

2011

Polyfocal structures in Franz Schubert's Lieder

Matthew Steinbron

Louisiana State University and Agricultural and Mechanical College

Follow this and additional works at: https://digitalcommons.lsu.edu/gradschool_dissertations



Part of the [Music Commons](#)

Recommended Citation

Steinbron, Matthew, "Polyfocal structures in Franz Schubert's Lieder" (2011). *LSU Doctoral Dissertations*. 659.

https://digitalcommons.lsu.edu/gradschool_dissertations/659

This Dissertation is brought to you for free and open access by the Graduate School at LSU Digital Commons. It has been accepted for inclusion in LSU Doctoral Dissertations by an authorized graduate school editor of LSU Digital Commons. For more information, please contact gradetd@lsu.edu.

POLYFOCAL STRUCTURES IN FRANZ SCHUBERT'S LIEDER

A Dissertation

Submitted to the Graduate Faculty of the
Louisiana State University and
Agricultural and Mechanical College
in partial fulfillment of the
requirements for the degree of
Doctor of Philosophy

in

The School of Music

by

Matthew Steinbron

B.M., University of Wisconsin at Eau Claire, 2004

M.M., Louisiana State University, 2006

May 2011

©Copyright 2011
Matthew James Steinbron
All rights reserved

ACKNOWLEDGMENTS

I am grateful for the numerous people that have contributed to this project. I would like to first thank my committee members: to Dr. Jeffrey Perry, my advisor, for aiding in the development of my writing style, inspiring my interest in Schubert's songs, and for building the foundation for my understanding of Schenkerian theory; to Dr. David Smyth, also for being influential in my understanding of Schenkerian theory, as well as providing many insightful comments on topics associated with this project; to Professor Michael Gurt and Dr. Pamela Pike, for being willing to take on a topic outside of their comfort area; and to Dr. Bruce Sharky, my Dean's representative, for being so enthusiastic about the project and filling in on short notice.

Next, I would like to express my gratitude to Louisiana State University, for granting me the Dissertation Fellowship Award, which allowed me to devote myself completely to this project during its final stages. Also, to Drs. David Damschroder, Patrick McCreless, and Harald Krebs, for their willingness to meet with me to discuss Schubert, Schenkerian analysis, and polyfocal analysis; especially to Dr. Krebs, for sharing his list of polyfocal Schubert songs with me.

Lastly, I am grateful to those who supported me throughout this process: to Diane and Sterlyng Steinbron, my parents, for their continuous encouragement; to Richard and Patricia Durgin, my grandparents, for their ever present support and prayers; to Dr. Melvin Steinbron, my grandfather, for being an inspiration to my collegiate endeavors; and most of all to Stephanie, my wife, for putting up with the heat and traffic in Baton Rouge, for being willing to follow me wherever my career takes me, and her constant support.

TABLE OF CONTENTS

ACKNOWLEDGMENTS.....	iii
LIST OF EXAMPLES.....	v
ABSTRACT.....	x
CHAPTER	
1 INTRODUCTION.....	1
Monotonicity and Polyfocal Tonality.....	1
Polyfocal Analysis.....	7
Polyfocal Tonality and Schubert's Lieder.....	19
2 FORMS WITH TWO KEYS.....	20
Introductory Analysis: <i>Klage</i>	20
Non-strophic Lieder.....	27
Oscillation.....	40
Strophic Lieder.....	47
Oscillation and Strophic Form.....	51
3 FORMS WITH THREE OR MORE KEYS.....	57
3-key Structures.....	57
4-key Structures.....	63
Hybrid Structures.....	75
Expanded Structure: <i>Leichenfantasie</i> , D. 7.....	85
4 REVISIONS OF POLYFOCAL STRUCTURES.....	92
Revisions within Polyfocal Structures.....	92
Recompositions: Monotonal to Polyfocal, and Vice Versa.....	99
5 CONCLUSION.....	119
Trends in Schubert's Polyfocal Lieder.....	119
Further Applications.....	127
BIBLIOGRAPHY.....	135
APPENDIX	
A POLYFOCAL SONGS ARRANGED BY TYPE.....	143
B POLYFOCAL SONGS ARRANGED BY DEUTSCH NUMBER.....	146
VITA.....	148

LIST OF EXAMPLES

1.1: Waltz, D. 145, no. 10.....	2
1.2: Ecossaise, D. 421, no. 2.....	2
1.3: Waltz, D. 783, no. 11 (off-tonic opening).....	4
1.4: Krebs's analyses of <i>Meeres Stille</i> , D. 216.....	8
1.5: Valse Sentimentales, D. 779, no. 31.....	9
1.6: Valse Sentimentales, D. 779, no. 31.....	10
1.7: McCreless's analysis of the hermeneutical code in Beethoven's Piano Trio.....	11
1.8: Graz Waltz, D. 924, no. 9.....	13
1.9: Analyses of Graz Waltz, D. 924, no. 9.....	14
1.10: Ecossaise, D. 158.....	15
1.11: Ecossaise, D. 781, no. 6.....	16
1.12: Possible dominant transformations.....	18
1.13: Possible unity of disjointed structures in polyfocal compositions.....	18
2.1: Text and translation of Höltz's <i>Klage</i>	20
2.2: Annotated score of <i>Klage</i> , D. 436.....	23
2.3: Analyses of <i>Klage</i> , D. 436.....	24
2.4: Text and translation of Matthisson's <i>Der Geistertanz</i>	28
2.5: Textual and tonal plan of <i>Der Geistertanz</i> , D. 494.....	28
2.6: Polyfocal analysis of <i>Der Geistertanz</i> , D. 494.....	29
2.7: Text and translation of Goethe's <i>Geistes-Gruss</i>	30
2.8: Polyfocal analysis of <i>Geistes-Gruss</i> , D. 142 (6 th version).....	31
2.9: Text and translation of Matthisson's <i>Die Schatten</i>	33

2.10: Polyfocal analysis of <i>Die Schatten</i> , D. 50.....	33
2.11: Motives in <i>Die Schatten</i> , D. 50.....	34
2.12: Text and translation of Collin's <i>Leiden der Trennung</i>	35
2.13: Polyfocal analysis of <i>Leiden der Trennung</i> , D. 509.....	36
2.14: Text and translation of Mayrhofer's <i>Freiwilliges Versinken</i>	37
2.15: Polyfocal analysis of <i>Freiwilliges Versinken</i> , D. 700.....	38
2.16: Text and translation of Goethe's <i>Erster Verlust</i>	40
2.17: Analyses of <i>Erster Verlust</i> , D. 226.....	41
2.18: Text and translation of Klopstock's <i>Die Sommernacht</i>	43
2.19: Polyfocal analysis of <i>Die Sommernacht</i> , D. 289 (second version).....	43
2.20: Varied repetition in <i>Die Sommernacht</i> , D. 289 (second version).....	45
2.21: Recomposition of <i>Die Sommernacht</i> (D. 289, second version), mm. 24-25.....	46
2.22: Text and translation of <i>Genügsamkeit</i>	47
2.23: Polyfocal analysis of <i>Genügsamkeit</i> , D. 143.....	48
2.24: Polyfocal loop of <i>Genügsamkeit</i> , D. 143, caused by strophic repetitions.....	48
2.25: Text and translation of Kenner's <i>Grablied</i>	49
2.26: Polyfocal analysis of <i>Grablied</i> , D. 218.....	50
2.27: Polyfocal loop of <i>Grablied</i> , D. 218, caused by strophic repetitions.....	50
2.28: Text and translation of Stadler's <i>Lieb Minna</i>	51
2.29: Polyfocal analysis of <i>Lieb Minna</i> , D. 222.....	52
2.30: Text and translation of Mayrhofer's <i>Der Hirt</i>	53
2.31: G minor prolongation in <i>Der Hirt</i> , D. 490.....	54
2.32: D minor synchronic analysis of <i>Der Hirt</i> , D. 490.....	54

2.33: Recomposition of <i>Der Hirt</i> (D. 490), mm. 20-21.....	55
2.34: Polyfocal analysis of <i>Der Hirt</i> , D. 490.....	56
2.35: Circular polyfocal structure of <i>Der Hirt</i> , D. 490.....	56
3.1: Text and translation of Spaun's <i>Der Jüngling und der Tod</i>	58
3.2: Analyses of <i>Der Jüngling und der Tod</i> , D. 545 (first version).....	58
3.3: Text and translation of Henrich Hüttenbrenner's <i>Der Jüngling auf dem Hügel</i>	60
3.4: Analyses of <i>Der Jüngling auf dem Hügel</i> , D. 702.....	61
3.5: Text and translation of Goethe's <i>Ganymed</i>	63
3.6: Summaries of published analyses of <i>Ganymed</i> , D. 544.....	64
3.7: Analyses of <i>Ganymed</i> , D. 544.....	65
3.8: Damschroder's analysis of <i>Ganymed</i> , D. 544.....	67
3.9: Text and translation of Mayrhofer's <i>Orest auf Tauris (Orestes on Tauris)</i>	70
3.10: Analyses of <i>Orest auf Tauris</i> , D. 548.....	71
3.12: Analeptic allusion to B minor in <i>Orest auf Tauris</i> , D. 548.....	73
3.13: Hypothetical endings for <i>Orest auf Tauris</i> , D. 548.....	74
3.14: Text and translation of Schiller's <i>Wer die steile Sternenbahn</i>	76
3.15: Analyses of <i>Wer die steile Sternenbahn</i> , D. 63.....	76
3.16: Text and translation of <i>Kolmas Klage</i>	78
3.17: Analyses of <i>Kolmas Klage</i> , D. 217.....	79
3.18: Postlude of <i>Kolmas Klage</i> , D. 217.....	80
3.19: Final harmonic motive in <i>Kolmas Klage</i> , D. 217, mm. 94-97.....	81
3.20: Text and translation, Hardenberg ("Novalis"), <i>Hymne I</i>	82
3.21: Analyses of <i>Hymne I</i> , D. 659.....	84

3.22: Text and translation of Schiller's <i>Leichenfantasie</i>	86
3.23: Analyses of <i>Leichenfantasie</i> , D. 7.....	87
4.1: Text and translation of Klopstock's <i>Die Sommernacht</i>	93
4.2: Material before final section in <i>Die Sommernacht</i> , D. 289.....	93
4.3: Analyses of <i>Die Sommernacht</i> , D. 289.....	94
4.4: Text and translation of Spaun's <i>Der Jüngling und der Tod</i>	95
4.5: Analyses of <i>Der Jüngling und der Tod</i> , D. 545.....	96
4.6: Common tones between distant diatonic collections.....	97
4.7: Piano interludes in <i>Der Jüngling und der Tod</i> , D. 545.....	97
4.8: Sequence of auxiliary cadences in D. 545.....	98
4.9: Text and translation of Matthisson's <i>Der Geistertanz</i>	100
4.10: Analyses of <i>Der Geistertanz</i> , D. 494.....	101
4.11: Text and translation of Schiller's <i>Sehnsucht</i>	102
4.12: Analyses of <i>Sehnsucht</i> (D. 52 and 636).....	104
4.13: Possible alternative structures of D. 636.....	108
4.14: G minor allusion and phrase expansion in D. 636.....	109
4.15: Recompositions of D. 636 to end in C# minor.....	111
4.16: Text and translation of Schiller's <i>Des Mädchens Klage</i>	112
4.17: Analyses of <i>Des Mädchens Klage</i> (D. 6, 191, and 389).....	114
5.1: Table of text themes and structures.....	121
5.2: Polyfocal analysis of <i>Hymne I</i> , D. 659.....	123
5.3: Transition from G minor to B \flat major in <i>Leiden der Trennung</i> (D. 509, 2 nd version).....	124
5.4: Polyfocal analysis of Brahms's <i>Intermezzo</i> , op. 118, no. 1.....	128

5.5: Possible cadences for the first phrase in Brahms's Intermezzo, op. 118, no. 1.....	129
5.6: Descending third motives in Brahms's Intermezzo, op. 118, no. 1.....	130
5.7: Ending to Brahms's Intermezzo, op. 118, no. 1.....	131
5.8: Schenker's analysis of Brahms's Intermezzo, op. 118, no. 1.....	133

ABSTRACT

Before the later nineteenth century, the principle governing nearly all earlier tonal composition was monotonicity. Monotonicity explains the structure of most tonal compositions, but there are numerous examples for which monotonic analysis is inadequate, especially in music of the later nineteenth century. Deformations of monotonicity often arise from off-tonic openings, but some compositions may be understood in terms of two or more co-equal tonics, making monotonic models insufficient. Such compositions exhibit polyfocal tonality, also known as directional tonality. In order to adequately address polyfocal structures, I propose a new method of analysis that combines Schenkerian analysis with interpretive approaches derived from the work of Harald Krebs, Edward T. Cone, and Patrick McCreless.

Cone believes that a third level of hearing should be attained in which one synthesizes the diachronic (naïve) and synchronic (retrospective) levels, appreciating each level separately and as a whole. Polyfocal analysis is my representation of Cone's third level. Additionally, McCreless's hermeneutical analysis is incorporated into polyfocal analysis because it highlights important chromatic events, showing their relationship to the overall tonal structure of a composition. Such chromatic tonicizations are common in polyfocal structures and will be referred to as tonal allusions. More specifically, *proleptic* allusion will refer to chromaticism that anticipates a tonic, and *analeptic* allusion to chromaticism that recalls a tonic.

Many composers have written polyfocal compositions, but the first to write a significant number of them is Franz Schubert. Polyfocal tonality is found primarily in Schubert's Lieder; poetry seems to be the original inspiration for his polyfocal tonality. Polyfocal analysis will be applied to a representative number of songs from this body of early polyfocal repertoire, including revisions he made to some of them. These revisions (some altering the structure from

monotonal to polyfocal, or vice versa) may reflect his later reinterpretation of texts, or merely a maturing perspective on the poetry he set. By analyzing Schubert's Lieder polyfocally, new insights will be gained that contribute to the scholarship on Schubert's compositional strategies, as well as to the general understanding of polyfocal structures.

CHAPTER 1: INTRODUCTION

Monotonicity and Polyfocal Tonality

Before the later nineteenth century, the principle governing nearly all earlier tonal composition was monotonicity, defined by William Kinderman as “a unified tonal framework organized around a single tonic key.”¹ Monotonicity explains the structure of most tonal compositions, but there are numerous examples of compositions for which a monotonal analysis is inadequate, especially in music of the later nineteenth century. Most deformations of monotonicity arise from off-tonic openings that eventually lead to tonic; as I will show below, these do not pose serious problems to conventional methods of monotonal analysis, such as Schenkerian analysis.

Off-tonic openings can occur at various structural levels in Schenkerian analyses, based on their duration and content.² Examples 1.1 and 1.2 provide superficial examples in two of Schubert’s piano pieces; Schenkerian readings are also provided. The waltz in Example 1.1A begins with a dominant chord that immediately leads to tonic, whereas in Example 1.2A, the dominant is delayed. The foreground analyses of both examples show the off-tonic openings in terms of their respective tonic (Examples 1.1B and 1.2B). The non-tonic harmonies of these specific openings are not structural and are therefore reduced out at deeper levels, as in Examples 1.1C and 1.2C.

¹ William Kinderman, “Introduction,” in *The Second Practice of Nineteenth-Century Tonality*, ed. William Kinderman and Harald Krebs, 1 (Lincoln: University of Nebraska Press, 1996). Schoenberg coined the term “monotonicity.” See Arnold Schoenberg, *Structural Functions of Harmony*, rev. ed. Edited by Leonard Stein (New York: W.W. Norton and Company, Inc., 1969), 19.

² Numerous examples of off-tonic openings can be found in Schenker’s writings. He specifically addresses off-tonic openings in *Harmony*, ed. Oswald Jones, trans. Elisabeth Borgese (Chicago: The University of Chicago Press, 1972), 31-37 and 253-255, and *Free Composition*, edited and translated by Ernst Oster (New York: Longman, 1979), 88-89 and 129. Note that off-tonic openings can occur at the beginning of any phrase within a composition, not just the first phrase. The generic term *off-tonic opening* is used here since there is a general confusion about Schenker’s terms *auxiliary cadence* and *deceptive beginnings*. For more about this issue, see L. Poundie Burstein, “Unraveling Schenker’s Concept of the Auxiliary Cadence,” *Music Theory Spectrum* 27/2 (2005): 159-185.

A. Score

B. Foreground analysis

C. Middleground analysis

Example 1.1: Waltz, D. 145, no. 10

A. Score

Example 1.2: Ecosaise, D. 421, no. 2

B. Foreground analysis

C. Middleground analysis

Example 1.2 (Continued): Ecossaise, D. 421, no. 2

Schubert's Waltz in Example 1.3 is an example of a farther reaching off-tonic opening. The Waltz is in G major, but only E minor is tonicized for the first four measures (Example 1.3A). The listener must reconsider E minor's role after hearing the first phrase cadence in G major: has E minor modulated to G major, or is E minor an off-tonic opening in G major? The final phrase confirms that G is tonic; therefore E is subordinate to G as an off-tonic opening. When off-tonic openings contain a prominent tonicization of non-tonic harmony, that harmony is structural and will remain in deeper levels of analysis, as seen in the progression from Example 1.3B to C.

Some deformations of monotonicity go beyond off-tonic openings in that two or more keys co-exist within the same composition, each salient enough to render a monotonal understanding of the composition problematic. Such uncommon tonal structures exhibit polyfocal tonality, also referred to with terms like directional tonality, progressive tonality,

interlocking tonal structure, and a host of others.³ “Polyfocal” will be used in this project because it is the best description of the experience of listening to compositions with more than one tonic, requiring the listener to focus on multiple tonal structures throughout the composition.⁴

A. Score

Example 1.3: Waltz, D. 783, no. 11 (off-tonic opening)

³ *Progressive tonality* and *interlocking structure* were first used by the following authors (respectively): Dika Newlin, *Bruckner, Mahler, Schoenberg*, rev. ed. (New York: W.W. Norton and Company, Inc., 1978), 129; Graham George, *Tonality and Musical Structure* (New York: Praeger Publishers, 1970). *Directional tonality* is attributed to Robert Bailey by his students, including Harald Krebs (1980, 174; 1989, 432; 1991, 49), Deborah Stein (1982, 209; 1985, 228), and Patrick McCreless (1983, 61). For a list of approximately thirty terms assigned to polyfocal tonality over the past century, see Matthew Steinbron, *Background Conglomerates in Alkan's Quasi-Faust, op. 33, no. 2*, M.M. thesis (Louisiana State University, 2006). *Polyfocal tonality* most accurately describes the process of hearing co-equal keys without emphasizing one over the other, as is implied in goal oriented terms such as *directional* and *progressive* (the latter refers to a progression of one key to another, not to a composition with tonality that is ahead of its time). *Interlocking structure* simply describes form rather than a process of hearing, and only includes a very specific subset of possible polyfocal structures (not all keys interlock, as will be seen).

⁴ Polyfocal is borrowed from the title of an article by Mark DeVoto. See Mark DeVoto, “Non-Classical Diatonicism and Polyfocal Tonality: The Case of Nielsen’s Fifth Symphony, First Movement,” In *The Nielsen Companion*, ed. Mina Miller, 257-88 (Portland: Amadeus Press, 1994). Curiously, DeVoto does not use the term in his article, rather he uses the related term “bifocal tonality” when referring to tonally oscillating structures (bifocal is a coinage attributed to Jan LaRue). Tonal oscillation will be discussed shortly and throughout this project. Although compositions with only two salient keys will be presented in this project (bifocal tonality being appropriate in those cases), others include more than two keys, therefore making polyfocal a more fitting term that includes a broader repertoire.

B. Foreground analysis

C. Middleground analysis

Example 1.3 (Continued): Waltz, D. 783, no. 11 (off-tonic opening)

But what qualifies a composition as polyfocal? One important factor is proportion. The final key is obviously prominent because of its position, but if any other key spans a large portion of a given composition, especially if the durational span it governs is greater than or equal to that governed by any other key (including the one affirmed by the work's final cadence), then the composition is likely polyfocal. Another factor is the number of cadences that occur in a non-final key. Cadences help define structure, and if many of them are in a key other than the final key (irrespective of matters of proportion), then that other key will be heard as salient and the composition is probably polyfocal. Likewise, even if there is a large durational span in a distinct non-final key, but the great majority of the work's cadences are in the final key, then the non-final "key" would probably be heard as an elaboration to off-tonic phrases that lead to the

final key; the resulting effect is less likely to be that of polyfocal tonal structure. Lastly, tonal allusions that foreshadow, or refer back to non-final keys elsewhere in a composition, can help reinforce a polyfocal effect (tonal allusions, in the specific sense meant here, will be discussed shortly).

Various boundary conditions and gray areas between monotonicity and polyfocal tonality exist. Polyfocal tonality is not especially useful as a means of understanding entire multi-movement compositions; rather, it is applicable to single movements, whether they are parts of multi-movement cycles or not. In some cases, movements end on the dominant of the following movement; such a dominant is sometimes prolonged and sometimes not.⁵ If the dominant prolongation is relatively brief and occurs after a satisfactory close in the key of the current movement, then it should be understood as a supplementary suffix that merely prepares the next movement, especially if the final harmony is a seventh chord.. Conversely, if the final prolongation is substantial enough, then it could be considered polyfocal.

Of multipart compositions, recitatives present interesting scenarios since many of them begin and end in different keys to connect consecutive arias. Such a modulating recitative needs to meet the same criteria described above before it can be labeled as polyfocal; it cannot simply end on the dominant of the following aria, or be in the key of the second aria with an off-tonic opening in the key of the previous aria. Additionally, if the recitative is extremely short, completely sequential, or both, then it probably lacks a fundamental structure and acts as a transition rather than a complete piece, and therefore should not be considered further.

⁵ One such example is the second movement of Haydn's Sonata in E minor, Hob.XVI: 34. The second movement is in G major and should end with a perfect authentic cadence in m. 45, but a deceptive cadence leads the final four measures to the dominant of E, the key for the final movement. Examples can also be found in Schubert's operas, including the Overture of *Des Teufels Lustschloss* (D. 84), multiple parts of *Alfonso und Estrella* (D. 732, no. 7, 14 and 28), and the "Arie mit Chor" of *Fierabras* (D. 796, no. 21).

Polyfocal Analysis

Monotonal models are insufficient for the analysis of certain repertoires. When two or more co-equal tonics are present, monotonal analyses typically subordinate one tonality to the other. Some authors, most notably Harald Krebs, apply monotonal methods of analysis to polyfocal compositions, but the intricacies of polyfocal structures remain shrouded. In order to adequately address polyfocal structures, I propose a new method of analysis that combines Schenkerian analysis with interpretive approaches derived from the work of Krebs, Edward T. Cone, and Patrick McCreless.

