makes musico-poetic observations in *Free Composition*, so it is notable that he reads the initial ascent in Schubert’s “Der Schiffer,” D. 694 as a metaphor for breathing in the poetry: “the initial ascent virtually depicts the breathing (‘atme kühl im Licht des Mondes, träume süß im stillen Mute’— ‘breathing coolness in the moonlight, dreaming sweetly here in silence’).”\(^{50}\)

Figure 1.12 is a reproduction of Schenker’s graph (with minor notational updates); Figure 1.13 shows the music for the highlighted portion in Fig. 1.12.

Figure 1.12 Schubert, “Der Schiffer,” D. 694, reproduction of Schenker’s graph from *Der freie Satz*

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\(^{49}\) Heinrich Schenker, *Free Composition* (Hillsdale NY: Longman, 1977), 46, § 124, and Fig. 39,1.

\(^{50}\) Ibid. See esp. Fig. 39, 1.
Schenker’s laconic observation is presented as a simple correspondence of the form 

\[ C = M_{\text{initial ascent}} \otimes T_{\text{breathing}}. \]

However, the very concept of an initial ascent entails a process with beginning- and end-points, so we have the option of transforming our simple correspondence into a compound correspondence by expanding \( M \) to show that \( D_4 \Rightarrow F \#_4 \).

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51 Schenker’s sketch of this song does not provide measure numbers, so the notes I have identified as partaking in the initial ascent represent my interpretation. Note that I read \( \sharp/\flat \) in the accompaniment rather than on \( \text{Licht} \), since the singer’s \( E_5 \) decorates \( D_4 \) as part of a double neighbor figure, \( D-C\#-E-D \).
Since many-to-one and one-to-many mappings are problematic (at least formally), it follows—and this is where it gets interesting—that we may expand $T$ as well. That is,

$$C = (m_{D4} \Rightarrow m_{F#4}) \otimes (t_1 \Rightarrow t_2)$$

where $(m_{D4} \Rightarrow m_{F#4}) = M_{\text{Anstieg}}$ and $(t_1 \Rightarrow t_2) = T_{\text{breathing}}$.

How do we solve for $t_1$ and $t_2$? Breathing is also a process; it consists of alternating between inhalation and exhalation: in the former, the lungs move from a state of being empty to being full; in the latter, from full to empty. I propose that the rising melodic motion in the music maps more naturally onto the process described by inhalation, since inhalation is a kind of expansion, or opening-up. We can complete Schenker’s thought antithetically by remarking that if the initial ascent represents an inhalation, we may regard the descending third-progression $F#–E–D$ (mm. 14–15) as the complementary exhalation, which balances the line in the musical domain and completes the poetic image.\(^{52}\)

In his attempt to exemplify how a Schenkerian poetics of song might proceed, Agawu similarly reads a correspondence between the text and an initial ascent to $\hat{3}$ in the music of “Seit ich ihn geseh’n,” the first song in Schumann’s cycle Frauenliebe- und Leben (op. 42). The relevant passage is shown in Figure 1.14.

\(^{52}\) Fig. 1.12 clarifies that the inhalation and exhalation belong to the same structural level in the $A_1$ section.
Figure 1.14 Schumann, “Seit ich ihn gesehn,” no. 1 from Frauenliebe- und Leben, op. 42, initial ascent (F–G–A–B♭–C–D) in first strophe

Unlike Schenker’s remarks about “Der Schiffer,” Agawu’s discussion is presented more as a compound correspondence:

I have said that the climactic region begins with the phrase ‘Wie im wachen Traume’. This phrase contains the first deeper-level structural pitch (white note D in the top voice). One way of interpreting this feature is to say that the protagonist’s awakening from her dream, conveyed forcefully by means of an Anstieg, contrasts with the attainment of 3, which represents the real world.

53 In this initial ascent, E♭ substitutes for C♭ in the sixth-progression. This is possible because C is part of the imaginary continuo in m. 8, beat 1.

54 Agawu, “Theory and Practice in the Analysis of the Nineteenth-Century ‘Lied,’” 28. Incidentally, I disagree with Agawu’s placement of the Kopfton in his foreground graph (see Ex. 2c). In my opinion, 3 is better read as arriving over B♭ in m. 11.

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Reformulated, we have the assertion that “the maiden’s dream-world IS TO the waking world in the text AS the start of the sixth-progression (F₄) IS TO the arrival of the Kopfton (D₅) in the music.” We could represent this formally as:

\[ C = (m_{F_4} \Rightarrow m_{D_5}) \oplus (t_{\text{dream}} \Rightarrow t_{\text{waking world}}). \]

With “Der Schiffer,” I showed that we could transform a simple correspondence into a compound correspondence, but here we can go the other way around—we can recast the compound correspondence as a simple correspondence:

\[ C = M_{\text{Anstieg}} \oplus T_{\text{awakening}}. \]

The possibility of simplifying a correspondence that has initially been asserted as compound, or the reverse, allows us to compare and equate seemingly disparate correspondences in new ways.

As I see it, there are three broad ways in which Schenkerians have approached text-music relationships. These may be grouped under the headings of metaphor, analogy, and rupture. We have already encountered the first two approaches, metaphor and analogy: they capture two subtly different linguistic ways in which authors talk about text-music correspondences. While these read differently in prose, my formal definition of correspondences collapses the distinction between them, as I have demonstrated in my discussion of “Der Schiffer” and “Seit ich ihn geseh’n.” Text-music relationships that are presented in prose explicitly as a simple correspondence, i.e., \( C = M \oplus T \), may nevertheless conceal an implicit compound correspondence, i.e., \( C = (m_1 \Rightarrow m_2) \oplus (t_1 \Rightarrow t_2) \), and vice versa. Whether a simplification is possible usually depends on whether there exists a single word or concept that can stand for a textual or musical process (such is the case, for example, with Anstieg or auxiliary cadence).
As approaches to text-music relationships, metaphor and analogy both proceed from the assumption that the music will go with the text in some meaningful way. They are usually presented as *ad hoc* interpretations or readings of an individual song. As for the third approach, rupture, it is something of a wild card. It takes as its starting point a discrepancy between the formal and semantic dimensions of the text as a compositional problem to be solved in the musical dimension.

**Metaphor.** The first approach asserts a simple correspondence between a single Schenkerian technique or concept in the musical dimension as a metaphor for something in the textual dimension (e.g., theme, image, trajectory). The argument for this type of essay can be summarized as “this thing, M, in the music *is*, in symbolic form, this thing, T, in the text,” or, even more succinctly, “M *is* T.” The claim is therefore explicitly $M \Leftrightarrow T$, but often, it is also implicitly $(m_1 \Rightarrow m_2) \Leftrightarrow (t_1 \Rightarrow t_2)$, since M and T frequently have initial and final states. Charles Burkhart’s analysis of two songs from Schumann’s *Liederkreis*, op. 39—“Mondnacht” (no. 5) and “Schöne Fremde” (no. 6)—demonstrates this kind of musico-poetic assertion.\(^{55}\) Consider the following passage:

> With the final lines,  
>  
> took flight through the silent land  
> as though it were flying home.  
>  
> the music regains the dominant and resolves to the long-awaited tonic precisely on the last word, ‘Haus.’  
> The poem seems almost to have been written for the very purpose of being recomposed in terms of an auxiliary cadence!\(^ {56}\)

Although somewhat disguised, the use of metaphorical thinking as a means of asserting a specific text-music relationship can be keenly felt. That is, we could rewrite this passage so that it reads “the auxiliary cadence in the music *is*, in symbolic form, the words *nach Haus* in the text,” or simply “tonic *is* home.” Burkhart argues that “Mondnacht” and “Schöne Fremde” are predicated on a background

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\(^{55}\) See Burkhart, “Departures from the Norm in Two Songs from Schumann’s *Liederkreis,*” in *Schenker Studies*, ed. Hedi Siegel (New York: Cambridge University Press, 1990), 146–64. Burkhart mentions that song no. 7, “Auf einer Burg,” is also predicated on a V–I auxiliary cadence, but he does not provide an analysis.

\(^{56}\) Ibid., 147.
V–I auxiliary cadence, and that, in both cases, this background structure lends itself well to conveying an underlying feature in the poem. In the case of “Mondnacht,” the stretch from 5 to 2 is supported entirely by V, and the structural 1/I arrives only with the final word in the poem (the last line reads *Als flüge sie nach Haus*). As a correspondence device, we may notate this formally as \( M_{V-I} \) auxiliary cadence \( \bullet \) \( T_{\text{homecoming}} \).

**Analogy.** The second category seeks to analogize some process or gradual change. These arguments explicitly take the form \( (m_1 \Rightarrow m_2) \bullet (t_1 \Rightarrow t_2) \) and typically involve the development or transfiguration of a musical motive. Carl Schachter’s article “Motive and Text in Four Schubert Songs” is exemplary of this kind of text-music analysis. In his simplest example, Schachter observes an analogy between text and music in “Der Jüngling an der Quelle” (D. 300): “the accompaniment is to the melodic figure derived from it as the indistinct sounds of nature are to the specific name that they evoke.” Although this is the sole time he uses this sentence structure, Schachter’s remaining examples can all be expressed using the same linguistic formula. For example, his observations concerning the central image in “Nacht und Träume” (D. 827) can be expressed thus: the apparently stable nature of the G major passage \([m_1]\) IS TO the melodic function of F within the motive F–F–G \([m_2]\) AS the seeming reality of the dream world \([t_1]\) IS TO the actual reality of the waking world \([t_2]\).

**Rupture.** This is my term for the approach that begins by identifying some form of discrepancy between a poem’s form and its content. The analyst will then proceed to show how such sites present a compositional problem and explicates the composer’s solution to this problem in an

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57 Motion within V is achieved with a chord on the upper fifth and with lower-level passing tonic chords.
58 We could further subdivide both M and T in this correspondence as follows: \( M = (m_{\text{initial}} \Rightarrow m_{\text{terminal}}) \) and \( T = (t_{\text{away}} \Rightarrow t_{\text{home}}) \). This hardly seems necessary, since both “auxiliary cadence” and “homecoming” are sufficiently descriptive and suggestive.
individual work. In other words, this approach seeks ruptures between the two primary dimensions of the text (form and content), with the understanding that these may present a compositional dilemma in the music. The composer’s solution to the dilemma may involve an unusual composing-out (Auskomponierung). This approach is characteristic of an older generation of Schenkerian scholarship, e.g., Oswald Jonas’s brief but illuminating appendix on the relation between word and tone. The precise nature of the compositional solution varies, depending on the discrepancy in the text.

Jonas’s claim that the word falschlich “takes on tangible shape” in Bach’s chorale “Christus, der uns selig macht” (highlighted in Figure 1.15) because it is set to a chromatic voice exchange (i.e., a false relation) is plainly metaphorical.

Figure 1.15 Bach, “Christus, der uns selig macht,” from St. John Passion, BWV 245, Part II, mm. 11–17

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61 Ibid., 154 and 104.
His discussion surrounding Brahms’s setting of Goethe’s sonnet, “Die Liebende schreibt,” is more complicated and aptly highlights the rupture approach. Jonas calls attention to the fact that lines 3–4 in stanza 1 have the same rhyme scheme as lines 7–8 in stanza 2 and suggests that this feature of the poetic form invites a strophic setting in the music. The compositional problem is that there is an overhang of thought from line 7 into line 8: Die einzige (the only one) depends on jene Stunde (that hour) grammatically for its meaning. The situation should be immediately apparent from the illustration below.

\[\text{Figure 1.16}\] is adapted from Jonas’s Example 223 and compares Brahms’s settings of the two stanzas. In the first stanza, Brahms establishes a motive involving an incomplete neighbor (Eb–C–Bb). The motive appears on the musical surface in m. 9 and is subsequently expanded in mm. 10–11. Although the expansion cuts across the boundaries in the text (the juncture is at Kunde in m. 10), Brahms does not capitalize it on it here. Rather, its purpose is surreptitiously to prepare for the analogous passage in the next stanza. For his setting of lines 7–8, Brahms modifies the expansion in mm. 22–23 (cf. mm. 10–11). The melody ascends to G5 for the first syllable of einzige before arpeggiating downward through a C major triad to reconnect with C5 as part of Eb–C–Bb. Motion to C major is intensified by moving the local motive Eb–Db–C (see m. 11, soprano) back a measure and

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62 Ibid., 156–58.
63 They are in apposition, i.e., they are grammatically parallel and have the same referent.
transplanting it into the bass. In this way, the music “does the same thing as the poet, who also carries his thought, his sentence, forward into the following line.” The highlight in Fig. 1.16 is meant to illustrate how the musical thought spills into the first half of m. 23.

**Figure 1.16** Brahms, “Die Liebende schreibt,” no. 5 from *Fünf Lieder*, op. 47, comparison of mm. 8–12 and 21–24

Between Jonas’s discussion of Bach and Brahms, the former is a simple $C = M \otimes T$ assertion, while the latter requires a sophisticated $C = (m_1 \Rightarrow m_2) \otimes (t_1 \Rightarrow t_2)$ assertion involving the re-working of a unifying motive from one stanza to the next. The main novelty to the rupture approach lies in its

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64 Ibid., 156.
initial emphasis on the text: the correspondences it points up are, nevertheless, similar to those produced by the metaphor and analogy approaches.

**Text-Music Complexes**

In the preceding sections, I have been concerned to develop a formal definition for correspondences with the aid of a few curated examples. Until now, we have been describing individual instances of correspondence. The new symbolic notation has been shown to do two important things: 1) it considers all connecting verbs or descriptors found in traditional prose definitions (e.g., symbolizes, embodies, portrays, etc.) as functionally equivalent, and 2) it collapses the distinction between what I have described as metaphorical and analogical assertions of correspondence. We are now able to compare many different correspondences on a level playing field.

This new possibility anticipates my next theoretical move. I here introduce the concept of a **text-music complex**, which essentially describes a family of relations that are sufficiently alike, for heuristic purposes, in how they pair elements from the domains of text and music. My idea is that certain musical structures, or tonal strategies, are amenable to being coordinated—either positively as correspondences or negatively as **Widersprüche**—with certain broadly construed themes, images, or ideas in the text. I thus posit the existence of **correspondence complexes** and **Widerspruch complexes**. In other words, there are shapes in music that lend themselves to expressing shapes in poetry (or in language more generally), so we can reasonably expect to find recurring marriages of these elements in songs.

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65 These could also be thought of as **hyper-conjunctions**, if you like. According to Merriam-Webster, a complex can mean “a group of obviously related units of which the degree and nature of the relationship is imperfectly known.” As a term, **complex** has an admittedly psychoanalytic tinge to it (e.g., Freud’s **Oedipus complex**). Previous authors have adopted it to refer to the complex of relations among scale degrees. Laitz, for example, writes about a **submedian complex** involving the motives $\tilde{5}-\tilde{5}-\tilde{5}$ and $\tilde{6}-\tilde{6}-\tilde{5}$ in Schubert in “The Submedian Complex: Its Musical and Poetic Roles in Schubert’s Songs,” *Theory and Practice* 21 (1996): 123–65. Similarly, several authors have remarked on Brahms’s **Neapolitan complex**. The term originates with Christopher Wintle, but for a primer, see Peter H. Smith, “Brahms and the Neapolitan Complex: bII and bVII and Their Multiple Functions in the First Movement of the F-Minor Clarinet Sonata,” chap. 7 in *Brahms Studies 2* (Lincoln, NE: University of Nebraska Press, 1998), 169–208.
They might even act as first-level defaults for text-music relations in certain styles. The basis and motivation for such coordination usually depends on the existence of a common embodied image schema that is latent in both domains.\textsuperscript{66}

Text-music complexes pave the way for the development of a lexicon of stock text-music pairings in Schumann’s songs—a kind of dream dictionary. Since complexes are archetypes for how $T$ is mapped onto $M$ for the creation of musico-poetic meaning in song, it follows that the codification of different complexes must be cast in general terms, as individual instantiations are always \textit{ad hoc} and unique to a given ecosystem (in this case, a specific song). In its analytical outlook and attitude, a complex is akin to William Caplin’s concept of a \textit{loosening device}, which refers to any number of techniques that a composer can use to loosen an otherwise tight-knit formal language.\textsuperscript{67} Complexes have roughly the same status as musical \textit{topoi} (e.g., horn call, \textit{coup d’archet}, pastorale, minuet, etc.), in the sense that they have certain general features (and, possibly but not necessarily, essential elements), yet their individual instantiations vary considerably, often to the point of uniqueness. Along these lines, we may say that \textit{a complex is a topic for musico-poetic discourse}.\textsuperscript{68}


\textsuperscript{67} See William Caplin, \textit{Classical Form: A Theory of Formal Functions for the Instrumental Music of Haydn, Mozart, and Beethoven} (New York: Oxford University Press, 1998). The organization of form-functional sections (at any level) may be qualified either as \textit{loose} or \textit{tight-knit}. Caplin initially introduces these concepts on p. 13 as “vague metaphors whose meaning in relation to strictly musical phenomenon must eventually be clarified.” This clarification arrives on pp. 84–85, where Caplin suggests that the terms form a continuum that may be articulated across varying musical parameters, including tonality, cadence, harmony, grouping structure, functional efficiency, motivic uniformity, and formal conventionality. For example, a section is more tightly knit in the dimension of tonality if it begins and ends securely in the home key; more loosely knit if it begins off-tonic or modulates. While the theory describes several loosening techniques, it does not prescribe how they should be employed or in what combinations: “These criteria can obviously interact with one another in a wide variety of ways. At times, they may work together to create an unequivocally tight knit or loose expression. At other times, they may conflict with one another so that some factors contribute to a tight-knit organization while others make for a loose one.”

\textsuperscript{68} Cf. Leonard Ratner’s definition of topics as “subjects for musical discourse” in \textit{Classic Music: Expression, Form, and Style} (New York: Schirmer Books, 1980), 9. Ratner views topics as “characteristic figures” and notes that while some are “associated with various feelings and affections,” others have a “picturesque flavor.” This would suggest that correspondence complexes are non-syntactical, i.e., there are no rules governing the order in which they present themselves, unlike (for example) harmonic progressions.
A correspondence complex is formally defined as:

\[ C = M \otimes T \]

where \( C \) is the correspondence complex in question, \( M \) is the set of sufficiently similar elements from the domain of music, \( T \) is the set of sufficiently similar elements from the domain of the text, and the marriage symbol (\( \otimes \)) asserts that members of \( M \) tend to be coordinated with members of \( T \) for the creation of musico-poetic meaning across songs for a given collection of songs, a single composer’s oeuvre, or a body of repertoire. As before, subscripts can be used to convey additional information.

The use of open, double-struck lettering (e.g., \( C \) in the case of complexes versus \( C \) in the case of correspondences) is meant to parallel how, in graphic music analysis, open note-heads are accorded more structural weight than filled-in note-heads. In the present context, the open letters represent a further abstraction from their regular, filled-in letter counterparts.

Widerspruch complexes may be similarly defined, using \( W \):

\[ W = M \otimes T \]

There does not appear to be a need to define complexes around the concepts of disjunctions at present.

As several authors have pointed out text-music associations involving the Schenkerian concept of initial ascent (\( \text{Anstieg} \)), this tonal structure seems a good candidate for acting as the recurring element in the musical domain toward a correspondence complex.\(^6\) We could claim that the initial ascent tends

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\(^6\) In addition to Schenker’s and Agawu’s readings discussed in the preceding section, see Schachter’s discussion of Schubert’s “Ihr Bild” in “Structure as Foreground: ‘das Drama des Ursatzes,’” 299–302. Schachter writes: “Schubert’s beginning on 1 and reaching the active, ‘living,’ scale degree \( \text{\textsc{b}} \) only in its major form can therefore be understood as a response to the poem he was setting: the rise to \( \text{D} \) represents the appearance of life in the portrait.” Ibid., 301. From this, we may glean a compound correspondence: \( 1/\text{I} \) IS TO \( 3/\text{I} \) in the music (i.e., the initial ascent) AS death IS TO ‘life’ in the poem (i.e., the portrait coming to life).
to be coordinated with the completion of some preliminary matter or exposition in the text. In “Der Schiffer,” this is manifested as the completion of the inhalation gesture; in “Seit ich ihn geseh’n,” it is the completion of a trajectory that brings us from the past (dreams) into the present (reality). Additionally, the pairing seems to be nuanced by a shade of plenitude, or Fülle.\textsuperscript{70} I do not wish to pursue this line of argumentation too vigorously—a full demonstration of an Anstieg complex would be beyond the scope of the present project—but we could make this assertion using the new theoretical apparatus as follows:

\[
C_{\text{Fülle}} = M_{\text{initial ascent}} \odot T_{\text{completion}}.
\]

To be clear, the above assertion in no way claims that initial ascents in song will always pair with some manner of completion or plenitude in the domain of the text—Agawu’s remark that there are no “necessary” relationships between word and tone holds true at this hyper-level, too.\textsuperscript{71} Furthermore, the formulation might require tweaking to differentiate between Anstiege that attain their Kopftöne over a stable harmony (e.g., tonic) versus a dissonant or passing harmony. Rather, this formulation claims that when a song has an initial ascent as one of its structural features, this feature has the potential to be coordinated with some manner of expository journey or progression in the domain of the text. At best, this may allow us to make predictions in our text-music analysis, such that we should not be surprised to find that a correspondence has been realized.

Extrapolating from the two “little” correspondences at the outset of this chapter, we might make a case for a correspondence complex involving the half-diminished-seventh sonority and the theme of pain or suffering:

\textsuperscript{70} This is especially obvious with the idea of \textit{atmen} (breathing) in “Der Schiffer.”

\textsuperscript{71} Agawu, 23 and 30.
Once again, by reifying a text-music complex around the idea of *Schmerz*, I do not mean to suggest that every half-diminished seventh we come across is going to bear a meaningful relationship to the text. Sometimes, a IIø7 is just a IIø7. But when we do encounter a half-diminished harmony that partakes in a correspondence in a circumscribed body of songs for which this complex is in effect, it is at least potentially the case that its textual counterpart will turn out to be bound up with the idea of pain, ache, suffering, etc. in some meaningful way.

In my earlier definition, I stated that elements in the text or music should be “sufficiently similar” that we may speak properly of a complex. As a rule of thumb, the analytical process should be akin to determining segmentations in set-theory analysis: any two (or more) notes can be grouped together provided they have something in common: temporal proximity, register, instrumentation, etc. Particularly in determining the textual component, it is best to trade in broadly construed themes, or fields of meaning, rather than overly specific meanings. In asserting the existence of text-music complexes, the analyst must take care to strike a pleasing balance between the general and the specific.

Lastly, we must ask ourselves: “how many individual instantiations are required before we can assert a complex?” Here, following Samarotto’s guidelines for performing motivic analysis, I propose a *rule of three.* If an analyst can show three examples of a text-music correspondence, we are justified in positing a text-music complex. Of course, the more examples one can adduce, the stronger the claim becomes.

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72 This correspondence is unlikely to hold for ø7 chords built on VII in the major mode. It is intended to hold for IIø7 in minor, Tristan chords, and apparent ø7s.

73 At the Society for Music Theory 2017 meeting in Arlington, VA during a graduate student workshop (“The Craft of Musical Analysis”), Samarotto quoted the infamous James Bond villain, Auric Goldfinger, in reference to how many times a motive should arise before the analyst should take it seriously: “Once is happenstance. Twice is coincidence. Three times is enemy action.” The actual quotation appears in Ian Fleming’s novel *Goldfinger*, which is structured in three parts, each corresponding to the above quotation.
Postlude

In this chapter, I have offered the reader a taste of the kinds of correspondences in which I am interested. After mapping the territory of what text-music relationships are possible, I have problematized prose definitions and shown that they always leave something to be desired. In response to this lacuna, I have presented a new theoretical apparatus for defining text-music relationships formally using symbols. After exploring some of the extant Schenkerian approaches to text-music relationships, I have shown that most assertions come in the form of either metaphor or analogy. Under my new formal system, I have shown that these linguistic formulations are, under certain circumstances and with some substitution, interchangeable. Finally, I have introduced the concept of a text-music complex, which is a family of recurring text-music relationships in a circumscribed collection of songs. By identifying constellations of recurring text-music relationships as complexes, this dissertation addresses the dilemma that modern song scholarship is “dominated by individual ‘readings’” and makes possible a form of repeatability in new and different contexts.\textsuperscript{74}

The next chapter will discuss the musical structure that I claim forms the musical term in a special correspondence complex involving inwardness.

\textsuperscript{74} Agawu, 3.
Chapter 2: A Tonal Expression of Inwardness

Daydreams

Figure 2.1 Schumann, “Träumerei,” no. 7 from Kinderszenen, op. 15, mm. 19–24

I begin this chapter with an ending—specifically, the ending to Schumann’s celebrated “Träumerei,” shown in Figure 2.1. I have always taken delight in the profound and achingly beautiful moment that is created with the repetition of $G_4-A_4-B_4-D_5$ across mm. 23–24. How can such a simple repetition stir our emotions and spark our imaginations so? To answer this question, it is necessary to investigate how this motive, which I will refer to as the daydream motive, functions in closer detail. Before we can do that, however, let us first examine its initial presentation (as shown in Figure 2.2) that we may better appreciate the context of its later appearance.

Figure 2.2 Schumann, “Träumerei,” mm. 1–4, first appearance of daydream motive $G_4-(A_4)-B_4-D_5$

The A section of the piece, mm. 1–8, is a modulating period. The antecedent (mm. 1–4) ends with a I:HC, and the modulating consequent (mm. 5–8) concludes with a V:PAC. The motive in question is first heard in mm. 3–4, where it decorates the arrival of the half cadence. In this earlier instance (and in the analogous passage in the A’ section, mm. 19–20), the daydream motive is
subsequently repeated a step lower. Note that both the model and the copy are elaborated through voice exchange. The third-progression, G₄–A₄–B₉₄, of the model is elaborated with a voice exchange in contrary motion between the soprano and tenor voices. The copy’s third-progression, F₄–G₄–A₄, is doubled and supported in the tenor voice by the progression I₆–V–I, with 6–5–10 counterpoint between the outer voices. Here, the use of similar motion and the characteristic spacing between the bass and tenor unmistakably evoke a horn call topos.¹

In terms of voice leading, this melodic sequencing of the material promotes a passing motion within V. This interpretation is clarified using graphic notation in Figure 2.3.² The F major sonority creates motion in parallel thirds within V²: B₉₄–A₄–G₄ in the soprano and G₄–F₄–E₄ in the alto voice. The tonic chord that appears across mm. 3–4 is thus an apparent tonic that is produced through the casting out of a root.³ It gives consonant support to two passing tones within a dominant prolongational span. As such, it does not represent a return to tonic harmony but is heard as an event that is on the way to 2/V as the goal of the phrase.

¹ See Ratner, Classic Music: Expression, Form, and Style (New York: Schirmer Books, 1980), 18–19. Ratner connects the imitation of horn duets such as this to military and hunt music, but notes that the “horn figure could be turned to a poignant or lyric vein” and that Mozart and Beethoven employ it for “nostalgic affection.”
² In mm. 1–4, I read a local 5-line culminating in interruption. I read the piece as a whole from 3, with the Kopfton arriving in m. 6 as A₅. In his Urlinie sketch of this piece in Der Tonwille, Schenker similarly reads an Urlinie from 3, but he reads a descending seventh, F₅–G₄, in mm. 2–4. Schenker’s graph asserts an initial ascent F₄–G₄–A₅ that cuts across the interruption structure from mm. 1–6, taking the G₄ over the HC as a passing tone, despite the closed-off voice leading. Since this issue of Tonwille was published in October 1924, it is possible that Schenker would have read the piece differently later, owing to developments of his theory in Der freie Satz. See Heinrich Schenker, Der Tone in, Issue. 10 (Hildesheim: Georg Olms Verlag, 1990), 36. See also Heinrich Schenker, “Schumann’s Scenes from Childhood, Op. 15, no. 7 “Träumerei,”” in Der Tonwille: Pamphlets in Witness of the Immutable Laws of Music, Vol. 2, ed. William Drabkin and trans. Joseph Lubben (New York: Oxford University Press, 2005), 156–58. I prefer to read a gapped initial arpeggiation F₄–C₅–A₅, taking the Kopfton of the antecedent’s local 5-line as opening the space from 1–5. The consequent then regains C₅ and continues past it with a leap up to A₅ in m. 6. There is therefore a motivic parallelism in my reading between the small-scale F₄–C₅–A₅ in mm. 5–6 and the large-scale initial arpeggiation in mm. 1–6.
³ The passing status of this chord can be verified through the following procedure: if we remove the cast-out root, we are left with a passing 6/4 chord over a C pedal in the bass. Rudolf Louis & Ludwig Thuille would describe this as a conceptual dissonance, i.e., as belonging to a family of chords that are “consonant when taken out of musical context, but which are applied occasionally in a way which invites their interpretation as harmonic dissonance.” See Richard Isidore Schwarz, “An Annotated English Translation of Harmonielehre by Louis & Thuille” (Ph.D. diss., Washington University, 1982), 65–66.
In the context of V harmony, G₄ and B₉ are heard as the fifth and seventh of the chord. The consonant skip up to D₅ warrants special attention: by extending the dominant to include this note as a free ninth, Schumann perfectly captures the mood evoked by the title of his character piece (“Daydreams” or “Reveries”). As chord tones belonging to the dominant, the tones outlined by the daydream motive, G, B₉, and D, are all heard as unstable tones with respect to the F major diatonic collection, as ₂, ₄, and ₆, respectively.⁵

With the repetition of G₄–A₄–B₉–D₅ in mm. 23–24, however, these same notes are suddenly and dramatically cast as locally stable tones. The interval of a third (G–B₉) that forms the core of the daydream motive undergoes a voice exchange in the same manner as the sequenced copy in mm. 3–4, only now modified to tonicize G minor rather than F major.⁶ As before, the evocation of horn calls contributes to our sensation that this moment is being sounded wie aus der Ferne.

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⁴ By free ninth, I mean a ninth that is fully a member of dominant harmony, that is, a true chord tone. By contrast, many ninths can be understood as the product of some embellishment, e.g., a 9–8 suspension or an 8–9 échappée.

⁵ A₄ functions as a passing note between G₄ and B₉ and is subsidiary in this harmonic context.

⁶ D₅ may be considered a consonant skip that serves to decorate B₉, and is thus, in a sense, extraneous. Here, the passing note A₄ is given harmonic support and takes on greater significance.
And yet there is something profoundly inward about this moment. It is this experience of inwardness that I wish to draw attention to. I argue that the stately, yet tender affect Schumann achieves is primarily the product of the voice leading in this passage. Part of what is so surprising about the sudden emphasis on G minor—beyond the contrast of major and minor chord qualities—is that it yields the faulty progression V–II, seemingly in breach of harmonic syntax. To make sense of this, it is important to recognize that the tonicization of G minor—like the apparent tonic in mm. 3–4—occurs within a dominant prolongation. The structural dominant has already arrived on the downbeat of m. 23, and it extends into the final measure, where it partakes in the structural closure of the piece. Whatever the status of the foray into G minor, it is to be understood as subordinate to V.

**Figure 2.4** Schumann, “Träumerei,” mm. 21–24, middleground derivation of G minor

![Figure 2.4](image)

**Figure 2.4** shows the middleground provenance of G minor. First, a harmonic-contrapuntal prototype is shown at in Fig. 2.4 (a). At this level, the I–II♭–V–I *harmonic circuit* that underlies the passage in mm. 21–24 appears relatively unadorned, with only a cadential six-four to embellish the dominant. Note, however, the ascending fourth-progression in the alto voice, C₄–D₄–E₄–F₄, which

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connects $\hat{5}$ up to $\hat{1}$ in this register. In Fig. 2.4 (b), the passing tone D from level (a) receives consonant support in the form of a G minor chord. The G$_3$ in the bass is thus a *leaping passing tone* that momentarily transforms a dissonance at a deeper level into a consonance at a shallower level. In Schenker's terminology, the sonority produced through this process is a *Quintteiler* to the dominant.\textsuperscript{8} Cadwallader and Gagné describe the meaning and function of a *Quintteiler*, which is also known as a *chord on the upper fifth*, like this:

Viewed in a harmonic sense, this divider is a kind of *boundary chord* that articulates the octave “space” of the dominant scale-step (from root to the upper-fifth). If we view the octave as one manifestation of a *Stufe*, then motion to the divider, representing the upper-fifth boundary, *defines a harmonic triad*, regardless of whether the divider actually moves back to the root of the scale step.\textsuperscript{9}

The G minor chord in this passage thus prolongs V harmony: it represents the upper-fifth boundary of the C major triad. Conventionally, this relationship is frequently shown using solid lines to connect members of the “sacred triangle.”\textsuperscript{10} Thus, in Fig. 2.4 (b), solid lines connect C$_3$–G$_3$–C$_3$ in the bass.

With the resumption of C major in m. 24, beat 2, D$_4$ is retained as a suspension. Ordinarily, we would expect this note to resolve downwards as a 9–8 suspension, but here, because D$_4$ is part of the fourth-progression connecting $\hat{5}$ and $\hat{1}$, it resolves upward as a 9–10 retardation and continues to F$_4$ at the final cadence.\textsuperscript{11}

\textsuperscript{8} Specifically, an *Oberquintteiler*. For an excellent introduction to this idea and its development in Schenker’s theory, see Allen Cadwallader and David Gagné, “The Evolution of the *Quintteiler* Concept in Schenker’s Published Writings,” *Music Theory Spectrum* 38, no. 1 (Spring 2016): 109–17.

\textsuperscript{9} Ibid., 110. Italics in the original.

\textsuperscript{10} A chord on the upper fifth is also sometimes shown using an *unfolding* symbol.

\textsuperscript{11} Schenker hears this D as part of a *nota cambiata* embellishing a third-progression G–F–(D)–E over II–V. See *Der Tonwille*, Issue 10, 37. However, he reads the II chord as appearing between the cadential six-four and its resolution in m. 24, as if the C$^7$ chord in m. 23 on beats 2–3 never existed. I prefer my explanation that D arises out of the fourth-progression
The middleground derivation for the chord on the upper fifth reveals it to be an artefact of voice-leading processes within dominant harmony. However, as we approach the foreground, it begins to take on increased status as a local *Stufe* capable of being prolonged and composed-out in its own right.\(^\text{12}\) Figure 2.5 (a) shows how the chord on the upper fifth of the dominant is elaborated by means of a voice exchange. The attentive reader will no doubt take notice of the unusual inclusion of dynamics in this sketch, a *subito piano* followed by a *crescendo*. I use these markings to dramatize a local discontinuity between structural levels that obtains in this passage: they convey that although the local

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\(^{12}\) Cadwallader and Gagné’s observation that “[a] divider is often not merely a single sonority, the product of a simple leaping passing tone, but is—at least at some structural level—a *Stufe* in its own right that can be prolonged and elaborated.” Ibid. 110.
II Stufe is heard already with the appearance of G minor in first inversion, it is only the root-position G minor chord that represents the true Stufe. In other words, I hear the first two chords of the horn call as anacrustic in a structural as well as a metrical sense, grouping forward to the downbeat of m. 24. This is a subtle point because it suggests a hiatus between C₃ and B♭₂ in the bass, and that the II Stufe emerges only gradually across the bar-line.¹³

Finally, a foreground graph of the passage is presented in Figure 2.5 (b). This graph accounts for every note of the phrase in its literal register. The main difference between the foreground sketch in Fig. 2.5 (b) and the middleground sketch in Fig. 2.5 (a) concerns the registral dispersion of the fundamental line. 3 is attained with a gapped initial arpeggio up to A₅. This tone is then retained as a free ninth into II♭ harmony, where it precipitates an inverted statement of the daydream motive.¹⁴ A series of reaching-under gestures (i.e., motions from an inner voice) reconfigure the disposition of the inner voices in a process I call down-shifting. Here, down-shifting changes the structure of the chord voicings from open to close spacing. Note also that the moment of densest chordal voicing coincides with the appearance of the chord on the upper fifth at the downbeat of m. 24. It is as if the various strands of voice leading were being focused through this chord the way light is refracted through a lens.

We have in this passage two altogether different instantiations of the II Stufe: the II♭ in m. 22 is the structural intermediate harmony for the phrase, is chromatically inflected to major, contains a dissonant seventh, is maximally spaced (relative to other voicings in the piece), and includes an

¹³ By contrast, Schenker takes B♭₂ as a lower neighbor to V, downplaying the G minor in root position. See Der Tonwille, Issue 10, Beilage, 3.
¹⁴ Recognition of this veiled motivic statement is what prevents us from reading G₅ (m. 22) as the 2 in the Urlinie, which would otherwise be a first-level default reading. In this context, G₅ functions as a passing tone between the ninth and seventh of the II♭ chord.
inverted statement of the daydream motive; while the II in m. 24 is subordinate to the V that governs it and is diatonic (i.e., minor in quality), locally consonant, and minimally spaced. This juxtaposition serves to reinforce our experience that there is something special about the G minor insertion.

I mentioned earlier that I hear something beautiful and poignant in this passage, and that this is primarily enabled by the voice leading. Having discussed the music-theoretical basis for mm. 21–24, I shall attempt now to explain exactly what kind of work I hear it doing in terms of how we might describe the artistic content of the music. “Träumerei” belongs to the Op. 15 collection, Kinderszenen (trans. Scenes from Childhood). While the titles of the individual pieces evoke a child’s world and experience, the collection is not for children, but rather for adults seeking to (re-)experience those carefree years. Viewed in this way, the collection is a vehicle for grown-up nostalgia.

With respect to “Träumerei,” we may take the title to suggest the persona of a child engaged in the act of daydreaming.15 As listeners (or performers), it is only natural that we should cast ourselves in such roles. Therefore, when listening to, performing, or contemplating this piece, I try to imagine myself as I was when I was a young boy, maybe five or six years of age. What are some of the things that I might have daydreamed about on a lazy afternoon? Playing with toys, climbing trees, the shapes made by clouds in the sky… these are but some of the things that spring to mind. In mm. 23–24, however, I propose that the persona of the child (whose experience we are vicariously experiencing) is daydreaming about what it would be like to be an adult. And not just any adult, but the adult with all the positive attributes and characteristics that, from the perspective of our childhood fantasies, we might wish to ascribe to our future selves. I hear the turn to G minor in mm. 23–24 as the embodiment of that hoped-for future self: more serious, responsible, and independent, but all the while still quintessentially our own self—the transformation of those qualities nascent in ourselves (cf. the tones

15 Schenker asks rhetorically whether this piece is about dreaming in general, or about the content of a specific dream. See Tonwille, Issue 10, 36.
of the daydream motive as unstable with respect to V) into their fullest expression as a mature human being (cf. these same tones now as stable entities with respect to a fleeting II). This moment is thus not only a moment of heightened subjectivity for the persona of the piece (the child fantasizing about adulthood). It is also, potentially, an even deeper introspection for us as listeners/performers: it is a mirror held up to our present adult selves that creates a point of contact between the adult we imagined we might become as children, and the adult we actually are now. Symbolized in the inward-turning rhetoric of the voice leading (the composing-out of the chord on the upper fifth of the dominant and the motion from more open to maximally close spacing), it is this reciprocal relationship between adult-imagining-child and child-imagining-adult that, for me, elevates this miniature to the level of masterwork.

**Accounting for V going to II in Tonal Music: Three Cases**

In the preceding section, we encountered how a motion from V to II in “Träumerei” produces a syntactical anomaly. This is because harmonic progression in tonal music of the common-practice era ordinarily follows the phrase model, T–PD–D–T. Every phrase model has a narrative arc involving stability, tension, and release. The initial tonic moves from a state of relaxation to a point of maximum harmonic tension, i.e., the dominant. This tension is in turn discharged when the dominant resolves back to tonic. According to this framework, pre-dominant function harmonies have an *en passant*

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16 Laitz and Bartlette, *Graduate Review of Tonal Theory*, 78–79. Compare Cadwallader and Gagné’s “general framework” for the procession of “classes” of harmonies, T–Int.–D–T, in *Analysis of Tonal Music*, 41–42. See also the discussion of Schenker’s term *Stufenkreis* (harmonic circuit) in n. 7 above.

Different styles of music may or may not adhere to this framework. For example, it is very common in blues and blues-based rock & roll to find examples of F⁷–V⁷–IV⁷–I (i.e., T–D–PD–T). Recently, Drew Nobile has proposed that IV may “[take] on the function normally reserved for a V chord” in harmonic progressions from rock music, thereby uncoupling syntax and pitch content. According to Nobile, “progressions such as I–II–IV–I can represent full *Stufenkreis*, and the IV–I cadence that concludes it can hold just as much structural weight as a V–I cadence.” See Nobile, “Form and Voice Leading in Early Beatles Songs,” *Music Theory Online* 17, no. 3 (October 2011), esp. par. 4.1. See also Nobile, “A Structural Approach to the Analysis of Rock Music” (PhD diss., The Graduate Center, City University of New York, 2014), esp. chap. 2.
quality—their purpose is to intensify motion to the dominant.\(^7\) Normally, pre-dominants are supposed to come before—not after—the dominant. That is, they are affixed to the dominant as prefixes, not suffixes. Progressions of the form D–PD are therefore comparatively rare in music of the common-practice era. One of the main reasons for this is that when a PD harmony follows a D harmony, the resolution of the leading tone is held in abeyance.

There are, however, many examples where a D-class harmony is embellished in such a way as to give the impression that D goes to PD. In these cases, the PD chord is usually nestled between two D-class chords and arises contrapuntally. The Bach chorales, for example, are replete with examples where V appears to move to a fleeting PD harmony, particularly at cadence points. **Figure 2.6** presents several representative cases involving apparent IVs and IIs. Most of these examples are predicated on the lower neighbor figure 5\(^\#\)–4–5 in the bass, as shown in **Fig. 2.6 (a).** At **(b),** the latter figure is combined with an incomplete upper neighbor in the tenor. With the addition of more embellishing tones, apparent chords begin to emerge. At **(c),** an apparent IV chord arises within a cadential six-four; at **(d),** an apparent IV\(^6\) decorates a II:HC, giving this passage a Phrygian color.\(^8\) At **(e) and (f),** apparent IV\(^7\) chords decorate a cadential six-four in major and a *cadenza doppia* in minor, respectively. Finally, we have an apparent II\(^5\), II\(^6/5\), and II\(^6/5\): at **(g) an apparent II\(^6\)** decorates a cadential six-four, at **(h) a II\(^6/5\)** decorates a 4–3 suspension, and at **(i) II\(^6/5\)** arises from a *cadenza doppia*. Since the embellishments highlighted in **Fig. 2.6** all decorate common embellishments of dominant harmony (cadential six-fours, *cadenza doppie*, suspensions, etc.), we might term these apparent PD chords *secondary embellishments*, i.e., embellishments of embellishments.

\(^7\) For this reason, some Schenkerians prefer the term *intermediate harmony* (see n. 7 above). This term is somewhat broader than pre-dominant function, since intermediate harmony can apply to any harmony that mediates the initial tonic’s motion to the dominant. Int. can be used to describe IV and II, but also I\(^5\), III, and VI, as well as substitutes for these *Stufen* that are arrived at through modal mixture or chromaticism (e.g., bIII and VI\(^5\)).

\(^8\) This is the only example in **Fig. 2.7** that employs an upper neighbor to 5\(^\#\) in the bass.
Figure 2.6 Secondary embellishments in Bach’s harmonized chorales

18. Gottes Sohn ist kommen

92. O Jesu Christ, du höchstes Gut

104. Wer nun den lieben Gott lässt walten

76. Freu’ dich sehr, o meine Seele

2. Ich dank’ dir, lieber Herre

73. Herr Jesu Christ, du höchstes Gut

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19 The numbers follow the Riemenschneider edition.
Although Bach rarely employs II\(^{ø6/5}\) as a secondary embellishment in the chorales, composers of the Romantic era have a special fondness for the half-diminished sound. Figure 2.7 shows the first half of Chopin’s Prelude in E Minor, op. 28, no. 4. Like many of the op. 28 preludes, this piece is essentially an enlarged parallel period, with the antecedent phrase in mm. 1–12 and the consequent phrase in mm. 13–25. If we had to assign Roman numerals to the chords highlighted in mm. 10–11, we would no doubt label them as II\(^{ø4/3}\) chords (= F\(^#\)–A–C–E). It would seem, then, that we have a case of D–PD | D–PD | D in mm. 10–12.
Following Schachter’s reading of the bass line, dominant harmony arrives on the downbeat of m. 10.\textsuperscript{20} Chopin lingers on a half cadence, prolonging it with the help of two languishing \textit{neighbor chords}, i.e., \textit{secondary embellishments}. We can demonstrate this by accounting for each highlighted chord tone contrapuntally: in the top voice, $F_4$ (= $2\sharp$) is a common tone between V and II$\flat_{4/3}$, in the alto, $A_3$ (= $4\natural$) is likewise held as a common tone; in the tenor, $E_3$ is an upper neighbor to $D_3$; and, lastly, $C_3$ is an upper neighbor to the root of V in the bass. Once we understand that the II$^{4/3}$ chords in mm. 10–11

\textsuperscript{20} See Schachter, “The Triad as Place and Action,” in \textit{Unfoldings}, 163–66. Alternatively, it is possible to read V as arriving only in m. 12, as Schenker does in a sketch found in the Oster Collection. According to this reading, the melody in the r.h. outlines II (= C$\flat$–A$_4$ | F$\sharp$) in mm. 9–10, suggesting IV–II. C$_3$ is abandoned registrally in m. 9, only to finds its long-range resolution to B$_4$ with the arrival of V in m. 12 (the motion C–B is motivic in this piece). According to this alternative reading, the hierarchical relationship between II$^{4/3}$ and V is precisely the reverse of what I go on to describe in this paragraph—V would be understood to embellish II in mm. 10–11, rather than the other way around. I am indebted to William Rothstein for bringing Schenker’s late OC reading to my attention.
are embellishing chords and not functional PD harmonies, the syntactical error disappears and we are left with a normal phrase-model circuit (i.e., T–PD–D).

The examples given above show that there are many possible variations on the apparent D–PD progression. Yet there is something particularly strange and uncommon about V going to II, so let us narrow the matter and focus on this progression as a specific sub-category of the D–PD dilemma. Under special circumstances one may encounter passages in the literature where, on the face of it, V leads to II. This may happen close to the foreground, as with the Bach chorale examples, or it can take place in the middleground (where, in most cases, the harmonies are roughly commensurate with key area). In any event, the question arises: how shall we account for this? As it turns out, there are three cases in which V may go to diatonic II: 1) II may follow a back-relating dominant; 2) the progression II–V may undergo bifurcation; or 3) V may be embellished or prolonged by an apparent II chord at the foreground or middleground. In each of these cases, the motion from V to II is a comparatively shallow tonal event that is in the service of a deeper tonal process. In other words, while the laws of tonal syntax may not appear to hold at the foreground or even middleground (where we have the illusion of D–PD), any syntactical error vanishes at the middleground or background. For this reason, such passages are particularly striking aurally and are of considerable theoretical interest. They represent a kind of backflow of tonal motion that is nevertheless caught up in a forward-rushing undercurrent, like an ocean wave whose trough recedes into the curling crest even as the whole structure surges forward.

**Case No. 1: II follows a back-relating dominant.** This situation arises frequently in tonal music, but perhaps the most familiar example occurs in sequential periods, i.e., periods whose consequent
phrase begins one step higher than their antecedent phrase. The opening to Mozart’s Piano Sonata in D Major, K. 576, shown in Figure 2.8, illustrates this situation well. Measures 1–8 are a sequential period: the antecedent in mm. 1–4 begins in D major and comes to a half cadence; the consequent phrase in mm. 5–8 restates the basic idea (cf. mm. 1–2) in E minor and answers with a PAC. In this excerpt, the dominant in m. 4 is a back-relating dominant that functions as an “offshoot” of the initial tonic but does not resolve into a goal tonic. Although II follows hard on the heels of V (across mm. 4–5), we do not perceive that II comes from V. Rather, the underlying progression is from I to II across the two phrases, and any contradiction with the principles of harmonic syntax is “apparent rather than real.”

**Figure 2.8** Mozart, Piano Sonata in D Major, K. 576, mvt. I (Allegro), mm. 1–8

In its Satzbau and phrase rhythm, the final song from Schumann’s *Myrthen* collection, shown in Figure 2.9, is virtually identical to the Mozart example above. Both examples come to a half cadence in their fourth measure and begin again in II in their fifth measure. The inclusion of a chromatic passing tone in the piano accompaniment, G₂, bridges the formal divide between antecedent to consequent, but it does not dispel our experience of the V chord in m. 4 as back-relating.

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21 Caplin, *Classical Form*, 53. Concerning sequential periods, Caplin writes: “A looser harmonic expression is created when the basic idea of the antecedent is restated sequentially in the consequent, usually by being transposed up a step into the supertonic region.”


23 Ibid. In principle, any chord x may follow a back-relating dominant, since the progression will be tantamount to I–x.
Finally, I would like to explore a more complicated case. **Figure 2.10** gives the opening to “Der Dichter spricht,” the final piece from Schumann’s *Kinderszenen*. This example is in dialogue with the tightly-knit samples in **Fig. 2.8** and **2.9**, but it is looser and more fragmentary in its construction. It differs from the preceding examples in three significant ways. First, in addition to being a sequential period, this specimen is also a *modulating period* whose consequent ends with a II:PAC. Second, although both phrases end distinctly with a cadence (I:HC in m. 4 and II:PAC in m. 8), neither the antecedent nor the consequent begins with a stable, root-position harmony.

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24 See Caplin, 53–54. On the strength of the consequent’s cadence, Caplin writes: “[W]hen the consequent phrase modulates and establishes a subordinate key by means of a perfect authentic cadence, we perceive that full harmonic-melodic closure in the new key has been achieved.” Emphasis in the original.
My analysis in Figure 2.11 shows that I hear both halves as predicated on an auxiliary cadence starting with I⁶. To confound matters, the initial I⁶ is decorated and offset rhythmically by local V⁷ chords in both halves (compare mm. 1–2 and 5–6). Finally—and this is a crucial point—V is not contiguous with II on the musical surface in this example. Nevertheless, there is an audible sense that A minor as a tonicized key area in mm. 5–6 somehow follows a tonicized half-cadence in m. 4. We will return to this issue in our discussion of the third case.

To give this passage its full due, we must consider three levels of activity. On the musical surface, V goes to a diminished seventh chord on G♯. In traditional Roman numeral analysis, we might notate this as G: V|vii⁷/vi♭ ii–ii⁶. At the foreground, the diminished seventh chord is understood to
function as a passing chord that acts as connective tissue between V and II\textsuperscript{25}. If we remove the passing chord, however, the dilemma of V–II is unveiled. The contradiction of syntax is resolved at the middleground. As with Figs. 2.8 and 2.9, our understanding of this passage hinges on our understanding the chord in m. 4 as a back-relating dominant—but back-relating to where, exactly? My analysis suggests that we hear both the V in m. 4 and the emergence of II in mm. 5ff. as related to a root-position tonic that is suggested, but not literally present, anywhere in the score. Insofar as it exists conceptually, it may be understood to occur before the beginning. What the poet says, exactly, we may never know, but it’s possible Schumann meant to convey that his first word was “Und…”\textsuperscript{26}

Case No. 2: Bifurcation. In the second case, the progression from PD to D may undergo bifurcation. This is Arthur Komar’s term for when, to quote Carl Schachter, something “appears twice, but with only one meaning.”\textsuperscript{27} Bifurcation is basically a form of repetition or re-tracing. An excerpt from “Zwielicht,” shown in Figure 2.12, serves as a good introduction to this concept.

\textsuperscript{25} The diminished seventh chord supports the passing motion $F\sharp_2$—$(F_3)$—$E_3$ in mm. 4–5. Cf. the role of $G\flat$ in Fig. 2.10 above.

\textsuperscript{26} Consider, for example, the effect this word has on the opening to William Blake’s Tiriel:

1 And Aged Tiriel stood before the Gates of his beautiful palace
2 With Myratana, once the Queen of all the western plains;
3 But now his eyes were darkened, & his wife fading in death.

While this brooding song is in E minor, Schumann’s setting of the third stanza has the music veer off into the distantly related local key of C# minor. Despite the uncanny tonal relationship adumbrated by this key area—to say nothing of the confluence of complex rhythmic layers and metric displacements that characterize this passage—expansion of C# minor as a harmony (=e: #VI功用) in mm. 27–31 is achieved through relatively simple linear-contrapuntal means.

[C# minor is related to the home key of E minor by double mixture: #VI功用 is the relative minor of the parallel major (i.e., e → E → c# via P and R transformations, respectively). C# appears as a non-diatonic tone as early as the first measure of the piece; the passage in mm. 27–31 could be understood as the logical outgrowth of that kernel. This rare and unusual choice of chromatic mediant gives this passage a dark and ominous quality that is perfectly in accord with the text’s apocalyptic tone.]
As shown in my analysis in Figure 2.13 (a), stepwise melodic motion is supported entirely by inversions of I, V, and VII\(^7\) in this passage. As part of the vocal line’s octave descent from E\(_5\) to E\(_4\), however, two fragments of the descending minor melodic scale undergo bifurcation: the lament figure 6–5 in mm. 28–29, and the more resigned 4–3 in mm. 30–31. Although these scale fragments happen twice, they each stand for one thing, as expressed by the octave-progression in Fig. 2.13 (b).\(^{29}\) From a musico-poetic perspective, bifurcation contributes toward capturing the duplicity described in the poetry: freundlich wohl mit Aug’ und Munde, sinnt er Krieg im tück’schen Frieden (though his eyes and words may be friendly and calm, he [i.e., your friend] treacherously plots to war against you). Though the words are primarily expressed by expansion of a tenebrous tonal area, bifurcation contributes to the

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\(^{29}\) As a byproduct of bifurcation, the context of A\(_4\) in the melody changes subtly on the musical surface: it is heard first as a passing tone in m. 28, but subsequently as a neighbor tone in m. 29. Similar changes occur with respect to F\(_{##4}\) in the melody and D\(_\sharp\) in the bass in mm. 30–31.
gloom by obfuscating ever so slightly the listener’s grasp of the octave descent in the melody and by casting certain notes into a twilight of melodic function (see n. 29).