Cone and Krebs agree that some compositions can be simultaneously interpreted in different ways.⁶ Cone postulates that there are three stages of hearing tonal music. During the First Hearing, the listener is unfamiliar with the composition and attempts to process the experience more or less in real time; such a naïve, first-time-through perception of the composition results in a *diachronic* analysis, one in which unexpected events can occur, such as ending in a key other than the one the composition began in. The Second Stage is achieved once the analyst attains a full synoptic grasp of the composition's form and is able to normalize any surprises into a *synchronic* analysis that is monotonal virtually by definition, despite deformations such as off-tonic openings. Cone explains that "so much analysis—so much of the best analysis—not only begins but remains firmly planted in the Second Hearing" and "does scant justice to our experience of hearing a composition in real time."⁷ In Cone's ideal Third Stage, the analyst's experience of the work is enriched by both of the previous stages; after gaining what is to be learned from a synchronic perspective, analysts can recall their diachronic

⁶ Edward Cone. "Three Ways of Reading a Detective Story – or a Brahms Intermezzo," in *Music: A View from Delft*, ed. Robert Morgan, 77-93 (Chicago: University of Chicago Press, 1989). Harald Krebs, "Some Early Examples of Tonal Pairing: Schubert's "Meeres Stille" and "Der Wanderer,"" in *The Second Practice of Nineteenth-Century Tonality*, ed. William Kinderman and Harald Krebs, 19-33 (Lincoln: University of Nebraska Press, 1996).

⁷ Cone, *Brahms Intermezzo*, 86.

experience and appreciate “surprises” as they happen. Cone states that “[f]unctions emerge only during the course of a progression, and our identification of them can shift according to what the progression reveals. Composers play with the resulting ambiguities, and one of the great joys of the Third Hearing is to become fully aware of them.”⁸

While Cone and Krebs make strong arguments, their methods of analysis lack a true representation of a Third Stage of hearing. Krebs even presents diachronic and synchronic analyses of Schubert’s *Meeres Stille* (D. 216) for comparison, but lacks a graph showing a synthesis of the two perceptions into a polyfocal structure (Example 1.4). I propose a method of polyfocal analysis that reflects the Third Stage. Example 1.5A is a short polyfocal piano piece that shifts from A minor (mm. 1-8) to C major (mm. 9-16).⁹ To the diachronic listener, A minor

Example 1.4 consists of two musical staves, labeled 'a' and 'b', representing different analytical perspectives on Schubert's *Meeres Stille*, D. 216. Staff 'a' is in C major and staff 'b' is in E minor. Both staves show the same musical notation, but with different chord symbols and Roman numerals written below them, connected by lines to specific notes in the melody and bass. Staff 'a' includes a 'hypothetical ending' bracketed at the end. The analyses show how the same piece can be perceived differently depending on the listener's perspective (diachronic vs. synchronic).

Example 1.4: Krebs’s analyses of *Meeres Stille*, D. 216¹⁰

⁸ Ibid.

⁹ Simple relative relationships can also be found in many other piano miniatures by Schubert, including D. 145 (Waltz no. 5, Ländler no. 8, and Ecossaises no. 3 and 8), D. 365 (no. 22 and 27), D. 779 (no. 7 and 24), D. 781 (no. 10), D. 783 (Ecossaise no. 1), D. 924 (no. 3 and 6), and D. 977 (no. 5).

¹⁰ Krebs, *Early Tonal Pairing*, 29.

A. Score

1

p

A i

9

cresc.

ff

C I V⁷ I V⁷ I

B. Recomposition of mm. 9-16, ending in A minor

9

cresc.

ff

A III i V⁷ i

Example 1.5: Valse Sentimentales, D. 779, no. 31

would initially be heard as tonic and C major as an arpeggiation to III that will probably return to A minor, but fails to do so (Example 1.6A). Example 1.5B presents a monotonal recomposition of mm. 9-16 that is aligned with a diachronic listener's expectation of an A minor ending. After multiple hearings of the actual ending, however, the listener gains the synchronic perception that C major is the final tonic, demoting A minor to an off-tonic opening (Example 1.6B).

According to the arguments of Krebs and Cone, both A and C should be equally represented as tonics in an analysis of this piano piece to truly embody the experience of listening to it. Polyfocal analysis is possible if conventional Schenkerian notation is adapted so

that the notehead colors are reserved as signifiers of keys rather than structural level. For instance, in Example 1.6C, all black noteheads signify the portions of the piece that prolong A minor and all white noteheads those that prolong C major. Like the notehead colors, stem direction can be assigned to specific keys, further emphasizing visual distinction, as shown in Example 1.6C (beamed notes, slurs, and stem types retain their Schenkerian meaning). Such a polyfocal analysis can portray either the diachronic or the synchronic perspectives depending on which combination of notehead color and stem direction is focused on.

A. Diachronic analysis (failure of A minor)

B. Synchronic analysis (A minor as off-tonic opening)

C. Polyfocal analysis

A minor = black noteheads and upward facing stems

C major = white noteheads and downward facing stems

Example 1.6: Valse Sentimentales, D. 779, no. 31

McCreless addresses a similar issue in “Roland Barthes’s *S/Z* from a Musical Point of View.”¹¹ McCreless’s musical adaptation of Barthes’s hermeneutical code is pertinent to polyfocal tonality because it highlights, rather than reduces out, important chromatic events, showing their relationship to the overall tonal structure of a composition. In Example 1.7, McCreless presents a Schenkerian analysis of Beethoven’s Piano Trio in D major (op. 70, no. 1, first movement) and a supplementary hermeneutical analysis. The hermeneutical analysis is concerned with chromatic events (m. 5 and mm. 27-31) that are otherwise deemphasized in Schenkerian analysis. These instances of chromaticism foreshadow important tonal events that occur later in the development and recapitulation and thus become more recognizable with repeated hearings.¹²

Example 1.7: McCreless’s analysis of the hermeneutical code in Beethoven’s Piano Trio in D major, op. 70, no. 1, first movement¹³

¹¹ Patrick McCreless, “Roland Barthes’s *S/Z* from a Musical Point of View,” *In Theory Only* 10/7 (August 1988): 1-29. Cone also discusses the same topic in Schubert’s *Moment musical* (op. 94, no. 6), but lacks graphic analyses. See Cone, “Schubert’s Promissory Note: An Exercise in Musical Hermeneutics,” in *Schubert: Critical and Analytical Studies*, ed. Walter Frisch, 13-30 (Lincoln: University of Nebraska Press, 1986).

¹² *Ibid.*, 22.

¹³ *Ibid.*, 20.

The example that McCreless presents only includes chromatic foreshadowing, but in polyfocal structures, referential chromaticism can also occur after a key has been replaced as tonic, recalling past tonics. Since such cases of chromatic tonicizations are common in polyfocal structures, they will be broadly referred to as *tonal allusions*, in that they allude to a tonic that will come or has already passed.¹⁴ More specifically, *proleptic* allusion will refer to chromaticism that anticipates a tonic, and *analeptic* allusion to chromaticism that recalls a tonic. Prolepsis and analepsis are common terms in narrative theory and are defined as follows:¹⁵

Prolepsis: The introduction into the narrative of material that comes later in the story.

Analepsis: The introduction into the narrative of material that happens earlier in the story.

The Merriam-Webster dictionary gives a broader definition of prolepsis as “the representation or assumption of a future act or development as if presently existing or accomplished.”¹⁶ It seems fitting to use narrative terminology for a concept inspired by narrative theory, especially since text will be involved in many of the examples to come.

¹⁴ *Tonal allusion* has been used since the early 1960’s in discussions of post-tonal compositions that have moments of tonal function. See especially Milton Babbitt, “Remarks on the Recent Stravinsky,” *Perspectives of New Music* 2/2 (1964): 35-55, which includes a quote of Stravinsky using the term himself. Krebs also uses the term in a similar application to post-tonal music, see Harald Krebs, “Tonal Allusions in Schoenberg’s *Die glückliche Hand*,” *Studies in Music from the University of Western Ontario* 13 (1991): 49-67. In its application to tonal compositions, I am borrowing the term from L. Poundie Burstein, “Devil’s Castles and Schubert’s Strange Tonic Allusion,” *Theory and Practice* 27 (2002): 69-84. He cites Naphtali Wagner as a direct influence, although she uses the term *tonic reference*. See Naphtali Wagner, “Tonic References in Non-tonic Key Areas,” *Israel Studies in Musicology* 4 (1987): 59-72.

¹⁵ H. Porter Abbott, *The Cambridge Introduction to Narrative*, 2nd ed. (New York: Cambridge University Press, 2009), 240 and 228, respectively. I would like to thank my advisor, Jeff Perry, for bringing these terms to my attention. For a detailed discussion of both terms, see Teresa Bridgeman, “Thinking Ahead: A Cognitive Approach to Prolepsis,” *Narrative* 13/2 (2005): 125-159. Note that an obvious error occurs in her first sentence, referring to prolepsis as a flashback. The rest of the article clearly defines prolepsis as a flash-forward.

Musicians have used this terminology for centuries, seeming to first use them to teach composition in early sources. For an example of analepsis, see Joachim Burmeister, *Musical Poetics*, trans. Benito Rivera (New Haven: Yale University Press, 1993), 165-167. For prolepsis, see Dietrich Bartel, *Musica Poetica* (Lincoln: University of Nebraska Press, 1997), 192-193. Among modern music scholars, the terms are not prominent and are typically not associated with tonal allusions, although instances do exist. Lawrence Kramer describes the foreshadowing of A minor in Chopin’s *Prelude op. 28, no. 2* as proleptic. See Lawrence Kramer, “Romantic Meaning in Chopin’s *Prelude in A Minor*,” *19th-Century Music* 9/2 (1985): 151. Similarly, Warren Darcy notes analeptic references in the finale of Mahler’s *First Symphony*. See Warren Darcy “Rotational Form, Teleological Genesis, and Fantasy-Projection in the Slow Movement of Mahler’s *Sixth Symphony*,” *19th-Century Music* 25/1 (2001): 63.

¹⁶ “Prolepsis,” Merriam-Webster, Inc., accessed March 16, 2011, <http://www.merriam-webster.com/dictionary/prolepsis>.

Example 1.8A presents a piano piece similar to Example 1.4A, but mm. 11-12 contain a tonicization of A minor, an analeptic allusion to the initial tonality. This allusion suggests to the diachronic listener that the waltz will return to A minor, but this is not the case. A possible recomposition of Example 1.8A that does so is given in Example 1.8B. The diachronic analysis in Example 1.9A presents a polyfocal situation similar to the one represented in Example 1.5A, with the exception that A minor extends well into the second half of the binary dance. In a synchronic analysis, the A minor allusion in mm. 11-12 would practically be ignored since it does not play an essential role in the fundamental structure of C major (Example 1.9B). When the previously discussed principles of polyfocal analysis are applied, the analeptic nature of the

A. Score

B. Recomposition of mm. 9-16, ending in A minor

Example 1.8: Graz Waltz, D. 924, no. 9

allusion to A in mm. 11-12 becomes obvious due to the contrast between the notehead colors and stem direction (Example 1.9C). The effective graphical contrast in polyfocal analysis between allusions and the prolongations that surround them recalls McCreless's graphic innovations in hermeneutical analysis, with the added convenience that everything is contained in a single graph, allowing clear representation of the interactions between the keys that make up the tonal structure of the polyfocal work.

A. Diachronic analysis (failure of A minor)

A diachronic analysis of the first 12 measures of the Graz Waltz. The notation shows a sequence of notes with stems, where the stems are all upward-facing, indicating A minor. The analysis below the staves shows a sequence of chords: A minor (i), III, V7, i, and III. The notes are numbered 1 through 12, with some notes grouped by brackets.

B. Synchronic analysis (A minor as off-tonic opening)

A synchronic analysis of the first 16 measures of the Graz Waltz. The notation shows a sequence of notes with stems, where the stems are all downward-facing, indicating C major. The analysis below the staves shows a sequence of chords: C major (I), V⁴₃, vi, I, V⁷, and I. The notes are numbered 1 through 16, with some notes grouped by brackets.

C. Polyfocal analysis¹⁷

A minor = black noteheads and upward facing stems

C major = white noteheads and downward facing stems

A polyfocal analysis of the first 16 measures of the Graz Waltz. The notation shows a sequence of notes with stems, where the stems are all downward-facing, indicating C major. The analysis below the staves shows a sequence of chords: A minor (i), V⁷, i, C major (I), V⁴₃, I, V⁷, and I. The notes are numbered 1 through 16, with some notes grouped by brackets. An asterisk is placed before measure 11, indicating a dominant transformation.

Example 1.9: Analyses of Graz Waltz, D. 924, no. 9

¹⁷ The asterisk before m. 11 marks a dominant transformation. This feature will be discussed shortly.

Polyfocal analysis also allows the analyst to underscore the significance of dual functioning chords. When a chord functions in two keys (often acting as a pivot between keys), it receives two noteheads that overlap along with two Roman numerals (stems and their direction still prescribe function within each key). Take for instance the Schubert Ecossaise in Example 1.10A that begins in D minor and ends in F major. A minor intervenes between D and F in mm. 5-6 and initially sounds like the minor dominant of D, but is soon understood as the mediant of F. The overlapping noteheads given to A minor in Example 1.10B draws attention to its important role in the structure of the piece.

The Ecossaise shown in Example 1.11A exemplifies a different method of transition that specifically shifts between relative keys. The first reprise is in E \flat minor (mm. 1-8), the second in G \flat major (mm. 9-16), the former ending on a half cadence and the latter opening with a dominant prolongation. The result is a direct shift from the dominant of E \flat to the dominant of

A. Score¹⁸

The musical score for Schubert's Ecossaise, D. 158, is presented in two systems. The first system (mm. 1-4) is in D minor, marked *p*, and ends with a half cadence. The second system (mm. 5-8) is in E \flat major, marked *ff*, and begins with a dominant prolongation. Roman numerals are provided for both keys: D minor (D i, V⁷, i) and E \flat major (D F, V iii, V⁷, $\frac{6}{4}$, 7, I).

Example 1.10: Ecossaise, D. 158

¹⁸ Repeats are given in this example for convenience and are not Schubert's; the repeats are written out in the original version.

B. Polyfocal analysis

D minor = black noteheads and upward facing stems

F major = white noteheads and downward facing stems

Overlapping noteheads = dual functioning harmonies

Example 1.10 (Continued): Ecosse, D. 158

A. Score

B. Polyfocal analysis

Eb minor = black noteheads and upward facing stems

Gb major = white noteheads and downward facing stems

Two different colored noteheads beamed together = dominant transformation

Example 1.11: Ecosse, D. 781, no. 6

G \flat , transforming one dominant to the other through parsimonious voice leading.¹⁹ This method will be referred to as *dominant transformation*. Example 1.12 gives a few of the many possible dominant transformation scenarios, along with how each would be analyzed in polyfocal notation (all scenarios could be reversed to reach the desired key).²⁰

When dominant transitions involve motion between pitches that are more than a second apart, as in Example 1.12B1, the differently colored noteheads will be connected by an *Ausfaltung* (unfolding) symbol. If the pitches are only a second away, they do not receive an unfolding symbol, but will be labeled with an asterisk between staves, as in Examples 1.12B2 and B3. Revisiting Example 1.11A, the bass and treble pitches of the dominant transition in mm. 8-9 are more than a second apart, so unfolding symbols are used Example 1.11B.

Before engaging specific Schubert Lieder in detail, the broader topic of structural unity in polyfocal compositions needs to be addressed. It is possible that multiple structures with no connecting material could be heard as separate “movements,” as in Example 1.4A. Although

¹⁹ Parsimonious voice leading involves minimal intervallic displacement between harmonies, mostly through semitone motion and sometimes by whole step, the later of which occurs in Example 1.12A1. The term *parsimony* was first used to describe voice leading by Richard Cohn. See Richard Cohn, “Neo-Riemannian Operations, Parsimonious Trichords, and their “Tonnetz” Representations,” *Journal of Music Theory* 41/1 (Spring 1997): 1-66.

²⁰ The Waltz in Example 1.8 contains a dominant transformation in mm. 10-11, shown with an asterisk in Example 1.9. Dominant transformations are not discussed by Schenker, but he labels one in Chopin’s Etude no. 8, op. 10 as an unfolding (shown below, *Free Composition*, ex. 7b.). The Etude is in F major with a contrasting section in D minor beginning at m. 28, returning to F in m. 61. Schenker shows the dominant of D unfolding into the dominant of F in m. 55; the dominant of D is labeled as III in an arpeggiation of F and is in third inversion as the unfolding takes place. Note that Schenker also labels an unfolding in the treble line from E⁶ to B \flat ⁶, but uses alternative unfolding notation to show a pair of intervals being unfolded (A⁶/F⁶ - E⁶/B \flat ⁶).

The image shows a musical score for Chopin's Etude no. 8, focusing on the dominant transformation in measures 55-61. The score is written for piano, with a treble and bass staff. Above the staff, measures 28, 40, 55, 61, 71, 75, and 95 are marked. The score includes various annotations: 'Ausfaltung' (unfolding) is written above the staff, and '(10 -)' and '(3-Zug)' are written below the staff. Roman numerals I, III, V, and Coda are used to label the harmonic structure. The score is labeled with measures 28, 40, 55, 61, 71, 75, and 95.

multiple structures are present, they can have various degrees of coherence between each other. In Example 1.13A, both keys have the same *Kopfton*, a constant and unifying point in the overall structure. The structures in Example 1.13B do not have the same *Kopfton*, but they do resemble one another, the latter imitating the former. This repetition of parallel structures provides a type of motivic unity at the deepest level. These unifying elements, in addition to surface motives and text in the case of songs, make such seemingly disjointed structures worth discussing as polyfocal compositions.

A. 1 2 3

B. Polyfocal notation of A.

Example 1.12: Possible dominant transformations

A. Identical *Kopfton* in both structures

B. Similar deep level structures

Example 1.13: Possible unity of disjointed structures in polyfocal compositions

Polyfocal Tonality and Schubert's Lieder

Many composers have written polyfocal compositions, but the first to write a significant number of them is Franz Schubert. Polyfocal tonality is found primarily in Schubert's music with text; text seems to be the original inspiration for polyfocal tonality (as seen, a few exceptions occur in his piano miniatures). Among his polyfocal music with text, the vast majority are Lieder. Of the approximately 600 songs that Schubert composed, about 13 percent are polyfocal; this is a significant number compared to the mere handful of polyfocal choral and operatic works.²¹ It is logical, then, to apply polyfocal analysis to this sizeable body of early polyfocal repertoire so that trends in later polyfocal compositions can be put into context (such as those by Chopin, Brahms, Mahler, and Strauss).

Throughout this project, the previously described features of polyfocal structures will be examined, moving from simple to more complex examples. In Chapter 2, only songs involving two keys will be addressed. These songs will exhibit varying degrees of interaction between the two keys, starting with disjunct structures like Example 1.6C and progressing to structures that continually alternate between tonalities, a strategy referred to as tonal oscillation. Chapter 3 looks at songs with more than two keys, and will discuss how polyfocal analysis can accommodate such examples. Having established the norms that govern Schubert's polyfocal tendencies, Chapter 4 will examine the revisions he made to his polyfocal songs. These revisions (some of which alter the overall structure from monotonal to polyfocal, or vice versa) may reflect his reinterpretations of texts, or merely a maturing perspective on the poetry he set. By examining Schubert's Lieder with polyfocal analysis, new insights will be gained that contribute to the scholarship on Schubert's compositional strategies, as well as to the general understanding of polyfocal structures.

²¹ A list of Schubert's polyfocal songs can be found in Appendix A and B.

CHAPTER 2: FORMS WITH TWO KEYS

Introductory Analysis: *Klage*

This chapter examines songs with only two structurally coequal keys. As an introduction to polyfocal structures, the text and music of *Klage* (D. 436) will be analyzed polyfocally.²² As will be discussed, it is possible that Ludwig Höltz's poem (Example 2.1) influenced Schubert's formal design. The poem's title, *Klage* (*Lament*), suggests that it is going to be sad in nature. However, the young protagonist begins the poem by describing a memory of peaceful moonlight that once shone on him through the green trees. The second stanza occurs in the present and reveals the first sign of sadness; the young man is indoors and the moonlight no longer comforts him. In addition, he describes his pale, tear-stricken face. The final stanza reveals that the young man will soon be dead and the moonlight will be shining on his tombstone.

A diachronic analysis of Höltz's poem takes each piece of information into account as it is experienced during the poem; the fate of the protagonist thus remains unknown until the final

Dein Silber schien Durch Eichengrün, Das Kühlung gab, Auf mich herab, O Mond, und lachte Ruh' Mir frohem Knaben zu.	Your silver shone down on me through the green oaks that gave me cool shade, O moon, and smiling shed peace on me, a happy youth.
Wenn jetzt dein Licht Durch's Fenster bricht, Lacht's keine Ruh' Mir Jüngling zu, Sieht's meine Wangen blass, Mein Auge tränennass.	When now your light breaks through the window, no peace smiles on me, now a young man; it sees my cheeks pale, my eyes moist with tears.
Bald, lieber Freund, Ach bald bescheint Dein Silberschein Den Leichenstein, Der meine Asche birgt, Des Jünglings Asche birgt!	Soon, dear friend, soon your silver light will shine on the tombstone that hides my ashes, the young man's ashes.

Example 2.1: Text and translation of Höltz's *Klage* (*Lament*)²³

²² Two versions of D. 436 exist, neither of which have an introduction. The score used here is a variation of the first version that includes a piano introduction.

²³ All of the translations are Richard Wigmore's, unless noted otherwise. See "Schubert: The Complete Song Texts." England: Hyperion Records Limited, 2005.

stanza. The title of the poem signals that someone (presumably the implicit *ich* that narrates the poem) is mourning. The presentation of the protagonist's pleasant memory in the first stanza creates a sense of curiosity—there is no sign of lamentation, indirect evidence of which (the pale cheeks and tear moistened eyes of the protagonist) appears only at the end of the second stanza. Even here, the cause of the lament, still only indirectly introduced, remains a mystery and creates even more anticipation. Finally, in the last half of the third stanza, the protagonist reveals the shocking news that he will soon be dead.

In a synchronic analysis of the poem, the reader anticipates the protagonist's ill-fated news and can read the entire poem from that perspective. The first stanza now seems a poignant moment of melancholy knowing that the happy memory is tinged with irony. The informed reader can picture the young man tear-filled eyes from the beginning of the poem, dwelling on his memory of being outside with green trees shading him from the sun. Likewise, in the second stanza, the reader knows that the protagonist's pale cheeks and tears are ultimately caused by thoughts that surround his imminent death. The final stanza, then, does not present surprise, but rather a structural completion of the narrative thread that now can be understood as having been underway from the very outset of the poem.