**Figure 2.14** Schumann, “Intermezzo,” no. 2 from *Liederkreis*, op. 39, mm. 9–17

When applied to PD–D progressions, bifurcation can produce apparent contradictions of phrase-model syntax. A straightforward example is shown in **Figure 2.14**. This is the B section to “Intermezzo,” the second song from the Eichendorff *Liederkreis*. Measures 14–15 are heard locally as a half cadence in the key of F♯ minor (= A: VI). The motion from IV to V in mm. 14–15 undergoes bifurcation in mm. 16–17, as clarified in **Figure 2.15**, giving rise to what appears to sound like V going to IV across mm. 15–16 (highlighted in **Fig. 2.14**). Furthermore, **Fig 2.15** shows that what sounds
like a VI:HC on the foreground at the end of the B section is predicated on 5–10–8 counterpoint in contrary motion between the outer voices in the middleground. At its rightmost boundary, III♯ acts as a chromatic substitute for I⁶ in a tonic expansion that encompasses the entirety of this Lied’s A and B sections. A more comprehensive middleground graph provided in Figure 2.16 shows how the substitution is corrected to I⁶ prior to structural closure in the A’ section.

**Figure 2.15** Schumann, “Intermezzo,” bifurcation of ♯: IV–V in mm. 14–17

![Figure 2.15 Schumann, “Intermezzo,” bifurcation of ♯: IV–V in mm. 14–17](image1)

**Figure 2.16** Schumann, “Intermezzo,” middleground graph

![Figure 2.16 Schumann, “Intermezzo,” middleground graph](image2)

When PD–D progressions involving II are bifurcated, apparent motion from V to II can crop up on the musical surface. Such is the case in “Der Nussbaum” (Figure 2.17), where the cadential progression II⁰6/5–V⁷ in mm. 37–38 is retraced in mm. 39–40. Unlike the preceding examples
(“Zwielicht” and “Intermezzo”), where bifurcation entails an exact repetition of the musical material, here Schumann takes greater liberty with the bifurcation, varying and intensifying the repetition in mm. 39–40. We will revisit “Der Nussbaum” in Chapter 3.

**Figure 2.17** Schumann, “Der Nussbaum,” no. 3 from *Myrthen*, op. 25, bifurcation of II\(^{6/5}\)–V\(^7\) in mm. 31–40

Whereas the examples in “Intermezzo” and “Der Nussbaum” involve cadential modules, my last two examples (given in Figures 2.18 and 2.19) show contrapuntal progressions involving II and
V. In “Im Westen,” the I chord on the downbeat of m. 11 is approached by upper and lower neighbor chords. The outer voices move in parallel tenths: 4–2–3 in the voice is supported by F: II–V$^6/5$–I.\(^{30}\) However, II–V$^6/5$ is bifurcated in mm. 9–10 before resolving to tonic, leading to a situation in which V$^6/5$ appears to go to II at the highlighted passage. Taken together, mm. 9–12 and 13–16 form an antecedent-consequent pair (HC in m. 12 answered by PAC in m. 16). The additional example of motion from V to II across mm. 12–13 is the result of II following a back-relating dominant, which we have already covered in our case no. 1.

**Figure 2.18** Schumann, “Im Westen,” no. 23 from *Myrthen*, op. 25, bifurcation of F: II–V$^6/5$ in mm. 9–16

Finally, the example from “O Sonn’, o Rose, o Meer!” is based on a passing 4/2 chord in the bass. The latter connects the root-position II chord expanded in mm. 13–14 with V$^6/5$ at the boundary of mm. 15–16.

\(^{30}\) Were I to graph this passage, I would use an unfolding symbol for B♭–G in the melody over G–E in the bass to convey that II and V$^6/5$ are conflated at a prior structural level. At this deeper level, II’s D would be understood as a 7–6 suspension over bass E.
this song’s B section before resolving to I at the reprise of the A section in m. 17. Owing to the bifurcation of II\(^{4/2} \rightarrow V^{6/5}\) in mm. 15–16, what is essentially an accented passing 4/2 chord in m. 15 is re-contextualized to become an accented upper neighbor chord in m. 16.\(^{31}\) Structurally, however, the upper neighbor chord in m. 16 stands for the P chord in m. 15.

**Figure 2.19** Schumann, “O Sonn’, o Rose, o Meer!,” no. 10 from *Liebesfrübling*, op. 37, bifurcation of B: II\(^{4/2} \rightarrow V^{6/5}\) in mm. 13–17

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**Case No. 3: Apparent II chords within a dominant prolongation.** We have already encountered examples of this case—perhaps the most interesting and complicated of the three—in “Träumerei” (see Figs. 2.4–2.6), in curated cadence points in Bach’s harmonized chorales (see Fig. 2.6 (g) to (i)), and in Chopin’s Prelude in E Minor (see Fig. 2.7). While I have already cited some of

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\(^{31}\) Cf. Fig. 2.14 (a) and n. 29 above.
the literature on Schenker’s concept of the *Quintteiler*, I have yet to provide a thoroughgoing technical basis for this phenomenon. In this section, I will show how apparent II chords can arise at foreground and middleground layers of musical structure.

*Figure 2.20* Leaping passing tone and fifth-divider

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*Figure 2.20* is adapted from Oswald Jonas’s *Introduction to the Theory of Heinrich Schenker* and shows two closely related phenomena. In *Fig. 2.20 (a)*, the upper voice moves from F₅ to D₃ via a dissonant passing tone, E₅, while the inner voice leaps from D₄ up to A₄. The latter tone, A₄, is consonant both with the lowest voice (D₃) and with the upper voice’s passing tone (E₅). According to Jonas,

There arises here a very peculiar effect that the relationship of the two upper voices, the half notes, penetrates more conspicuously into the foreground than does the relation of middle voice to lower voice [i.e., A₄ over D₃]. The dissonant passing tone [E] is so strong that it virtually forces the middle voice into its domain. And where does it originate? It is only because upper and middle voices are elevated to the status of an internally consonant setting that the dissonance, the passing tone, achieves independence and a life of its own. Because the motion of the inner voice primarily serves the passing tone and is weaker in relation to the lowest voice, this type of progression is called a “leaping passing tone” (*springender Durchgang*).³²

If, at *Fig. 2.20 (b)*, we have D–A–D as the lowest voice, Jonas recognizes the situation as an *upper-fifth divider*, or simply a *divider*. In this instance, the bass is understood to unfold upward and seize its inner voice. This is possible because A is part of the imaginary continuo over bass D. The leap to A in the bass thereby “captures” the passing tone in the upper voice, reconstruing it as consonant, and paving the way for the A–E fifth to assert an independent chordal identity (as A major or minor with the addition of a third).³³

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³² Jonas, 61. Cf. the discussion surrounding *Fig. 2.4 (b).*
³³ Ibid.
Although Jonas likely intended this model to explain a literal I–V–I motion, his model is not yoked to a tonal context. This is alluded to in the following passage: “the divider represents a primal movement in the lower voice, the simplest arpeggiation, equivalent to I–V–I (the first harmonic event); in the upper voice, the first passing tone of diatony (the first voice-leading event).” Jonas’s phrasing “equivalent to” suggests that the model can be transferred to any diatonic Stufe. With that in mind, let’s explore what happens when we transplant the model at Fig. 2.20 (b) into different tonal contexts.

If Jonas had been concerned to cite an example from the literature in connection with his model of the divider, he could not have done better than to present Bach’s “Christus, der ist mein Leben,” shown in Figure 2.21. The resemblance to Fig. 2.20 (b) is uncanny. Bach’s expansion of D minor in mm. 5–6 has the same outer-voice framework and follows the same principles. Moreover, we now have a diatonic context for our divider: in the key of F major, VI is expanded by an apparent III chord; in the more local key of C major, II is expanded by an apparent VI.

**Figure 2.21** Bach, “Christus, der ist mein Leben” (Riemenschneider no. 6)

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34 Ibid. Italics in the original; my emphasis is underlined.
Figure 2.22 provides a step-by-step breakdown of the expansion. At (a), we begin simply with F: VI–II. At (b), a passing note is introduced in the tenor to connect D₄ to B₃. This represents an 8–7 motion over the bass of the VI chord and intensifies the motion to II through the addition of dissonance that must perforce resolve. At (c), the VI chord is expanded by a change of inversion, creating a voice exchange between the outer voices. At (d), a passing tone is introduced in the soprano to connect F₅ to D₅. At (e), the passing tone E₅ in the soprano is harmonized with an apparent III chord. Each of this sonority’s tones has a contrapuntal function within D minor: E in the soprano is a passing note (cf. (e)); A in the alto is retained as a common tone; C in the tenor anticipates 8–7 (cf. (b)); finally, A in the bass is the inner voice captured by the leap in this voice. Thus, an A minor triad crystalizes around a passing event in the soprano. The resulting “III” chord transforms a dissonance at a deeper level (i.e., E over D = minor ninth) into a consonance at a shallower level (i.e., E over A = perfect fifth). At (f), we have the music exactly as it appears in the chorale. The D–A fifth in the bass is filled in with an arpeggiation so that we have D–F–A. Once at A, a passing G connects us back down to F, which is the bass of our first-inversion seventh chord. The skip down to D is a “cast-out root” (Auswerfen eines Grundtones, literally the tossing or flinging out of a root). This last-minute switch back to root position preserves the rhythmic motion of eighth notes and marks the boundary of the expansion.
If we exchange key signatures and are prepared to make some other compositional choices, we may obtain different divisions. **Figure 2.23** shows a hypothetical re-composition of Bach’s D minor expansion, transplanted into the context of G major. The most obvious change is that D minor becomes D major. In this example, an apparent II chord gels around a passing $\hat{7}-\hat{6}-\hat{5}$ motion in the upper voice, dividing V. I have taken a few liberties with the rhythms (to square the circle, so to speak), and I have elected to end the excerpt with a leap back up to $\hat{8}$ so as not to leave the leading tone hanging.

**Figure 2.23** Bach, “Christus, der ist mein Leben,” hypothetical re-composition of mm. 5–6 in G major to show expansion of V by apparent II chord

The same passage could be re-composed in any number of ways. To explore some of these ways in the abstract, **Figure 2.24** shows which Stufen may be expanded diatonically with a Quintteiler in both major and minor modes. For easier digestibility, I adopt C as a tonal center. Major and minor triads are distinguished by upper- and lower-case letters, respectively. This table shows only the diatonic possibilities, i.e., divisions that obtain without accidentals (obviously, we could make an exception for I–V–I in minor keys with raised $\hat{7}$). There are only two constraints: 1) the lower voice must leap by perfect (not diminished) fifth, and 2) the chord on the upper fifth must itself form a perfect (not diminished) fifth with the passing tone in the upper voice. By the first constraint, $\text{VII}^o$ cannot be divided by IV in major, nor can $\text{II}^o$ be divided by VI in minor. By the second constraint,
the diminished triads VII° in major and II° in minor cannot divide III and V, respectively. Chromatic alterations would need to be made for these last examples to adhere to the divider model (e.g., II could be altered to become II° in minor to divide V, etc.). If, however, we admit the Phrygian second, bII, we can divide it by VI in minor keys.

**Figure 2.24** Possible upper-fifth dividers in C major and minor

<table>
<thead>
<tr>
<th>Major</th>
<th>Minor</th>
</tr>
</thead>
<tbody>
<tr>
<td>Dividers</td>
<td></td>
</tr>
<tr>
<td>F—C—F</td>
<td>f—c—f</td>
</tr>
<tr>
<td>C—G—C</td>
<td>c—g—c</td>
</tr>
<tr>
<td>G—d—G</td>
<td>A♭—E♭—A♭</td>
</tr>
<tr>
<td>d—a—d</td>
<td>E♭—B♭—E♭</td>
</tr>
<tr>
<td>a—e—a</td>
<td>(D♭—Ab—D♭)</td>
</tr>
<tr>
<td>Disqualified</td>
<td></td>
</tr>
<tr>
<td>e—b°—c</td>
<td>g—d°—g</td>
</tr>
<tr>
<td>b°—F—in b°</td>
<td>d°—Ab—in d°</td>
</tr>
</tbody>
</table>

The expansion of V by an apparent II chord is unique in the pool of possibilities presented in [Fig. 2.24](#). Even a cursory glance at the table will show that most of the diatonic divisions are *modally matching*, either M—M—M or m—m—m. As for the *modally mixed* divisions, there are again two possibilities. The first case, m—M—m, is the prototype for any I–V–I progression in minor with the customary addition of a leading tone. This case is also the prototype for tonicizations of minor-mode key areas, such as II, VI, and III in major and IV and V in minor (e.g., C: VI–III♯–VI with ♯5 as secondary leading tone). Conversely, M—m—M is *sui generis*, occurring only with V–II–V in major keys. Insofar as V–II–V is, as Jonas says, “equivalent to” I–V–I as a “primary harmonic event,” the
altered dominant is evocative of the sound-world of the mixolydian mode.\textsuperscript{35} And, as we already know, V–II–V is the only division that appears to conflict with the phrase model.

At the middleground, however, the division of V by II is often the basis for large-scale tonal organization. At these later structural levels, V harmony is not necessarily contiguous with II, a subtlety with which we have already grappled in our discussion of “Der Dichter spricht” (see Fig. 2.10). In fact, there is often a great deal of tonal cartilage present to prevent the harmonic bones from grinding up against each other. Nevertheless, the apparent breach of tonal syntax and attendant sense of regression often remain quite perceptible, even over more expansive time-spans. To reiterate an earlier point, whenever V goes to II, \emph{it is always in the service of a deeper tonal procedure}. Although the syntactical contradiction posed by V–II may penetrate into the middleground, the contradiction always disappears at a structural level that is deeper still (e.g., the deep middleground or background). To conclude this section, I will briefly survey three voice-leading graphs by Schenker that feature division of V by II in the middleground.

Figures 2.26 and 2.28 are partial reproductions of graphs from the \textit{Meisterwerk} period (1925–1930). Fig. 2.26 is from \textit{Meisterwerk I} and shows an analysis of the Largo movement from Bach’s Violin Sonata in C Major, BWV 1005 (an annotated score is provided in Figure 2.25). The form of the piece is a balanced binary plus coda; the three parts (A, B, and coda) are delineated by the brackets above the graph. With the V:PAC in m. 8, the graph asserts that we have reached $\tilde{5}$ over V and the onset of the B section. In the upper voice, the B section is predicated on a $\tilde{5}$–$\tilde{4}$–$\tilde{3}$–$\tilde{2}$ fourth-progression within V. At level (a), the foray into G minor in mm. 13–16 is understood as V’s Oberquintteiler in the middleground. This passage chiefly provides consonant support for $\tilde{4}$. At level

\textsuperscript{35} See n. 34 above.
(b), however, G minor’s first appearance is as a locally tonicized key area. It is approached via a IV\(^{\text{III}}\)–V–I auxiliary cadence (in mm. 9–10) but is subsequently re-interpreted as a pre-dominant in the home key of F major (in mm. 13ff.).

**Figure 2.25** Bach, Sonata No. 3 for Solo Violin, BWV 1005, mvt. III (Largo)

Largo.
Figure 2.26 Bach, Sonata No. 3 for Solo Violin, BWV 1005, mvt. III, reproduction of Schenker’s graph from Meisterwerk I.

Figure 2.28 is drawn from Meisterwerk II and shows Schenker’s analysis of the Sarabande from Bach’s Cello Suite in C Major, BWV 1009 (an annotated score is given in Figure 2.27). Once again, \( \hat{5} \) over \( V \) is achieved just before the start of the B section. Schenker reads the tonicization of D minor in mm. 15ff. as a divider to \( V \). As with the previous example, G major does not go directly to D minor; rather, the motion from \( V \) to II is facilitated with a local series of falling fifths (\( G \rightarrow (E) \rightarrow a/A \rightarrow d \)). To intensify the return to \( V \) in m. 20, D minor is inflected to major with the addition of \( F \) in mm. 17–19. In the upper voice, the apparent II chord provides consonant support for \( \hat{4} \), which is subsequently re-absorbed into \( V^7 \) in mm. 20–22.

Finally, Figure 2.30 appears in Der freie Satz as Fig. 20, 4 and shows the trio section from a Mozart minuet (see the score in Figure 2.29). Schenker’s discussion surrounding this figure mainly concerns the possibility of double arpeggiations in the bass, particularly as a solution to 5- and 8-lines, which are problematic because of their unsupported stretches (Leerläufe).

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36 Reproduced from Heinrich Schenker, “The Largo of Bach’s Sonata No. 3 for Solo Violin [BWV 1005]” in The Masterwork in Music: Volume I 1925, ed. William Drabkin and trans. Ian Bent, Richard Kramer, John Rothgeb, and Hedi Siegel (Mineola, NY: Dover, 2014), 31–38. The complete Fig. 1 on pp. 32–33 has three levels, but, for the sake of brevity and legibility, I have omitted the foreground at level c) in my reproduction of this graph.

37 The root of the E chord is omitted.

38 This piece is also a convincing example of the rare and elusive 8-line in a non-Baroque work. Some Schenkerians are skeptical about the existence of 8-lines, since they can almost always be read as 5-lines. This position could be caricatured by the following quote from the 1987 film The Princess Bride: “Rodents of unusual size? I don’t think they exist.”
Figure 2.27 Bach, Cello Suite No. 3, BWV 1009, Sarabande

Figure 2.28 Bach, Cello Suite No. 3, BWV 1009, Sarabande, reproduction of Schenker’s graph from Meisterwerk II

Figure 2.29 Mozart, Piano Sonata in A Major, K. 331, mvt. II (Menuetto), Trio
The A section concludes with a V:PAC. Once again, we alight on $\hat{5}$ over V right before the start of the B section. Schenker shows that the B section contains a motion into an inner voice: the figures 8–7–6–5 in parentheses indicate a fourth-progression within V. As with the previous two examples, $\hat{4}$ receives consonant support in the form of an apparent II chord. In the music, this takes the shape of a stormy digression in E minor. A secondary dominant is inserted in mm. 17–20 to smoothen the voice-leading between V and II.

Already with these examples, patterns are beginning to emerge. In the next section, I will attempt to bring these generalities under the aegis of a new conceptual metaphor for dominants prolonged by apparent II chords: the dominant sink fold.
A New Conceptual Metaphor for V Prolonged by Apparent II Chord

When I was a child, one of my hobbies was origami. There was a time when I could make almost any flora or fauna out of a square of paper, but now that I am an adult, I can only remember how to make a crane or lily without detailed instructions. The reason I bring this up is not to reminisce, but because it is safe to assume that most readers will not have first-hand experience with the art of origami. Nor can they be expected to have come across some of the beautifully evocative English translations for Japanese folding techniques. To name a few, there are mountain folds, valley folds, petal folds, and many more. These techniques are potentially germane to the study of tonal music insofar as paper as a metaphor for tonal space has already been adumbrated by Schenker’s suggestive use of the term unfolding (Ausfaltung). Having drawn this connection, it is only logical to consider whether certain origami techniques might have possible counterparts in music.

As it turns out, there is an origami technique that both vividly and poetically illustrates how I am conceptualizing the kind of passage discussed above in “Träumerei.” Pictured in Figure 2.31 is an origami sink fold. In its difficulty, this fold is considered a medium to advanced technique. I present it here in four separate steps to facilitate comprehension:

1) This fold is performed on a water bomb base, which is a pyramid shape. As a preparatory step, a crease is made at the top of the pyramid, as indicated by the broken line. This crease will help guide the next steps.

2) The broad arrow (↓) indicates that the tip of the pyramid is to be sunken in. Executing this step is delicate work, as it requires one to reverse the stiff folds of the water bomb structure.

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42 The water bomb base is a common starting point for several traditional origami folds (e.g., the lily, water balloon, crab, angelfish, etc.).
If proper care is not taken, the paper will crinkle and the fold will be ruined. If done properly, the tip will flatten out to become a square (the shape produced by the crease in step 1).

3) Continue pushing in until the tip has sunken into the base of pyramid. This step has the effect of inverting the folds delimited by the square shape from step 2.

4) Compress the layers of paper to complete the fold. The tip of the pyramid now lies sunken inside its base and cannot be seen from the outside.

**Figure 2.31** Origami sink fold applied to water bomb base

![Origami sink fold applied to water bomb base](image)

This image is copyright © 2018 by The Origami Resource Center (www.origami-resource-center.com) and used by permission.

Now that the reader has been introduced to the sink fold as it appears in its native medium, let us see how this technique can help us better to understand the chord on the upper fifth of the dominant. **Figure 2.32** shows the prototype for what I call the *dominant sink fold*. Visual cues above the staff show the corresponding stage in the origami fold. In this tonal analogy, the “sacred triangle,” i.e., a simple I–V–I progression, takes the place of the water bomb base. The broad arrow over V in **Fig. 2.32 (a)** indicates that we wish to perform a sink fold on the dominant, which by analogy constitutes the tip of the triangle. At **Fig. 2.32 (b)**, we prolong the dominant; this flattens the tip of
the pyramid and gives a trapezoidal shape to the contour of the bass line (analogous to stage 2 in Fig. 2.31). Finally, in Fig. 2.32 (c), the completed dominant sink fold yields an apparent II chord.

**Figure 2.32** Dominant sink fold prototype

The same broad arrow symbol appears as part of the Roman-numeral analysis of the II chord in Fig. 2.32 (c) to dramatize the special status of the apparent II chord in this context. The dotted lines connecting V to II indicate that the II chord lies “inside” of V; they are meant to parallel the way in which the origami sink fold results in visual obstruction of the pyramid’s tip (cf. stage 4 in Fig. 2.31). The notation “Ⅱ” should be read as “sunken two chord.” To clarify, the term *dominant sink fold* refers to a special prolongational technique whereby V is prolonged by a diatonic II; the term *sunken II chord* refers to the apparent II chord that is created in the execution of this technique.

Note that the “tip” of the tonal pyramid is shown to have been folded in on itself in Fig. 2.32 (c). The result is a transference of the Bassbrechung to a lower structural level, insofar as the dominant may be understood to have spawned its own sacred triangle. In this way, the sacred triangle is replicated and—more importantly—the dominant is understood to have folded in on itself. This sense of interiority models the abstract theoretical concept that II is harmonically related to V, in the sense

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43 Compare this notation with that used in Fig. 2.4, which employs conventional solid lines to show the Quintteiler relationship.
that it divides the dominant’s conceptual octave space at its upper-fifth boundary, as shown in Figure 2.33. By corollary, the use of an eighth-note flag clarifies that II is structurally subordinate to V. Phenomenologically, our listening experience is that the flow of the music temporarily reverses direction, since, from the perspective of the global tonic, the progression V–II constitutes a regression that sounds like a harmonic *ritardando*.44

![Figure 2.33 Harmonic division of the V Stufe](image)

The prototype in Fig. 2.32 (c) thus consists of five vertical events, or terms, which we might naïvely notate as I–V–II–V–I using traditional Roman-numeral analysis. While the progression II–V–I is goal-oriented, it is important to note that V has already arrived with the second term. It follows that although the last three terms resemble a II–V–I progression, we do not experience them as such: the II chord in this instance is only heard and understood with respect to the Vs that flank it. Therefore, the last three terms do not qualify as a proper II–V–I progression, and the II chord is not to be considered a structural intermediate harmony. This interpretation is clarified in Fig. 2.32 (c) by the dotted slur connecting the two Vs and by the dotted line connecting II back to V: the former indicates that we are within a dominant prolongation, while the latter indicates that II is moving back to V, in the specific sense of moving from within to without.

Before theorizing further about the prototype and discussing the various ways in which a dominant sink fold may be articulated in compositions, I would like to pause for a moment to make

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44 This is analogous to the inversion of the direction of folds to the tip of the water bomb base: inside the “square” at stage two of the fold, any mountain folds become valley folds, and any valley folds become mountain folds.
a few meta-theoretical observations. The first thing I wish to draw attention to is that a dominant sink fold is essentially a cross-domain mapping. In his book Conceptualizing Music, Lawrence Zbikowski explains how

[cross-domain mapping is a general cognitive process through which we structure an unfamiliar or abstract domain in terms of one more familiar or concrete. Cross-domain mapping plays two important roles in musical understanding. First, it provides a way to connect musical concepts from other domains [...] Second, cross-domain mapping allows us to ground our experience, since the structural relations basic to cross-domain mapping have their source in repeated patterns of bodily experience—that is, in image schemata.]

Here I have used paper-folding as a conceptual metaphor for aspects of harmony and voice leading. In so doing, I have relied on our experience of an accessible and more concrete source domain to structure our understanding of a less familiar and more abstract target domain, as shown in Figure 2.34. While it would be perfectly possible to talk about dominants prolonged by apparent II chords without reference to Japanese paper-folding, I find that having a visual (or tactile!) aid like this can help to make a point come alive in the imagination. This is especially valuable in discussing something that is rooted in Schenkerian theory, which may come across to some people as notoriously abstract. While voice-leading analysis can offer valuable insights into tonal music, its intricacies can at times come across as hermetic, esoteric, or even intimidating. My aim in employing the sink fold as conceptual metaphor is to de-mystify and make more broadly accessible an otherwise abstract formation in tonal music by grounding it in something that can literally be held in one’s hand.

46 Zbikowski defines conceptual metaphor as “a cognitive mapping between two different domains.” Ibid., 66.
Figure 2.34 Cross-domain mapping between origami and musical structure

If my analogy is effective and intuitive, this is because it preserves image-schematic structures that are latent in both domains. Mark Johnson has argued that our ability to grasp meaning in any domain is ultimately grounded in embodied experience. Specifically, meaning is grounded in “repeated patterns of bodily experience” which give rise to image schemata; these in turn “provide the basis for the concepts and relationships essential to metaphor.” According to Zbikowski, “[a]n image schema is a dynamic cognitive construct that functions somewhat like the abstract structure of an image and thereby connects together a vast range of different experiences that manifest this same recurring structure.” In my analogy, both the origami sink fold and dominant sink fold are informed by the CONTAINER schema shown in Figure 2.35. We encounter this structure constantly through our own spatial awareness and proprioception, and through everyday activities such as eating, pouring liquid into a cup, or walking into a room. It also informs everyday verbal expressions like “Florestan is bottling up his emotions” or “Eusebius seems withdrawn today.” Container schema structures are readily visible in the origami sink fold: the pyramid base is “outside,” the pyramid’s tip is “contained”

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47 This constraint is called the invariance principle, which proposes that of all the countless possible cross-domain mappings, the best ones are those that “preserve as much of the image-schematic structure of both target and source domains as possible.” Ibid., 76. The specific image schema common to both domains is explored below.
49 Zbikowski, 68.
51 These are examples of linguistic metaphors, i.e., the expression of a conceptual metaphor in language. Zbikowski, 66.
on the “inside” of the fold, and the border that separates inside from outside is the fold from the crease made in step 2 of Fig. 2.31. These same features are displayed in the dominant sink fold tonal analogy: the span of dominant prolongation represents the “outside,” the sunken II chord is contained on the “inside” of this prolongation, and the idea of a boundary or border is instantiated in the idea of an upper-fifth divider of the V Stufe.

**Figure 2.35 CONTAINER schema**

Returning to the dominant sink fold prototype, I mentioned earlier that we experience the motion from V to II as a motion inward. For this sense of interiority to manifest itself, the II chord cannot contain a secondary leading tone. This point is crucial: the use of a secondary leading tone would have the effect of tonicizing V, destroying any sense of harmonic regression that might have resulted from the consecution V–II. If II contains a secondary leading tone, we would simply hear V–II–V as I–V–I in the key of the dominant. To speak properly of a dominant sink fold, we must be able to hear the II chord diatonically *qua II* in the key of the tonic, rather than *qua V* in the key of the dominant. Therefore, inflections of the II Stufe such as II♯ (i.e., V⁰/V in traditional Roman-numeral analysis), ♯IV⁷ (i.e., vii⁰⁷/V as a rootless dominant ninth chord), and other alterations to the II Stufe involving ♯IV do not participate in dominant sink folds. The hallmark of the dominant sink fold is that the sunken II chord activates V, thereby reaffirming V’s function as dominant in the global Diatonie.
For this reason, the prototypical dominant sink fold occurs—as in “Träumerei”—when the II chord is a consonant minor triad in root position. The sense of interiority is the more keenly felt because of the modal contrast between minor II and major V. Additionally, II’s status as a Quinteiler is explicit in the prototype because both harmonies appear in root position.

Figure 2.36 Dominant sink fold prototype top voice possibilities

Several top voices may be effectively and beautifully counterpointed against the prototype’s bass line. The sunken II chord often serves to support linear progressions and melodic prolongations within V that involve b. Figure 2.36 shows some important melodic possibilities. In Fig. 2.36 (a) and (b), the interval of a third between the root and third of the V chord is composed-out as an

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52 This would suggest that dominant sink folds are, in a sense, “native” to the major mode. To be sure, dominant sink folds can and do appear in minor-mode contexts. My preliminary study indicates that this always entails the use of mode mixture (e.g., the quality of the sunken II triad is altered from diminished to minor).

53 Alternatively, we might hear V–II–V as I–Vb–I from the perspective of the dominant. This lends the prototypical dominant sink fold a characteristically mixolydian flavor.

54 So as not to elevate any single possibility at the expense of the others, I have elected not to include a top voice as part of the prototype shown in Fig. 2.32.
ascending or descending third-progression; at Fig. 2.36 (c) and (d), \( \hat{b} \) is employed as an upper or lower neighbor tone; at Fig. 2.36 (e) and (f), the sunken II chord aids in the composing-out of an ascending or descending fourth-progression between the root and fifth of the V chord (note that \( \tilde{3} \) is unsupported in this stretch); in Fig. 2.36 (g), \( \hat{2} \) is retained as a common tone in the soprano voice; in Fig. 2.36 (h), V’s chordal seventh appears first as a consonance with the sunken II; and, finally, in Fig. 2.36 (i), V’s chordal seventh (=\( \hat{4} \)) is retained as a common tone in the soprano voice. Should the reader attempt to play these short harmonizations at the keyboard without establishing C major as the tonal center, he or she may notice that they have a distinctly mixolydian flavor, as if G: I–V–I. While theoretically possible, the top line \( \hat{5}–\hat{4}–\hat{5} \) is problematic owing to \( \hat{4} \)’s strong tendency to resolve downward to \( \tilde{3} \). For this same reason, the ascending fourth-progression at Fig. 2.36 (f) is less viable than a descent that traces this same path.

**Figure 2.37** Dominant ninth chord as superset containing V and II

![Diagram showing V9 chord as a superset containing V and II](image)

The dominant can itself be made to support \( \hat{6} \) by extending it to include a free ninth above its bass. In fact, the V\(^9\) chord can be considered a conflation of V and II, as shown in Figure 2.37. That is, V\(^9\) is a superset that contains the tones of V\(^7\) and II as subsets.\(^{55}\) Owing to this close connection, the

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\(^{55}\) In *Traité d’harmonie* (Paris, 1802), Charles-Simon Catel takes the major ninth sonority as a superset containing all chords belonging to what he calls “natural Harmony.” See Catel, *A Treatise on Harmony*, trans. Lowell Mason (Boston: James Lowry, 1832), 15–17. He derives the major ninth sonority from divisions of the monochord, by taking the first nine partials above a G fundamental to arrive at the collection GB DFA. He arrives at the minor ninth by beginning on the eighth partial and omitting the “intermediary sounds,” i.e., partials 9, 11, 13, 15, and 16. Between these two collections, he is able to account for the following chord types: major, minor, and diminished triads; the major-minor, half-diminished, and fully
sunken II chord can be thought of as part and parcel of V\(^9\). In contexts where V\(^9\) is already salient in some way, the use of sunken II may be prepared.

**Figure 2.38** Franck, Violin Sonata in A Major, mvt. I, mm. 1–8

The opening to Franck’s famous violin sonata illustrates just such a preparation. The analytical overlay to **Figure 2.38** demonstrates how this piece begins with a prolongation of a V\(^9\) chord. The first four measures alternate between a V\(^9\) chord in root position and second inversion, highlighting the dominant’s fifth-boundary before moving down to E\(_2\) (doubled at the octave below) in m. 5. In this way, the octave-space from E\(_3\) to E\(_2\) is gradually opened via B\(_2\). After the violin’s entrance,

diminished seventh chords; and, of course, the major and minor ninth chords. The G\(^9\) collection is shown to contain the “major common chord” on G and the “minor common chord on D.”

However, Catel’s discussion does not consider diatonic context or the scale step upon which a chord is built at this stage in his theory; he speaks only about chord qualities in the abstract. It is only in his discussion of individual chords that he addresses on which scale steps they may be placed. Thus, in the section on dominant ninths, he indicates that this sonority is placed on the “dominant key,” i.e., on F in the bass (ibid., 36–38). Catel regards the dominant ninth not as the union of “common major chord” on the dominant and “common minor chord” on the super-tonic, but rather as “the unison [sic] of the dominant seventh and imperfect seventh,” i.e., as the union of V\(^7\) and vii\(^0\). This is likely because he makes the earlier observation that vii\(^0\) are V\(^7\) are virtually interchangeable: “One or the other of these chords, and even both, alternately, may be placed on each of the three notes which they have in common. The resemblance which exists between these two chords is proof of their identity, and clearly shows their common origin” (ibid., 29).
oscillation between E and B continues in the bass, but Franck harmonizes m. 6 differently. This time, in the place of a second-inversion V⁰ (cf. mm. 2 and 4), he omits E and G♯ and we are left with B, D, and F♯. This is none other than a sunken II chord. The tones of II are then re-absorbed into dominant harmony in m. 7, and the tension of the opening is discharged with the resolution to tonic harmony in m. 8.

Deformations to the prototype involve certain chromatic inflections and/or inversions to one or more of the sink fold’s three main chords (i.e., V–II–V). Deformations may also be combined in various ways. Since an exhaustive table would be cumbersome, Figure 2.39 shows a handful of suggestive articulations of the dominant sink fold; the unity in the diversity is that the dominant is composed-out by an apparent II chord that is diatonic in either the major or the minor mode. Along with the samples in Fig. 2.36, these sink folds could appear at the foreground level, or they could be deployed as middleground structures, where they are subject to further elaboration.

**Figure 2.39 Possible articulations of the dominant sink fold**

![Figure 2.39 Possible articulations of the dominant sink fold](image)

The initial V chord may be a consonant triad, a seventh chord, or an extended chord (e.g., V⁰, as in the Franck example), and it may be in root position or inversion. Since the sunken II chord introduces ♯ as the third above its bass, this tone is typically retained as a common tone with the
succeeding V chord, such that the terminal V usually carries a dissonant seventh. A common voice-leading function of the dominant sink fold is therefore to effect an 8–7 passing motion above the V Stufe. When this occurs, the sunken II chord may be understood to anticipate the arrival of V’s chordal seventh by presenting it first as a consonance. This is the case in Fig. 2.39 (a), for example. Along these same lines, it is also possible for the initial V to be presented first as a minor triad whose third is subsequently corrected, as it were, to become a leading tone with the arrival of the terminal V. More commonly found in minor-mode pieces, this permits a b–♯ shift above a prolonged dominant, as in Fig. 2.39 (c).

As a reminder, sunken IIs do not contain ♯4. Possible chord qualities for the sunken II chord are therefore restricted to minor triad (i.e., ii in traditional Roman-numeral analysis), minor-minor seventh (iiⅢ), diminished triad (iiⅦ6), and half-diminished seventh (iiⅦ6). The sunken II chord takes on a more contrapuntal function under inversion. For example, in first inversion, it acts as a lower neighbor to 5 in the bass. Since the ear is more readily drawn to the stepwise motion in such cases, II’s harmonic relationship to V as a Quintteiler is obfuscated, and, consequently, the affective quality of the sunken II is attenuated. When one of the chords of the dominant sink fold appears in inversion, it is not uncommon for the chord to change to root position immediately following its initial presentation in inversion. I hypothesize that this allows us to have our cake and eat it, too: the casting-out of a root in this situation allows us to better hear the harmonic relationship between V and II in contexts in which contrapuntal motion is primary. Finally, the Neapolitan chord, bII, cannot be

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56 The terminal V does not always come with a chordal seventh. Fig. 2.39 (d) illustrates one possibility. Here, ♯4 appears only in the bass, where it functions as a lower neighbor, while the upper voices move smoothly.
57 The diminished triad on II rarely occurs in root position in tonal music, owing in part to the harsh quality of the exposed tritone in relation to the bass. The half-diminished seventh chord, on the other hand, occurs frequently in root position in contexts where its chordal seventh may be prepared. In this context, however, the move from V to ♯IIⅦ would entail an unprepared minor seventh over II. Perhaps for these reasons, these sonorities are inverted when used as sunken IIs. See Fig. 2.39 (c) and (d).
employed as part of a dominant sink fold. Since its root lies a tritone away from the dominant, it does not stand in harmonic relationship to V and thus cannot function as a boundary chord in the strict sense.

**Figure 2.40** Bach, Prelude and Fugue in B Minor, BWV 869, from Book I of *The Well-Tempered Clavier*, Prelude, mm. 1–11

Let us apply these new notational conventions to an example from Bach’s *Well-Tempered Clavier*. **Figure 2.40** shows the opening to the Prelude in B Minor from Book I. The three-part texture suggests a trio sonata, with the upper two voices in imitation accompanied by a walking bass. The introduction of A₄ as the resolution of a 4–3 suspension over V in the second half of m. 1 is unexpected, since we are accustomed to hearing a leading tone in this context. Here, however, the natural seventh scale degree is prompted by the middle voice’s descent from B₄ as a passing tone (rather than lower neighbor tone, as expected), prospectively connecting B₄ to G♯. This precipitates an alteration to the bass line: to avoid an ugly clash between A♯ and A♯, the bass is forced to ascend using the natural seventh degree. As an added complication, the raised sixth scale degree, G♯, has already been introduced in the bass’s ascent. This is a red herring that contributes strongly to our expectation that A♯₃ will be the next note in the bass—an expectation that is quashed by the
appearance of $A_3^4$ in the middle voice. Instead, the bass ends up tracing the upper tetrachord of the Dorian mode, $F_3^3 - G_3^3 - A_3^3 - B_3^3$, rather than the expected melodic minor. But now the middle voice threatens to create a new cross-relation with the bass (between $G_3^3$ and $G_3^2$), since we expect it to descend through the upper tetrachord of the natural minor scale (the descending melodic minor). This threat of cross-relation accounts for $A_3^4$ being followed by $G_3^4$ rather than $G_3^4$. The implication is that these two notes will act as double passing tones connecting $\hat{1}$ and $\hat{5}$, reinforcing the Dorian flavor of this passage. Finally, the long-awaited leading tone appears in the bass as a corrective to the earlier $A_3^3$, and with it a return to tonic harmony in the second half of m. 2. That $A_3^3$ is transformed or corrected to $A_3^3$ strongly suggests a local dominant prolongation that lasts for four beats straddling mm. 1–2, especially in view of the leap from $C_5^5$ to $F_5^5$ (outlining $F_3^5$ harmony) in the topmost part.

As the analytical overlay to Fig. 2.40 shows, I read a dominant sink fold in this passage. A sunken II chord appears on the downbeat of m. 2, with the notes $C_#^3$, $G_#^3$, $F_#(sus)_3$. The $F_3^5$ in the top voice creates a 4–3 suspension with the $C_#^3$ in the bass. Since $\hat{6}$ has already been inflected to $G_#^3$ in the middle voice, we have the implication of a consonant triad built on the II Stufe. This triad might be either major or minor; we cannot know until the suspended fourth resolves. The most likely candidate,

58 These notes are part of a fourth-progresson, $B_4 \rightarrow A_#_4 \rightarrow G_#_4 \rightarrow F_#_4$. $F_#_4$ is an implied tone in the middle voice (m. 2, beat 2) but is not literally present in the realization.
59 If $F_#^5$–$B$ were answered by $B$–$F_#^5$, we would simply hear all of m. 1 as a tonic prolongation. The leap from $C_#^5$–$F_#^5$ tips the balance in favor of the dominant prolongation.
60 Alternatively, one may read the V in the second part of m. 1 as a back-relating dominant (see case no. 1 above). According to this interpretation, the harmonic progression is $I$–$(V_6) | II^{6/5} \rightarrow V_6^{5/3} \rightarrow I$. This reading is well-formed and presages the ascending fifths sequence in mm. 7–10. One consequence of this reading, however, is that it compromises the integrity of the 4th-progresson $B_4 \rightarrow A_#_4 \rightarrow G_#_4 \rightarrow [F_#_4]$ in the inner voice, since, if V is back-relating, then 1) the voice leading is closed off between V and II across the bar line, 2) A# relates unidirectionally back to B (at least conceptually), and therefore 3) $G_#_4$ would come not from $B_4$, but rather from $F_#_4$ (i.e., $F_#_4 \rightarrow [G_#_4 \rightarrow [F_#_4]$). I have a slight preference for the sink-fold reading on the basis that it preserves prominent linear progressions within tonic harmony in mm. 1–2 and because reading the locally structural V as arriving in m. 1 gives more weight to the character of a tonal answer ($F_#^5$–$B$ in B minor answered by $C_#^5$–$F_#^5$ in $F_3^5$ minor—see Fig. 2.42 below).
or first-level default, is an applied chord to V (i.e., II\(_3\)), so it is reasonable to expect that F\(^\#\) will resolve to E\(^\#\) as a secondary leading tone. This expectation is dashed with the resolution to E\(^\#\)\(_5\); instead, the C\(^\#\) triad registers as a minor II chord. This play on E\(^\#\) as expectation and E\(^\#\) as realization parallels the situation with A\(^\#\)'s first appearance in m. 1, where we expected a V\(_1\) chord but instead were surprised to receive a V\(_5\). By the time the suspension has resolved in the top voice on beat 2, the lower two voices have already returned to V harmony, but our ear still connects the resolution of the 4–3 suspension with the notes C\(^\#\) and G\(^\#\). This is to say that while a II\(^{5/6}\) chord is never actually sounded in the realization, its existence is nevertheless implied by the musical context.\(^{61}\) The counterintuitive resolutions to the two 4–3 suspensions coupled with the dark quality of the minor V and minor II chords contribute greatly to the mysteriousness of this passage. We might characterize the music as pensive, doubting, brooding, or withdrawn.

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\(^{61}\) See Johann Philipp Kirnberger, *The Strict Art of Musical Composition*, trans. David Beach and Jürgen Thym (New Haven: Yale University Press, 1982). Kirnberger would categorize the F\(^\#\) in the soprano as a *nonessential dissonance* because “it could be omitted without resulting in an error or an ambiguity” (43). The suspension momentarily “displaces” the consonance (42). Kirnberger does not explicitly address the issue of a change of harmony occurring simultaneously with the resolution of a suspension in any of his examples in this treatise. He would most likely understand it as a deviation from the strict style in which the resolution was “omitted.” Cf. the discussion of the lighter style on p. 100 and especially the elided progressions on p. 103.

Fortunately, the issue is taken up and clarified in *The True Principles for the Practice of Harmony*, which Kirnberger wrote as a supplement to *The Strict Art of Musical Composition*. See Johann Philipp Kirnberger, “The True Principles for the Practice of Harmony,” trans. David W. Beach and Jurgen Thym, *Journal of Music Theory* 23, no. 2 (Autumn 1979): 163–225. Kirnberger writes in §10 that “non-essential dissonances [i.e., suspensions] resolve most naturally over the same bass note; but their resolution can also be delayed until a subsequent harmony, thereby appearing as if they were essential” (p. 178). See especially Example 9 on p. 179.

See also Knud Jeppesen, *Counterpoint: The Polyphonic Vocal Style of the Sixteenth Century* (New York: Dover Publications, 1992), 156. In fifth species counterpoint, or florid counterpoint, Jeppesen makes the following remark: “Regarding the suspension dissonance, the accompanying voice (the non-syncopating voice) does not, as in the fourth species, need to wait for the resolution of the dissonance before moving on, but can shift tones simultaneously with the syncopating voice, for example:

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\[ \text{Diagram of suspension} \]
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Figure 2.41 provides a contrapuntal explanation for the $\flat$II chord in this excerpt. In Fig. 2.41 (a), the dominant is expanded by the conflation of the following voice-leading procedures: 1) the mode is changed from minor to major as A becomes $A\#$; 2) the chord’s position is changed from root position to first inversion, which facilitates a chromatic voice exchange between the bass and tenor; and 3) a chordal seventh is added through 8–7 motion in the top voice. Next, a passing six-four chord is introduced between $V_7$ and $V^{6/5}$ at Fig. 2.41 (b). Contrapuntally, the two $G\#$s fill in the interval of a third in two voices participating in the chromatic voice exchange; $C\#$ is retained as a common tone in the alto; and $E$ in the top voice anticipates the arrival of the chordal seventh over the dominant. Finally, $A\#$ is transferred to a lower register such that the ascending third between $F\#$ and $A\#$ is inverted to become a descending sixth at Fig. 2.41 (c). The same passing chord intervenes, but now with $C\#$ in the bass rather than $G\#$, so that V harmony is outlined ($F\#–C\#–A\#$). Locally, however, $C\#$ provides consonant support for the passing $G\#$ in the tenor. In other words, we may understand the root-position $II_5$ chord as substituting for a passing six-four chord. From Fig. 2.41 (b) to (c), the eighth-note flag indicates that the bass note representing the $V$ Stufe changes from $F\#$ to $A\#$, so that the main bass line becomes $B–A\#–B$. This is precisely the figure that was withheld in the middle voice in m. 1.
Figure 2.42 Bach, Prelude and Fugue in B Minor, BWV 869, foreground graph of mm. 1–2

Figure 2.42 is a foreground graph of these two measures. In moving from Fig. 2.41 (c) to Fig. 2.42, the bass has been elaborated chiefly using passing tones, and the downward arpeggiation F#–C#–A# has been redistributed registrally. The upper two parts in the realization represent three distinct voices: the main melodic motion in the soprano voice is the third-progression F#–E–D (the initial F# is transferred into this higher register); the alto voice has the third-progression, D–C#–B; and the tenor voice has the descending fourth-progression B–A–G–F. Thus, the motivic ascending fourths produced by the entrances of the two upper parts of the three-part texture (F#–B answered by C#–G) are in a way non-contiguous, since, at a deeper level, they cut across different strands of voice leading.

Sunken II Chords and Inwardness

Insofar as the character piece and the Lied are the two quintessentially Romantic genres, my discussion concerning what I hear as the extra-musical import to the ending of “Träumerei” anticipates a broader conversation on the analysis and interpretation of sunken II chords in song,
where text-music relationships are overt. To summarize, the characteristic features of the sunken II chord are: 1) a seeming breach of tonal syntax (V–II) that constitutes an apparent regression, or ebb, in the tonal flow; 2) a contrast of mode (for pieces in major keys); and 3) a distinct sense of involution vis-à-vis the dominant it prolongs. Regardless of how Romantic composers would have understood the phenomenon that I am calling a sunken II chord, it is at least possible that they might have perceived these unique characteristicsaurally, and that they might have in turn been inclined to use dominant sink folds for special effect in their compositions. To the Lied composers who recognized—consciously or unconsciously—these special qualities as I have described them, the sunken II chord would have offered rich possibilities for text setting. In other words, sunken II chords present themselves as strong candidates for the M component in a correspondence complex.

According to Schumann’s own Lied aesthetics, song should “produce a resonant echo of the poem and its smallest features by means of a refined musical content.” Finally we come to the heart of the matter: this dissertation demonstrates the existence of a special correspondence complex in Schumann’s Liederjahr songs (this body of repertoire includes ca. 125 songs dating from February 1840

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62 On the primacy of these two genres in 19th-century Germany, see “The Romantic Generation: Song and Piano Music,” Chap. 25 in J. Peter Burkholder, Donald Jay Grout, and Claude V. Palisca, The History of Western Music, 8th ed. (New York: W.W. Norton & Company, 2010), 595–632. The authors claim that “[t]he Lied was in many ways the quintessential Romantic genre: it was a fusion of music and poetry, centering on the expression of individual feelings, with descriptive musical imagery and aspects of folk style” (ibid., 606). Taruskin likewise cites the Lied and the Characterstück as the “only two important musical genres” of uniquely German origin. See Richard Taruskin, Music in the Nineteenth Century: The Oxford History of Western Music, vol. 3 (New York: Oxford University Press, 2010), 119.

These two genres were linked in Schumann’s mind according to John Daverio, who points out that Schumann’s compositional focus gradually shifted during the years 1835 to 1839 from the “larger” or “nobler” forms (e.g., sonata and fantasy) to “smaller forms,” including “poetic cycles and character pieces.” See Daverio, Robert Schumann: Herald of a “New Poetic Age” (New York: Oxford University Press, 1997), 135. Schumann’s interest in “small forms” dovetails neatly into his 1840 interest in vocal music, when the composer turned to song for reasons that were “pragmatic, personal, artistic, and critical” (ibid., 202).

63 In the analytical examples that follow, I make no claim as to whether correspondences between the music and the text were intentional. Rather, my interest lies in opening new possibilities for hearing connections between the text and the music in song for modern scholars and audiences. These new modes of listening potentially lead, in turn, to exciting new possibilities for interpretation and performance.

to January 1841). This complex involves the recurring union between sunken II chords in the musical domain and moments of inwardness in the textual domain. In nuce,

\[
C_{\text{Inwardness}} = M_{\text{II}} \otimes T_{\text{Inwardness}}
\]

Owing to the rich diversity of German Romantic poetry, this sense of inwardness in the text is broadly construed and may be expressed in any number of ways. For example, it could manifest as a moment of heightened subjectivity in which there is a marked shift from the objective to the subjective—for instance a shift, whether sudden or gradual, from descriptions of nature and the protagonist’s environmental surroundings to descriptions of the protagonist’s internal world, his or her emotional or psychological landscape. Alternatively, it could be a moment of introspection, epiphany, or revelation as experienced by the poem’s protagonist (and by us, vicariously). In all cases, the inwardness is primarily conveyed through the poetic content, though the effect is sometimes underscored by features of the poetic form. Such moments are usually the crux of lyric poetry and are often dramatically highlighted in the text.

The coordination between inwardness and sunken II may occur at various structural levels. Generally, I hypothesize that, all else being equal, the structural level at which the sunken II chord is employed is commensurate with the amount of text devoted to the turn inward: the less text that is required to establish the turn inward semantically, the shallower the structural level at which sunken II chord is instantiated, and vice versa. This makes sense from the simple standpoint of declamation: as the amount of text increases in connection to the semantic concept (here, inwardness), the musical material assigned to it also grows. For example, if the turn inward in the text is accomplished with a single word, the sunken II chord tends to be presented more locally. On the other hand, sometimes
an entire stanza does the work of providing an inward turn in a poem. In such cases, the sunken II chord might itself be composed-out to accommodate this lengthier portion, thus receding into the middleground of the piece’s tonal structure.

The formation of a sunken II chord is relatively uncommon in the *Liederjahr* songs. It is all the more significant, therefore, that when it does appear, it invariably bears a meaningful relation to the text. In Part II, I show how sunken II chords in the music are coordinated with some form of inwardness in the poetic content of the text in three songs: “Der Nussbaum,” “Ich hab’ in mich gesogen,” and “Berg’ und Burgen schau’n herunter.”
PART II: ANALYSIS
Chapter 3: Der Nussbaum

Let us consider an example drawn from Schumann’s *Myrthen* op. 25 collection. I will show that in song no. 3, “Der Nussbaum,” the A minor passage that sets the fourth stanza of the text functions as a composed-out sunken II chord that corresponds to the heightened subjectivity of the text in that stanza. To demonstrate this, I investigate the poetry and music separately before proceeding to discuss how they meaningfully combine in a blended “song space.”

Poetic Analysis

The poem by Julius Mosen (1803–1867) is provided in Figure 3.1 below along with an English translation. Let us take stock of the poetic form and technical aspects first and then consider how these dimensions contribute to our understanding of the poetic content. The poem consists of six stanzas; each stanza in turn consists of four lines. Mosen’s choice of line length is a key ingredient to the playful quality of this poem. The outer lines of each stanza are long, while the inner two lines are short. Specifically, the outer lines are in trochaic tetrameter (with varying modifications), while the inner lines consist of single trochees. This juxtaposition is highlighted by the abba rhyme scheme. It is further highlighted by the cadence scheme: the outer lines end with a masculine cadence while the inner lines end with a feminine cadence.¹

Despite the regular pattern of stressed syllables, i.e., 4/1/1/4, the pacing of the poem—how fast or slow one reads it—varies depending on whether the inner lines are end-stopped (with a comma or other punctuation marking) or enjambed. The use of a comma after the second line, for example, encourages readers to add a short pause for breath. In the third stanza, the pause after Neigend is suggestive: the ellipsis here colors the image of the gossiping blossoms. This pause in the text invites

¹ *Masculine cadences* are strong (ending /); *feminine cadences* are graceful (ending / ·). I retain these traditional prosody terms because they are expedient, historically accurate, and potentially invite hermeneutic interpretation. Readers uncomfortable with gendered language are invited to substitute their own preferred terms (e.g., stressed vs. unstressed cadences).
the reader to imagine the flowers furtively casting their glances about to make sure their secrets are safe. In the sixth stanza, the pause after *Sehnend* might be interpreted as a sigh that casts into relief the meaning of the very word it follows, i.e., “longingly.” By contrast, *Linde/Winde/Kommen*, in stanza 2 will be read breathlessly until the comma after *Kommen*, creating a more flowing effect that in this context perfectly captures the idea of “gentle winds come.” The words themselves—and how one reads them—here directly evoke what it is that the poem is talking about.

**Figure 3.1** Mosen, “Der Nussbaum,” text and translation

<table>
<thead>
<tr>
<th>German Text</th>
<th>English Translation</th>
</tr>
</thead>
<tbody>
<tr>
<td>1 Es grünet ein Nußbaum vor dem Haus,</td>
<td>A walnut tree stands greenly in front of the house,</td>
</tr>
<tr>
<td>2 Duftig,</td>
<td>fragrantly</td>
</tr>
<tr>
<td>3 Luftig</td>
<td>and airily</td>
</tr>
<tr>
<td>4 Breitet er blättrig die Äste aus.</td>
<td>spreading out its leafy branches.</td>
</tr>
<tr>
<td>5 Viel liebliche Blüthen stehen dran;</td>
<td>Many lovely blossoms does it bear;</td>
</tr>
<tr>
<td>6 Linde</td>
<td>gentle</td>
</tr>
<tr>
<td>7 Winde</td>
<td>winds</td>
</tr>
<tr>
<td>8 Kommen, sie herzlich zu umfahn.</td>
<td>come to caress them.</td>
</tr>
<tr>
<td>9 Es flüstern je zwei zu zwei gepaart,</td>
<td>They whisper, paired two by two,</td>
</tr>
<tr>
<td>10 Neigend,</td>
<td>gracefully</td>
</tr>
<tr>
<td>11 Beugend</td>
<td>inclining</td>
</tr>
<tr>
<td>12 Zierlich zum Kusse die Häuptchen zart.</td>
<td>their tender heads to kiss.</td>
</tr>
<tr>
<td>13 Sie flüstern von einem Mägdlein,</td>
<td>They whisper of a maiden</td>
</tr>
<tr>
<td>14 Das dächte</td>
<td>who thinks</td>
</tr>
<tr>
<td>15 Die Nächte,</td>
<td>day and night long</td>
</tr>
<tr>
<td>16 Und Tage lang, wüsste, ach! selber nicht was.</td>
<td>of... but alas! she does not herself know!</td>
</tr>
<tr>
<td>17 Sie flüstern—wer mag versteh’n so gar</td>
<td>They whisper—who can understand</td>
</tr>
<tr>
<td>18 Leise</td>
<td>such a soft</td>
</tr>
<tr>
<td>19 Weise?—</td>
<td>song?—</td>
</tr>
<tr>
<td>20 Flüstern vom Braut’gam und nächstem Jahr.</td>
<td>they whisper of a bridegroom and of the coming year.</td>
</tr>
<tr>
<td>21 Das Mägdlein horchet, es rauscht im Baum;</td>
<td>The maiden listens, the tree rustles;</td>
</tr>
<tr>
<td>22 Sehnend,</td>
<td>yearning,</td>
</tr>
<tr>
<td>23 Wähnend</td>
<td>hoping</td>
</tr>
<tr>
<td>24 Sinkt es lächelnd in Schlaf und Traum.</td>
<td>she sinks smiling into sleep and dream.</td>
</tr>
</tbody>
</table>

Translation from German (Deutsch) to English copyright © by Emily Ezust ([www.lieder.net](http://www.lieder.net)) and used by permission.