The synchronic analysis of the poem provides coherence because, through the vehicle of irony, it unites the first stanza's pleasant memory with the last stanza's knowledge of the protagonist's own impending death. Consequently, it removes the mystery from the poem by neutralizing the shock of the final stanza—the real cause for the lament. A polyfocal understanding does not remove the diachronic shock, but allows the reader to recall both analyses simultaneously and savor the “surprise” of the final statement when it occurs.

Dramatic structures that hinge on pleasantries followed by a grim turn of events present Schubert with an opportunity for a polyfocal setting; here he reinforces the poem's narrative by beginning in a major key and ending in the relative minor (Example 2.2).²⁴ He opens with F major and conveys the surprising dramatic twist of the third stanza, in which we learn that the protagonist is dying, by modulating directly to D minor in m. 22 after a moment of silence caused by the fermata in m. 21. Just as a reader would probably not guess that the protagonist is lamenting his own death, it is doubtful that a listener from Schubert's time would expect the setting to end in a key other than the one in which it began. In addition to the "fatal" key change, Schubert further underlines the importance and shock of the third stanza by temporarily replacing the iambic meter (short–long) with the fourth paeon (short–short–short–long) for two measures.²⁵ At the start of the final strophe, these two jarring elements—the unprepared change of key and change of poetic meter—prepares the listener for the information divulged at the end: the young man's forthcoming death.

Example 2.3 includes middleground graphs for all three stages of hearing for Schubert's setting. Example 2.3A depicts the diachronic analysis that a naïve listener might perceive; a potential 5-line in F major that is never completed. Four completed fifth-progressions descending from C⁵ occur from mm. 1-21, allowing the listener to become comfortable with the notion that the Lied is firmly rooted in F major, and will probably remain so. A prolongation of the submediant begins in m. 22 and an apparent return to F via its *Kopftón*, C⁵ supported by a six-four chord, can be found on the first beat of m. 29, but the fundamental line in F major fails to materialize; this apparent cadential six-four turns out to serve a passing function en route to the cadence in D minor that concludes the song.

²⁴ In this project, *stanza* will refer to text and *strophe* to the musical setting of a stanza.

²⁵ Chris Baldick, *The Oxford Dictionary of Literary Terms* (New York: Oxford University Press, 2009), 244. Höltz's text naturally supports either musical rhythm.

Mäßig *Strophe 1*

Dein Sil - ber schien durch

fp *f* *p*

FM: V_4^6 7 I

4 Ei - chen-grün, das Küh - lung gab auf mich her-ab, o Mond, und lach - te

pp

8 Ruh mir, fro - hen Kna - ben, zu.

cresc. FM: PAC *mf*

I^6 ii^6 V_4^6 7 I

Strophe 2

Wenn jetzt dein Licht durchs

p

V_4^6

16 Fen - ster bricht, lacht's kei - ne Ruh mir, Jüng - ling, zu. Sieht's mei - ne Wan - ge

(Dm: V V_1 V V_1)

20 *Strophe 3*

blass, mein Au - ge thrä - nen - nass. Bald, lie - ber Freund, ach, bald be-scheint dein

FM: PAC *pp*

I^6 ii^6 V_4^6 7 I Dm: i

24 Sil - ber-schein den Lei - chen-stein, der mei - ne A - sche birgt, des Jüng - lings

fz

i^6 iv

28 A - sche birgt.

Dm: PAC *fz* Dm: PAC

V_4^6 7 i (FM: $V_4^6 \cdot ^6$) ii^6 V_4^6 7 i

Example 2.2: Annotated score of *Klage*, D. 436

A: Diachronic analysis (failure of F major)

Stanza 1

1 2 3 4 5 6 7 8 9 10 11 12 13 14 15 16 17 18 19 20 21 22 23 24 25 26 27 28 29 30 31

[F] V⁶₄ 7 I 6 V⁶₄ 7 I 6 V⁶₄ 7 I vi 6 5₃ V⁶₄ vi

B: Synchronic analysis (F major as auxiliary cadence in D minor)

Stanza 1

1 2 3 4 5 6 7 8 9 10 11 12 13 14 15 16 17 18 19 20 21 22 23 24 25 26 27 28 29 30 31

[D] III V⁷ VI III⁶ 5₃ i 6 iv V⁶₄ 5₃ i ii⁰⁶ V⁶₄ 7 i

C: Polyfocal analysis

Key: F major = black noteheads and upward stems
D minor = white noteheads and downward stems
Double noteheads function in both keys

Stanza 1

1 2 3 4 5 6 7 8 9 10 11 12 13 14 15 16 17 18 19 20 21 22 23 24 25 26 27 28 29 30 31

[F] V⁶₄ 7 I 6 ii⁶ V⁶₄ 7 I V⁶₄ 5₃ IV I⁶ ii⁶ V⁶₄ 7 I V⁶₄ 7 i 6 iv V⁶₄ 5₃ i vii⁰⁷ i ii⁰⁶ V⁶₄ 7 i

Example 2.3: Analyses of *Klage*, D. 436

For the diachronic listener the song unexpectedly ends in the submediant. Although the allusion to F major in m. 29 is brief, it is striking since it suggests the initiation of a cadential six-four motion like those at the beginning of the introduction and second stanza. Perhaps this false return is intended to deceive the listener into hoping that the young man finds solace in death, but Schubert allows no such resolution.

The monotonal, synchronic analysis in Example 2.3B shows *Klage* from a D minor perspective. This analysis mirrors the perception of the poem by a reader who already knows the unfortunate fate of the young man and is able to picture him on his death bed before the poem ever begins, D minor seemingly playing the role of—or signaling the arrival of—Death.²⁶ F major no longer plays the role of tonic, but acts as part of an off-tonic opening, a mere misdirection that ultimately leads to D minor. The fifth-progressions in F major foreshadow the two analogous structures in D minor (the fifth progression descending from A⁴ in mm. 27-28, and the cadential 5-line in mm. 29-31). Schubert drives home D minor's dominance in the postlude: the final phrase contains the same progression that the first two stanzas ended with, this time transposed to D minor, rejecting any notion that F major might return. Of special note in this graph is the anticipation of D minor's arrival in mm. 16-17 by means of its dominant that was reduced out of the diachronic reading. This will soon be discussed in more detail.

Both Examples 2.3A and 2.3B show how each key functions individually within *Klage*, but the interplay between the keys is lost due to the narrow focus of each graph. With a polyfocal analysis, as in Example 2.3C, a synthesis of diachronic and synchronic perspectives can be realized, and Schubert's tonal scheme becomes transparent. As described in Chapter 1, all harmonies functioning in F major receive black noteheads and upward facing stems; the harmonies functioning in D minor receive white noteheads and downward facing stems. Dual noteheads belong to both keys, their function within each key still prescribed by stemming. With this method of notation, it is clear that the fifth progressions in F major are duplicated in D minor.

²⁶ Death, as a character, is present in a number of poems that Schubert set, including *Verklärung* (D. 59), *Romanze* (D. 114), *Der Liedler* (D. 209), *An den Tod* (D. 518), *Der Tod und das Mädchen* (D. 531), *Memnon* (D. 541), *Elysium* (D. 584), and *Die liebe Farbe* (D. 795, no. 16). Notably, the specific association of D minor with Death is present in *Der Tod und das Mädchen*, composed within the year following *Klage*.

In addition to the structural repetition of fifth progressions, it is noticeable that one instance of tonal allusion occurs during the prolongation of each key, producing parallel structural embellishments that enhance the overall unity of the sections (as discussed in Chapter 1). As the analeptic allusion in m. 29 recalls F major, the proleptic allusion foreshadows the coming D minor with deceptively resolving dominants in mm. 16-17, mimicking Höltz's dramatic pacing and rhyme scheme. The text corresponding to the proleptic allusions is not a rhyme with the last couplet of the previous stanza, but a repetition: "*Lacht's keine Ruh'/Mir Jüngling zu,*" and "*O Mond, und lachte Ruh'/Mir frohem Knaben zu*" (respectively).²⁷ In the first strophe, the *Ruh'/zu* rhyme is paired with a perfect authentic cadence in F, whereas the repetition in the second strophe aligns with the deceptive prolepses.

Dramatically, mention of a lament is absent during the first stanza of the poem (Schubert provides no chromaticism), and in the second stanza the poet merely implies that a cause for lament exists, without revealing what it is (the deceptive prolepses only hint at D). Schubert's introduction of D minor within F major initially comes across as a chromatic curiosity, only to fully develop during the third stanza when the fate of the protagonist is revealed. The dominant of D in m. 16 is attained via a dominant transformation, as described in Chapter 1, which also draws attention to the allusion due to the unexpected dominant shift.

The striking contrast caused by the direct modulation to D minor in m. 22 is also extremely visible in the polyfocal analysis since there is no pivot between F major and D minor. These keys could be easily linked to one another through common chords given their close relationship, but the lack of any such link may show that the protagonist's mood drastically changes during the final stanza (in addition to signifying to the listener that something important in the plot is happening). Relative keys can just as easily have the same *Kopftöne*, but the C⁵

²⁷ I would like to thank David Smyth for pointing out the rhyme repetition to me.

Kopft on of F major makes this impossible, thus creating a greater disjunction between the keys. As is evident, the benefit of analyzing *Klage* from a polyfocal viewpoint is that a single graph simultaneously specifies the prolongational structure of both keys and shows precisely how they relate to one another and the text, therefore leaving the most important musical events unobscured.

Non-strophic Lieder

Soon after setting *Klage*, Schubert set Friedrich von Matthison's *Der Geistertanz* for a *capella* male chorus (D. 494).²⁸ While Schubert scrupulously follows the pacing of *Klage*'s text, the liberties he takes with the text of *Der Geistertanz* produce the opportunity for the direct modulation. Death is also the topic of this poem, but this is no surprise since it is stated at the outset (Example 2.4). Unaltered, the simplistically macabre nature of the poem does not appear to suggest the need for a polyfocal setting, save for the final couplet that shows how happy the ghosts are to be separated from their grief. Schubert exploits this brief instance of joy by repeating the final couplet four times, from mm. 19-39. The textual and tonal layout of D. 494 can be found in Example 2.5.

Including the repeat, the first five strophes total twenty-four measures of C minor while strophes six and seven last twenty-seven measures in A \flat major. It is clear that Schubert alters the proportions in order to emphasize the final two stanzas, particularly the final couplet.²⁹ To further emphasize the last two stanzas, he separates them from the others with a direct

²⁸ Schubert previously set the same text as a Lied using the same name (D. 116), but the settings have significant differences between them. These differences will be discussed in Chapter 4.

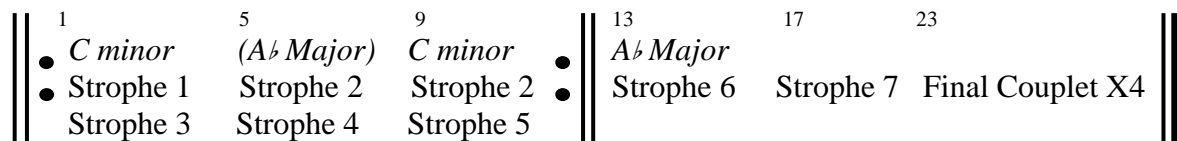
²⁹ The phrase of the final strophe's original statement, mm. 17-22, is six measures in length and is the only phrase that is not four measures long, thus breaking the hypermetric phrase rhythm and further stressing it. The repetitions of the final couplet are then emphasized since their rhythms include augmentations of the rhythmic motive that saturates the entire piece. The initial two-measure rhythmic pattern at the outset of the song (shown in A below) occurs throughout the piece and appears in augmentation during mm. 23-26 and 31-39 (shown in B):

A. C

B. C

Die bretterne Kammer Der Toten erbebt, Wenn zwölfmal den Hammer Die Mitternacht hebt.	The boarded chamber of the dead trembles when midnight twelve times raises the hammer.
Rasch tanzen um Gräber Und morsches Gebein Wir luftigen Schweber Den sausenden Reih'n.	Quickly we airy spirits strike up a whirling dance around graves and rotting bones.
Was winseln die Hunde Beim schlafenden Herrn? Sie wittern die Runde Der Geister von fern.	Why do the dogs whine as their masters sleep? They scent from afar the spirits' dance.
Die Raben entflattern Der wüsten Abtei, Und flieh'n an den Gattern Des Kirchhofs vorbei.	Ravens flutter up from the ruined abbey, and fly past the graveyard gates.
Wir gaukeln und scherzen Hinab und empor Gleich irrenden Kerzen Im dunstigen Moor.	Jesting, we flit up and down like will-o'-the-wisps over the misty moor.
O Herz, dessen Zauber Zur Marter uns ward, Du ruhst nun in tauber Verdampfung erstarrt;	O heart, whose spell was our torment, you rest now, frozen in a numb stupor.
Tief bargst du im düstern Gemach unser Weh; Wir Glücklichen flüstern Dir fröhlich: Ade!	You have buried our grief deep in the gloomy chamber; happy we, who whisper you a cheerful farewell!

Example 2.4: Text and translation of Matthisson's *Der Geistertanz* (*Ghost Dance*)



Example 2.5: Textual and tonal plan of *Der Geistertanz*, D. 494

modulation from C minor to A \flat major, as he did in *Klage*. Additionally, Schubert changes the tempo from *Geschwind* (*Swiftly*) to *Mäßig* (*Moderately*) at m. 13, eventually returning to *Geschwind* when the final couplet is reached in m. 19. All of these elements draw attention to the relative peace in the final two stanzas.

In fact, the keys in *Der Geistertanz* go beyond relative major and minor to chromatic mediants, creating a greater divide between the keys. Although *Der Geistertanz* has more

distantly related keys that *Klage*, both *Urästze* have a *Kopftön* of E \flat ³, which is also the highest extent of either section's range. When the key relationships permit it, maintaining a single *Kopftön* throughout polyfocal structures helps create a sense of unity. On the other hand, it also eliminates any chance for parallelisms between *Urästze*—as in *Klage*—due to the differing *Urlinien* required to allow the same *Kopftön*. As will be seen in this project, Schubert prefers either of these situations over the alternative of having different *Kopftöne* and *Urlinien*.³⁰

A polyfocal analysis of *Der Geistertanz*, provided in Example 2.6, clearly shows the direct modulation in mm. 12-13, as well as proleptic tonal allusions. A \flat makes its first appearance as a deceptive resolution in m. 3 and is followed by its dominant in m. 4 (shown in parentheses in Example 2.5). A \flat then lingers from mm. 6-8, its own neighboring fully diminished seventh chord appearing in m. 8 (A \flat is maintained here as a pedal tone). A difficulty arises when attempting to pinpoint a correlation between the text and allusions in strophic settings, as in the first section of *Der Geistertanz*. The music is repeated with different text, making what might be a music/text correlation in one verse completely irrelevant for another. What *can* be deduced is a general effect; here, the major-mode allusions seem to add a bit of cheerfulness to the seemingly grotesque images set in the minor mode.

Strophe I (3) 2 (4) 2 (5) 6 7

1 3 4 5 7 8 9 10 13 14 15 16 17 18 19 20 22 23 24 25 26

[C] i V⁷ VI i VI iv V⁶ $\frac{5}{3}$ i I V I I vii^{o7} I I II V I V⁴ I⁶ ii V⁷ $\frac{6}{4}$ $\frac{5}{3}$ I

Example 2.6: Polyfocal analysis of *Der Geistertanz*, D. 494

³⁰ The latter alternative is rare in Schubert's Lieder, even in structures with more than two keys. *Genügsamkeit* (D. 143) is the only example of this type in this chapter, and will be discussed below.

One visibly lacking element in the polyfocal analysis of *Der Geistertanz* is analeptic allusion.³¹ Two chromatic chords in the A \flat major section may at first appear to recall C (the C major triad in m. 16 and the fully diminished seventh chords over B \sharp in mm. 21 and 29), but the first acts as V of F minor (preceded by an F minor six-four chord in the previous measure) and the latter as a chromatic passing chord between V \sharp and I 6 of A \flat .³² Perhaps this lack of analepsis reflects that the ghosts have truly left their grief behind and are on their way to a peaceful place.

A similarly disjointed polyfocal structure is present in Schubert's sixth setting of Goethe's *Geistes-Gruss*, D. 142.³³ The poem is also from the viewpoint of the dead, a dead knight to be exact. The idea of distance plays an important role in Schubert's setting and is presented in the poem in two ways: the first is physical distance in that the knight's spirit is on a high tower, looking down upon the living, and the second is the supernatural distance between the spirit and the living (Example 2.7).

Hoch auf dem alten Turme steht Des Helden edler Geist, Der, wie das Schiff vorübergeht, Es wohl zu fahren heißt.	High on the ancient tower stands the hero's noble spirit; as the ship passes he bids it a safe voyage.
„Sieh, diese Sehne war so stark, Dies Herz so fest und wild, Die Knochen voll von Rittermark, Der Becher angefüllt;	“See, these sinews were so strong, this heart so steadfast and bold, these bones full of knightly valour; my cup was overflowing.
„Mein halbes Leben stürmt' ich fort, Verdehnt' die Hälft' in Ruh, Und du, du Menschenschifflein dort, Fahr' immer, immer zu!”	“Half my life I sallied forth, half I spend in tranquility; and you, little boat of mankind, sail ever onward!”

Example 2.7: Text and translation of Goethe's *Geistes-Gruss* (*A Spirit's Greeting*)

³¹ Although D. 494 is not exactly a song, it has been included here because it is the only example of his non-strophic, vocal works involving two keys that has proleptic allusion and no analeptic allusion.

³² The F minor six-four chord at the end of m. 15 causes the C major chord in m. 16 to be heard as a prolonged cadential six-four motion.

³³ See the *Neue Schubert Ausgabe*, pp. 14-15 of series IV, band 5a for the sixth version and pp. 192-201 of series IV, band 5b for the first five settings. The versions only have slight variations from one to another, the most noticeable being the inclusion or omission of a V \sharp chord immediately before the second key area. The only settings that omit this chord are the first and sixth. The next most noticeable difference is in the melodic motion from the half cadence preceding the second strophe to the second strophe. The half cadence in first four settings end melodically on $\hat{5}$ of the first key, making the dramatic shift to the next key less potent since the *Kopftön* is maintained across the change in keys. The fifth and sixth settings end on $\hat{2}$.

Schubert sets the opening narrative stanza in E major and the remaining two stanzas (from the noble spirit's point of view) in G major. Schubert employs a direct and deceptive transition in *Geistes-Gruss*, ending the narrative portion with a dominant interruption in E major (m. 13) and beginning the next section with a root-position tonic triad in G major.³⁴ A polyfocal analysis renders this stark contrast visible as well as a common *Kopft*on between the keys (B⁵) and analeptic allusions (Example 2.8). The instances of allusion (mm. 16-17 and 25-26) are diatonic within the local G major context, thus referring back to E major through its parallel minor mode. The parallel shift is appropriate for the spirit's viewpoint; if E major is considered to represent the world of the living, then E minor represents a distant echo of life, just as the spirit is a shade of his former self.

The first instance of analeptic allusion (mm. 16-17) takes place in the midst of a descending thirds sequence (mm. 14-19). During this sequence, the spirit is reminiscing about his once living body; E minor comes into play when he is thinking of his heart, now a shadow of

Example 2.8: Polyfocal analysis of *Geistes-Gruss*, D. 142 (6th version)

³⁴ Deceptive structural motions occur in many Lieder besides *Geistes-Gruss*, including *Hagars Klage* (D. 5), *Romanze* (D. 114, first version), *Die Sommernacht* (D. 289, second version, to be discussed later this chapter and in Chapter 4), *Uraniens Flucht* (D. 554), *Iphigenia* (D. 573), *Gruppe aus dem Tartarus* (D. 583, second version), *Der Alpenjäger* (D. 588), *Auf der Riesenkoppe* (D. 611), *Einsamkeit* (D. 620), and *Daß sie hier gewesen* (D. 775). *Der Alpenjäger* contains two instances of deceptive motion involving incomplete structures followed by new tonal areas. The poem opens with the young hunter making a plea to his mother to go hunting and the first deceptive motion occurs when he begins his hunt up the mountainside (m. 47 and 48). The second takes place at the very end when a godlike spirit intervenes on behalf of the prey, the presence of the spirit evoking the otherworldly deceptive motion (mm. 83-87).

itself. The second allusion occurs in m. 26 when the spirit begins to address a boat (a metaphor for life); just as the ship of life passes by, the setting quickly returns to the dominant of G in the next measure and restarts that line of text (mm. 27-28). This is the only occasion in the poem where Schubert alters Goethe's text, the repetition perhaps insinuating that before he bids farewell to the ship, the spirit falters as he accepts his ghostly existence.

By far the earliest polyfocal Lied to be discussed in this chapter is Schubert's setting of Matthison's *Die Schatten*, D. 50. The topic here is once again the dead, but the protagonist is alive in this poem and sees ghosts of past friends (Example 2.9). Surprisingly, the protagonist seems joyful to be in the company of the shades and Schubert seems to portray this happy reunion by setting the first two stanzas in A major. The third stanza stands out from the others due to its turbulent memory of an averted shipwreck. Whether literal or figurative, the wreck is only avoided with the help of the friends who are now spirits.

Schubert sets the beginning of the protagonist's troubled memory in the relative minor (F#, mm. 53-59) as well as speeding up the tempo and writing a less flowing accompanimental pattern. The tonic A returns in m. 63, but it is now in the minor mode since the protagonist is still in the grip of memory and has not yet returned to present-day reality. As can be seen in a polyfocal analysis of *Die Schatten*, a modulation to C major occurs during the final phrase of the third strophe (Example 2.10).