Another way in which Mosen varies the pacing of the poetry involves the use of substitutions of dactyls for trochees in the outer lines of each stanza. The pattern in the first line of each stanza is
usually · / · / · / ·, or dactyl–trochee–trochee–trochee. Departures from or alterations to this pattern may be considered to have hermeneutical implications. For example, the pattern is altered in the final stanza to become · / · / · / ·, or trochee–dactyl–trochee–trochee: *Das Mägdlein horchet, es rauscht im Baum*. Furthermore, the dactyl in this line is spliced with a caesura (note the comma after *horchet*), so that there is a slackening of the rhythm at the start of the line, followed by a brief pause after “listens.” In this way, the prosody symbolizes the maiden’s act of stopping to listen to the blossoms’ whispers—but of course the whispers turn to rustles in the same moment she brings her attention to them! To offer another example, the prevailing pattern in the fourth line of every stanza is / · / · / · / ·, or dactyl–dactyl–trochee–trochee. In stanza 4 the rhythm is accelerated though because of an additional dactyl: *Und Tagelang, wüsste, ach! selber nicht was* (dactyl–dactyl–dactyl–trochee).

In fact, with eleven syllables across four stresses it is the liveliest line in the poem. As such, it should come to us as no surprise that its placement coincides with the text’s descriptions of the young maiden’s sexual frustrations, which she struggles in vain to understand or even identify. We may take the quicker rhythms to symbolize the agitation of the young maiden’s thoughts in this stanza (or nature’s parodying thereof, depending on whose perspective we take). The exclamation, *ach!*, is particularly well-suited to the expression of the unknowable in this line. The final line in the poem alters the pattern in the opposite manner by removing a dactyl: *Sinkt es lächelnd in Schlaf und Traum* (trochee–dactyl–trochee–trochee). In this line, the deceleration emphasizes and enacts the meaning of

---

2 The first lines of each stanza are all *rising lines*. That is, they begin with a half-foot up-beat (·). The remaining three lines are all *falling lines* (i.e., they begin with a stressed syllable). Therefore, trochaic tetrameter is the best choice for the meter because trochees predominate. Trochaic lines may end in a masculine or feminine cadence; when they end masculine, the single stressed syllable is still counted as a full foot. Thus, · / · / · / · / · is understood against a prototypical · / · / · / · pattern, and both are considered to represent trochaic tetrameter. Stein and Spillman offer the following advice: “[i]n choosing whether the meter is duple or triple, the decision rests with which type of meter *predominates*” (emphasis in the original). Moreover, in deciding between opposite meters (e.g., trochaic vs. iambic) you should “choose the one [poetic meter] that most preserves the integrity of the words.” See Stein and Spillman, *Poetry into Song: Performance and Analysis of Lieder* (New York: Oxford University Press, 1996), 39.
the word Sinkt (sinks): the maiden’s thoughts have finally calmed to the point where she may fall asleep, and this is symbolized in the slower rhythm of the prosody.

I have already identified some of the ways in which the poetic form (i.e., the formatting) may be understood to correspond to the poetic content (i.e., the meaning), but let us now examine the semantic meaning of the poem more closely. The text describes the blossoms of a walnut tree coquettishly gossiping about the impending marriage of a young ingénue. The young woman’s sexual naiveté in stanza 4 is comedic because of the way it is juxtaposed with the sexually-charged nature-imagery in stanzas 1–3. Images such as nut, tree, branch, and flower all connote fertility, plenitude, organic growth, and reproduction (e.g., by pollination). This imagery alone would be sufficient to provide the necessary subtext, but the situation is made the more overt through actions and descriptions generally associated with human pair-bonding: branches spread, winds caress, paired flower-heads whisper sweet nothings and even bow to kiss. In this way, the sexual aspect of nature is anthropomorphized through diction. The impish quality of the poem stems from the fact that nature possesses carnal knowledge that is currently inaccessible to the young maiden—but which she will soon discover first-hand through marriage.

The poem is narrated in the third person by an omniscient narrator. None of the characters speak; there is no dialogue. Observe that with each new stanza, the narrator’s focus narrows, creating a telescoping effect. For instance, the first three stanzas contain a poetic progression that proceeds from the whole of the tree to its parts (tree → branches → blossoms), i.e., from the general to the specific. Stanza 4 is demarcated by a shift in focus onto the maiden’s innermost thoughts and feelings. Of course, the blossoms are still technically the grammatical subjects of this stanza: they are the ones doing the whispering, while the maiden is the grammatical object of their gossip (von einem Mädchen, dative case). Nevertheless, descriptions of the maiden’s obsessive and circular cogitation invite the
reader to identify with her persona in this stanza. In other words, there is a significant transition in the poetry from descriptions of the objective world in stanzas 1–3 to descriptions of the subjective world of an individual in stanzas 4–6. The fifth stanza pulls back somewhat from the heightened subjectivity by returning focus to the flowers, the incomprehensible sound of their song, and to indistinct images of the future. The word Bräutigam (bridegroom) conjures nuptial associations for the reader: “wedding night” is the unspoken punchline. Finally, the sixth stanza neatly encapsulates the contents of the previous five stanzas. The gossiping blossoms and frustrated maiden are brought together in the first line of this stanza, and the poem concludes with another foray into subjective experience. Yearning, hoping, and especially dreaming are all verbs strongly associated with an individual subjectivity.

**Musical Analysis**

**Figure 3.2** Schumann, “Der Nussbaum,” no. 3 from *Myrthen*, op. 25, formal layout

<table>
<thead>
<tr>
<th>Text</th>
<th>Music</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Stanza</strong></td>
<td><strong>Poetic Content</strong></td>
</tr>
<tr>
<td>Piano Prelude</td>
<td>mm. 1–2</td>
</tr>
<tr>
<td>Stanza 1</td>
<td>Tree</td>
</tr>
<tr>
<td>Stanza 2</td>
<td>Branches</td>
</tr>
<tr>
<td>Stanza 3</td>
<td>Blossoms</td>
</tr>
<tr>
<td>Stanza 4</td>
<td>Maiden</td>
</tr>
<tr>
<td>Stanza 5</td>
<td>Bridegroom</td>
</tr>
<tr>
<td>Stanza 6</td>
<td>Dreams</td>
</tr>
</tbody>
</table>

In both its formal and harmonic layout, Schumann’s musical setting may be seen to respond to many of the features of the poem that we have just discussed. An annotated score is given in **Figure 3.2** and the table in **Figure 3.3** provides a synopsis of the major formal sections along with important key areas.
Figure 3.3 Schumann, “Der Nussbaum,” no. 3 from *Myrthen*, op. 25, annotated score
linde Winde kommen, sie herzlich zu umfahren.

Ks flüstern je zwei in zwei gepaart,

neigend, heugend zierlich zum

Kusse die Hauptschon zart.

Sie
flüstern von einem Mägdlein, das düchte die Nächte und

Tagelang, wüsste, ach! sehe nicht was.

Sie flüstern, sie flüstern,

wer mag verstehen so gar leise Weiss?
Coda

flü stern vom Bräut' gan und

näch stem Jahr, vom näch stem Jahr. Das Mügd. lei

hor chet, er-ruacht im Baum; seh nd, wäh nd

sinkt es Eichelid in Schlaf und Traum.
Schumann’s modified strophic setting is perfectly congruent to the formal structure of the poetry; each stanza in the text receives its own section. The strophic nature of the music accords particularly well with the poetry in stanzas 1–3. Since these stanzas contain the poetic progression, it is appropriate that they should be set to the same music. Crucially, Schumann introduces a new musical section to dramatize the shift to the subjective in stanza 4. This new B section\(^3\) retains the same arpeggiated texture in the piano accompaniment, but offers contrast by way of minor mode and employs much more chromatic harmonic materials.\(^4\) The A section material returns in m. 43 to set the fifth stanza of text, but this time the strophe is modified to stay in the home key of G major (cf. mm. 49ff). Finally, the last stanza of the text, which functions as a dénouement, is appropriately rendered as a musical coda. The coda takes place entirely over a tonic pedal, during which time the vocalist sings mainly chord tones, intoning chiefly on \(\tilde{5}\) in a lower tessitura (on D\(_4\) below the staff).

To appreciate the drama of the B section fully, it is important to contextualize it by first examining the A sections. The voice leading sketch in Figure 3.4 facilitates the following discussion of this section. The piano prelude begins with a IV–V–I auxiliary cadence in G major that will later reappear throughout the song as a turnaround gesture that functions to re-establish the home key. The \(\tilde{3}–\tilde{2}–\tilde{1}\) melody in the prelude foreshadows that this piece will be a 3-line, and this proposition is subsequently confirmed with the singer’s entrance on \(\tilde{3}\). Though it is tempting to think of \(\tilde{3}–\tilde{2}–\tilde{1}\) in this context as an *Urlinie* replica, technically, the \(\tilde{3}\) in mm. 5–6 (and analogous passages) is not a structural \(\tilde{3}\), but rather functions as an accented passing tone between C\(_5\) and A\(_5\) with a reaching over gesture.\(^5\) This small point is clarified in Figure 3.5. However, since \(\tilde{3}–\tilde{2}–\tilde{1}\) continuously reappears in

\(^3\) It is possible to describe this as a modified A section following my assertion that this piece is in modified strophic form. However, I feel that the music is sufficiently different to warrant the label “B section.”


\(^5\) Compare the discussion surrounding “Träumerei” in Fig. 2.3.
this song as a motive—and since it is instantly recognizable as a quasi-Urline replica through the force of association—I have notated it using brackets.

**Figure 3.4** Schumann, “Der Nussbaum,” foreground graph of A section

![Diagram](image)

**Figure 3.5** Schumann, “Der Nussbaum,” contrapuntal derivation of mm. 4–6

![Diagram](image)

The overarching tonal trajectory of the A sections is that they begin in the tonic (mm. 3–6), move through a brief pivot area (mm. 7–8), and cadence in the dominant with $\hat{3}-\hat{2}-\hat{1}$ replicated in V in the vocal line (mm. 9–10). The music from the piano prelude then functions as a turnaround figure to reintroduce the tonic and begin the next strophe (mm. 11–12). It is interesting to note how Schumann’s declamation accommodates the uneven line lengths of the stanzas in the A sections. Basically, he parses the poetry into two lines of 4 and 6 feet, respectively. In this way, the uneven
poetry is rendered into a square-cloth 4 + 4 grouping pattern. The first line takes up two measures of music (cf. mm. 3–4), and is counter-balanced by a two-measure piano interlude (cf. mm. 5–6) to produce a four-measure group. This is then balanced by a second four-measure group (cf. mm. 7–10) in which the remaining three lines are combined.

The pivot area in mm. 7–8 could be understood prospectively as harmonizing the upper tetrachord of the G major scale using the regola dell’ottavo descending, i.e., harmonizing G: 1–7–6–5 in the bass with G: I–V⁶–V⁴⁴⁴/V–V. However, since V⁶ returns at the end of m. 8, my graph shows a two-measure prolongation of D: I⁶ in mm. 7–8, which forms the initial tonic in a D: I⁶–IV–V–I auxiliary cadence. The crescendo marking in Fig. 3.4 attempts to convey the waxing of meaning of mm. 7–8 as standing for I⁶ in the new key: V arrives already in m. 7 with 2 in the melody, but its true structural weight is only confirmed with the PAC in m. 10.

The piano turnaround figure in mm. 11–12 alters the meaning of the piano prelude, which we first heard as a IV–V–I auxiliary cadence. In the context of mm. 11–12, however, the IV chord is better understood as a lower neighbor to V. In this way, 2 is active in the upper voice throughout mm. 7–11 as A₄ is transferred to A₅. I do not hear the G⁷ chord on the second half of m. 10 as a true return of tonic harmony, partly because of its weak metrical position, and partly because of the strong arrival on V that precedes it.

At the end of the third strophe, A‴, Schumann omits the piano turnaround that should have begun in the second half of m. 30. Such a turnaround would have allowed for an A‴‴ section beginning in m. 33. Instead, however, we move directly into A minor for the B section that corresponds to stanza 4 in the poetry.
Figure 3.6 Schumann, “Der Nussbaum,” foreground graph of B section

Figure 3.6 provides a voice leading sketch of the B section. In my reading, the entire A minor key area functions as a sunken II chord at the middleground. The open note-heads show that A minor is prolonged in mm. 31–41. In m. 41, II harmony is fleetingly inflected to II\(^7\) to intensify the motion back to V. The reader may wonder how this squares with my earlier assertion that the sunken II chord does not contain \(\#4\) as a secondary leading tone. In this context, however, the A\(^7\) chord in m. 41 is clearly a chromatic insertion subordinate to the longer stretch of A minor, which is primary. Furthermore, any sense of tonicization of V that might have been effected by the introduction of V\(^7\)/V is counteracted by the return of the B\(_5\)–A\(_5\)–G\(_5\) Ursatz replica that, certainly by this point in the song, clarifies D major’s status as V in G major. In other words, despite the secondary dominant, D major is still understood as an active dominant in the home key. In any case, the pivotal turn inward already occurs in m. 31 when D major moves to A minor, and it is at this junction that the secondary leading tone would disqualify any possibility of reading a dominant sink fold. On the other hand, this case study demonstrates that when a sunken II moves back to V, the II \(\text{Stufe}\) may be chromatically inflected to smoothen this motion.
The windmills of the maiden’s mind are depicted in this strophe through several gestures at the musical surface. In general, the entire B section may be characterized as seeking closure in A minor, but the music is constantly frustrated in its attempts to arrive at an a:PAC. First, the piano interlude in mm. 31–32 comes to a HC over E major. In the top voice, the figure C5–E5–D5–B4 (labelled as motive x) is related in profile to the turnaround figure, E5–B5–A5–G5; both four-note motives share the same basic contour, employ the same rhythm, and both feature a prominent appoggiatura as their second tone. The HC interlude comes across as a question; when the vocalist enters in m. 33, her line goes to repeat the question, but in m. 34, the accompaniment supplants the HC with a chord on VII, and her line ends up spiraling into a descending fifths sequence with a 10–6 linear intervallic pattern in mm. 34–37. The vocalist gets caught repeating the incomplete neighbor figure that embellishes descent from C5–B4 in motive x, and her line moves into an inner voice (see the sixth-progression C5–E4 across mm. 33–40). The melodic sequence in the vocal part enacts the maiden’s obsessive perseverance; the motion into an inner voice depicts the maiden receding into her own internal headspace.

At the end of the sequence, we have a local move from pre-dominant to dominant, i.e., IIø6/5–V7/9 in A minor. It would appear as if we have once more alighted on a HC in m. 38. However, mm. 37–38 are repeated in mm. 39–40 through the process of bifurcation (cf. Fig. 2.18) The contradiction of tonal syntax when V moves to II across the bar-line in mm. 38–39 is therefore only apparent. The II in m. 39 is not a sunken II chord; its status is identical to the II chord in m. 37. The repetition prompts the vocal line to complete the statement of motive x that had been abandoned earlier in m. 33. In combination, these elements—tonal incompletion, questioning HC gestures, motivic development, sequence, and motion into inner voice—all perfectly capture the young maiden dwelling on a question she cannot properly articulate.
From the perspective of the vocalist concluding her line on \( \dot{2} \) over \( V \) on the one hand, the downbeat of m. 40 ought to register as a HC. On the other hand, the piano accompaniment continues to \( \dot{3} \) over \( I \) on the weak part of the measure, and the slurring in the right hand supports the possibility of reading an IAC rather than an HC. So, the question is: is this a HC or an IAC? Well, both! We might describe the accompaniment’s continuation as a brief cadence-altering suffix that transforms a HC into an IAC. Schumann’s fondness for this type of cadential ambiguity is well-known to fans of Dichterliebe. Figure 3.7 shows an excerpt from “Aus meinen Thränen spriessen,” where the same ambiguity obtains in m. 4 between a half cadence in the vocal line and a full cadence in the piano. In the passage from “Der Nussbaum” under discussion, the vocalist may be understood to be aligned with the maiden’s persona while the accompaniment plays the part of the gossiping blossoms. The discrepancy is meant to highlight that nature is privy to precisely that which eludes the maiden.

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6 Cf. William Rothstein, Phrase Rhythm in Tonal Music (New York: Schirmer Books, 1989), 94–97. Rothstein writes: “Some suffixes, it seems, do not extend a cadence already reached; instead, they lead to a different cadence altogether.” In the examples Rothstein cites, the suffix is usually a few measures in length, whereas here, the IAC suffix follows hard on the heels of the HC.
The return of the A section is shown in Figure 3.8. I shall limit my remarks to a few key points. The final A section is modified to stay in the home key of G major. The adjustment is first made in m. 49 (compare mm. 9–10, which tonicize V), and G’s emphasis is driven home with the use of a tonic pedal in mm. 51–54. Structural closure is achieved in m. 56, and it should come as no surprise that the turnaround figure, which all this time has functioned merely as an Ursatz replica, now functions as the real thing. The coda (not shown) is tonally static: it is predicated entirely on a tonic pedal, and the vocal line sinks to D₄ below the staff. After spending so much time in a higher tessitura, the emphasis on the low space between D₄ and G₄ is a marked change. I relate this to the gentle repose suggested by the text: the maiden is finally overcome by exhaustion and falls into dream.
Chapter 4: Ich hab’ in mich gesogen

In this chapter, I propose that there arises in Schumann’s “Ich hab’ in mich gesogen” (no. 5 from *Liebesfrübling*, op. 37) a text-music correspondence between a transmission of innermost springtime thoughts and images between two poetic characters in the text, and a sunken II chord in the music that occurs at the middleground of the song’s B section. Unlike “Der Nussbaum,” where V moves directly to II on the musical surface, here, the motion from V to ♭II occurs at the middleground only, with soft tissue connecting them at the foreground. Though the two harmonies are non-contiguous, there is still an audible involution, which is made the more obvious with Schumann’s expressive indications (namely, a *ritard.* and a *decrescendo*).

Poetic Analysis

Rückert’s “Ich hab’ in mich gesogen” is about the poetic process of internalizing the external world. The poem, given in Figure 4.1, consists of six stanzas, which in turn each consist of four lines of iambic trimeter. The rhyme scheme alternates strictly throughout (*abab*). Similarly, line endings alternate feminine and masculine types (♀♂♀♂), since each line pair consists of 7 + 6 syllables. The only masculine rhymes—the *b* rhymes in our *abab* pattern—that recur involve the vowel-sound [iː] in stanzas 1 and 5 (*lieb/blieb, sie/ver-lieh*), and diphthong [ao] in stanzas 2 and 6 (*Aun/Rosenzaun, Raum/Frühlings-träum*). Additionally, stanzas 2 and 6 have closely related, but not identical, feminine rhymes, ([Y] and [ʊ]; compare *Lüfte/Düfte* to *trunken/Funken*).¹ In terms of poetic form, this rhyme reprisal suggests that stanzas 5 and 6 might somehow echo stanzas 1 and 2, giving the entire poem a tripartite form, a 2 + 2 + 2 stanzaic organization.

¹ Both vowels are short, but where [Y] is considered a *dark* vowel (requiring rounded lips), [ʊ] is a *mixed* vowel (requiring both lifted, forward tongue and rounded lips). In other words, when [ʊ] takes an Umlaut, [Y] is the result. See John Glenn Paton, *Gateway to German Diction: The Singer’s Guide to Pronunciation* (Alfred Music Publishing, 1999), 47–59.
Figure 4.1 Rückert, “Ich hab’ in mich gesogen,” text and translation

<table>
<thead>
<tr>
<th>German Text</th>
<th>English Translation</th>
</tr>
</thead>
<tbody>
<tr>
<td>1 Ich hab’ in mich gesogen</td>
<td>I have drunk in</td>
</tr>
<tr>
<td>2 Den Frühling treu und lieb,</td>
<td>the Spring true and dear,</td>
</tr>
<tr>
<td>3 Daß er, der Welt entflohen,</td>
<td>so that, having fled the earth,</td>
</tr>
<tr>
<td>4 Hier in der Brust mir blieb.</td>
<td>it will remain here in my breast.</td>
</tr>
<tr>
<td>5 Hier sind die blauen Lüfte,</td>
<td>Here are the blue skies,</td>
</tr>
<tr>
<td>6 Hier sind die grünen Aun,</td>
<td>here are the green meadows,</td>
</tr>
<tr>
<td>7 Die Blumen hier, die Düfte,</td>
<td>the flowers here, the breezes,</td>
</tr>
<tr>
<td>8 Der blühnde Rosenzaun.</td>
<td>the blooming rose fence.</td>
</tr>
<tr>
<td>9 Und hier am Busen lehnet</td>
<td>And here on my bosom leans</td>
</tr>
<tr>
<td>10 Mit süßem Liebesach,</td>
<td>with a sweet love sigh,</td>
</tr>
<tr>
<td>11 Die Liebste, die sich sehnet</td>
<td>my sweetheart, who longs</td>
</tr>
<tr>
<td>12 Den Frühlingswonen nach.</td>
<td>for the bliss of spring.</td>
</tr>
<tr>
<td>13 Sie lehnt sich an, zu lauschen,</td>
<td>She leans on me to listen</td>
</tr>
<tr>
<td>14 Und hört in stiller Lust</td>
<td>and hears with quiet joy</td>
</tr>
<tr>
<td>15 Die Frühlingsströme rauschen</td>
<td>the murmuring of spring streams</td>
</tr>
<tr>
<td>16 In ihres Dichters Brust.</td>
<td>in her poet’s breast.</td>
</tr>
<tr>
<td>17 Da quellen auf die Lieder</td>
<td>There spring forth songs</td>
</tr>
<tr>
<td>18 Und strömen über sie</td>
<td>and they stream over her,</td>
</tr>
<tr>
<td>19 Den vollsten Frühling nieder,</td>
<td>full of the spring</td>
</tr>
<tr>
<td>20 Den mir der Gott verlieh.</td>
<td>that God has conferred on me.</td>
</tr>
<tr>
<td>21 Und wie sie, davon trunken,</td>
<td>And as she, intoxicated by it all,</td>
</tr>
<tr>
<td>22 Umblicket rings im Raum,</td>
<td>gazes around in space,</td>
</tr>
<tr>
<td>23 Blüht auch von ihren Funken</td>
<td>the world blooms also from her sparks:</td>
</tr>
<tr>
<td>24 Die Welt, ein Frühlingsraum.</td>
<td>a dream of Spring.</td>
</tr>
</tbody>
</table>

Translation from German (Deutsch) to English copyright © by Emily Ezust (www.lieder.net) and used by permission.

As it turns out, this division of the poem is also borne out by the poetic content. The first two stanzas describe how the protagonist has preserved the spring by making an internal facsimile of it. The German word *sogen* has a distinctly nautical connotation to it, meaning to suck, draw in, or eddy.3

Our protagonist has populated his internal landscape with spring’s blue skies, green fields, and colorful

---

2 There are some ambiguities in the text which could be rendered differently in the translation. In line 17, *Da* could refer to a special time rather than place. In line 23, *ihren* could refer to the *Lieder* of line 23 rather than to the beloved. Lastly, the use of an article in connection with god (i.e., *der Gott*) suggests that the poet is referring not to the monotheistic god of the Judeo-Christian tradition, but rather to a pagan god—most likely Apollo, the god of creation/poetry (from the Greek word ποιείν, to make). I am thankful to Harald Krebs for bringing these details to my attention.

3 An English translation made in the 1960s might well have used the Martian word *to grok*. The latter was introduced into the vernacular via R.A. Heinlein’s *Stranger in a Strange Land* (1961). One of its many literal meanings is to drink [something] deeply (i.e., to quaff); figuratively, it means to understand something profoundly and intuitively. Rückert’s use of the word *sogen* in this context resonates with both meanings.
The middle two stanzas introduce a new character: the poet’s beloved. Yearning for spring, she is lying on her sweetheart’s chest so that she can partake in his fictionalized recreation through the act of listening. In the final two stanzas, spring’s essence is successfully transmitted to her through the power of song. In this way, the protagonist’s inner world is itself internalized by his beloved. In the last two stanzas, the beloved is elevated from muse to co-dreamer: her very presence amplifies the protagonist’s ability to sustain the dream of spring, and the dream becomes a shared one. The shared dream is projected again onto the outside world, such that, for the two characters involved, it is as though spring were here again. In this way, the poem comes full circle and ends precisely where it began. The overall trajectory of the poem therefore concerns a dichotomy between that which lies within and without with respect to two principal characters. As diagrammed in **Figure 4.2**, it proceeds from a process of internalization (on behalf of the protagonist alone), to synthesis (between the protagonist and the beloved), and, subsequently, to creative externalization. The beloved’s yearning for spring is a *volta* that begins the transformation towards the triple union of man, woman, and springtime at the poem’s conclusion.

**Figure 4.2** Rückert, “Ich hab’ in mich gesogen,” poetic progression
Musical Analysis

Schumann’s setting responds to the poem’s form and content appropriately with an ABA’ design. These formal labels are superimposed onto Fig. 4.2 to dramatize how the song’s B section takes place entirely in the realm of narrative within. The music is given in Figure 4.3 with the major sections labelled directly on the score. The formal outline in Figure 4.4 shows that the musical setting, like the poem, is regular and foursquare in its grouping structure: each of the main sections subdivides into two four-measure halves to accommodate the six stanzas of text; each sub-section in turn consists of two two-measure halves, corresponding to couplets in the poem. This manner of declamation is perfectly in keeping with 19th-century Lied aesthetics: it faithfully preserves the Volkstümlichkeit of the original poem, giving the song a naïve, folk-like quality. As in many Lieder, the song-space proper is framed by a piano prelude and postlude (mm. 1–4 and m. 29).

Rhythmically, the prelude/A passages establish a syncopated, three-eighth-note anacrusis that remains in force throughout the song. The texture is characteristically Schumannian—a thinnish, invertible, two- to three-voice accompanimental pattern in moving eighth-notes. The basic idea (the music under the first slur in mm. 1 and 5) employs mainly parallel and similar motion, while the contrasting idea (the music under the second slur in mm. 2 and 7) uses mostly contrary motion. This type of texture is difficult to analyze, because it often results in what appear to be rapid chord changes on the very surface of the music (e.g., an implied F: I⁶–VII⁰⁶–I upbeat to m. 1), which conceal and embellish broader tonal processes.