Of significance in the modulation to C is that A minor becomes a pivot into C major, shown with double noteheads in m. 71, and is the first example in this chapter of an elision occurring between the different tonal structures. Naturally, this mid-phrase modulation creates a smooth transition between the two keys, bonding them into a cohesive structure. The E⁵ *Kopft*on of the initial incomplete structure is shared by the two keys and further contributes to the fluid

<p>Freunde, deren Gräfte sich schon bemoosten! Wann der Vollmond über dem Walde dämmert, Schweben eure Schatten empor Vom stillen Ufer des Lethe.</p> <p>Seid mir, Unvergeßliche, froh gesegnet! Du vor allen, welcher im Buch der Menschheit Mir der Hieroglyphen so viel gedeutet, Redlicher Bonnet!</p> <p>Längst verschlürft im Strudel der Brandung Wäre wohl mein Fahrzeug Oder am Riff zerschmettert, hättet ihr nicht, Genien gleich, im Sturme schirmend gewaltet!</p> <p>Wiederseh'n, Wiederseh'n der Liebenden! Wo der Heimat goldne Sterne leuchten, O du der armen Psyche, die gebunden Im Grabtal schmachtet, himmlische Sehnsucht!</p>	<p>Friends, whose graves are already mossy! When the full moon rises over the forest, your shades float up from the silent banks of Lethe.</p> <p>With joy I bless you, unforgotten creatures, and you above all, who in the book of life explained so many secrets to me, honest Bonnet.</p> <p>Long ago my vessel would have sunk in the swirling surf, or been wrecked on the reef, had you not, like guardian spirits, protected me in the storm.</p> <p>Farewell, farewell beloved ones! Where the golden stars of home shine, O, you poor souls, bound to languish in valley graves, with heavenly yearning!</p>
---	--

Example 2.9: Text and translation of Matthiesson's *Die Schatten* (*The Shades*)³⁵

Strophe 1

1 2 37 41 45 49 53 60 61 64 65 67 69 71 72 73 74 75 92 93 94 101 104

A I V⁶₄ 7 I V⁷ i VI vii⁰⁴₂ V⁷ i V⁶₄ 7 I vi vii⁰⁴₂ V⁷ 6₄ 5₃ I

Example 2.10: Polyfocal analysis of *Die Schatten*, D. 50

nature of the modulation. Fittingly, Schubert initiates the modulation just as the protagonist declares his friends' success in protecting him from the storm. C major is then projected as tonic through the remainder of the Lied and can represent the golden-star filled homeland where the protagonist's friends remain buried.

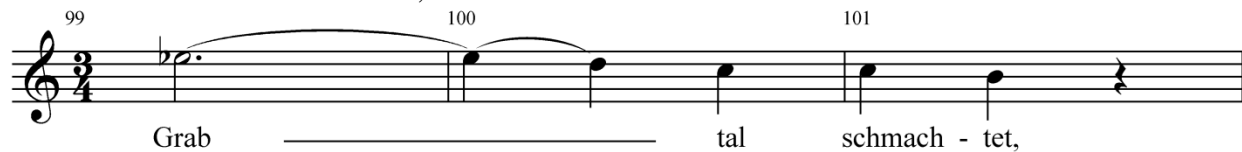
Tonal allusion and motive also aid in unifying the song's two tonal structures. Analeptic allusion to A minor is quite noticeable in mm. 93-94 and appears as the protagonist begins to address his dead friends for the last time, quickly passing to V⁷ of C in m. 95. In terms of motive, the three-measure vocal motive in mm. 31-33 recurs in mm. 99-101 (Example 2.11A-B)

³⁵ Wigmore's translation of the final stanza has been altered to a more literal version.

A. Motive 1, mm. 31-33



B. Second statement of motive 1, mm. 99-101



C. Motive 2, mm. 50-51



D. Second statement of motive 2, mm. 103-104



Example 2.11: Motives in *Die Schatten*, D. 50

and the second strophe's closing two measures, mm. 50-51, come back in mm. 103-104 and 108-109 (Example 2.11C-D). Additionally, the simple eighth-note figuration in the accompaniment from the first strophe returns with the onset of the modulation in m. 71 and is followed by a return to the original tempo in m. 75.

In his setting of Heinrich von Collin's *Leiden der Trennung* (D. 509), Schubert includes a mid-phrase modulation and the same *Kopftön* throughout (as in *Die Schatten*), but also includes both proleptic and analeptic allusions. Collin's poem is a lament of separation in which a wave is trapped in a well and longs to return to the sea, ending with hope that it will find peace (Example 2.12). Schubert sets the wave's lament in G minor and turns to B \flat major in mm. 13-14

Vom Meere trennt sich die Welle, Und seufzet durch Blumen im Tal, Und fühlet, gewiegt in der Quelle, Gebannt in dem Brunnen, nur Qual!	The wave is separated from the sea and sighs amid the flowers in the valley; cradled in the spring, captive in the well, it feels nothing but torment.
Es sehnt sich, die Welle In lispelnder Quelle, Im murmelnden Bache, Im Brunnengemache	The wave longs in the whispering spring, in the murmuring brook, in the well-chamber,
Zum Meer, von dem sie kam, Von dem sie Leben nahm, Von dem, des Irrs matt und müde, Sie süsse Ruh' verhofft und Friede.	For the sea from which it came, from which it drew life, from which, faint and weary with wandering, it hopes for peace and sweet repose.

Example 2.12: Text and translation of Collin's *Leiden der Trennung*
(*The Sorrow of Separation*)³⁶

when the wave begins to long for the peaceful sea from which it came. In a polyfocal analysis, this moment is a visual centerpiece that reveals the structural pivot between the keys with double noteheads (Example 2.13).

Like *Klage*, *Leiden der Trennung* contains one instance each of proleptic and analeptic allusion. Within the G minor section, B \flat major is tonicized when the wave seems to feel some sort of comfort by using the words “*gewiegt*” (*cradled*) and “*Quelle*” (*spring* or *source*) in mm. 7-8. B \flat major eventually takes hold in mm. 13-14, but the grief of G minor makes a brief return on the downbeat of m. 17. This is precisely when the word “*kam*” appears (*Zum Meer, von dem sie kam*, *For the sea from which it came*) emphasizing that the wave is presently not a part of the sea.

During the postlude, the wave seems to fully overcome the sorrow of G minor in m. 24 when G \flat replaces a possible F \sharp that would have hinted at G minor (something the bass G \flat in m. 15 could not accomplish). At the same time, $\flat\hat{6}-\hat{5}$ has been discussed by Carl Schachter and Walter Everett as a sighing motive that reflects grief.³⁷ If this is the case, then G \flat -F would

³⁶ Wigmore's translation of the second stanza has been rearranged to be more literal.

³⁷ See Carl Schachter, “Motive and Text in Four Schubert Songs,” in *Unfoldings: Essays in Schenkerian Theory and Analysis*, ed. Joseph Straus, 213-215 (New York: Oxford University Press, 1999), and Walter Everett, “Grief in ‘Winterreise’: A Schenkerian Perspective,” *Music Analysis* 9/2 (1990): 157-175.

Strophe 1

Example 2.13: Polyfocal analysis of *Leiden der Trennung*, D. 509

represent an amplified case of grief since it requires modal mixture in B \flat major, whereas the examples that Schachter and Everett give are in the minor mode. On one hand, Schubert denies a possible return to G minor with the G \flat , but on the other hand, the same pitch evokes grief due to its modal mixture and sighing quality; no matter how optimistic the wave seems to be, it cannot escape the fact that it is trapped in a well. Other examples of modally mixed grief-motives in postludes will be seen later in this chapter and Chapter Three, including D. 700 (the next song to be discussed), D. 289, D. 544, and D. 548.³⁸

A dominant transformation can be found in *Leiden der Trennung* that differs from those previously discussed. This transformation leads to the analeptic allusion to G in mm. 16-17 (similar to the transformation that leads to the proleptic allusion in *Klage*), but in this case V⁷ of B \flat transforms to vii⁰⁷ of G, only requiring one pitch to move by semitone (the bass in this example). As found here, and will be seen in forthcoming examples, many dominant transformations involve root motion by semitone rather than unfolding by thirds or sixths. These cases will be labeled with asterisks, as mentioned in Chapter 1.

³⁸ D. 289 only includes $\flat\hat{6}$ as part of an augmented sixth chord and Schubert does not resolve it to $\hat{5}$, but its presence still has the same effect, as will be discussed later this chapter.

Schubert's setting of Mayrhofer's *Freiwilliges Versinken* (D. 700) exhibits much more overlap between its component keys than any of the Lieder discussed previously. The protagonist of the poem is Helios, the Greek personification of the sun, and he is describing his descent as night begins to approach (Example 2.14). Schubert sets it with the relative keys F major and D minor; the descending key relationship possibly suggests Helios's descent.

Even in the six-measure introduction (a rare example of an introduction that includes the voice), Schubert presents confusion between the keys by repeating dominant transformations, ending the introduction with a half cadence in F major. Schubert's ambiguous introduction portrays the questioning nature of the opening text, "*Wohin, o Helios?*" (*Whither, O Helios?*), and foreshadows the ambiguity to come. Even with the opening ambiguity, the strong half cadence in F major in m. 6 is followed by tonic harmony in that key and firmly situates the listener in F major.

Example 2.15 presents a polyfocal analysis of *Freiwilliges Versinken* and reveals the full complexities of the Lied. A noticeable span of double noteheads can be seen from mm. 11-14, including the shared *Kopftön* of the *Urlinien*. This passage serves as a large pivot region between the two operative keys: in terms of F major, the E \flat major chord in mm. 11-12 functions as a chromatic neighbor to the passing six-four in m. 13 that continues to dominant and tonic in

<p>Wohin, o Helios? In kühlen Fluten Will ich den Flammenleib versenken, Gewiss im Innern, neue Glut Der Erde Feurreich zu schenken.</p> <p>Ich nehme nicht, ich pflege nur zu geben; Und wie verschwenderisch mein Leben, Umhüllt mein Scheiden gold'ne Pracht Ich scheide herrlich, naht die Nacht.</p> <p>Wie blass der Mond, wie matt die Sterne! Solang ich kräftig mich bewege; Erst wenn ich auf die Berge meine Krone lege, Gewinnen sie an Mut und Kraft in weiter Ferne.</p>	<p>Whither, O Helios? In cool waters I will immerse my burning body, inwardly certain that I can bestow new warmth upon the earth's fires.</p> <p>I do not take; I am wont only to give. As prodigal as my life, my parting is bathed in golden splendor; I depart in glory when night draws near.</p> <p>How pale the moon, how faint the stars, as long as I move on my powerful course; only when I lay down my crown upon the mountains do they gain strength and courage in the far distance.</p>
--	--

Example 2.14: Text and translation of Mayrhofer's *Freiwilliges Versinken* (*Voluntary Oblivion*)

Strophe 1

2 (3)

div.

* *

[F] V [D] V

6 7 I V V⁶ I V⁶ I

5 3 i 6 V⁶ i⁵⁻⁶ vii^{o7} V⁶ i IV⁶ V⁶ 7 I

Example 2.15: Polyfocal analysis of *Freiwilliges Versinken*, D. 700

m. 14; in D minor, E \flat is not just a contrapuntal chord, but a Neapolitan that, via a passing six-four, reaches the inverted dominant of D minor in m. 13 and unfolds to a root position dominant in m. 15. Instead of having a single pivot chord between the keys, as in *Die Schatten* and *Leiden der Trennung*, *Freiwilliges Versinken* has multiple chords functioning within the structure of both keys. This grey area could represent dusk as Helios is setting, although the text indicates no such thing.

Besides the dominant transformations in the introduction (which act as proleptic allusions to D in and of themselves), there are two instances of analeptic allusion to F. The first analepsis is a three-measure tonicization from mm. 18-20 as Helios mentions his generosity, turning to a D minor in mm. 21-22 when he mentions his departure. F major then recurs at the climax of the song in m. 23 by means of its dominant, when Helios actually departs.

Schubert emphasizes this dramatic moment in several ways. The most obvious means is the sudden forte dynamic marking, but Schubert also introduces the highest note to be heard in the piece yet: D \flat^5 . Instead of a C \sharp , the enharmonic D \flat lets the performer know it is an upper-neighbor to the following C, but the diachronic listener might hear it as the leading tone of D minor, not as the harmony in F major that its resolution alludes to (another gray area that loosely

relates to dusk). Schubert draws further attention to its resolution to C \sharp by displacing it down an octave in the singer's part, creating a descending ninth that may reflect Helios's descent.

The dramatic gesture in m. 23 is then immediately transposed to D minor in m. 24 at a subdued pianissimo. D \flat is enharmonically transformed to a C \sharp in the bass and the fully diminished seventh chord resolves to the dominant of D, followed by a further resolution to D in the next measure. Additionally, D \flat ⁵ is respelled as a C \sharp ⁵ at the end of m. 26, giving the diachronic listener a proper resolution to D⁵. Finally, with the F \sharp Picardy third in m. 25, F major seems a less likely key to return to and it loses its hold, just as Helios gives way to the night.³⁹ Perhaps the Picardy ending reflects the fact that Helios always has tomorrow to look forward to, something that cannot be said for the protagonist of *Klage*. At the same time, the postlude includes the $\hat{5}-\hat{b}6-\hat{5}$ motive (mm. 27-28 and 41-44) that may indicate sadness or remorse, but the F \sharp Picardy has the final word.⁴⁰

The climactic analepsis of F and immediate transposition to D also results in a dominant transformation, as shown in the analysis. Dominant transformations also occur in *Freiwilliges Versinken* at other important moments: the introduction (as mentioned), mm. 13-14 (as part of the transition to D), and mm. 20-21 (returning to D after the analeptic allusion to F). Unlike the unfolding thirds of the introductory and climactic transformations, those in mm. 13-14 and 20-21 are of the semitone variety. Is it possible that the profusion of dominant transformations in *Freiwilliges Versinken* represents the ongoing revolutions of the cosmos?

³⁹ The music that follows is a repetition of mm. 16-28 with an expansion of m. 26 into two measures, 39 and 40, when the moon and stars are gaining strength as Helios sets. The postlude is then repeated an octave higher, perhaps the moon and stars attaining their place in the night sky. It could be argued that D. 700 has an oscillating structure since F major continues to have a prominent role (these structures are introduced in the next section), but the repetition from m. 29 onwards reinforces D as the sole centripetal force from its onset in m. 16. The repetition allows the listener to immediately re-evaluate the role of F major in the D minor section with the knowledge that D begins it and is the ultimate goal. Both oscillation and repetition will be discussed in the next section of this chapter.

⁴⁰ The modally mixed grief-motive in D. 700 differs from the other examples in this project since it does not take place in the context of the original major mode key (F major), but in the modally altered relative key (D major rather than D minor).

Oscillation

The next two Lieder to be examined have polyfocal structures that oscillate between relative keys. At various points in these songs, each key provides what sounds like a viable tonal conclusion, thus creating a tapestry of interwoven tonalities that confuses the diachronic listener. Due to the constant oscillation, a single and permanent transition from one key to another other is no longer possible and renders a discussion of tonal allusion unnecessary.

In Schubert's setting of Goethe's *Erster Verlust* (Example 2.16), tonal oscillation underscores the protagonist's ever-changing alternation between happier thoughts of a distant time or place (A \flat major) and the bleak reality he is forced to deal with (F minor).⁴¹ The oscillations can also be understood as a reflection of the interlocking rhyme scheme in the poem, ABCD CAD AD. This interlocking rhyme scheme is unique among Schubert's oscillating songs, so the correlation here is debatable, but plausible.

The first strophe of *Erster Verlust*, mm. 1-9, opens in F minor; the protagonist reminiscing about better times. The strophe ends with a perfect authentic cadence in A \flat major when "*ersten Liebe*" (*first love*) is mentioned, overwhelming the protagonist's melancholy. Two dominant transformations can be found in mm. 2-3 and 5-6, labeled with asterisks in Example 2.17A, perhaps reflecting the unstable state of the protagonist.

Ach, wer bringt die schönen Tage, Jene Tage der ersten Liebe, Ach, wer bringt nur eine Stunde Jener holden Zeit zurück!	Ah, who will bring back those fair days, those days of first love? Ah, who will bring back but one hour of that sweet time?
Einsam nähr' ich meine Wunde, Und mit stets erneuter Klage Traur' ich ums verlorne Glück,	Alone I nurture my wound and, forever renewing my lament, mourn my lost happiness.
Ach, wer bringt die schönen Tage, Jene holde Zeit zurück!	Ah, who will bring back those fair days, that sweet time?

Example 2.16: Text and translation of Goethe's *Erster Verlust* (*First Loss*)

⁴¹ As will be experienced throughout this project, the Reality-Daydream-Back-to-Reality framework appears to be a convention in this genre of Romantic poetry.

A. Polyfocal analysis

Strophe 1

1 2 3 4 5 6 8 9 10 13 14 15 16 17 18 19 20 21 22

5 4 3 2 5 5 4 3 2 1 (4 3) 2 1

[F] i A b V 7 VI IV V 4 5 3 VI 6 5 3 I 6 5 3 V 7 I i 6 V i V 7 vii 6 5 1 6 5 3 V 7 I V 7 i

B. Carl Schachter's monotonal analysis of *Erster Verlust*, D. 226⁴²

bar 1 5 9 12 13 16 16 17 21 21 22 22

(voice) (piano)

I III V I III V I (II 6)

Example 2.17: Analyses of *Erster Verlust*, D. 226

The next strophe, mm. 10-17, returns to F minor and ends with a half cadence in that key all of which describes the protagonist's lament. The half cadence in m. 17 prepares the reprise of the first strophe (to the words of the first stanza) that begins in m. 17. Measures 17-21 are a truncated repetition of the first strophe, with the omission of mm. 4-7. As will be seen, repetition is a significant factor in the listener's perception of the tonal oscillation in *Erster Verlust* and in most of Schubert's oscillating structures.

⁴² Carl Schachter, "Rhythm and Linear Analysis: A Preliminary Study," in *Unfoldings*, ed. Joseph Straus, 24 (New York: Oxford University Press, 1999).

A naïve listener, following only the text while listening to the Lied, would probably assume the Lied would end in A♭ major since the text and music is a repetition of the first strophe, which reaches a full close in that key.⁴³ Such an ending might suggest that the protagonist eventually has better days, or simply accepts the situation and is at peace. Schubert had other plans for his setting however; he ends the Lied with a one-measure piano postlude in F minor, an exact transposition of the singer's A♭ major ending. The postlude abruptly brings the protagonist (and listener) back to reality, insinuating that no peace has been found.

Compare Example 2.17A to Carl Schachter's monotonal analysis of *Erster Verlust* in Example 2.17B. More so than non-oscillating structures, oscillations make monotonal analyses awkward due to the degree of emphasis on tonal centers other than the one ultimately affirmed as the singular tonic. Such analyses tend to seek monotonal coherence by marginalizing large swaths of interfering non-tonic material, creating a disconnect between one's experience of the song and its ostensible basic structure. According to Schachter's analysis, the song is firmly rooted in the reality of F minor. In the polyfocal analysis, the essential tension between the keys remains at the forefront of the graph, in this case representing the protagonist's struggle between reality and dreams (or even more simply, hope for the future).

Schubert's setting of Friedrich Klopstock's *Die Sommernacht* (D. 289, second version) is also oscillatory, with repetition playing an important role.⁴⁴ The poem is similar to *Erster Verlust* in that it alternates between dark thoughts and happier memories (Example 2.18), but Schubert does not prescribe the oscillations according to the mood of the text as he does in *Erster Verlust*. Since the oscillating relative keys in *Die Sommernacht* are C major and A minor,

⁴³ An example of an oscillating structure that ends as expected due to repetition is Schubert's setting of Klopstock's *Edone*, D. 445. Measures 28-35 is a repetition of mm. 3-10, ending in the expected C minor rather than E♭ major.

⁴⁴ As previously mentioned, the differences between Schubert's two versions of *Die Sommernacht* (D. 289) will be discussed in Chapter 4.

protagonist's dead love. Amongst the grief, thinking of the lost loved one in the second strophe is enough to resurrect positive emotion (C major). Schubert ends the second strophe in m. 19 with a half cadence in A minor, representing the unattainable scent of the blossom.

The important repetitions of *Die Sommernacht* are variations of the piano introduction that occur during the third (and final) strophe. The third strophe is split into two parts that follow the most likely polyfocal setting: the sorrow in the first line is set in A minor and the pleasant memories in the remaining lines are set in C major. The polyfocal analysis of *Die Sommernacht* reveals the full extent of its oscillating form along with the varied repetitions.

Measures 1-3 open with two third-progressions that lead from E⁵ to A⁴, followed by an unfolding of A⁴ to D⁵. Two variations of the opening material occur in mm. 15-19, the most obvious being from mm. 15-16. Rather than end m. 16 with a half cadence in C major as he did in m. 4, Schubert oscillates to A minor and continues to a perfect authentic cadence in m. 17. Schubert accomplishes this oscillation by using the unfolding pre-dominant chords as a pivot to approach either key. The second varied repetition also involves the opening material, this time from mm. 1-4, and encompasses all of mm. 15-19. The reduction of mm. 15-19 (Example 2.20), shows how A is the new goal, with its own half cadence that parallels the half cadence in m. 4.

Additionally, a simple repetition of the A minor progression in mm. 8-9 can be found transposed to C major in mm. 11-12. Since each of the repetitions mentioned substitute one relative key for the other, it would appear that Schubert is setting up the possibility that some (or all) of the C major material in mm. 20-25 will be repeated in A minor; especially given the knowledge of the final F minor repetition of the singer's A^b cadential formula in *Erster Verlust*. Unlike *Erster Verlust*, Schubert leaves the protagonist of *Die Sommernacht* to revel in pleasant thoughts, never returning to A minor.

A. Initial statement (half cadence in C)

B. Varied repetition (half cadence in A)

Example 2.20: Varied repetition in *Die Sommernacht*, D. 289 (second version)

Schubert even undermines a return to A minor during mm. 20-25 with the use of A \flat , signaling the negation of A minor's leading tone tendencies; A \flat first occurs as the product of modal mixture on beat 3 of m. 20 and 22, then in m. 24 as part of a German augmented sixth chord that resolves directly to the C-major tonic, thus foreclosing the possibility that A minor's dominant might follow. Had an A \natural occurred in m. 24 (like in m. 4 and 19), the result would have been an ambiguous fully diminished seventh chord that could easily resolve to V of A minor and continue to a cadence in that key, as in the recomposition found in Example 2.21. Such an ending would have the same devastating effect as the ending to *Erster Verlust*. Instead, the modally mixed $\flat\hat{6}$ produces the same sense of melancholy or grief that was found in *Leiden der Trennung*.

A. Original ending (closing in C)

22 23 24 25

wie ver - schönt warst von dem Mon - de du, o schöne Na-tur!

[C] I V_5^6 I V^7 I IV Gr^6 I ii^6 V^7 I

B. Hypothetical ending (closing in A)

22 23 24 25

wie ver - schönt warst von dem Mon - de du, o schöne Na-tur!