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4 Compare, for example, the accompanimental texture in “Mondnacht” and esp. “Zwielicht” from Liederkreis, op. 39 (nos. 5 and 10).
Figure 4.3 Schumann, “Ich hab’ in mich gesogen,” no. 5 from *Liebesfrühling*, op. 37, annotated score.

Prelude

Ein fach innig.
süßem Liebesach die Liebe, die sich schmettert den Frühlingswonnacht. Sie leuchtet an zu leuchten, und

(Ⅺ)

Postlude

richt.

richt.

richt.

richt.

richt.

richt.

richt.

richt.

richt.

richt.

richt.

richt.

richt.

richt.

richt.

richt.

richt.

richt.

richt.

richt.

richt.

richt.

richt.

richt.

richt.

richt.

richt.
Figure 4.4 Schumann, “Ich hab’ in mich gesogen,” no. 5 from *Liebesfrühling*, op. 37, formal layout

<table>
<thead>
<tr>
<th>Prelude</th>
<th>A&lt;sub&gt;a&lt;/sub&gt;</th>
<th>b</th>
<th>B&lt;sub&gt;a&lt;/sub&gt;</th>
<th>b</th>
<th>A'&lt;sub&gt;a&lt;/sub&gt;</th>
<th>b</th>
<th>Postlude</th>
</tr>
</thead>
<tbody>
<tr>
<td>mm. 1–4</td>
<td>5–8</td>
<td>9–12</td>
<td>13–16</td>
<td>17–20</td>
<td>21–24</td>
<td>25–28</td>
<td>29</td>
</tr>
<tr>
<td>I:PAC</td>
<td>I:PAC</td>
<td>V:PAC</td>
<td>Ponte → II:PAC</td>
<td>→ 2/V</td>
<td>I:PAC</td>
<td>I:PAC</td>
<td>I&lt;sub&gt;ped&lt;/sub&gt;</td>
</tr>
</tbody>
</table>

Topically, horn fifths in F major and G minor (mm. 1 and 3) evoke a pastoral setting and help to project the text’s springtime subject. Finally, in terms of pitch content, the prelude introduces salient descending chromatic passing tones (notably A<sub>b</sub> and B<sub>b</sub>) that presage developments in both the B section and the structural close (mm. 27–28).

Figure 4.5 Schumann, “Ich hab’ in mich gesogen,” (a) middleground and (b) foreground graphs of prelude (mm. 1–4) and A section (mm. 5–12)
Figure 4.5 presents middleground and foreground voice-leading sketches of the prelude and A section. This piece could be read either from 3 or from 5, but even though the vocal line does not attain C₅ until mm. 9ff, I have elected to read this song as a 5-line chiefly because of the accompaniment’s initial emphasis on C₅ and the salience of C₅–F₄ fifth-progressions. At Fig. 4.5 (a), the complete 5–4–3–2–1 descent in the upper voice represents a motion into an inner voice. The same descent already occurs during in the upbeat to m. 1 (right hand; inner voice). If we read a 5-line, a motivic fifth-descent emerges between the foreground (m. 1), middleground (A₄ section), and background levels (see Fig. 4.6 below). The strong 5–6 connection across the two halves of the sequential period in mm. 1–4 (= mm. 5–8) suggests that 5 is indeed the Kopfton and not merely a cover tone above 3. In doubtful cases, a quick glance at the piano postlude can usually help to settle the matter. In this song, we find that the postlude re-traces a complete C₅–F₄ fifth-progression, which we may take as confirmation that the piece is best read from 5. Additionally, the vocal line has a 6–5 superposition in m. 28 during the final Urlinie descent (see Fig. 4.8 below), which we might take as a reminiscence, or resonant echo of the Kopfton.

All else being equal, it is usually preferable in analysis that the structure of a model be preserved in one’s reading of sequential copies of that model. Following this rule of thumb, we intuitively want to read the B₉ in m. 3 in parallel fashion to A₄ in m. 1. However, it is often necessary to make symmetry-breaking adjustments for the sake of a different harmonic goal sequential periods. The difficulty becomes clear when we consider that mm. 1–2 terminate in a I:HC, but mm. 3–4 come to a I:PAC (and not a II:HC). The addition of an extra chord in the harmonic progression upsets the symmetry that would otherwise result, such that reading 4/II until the B₉ in m. 4 (beat 2) would result

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5 Repeat signs show that mm. 1–4 equal mm. 5–8; likewise, mm. 9–10 equal mm. 11–12.
6 Compare also the b.g. interruption structure in Fig. 4.6 to the m.g. structure of the A₄ sections in Fig. 4.5 (a).
in a gapped fifth-progression—̃3 would be suppressed in a strictly parallel reading. On the other hand, the graph in Fig. 4.5 does present parallel readings of the arrival of I and II harmony (cf. mm. 1 and 3). The anacrusis to the antecedent (F: I̅−(VII̅/6) | I) does not quite match the anacrusis to the consequent (g: V̇−(V̅/6/5) | I). Working from right to left, since the arrival of II is emphasized through tonicization, I have emphasized the root-position tonic on the downbeat of m. 1.7

Ordinarily, we might expect the vocal line to articulate the main top voice. A somewhat unusual consequence of reading this piece from 5 is that we must understand the vocal melody to occupy mainly inner voices in the Aa sections, except where it doubles the piano’s upper voice. The vocal line will only take center stage as the true soprano voice in the B section and during the structural close in mm. 25ff.

In the early days of the Lied, the piano accompaniment was expected to take a back-seat to the singer in keeping with the aesthetics of Volkstümlichkeit. Typically, the piano would do little more than double the vocal line and fill out the texture. It is well-known that Schumann sought to elevate the role of the piano accompaniment in his Lieder to equal the singer, but even in Schumann, where the piano’s persona comes much more readily to the fore,8 one rarely encounters a texture where the vocal line remains couched beneath the piano’s right-hand melody for long stretches of time. In “Ich hab’ in mich gesogen,” we might say that the customary interplay between singer and piano is reversed—that is, the vocal line occasionally doubles the main tune in piano. This kind of texture is

7 To the extent that the I arrival in m. 1 is emphasized, albeit less so than II in m. 3, I would point to the change on the downbeat of m. 1 from two consonant voices (A–C) to three (F–A–C) and to the change from parallel motion in thirds to similar motion in 10–5–6 counterpoint (horn call; voice-exchange between A and F).

Alternatively, one may read an arpeggiation of I∅ under the first slur (the first six eighth notes). Such a reading would entail an opening based on a I∅−II∅−V auxiliary cadence, perhaps drawing this sequential period into dialogue with the opening to “Der Dichter spricht” (cf. Fig. 2.12). In this reading, the middleground Stufenkreis for the Aa sections would be a I∅−(V∅/6)−VII∅−II∅−V∅−I auxiliary cadence. I am indebted to William Rothstein for drawing this possibility to my attention.

8 Especially in preludes, interludes, and postludes, e.g., the piano’s soaring little outbursts in “Intermezzo,” no. 2 from Liederkreis, op. 39.
what Abramo Basevi calls a *parlante melodico* in the Italian opera tradition: “while the principal theme is presented in its entirety in the orchestra, the vocal part doubles it either in unison or at the third or sixth during some passages, sometimes at considerable length.” Combined with Schumann’s tempo indication, *Einfach, innig*, the textural fabric of this song seems to invite a musico-poetic hermeneutical interpretation.

By observing and mapping where the vocal line is submerged in the texture and where it rises to meet the piano’s right hand, we can come up with something of a narrative arc. As it turns out, the texture relates closely to the ABA' form of the piece. In the A sections, it is as though the singer were speaking from a place deep inside—*quasi sotto voce*, so to speak. Conversely, the singer’s melody is mostly congruent with the piano’s melody in mm. 13–16 (=Bₐ section). The piano covers again for mm. 17ff., but both the singer and piano *rendezvous* again at $\frac{2}{5}$ in m. 20. Roughly speaking, the shape of the textural arc, shown in Figure 4.6, is inversely related to the arc described by the poetic progression in Fig. 4.2.

**Figure 4.6** Schumann, “Ich hab’ in mich gesogen,” textural map

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From the above, we may glean that the song’s texture alternates between fantasy (parlante melodico) and reality (traditional texture). In the A section (stanzas 1 and 2), the texture is parlante melodico from the perspective that the poet has recreated the springtime internally in his imagination; in the B section (stanzas 3 and 4), the shift to a traditional texture describes how in reality the poet is physically in the same location as the beloved; finally, in the A’ section (stanzas 5 and 6), the poet and beloved indulge in a shared fantasy. On a final note about the texture, the vocal line comes back into congruence with the piano during the Urlinie descent in mm. 27–28 (see Fig. 4.8 below), suggesting that fantasy and reality become one at the text’s blüht auch von ihren Funken die Welt, ein Frühlingstraum.

Like the Aₐ sections, the Aₐ sections have a rising, sequential quality about them. Here, the effect comes from an ascending-fifths sequence that moves through the roots F, C, G, and d. Each tonal center in the sequence is micro-tonicized with a miniature, four-chord evaded cadence, viz. IV⁶–V⁶–V⁺⁴/V⁻⁴–I⁶. The voice-leading graph in Fig. 4.5 (b) shows that these passages hinge on motion in parallel sixths between the outer voices. According to Cadwallader and Gagné, “the leading voice will be that whose structure is more intimately linked to the harmony being prolonged.”¹⁰ In this case, the upper voice outlines harmonically relevant fourths (F–C, C–G, G–D) while the lower voice outlines harmonically irrelevant fourths (A–E, E–B, B–F). Therefore, the upper voice leads and the lower voice follows. The pattern of diminution breaks off in mm. 10 and 12 to come to a V:PAC. Since F and d triads are boundary chords in the rising sequence, I read the rising sequence as an elaborated 5–6 shift above I at the middleground, wherein the initial background tonic is transformed to function as a local pre-dominant in the key of V. The harmonic underpinning of the complete A section is therefore I⁵–Ⅴ–Ⅰ/V at the deep middleground.

The B section, like the A sections, divides into two halves: Bₐ begins with a rising sequence over a dominant pedal, but the sequence breaks off and the music comes to a II: PAC in m. 16; Bᵦ begins with a descending sequence and terminates with 2/V in m. 20. The dominant pedal in mm. 12–15 suggests that the B section as a whole is organized around the principle of a Ponte schema.¹¹ As further evidence for a Ponte, C₃ in the bass is abandoned as the true bass register with the change to treble clef in m. 13. The true bass is not re-activated until the return of C₃ at the end of m. 20. Thus, most of the lowest-sounding voice in the B section can be understood as occurring in a tenor register. The registral connection between the bass of the V:HC at the end of the A section (m. 12) and 2/V at the end of the B section strongly suggests that the entire B section is organized around a dominant prolongation, with 2/V as the end of the first branch of an interruption structure (shown in Figure 4.7).

**Figure 4.7** Schumann, “Ich hab' in mich gesogen,” background graph

![Figure 4.7](image)

**Figure 4.8** shows a three-level analysis of the B section in isolation. **Fig. 4.8 (a)** highlights a fourth-progression within V that connects 5 to 2 in the upper voice. 4 receives consonant support in the form of a ⅟II chord.¹² **Fig. 4.8 (b)** shows how, at the middleground, the ⅟II chord is itself

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¹² Compare Bach’s *Sonata No. 3 in C Major for Solo Violin*, BWV 1005 in **Fig. 2.26** and Mozart, *Piano Sonata in A Major*, K. 331 (mm. 16–36) in **Fig. 2.30** above, which similarly include an elaboration of V₈⁻⁷⁻⁶⁻⁵.
tonicized by an auxiliary cadence in the key of G minor (at den Frühlingswochen nach in the text). At this level, 3 receives support in the form of a passing I chord as part of a third-progression in the tenor voice (G3–F3–E3).

Finally, a foreground sketch of the B section is provided in Figure 4.8 (c). Here we can see that the G minor PAC in m. 16 is approached by an ascending-fifths sequence (mm. 12–15) and quit by a descending-fifths sequence (mm. 17–20). Both sequences employ a 5–10 linear intervallic pattern. The G♯–B♯ dyad in m. 14 is a noteworthy feature of the rising sequence, insofar as it relates enharmonically to the earliest appearance of the Ab–B♭ dyad in the prelude. Remarkably, its earlier chromatic passing function is retrograded in the present passage. In the prelude, A–C descends to G–B♭ through Ab–B♭, while in the B section, Ab is enharmonically re-interpreted to G♯ such that the same dyad may pass through the same two thirds, but in the reverse direction. As for the descending-fifths sequence in mm. 17–20, the harmonic rhythm of the sequence quickens moving into m. 19 and again into m. 20 (from two changes per measure to four, and then to eight immediately prior to 2/3/V). These accelerations were probably intended as a clever bit of word-painting: they underscore the text’s description of rushing streams (Frühlingsströme rauschen). In my reading, the descending sequence takes place entirely within an expansion of ³II whose boundary chords are the II:PAC in m. 16 and the II₆/₄/₃ in m. 20. That is, ³II undergoes what Damschroder calls dominant emulation at its outermost boundary before returning to V.13

13 See David Damschroder, Harmony in Schubert (New York: Cambridge University Press, 2010), 4. See also Tonal Analysis: A Schenkerian Perspective (New York: W. W. Norton & Company, 2018), 29. This is Damschroder’s term for when a Stufe is altered to mimic the construction and behavior of a V⁷, while retaining its original role. The same thing happened in “Der Nussbaum,” where A minor was inflected to A⁷ prior to the return of V.
Figure 4.8 Schumann, “Ich hab’ in mich gesogen,” (a) background, (b) middleground, and (c) foreground graphs of B section (mm. 13–20)
The turn to ♭ II is aptly coordinated with the text’s description of the beloved’s yearning for the absent spring. The reader will recall that this is the *volta* in the text that initiates the process of synthesis and externalization in the narrative arc of the poem. In other words, there is a text-music correspondence between the most inward point in the narrative arc of the poem (i.e., the bottom arrow that connects the *poet’s within* to the *beloved’s within* in Fig. 4.2) and the inward-turning voice-leading of a dominant sink fold in the music. By nestling this inward moment in the text amidst the rise and fall of harmonic sequences, Schumann’s setting gives the song a compelling central image that also strongly resonates with the *Frühlingsströme* of the text—the murmuring spring streams that the beloved hears deep within her poet’s breast.

The primary goal of this chapter, which was to show a correspondence between ♭ II and inwardness in poetry, has now been met; all that remains is to round off the analysis with a brief discussion of the song’s reprise. As the A′ₐ section in mm. 21–24 is identical both to the prelude and Aₐ sections (save for the text, of course), there is no need to discuss it further. Rather than modulate to the dominant, the second half of the A′ section (mm. 25–28) is modified to conclude in the home key of F major. It is here that we find our complete *Urlinie* descent and structural close.

**Figure 4.9** is a foreground graph of the song’s final measures. The material in mm. 25–26 appears entirely over a tonic pedal and bears a striking resemblance to the *Ponte* at the outset of the B section (see mm. 13–14). Here, however, the formal rhetoric suggests the beginning of the end. In the accompaniment, a prominent fourth-progression (F₃–E₅–D₅–C₅) with ⁷ ̂ tilts toward the subdominant (a pedal 6/4) and recalls the *Kopfton*. Combined with the tonic pedal, these measures are

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14 On the musical surface, the ♭ II tonicization (g: III–II⁶/₅–V⁷–I aux. cad.) materializes specifically in connection with text’s description of the beloved’s yearning for spring’s bliss (*sehnet/den Frühlingswonen nach*)—a moment of heightened subjectivity on the part of the beloved. In the context of the two inner stanzas, however, the G minor passage in mm. 15–20 also corresponds to the beloved listening to the spring-streams in the poet’s breast, so it is accurate to say that inwardness as it relates to the beloved corresponds to the II harmony.
The singer, meanwhile, appears to arpeggiate simple triads, alighting on 3 in m. 26. The vocal line suggests a 5–4–3 motion into to an inner voice (mm. 5–8 trace a similar trajectory).

Figure 4.9 Schumann, “Ich hab’ in mich gesogen,” foreground graph of A′ section and postlude (mm. 21–28; mm. 21–24 not shown, cf. mm. 5–8)

The Urlinie descent in mm. 27–28 takes place amidst increased chromatic activity in the form of secondary dominants and diminished seventh chords. The latter beautifully bring to life the meaning of Funken (sparks) in the text. From a Schenkerian perspective, there are several different ways to parse this passage, but the main analytical difficulty, as I see it, is this: where shall we read the arrival of 3? If we look to the vocal line (which doubles the accompaniment), the only available candidate appears to be A4 on the penultimate eighth note of m. 27 (on the word Funken). However, this note also appears to be passing in the local context of a brief tonicization of D minor (= F: VI). Consequently, the prospect of conferring upon A4 the status of structural Urlinie tone seems dubious (though not impossible). Indeed, the appearance of VI on the downbeat of m. 28 is itself perplexing—it feels like a regression, since the music has already touched on II at the ritardando (at the word Funken).

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15 See Gjerdingen “The Quiescenza,” in Music in the Galant Style, 181–95. The quiescenza schema is characterized by a 57–47–1 melody over a tonic pedal, often with a two-stage presentation. The double presentation here appears first in the soprano (8–57–6) and subsequently in the tenor (6–47–1). The quiescenza typically “exploits a moment of quiescence following an important cadence, likewise holding back the further progress of the movement or delaying its ultimate close” (ibid., 183, emphasis in the original).
16 N.B. the switch to portato articulation at von ihren Funken die Welt.
That II has already arrived seems incontrovertible, since the arrival of C₅ over #₇ seems like a good choice as the end of a tonic prolongation (where I → #₇). In fact, it’s an excellent choice, since it preserves rhythmically the arrival of C₅ on the fourth eighth-note of the measure as the main tone of the recurring fourth-progression. This point is illustrated in Figure 4.10, which compares m. 27 (C₅ over #₇) with mm. 25–26 (both C₅ over I).

**Figure 4.10** Schumann, “Ich hab’ in mich gesogen,” analogous tonic boundaries in mm. 25–27

In a way, II returns immediately prior to the structural dominant in the form of a secondary diminished seventh chord, albeit chromatically altered to #II₇. The motion II–(VI)–II arguably suggests that the VI chord is a local divider in the context of a broader II-expansion. I contend that G becomes chromatically transformed at the outer PD boundary as G♯ in the tenor voice. There is
therefore a rising chromatic motion F–F♯–G–G♯ that underlies this passage. Returning to the earlier question (where shall we read 3̂?), the answer is that 3̂ is best read—perhaps counterintuitively—in the tenor voice over the cadential six-four. The structural descent is then transferred back to the vocal line with 1/1.

**Figure 4.11** Schumann, “Ich hab’ in mich gesogen,” derivation of pre-dominant expansion in mm. 27–28

Figure 4.11 provides a step-by-step derivation of the pre-dominant expansion in mm. 27–28. I proceed from a simple 5-line descent over a prototypical I–II–V7–I progression at (a). At this level, II is inverted prior to moving to V so that we have a voice exchange with 4 ̂–3 ̂–2 ̂ in the upper line. At (b), there are already three changes: 1) B♭ is inflected to B♯ so that the voice exchange is chromaticized (this change is reflected in the dotted line connecting B♭ to B♯); 2) the sixth-leap in the bass is filled in
with a downward arpeggiation; and 3) the new bass note, D, is harmonized as a divider to give consonant support for 3. At (c), II’s boundary chord is further chromatically altered. Whereas in the previous graph it was transformed to become V\(^{6/5}\) of V, here it becomes vii\(^{07}\) of V. Consequently, 2 arrives over the dominant, with Ab as a chromatic passing tone. At (d), the diminished seventh chord is enharmonically re-spelled with G\# in the place of Ab. Rather than resolve downward to 2, it now resolves upward to A, delaying the arrival of 3. At this level, 4 is embellished by a diminished-third-progression (Bb–A–G\#), such that 3 over the cadential six-four is targeted from a half-step above and below. At (e), the passing tone A in the above third-progression is prolonged through the addition of an extra secondary dominant to the dividing D minor triad. In the score (see Fig. 4.8), the leap from G down to C\# is itself filled in with an intermediary arpeggiation (G–E–C\#), such that A\#' appears in two different inversions. From second to first inversion, the voices are shuffled so that the diminished-third-progression crosses from the soprano into the tenor. The inlaid text to Fig. 4.11 (e) clarifies how motion from G–G\# occurs somewhat indirectly by chaining together F–F\#–G and (Bb–A)–G\#.

In the score (Fig. 4.8), G becomes a chordal seventh and resolves to F above the dividing VI; G\# is literally introduced from above in the tenor.

We have already discussed the piano postlude as recalling the Kopfton, 5. The postlude also has the final say in the dual identity of Ab/G\#. This pitch-class appears twice in mm. 28–29 as Ab, functioning as a descending chromatic passing tone. The rising inner-voice motion F–F\#–G–G\# in mm. 25–28 is thus balanced by an opposing, descending motion, A–Ab–G–F. Moreover, mm. 25–28 may be understood as a resonant echo of the B section, whose innermost point—the sunken II chord in m. 16—was couched in similarly rising and falling motions.
Chapter 5: Berg’ und Burgen shau’n herunter

It is also possible for a sunken II chord to be coordinated with a poetic progression in the text in an entirely strophic setting; in such cases, the sunken II chord tends to be coordinated with recurring spots in the formal or stanzaic structure of the poem that advance the progression (e.g., the last line of every stanza). This is the case with Schumann’s “Berg’ und Burgen schau’n herunter,” no. 7 from Liederkreis, op. 24 with poetry by Heinrich Heine. In “Berg’ und Burgen,” the union of inwardness and ♭II is complicated both in terms of the musical setting and in terms of the text.

Poetic Analysis

Let us begin with the text, which is presented in Figure 5.1 below. This poem’s form is highly regular: it consists of four stanzas of trochaic tetrameter (with no substitutions), the rhyme scheme is abab (with two weak rhymes in analogous locations: [i:] with [y:] as Spiele/Gefühle in stanza 2 and [I] with [Y] Tücken/nicken in stanza 4), and the cadence alternates strictly between feminine and masculine line endings.

In terms of poetic content, Schumann’s placement of this Heine poem in his cycle after “Schöne Wiege meines Leiden,” (op. 24, no. 5) and “Warte, warte wilde Schiffsmann” (op. 24, no. 6) creates a smooth connection between songs due to the logical procession of motifs. The nostalgic motif of leave-taking in song no. 5—precipitated by the protagonist’s misfortune in love—returns in song no. 7 in full force. Meanwhile the theme of seafaring carries over from song no. 6, while leaving the bitter jocularity of “Schiffsman” behind.
Figure 5.1 Heine, “Berg’ und Burgen schau’n herunter,” text and translation

German Text

1 Berg’ und Burgen schau’n herunter
2 in den spiegelhellen Rhein,
3 und mein Schiffchen segelt munter,
4 rings umglänzt von Sonnenschein.
5 Ruhig seh’ ich zu dem Spiele
6 goldner Wellen, kraus bewegt;
7 still erwachen die Gefühle,
8 die ich tief im Busen hegt.
9 Freundlich grüssend und verheißend
10 lockt hinab des Stromes Pracht;
11 doch ich kenn’ ihn, oben gleißend,
12 birgt sein Innres Tod und Nacht.
13 Oben Lust, im Busen Tücken,
14 Strom, du bist der Liebsten Bild!
15 Die kann auch so freundlich nicken,
16 lächelt auch so fromm und mild.

English Translation

Mountains and castles gaze down into the mirror-bright Rhine, and my little boat sails merrily, the sunshine glistening around it.

Calmly I watch the play of golden, ruffled waves surging; silently feelings awaken in me that I have kept deep in my heart.

With friendly greetings and promises, the river’s splendor beckons; but I know it—gleaming above it conceals within itself Death and Night.

Above, pleasure; at heart, malice; O river, you are the very image of my beloved! She can nod with just as much friendliness, also smiling so devotedly and gently.

Translation from German (Deutsch) to English copyright © by Emily Ezust (www.lieder.net) and used by permission.

At its core, the text contains a poetic progression in which the objective world recedes before the subjective experience of the protagonist. Stanza 1 sets the scene: observe that it is entirely about the objective world in its descriptions of the landscape (river, castles, mountains, and sunshine), while we learn nothing about the protagonist’s internal emotions. Even the word munter (merrily) is used only in connection to the vessel on which the protagonist is passively being carried, rather than the protagonist himself. In stanza 2, there is a shift in focus from the external world of nature to the inner world of the protagonist. As he watches the play on the waves, emotions connected to the protagonist’s recent heartbreak begin to assert themselves. Though we do not yet know their full extent, the word hegen (to nourish, or foster) suggests that they are recurring and unresolved.1 Crucially,  

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1 Cf. the dual meaning of nähren (to nurse) in Goethe’s “Erster Verlust” (lines 5–7):

5 Einsam nähr’ ich meine Wunde
6 Und mit stets erneuter Klage
7 Traur’ ich ums verlorne Glück.

5 Alone, I nurse my wound
6 And with ever renewed lament
7 Despair over my lost happiness.
the external world is the catalyst for this inward excursion into the subjective: specifically, the literal mirror-surface of the water (spiegelbellen in stanza 1) becomes a figurative mirror held up to the protagonist that he might confront his innermost torment. In stanza 3, the depth of the protagonist’s despair is revealed. The river beckons the protagonist downward to a watery grave. Our protagonist is contemplating suicide.\(^2\) During this moment of heightened subjectivity, however, the protagonist recognizes his own impulse toward death, and he rejects the temptation to drown himself. Finally, in stanza 4, the objective world of nature and the subjective world of the protagonist are synthesized through the protagonist’s realization that the river and the beloved are alike. Both conceal danger in beauty. In this way, nature becomes a stand-in for the protagonist’s beloved.

**Musical Analysis**

With its lilting 3/8 meter (marked Ruhig, nicht schnell), Schumann’s musical setting is in the style of a *barcarole*. An annotated score is given in Fig. 5.2. The song begins with a four-measure piano prelude over an A major tonic pedal. To listeners of Schumann’s time, the key of A major may have been considered bright and cheerful.\(^3\)

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\(^2\) This scene is remarkably like the famous scene from Schubert’s “Der Lindenbaum” (no. 5 from *Winterreise*, D. 911). There, a linden tree beckons to the heartbroken wanderer to come find rest (an obvious euphemism for death) under its leaves. There, as here, the protagonist rejects the impulse.

The theme of drowning is also prominent in Schubert’s *Die Schöne Müllerin* (D. 795). In “Thränenregen” (song no. 10), there is a reference to the downward pull of the water in the fifth stanza:

17 Und in den Bach versunken
18 Der ganze Himmel schien,
19 Und wollte mich mit hinunter
20 In seine Tiefe ziehn.

And the whole sky seemed
Sunken in the brook,
And wanted to pull me
Into its depths.

The miller succumbs to the alluring abyss in “Der Müller und der Bach” (song no. 14) with the lines *Ach, unten, da unten, die kühle Ruh’* (Ah! under, there under, is cool rest).