[C] I V^6 I V^7 I IV [A] VI vii_3^{o4}/V V i V^7 i

Example 2.21: Recomposition of *Die Sommernacht* (D. 289, second version), mm. 24-25

Strophic Lieder

Some of Schubert's polyfocal Lieder are strophic, therefore providing the listener with numerous hearings of the same musical material. An example of this is Schubert's setting of Franz von Schober's *Genügsamkeit*, D. 143. The protagonist of this poem is delusional and believes he is climbing or approaching mountains, but it turns out there is only flat landscape around him (Example 2.22). The bleak reality in the final stanza, followed by the protagonist's plea to the gods for good fortune, may have inspired Schubert to modulate between the relative keys C# minor and E major; here C# minor seems to represent reality and E major the hope of the protagonist. Schubert's setting is simple enough, as shown in the polyfocal analysis in Example 2.23; there is no tonal allusion, C# minor acts as a pivot between the keys, and the keys have different *Kopftöne* and *Urlinien*.⁴⁶

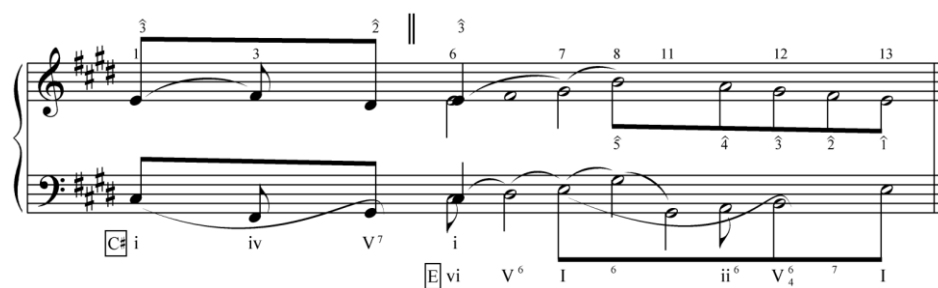
While successive strophic repetitions are usually omitted in reductive analyses, their inclusion proves to be insightful when dealing with polyfocal repertoire.⁴⁷ Example 2.24 provides a polyfocal analysis of all three verses of *Genügsamkeit* as it would be experienced in live performance. This analysis reveals how the repetitions join into a single organic structure; at

„Dort raget ein Berg aus den Wolken her, Ihn erreicht wohl mein eilender Schritt. Doch ragen neue und immer mehr, Fort, da mich der Drang noch durchglüht.“	“There a mountain rises nobly above the clouds; my rapid steps approach it. But new peaks, more and more, tower up as I am inspired to press onwards.”
Es treibt ihn vom schwebenden Rosenlicht Aus dem ruhigen, heitern Azur. Und endlich waren's die Berge nicht, Es war seine Sehnsucht nur.	He is urged on by the shimmering rosy light from the calm, serene azure. But in the end there were no mountains; it was only his longing.
Doch nun wird es ringsum öd' und flach, Und doch kann er nimmer zurück. „O Götter, gebt mir ein Hüttendach Im Tal und ein friedliches Glück!“	All around it is desolate and flat, and yet he can never turn back. “Gods, give me a hut in the valley, and tranquil good fortune!”

Example 2.22: Text and translation of *Genügsamkeit* (*Simple Needs*)

⁴⁶ *Genügsamkeit* is the only two-key song in this entire project that has different *Kopftöne* and *Urlinien*. The only other song in this project that lacks structural parallelisms is *Der Jüngling und der Tod*, D. 545, version one, which will be discussed in Chapter 4.

⁴⁷ Schenker states that “[t]he fundamental structure and the first level know no repeat sign. Therefore, a repeat sign in the foreground must not lead us to misjudge the form.” Schenker, *Free Composition*, 129.



Example 2.23: Polyfocal analysis of *Genügsamkeit*, D. 143

Example 2.24: Polyfocal loop of *Genügsamkeit*, D. 143, caused by strophic repetitions

the end of each strophe, $\hat{1}$ of E major becomes the *Kopftön* of C# minor, as well as providing a common tone between E major and the C# minor. Such an analysis shows how the repetitious form creates an oscillation that is lost in analyses of single strophes. As will be discussed later in this chapter, this point becomes important in strophic Lieder with postludes. In the case of *Genügsamkeit*, the oscillation could continue indefinitely, perhaps a depiction of the unending journey the protagonist is on.

A more complex example of polyfocal form in a strophic Lied is Schubert's setting of Josef Kenner's *Grablied*, D. 218. In *Grablied*, a hero fighting for freedom has been shot and killed, leaving his friends to bury him (Example 2.25). Schubert also juxtaposes relative keys in this song and sets the first couplet as a phrase in A \flat major, opening off-tonic (vi-V $\frac{4}{2}$ -I 6) and ending the phrase in m. 5 with a perfect authentic cadence. He sets the second couplet in F minor, starting with an ambiguous off-tonic opening on the upbeat to m. 6 (III-V $\frac{4}{3}$ -i) and ending with a perfect authentic cadence in m. 10.

Er fiel den Tod fürs Vaterland, Den süßen der Befreiungsschlacht, Wir graben ihn mit treuer Hand, Tief, tief, den schwarzen Ruheschacht.	He met his death for the Fatherland, a sweet death in the battle for freedom. With loyal hands we bury him deep in the dark tomb of peace.
Da schlaf, zerhauenes Gebein! Wo Schmerzen einst gewühlt und Lust, Schlug wild ein tödend Blei hinein Und brach den Trotz der Heldenbrust.	Sleep there, splintered bones! Where sorrows and desires once guarded a deadly bullet struck savagely and broke the hero's resistance.
Da schlaf' gestillt, zerriss'nes Herz, So wunschreich einst, auf Blumen ein, Die wir im veilchenvollen März Dir in die kühle Grube streu'n.	Shattered heart, once so rich in hopes, there may you sleep peacefully upon the flowers which we scatter on your cool grave in March, with its blooming violets.
Ein Hügel hebt sich über dir, Den drückt kein Mal von Marmorstein, Von Rosmarin nur pflanzen wir Ein Pflänzchen auf dem Hügel ein.	There is a mound where you lie, not burdened by any marble plaque, We've planted some rosemary there a small bush on the mound.
Da sprosst und grünt so traurig schön, Von deinem treuen Blut gedüngt, Man sieht zum Grab ein Mädchen geh'n, Das leise Minnelieder singt.	The sprouts and greens are sadly beautiful, fertilized by your loyal blood, We see a girl approach the grave, She sings quiet songs of love,
Die kennt das Grab nicht, weiss es nicht, Wie der sie still und fest geliebt, Der ihr zum Kranz, den sie sich flicht, Den Rosmarin zum Brautkranz gibt.	She does not know the grave, not knowing she was loved by him who lies beneath, To her crest, she weaves the rosemary for her bridal wreath.

Example 2.25: Text and translation of Kenner's *Grablied (Song of the Grave)*⁴⁸

Two interesting features of *Grablied* are visible in Example 2.26, both dealing with areas of dual harmonic function. The first is an analeptic allusion to A \flat major during the final F minor descent in mm. 11-12, involving the progression A \flat -A o7 -B \flat (I-vii o7 /ii-ii in A \flat major, bracketed in the analysis). These three chords first appear in mm. 2-3 in the context of A \flat major and lead to a cadence in that key. They also have the same metrical placement in both instances. Since the allusion in the postlude is nearly identical to the original occurrence in mm. 2-3, Schubert could easily have continued the final progression in the same manner as mm. 4-5 to end the song in A \flat major. Such an ending could suggest that the hero and/or his friends eventually find peace. Unfortunately for everyone involved, the evocation of A \flat major is short lived and the postlude ends in F minor, reinforcing the still-painful memory of the lost hero.

⁴⁸ Wigmore only provides a translation of the first three stanzas. The translation of the final three stanzas are my own.

The other feature involving dual functioning chords in *Grablied* is created by the off-tonic openings. The Lied begins in A \flat major with an off-tonic opening on vi (i.e. F minor).⁴⁹ The second phrase also begins off-tonic, but on III in F minor (A \flat major). By reinterpreting each tonic as an off-tonic opening that leads to the other key, and maintaining C⁵ as a common *Kopftön* between the keys, Schubert has constructed a song that could continue oscillating between A \flat major and F minor forever (Example 2.27). Perhaps in this case, the revolving form represents the circle of life present in *Grablied*: the seasons continue to change as the soldier turns into earth, spurring new life in nature.

Chord symbols for Example 2.26:

System 1 (Measures 1-5): A \flat vi V I⁶₃ ii V⁶₄ ⁷ I

System 2 (Measures 6-13): III V⁴₃ i vii^{o7} i iv V⁶₄ ⁷ i I ii iv V⁶₄ ⁵₃ i

Example 2.26: Polyfocal analysis of *Grablied*, D. 218

Chord symbols for Example 2.27:

Verse 1: A \flat vi V I

Verse 2: III V⁴₃ i

Verse 3: vi V I

Pattern repeats: III V⁴₃ i, vi V I, III V⁴₃ i, vi V I

Example 2.27: Polyfocal loop of *Grablied*, D. 218, caused by strophic repetitions

⁴⁹ Schubert wrote only a handful of polyfocal songs that begin with the final tonic as an off-tonic opening. In addition to *Grablied* (D. 218), there is *Verklärung* (D. 59), *Meeres Stille* (D. 216, both versions), *Stimme der Liebe* (D. 412), *An den Tod* (D. 518), and *Grab und Mond* (D. 893, a partsong). With the exception of *Grablied*, all of these have a wondering quality to their tonal schemes,

Oscillation and Strophic Form

The final two Lieder to be discussed in this chapter combine oscillating structures with strophic form in a more integral manner; each strophe includes within itself tonal oscillation. Schubert's setting of Albert Stadler's *Lieb Minna* (D. 222) shares many of the characteristics of *Erster Verlust*: both Lieder share the topic of a lost love (Example 2.28), both have similar polyfocal structures that oscillate between tonicizations of F minor and A \flat major to capture the

<p>„Schwüler Hauch weht mir herüber, Welkt die Blum' an meiner Brust. Ach, wo weilst du, Wilhelm, Lieber? Meiner Seele süsse Lust! Ewig Weinen, Nie Erscheinen! Schläfst wohl schon im kühlen Schoosse, Denkst auch mein noch unterm Moose?“</p> <p>Minna weinet, es verflogen Mählig Wang- und Lippenrot. Wilhelm war hinausgezogen Mit den Reihn zum Schlachtentod. Von der Stunde Keine Kunde! Schläfst wohl längst im kühlen Schoosse, Denkst dein Minna, unterm Moose.</p> <p>Liebchen sitzt im stillen Harne, Sieht die gold'nen Sternlein ziehn, Und der Mond schaut auf die Arme Mit leidsvollen Blickes hin. Horch, da wehen Aus den Höhen Abendlüftchen ihr herüber: Dort am Felsen hart dein Lieber.</p> <p>Minna eilt im Mondenflimmer Bleich und ahnend durch die Flur, Findet ihren Wilhelm nimmer, Findet seinen Hügel nur. „Bin bald drüben Bei dir Lieben, Sagst mir aus dem kühlen Schoosse: 'Denk' dein, Minna, unterm Moose.“</p> <p>Und viel tausend Blümchen steigen Freundlich aus dem Grab herauf. Minna kennt die Liebeszeugen, Bettet sich ein Plätzchen drauf. „Bin gleich drüben Bei dir Lieben!“ Legt sich auf die Blümchen nieder Findet ihren Wilhelm wieder.</p>	<p>'A sultry breeze wafts across to me, the flower at my breast withers. Ah, where do you linger, Wilhelm dearest, my soul's sweet delight? I weep eternally, you never appear! Perhaps you already sleep in the earth's cool womb; do you still think of me beneath the moss?'</p> <p>Minna wept; gradually the crimson drained from her cheeks and lips. Wilhelm had departed with the ranks to death in battle. From that hour there was no news. Your Minna thinks: perhaps you have long been sleeping beneath the cool moss.</p> <p>The sweet maiden sits in silent grief, watching the motion of the golden stars, and the moon looks upon the poor creature with compassionate gaze. Hark, evening breezes waft across her from the heights: your beloved is waiting there by the cliff.</p> <p>Pale and filled with foreboding, Minna hastens across the meadows in the shimmering moonlight. But she does not find her Wilhelm; she finds only his grave. 'Soon I shall be there with you, beloved, if from the cool womb you tell me: 'I am thinking of you, Minna, beneath the moss.' '</p> <p>And many thousands of flowers spring tenderly from the grave. Minna understands this testimony of love, and makes a little bed upon them. 'Very soon I shall be there with you, beloved!' She lies down upon the flowers and finds her Wilhelm again.</p>
--	--

Example 2.28: Text and translation of Stadler's *Lieb Minna* (*Darling Minna*)

Example 2.29: Polyfocal analysis of *Lieb Minna*, D. 222

fluctuating voice and mood of the text, and both have dominant transformations (that of *Lieb Minna* acts like it is shifting back to F minor from A \flat major in m. 10 and 24, but continues in A \flat anyway).⁵⁰ The strophic form of *Lieb Minna* sets it apart from *Erster Verlust* and presents an intriguing situation.

Of special note in *Lieb Minna* is that the first strophe ends differently than the remaining four strophes (Example 2.29). Both endings are preceded by a two-measure statement in A \flat major; the first strophe closes with a half cadence in F minor, the second with a full cadence in A \flat major. If the song were simply strophic, set entirely to the music of the first strophe, it would be possible to hear *Lieb Minna* in F minor with mediant tonicizations; the strophe's inconclusive ending on V of F minor, however, demands continuation. Normatively, this would take the form of a second strophe ending with i:PAC in F minor.

The second strophe actually ends with I: PAC in A \flat major and is repeated four times, complicating a monotonal reading in F minor. After hearing the repeated cadences in A \flat major, the listener would probably predict that the song will end in the optimistic A \flat , therefore

⁵⁰ This portion of 1815 appears to have been an experimental time for Schubert. *Lieb Minna* and *Erster Verlust* were completed on July 2nd and 5th respectively. *Grablied*, D. 218, with the same F minor/A \flat major key relation, was composed about a week before, on June 24th. Two other polyfocal Lieder that were composed within the same month span and will be discussed later include *Meeres Stille* (D. 216, June 20th) and *Kolmas Klage* (D. 217, June 22nd). F minor and A \flat major also play a large role in *Kolmas Klage*, which will be discussed in Chapter 3.

perceiving F minor as an off-tonic opening in A \flat major. Following the final verse, however, there is a surprising two-measure postlude in F minor, just as in *Erster Verlust*, forcing the listener to reconsider the role of both keys for a third time.

Schubert's setting of Mayrhofer's *Der Hirt*, D. 490, also has an oscillating structure with strophic form, but he includes an introduction that plays a surprisingly important role. In *Der Hirt*, a shepherd is grieving over an unrequited love (Example 2.30). All the while, he can see the bell-tower of his beloved's town in the distance, continually reminding him of her. Although the poem does not include a dramatic change that would make a polyfocal setting an obvious compositional choice, Schubert nevertheless decided to set it polyfocally.

As with many of Schubert's Lieder, e.g. *Freiwilliges Versinken*, he lays out the tonal "problem" in the introduction of *Der Hirt* and expands on it during the rest of the song. In the case of *Der Hirt*, the introduction begins with three measures of D minor, followed by two measures of F major. Just as the voice enters in m. 6, D minor suddenly reappears, but only briefly and as an off-tonic opening leading to F major; an authentic cadence occurs in the latter key in m. 11. Since the introduction and first phrase end in F major, a diachronic assumption would be that the song will end in that key as well.

Du Turm! zu meinem Leide Ragst du so hoch empor, Und mahnest grausam immer An das, was ich verlor.	Bell-tower, to my grief you soar so high, and forever remind me cruelly of what I have lost.
Sie hängt an einem Andern, Und wohnt im Weiler dort. Mein armes Herz verblutet, Vom schärfsten Pfeil durchbohrt.	She is devoted to another, and lives in the hamlet there. My poor heart bleeds, pierced by the sharpest arrow.
In ihren schönen Augen War keiner Untreu Spur, Ich sah der Liebe Himmel, Der Anmut Spiegel nur.	In her beautiful eyes there was no trace of faithlessness, I saw in them only heavenly love, the mirror of grace.
Wohin ich mich nun wende – Der Turm er folget mir; O sag' er, statt der Stunden, Was mich vernichtet, ihr!	Now wherever I turn the bell-tower follows me. Would that, instead of telling the hours, it told her what is destroying me.

Example 2.30: Text and translation of Mayrhofer's *Der Hirt* (*The Shepherd*)

This assumption is placed into doubt by the D minor authentic cadence at the end of each strophe, presenting an opportunity to read *Der Hirt* synchronically in D minor. Also reinforcing a D minor reading is a prolongation of G minor extending from mm. 14-18 (after a half cadence in F major in m. 13) that could be heard as a hidden repetition of the overall form (compare Examples 2.31 and 2.32, both of which open with an interruption, followed by prolongation of their mediant and a return to “tonic”).⁵¹ On a deeper level, the prolongation of G minor acts as a pre-dominant to either D or F. Prior to the arrival of any definitive dominant, Schubert includes an ambiguous span of bare octaves (from the end of m. 18 through the beginning of m. 20) that also functions in either key; if the pitches are taken to imply a root position chord, then it could be ii^o in D minor (prolonging the pre-dominant function) or vii^o in F major (anticipating a possible root position dominant). The octaves do not, however, lead to F major, but to D minor. Even so, mm. 20-21 can easily be recomposed to end in F major (Example 2.33).

Example 2.31: G minor prolongation in *Der Hirt*, D. 490

Example 2.32: D minor synchronic analysis of *Der Hirt*, D. 490
(excluding the repetition of the introduction)

⁵¹ The prolongation of G minor contains the only dominant transformation in *Der Hirt* (mm. 15-16).

A. Original ending (closing in D)

an das, was ich ver - lor.

[D] iv ii° 6 V 7 i

B. Hypothetical ending (closing in F)

an das, was ich ver - lor.

[F] ii vii° (or V₅⁶) 6 V₇ 7 I (I)

Example 2.33: Recomposition of *Der Hirt* (D. 490), mm. 20-21

If, as the diachronic listener might suspect, the Lied were to end with the strophe in m. 21, then F major is simply a mediant tonicization that prolongs the D minor tonic (as in Example 2.32). Because the introduction to *Der Hirt* is repeated once more after the strophes are completed, the Lied unexpectedly ends in F major. The surprising return of the opening frame forces the listener to re-evaluate the tonal structure of the Lied: F major now succeeds diachronically with D minor acting as an off-tonic opening. A polyfocal analysis, as in Example 2.34, is doubly appropriate since the tonality of this Lied has to be reconsidered on two occasions (after the first strophe is completed and then after the final repetition of the introduction).

Like the other strophic songs in this chapter, a polyfocal analysis of the repeated verses in *Der Hirt* emphasizes its circular form (Example 2.35). The verses flow smoothly from one to the other due to the repeated introduction. Additionally, a series of overlapping interruptions (bracketed in the Roman-numeral analysis) help to create a structure in which the oscillating keys are completely intertwined with one another.⁵² This analysis is congruent with the sense of the poem: the introduction, with its bare octaves and registral separation from the rest of the Lied, may represent the tall bell-tower; just as the shepherd can never escape the view of the tower, the recurring introduction is ever present, continually reminding him of the love he cannot have. The protagonist is ultimately caught in a never-ending cycle of pain provided by the bell-tower, and is aptly represented by Schubert's oscillation of F major/D minor.

Example 2.34: Polyfocal analysis of *Der Hirt*, D. 490
(the dotted line signifies where the repeat sign occurs)

Example 2.35: Circular polyfocal structure of *Der Hirt*, D. 490

⁵² One might think this form to be unique among Schubert's *Lieder*, but he uses a strikingly similar structure in a much later setting of Karl Gottfried von Leitner's *Der Wallensteiner Lanzknecht beim Trunk*, D. 931. Perhaps the circular form is used in D. 931 to portray the drunkenness of the protagonist.

CHAPTER 3: FORMS WITH THREE OR MORE KEYS

3-key Structures

Schubert wrote slightly more Lieder with three or more keys than he did Lieder with only two keys.⁵³ This chapter examines songs with at least three structurally coequal keys. As will be discussed, the inclusion of additional keys allows more structural possibilities than found in the two-key structures in Chapter 2. In the graphic analyses that follow, differently-shaped noteheads will be implemented to allow each key to retain its identity to cope with the growing number of keys.

Schubert's first setting of Josef von Spaun's *Der Jüngling und der Tod*, D. 545, is an example of a polyfocal structure with three coequal keys.⁵⁴ The poem is a dialogue between the two characters of the title: a youth and Death (Example 3.1). The youth longs to escape from the torments of this world and pleads for Death's touch. Death takes pity on the youth and grants him gentle death. Schubert sets the youth's initial plea in E major (mm. 1-18), but the entrance of the voice is preceded by a four-measure introduction in C# minor, creating an off-tonic opening in E major. Projecting the questioning nature of the youth's plea, Schubert closes the C# minor introduction with a half cadence. In fact, Schubert never allows a complete structural descent to occur during the entire section of the youth's plea (mm. 1-26), as shown in the polyfocal analysis in Example 3.2A.

In m. 19, Schubert's parallel shift from E major to E minor coincides with the youth seeing the skeletal face of Death. Rather than becoming frightened, the youth welcomes Death's touch as a means of reaching the land of dreams. Schubert reflects this morbid tranquility by making a relative shift from E minor to G major. During the prolongation of G major,

⁵³ For a list of the songs in each category, refer to Appendix A.

⁵⁴ Schubert composed the first version of D. 545 in March of 1817 and revised it later that month, changing the tonal structure. His revision will be discussed in Chapter 4.

<p><i>Der Jüngling:</i> Die Sonne sinkt, o könnt ich mit ihr scheiden, Mit ihrem letzten Strahl entfliehn, Ach diese namenlosen Qualen meiden, Und weit in schön're Welten ziehn!</p> <p>O komme Tod, und löse diese Bande! Ich lächle dir, o Knochenmann, Entführe mich leicht in geträumte Lande, O komm und rühre mich doch an.</p> <p><i>Der Tod:</i> Es ruht sich kühl und sanft in meinem Armen, Du rufst! Ich will mich deiner Qual erbarmen.</p>	<p><i>The Youth:</i> The sun is sinking; O that I might depart with it, Flee with its last ray: Escape these nameless torments, And journey far away to fairer worlds!</p> <p>O come, death, and loose these bonds! I smile upon you, skeleton; Lead me gently to the land of dreams! O come and touch me, come!</p> <p><i>Death:</i> In my arms you will find cool, gentle rest; You call, I will take pity on your suffering.</p>
---	--

A. Polyfocal analysis

[illegible]

58

Death's entrance in m. 27 provokes a parallel shift from G major to G minor, similar to the parallel shift in m. 19, where the youth addresses Death. In the same manner, Schubert makes a relative shift from Death's key of G minor to the "gentler" key of B \flat major (shown with diamond noteheads) when Death takes pity on the youth in m. 31, comparable to the relative shift from E minor to G major during the youth's initial view of Death. With the final relative shift from G minor to B \flat major, Schubert's tonal scheme is revealed as a sequence of off-tonic openings (Example 3.2B). The major keys are the structural keys of the song; the minor prolongations serve as off-tonic openings to the major keys. Through this sequential process, the youth travels a tritone away from the opening E major to the closing B \flat major—nearly as far as one can move in a tonal context—the distance between the two keys evoking the distance between life and death.⁵⁵

Schubert's setting of Henrich Hüttenbrenner's *Der Jüngling auf dem Hügel*, D. 702, also has a three-key structure, but presents a more complex case of tonal allusion than in *Der Jüngling und der Tod*. The poem begins with the lament of a youth who, after a single stanza of sorrow, begins thinking of his pastoral surroundings (Example 3.3). He returns to his lament during the fourth stanza; in the fifth, the pastoral images are replaced with the sound of a funeral bell in the distant village. It is not revealed until the end of the sixth stanza that the youth is lamenting his lost love, Rose, whose burial he witnesses in the seventh stanza. In the final two stanzas, the young man comes to terms with his loss, ceases to lament, and becomes hopeful that they will be reunited in Heaven.

⁵⁵ The tritone relationship, as well as other remote relationships, will be discussed in Chapter 4. The tritone also plays an important role in the youth's vocal line. The most noticeable of these occur during the only two fermatas in the song, mm. 9 (D⁵ to G^{#4}) and 23 (E \flat ⁵ to A⁴). The first takes place as the youth desires to flee with the sinking sun and the second during the youth's final plea to Death. Other instances of the tritone in the vocal line can be found in mm. 8 (F \sharp ⁴ to B \sharp ⁴), 9 (E⁵ to A \sharp ⁴), and an outline of a tritone from F⁵ in m. 21 to B⁴ in m. 22.

Ein Jüngling auf dem Hügel Mit seinem Kummer saß, Wohl ward der Augen Spiegel Ihm trüb' und tränennaß.	A youth sat on the hill with his sorrow; his eyes grew dim and moist with tears
Sah frohe Lämmer spielen Am grünen Felsenhang, Sah frohe Bächlein quillen Das bunte Tal entlang;	He watched lambs gamboling happily on the green hillside, and brooks rippling merrily through the bright valley.
Die Schmetterlinge sogen Am roten Blütenmund, Wie Morgenträume flogen Die Wolken in dem Rund;	Butterflies sipped at the red mouth of the flowers; clouds scudded about like morning dreams.
Und Alles war so munter, Und Alles schwamm in Glück, Nur in sein Herz hinunter Sah nicht der Freude Blick.	And everything was so cheerful, bathed in happiness; his heart alone was untouched by the light of joy.
Ach, dumpfes Grabgeläute Im Dorfe nun erklang, Schon tönte aus der Weite Ein klagender Gesang;	Ah, just now the muffled death-knell sounded in the village, and in the distance a mournful song echoed.
Sah nun die Lichter scheinen, Den schwarzen Leichenzug, Fing bitter an zu weinen, Weil man sein Röschen trug.	Then he saw the lights shining, and the black cortege; he began to weep bitterly, for they were bearing his little Rose.
Jetzt ließ den Sarg man nieder, Der Totengräber kam, Und gab der Erde wieder, Was Gott aus selber nahm.	Then they lowered the coffin; the gravedigger came and restored to the earth what God once took from it.
Da schwieg des Jünglings Klage, Und betend ward sein Blick, Sah schon am schönem Tage Des Wiedersehens Glück.	Then the youth ceased lamenting, and his eyes were fixed in prayer; already he saw that fair day when they would be reunited in joy.
Und wie die Sterne kamen, Der Mond heraufgeschifft, Da las er in den Sternen Der Hoffnung hohe Schrift.	And as the stars came out and the moon sailed heavenwards, he read in those stars high above a message of hope.

Example 3.3: Text and translation of Henrich Hüttenbrenner's *Der Jüngling auf dem Hügel*
(*A Youth on the Hill*)

Schubert begins his setting in E minor and ends in the relative major of G. Rather than simply oscillating between the relative keys to coincide with the youth's mood changes, Schubert mediates between E and G with C major, introducing their own parallel modes as well. As in many of Schubert's introductions, he synthesizes the tonal problems of the Lied within the first

A. Polyfocal analysis

Strophe 1

1 2 7 8 9 11 15 17 21 28 29 34 41 42 46 47 49 57 58 63 64 67 70 84 85

$\boxed{E} i$ $\overset{6}{}$ $III i$ $V i$ $\boxed{C} I$ $V^7 I$ $V i$ $V i$ V_s^6 i $V_3^4 i$ $V i$

$\boxed{G} V_5^6 I$ $V_4^{6,7} I$

B. Incomplete arpeggiation of E

$\boxed{E} i$ "III"

C. Incomplete arpeggiation of C

\boxed{C} "iii" I "V"

Example 3.4: Analyses of *Der Jüngling auf dem Hügel*, D. 702

ten measures.⁵⁶ The progression i (E minor)– VI (C major)– i^6 in mm. 1-4 produces a bass line, E–C–G, that hints at the overall tonal structure of the Lied. The same bass line occurs in m. 10 with a reharmonization of the bass note G as an actual G major triad, overtly foreshadowing the Lied's complete structure.

A polyfocal graph of D. 702 reveals that G major is foreshadowed throughout the passages governed by the other keys, a technique of proleptic allusion not encountered yet (Example 3.4A). G major is tonicized during mm. 15-16 of the E minor area and mm. 28-29 of

⁵⁶ Examples of this phenomenon previously discussed in this project include *Die Sommernacht* (D. 289), *Der Hirt* (D. 490), and *Freiwilliges Versinken* (D. 700). Another example is *Leichenfantasie* (D. 7), the final song in this chapter.

the C major area.⁵⁷ The first allusion occurs when the youth's eyes are mentioned, and the second when the youth sees the bright valleys during the pastoral imagery set in C major. Both of these allusions foretell of the coming hope (set in G major) that overcomes the youth during the final two strophes, after the disheartening scene (set in G minor) of his beloved Rose's burial.

During the G minor area (mm.49-68), the climax of D. 702 occurs when the youth reveals that it is his Rose being buried. As seen in the polyfocal analysis, this is a moment of great tension between all of the keys involved: in m. 57, V₅ and vii^{o6} of C resolve in m. 58 to a chord whose bass note, C, is a member of a fully diminished seventh that can resolve to either E or G, rather than a C triad. The C^{o7} chord coincides with the dynamic climax of the piece; the loudest chord in a song that is mostly piano or pianissimo. A resolution to E or G is also delayed as a span of F# minor is prolonged in mm.59-62. From this point, Schubert could go to any of the three keys through chromatic voice leading by reinterpreting F# minor as the ii^o of E, vii^{o7} of the dominant of C, or vii^{o7} or V₅ of G. As it turns out, Schubert returns the youth to the lamenting key of G minor by leading F# minor to V of G in m. 62. The tonal confusion of the passage seems to reflect how the youth is momentarily separated from reality by his complete and utter despair.

When three or more keys are present in a structure, there is a possibility that the overall progression of keys may create an arpeggiation. In D. 702, incomplete arpeggiations of E and C are present: in terms of E minor, the final G major section can be considered as III in an arpeggiation to V, the latter of which never appears (Example 3.4B); similarly, in terms of C major, all of the keys create the pattern iii-I-V (E-C-G, Example 3.4C). Interpreting the song as an E minor arpeggiation is questionable since it suggests a return to E minor, which would contradict the hopeful ending. The C major interpretation is more acceptable because all of the

⁵⁷ Brief G major allusions also occur in mm. 8 and 12, but are not shown in the graph.

keys contribute to a major arpeggiation that ends on its dominant, a fitting way to portray an optimistic outlook for the future. As will be shown in the next section of this project, arpeggiations can play an important role in understanding songs with more than two keys.

4-key Structures

In contrast to *Der Jüngling auf dem Hügel*, Schubert's setting of Goethe's *Ganymed* (D. 544) has no tonal allusion, but does have a complicated tonal scheme that can be interpreted in a number of ways, including as a four-key structure. The poem presents Ganymede's description of his rapture amongst nature as well as his ascent to the gods that is provided by Zeus (Example 3.5). What must have suggested the choice of a polyfocal strategy to Schubert is the poem's transcendental disposition: as Lawrence Kramer and others have stated, the poem enacts the

Original 3 Stanzas	Schubert's Division	
<p>Wie im Morgenglanze Du rings mich anglühst, Frühling, Geliebter! Mit tausendfacher Liebeswonne Sich an mein Herz drängt Deiner ewigen Wärme Heilig Gefühl, Unendliche Schöne! Daß ich dich fassen möcht' In diesen Arm!</p> <p>Ach, an deinem Busen Lieg' ich, schmachte, Und deine Blumen, dein Gras Drängen sich an mein Herz. Du kühlst den brennenden Durst meines Busens, Lieblicher Morgenwind! Ruft drein die Nachtigall Liebend nach mir aus dem Nebelthal. Ich komm', ich komme! Ach wohin, wohin?</p> <p>Hinauf! strebt's Hinauf! Es schweben die Wolken Abwärts, die Wolken Neigen sich der sehnenen Liebe. Mir! Mir! In eurem Schosse Aufwärts! Umfangend umfassen! Aufwärts an deinen Busen, Allliebender Vater!</p>	<p>Wie im Morgenglanze Du rings mich anglühst, Frühling, Geliebter! Mit tausendfacher Liebeswonne Sich an mein Herz drängt Deiner ewigen Wärme Heilig Gefühl, Unendliche Schöne! Daß ich dich fassen möcht' In diesen Arm!</p> <p>Ach, an deinem Busen Lieg' ich, schmachte, Und deine Blumen, dein Gras Drängen sich an mein Herz.</p> <p>Du kühlst den brennenden Durst meines Busens, Lieblicher Morgenwind! Ruft drein die Nachtigall Liebend nach mir aus dem Nebelthal. Ich komm', ich komme! Ach wohin, wohin?</p> <p>Hinauf! strebt's Hinauf! Es schweben die Wolken Abwärts, die Wolken Neigen sich der sehnenen Liebe. Mir! Mir! In eurem Schosse Aufwärts! Umfangend umfassen! Aufwärts an deinen Busen, Allliebender Vater!</p>	<p>How your glow envelops me in the morning radiance, spring, my beloved! With love's thousandfold joy the hallowed sensation of your eternal warmth floods my heart,</p> <p>infinite beauty! O that I might clasp you in my arms! Ah, on your breast I lie languishing, and your flowers, your grass press close to my heart.</p> <p>You cool the burning thirst within my breast, sweet morning breeze, as the nightingale calls tenderly to me from the misty valley. I come, I come! But wither? Ah, whither?</p> <p>Upwards! Strive upwards! The clouds drift down, yielding to yearning love, to me, to me! In your lap, upwards, embracing and embraced! Upwards to your bosom, all-loving Father!</p>

Example 3.5: Text and translation of Goethe's *Ganymed* (*Ganymede*)

youthful Ganymede's departure from the earthly, archetypically feminine delights of Nature and his arrival in the heavenly embrace of the All-Loving Father, Jupiter. Example 3.6 presents summaries of a variety of published analyses on *Ganymed*. As will be discussed, my polyfocal analysis shares many of the same points with these analyses, but it also introduces new ideas.

Having decided to set this poem with multiple keys, it might have been logical for Schubert to set each of the three stanzas in its own key. Schubert avoids this predictable plan and creates four distinct sections with their own apparent keys; the combination of changing accompanimental patterns and key signatures mark the sections. If *Ganymed* is analyzed as having four keys, similar to Kramer's analysis, then the tonal plan is G[#]-B-E-F (Example 3.7B, note that A^b and C^b are spelled enharmonically as G[#] and B in the analysis).

Like Kramer's analysis, this four-key scheme reveals a sequence that closely follows Ganymede's transcendence and initially resembles the sequence found in the first version of *Der Jüngling und der Tod* (compare Example 3.2A with Example 3.7A). As he does in *Der Jüngling und der Tod* (first version), Schubert begins a sequence of off-tonic openings in *Ganymed* but abandons it as the song's title character begins his heavenly ascent. The sequence in mm. 1-46

Author	Key Scheme	Interpretation
Kramer (1988)	A ^b -C ^b -A-F	I-III / III-I
Jackson (2006)	A ^b -(C)-F	^b III-V-I
Clark (2002)	A ^b -F	^b III-I or I-VI
Krebs (1981)	A ^b -C ^b -E-F	A ^b : I- ^b III- ^b VI, then F: I
Damschroder (2010)	A ^b -F ^b -G ^{bb}	A ^b : I- ^b III or F ^b : III-I, then G ^{bb} : I

Example 3.6: Summaries of published analyses of *Ganymed*, D. 544⁵⁸

⁵⁸ Lawrence Kramer, *Franz Schubert: Sexuality, Subjectivity, Song* (New York: Cambridge University Press, 1998), 118-128. Timothy Jackson, "Hinauf strebt's: Song Study with Carl Schachter," in *Structure and Meaning in Tonal Music: Festschrift in Honor of Carl Schachter*, ed. L. Poundie Burstein and David Gagné, 192-194 (Hillsdale: Pendragon Press, 2006). Suzannah Clark, "Schubert, Theory and Analysis," *Music Analysis* 21/2 (2002): 229-238. Krebs, "Alternatives to Monotonicity in Early Nineteenth-Century Music," *Journal of Music Theory* 25/1 (Spring 1981): 6-9. David Damschroder, *Harmony in Schubert* (New York: Cambridge University Press, 2010), 135-148.

The image shows a musical score for 'The Rose Tree' in G major. The score is divided into two systems. The first system (measures 1-31) shows a progression from C# (I) to B (vi) to I. The second system (measures 56-75) shows a progression from E (I) to G (vi) to I. A large 'X' is drawn over the second system, indicating it is to be discarded. An arrow points from the first system to the second system.

65

D. Monotonal analysis

Example 3.7 (Continued): Analyses of *Ganymed*, D. 544

consists of a parallel shift (from a major key) followed by a relative shift: G# major–G# minor–B major. Schubert seems to start the process again in the next section with E major, even shifting to the parallel minor in m. 70. Schubert could have easily continued the progression to G major, resulting in E major–E minor–G major, but instead ascends a half step to F major for the final key. The interpretation of the key scheme as an unexpectedly broken sequence seems more congruent with Ganymede’s unworldly ascent than Kramer’s reading of the song as a completed tonal process. The same sequence appears in *Orest auf Tauris* (D. 548), and is completed without interruption (as discussed below).

Krebs and Damschroder both agree that E is prolonged in the third section of *Ganymed*, but they analyze its overall function in different ways. Krebs hears *Ganymed* as a two-key piece with A \flat as tonic through m. 74 and the remainder in F.⁵⁹ A \flat then acts as I, C \flat as an arpeggiation to \flat III, and E as an enharmonic \flat VI that fails to resolve down a half step to V (E \flat), instead ascending chromatically to F. Krebs’s interpretation of the song as an incomplete tonal progression is similar to my abandoned sequence reading; a process is started and is never completed due to the unexpected appearance of F, capturing the suddenness of Ganymede’s departure from Earthly life.

⁵⁹ Krebs, *Alternatives to Monotonicity*, 6-9.

Damschroder also places E in an A \flat scheme by respelling it as F \flat , however, he analyzes mm. 1-56 as a fifths sequence bounded by A \flat and F \flat (A \flat -D \flat -G \flat -C \flat -F \flat).⁶⁰ Damschroder initially points to A \flat as tonic, but ultimately concludes that the ambiguity inherent in a sequence of this sort leaves either A \flat or F \flat as a viable tonic before the song concludes in F.⁶¹ To further emphasize the otherworldliness of the final tonic, Damschroder respells F as G $\flat\flat$ in order to continue the sequential increasing number of flats to the point that it is an impossibility on Earth (Example 3.8).

Example 3.8: Damschroder's analysis of *Ganymed*, D. 544⁶²

Damschroder raises, but does not explore, the important possibility that F \flat (E) can be considered a tonic. If E major is the goal of the first three sections, then a complete arpeggiation of E unfolds over the first two sections, given the enharmonic spelling of A \flat as G \sharp (III) and C \flat as B (V). This is shown in the alternative polyfocal analysis in Example 3.7C (E is given round black noteheads, G is round white noteheads, and F is still white diamonds). This reading is supported by a hidden repetition that occurs during the prolongation of E: G \sharp (I 6) in m. 50, B (V 7) in m. 52, and E (I) in m. 56. The E major arpeggio has an effect similar to Damschroder's fifths sequence, but the arrival of the uprooting F seems more intense and unexpected after such a

⁶⁰ Damschroder, *Harmony in Schubert*, 136-137.

⁶¹ Ibid., 136.

⁶² Damschroder, *Harmony in Schubert*, 137 and 140, respectively.

long-term, goal-directed arpeggiation to E.⁶³ By comparison, Damschroder's sequence reflects ambiguity and could potentially end in any key, even reaching F if the sequence were continued long enough.

But what about Krebs's A \flat –F analysis? Is it made obsolete by the E–F reading? I believe the relationship of Krebs's analysis to the text is worth more consideration than Krebs gives it himself. The E–F interpretation gives the impression of a straightforward narrative trajectory from the beauties of nature to blissful heavenly euphoria, but the story's downside—the fact that Ganymede is being stripped of his Earthly life and torn from his friends and family—remains in the background. Krebs's interpretation highlights this underlying tragedy with an A \flat minor arpeggiation: A \flat (I)–C \flat (\flat III)–F \flat (\flat VI). Reinforcing the underlying sadness, Schubert includes D \flat (\flat 6 of F) during the continually ascending piano postlude. The seemingly out-of-place D \flat s, which function as chromatic upper neighbors to the piano's inner voice Cs in mm. 117 and 119, make perfect sense as analeptic allusions to the A \flat minor arpeggiation: while being carried away to Zeus, Ganymede glances back to Earth and feels the pang of separation. Additionally, F ($\hat{1}$)–D \flat (\flat 6) reinforces the reading of A \flat (I)–F \flat (\flat VI) as well as D \flat (\flat 6)–C ($\hat{5}$) completing the intended resolution that Krebs suggests should have followed F \flat .

Rather than reject the A \flat –F or E–F reading in favor of the other, both can be included in a polyfocal analysis to produce an illuminating graph of the song. The double noteheads in Example 3.7C visually project the duality between the E major arpeggiation and the incomplete A \flat minor progression. The E major arpeggiation suggests the rapture of Ganymede while the A \flat minor progression draws attention to his underlying sadness. Both processes are interrupted by F major, which also takes on a dualistic role: it gently refers back to the opening A \flat while at the

⁶³ The same relationship and representation of distance can be found in *Orest* (D. 548, to be discussed below) and in the second version of *Der Jüngling und der Tod* (D. 545, to be discussed in the following chapter); the latter even includes a shift from E major to F major.

same time being an enormous tonal distance away from E major. This analysis begs a question: is a three-key or four-key analysis of *Ganymed* of greater value, or are they both valid? I prefer the poetic elegance of the three-key interpretation, but the four-key analysis accurately depicts the experience of hearing the four distinct sections and keys. Since the four-key analysis reveals the interesting sequential break that the three-key analysis omits, both graphs remain pertinent and are worth consideration.

Compare both polyfocal analyses of *Ganymed* to the bazaar and uninformative monotonal analysis in Example 3.7D. When F major is the only focus, nearly everything before the dominant in m. 71 has to be either disregarded (under the guise of voice-leading) or manipulated to such an extent that it no longer resembles the true experience of the song. According to the monotonal analysis, a sequence spans mm. 1-43, beginning on the major chromatic mediant of F and ending on the Neapolitan (which acts as a neighbor to the surrounding A \flat harmonies). This sequence serves to prolong the mediant harmony, which is reharmonized upon its return in m. 50 due to 5-6 technique. The now strangely spelled A \flat sonority unfolds to the dominant of F in m. 71, the former acting as the upper third of the latter. While the III-V-I progression seems normative, it distorts all of the non-F material to fit a single minded goal, suggesting that Ganymede's fate was obvious from the beginning of the song.

Schubert's setting of Mayrhofer's *Orest auf Tauris* (D. 548) is strikingly similar in structure to *Ganymed*, but with more complex relationships between the keys. Orestes and Ganymede have a common fate of living in exile from their homeland (Example 3.9).

Unfortunately for Orestes, his story is grimmer than Ganymede's.⁶⁴ Orestes's father (King

⁶⁴ There are different myths describing Orestes's adventures. Mayrhofer appears to use Aeschylus's account, and that is the story line summarized here. See Aeschylus, *The Oresteia: Agamemnon; The Libation Bearers; The Eumenides*, trans. Robert Fagles (New York: Penguin Group Inc, 1984).

<p>Ist dies Tauris, wo der Eumeniden Wut zu stillen Pythia versprach? Weh! die Schwestern mit den Schlangenhaaren Folgen mir vom Land der Griechen nach.</p> <p>Rauhes Eiland, kündest keinen Segen: Nirgends sproßt der Ceres milde Frucht; Keine Reben blüh'n, der Lüfte Sänger, Wie die Schiffe, meiden diese Bucht.</p> <p>Steine fügt die Kunst nicht zu Gebäuden, Zelte spannt des Skythen Armut sich; Unter starren Felsen, rauhen Wäldern Ist das Leben einsam, schauerlich!</p> <p>„Und hier soll,“ so ist ja doch ergangen An den Flehenden der heilige Spruch, „Eine hohe Priesterin Dianens Lösen meinen und der Väter Fluch.“</p>	<p>Is this Tauris, where Pythia promised to appease the anger of the Eumenides? Alas, the snake-haired sisters pursue me from the land of the Greeks.</p> <p>Bleak island, you announce no blessing: nowhere does Ceres' tender fruit grow: no vines bloom; the singers of the air, like the ships, shun this bay.</p> <p>Art does not fashion these stones into buildings; in their poverty the Scythians erect only tents. Amid harsh rocks and wild forests life is lonely and frightening.</p> <p>'And here,' according to the sacred decree revealed to the suppliant, 'a high priestess of Diana is to lift the curse on me and my fathers.'</p>
--	--

Example 3.9: Text and translation of Mayrhofer's *Orest auf Tauris* (*Orestes on Tauris*)

Agamemnon) is forced to sacrifice Orestes's sister (Iphigenia) to the gods for favorable winds in the Trojan wars. Upon returning victoriously, Orestes's mother (Clytemnestra) murders his father as retribution for murdering their daughter and Orestes in turn murders his mother. Apollo orders Orestes to flee to Tauris where the Tauri plan to sacrifice him. Unbeknownst to Orestes, the Priestess of Diana who is to sacrifice him is his own sister (Iphigenia), who was secretly rescued by Apollo's twin sister (Artemis) before she was sacrificed by her father. The two eventually figure out each other's identity and return to Greece where Orestes becomes king. Mayrhofer's poem, however, takes place before Orestes is to be sacrificed by the Tauri as he is lamenting his predicament. At the same time, he appears to be comforted by the cryptic prophecy that is about to unfold in an unexpected way.