\(^3\) Indeed, this perception persists even to the present day. Violins “sing” well in this key because the roots of each primary triad in the scale are on open strings (A, 3rd string; D, 2nd string; and E, 4th string); consequently, much orchestral music in this key has a sheen, a shimmering quality to it that would not have been lost on Schumann. A prominent idea in nineteenth-century aesthetics was that, owing to differences in tuning and intonation, specific keys were characterized by distinct affects. Concordantly, each key functioned as a kind of *topos* that could evoke for the connoisseur an entire mood or atmosphere. In *Ideen zu einer Ästhetik der Tonkunst* (1784), Christian Schubart claims that the key of A major is associated with “declarations of innocent love, satisfaction with one’s state of affairs, hope of seeing one’s beloved again while
A'''

Oben Lust, im Bassen Täcken, Strom du

bist der Liebsten Bild! Die kann auch so

freundlich nick'en, lacht auch so frömm und

mild, lacht auch so frömm und mild.
Visually, the octave doublings in the right hand (C₄ and C₅) moving in parallel thirds with the “alto” voice of the left hand (with A₃ while the tenor holds on E₃) combine with a large-scale double-neighbor figure in mm. 1–4 (C₅–D₅–B₅–C₅, one note to a measure) to symbolize the gentle waves of the scene. Thus, we might speak of a low-level correspondence between the outer form of the music and the poetic content in these measures: the graphic representation of the music on the page (viz., the double-neighbor figure) corresponds to the water imagery in the text (specifically, dem Spiele goldner Wellen in lines 5–6). To connect this with my remarks on the text above, I claim that the piano prelude is strongly bound up with the objective world—a point we shall revisit in considering the piano postlude.

Since the form of the poetry is so regular, it is unsurprising to find that Schumann’s setting is strophic (AA’A”A”’) with only minor variations in the rhythm of the melody to accommodate slight differences in declamation that arise from stanza to stanza (see, for example, mm. 13–20). Additionally, the final stanza is written out in mm. 29–48 to allow for a minute—but significant—melodic change (see F♯ in m. 38) and to permit the piano coda that concludes each strophe (mm. 25–28 = 49–52) to lead into a final postlude (mm. 52–57). Musically, the strophes divide cleanly into two asymmetrical halves that correspond to the couplets that make up each stanza. As with the poetry, the phrase structure is highly regular, consisting of predictable four-measure groups. Thus, mm. 5–12 (4 + 4 = 8) set the first two lines, while mm. 13–24 (4 + 4 + 4 = 12) set the last two lines of each stanza. To facilitate detailed discussion, I will refer to these sub-sections henceforth as A₁ and A₂.
The voice-leading graph in Figure 5.3 shows that the broad tonal sweep of A₄ serves to connect the structural tonic harmony prolonged in mm. 1–10 to the structural dominant harmony. The first line of each strophe is supported entirely by tonic harmony; in fact, mm. 5–8 repeat the music of the prelude verbatim. In the top voice, 3 is adopted as the Kopfton in m. 5 with the singer’s entrance.⁴ In m. 9 with the start of the second line, the A major chord functions as a pivot, becoming IV in the key of E major. At a deeper level, the E: II⁰ in m. 10 marks the boundary of a tonic-prolongational span: it represents a 5–6 shift over A₂ in the bass. This in turn facilitates a smooth connection to the structural pre-dominant harmony in m. 11. Indeed, the motion to II⁷ is intensified by the beautiful passing tones, C₅ and E₄, in parallel sixths between the soprano and alto voices in m. 10, which fleetingly transform F₃ minor into a half-diminished chord. In my reading, the structural dominant is attained in m. 12 with an emphatic V: PAC (note the ritard. in the score). The fourth-progression B₄—

⁴ In general, it is good practice in the analysis of Lieder to read the Kopfton with the singer’s entrance rather than in the piano prelude. According to Cadwallader and Gagné: “An introduction precedes, and prepares for, the main body of a work. When the vocal part enters, it sounds like a beginning in psychological and artistic terms, since in performance the singer is seen as the ‘protagonist’ by the audience. Hence, from a structural perspective, it is generally appropriate to associate the entrance of the vocal part with the true beginning of musical development.” See Allen Cadwallader and David Gagné, Analysis of Tonal Music: A Schenkerian Approach, 3rd ed. (New York: Oxford University Press, 2011), 219.
C\#–D\#–E\textsubscript{5} in the top voice prolongs the structural 2\textsuperscript{♭} of the Urlinie, which conceptually arrives over V at a deeper level but is displaced to arrive earlier over II\textsuperscript{♭7} in m. 11 at the foreground. As we shall see, E\textsubscript{5} in the melody will be retained as a Deckton in the first part of the A\textsubscript{b} section. Finally, note the transference of the double-neighbor motive to the new local tonal center of E major in the alto line.

The A\textsubscript{b} section is much more complicated in its harmonic procedures and its large-scale voice leading; I feel obligated to warn the reader that my interpretation is not altogether obvious at first blush. Let us leave aside the piano accompaniment for the moment and concentrate on the vocal line, since it is more immediately accessible. After the V: PAC in m. 12, the singer perseverates on E\textsubscript{5} in the next four-measure group, mm. 13–16, with leaps down to E-major chord tones in mm. 14 and 16 (G\# and B, respectively). In fact, the strong arrival and subsequent tarrying on 5 invites us to ask whether we ought to reconsider this piece as a 5-line. Such an interpretation would read a 3–#4–5 Anstieg in A\textsubscript{a} and trace the Urlinie descent in A\textsubscript{b}, as illustrated in Figure 5.4.

Figure 5.4 Schumann, “Berg’ und Burgen schau’n herunter,” alternative 5-line reading

While it would certainly be possible to provide a well-reasoned and well-formed account of this piece from 5, there are many subtle clues that tip the balance in favor of a 3-line reading. First and most obviously, 3 receives much more tonic support and undergoes melodic prolongation through a double-neighbor figure in the A\textsubscript{a} section. By contrast, 5 arrives only with the change to V
harmony, and it has a hovering quality in mm. 13–16. This strongly suggests that E₅ covers a more structural 2, as shown in my graphs. It is also telling that the ascent to E₅ comes from B₄ (see m. 11), while an Anstieg reading from 3 up to 5 would downplay B₄ to prioritize the Zielton of the lower-level third-progression (B₅–C♯₃)–D♯₃ over II⁷. Note that the Anstieg requires this chromaticized 4 as there is no diatonic candidate; this does not make a reading from 5 untenable, but it does muddy the waters. However, the strongest evidence in support of a 3-line comes in the prelude and coda, which may be observed to foreshadow and reminisce on C♯₃, respectively.

**Figure 5.5** Schumann, “Berg’ und Burgen schau’n herunter,” foreground graph of postlude and coda

Reading the piece from 3 provides hermeneutic insight into why C♯₃ is prominent in the prelude, why the coda contains a 3–2–1 Ursatz replica (shown in **Figure 5.5**, mm. 27–28), and why this tone accompanies the final PAC in the piano descant at each important structural close (see mm. 24 and 48).⁵ Assuming my intuitions about a 3-line reading are correct, interpreting the trajectory of the melody in mm. 17–24 should be straightforward. The cover tone E₅ reconnects with the Urlinie’s

⁵ The descant in the piano accompaniment is a superposition of the alto line. Compare the piano prelude in mm. 1–4.
2 in m. 23 via a fourth-progression $E_5-D_5-C_5-B_4$ (still within V), and $\hat{1}$ arrives with the PAC in m. 24.

Let us next see how the upper line described above is supported. We have already noted that, speaking purely in terms of the melody, it makes sense to understand a V prolongation in mm. 13–16 because the only tones in the melody are E, G#, and B, i.e., members of the V chord. The underlying chord progression in these measures, however, is highly chromatic and requires some unpacking. Nominally, we might think of the $F-A-C-E$ chord in m. 13 as $V_6/5$/$II$. The introduction of $F\flat$ on beat 3 transforms the quality of this seventh chord into a diminished seventh, which, from the spelling, we would expect to resolve to a $G\flat$ minor chord. Instead, it resolves non-functionally as a common-tone diminished seventh chord embellishing $V_7$. This procedure is clarified in three stages in Figure 5.6. Fig. 5.6 (a) shows the $V$'s of mm. 12, 14, and 16 without any embellishment. Fig. 5.6 (b) shows the introduction of common-tone diminished seventh chords between each inversion of $V$. At this stage, each member of the common-tone diminished seventh bears a contrapuntal relationship to its tone of resolution. Finally, Fig. 5.6 (c) embellishes each common-tone diminished seventh by preparing it first as a common-tone dominant seventh chord (as if $V_7/II$). While structurally subordinate to the common-tone diminished seventh chords, these apparent dominant sevenths may be understood to foreshadow a tonicization of II, and thus play a crucial associational role in this piece.

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Figure 5.6 Schumann, “Berg’ und Burgen schau’n herunter,” dominant seventh embellished by common-tone diminished seventh chord in mm. 13–16

The common-tone chords in mm. 13 and 15 functioning as incomplete neighboring and passing chords, respectively, allow Schumann to decorate $V^4/3$ and $V^4/2$ while retaining the descant $E_5$ in the top voice. Observe the characteristic voice leading in which all three of the lower voices ascend by half step: $A\#$ rises to $B$ in the bass, $F\#$ rises to $G\#$ in the tenor, and $C\#$ rises to $D$ in the alto. Meanwhile, $E$ remains invariant in the soprano. The process is virtually identical in mm. 14–15; only the inversions of the two chords have been changed. Looking to the boundary chords in mm. 12 and 16, we can see that the prolongation of $V$ harmony amounts to a composed-out 8–7 passing motion in the bass with registral displacement: $E_2$ in m. 12 “descends” to $D_3$ in m. 16. Hermeneutically, everything about the music in this passage conspires to give us the impression that something is stirring underneath a calm surface.

The next four-measure group, mm. 17–20, sets the last line of the stanza and brings the music to a PAC in B minor. The $V^{4/2}$ chord from the previous four-measure group resolves perforce to $I^6$ in

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7 Whenever $V^7$ is decorated by a common-tone diminished seventh, the note both chords share is always the root of the $V^7$ chord.
8 Aldwell and Schachter, Harmony and Voice Leading, 556. Aldwell and Schachter note that when a common-tone diminished seventh chord embellishes $V^7$, a “particularly important possibility” involves the upper three voices ascending a half step. Here, the situation is precisely the opposite.
m. 17, and the introduction of E♯ on beat 3 transforms this into an unstable augmented triad. The chromatic ascent E♭–E♯–F♭ parallels the ascent F♯–Fx–G♯ previously heard in mm. 13–14 (tenor) and mm. 15–16 (alto). In sum, mm. 13–18 are characterized by a rising chromatic motive that cycles through the top three voices of the texture, beginning in the accompaniment and emerging in the vocal line. As I♯6 expands outward to IV, IV becomes the pivot chord that initiates a Caplinian cadential progression in the key of B minor, with 3–4–5–1 in the bass supporting Caplinian expanded cadential progression, b: III–II♯–V7–I.⁹

The last line of each stanza is repeated in mm. 21–24, resulting in an asymmetrical grouping structure of 8 + 12 in each strophe. This repetition is necessary for the piece to cadence in the home key of A major. Seen in this way, the repetition of the text is a corrective to the music’s closing in the “wrong” key of B minor. The ascending chromatic motive returns in the melody, this time as B4–B♯–C5 in mm. 21–22, and the final structural close is achieved with a simple V7–I PAC in m. 24.

In attempting to assess the large-scale structure of A♭, our first instinct might be to read the B minor PAC as some form of structural pre-dominant harmony, that is, as the II Stufe in a I–II–V–I background progression in mm. 1–24. In this interpretation, it follows that tonic harmony would have to extend at least as far as the I♯ chord in m. 17.¹⁰ Concomitantly, the dominant prolongation in mm. 13–16 would be understood as a dominant divider within a middleground composing-out of tonic harmony, connecting I to I♯ across the two halves of the song. In my interpretation, however, the structural dominant arrives already in m. 12 and is prolonged throughout most of the A♭ section until

⁹ That is, a complete cadential progression with an initial tonic, pre-dominant, dominant, and final tonic. For Caplin, the prototype is I6–II6–V–I. See the section on “Authentic cadential progression” in William Caplin, Classical Form: A Theory of Formal Functions for the Instrumental Music of Haydn, Mozart, and Beethoven (New York: Oxford University Press, 1998), 27–28. Here, III substitutes for I6 as the initial tonic.
¹⁰ Tonic harmony might even be read to extend as far as the VI♯/7 on the last beat of m. 19 as a chromaticized 5–6 shift above I.
m. 23. This lengthy dominant prolongation bears the burden of supporting a fourth-progression, $E_5$–$D_5$–$C#_5$–$B_4$, in the upper voice, which covers the Urlinie’s $\hat{2}$, and it only rejoins at the end of the dominant-prolongational span, as shown in Figure 5.7.

**Figure 5.7** Schumann, “Berg’ und Burgen schau’n herunter,” covering line rejoins $\hat{2}$

![Figure 5.7](image)

This seems an opportune moment for me to justify my reasoning in privileging an extended dominant prolongation over an extended initial tonic prolongation as the harmonic foundation to $A_b$. Both readings are well-formed and internally consistent. In fact, I acknowledge that the extended initial tonic interpretation is perhaps even the more attractive of the two readings, insofar as it might be considered a first-level default in Schenkerian analysis. So, what evidence prompts me to favor the less intuitive reading? The answer to this question lies in this song’s phrase rhythm. I invite the reader to ask himself: “which measures are hypermetrically strong, and which are weak?” Schumann’s *vierhebig* setting initially suggests that the odd-numbered measures are strong, while the even-numbered measures are weak ($S | W$). However, the *ritardandi* in mm. 11 and 23 contradict this pattern: they create a strong sense of arrival in mm. 12 and 24 that points to these measures as hypermetrically strong. Similarly, the unique occurrence of increased harmonic rhythm in m. 19 marks a strong arrival in m. 20. Assuming there is no conversion point where the hypermeter undergoes reinterpretation

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11 Judging from the various recordings I have listened to, most performers appear to take this $S | W$ patterning for granted.
12 Besides the piano postlude in mm. 25–28, the harmonic rhythm is regular, with chord changes occurring with each new measure. Measure 19 is the only location in the main body of the piece that contains two distinct chords of differing harmonic functions ($II$: PD–D).
(there is nothing in the music to suggest a metrical revision), we conclude that, contrary to our first instincts, the odd-numbered measures are weak and the even-numbered measures are strong at a two-measure hypermetric grouping. In other words, the pattern is not S | W, but rather W | S.

Next, consider how these two hypermetrical interpretations affect the declamation of the poetry. In Figure 5.8 below, I have dramatized those syllables of the prevailing trochaic tetrameter that receive added emphasis. The left column underscores those syllables that are brought out when we adhere to a S | W pattern, which places emphasis on feet 1 and 3, while the right column employs the opposite W | S pattern, emphasizing feet 2 and 4. Although the differences may appear subtle, which syllables are emphasized can, in turn, sharply affect our comprehension of the poetic content. Try reading both versions—which one leaves a better impression?

Figure 5.8 Schumann, “Berg’ und Burgen schau’n herunter,” comparison of word emphasis in the poetry

<table>
<thead>
<tr>
<th>Emphasis on feet 1 and 3</th>
<th>Emphasis on feet 2 and 4</th>
</tr>
</thead>
<tbody>
<tr>
<td>Berg’ und Burgen schau’n herunter in den spiegelhellen Rhein,</td>
<td>Berg’ und Burgen schau’n herunter in den spiegelhellen Rhein,</td>
</tr>
<tr>
<td>und mein Schiffchen segelt munter, rings umglänzt von Sonnenschein.</td>
<td>und mein Schiffchen segelt munter, rings umglänzt von Sonnenschein.</td>
</tr>
<tr>
<td>Ruhig seh’ ich zu dem Spiele goldner Wellen, kraus bewegt; still erwachen die Gefühle, die ich tief im Busen hegt’.</td>
<td>Ruhig seh’ ich zu dem Spiele goldner Wellen, kraus bewegt; still erwachen die Gefühle, die ich tief im Busen hegt’.</td>
</tr>
<tr>
<td>Freundlich grüssend und verheißend lockt hinab des Stromes Pracht; doch ich kenn’ ihn, oben gliedend, birgt sein Innres Tod und Nacht.</td>
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</tr>
</tbody>
</table>

13 It is possible to understand a gradual metric shift from S | W to W | S starting around m. 9 in consideration of Lerdahl and Jackendoff’s metrical preference rule for reading longer note values as metrically strong (MPR 5). See Lerdahl and Jackendoff, A Generative Theory of Tonal Music (Cambridge, MA.: MIT Press, 1983), 80–86, esp. 85. In this reading, one might hear mm. 5–6 as S | W (or else equivocal); mm. 7–8 would begin to shift the balance in favor of reading W | S because of the on the downbeat of m. 8; the eighth-note rest in m. 9 followed by the pattern in m. 10 might prompt a re-evaluation; and the new W | S pattern would be fully realized with the comparatively long value of m. 12.
Oben Lust, im Busen Tücken,
Strom, du bist der Liebsten Bild!
Die kann auch so freundlich nicken,
lächelt auch so fromm und mild.

Again, the differences are subtle, but remarkable. A pronounced weakness of the first reading is that it places undue and inartistic emphasis on articles, prepositions, and conjunctions: note how often *die, und, in, zu*, and the like receive greater emphasis with this pattern. This reading comes across as stilted, wooden, and unnatural. By contrast, the reader will no doubt be struck by how much better the second reading marks for consciousness those words that contribute to our comprehension of the poetic content by its more consistent emphasis on nouns and verbs—that is, on subjects and actions.¹⁴

Although we cannot know for certain, it is highly likely that Schumann was sensitive to these two potential metrical settings. In support of this possibility, consider Schumann’s setting of “Lust der Sturmnacht,” an excerpt of which is given in Figure 5.9, where the same metrical patterning that I am proposing for “Berg’ und Burgen” is explicit. The poetry by Justinus Kerner is also in trochaic tetrameter throughout, and our expectation might be that when rendered musically in 6/8 time, feet 1 and 3 should be coordinated with the downbeats to create the pattern S W | S W. Instead, however, Schumann has the singer enter on beat 4, such that the setting unequivocally emphasizes feet 2 and 4 of each line by coordinating these with the strong part of the measure. The actual pattern is W | S W | S. This lends credence to the possibility that Schumann may have intended “Berg’ und Burgen” to be similarly patterned metrically.

¹⁴ I do not mean to suggest that anyone should recite this poem with exaggerated emphases. The interpretation on the right in Fig. 5.8 is indeed better, but some of the emphases on the left remain valid and should be retained in spoken recitation. For example, the last syllable of *Sonnenschein* cannot be emphasized in the first stanza, since the stress in the first word is always the main one. Similarly, *kraus, Bogen, oden, Tod*, and *Liebsten* are all likely to be emphasized when the poem is read aloud.
Returning to the phrase structure of “Berg’ und Burgen,” what mm. 12, 24, and 20 have in common is that they are all cadence points: PACs in V, II, and I. I contend that Schumann’s setting is better interpreted as adhering to the end-accented Italian-Franco metrical tradition rather than the beginning-accented German metrical tradition.\(^{15}\) Recently, Andrew Wilson has proposed the less ambiguous terms *arrival* vs. *departure* meter, since considerations of “when and where” are fraught with confusion and exceptions.\(^{16}\) The former he defines as “meter oriented around points of arrival, specifically the final ictus of groups and phrases” while the latter he defines conversely as “meter oriented around points of departure, specifically the initial ictus of groups and phrases.”\(^{17}\) In this song, I believe that we are dealing with an arrival meter that is organized around important cadence points.

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15 This Italian aspect to the meter agrees well with the *barcarole* style of the music.
16 See Andrew Wilson, “Dual-Aspect Meter: A Theory of Metrical Consonance, Dissonance, Weight, and Variety” (PhD diss., The Graduate Center, City University of New York, 2014), 188–89.
17 Ibid.
At the four-measure hypermetric level (i.e., a higher-level 4/4 time signature in which 1 beat = 1 measure), the cadences in mm. 12, 20, 24, and 28 are all down-beats on 1, and working backward, we can see that each of the four-measure groups begins with an up-beat on 2, following the pattern 2 3 4 | 1. On the musical surface, the *Aufstaktigkeit* quality of each 2-measure is, to my ear, heightened by the eighth-note rests in mm. 1, 9, 13, 17, 21, and 25, which gives them a metrical tension that finds release in the subsequent, even-numbered measure.

It is this combination of harmonic and rhythmic factors that leads me to argue that the structural dominant of the piece arrives in earnest at end of the A₄ section (see Fig. 5.3, m. 12), and that this dominant is prolonged by a descending fourth-progression for the bulk of the A₅ section (see Fig. 5.7). Because the fourth-progression unfolds across such a long stretch of time, the two passing tones, D and C♯, receive consonant support at more foreground levels. Figure 5.10 shows how this is accomplished with the aid of a sunken II chord and a passing 6/4, respectively. Fig. 5.10 (a) shows V with figures 8–7–6–5 expressing the fourth-progression realized in the top voice. Meanwhile, the tonicized V from m. 12 becomes re-activated as V in the home key.¹⁸ The broad arrow over D₅ indicates that a dominant sink-fold will occur at this location; this will draw the music metaphorically inward and produce a ♭II at the next structural level. The latter is shown in Fig. 5.10 (b), along with support for C♯ in the form of an unfurled passing 6/4 chord.¹⁹ To prevent parallel octaves between ♭II and the passing I chord, a yet shallower V⁶/₅ is introduced as a voice-leading corrective at m. 21. Since the root of the apparent I chord is understood as sounding above a pedal E₂, it is conceptually dissonant and must resolve to G♯ as 4–3 over V. This resolution is not literally present in the music—

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¹⁸ This procedure is, in miniature, similar to what typically happens between the essential exposition closure and the end of the development section in major-key sonata form.

¹⁹ This is David Damschroder’s term for an embellishing six-four chord with its root or third in the bass rather than its fifth. See David Damschroder, *Harmony in Schubert* (New York: Cambridge University Press, 2008), 31ff.
in fact, G♯ is omitted entirely from the V⁷ chord in m. 23—but it is implied as the completion of a 10–10–10 linear intervallic pattern between the soprano and tenor, as shown in Fig. 5.10 (b).

**Figure 5.10** Schumann, “Berg’ und Burgen schau’n herunter,” origin of ♭II

We have now only to account for how the material leading up to the b: PAC works in the context of a V prolongation. At the next level of the middleground, Figure 5.11 shows how E₅ in the top voice is elaborated before its descent back to 2 of the Urdlinie. At this level, E₅ is prolonged in the top voice in mm. 13–17. Passing 8–7 motion in the bass connects V to a first-inversion A major chord in m. 17. Ordinarily, we might interpret this as a structural I⁰ (perhaps signaling a cadence in A major?), but the introduction of E♯₅ destabilizes this chord, transforming it into an augmented sonority. Additionally, the progression I⁰–IV in mm. 18–19 is analogous to c.t.⁹–V in mm. 13–14 and 15–16: all three pairs follow the same pattern of diminution in the piano accompaniment, move from W | S hypermetrically, and convey a sense of tension followed by release. This suggests that IV is hierarchically superior to I⁰ in this context. In other words, we come to understand I⁰ as incomplete neighbor to IV, as if D: V⁶–I. D major in turn becomes a substitute for the initial tonic of a B minor
auxiliary cadence in mm. 18–19. In the top line, E♯ pushes the line up to F♯₅, which in turn prolongs D₅ with a third-progression (F♯₅–E₅–D₅).

Figure 5.11 Schumann, “Berg’ und Burgen schau’n herunter,” further elaboration of ♭Ⅱ

A complete foreground graph of the A₆ section is given in Figure 5.12. At this level, the third-progression F♯₅–E₅–D₅ in the top line is displaced registrally at m. 18 through a voice-exchange between the soprano and alto voices. With respect to the overarching fourth-progression, E–D–C♯–B, which we have previously discussed, register 5 is abandoned in m. 18 and the true top voice becomes submerged beneath a b: 3̂–2̂–1̂ Urlinie replica that belongs to an inner voice at a deeper structural level (cf. Fig. 5.11, where this forms the alto line). The structurally important motion E–D, i.e., the motion that initiates descent in the governing fourth-progression within V, is thus covered in
mm. 18–21. The true top line remains submerged as the alto line until m. 22, at which point it re-emerges with the penultimate tone of the fourth-progression (C#), now in the proper register.

**Figure 5.12** Schumann, “Berg’ und Burgen schau’n herunter,” foreground graph of mm. 12–24

Having considered the poetry and music in relative isolation from one another, we may now discuss the ways in which the harmony and voice leading may be said to correspond with the poetic content for the creation of meaning. My argument is that the sunken II chord’s placement in the music maximizes for the listener the effect of the psychological journey as it is presented in the text. More specifically, it corresponds to marked turns inward in the last lines of each stanza. In the first stanza, it functions pre-consciously and pre-verbally as a catalyst for further introspection. At this stage, where the protagonist sings of sunshine and calm waters, it is akin to a knot in his stomach: he has noticed a state of distress, but he cannot yet identify its cause or attach a label to it. In the second stanza, the sunken II in the music attends the protagonist’s consciously-directed accessing of his interior, subjective world. In the poetry, feelings buried deep inside begin to awaken, and it is now the protagonist’s task to investigate these further. In the third stanza, the sunken II chord is coordinated with a still deeper introspection, one that allows the protagonist to explore questions like “what are
these feelings?” (answer: “heartbreak”), “where do they come from?” (answer: “they are associated with the beloved”) and “what are they asking me to do?” (answer: “kill yourself”). In the final stanza, the sunken II chord appears at the precise moment when the protagonist’s thoughts have come full circle. He is now able to connect the landscape of his inner emotional world to the landscape of his external world. This is the eureka moment: our protagonist now fully realizes and understands what it is about his external surroundings that caused him distress in the first stanza. He has explored his inner world and achieved a measure of new self-knowledge.

Since Schumann’s setting is strophic, certain elements in the music may be understood to foreshadow their textual counterparts, which only arrive in later stanzas. In this way, certain moments in the music gradually accrue meaning as more of the poetry is revealed. These changes are summarized in Figure 5.13, where I have used hairpins to dramatize what I believe to be correspondence highpoints in Schumann’s strophic setting. These are points in the song where the words of the poetry and the materials of music come together to form particularly strong connections which are full of imaginative and interpretive possibility.

Let us imagine that we are hearing the song for the first time. The tonic pedal of the piano prelude cues us that everything is stable, and the neighboring motions about 3 offer the gentlest rocking motion, which we will associate retrospectively with the embodied experience of being on a boat. The singer enters and we hear the first line of the poem sung to the same music that we just heard in the prelude (Berg’ und Burgen schau’n berunter). Everything is calm. With the second line (in den spiegelbellen Rhein), the singer’s rhythm becomes slightly more active, and we sense that our tonal center has shifted toward the dominant. We might experience mm. 9–12 as a surge forward, or as a broadening gesture (note the ritardando). With the third line (und mein Schiffchen segelt munter), the faster harmonic rhythm and rising chromatic motion in the lower voices (against the sustained high note in
the vocal line) generate instability, as if energies are being stored up for release. Our embodied experience is perhaps one of moving faster now. Since in this stanza the protagonist is still talking about the external scene, we instinctively draw the conclusion that the vessel has picked up speed.