Schubert sets each of the four stanzas of the poem in its own key; E \flat minor, G \flat major, B major, and D major. As previously mentioned, Schubert completes the sequence that was thwarted in *Ganymed*, beginning this time with E \flat major–E \flat minor–G \flat major, and followed by B major–B minor–D major (Example 3.10A and B). Notice that the completed sequence ends a half step away from where it began (E \flat major–D major), resulting in a descending semitone

relationship. Perhaps the descending motion (E \flat –D) represents Orestes’s eventual return home, just as the ascending motion in *Ganymed* (E–F) accompanied the latter’s departure from Earth.

A three-key interpretation of *Orest* is also possible. Example 3.10C shows that the first two keys have the same arpeggio/incomplete progression complex that was found in *Ganymed* (E \flat and G \flat are spelled enharmonically as D \sharp and F \sharp). The dual structure can also be understood in a similar manner: the incomplete minor progression sets Orestes’s lament and the major

A. Polyfocal analysis (4-key interpretation)

Strophe 1

B. Mediant sequence

C. Polyfocal analysis (3-key interpretation)

Example 3.10: Analyses of *Orest auf Tauris*, D. 548 (E \flat and G \flat are spelled as D \sharp and F \sharp)

arpeggiation expresses his hope for the future. One of the significant differences between the structures of *Ganymed* and *Orestes* is that the relationship between the opening keys and the final key is reversed: in *Orestes*, E \flat has a semitone relationship with D while B and D are relative keys. The gradual unfolding of the semitone relationship gives the impression that Orestes has traveled a great distance over a long time in comparison to the sudden juxtaposition of Ganymede's ascent.

Another significant difference between *Ganymed* and *Orestes* lies in the role of tonal allusion. As shown in the four-key analysis of Example 3.10A, each of the first three keys is enriched by at least one instance of analeptic allusion during the key that follows them. The first occurrence in m. 23 seems rather trivial at the initial stage of hearing, but it becomes more noticeable upon repeated hearings due to its foreshadowing of the final tonal allusion in mm. 47-50. In m. 23 (Example 3.11A), during the G \flat major section, an A $^{\circ}\S$ suggests a resolution to B \flat (V of E \flat) and a possible return to E \flat (Example 3.11B), but the moment quickly passes as voice leading turns the chord into the dominant of D \flat (D \flat being V of G \flat). In fact, it is probably that A $^{\circ}\S$ will be aurally interpreted as C $^{\circ}7$ since it eventually resolves to D \flat , only the performers of the song know of its alternate spelling.

The same situation occurs in m. 47 (Example 3.12A), but in the context of D major: here, a fully diminished seventh chord that can resolve to A (V of D) or F \sharp (V of B) resolves to the latter, fulfilling the suggested resolution set forth by the spelling of the chord in m. 23. Instead of ending the song in B minor (Example 3.12B), which would suggest an eventual dashing of the protagonist's hope, Schubert repeats the last clause of the text's final line in mm. 50-52, returning to the seventh chord of m. 47, spelling it in m. 50 as G \sharp^{o7} and resolving it to the dominant of D major (as in mm. 23-24).

A. Measures 46-52

46

-nens lö-sen mei-nen und der Vä - ter Fluch, lö-sen mei-nen und der Vä - ter Fluch.

D I B vii^{°6}/V V₄^{6 7} VI vii^{°6}/V V₄^{6 7} I V₄^{6 7}

B. Hypothetical B minor ending of mm.46-52

46

-nens lö-sen mei-nen und der Vä - ter Fluch, lö-sen mei-nen und der Vä - ter Fluch.

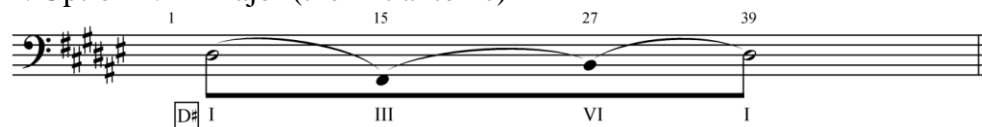
D I B vii^{°6}/V V₄^{6 7} VI vii^{°6}/V V₄^{6 7} I V₄^{6 7}

Example 3.12: Analeptic allusion to B minor in *Orest auf Tauris*, D. 548

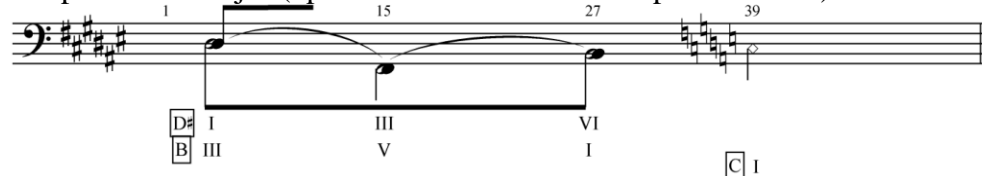
The allusion to B minor aligns with the final line of the poem that foretells the lifting of Orestes's curse; the first take suggests his distraught feelings about the curse (the resolution to V of B presents tonal doubt), and the second shows his hope that the curse is to be lifted by the Priestess of Diana (correcting the resolution to V of D). The piano postlude that ends the song is a transposition of the one in mm. 25-27 that ends the G \flat major section, complete with the same $\flat\hat{6}$ – $\hat{5}$ motion found in *Ganymed*, hinting that Orestes's hope remains intermingled with doubt.

The other instance of analeptic allusion occurs over a relatively large portion of the section in B, mm. 27-37, nearly undermining B as a tonality. Of that section, mm. 34-37 tonicize F# minor and can be heard as an enharmonic continuation of the previous Gb major section. Besides the ambiguity between B and F# in mm. 27-37, the listener who knows Schubert's *Der Jüngling und der Tod* and *Ganymed*, but is experiencing a first hearing of this song, is presented with a number of viable tonal conclusions for *Orest auf Tauris*: (1) the opening D# major could return as tonic, as in Example 3.13A; (2) B could return as tonic after the vii^o₅ of m. 47, as in Example 3.12B; (3) if B is reestablished as tonic, then the arpeggiation of B major could shift up a half step to C major like in *Ganymed*, as in Example 3.13C; (4) if B major is reestablished, it could shift to D major like the mediant sequence in the second version of *Der Jüngling und der Tod*, as previously shown in Example 3.10B; and finally, (5) if F# minor is heard as more prominent and B is excluded as a key through m. 39, then a sequence of off-tonic openings like the one found in the first setting of *Der Jüngling und der Tod* is possible, concluding in A major, as in Example 3.13B.

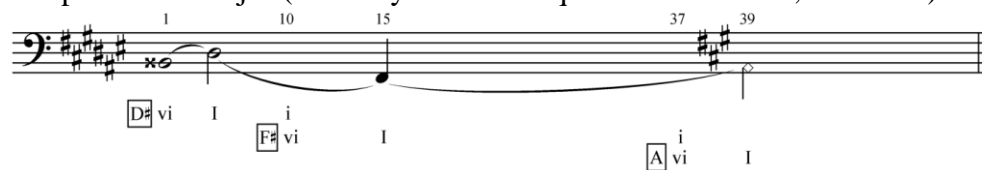
A. Option 1: D# major (the initial tonic)



B. Option 3: C major (upward semitone relationship like D. 544)



C. Option 5: A major (auxiliary cadence sequence like D. 545, version 1)



Example 3.13: Hypothetical endings for *Orest auf Tauris*, D. 548

Obviously Schubert abandons the sequence in order to end in D major, thereby completing a structure similar to that of *Ganymed*. Schubert's well calculated confusion coincides with the climax of Orestes's depression, marked in the vocal line with tritones in m. 33 and 34 as well as ending the phrase with the lowest note in m. 37 (F^{#3}). It is only by recalling the prophecy that Orestes is able to snap out of his despair and finish the song in a hopeful D major.

Hybrid Structures

Schubert includes sections of oscillation in Lieder with more than two keys, creating hybrid structures. An example of this is his setting of the twenty-seventh strophe of Schiller's *Der Triumph der Liebe*, D. 63 (the opening line is "Wer die steile Sternenbahn," Example 3.14). Schubert opens this male-chorus setting with a through-composed section of oscillation between A minor and C major (mm. 1-21), and ends it with a monotonal section in E major that has the form ABA'A" (mm. 22-61). The opening oscillation is undoubtedly inspired by the questioning nature of the first ten lines of the strophe, in which the narrator ponders what man would be without the gift of love from the gods.⁶⁵ In the final two lines, the narrator declares that love is what guides us to heaven. Schubert emphasizes love's triumph in the final lines by changing key and time signature, repeating the final lines a number of times, and setting them monotonally; together, these devices counterbalance the oscillating section.

The oscillation of the initial section, as shown in the polyfocal analysis in Example 3.15A, cycles through two pairings of A and C, ultimately ending in C in m. 21. Although the E major section brings striking contrast, the polyfocal graph points to an analeptic allusion to A in mm. 24-25, where E major sounds as the dominant of A. As a result, the final section could be heard in A, opening with a dominant off-tonic opening like the first section. Although this is not

⁶⁵ Prior to the twenty-seventh and final strophe of *Der Triumph der Liebe*, Schiller presents brief synopses of mythological love stories. These myths include those of Pyrrha, Venus, Pygmalion, Leda, Apollo, Ceres, and Orpheus.

Example 3.15B also presents D. 63 as an arpeggiation of C major, which is even less satisfying than the A arpeggiation due to an off-tonic opening and ending. Schubert does not bring either scenario to fruition, however; instead, he maintains E major as the final tonic, representing love as the only means of ascending from earthly life to heaven. A polyfocal analysis captures the full essence of E major breaking away from the confusion caused by imperfectly realized tonicizations of A and C.⁶⁷

In contrast to the oscillation at the onset of D. 63, Schubert's setting of *Kolmas Klage* ends in oscillation. *Kolmas Klage*, a German adaptation of a fragment from James Macpherson's *Ossian*, is a rather depressing story about a female protagonist wandering through a storm to find her love (Example 3.16). Schubert sets this seven-stanza poem in a quasi-strophic manner, dividing the stanzas into three groups and setting each group strophically: the first three stanzas make the first group, the fourth and fifth are the second group, and the final two stanzas are the third group, resulting in an overall AAABCC design that nicely underscores the unfolding of the drama in the poem. The poem begins with the protagonist searching through a storm (first group, C minor). As the clouds part and the moon shines down (second group, A \flat major), she is able to see that her overbearing brother and love have killed each other in a sword fight, and she is left to grieve until she dies at that very location and can be buried alongside them (third group, oscillation of A \flat major and F minor).

The three strophic sections in *Kolmas Klage* are easily distinguishable in the polyfocal analysis in Example 3.17A. The first two sections are rather clear when compared to the final

⁶⁷ Schubert's representation of the gods' love as E major in D. 63 may be a precursor to *Ganymed*. In D. 63, it is not specified if the love from the gods leads to transcendence, since the tonal plan A-C-E remains "earthbound." Ganymede undoubtedly reaches heaven, surpassing E major to F major. Additionally, the A-C-E progression in D. 63 closely resembles the initial arpeggiation of A \flat -C \flat -E in *Ganymed*. Textual correlations are also present. Zeus is mentioned before Strophe 27 in Schiller's *Der Triumph der Liebe* and probably is the "Father of nature" in Strophe 27; in *Ganymed*, Zeus is referred to as "Father" and likened to nature. Furthermore, Ganymede is called upon by a nightingale, while a Philomel (a.k.a. nightingale) can also be heard directly before Strophe 27 in *Der Triumph der Liebe* and is described as love filling the air from Nature's lute.

<p>Rund um mich Nacht, ich irr' allein, Verloren am stürmischen Hügel; Der Sturm braust vorn Gebirg, Der Strom die Felsen hinab, Mich schützt kein Dach vor Regen, Verloren am stürmischen Hügel, Irr' ich allein.</p> <p>Erschein', o Mond, Dring' durch's Gewölk; Erscheinet, ihr nächtlichen Sterne, Geleitet freundlich mich, Wo mein Geliebter ruht. Mit ihm flieh' ich den Vater, Mit ihm meinen herrischen Bruder, Erschein', o Mond.</p> <p>Ihr Stürme, schweigt, O schweige, Strom, Mich höre, mein liebender Wanderer, Salgar! ich bin's, die ruft. Hier ist der Baum, hier der Fels, Warum verweilst du länger? Wie hör' ich den Ruf seiner Stimme? Ihr Stürme, schweigt.</p> <p>Doch, sieh, der Mond erscheint, Der Hügel Haupt erhellet, Die Flut im Tale glänzt, Im Mondlicht wallt die Heide. Ihn seh' ich nicht im Tale, Ihn nicht am hellen Hügel, Kein Laut verkündet ihn, Ich wand'le einsam hier.</p> <p>Doch wer sind jene dort, Gestreckt auf dürrer Heide? Ist's mein Geliebter, Er! Und neben ihm mein Bruder! Ach, beid' in ihrem Blute, Entblößt die wilden Schwerter! Warum erschlugst du ihn? Und du, Salgar, warum?</p> <p>Geister meiner Toten, Sprecht vom Felsenhügel, Von des Berges Gipfel, Nimmer schreckt ihr mich! Wo gingt ihr zur Ruhe, Ach, in welcher Höhle Soll ich euch nun finden? Doch es tönt kein Hauch.</p> <p>Hier in tiefem Grame Wein' ich bis am Morgen, Baut das Grab, ihr Freunde, Schließt's nicht ohne mich. Wie sollt' ich hier weilen? An des Bergstroms Ufer Mit den lieben Freunden Will ich ewig ruh'n.</p>	<p>Around me is night I wander alone, lost on the stormy hill: the storm roars from the mountains, the torrent pours down the rocks; no roof shelters me from the rain. Lost on the stormy hill, I wander alone.</p> <p>Appear, O moon! Pierce through the clouds! Appear, stars of the night! Lead me kindly to the place where my love rests. With him I would flee from my father; with him, from my overbearing brother. Appear, O moon!</p> <p>Be silent, storms; be silent, stream! Let my loving wanderer hear me! Salgar! It is I who call. Here is the tree, here the rock. Why do you tarry longer? Do I hear the cry of his voice? Be silent, storms!</p> <p>But lo, the moon appears, the tips of the hills are bright, the flood sparkles in the valley, the heath is bathed in moonlight. I do not see him in the valley, nor on the bright hillside; no sound announces his approach. Here I walk alone.</p> <p>But who are they, stretched out there on the barren heath? It is he, my love, and beside him my brother! Ah, both lie in their blood, their fierce swords drawn! Why have you slain him? And you, Salgar, why?</p> <p>Ghosts of my dead, speak from the rocky hillside, from the mountain top; you will never frighten me! Where are you gone to rest? Ah, in what cave shall I find you now? But there is no sound.</p> <p>Here, in deep grief, I shall weep until morning; build the tomb, friends; do not close it without me. Why should I remain here? On the banks of the mountain stream, with my dear friends I shall rest for ever.</p>
--	---

Example 3.16: Text and translation of *Kolmas Klage* (*Colma's Lament*),
a German adaptation of a portion of Macpherson's *Ossian*

oscillating section. It does not take long for the relative keys of A \flat major and F minor to start trading off in the final section, especially in mm. 92-97 and its repetition in mm. 110-115. The listener might correctly guess that the song will end in F minor since the first strophe of the last section does, but as in *Lieb Minna*, a telling postlude in F minor concludes the song (Example 3.18A). It is possible that the oscillation represents Colma's grief (F minor), intermittently sprinkled with comforting thoughts of her lost loved one (A \flat major). Since Colma does not die by the end of the poem, Schubert continues to depict Colma's agony in F minor during the postlude rather than allowing her to rest in A \flat major. Schubert could have spelled the fully diminished seventh chord in m. 116 to function as vii^{o7} in either of the relative keys, presenting an opportunity to end the song in A \flat major as shown in Example 3.18B, but his interpretation leaves Colma lamenting.

An interesting harmonic motive in *Kolma's Klage* foreshadows a potential ending in A \flat major, enhancing the ambiguity of the final section and the potency of the F minor postlude. The motive involves a sequence that first appears in C minor, mm. 10-15, moving through \flat ii-iv-VI and their applied dominants (bracketed in Example 3.17A). The sequential motive then appears

A. Polyfocal analysis

Strophe 1 (2 3) 4 (5) 6 (7)

Chord symbols and Roman numerals are provided below the staff, indicating the harmonic structure of the piece. The analysis shows a sequence of chords: C minor (C), F minor (F), A-flat major (A-flat), and various applied dominants and secondary chords. Some chords are marked with an asterisk (*).

B. Monotonal arpeggiation of F

Chord symbols and Roman numerals are provided below the staff, indicating the harmonic structure of the piece. The analysis shows a sequence of chords: F minor (F), III, i, III, V-flat 5, I.

Example 3.17: Analyses of *Kolmas Klage*, D. 217 (key signature is altered for convenience)

A. Original postlude (ending in F minor)

115

ruh'n.

pp

F i vii°7 i ii°6 V7 i

B. Hypothetical postlude (ending in A \flat major)

115

ruh'n.

pp

F i **A \flat** vii°7 I ii°6 V7 I

Example 3.18: Postlude of *Kolmas Klage*, D. 217

in retrograde in A \flat major, vi-IV-ii in mm. 57-59; again, each are accompanied by applied chords and in this case are preceded by a dominant transformation. The final statement of the motive begins in m. 95 after A \flat has been tonicized in the context of F minor (Example 3.19A). The dominant of A \flat occurs on the second beat of m. 94 and is immediately transformed into the dominant of F in m. 95, evoking the beginning of the previous statement (mm. 56-57). After m. 95, Schubert abandons the sequence that may have lead back to A \flat major, instead remaining in F minor. Had he continued the sequence, it may have led to something like Example 3.19B. The abandoned sequence and the fully diminished seventh chord in m. 116 were two chances for Schubert to conclude the song in A \flat major, however, his avoidance of A \flat major only serves to reinforce the portrayal of Colma's overwhelming grief.

A. Original motive (abandoned to close in F minor)

94

Doch es tönt kein Hauch, doch es tönt kein Hauch.

pp *fp* *pp*

$\boxed{A\flat}$ ii V^7 \boxed{F} V_5^6 i ii $^{\circ 6}$ V^7 i

B. Hypothetical continuation of motive (completed in A♭ major)

94

Doch es tönt kein Hauch, doch es tönt kein Hauch__.

pp *fp* *pp*

$\boxed{A\flat}$ ii V^7 \boxed{F} V_5^6 vi i IV ii V^7 I

Example 3.19: Final harmonic motive in *Kolmas Klage*, D. 217, mm. 94-97

Unlike previously discussed Lieder, Schubert's key scheme for *Kolma's Klage* invites a completely monotonal analysis (Example 3.17B). The song's tonal structure can be explained in terms of an arpeggiation of F minor, with C as the minor dominant and A♭ as the major mediant. The shortcoming of such an analysis is that the mysteries presented in first strophes and the overall outcome of the story is given away if the goal of F minor is a foregone conclusion. How can the listener know what is going to occur by the end of the poem when the basic reason for Colma searching in the storm is not even revealed until the second half of the second stanza? Furthermore, how can the listener predict Schubert's selection of a grief-filled ending in F minor in preference to a more comforting A♭ major?

Schubert's setting of Georg Philipp Friedrich von Hardenberg's *Hymne I* includes four structural keys and two instances of oscillation. Of the four hymns by Hardenberg that Schubert set (D. 659, 660, 661, and 662), the first is the only that is neither strophic nor monotonal.

Hardenberg's first hymn is a graphic description of the love gained by taking Holy Communion (Example 3.20). Schubert divides the poem into two large sections, each with its own relative tonal pairing: A minor with C major (mm. 1-74) and A \flat major with F minor (mm. 75-167). As shown in the polyfocal analysis in Example 3.21B, both sections exhibit oscillation.

The oscillation between A and C begins in m. 32 (after a stable span of A minor during the narrator's opening statement that few know the thirst of love) and extends for the remainder of the first section. The onset of this oscillation coincides with the text's statement that the meaning of the Last Supper is a riddle to us (*"Des Abendmahls/Göttliche Bedeutung/Ist den irdischen Sinnen Rätsel"*); here Schubert aptly offers a musical riddle as to which key will end the song. Schubert similarly begins the second section with oscillation when questions about the

<p>Wenige wissen Das Geheimnis der Liebe, Fühlen Unersättlichkeit Und ewigen Durst. Des Abendmahls Göttliche Bedeutung Ist den irdischen Sinnen Rätsel; Aber wer jemals Von heißen, geliebten Lippen Atem des Lebens sog, Wem heilige Glut In zitternden Wellen das Herz schmolz, Wem das Auge aufging, Daß er des Himmels Unergründliche Tiefe maß, Wird essen von seinem Leibe Und trinken von seinem Blute Ewiglich.</p> <p>Wer hat des irdischen Leibes Hohen Sinn erraten? Wer kann sagen, Daß er das Blut versteht? Einst ist alles Leib, Ein Leib, In himmlischem Blute Schwimmt das selige Paar.</p>	<p>Few know the secret of Love, few feel its insatiability, its endless thirst. The divine meaning of the Last Supper is a riddle to earthly minds. But he who has drawn the breath of life from ardent, beloved lips; he whose heart has melted in trembling waves of sacred passion, he who has opened his eyes to measure the fathomless depths of heaven, will eat of his body and drink of his blood eternally.</p> <p>Who has guessed the lofty meaning of that earthly body? Who can say that he understands the blood? One day all will be body, one single body; the blessed pair shall swim in heavenly blood.</p>
--	--

Example 3.20: Text and translation, Hardenberg ("Novalis"), *Hymne I* (*Hymn I*)

<p>O! daß das Weltmeer Schon errödete, Und in duftiges Fleisch Aufquölle der Fels! Nie endet das süße Mahl, Nie sättigt die Liebe sich; Nicht innig, nicht eigen genug Kann sie haben den Geliebten. Von immer zärteren Lippen Verwandelt wird das Genossene Inniglicher und näher.</p> <p>Heißere Wollust Durchbebt die Seele, Durstiger und hungriger Wird das Herz: Und so währet der Liebe Genuß Von Ewigkeit zu Ewigkeit. Hätten die Nüchternen Einmal nur gekostet, Alles verließen sie, Und setzen sich zu uns An den Tisch der Sehnsucht, Der nie leer wird. Sie erkannten der Liebe Unendliche Fülle, Und priesen die Nahrung Von Leib und Blut.</p>	<p>O! That the world's oceans might now turn red, and the rock spring up as fragrant flesh! The sweet meal never ends; love is never satisfied. It can never possess the beloved profoundly and exclusively. With ever more tender kisses the beloved is transformed, possessed more inwardly and more closely.</p> <p>Desire still more ardent pierces the soul. Thirstier, hungrier grows the heart; thus the pleasure of Love endures throughout eternity. If only the sober once tasted it, they would abandon all else and sit with us at the table of longing, which is never empty. They would see Love's infinite richness, and extol the nourishment of body and blood.</p>
--	---

Example 3.20 (Continued): Text and translation, Hardenberg (“Novalis”), *Hymne I (Hymn I)*

mystery of Communion are presented. The most striking span occurs in mm. 82-85 when Schubert surrounds F and its dominant (mm. 83-84) with A \flat (m. 82 and 85) while the text describes the day on which all believers will be one in the partaking of the sacrifice—of Christ’s body.