**Figure 5.13** Schumann, “Berg’ und Burgen schau’n herunter,” correspondence highpoints

<table>
<thead>
<tr>
<th>Neighbor motion C#–D–B–C# (mm. 5–8)</th>
<th>Mimesis of ship’s motion on water</th>
<th>Portrays the protagonist’s demeanor (Ruhig)</th>
<th>Mimesis of anthropomorphized water gestures</th>
<th>Portrayal of over/under dichotomy</th>
</tr>
</thead>
<tbody>
<tr>
<td>Auxiliary cadence in E major (mm. 9–12)</td>
<td>General sense of acceleration, broadening</td>
<td>Mimesis of water motion</td>
<td>Mimesis of water motion</td>
<td>Vocative; epiphany</td>
</tr>
<tr>
<td>Rising chromatic motion beneath cover tone (mm. 13–16)</td>
<td>Pre-verbal indication that something is awry</td>
<td>Hidden feelings awake</td>
<td>Recognition of danger, remaining steadfast</td>
<td>Symbolic of the beloved’s duplicity</td>
</tr>
<tr>
<td>Auxiliary cadence in B minor qua Ⅵ (mm. 17–20)</td>
<td>Text-music irony (Sonnenschein)</td>
<td>Feelings contained in chest/heart</td>
<td>Danger contained in river’s depths (Innres)</td>
<td>Bittersweet memory of beloved</td>
</tr>
<tr>
<td>“Corrected” cadence in home key (mm. 21–25)</td>
<td>Reassertion of emotional control, objectivity</td>
<td>Reassertion of emotional control, return to objectivity</td>
<td>Reassertion of emotional control, return to objectivity</td>
<td>Reassertion of emotional control, synthesis of subjective and objective</td>
</tr>
</tbody>
</table>
As shown in Figure 5.14, the passage in mm. 13–20 could easily have functioned as the ending to the song. In this hypothetical re-composition, I have simply changed the last two notes in the melody from A♯–B₄ to B₄–A₄ and re-harmonized A: 3–2–1 mm. 19–20 with a V⁶−⁵−I progression in the home key of A major. This ending would have sounded bright and cheerful and would have preserved a square 4 + 4 + 4 + 4 grouping structure. With the introduction of A♯, however, the music cadences rather unexpectedly in B minor. Listeners may also register—if only at a subconscious level—that the structural upper line has been momentarily abandoned (cf. the submergence of the main upper line, discussed above). Consequently, the music in mm. 18–20 sounds fragile and introverted; yet these descriptors are precisely at odds with the poetry, which speaks of sunshine glistening in the water (rings umglänzt von Sonnenschein). We are left asking ourselves as listeners: why this apparent mismatch between the music and poetry? Insofar as we associate major and minor modes with light and dark or happy and sad, why is the music dark when the text describes sunlight? Why isn’t the music cheerier in keeping with the word munter in the text?

The sunken II chord functions in the first stanza as our first indication that something is awry. The line is repeated in mm. 21–24 to bring us back to the tonic, but the motion sounds understated,
maybe even resigned, in the wake of the cadence in B minor. The two cadences create an oppositional effect in the delivery of the line: the first statement (in mm. 17–20) seems to be directed inward, the repetition outward. It is as if our protagonist utters something first to himself, privately and tentatively as if to crystallize its meaning; he then repeats it, louder and with greater conviction, as if to a wider audience. Dramaturgically, this is the equivalent of a soliloquy followed by an aside. In this way, thoughts and feelings retrieved from the inner world are brought out into the open and laid bare. In “Berg’ und Burgen,” this same two-step process is achieved musically by repeating the line, but juxtaposing cadences in II (within a larger V) and I. The first utterance is a drawing-outward of a thought, emotion, or idea contained within; the second is an act of outward confirmation or acceptance.

In the second strophe, the first couplet returns to descriptions of the scene (Ruhig seh’ ich zu dem Spiele/goldner Wellen, kraus bewegt). The music in mm. 5–12 fits these lines perfectly; the long tonic prolongation now captures the manner in which the protagonist observes the outside world (Ruhig, calmly), while the strong motion to V enacts the meaning of the word bewegt in reference to the play of the light on the water. At the same time, however, the motion to the structural V marks the transition from objective to subjective worlds, for lines 7–8 contain the first explicit mention of subjective experiences. The meaning of the music in mm. 13–16 is likewise transformed in the second stanza. Whereas earlier we connected the rising motion and harmonic tension in this passage with the outside world (the boat picking up speed, a stronger current in the river), the same music now has a different meaning: the rising chromaticism prolonging V symbolizes waking emotions. In this reading, the dominant arrival on E₅ and its adoption in the top voice as a cover tone bridge the two halves of the stanza: E₅ may be understood to represent the protagonist’s calm outward demeanor as he observes the waters (Ruhig seh’ ich), but it also captures the sense conveyed by the adverb still in line 7, that action is taking place in opposition to some fixed element. The rising motive F♯–F♮–G♯ in the
tenor and alto voices represents the emotions awakening within (still erwachen die Gefühle); this ascending urge will spill over into the top line with E₃–E₅♯–F♯.

In another context, it might strike us as strange that the word tief should be set to the melodic highpoint. All else being equal, there is a common-sense approach to text-setting in Lieder that amounts to a strong preference to set words connoting lowness or depth to lower-sounding pitches, insofar as both domains preserve a common VERTICALITY image-schema.²⁰ On the face of it, we have in this instance a moment of Widerspruch: the meaning of the text is contradicted by its musical setting. Here, however, I think that the apparent contradiction makes sense as part of a broader text-musical gesture. The transference of the chromatic motion through the three different registers (alto → tenor → soprano) and from accompaniment to vocal line depicts the protagonist’s developing awareness of his emotions.²¹ From this perspective, the vocal highpoint on F♯ depicts a coming-to-the-fore, the moment when emotions overtake the protagonist’s calm exterior. Hard on the heels of this moment of recognition, the music again folds inward with the move to sunken II at die ich tief im Busen hegt’. The use of a sunken II is particularly apt for the setting of this line, since the musical dimension preserves...

²⁰ See Zbikowski, Conceptualizing Music Cognitive Structure, Theory, and Analysis (New York: Oxford University Press, 2002), 69. “The relationship between the VERTICALITY schema and our characterization of musical pitch with reference to the spatial orientation up-down is fairly immediate: when we make low sounds, our chest resonates; when we make high sounds, our chest no longer resonates in the same way, and the source of the sound seems located nearer our head” (Italics and small-caps in the original). Earlier in this chapter, Zbikowski introduces cross-domain mapping of this sort when he draws attention to a passage from the Credo in Palestrina’s Pope Marcellus Mass in which the words descendit coeli are set to a series of overlapping scalar descents in each voice: “The notion of descent summoned by the text is thus given sounding image by a specific series of musical events” (ibid., 73).

²¹ Compare Richard Taruskin’s discussion concerning the representation of consciousness in Schubert’s “Gretchen am Spinnrade.” See Richard Taruskin, Music in the Nineteenth Century, Vol. 3 in The Oxford History of Western Music (New York: Oxford University Press, 2010), 151–52. On the one hand, the piano accompaniment depicts the “objective” representation of the wheel (its turning, clicking, and pedal). On the other hand, it depicts the “subjective” manipulation of inwardness when Gretchen forgets to spin upon remembering Faust’s kiss. Thus, it is “not the spinning, but Gretchen’s consciousness of it” that is being represented, and Taruskin correctly points out that “consciousness of the ‘objective’ surroundings (spinning wheel, hoofbeats) recedes as the ‘subjective’ vision grows more vivid.” In “Gretchen am Spinnrade”—as here in Schumann’s “Berg’ und Burgen”—“the representation of ‘inwardness’ as it interacts with and triumphs over the perception of external reality is the true romantic dimension here, the source of the music’s uncanny power.”
the image-schema of CONTAINER native to the text: feelings contained within are symbolized by an apparent II contained within V.

In the third strophe, the A₄ section (mm. 5–12) once again returns the protagonist’s attention to the objective world (Freundlich grüssend und verheißend/lockt binab des Stromes Pracht). Since we will learn shortly that the protagonist is grappling with suicidal tendencies, there is cause for us to reinterpret the meaning of the A-major prolongation in this strophe. Our perception of A major is radically altered: we discover that all is not as it appeared to be, that there is something false and potentially dangerous about that which we formerly understood to be bright, cheery, and calm. The passage in mm. 13–15 (doch ich kenn’ ihn, oben gleißend) now becomes the protagonist’s reaction to the river’s siren song. The ascending chromaticism here symbolizes the protagonist’s gradual recognition of the dark truth behind the waves’ greeting (doch ich kenn’ ihn). The precise diction of the poetry—in particular, the use of the word doch, as opposed to aber (“but”)—suggests that this act of recognition is no small feat but an extraordinary insight. The cover tone E₅ nicely depicts the text’s oben gleißend (“gleaming above”) as a superficial correspondence, but we can also understand a correspondence between its function as common tone in the harmonic progression in relation to the poetic situation. Just as Odysseus lashed himself to the mast of his trireme to resist the sirens’ song, our protagonist clings to E₅ so that he will not be swayed by the water’s friendly greetings and promises, no matter how enticing they may be. The eventual upward exit to high F₅ through E₅–E₅–F₅ may be taken as an outward

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22 The effect is akin to our perception of E major in Schubert’s “Der Lindenbaum,” which starts out pleasant, but comes to be understood as an impulse to suicide.

23 The word doch is significant since it expresses a form of contrast that has no direct English equivalent. The translation provided translates it as “but”; a closer, word-for-word translation would be “yet,” in the sense of “on the contrary.” Doch is commonly used in situations where its contextual opposite was taken for granted or otherwise expected. Here, the use of doch colors the meaning of the line so that it reads more like “though safety is taken for granted, upon reflection, I was able to infer danger there.”


So they sent their ravishing voices out across the air
and the heart inside of me throbbed to listen longer.
I signaled the crew with frowns to set me free—
act of resistance in this reading (going up rather than down), as the protagonist’s final decision not to
succumb to suicide.25

The sunken II chord in this stanza is uniquely poised to capture the sense of the word \textit{Innres}
and to do justice to the full weight of the poetic content in the line \textit{bringt sein Innres Tod und Nacht}.26 I
would go so far as to speculate that Schumann’s compositional decision to include a B-minor
tonicization in this piece was probably motivated by this word, in this line, in this stanza. The cultural
signification of B minor is also evident in its key characteristics. According to Schubart, this
melancholy key is “the key of patience, of calm awaiting [of] one’s fate and of submission to divine
dispensation.”27 While the translation in Figure 5.1 conveys the semantic meaning simply enough (i.e.,
conceals its inner death and night), it is instructive to tease out the precise grammatic logic in the
original German. \textit{Innres} is presented in line 12 as an adjective, but it is also the grammatical subject
under poetic inversion.28 Without the inversion, the line would read \textit{Sein Inn’res bringt} (its inside
conceals). The word \textit{sein} refers to the river in line 10 (\textit{der Strom}) and indicates possession, i.e., the
interior belongs to the river. What is truly remarkable about this stanza is the marvelous way in which
the grammatic structure of the German echoes the poetic meaning. The dichotomy between

\begin{itemize}
  \item \textsuperscript{21} they flung themselves at the oars and rowed harder,
  \item \textsuperscript{22} Perimedes and Eurylochus springing up at once
  \item \textsuperscript{23} to bind me faster with rope on chafing rope.
\end{itemize}

25 The drama of this scene is remarkably similar to another Heine poem from the same collection. In “Seegespenst” (no.
10 from \textit{Die Nordsee}, part of \textit{Buch der Lieder}), Heine dedicates 78 lines of poetry to the same basic scenario: a traveler looks
out from the deck of a ship into the water and hallucinates an entire city populated by water-dwelling folk; his focus is
gradually drawn to a solitary young mermaid, with whom he immediately falls desperately and hopelessly in love; finally,
just as he is about to throw himself overboard to be united with her, the ship captain seizes him and asks him, \textit{Doktor, sind
Sie der Teufels?} (what the devil has gotten into you?). While both poems are similar, in “Berg’ und Burgen,” the protagonist
is his own savior, while in “Seegespenst,” it is only through outside intervention that tragedy is averted.
26 Curiously, Schumann alters the text of the poem to read \textit{bringt} (brings, or carries with) rather than (\textit{ver-})\textit{bringt} (conceals).
There is some confusion about the choice of verb in this line. \textit{Bingt} is conjugated from \textit{bergen} (to recover, salvage, rescue,
retrieve, etc.), while Heine seems to be using it as if it were \textit{verbergen} (to conceal, or hide). The inseparable prefix, \textit{ver-}, is
perhaps implied by the context. Perhaps Schumann’s alteration to the simpler \textit{bringt} was motivated by this confusion. This
is a shame, since the latter is much more expressive.
27 Quoted in Steblin, \textit{A History of Key Characteristics}, 296.
28 The technical term for this literary device is \textit{anastrophe}.
over/under and inside/outside is built into the very language of this stanza, as represented in Figure 5.15. Conceptually, death and night (Tod und Nacht) are two degrees removed from the river surface, and three degrees removed from the river's splendor, which, gleaming above, beckons to the protagonist in line 9. No wonder our protagonist chooses the word doch! There is thus a triple correspondence between the grammatic structure, the poetic content, and the music's harmony and voice leading in this line. When the line is first led to B minor, the effect is revelatory. By repeating this line in A major, we might hear “death and night” drawn into the open, as if our protagonist were accepting the situation and coming to terms with it.

In the final strophe, our protagonist synthesizes what he has learned. The first line (Oben Lust, im Busen Tücken) contrasts seeming and being with above and below, and now corresponds particularly well to the double neighbor motive (C♭5–D♭–B♭–C♭) in the melody. Whereas in previous strophes this motive corresponded to the poetic content in only the most general way (embodying the ship’s rocking), we may now associate it specifically with Oben and im. With the modulation to the dominant, our protagonist addresses the river directly and likens it to his beloved (Strom, du bist der Liebsten Bild!).
Note again the use of the genitive case: *der Liebsten*, genitive form of *die Liebste*—the river is the image of the beloved. The stirring motion to the dominant in mm. 33–36 seems particularly well-suited to the vocative in this line, with its climax on E₅ and with ² (in my reading) arriving on the word *Liebsten* (cf. *Stromes* in the previous strophe). The A₆ section could be understood in this strophe as problematizing, perseverating, and prolonging ²/V as associated with *Liebste*.

The rising chromaticism in mm. 37–40 now embodies the word *nicken* (*Die kann auch so freundlich nicken*). Whereas in earlier strophes it was associated with a knot in the protagonist’s stomach, awakening feelings, and recognition of danger, here it is associated directly with the beloved’s nod. Nodding is usually a sign of approval, agreement, or assent. We may surmise that at some point in the past, our protagonist was led to believe by this gesture that his dearest loved him and would always be true to him. Unfortunately, the word *Tücken* in poetry (plural: malices, perfidies, perils) makes it clear that she was in some way unfaithful, deceitful, or hurtful.²⁹

The last time that we hear the sunken II chord in this song, it sets the line *lächelt auch so fromm und mild*. Here, the conflict between the text’s “devotedly and gently” and the B minor musical setting highlights the protagonist’s realization that her smile conceals harm. I imagine this line as something of a flashback moment for the protagonist. Though the poetry employs the present tense, it is likely that the protagonist has a specific past memory in mind. That is, in speaking these words, the protagonist is transported to a time (which he now relives in the present) when his beloved smiled at him with what seemed at the time like gentle devotion, but which he now with the benefit of hindsight recognizes as a lie. This moment is perhaps the most bittersweet in the whole song. Repetition of the line accompanied with closure in A major acts as a salve to the protagonist’s compromised—though

²⁹ How precisely the protagonist characterizes the beloved’s intentions is somewhat ambiguous. Depending on how we choose to understand or translate *Tücken*, we may take the protagonist to understand that the beloved actively intended him harm, or that she caused him harm only inadvertently.
still cherished—memories of the beloved. Although the song plumbs the depths of despair in strophes 2 and 3, I hear the piece as concluding on a positive note, as if to suggest that the protagonist will learn from his experience and begin to move on with his life.

Figure 5.16 Schumann, “Berg’ und Burgen schau’n herunter,” coda in mm. 49–57

Schumann’s song ends with a beautiful little piano coda that contains a splash of Augenmusik. As shown in Figure 5.16, mm. 52–57 consist of a simple tonic prolongation elaborated with a restful plagal motion and a quick lower neighbor to $\hat{1}$ in the bass. Visually, the sixteenth-note rising and falling arpeggio (expressing $I_{\frac{5}{4}}^5-6-5$) resembles a wave in the score, and the way the piano’s three voices gradually stage their exits—first high, then middle, and finally low—depicts the receding wake of the ship.\(^{30}\)

To conclude this section, I cannot resist the opportunity to connect this song and my analysis of it to yet another nautical-themed work of literature: this time, the allusion is to Jules Vernes’ classic science-fiction adventure, 20,000 Leagues Under the Sea. I have argued in this section that the central drama of Schumann’s “Berg’ und Burgen” is to be found in the way that $V$ is composed-out by a fourth-progression in the upper line such that it produces a sunken II chord that corresponds well to what is being sung in the text with each new strophe. Insofar as the dominant may be understood to

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\(^{30}\) The effect is heightened by the lack of rests in the upper staff in mm. 54–57.
be the “liquid” element in the tonic-dominant axis, an expanded linear progression within V might be considered motion within the mobile element. My reading of Schumann’s “Berg’ und Burgen” may succinctly and poetically be captured in Captain Nemo’s famous motto, *mobilis in mobile*, which is emblazoned in gold on the *Nautilus* submarine.\(^{31}\)

\(^{31}\) Loosely translated from Latin, the motto means “mobile within mobility.” The allusion is to water as a mobile element in classical Greek physics (i.e., the four classical elements). More abstractly, the motto could mean “mutable within mutability.” Cf. Schenker’s motto, *Semper idem sed non eodem modo* (“Always the same, but not always in the same way”).
Conclusion

In the remaining pages, I summarize what I consider to be the main accomplishments of this dissertation and suggest a few avenues for future research.

Zum Schluss

This dissertation does two main things: 1) it advances a new approach to text-music relationships and puts forward the concept of text-music complexes, and 2) it asserts the existence of at least one such text-music complex in Schumann’s Liederjahr songs.

The new approach to text-music relationships in Chapter 1 expands and builds upon previous approaches in several ways. First—and most obviously—the realm of possible text-music relationships has been expanded from Agawu’s three categories to four: correspondences, Widersprüche, Gleichgültigkeiten, and Eigenständigkeiten. The latter relationships are grouped under the headings of text-music conjunctions (C and W) and disjunctions (G and E). Moreover, by assigning a term to text-music conjunctions whose musical and textual elements are in a state of disagreement (viz., Widersprüche), it is possible that future authors will be able to discuss text-music irony on more solid footing.

Second, the new symbolic notation introduced has several advantages over traditional prose definitions. The formal definitions flatten the playing field and allow song scholars to compare and contrast seemingly incompatible text-music relationships directly and more accurately. As I hope to have demonstrated, the distinction between metaphorical and analogical linguistic formulations of text-music relationships is oftentimes collapsible when considered in terms of $C = M \otimes T$ (or $W$), thereby allowing us to move freely between the two. Of course, many music scholars love the written word and will continue to describe text-music relationships in prose. By no means do my symbolic
definitions obviate the use of prose descriptions. Rather, they make plain that competing prose definitions are differences of nuance, not kind. Since shading and nuance are crucial to scholarship and authorial voice, Liebhabers of prose descriptions need not feel threatened by my newfangled equations and symbols.

The theoretical leap from text-music relationships to text-music complexes is a central feature of this project. While text-music relationships are *ad hoc* and one-off, by bringing together several disparate yet similar text-music relationships under the aegis of a broad family of recurring text-music relationships, i.e., a *text-music complex*, we gain access to a new background level of musico-poetic meaning. Broadly speaking, as text-music relationships are to individual songs, text-music complexes are to collections of songs. Text-music complexes are promising because they allow us to begin to develop a lexicon of stock text-music relationships for a body of works written during a specified time and in a specified place. These repertoires of songs can be circumscribed, for example, by membership in an opus, collection, song cycle, or album, by composer (e.g., Schumann, Schubert, Brahms), by period (e.g., early, middle, late, etc.), or—to expand ever outward—by geographical area (e.g., Germany/Austria, France, Italy, etc.) or by historical era (e.g., Romantic era, early 20th century, contemporary, etc.).

**Chapter 2** is essentially a sustained meditation on the nature of harmonic syntax involving dominant- and pre-dominant-class harmonies; I confront the dilemma of V–II in tonal music specifically.¹ I trace three cases in which II may follow V and argue that in each case, the motion from V to II is bound up in a deeper tonal process, such that the apparent syntactical error is always resolved at a comparatively deeper level of linear-contrapuntal structure. With respect to the possibility of prolonging diatonic *Stufen* with the aid of a *Teiler*, it turns out that there is something unique and special

¹ There is more work to be done on similarly forbidden chord progressions, such as V–IV, V⁴/²–I, and II–I.
about V\textendash}(II)\textendash)V in major keys. To model the experiential ebb in the perception of harmonic flow that attends division of V harmony by apparent II chord, I analogize the situation to an origami sink fold and coin the terms dominant sink fold and sunken II chord, or $\heartsuit$II. I hope that others find the conceptual model I propose here as an intuitive and tactile means of communicating complicated tonal processes simply and effectively.

The second part of this dissertation has been concerned to demonstrate a text-music complex involving $\heartsuit$II in the music and moments of inwardness in the poetry in the Liederjahr songs. As evidence for this complex, I have presented Schenkerian analyses of three Lieder that each manifest an instantiation of $G_{\text{inwardness}} = M_{\heartsuit II} \otimes T_{\text{inwardness}}$ in Chapters 3–5. In “Der Nussbaum,” the music moves from V to $\heartsuit$II to set the stanza of text that is most concerned with the maiden’s innermost thoughts and frustrations. In “Ich hab’ in mich gesogen,” a prominent $\heartsuit$II appears in the middle of the B section and coincides with the transference of the poet’s inner springtime simulacra to the beloved’s imagination. Finally, in “Berg’ und Burgen schau’n herunter,” we witness the waxing and waning meaning of $\heartsuit$II \textit{vis-à-vis} the text; the apotheosis comes in the third strophe, where it is coordinated with images of death and night concealed in the river’s innermost depths.

In accordance with the rule of three, the analyses suggest that dominant sink folds tend to attract poetry that features some manner of inward turn and vice versa. Since dominant sink folds are not an especially common tonal structure, it is especially noteworthy that when they do crop up, they appear to serve basically the same musico-poetic function in Schumann’s Lieder (i.e., they form the $M$ component in text-music correspondence, thus inviting us to consider $\heartsuit$II as a candidate for the $M$ term in a correspondence complex). The cross-domain mapping between musical and textual elements appears to be aided and abetted by the existence of a shared CONTAINER schema, leading me to hypothesize that when an analyst finds a dominant sink fold in the music, he or she may reasonably
expect the $\Phi$II to be coordinated with an involution in the domain of the text as a first-level default.

Conversely, if the text features a notable expression of inwardness, then this may suggest the increased possibility of finding a $\Phi$II in a musical setting.

**Wohin?**

Armed with the new technologies and conceptual metaphors developed in this dissertation, there are several different directions future research could take. To start with, we could continue to investigate the *Liederjahr* songs to see if there are further instances of correspondences involving $\Phi$IIs and inwardness. Additional examples would strengthen the case for an inwardness correspondence complex. The next logical step would be to expand the sample size from the *Liederjahr* songs to Schumann’s middle- and late-style songs. Thereafter, we might expand the sample size to encompass Lieder by different composers, e.g., Schubert, Brahms, Mendelssohn, Wolf, etc. Owing to the close compositional relationship between Schumann and Brahms, I would venture to guess that Brahms’s Lieder might also display some of the same text-music relationships found in Schumann’s Lieder. It would likewise be instructive to study Clara Schumann-Wieck’s Lieder to see if her music employs $\Phi$IIs in coordination with inwardness in the text.

While compelling and artful text-music relationships are a major part of the Lied aesthetic, German Romantic art song does not have a monopoly on them. I have chosen to focus my efforts on Lieder, but many different genres of texted music exist, and there is no reason why my new approach

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2 Though speculative, I have some preliminary evidence for this possibility. Currently, I am aware of only one song by Brahms that features a text-music correspondence between $\Phi$II and inwardness, namely, “Nachtigall,” op. 97, no. 1. The piece is in ABA’ form and in the key of F minor. The B section takes place over a V prolongation, wherein the parallel major is alluded to. However, the melody flirts with G minor in mm. 14–16 as the bass outlines C–G–C, suggesting a V–(II)–V division of V’s octave-space. The text that accompanies $\Phi$II in the music reads *was in mir schafft so süsse Pein* (what causes such sweet pain inside of me [emphasis added]). For an excellent discussion of narrative and temporality in “Nachtigall”, see Loretta Terrigno, “The Protagonist’s Experience: Temporality, Narrative, and Harmonic Process in Brahms’s Solo Lieder” (PhD diss., The Graduate Center, City University of New York, 2017), 69–89. See esp. Ex. 2.2 on p. 74. Terrigno reads the middleground in mm. 12–17 differently than I do. Where I read a $\Phi$II chord, she reads a neighboring IV chord.
to text-music relationships cannot be fruitfully applied to any of them. To name but a handful of possibilities, the approach taken in this dissertation—in part or in whole—might be used to explore text-music relationships in cognate art song traditions (e.g., French mélodie), opera (e.g., by Mozart, Wagner, or Verdi), sacred music (e.g., oratorio, or chorale harmonizations), and even in popular songs (e.g., the Beatles, Pink Floyd, or Black Sabbath). Finally, if it’s indeed the case that text-music complexes are topics for musico-poetic discourse, then it’s conceivable that the musical element might continue to signify on behalf of a covert musico-poetic meaning even in the absence of a textual element. The existence of text-music complexes might therefore inform our analyses of music with para-textual elements (as I hope to have intimated in my discussion of “Träumerei”), such as character pieces, fantasies, and even program music.

With respect to Schenkerian theory, an exciting avenue for future development that I intend to pursue would be to continue to look for ways in which shapes, structures, and concepts native to Schenkerian analysis might function as musical metaphors for ideas and images in the text. Continued work in this direction would contribute to Schenkerian discourse by imbuing established tonal concepts with new hermeneutical value. I have already hinted at how the concept of an Anstieg might be a good candidate for the $M$ term in a correspondence complex, but Schenkerian theory is replete with other potential candidates that are strongly suggestive of musico-poetic meaning, e.g., motions into inner voices, reaching-over, the articulation of Urlinie tones, the directionality of linear progressions, etc. Work in this direction could lead to the development of a “dream-dictionary” for song, wherein tonal shapes function as ciphers for things in the text.

Though I have adopted Schenkerian analysis as my main theoretical framework for examining harmony and voice leading in Schumann, future research might proceed from any number of different theoretical starting points. Analysts who employ a different analytical lens will no doubt uncover text-
music relationships that involve different musical metaphors under the $M$ column, and that may in turn shed light on text-music complexes that are unavailable from a Schenkerian perspective. Some suggestive possibilities include recent theories of form and Satzbaun, rhythm and meter, schema theory, and transformational approaches (both tonal, e.g., neo-Riemannian theory, and non-tonal alike).

It is my hope that the developments in this dissertation will be of help to song scholars as they continue to look for—and find!—all the myriad, lovely, little ways that music is and can be what the poetry is talking about.
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Scores