While only a single instance of analeptic allusion to A \flat appears to take place during the final F major passage, a more complicated situation is brought on by repetition. Since the second subsection is a varied repetition of the first, the final F major portion (mm.99-167) can be split into two subsections (mm. 99-135 and mm.136-167). The first subsection includes modal mixture in F major (m. 109, 111, and 119) that recalls the relative key signature of four flats. This mixture turns out to be foreshadowing of a return to A \flat , which is re-attained by the B \flat minor chord in m. 119 functioning as a pivot, perhaps not coincidentally as the word “*verwandelt*” (*transformed*) occurs.

A. Hypothetical ending in A^b major

Measures 99-136. The score shows a melodic line in the treble clef and a bass line in the bass clef. The key signature has two flats (B-flat and E-flat). The bass line includes harmonic analysis: [F] V⁷ i, [A^b] V⁷ I, and V⁷ I.

B. Polyfocal analysis *Strophe 1*

Measures 1-160. The score is divided into four sections labeled 2, 3, and 4. The bass line includes harmonic analysis: [A] i, [C] IV V⁷ I, V, [F] iv⁶ V, I, i V VI, V⁷ I, [A^b] I, V⁶, I, V⁷ I, ii⁶ V⁷ I, iv⁶, V, I. The score includes various musical notations such as slurs, ties, and dynamic markings like 'div' and '*'. Measure numbers 1, 4, 11, 16, 17, 20, 23, 27, 28, 30, 32, 33, 36, 38, 41, 42, 44, 46, 75, 78, 79, 81, 82, 94, 99, 103, 107, 110, 114, 119, 122, 128, 135, 160 are indicated above the staff.

C. Monotonal arpeggiations

Measures 1-125. The score shows a single melodic line in the bass clef. The key signature has two flats. The bass line includes harmonic analysis: [A] i, III, V, [C] V, I, III, V, I, [A^b] I, III, I V I, III I V I, [F] I, III V, I. Measure numbers 1, 28, 30, 33, 41, 44, 46, 75, 78, 81, 82, 94, 101, 122, 125 are indicated above the staff.

D. Monotonal arpeggiation of F

Measures 1-125. The score shows a single melodic line in the bass clef. The key signature has two flats. The bass line includes harmonic analysis: [F] iii, V, III, I, III V, I. Measure numbers 1, 41, 75, 101, 122, 125 are indicated above the staff.

Example 3.21: Analyses of *Hymne I*, D. 659

The same modal mixture begins during the repetition of the second subsection (m. 145 and 147), causing the listener to expect a return to A \flat , possibly remaining as the final tonic since little text remains. However, Schubert continues the song in F and truncates the repetition, omitting mm. 117-128. Had he followed an exact repetition of mm. 99-124, ending the song as the text ran out during A \flat major, the ending to the graph might have looked like the one in Example 3.21A. The F minor ending provides a more somber interpretation of the text, perhaps leaving listener's in the sober state mentioned in the final strophe.

As in *Kolma's Klage*, Schubert's choice of keys in *Hymne I* allows a monotonal analysis that includes all of the keys: A, A \flat , and C act as arpeggiations of F (Example 3.21D). A supporting argument for this reading could even be devised if all of the oscillations were interpreted as four distinct monotonal keys (Example 3.21C). The more foreground arpeggiations within the four keys could be considered as confirmation that the monotonal analysis in F major is a logical one. Ignoring the oscillations, however, only misrepresents the experience of the song, as well as ignoring the important relationship between text and harmony.

Expanded Structure: Leichenfantasie, D. 7

Leichenfantasie (D. 7), one of Schubert's earliest and longest Lieder, includes all the aspects of polyfocal structure discussed in this project: mediant and non-mediante relationships between four prominent keys, oscillation, tonal allusion, arpeggiation, dominant transformations, and expectations set forth by repetition.⁶⁸ The protagonist in Schiller's poem is an aging father whose son has died (Example 3.22). The poem's action takes place at the burial of the son; as the title suggests, some fantastical imagery occurs when the father reminisces about his son.

⁶⁸ Other scena that rival the length of *Leichenfantasie* include *Hagars Klage* (D. 5), *Der Taucher* (D. 77), *Abelwold und Emma* (D. 211), *Die Bürgschaft* (D. 246), *Klage der Ceres* (D. 323), *Die Nacht* (D. 534), and *Einsamkeit* (D. 620).

German	English	Key area	Measure
Mit erstorb'nem Scheinen Steht der Mond auf totenstillen Hainen, Seufzend streicht der Nachtgeist durch die Luft – Nebelwolken trauern, Sterne trauern bleich herab, wie Lampen in der Gruft. Gleich Gespenstern, stumm und hohl und hager, Zieht in schwarzem Totenpomp dort Ein Gewimmel nach dem Leichenlager Unterm Schauerflor der Grabnacht fort.	With dim light the moon shines over the death-still groves; sighing, the night spirit skims through the air – mist-clouds lament, pale stars shine down mournfully like lamps in a vault. Like ghosts silent, hollow, gaunt, in black funeral pomp a procession moves towards the graveyard beneath the dread veil of the burial night.	D minor A minor	1 23
Zitternd an der Krücke, Wer mit düstern, rückgesunkenem Blicke Ausgegossen in ein heulend Ach, Schwer geneckt vom eisernen Geschicke, Schwankt dem stummgetragenen Sarge nach? Floß es "Vater" von des Jünglings Lippe? Nasse Schauer schauen fürchterlich Durch sein gramgeschmolzenes Gerippe, Seine Silberhaare bäumen sich.	Who is he who trembling on crutches with somber, sunken gaze, pouring out his misery in a cry of pain, and harshly tormented by an iron fate totters behind the silently borne coffin? Did the boy's lips say 'Father'? Damp, fearful shudders run through his frame, racked with grief; his silver hair stands on end.	C minor	60
Aufgerissen seine Feuerwunde! Durch die Seele Höllenschmerz! »Vater« floß es von des Jünglings Munde. »Sohn« gelispelt hat das Vaterherz. Eiskalt, eiskalt liegt er hier im Tuche, Und dein Traum, so golden einst, so süß, Süß und golden, Vater, dir zum Fluche! Eiskalt, eiskalt liegt er hier im Tuche, Die Wonne und dein Paradies!	His burning wound is torn open by the hellish pain of his soul! 'Father', uttered the boy's lips. 'Son', whispered the father's heart. Ice-cold, he lies here in his shroud, and your dream, once so golden, so sweet, sweet and golden, now a curse on you, father! Ice-cold, he lies here in his shroud, your joy and your paradise!	F minor	83
Mild, wie umweht von Elysiumslüften, Wie aus Auroras Umarmung geschlüpft, Himmlich umgürtet mit rosigen Düften, Florens Sohn über das Blumenfeld hüpf, Flog er einher auf den lachenden Wiesen, Nachgespiegelt von silberner Flut, Wollustflammen entsprühten den Küssen, Jagten die Mädchen in liebende Glut.	Gently, as if stroked by Elysian breezes, as if slipping from Aurora's embrace, wreathed in the heavenly fragrance of roses, it were Flora's son dancing over the flowery fields, he flew across the smiling meadows, mirrored by the silver waters; flames of desire sprang, from his kisses, driving maidens to burning passion.	F major C major	149 164
Mutig sprang er im Gewühle der Menschen, Wie ein jugendlich Reh; Himmelum flog er in schweifenden Wünschen, Hoch wie der Adler in wolkiger Höh'; Stolz wie die Rosse sich sträuben und schäumen, Werfen im Sturme die Mähne umher, Königlich wider den Zügel sich bäumen, Trat er vor Sklaven und Fürsten daher.	Bravely he leapt amid the swarm of humanity, like a young deer; with his restless longings he flew around the heavens. As high as an eagle, soaring in the clouds; proud as the steeds as they rear, foaming, tossing their manes in the storm, and regally resisting the reins, did he walk before slaves and princes.	D minor B _b major/ minor F minor	203 227 236
Heiter wie Frühlingstag schwand ihm das Leben, Floh ihm vortüber in Hesperus' Glanz, Klagen ertränkt' er im Golde der Reben, Schmerzen verhüpft' er im wirbelnden Tanz. Welten schliefen im herrlichen Jungen, Ha! wenn er einsten zum Manne gereift – Freue dich, Vater, im herrlichen Jungen Wenn einst die schlafenden Keime gereift!	His life slipped by, as bright as a spring day, flying past him in the glow of Hesperus. He drowned his sorrows in the golden vine; he tripped [hopped] away his grief in the whirling dance. Whole worlds lay dormant in the fine youth. Ah! When he matures into a man – rejoice father, in the fine boy, when, one day, the latent seeds are ripened!	F major B _b major F major (D minor)	249 257 268
Nein doch, Vater – Horch! die Kirchhoftüre brauset, Und die ehrnen Angel klirren auf – Wie's hinein ins Grabgewölbe grauset! Nein doch, laß den Tränen ihren Lauf! Geh, du Holder, geh im Pfade der Sonne Freudig weiter der Vollandung zu. Lösche nun den edlen Durst nach Wonne, Gramentbundner, in Walhallas Ruh!	But no, father – hark! The churchyard gate is rattling, and the iron hinges are creaking open – how terrifying it is to peer into the grave! But no, let the tears flow! So, gracious youth, in the sun's path, joyfully onwards to perfection, quench your noble thirst for joy, released from pain, in the peace of Valhalla!	B _b major "G minor" D major	299 315 320
Wiedersehn – himmlischer Gedanke! Wiedersehn dort an Edens Tor! Horch! der Sarg versinkt mit dumpfigem Geschwanke, Wimmernd schnurrt das Totenseil empor! Da wir trunken um einander rollten, Lippen schwiegen, und das Auge sprach »Haltet! Haltet!« da wir boshaft grollten – Aber Tränen stürzten wärmer nach.	To see him again – heavenly thought! To see him again at the gates of Eden! Hark! The coffin sways and falls with a dull thud; the ropes whirr upwards with a whine! As we drunkenly rolled awith one another our lips were silent, and our eyes spoke "Stop! Stop!" as we angered spitefully – but tears warmly started afterward.	Ab major G minor	351 362 376

Example 3.22: Text and translation of Schiller's *Leichenfantasie* (Funeral fantasy)

German	English	Key area	Measure
Mit erstorb'nem Scheinen Steht der Mond auf totenstillen Hainen; Seufzend streicht der Nachtgeist durch die Luft – Nebelwolken trauern, Sterne trauern bleich herab, wie Lampen in der Gruft. Dumpfig schollert's überm Sarg zum Hügel, O um Erdballs Schätze nur noch einen Blick! Starr und ewig schließt des Grabes Riegel, Dumpfer - dumpfer schollert's überm Sarg zum Hügel, Nimmer gibt das Grab zurück.	With dim light the moon shines over the death-still groves; sighing, the night spirit skims through the air – mist-clouds lament, pale stars shine down mournfully, like lamps in a vault. With a thud clods pile over the coffin. Oh, for just one more glimpse of the earth's treasure! The grave's bolts close, rigid and eternal; the thud of the clods grows duller as they pile over the coffin, the grave will never yield up!	D minor A minor G minor	384 406 413 444

Example 3.22 (Continued): Text and translation of Schiller's *Leichenfantasie* (Funeral fantasy)⁶⁹

A. Polyfocal analysis

Strophe 1 2 3 4 5 6 7 8 9

The musical score for Strophe 1 of Schiller's *Leichenfantasie* is presented in two staves. The top staff contains the melody, with measure numbers 1, 39, 60, 114, 150, 162, 189, 202, 214, 222, 227, 232, 247, 253, 258, 264, 292, 299, 302, 308, 312, 348, 351, 371, 375, 382, 384, 430, 431, 434, 441, 447, and 451. The bottom staff contains the bass line, with figured bass notation and harmonic symbols such as [D] i, [F] iii, V, V^{b4}, I^b, V, V⁷, I^b, V, iv i, V⁶₅, I, G^{vii^{o4}}₃ V, V⁶₅ i, V⁶₅, i, V⁶₅ i, V⁷ i, and V⁶₅ i. There are also some asterisks and other markings throughout the score.

B. Proleptic arpeggiations to G minor

The musical score for Proleptic arpeggiations to G minor is presented in a single staff. The measure numbers are 1, 202, 320, 383, and 431. The harmonic symbols are [G] i, III, i, and V⁷ i.

Example 3.23: Analyses of *Leichenfantasie*, D. 7

⁶⁹ The translation of eighth is an alteration of Wigmore's.

The polyfocal analysis provided in Example 3.23A shows that Schubert's setting is as extravagant as the poem is chimerical. The four prominent keys in Schubert's expansive scena make two pairings of relative keys: D/F and B \flat /G. Young Schubert goes beyond the obvious relative pairings by creating an additional non-relative relationship between D and B \flat , as well as plagal/dominant pairings between B \flat /F and D/G. Overlapping black noteheads can cause confusion by becoming indistinguishable, so using mostly white noteheads avoids that possibility. Since prolongations in each of the keys overlap with one another, I use three different white noteheads (D is represented with square noteheads, F with diamond, and G with round) and one round black notehead for B \flat in the polyfocal analysis. Beaming, stems, and their direction still prescribe function. Relative keys receive opposite stem directions (D and B \flat receive upward facing stems while F and G receive downward facing stems), as well as the same stem height and beaming thickness to help distinguish between stems in the same direction (D/F receive shorter stems and normal thickness, B \flat /G receive longer stems and greater thickness).

Roughly the first half of *Leichenfantasie* (mm. 1-222) is occupied with a relative shift from D to F, and back to D; free modal interchange occurs between the parallel keys built on these two tonics. Schubert leaves and returns to D by transforming the dominant of each key into the dominant of the other via a bass unfolding; this is a prominent feature of D. 7.⁷⁰ The first three stanzas describe the graveyard and the father's grief. Schubert sets these stanzas in the minor mode, only turning to the major mode in m. 149 with the arrival of the fourth strophe's pleasant reminiscence. D minor returns for the opening of the fifth strophe, which also deals in reminiscence, but the minor mode gives it a melancholic feeling. Rather than continue the relative relationship between D and F, Schubert replaces D with B \flat , through another dominant

⁷⁰ The first two dominant transformations (as well as the final transformation leading to G minor) do not occur on the surface, but become apparent at a deeper level, as in Example 3.23A. All of the remaining dominant transformations in D. 7 appear on the surface as they do in the graph.

transformation that begins in m. 222. An oscillation between B \flat and F continues through m. 311 while the father's reminiscing continues, including another dominant transformation in m. 257.

In the seventh stanza, the sight of his son's open grave interrupts the father's reverie. At this point, Schubert prepares a relative shift from B \flat to G with a fully diminished seventh chord in m. 308 that can resolve to either key (and is spelled as vii^{o7} of G) and a half cadence in G from mm. 312-319. A resolution to G never occurs here since the father falls back into his fantasy, picturing his son in heaven. This is the only part of the text that Schubert sets completely in D major (mm. 312-350), perhaps drawing attention to the father's apparent acceptance of his son's death. The father falls deeper into his daydream at the beginning of the eighth stanza, imagining his reunion with his son in heaven. Schubert seems to highlight the father's mental detachment by setting this portion of text in a key a tritone away from the previous section, preparing the unexpected A \flat section with only two beats of rest between root position D and A \flat triads.

The father's rekindled fantasy (A \flat major) is short lived as it is interrupted by the sound of his son's coffin hitting the bottom of the grave (mm. 362-366). After the imagery of the coffin, the father seems to recollect a drunken fight with his son; this memory is perhaps called to mind by the somewhat rough landing of the coffin. There seems to be implied regret in this text that stems from Schiller's use of the subjunctive case (*gröllten*). The father thinks the quarrel with his son was resolved, but they never actually talked about it. So, while the father hopes there are no unresolved issues with his son, some doubt about this instance may remain. As does anyone who loses a loved one before they have a chance to resolve past conflict, the father probably wishes they would have talked about it. As the father recalls the anger in his memory (m. 376), a dominant transformation leads to G minor, only to melt back to D as he remembers their unspoken reconciliation (mm. 378-383).

Following the turbulent and somewhat regretful memory of the eighth stanza, the final stanza opens with the same narrative text as the first stanza. Schubert sets the textual repetition exactly as he did the first strophe (mm. 384-412, compared to mm. 1-27), producing a moment of déjà vu for the listener. With the strong return of D and such a relatively small amount of text left in the poem, the uninformed listener will probably assume that the extensive Lied will end in D. Rather, Schubert concludes *Leichenfantasie* in a somber G minor that reflects the father's final statement "*Nimmer gibt das Grab zurück*" (*The grave never gives back*).

Retrospectively, keeping in mind that the visual image of the son's coffin or grave leads to G minor (mm. 299-312 and 362-376), young Schubert's ending is logical since the text leading to the father's final statement also depicts his son's coffin. In fact, local proleptic allusions to G occur in the opening (mm. 1-18) as well as its repetition (mm. 384-401), on *Leben* (*life*) when the son's fleeting life is described (m. 252), on *Schmerzen* (*pain*) and shortly thereafter as the father attempts to forget his pain (m. 262 and 265), as the youth is released from pain in heaven (mm. 335-338), and as the coffin is being buried and the father desires to see his son (mm. 417-426). All of these allusions have been reduced out of Example 3.23A, but structural allusions that remain in the graph occur during the previously mentioned sections (mm. 308-319 and 375-383).

Further reinforcement of G minor as concluding tonic can be found in the final progression of key centers, D-B \flat -G (mm. 431-444). This progression can be heard as a descending arpeggiation (v-III-i) in G minor, preceded by an extensive prolongation of v (D minor). All of the proleptic allusions of G are shown in Example 3.23B; note that hidden repetitions of the D-B \flat -G arpeggiation occur in the opening measures (mm. 1-4 and their repetition, mm. 384-387) and in mm. 207-208. Since the D major section opens with a similar

arpeggiation, D-B-G (mm. 320-350), every section in D contains an arpeggiation of a G triad. Perhaps all of the proleptic allusions and arpeggiations of G are Schubert's way of showing that death, represented here by G minor, is unavoidable and no amount of dreaming can help to hide from it.

Even with such compelling support for a reading of the song in G, the actual tonicization of G spans a minute portion of *Leichenfantasie*. It would be misleading to provide a completely monotonal analysis in G, ignoring that (1) the diachronic listener is unaware that the song will end in G minor, and (2) the fact that the overwhelming majority of the Lied's duration is taken up with tonicizations of D, F, and B \flat . As shown in the previous analyses in this chapter, multiple interpretations bring awareness to a variety of features—textual, sub-textual, structural, and harmonic—that might otherwise go unobserved. More importantly, approaching Schubert's polyfocal Lieder with an understanding of his polyfocal tendencies makes for a rewarding endeavor that may otherwise be a confusing and frustrating ordeal.

CHAPTER 4: REVISIONS OF POLYFOCAL STRUCTURES

Revisions within Polyfocal Structures

Schubert revised (or completely recomposed) many of his Lieder, including a selection of polyfocal Lieder.⁷¹ Some revisions of polyfocal settings occur on the surface of the music and do not affect structure; other revisions are more structurally influential. Additionally, some recompositions change monotonal Lieder into polyfocal Lieder, or vice versa. All of these types of revisions will be examined in this chapter.

In *Die Sommernacht* (D. 289), a simple revision is made to the material that immediately precedes the final section. In the second version, as discussed in Chapter 2, the final section in C major is approached by a half cadence in A minor (m. 19). Beyond a few surface alterations, the only difference between the two versions is an additional measure that occurs after m. 19 in the first version, leading to an authentic cadence in C major before the final section in C major is reached (Example 4.2). In his first setting, Schubert alters the first line of the final stanza, “*Ich genoß einst, o ihr Toten, es mit euch,*” to make space for the harmonic link provided by the additional measure: “*Ich genoß einst, o ihr Toten, ich genoß es einst mit euch, **ich genoß es einst mit euch!***”⁷² Because there is no need for such textual expansion in the second, more harmonically abrupt version, the composer makes no such alteration.

As discussed, the second version of *Die Sommernacht* is oscillatory with relative keys C major and A minor (Example 4.3A), unexpectedly ending in C major after the A minor half cadence in m. 19. In the additional measure of the first version (after m. 19), the dominant of A

⁷¹ For more on revisions in Schubert’s overall output, see John Sterling Lambert, *Schubert’s Multiple Settings of Poetry*, Ph.D. diss. (Yale University, 2000), and Lambert, *Re-Reading Poetry: Schubert’s Multiple Settings of Goethe* (Rochester: The Boydell Press, 2009). The topic of polyfocal tonality is avoided in both of Lambert’s writings.

⁷² The text in bold and italics show where Schubert alters the original text, but the altered text in italics remains in the second version whereas the bold does not.

minor unfolds into vii^{od}_3 of C major, followed by a resolution to C major; therefore, in the first version, the unexpected juxtaposition of tonalities of the final section never takes place (Example 4.3B). It is plausible that the lack of the half cadence in A minor undermines its role as a tonic, resulting in a possible monotonal hearing (Example 4.3C).

<p>Wenn der Schimmer von dem Monde nun herab In die Wälder sich ergießt, und Gerüche Mit den Düften von der Linde In den Kühlungen wehn:</p> <p>So umschatten mich Gedanken an das Grab Meiner Geliebten, und ich seh' im Walde Nur es dämmern, und es weht mir Von der Blüte nicht her.</p> <p>Ich genoß einst, o ihr Todten, es mit euch! Wie umwehten uns der Duft und die Kühlung, Wie verschönt warst du von dem Monde, Du, o schöne Natur!</p>	<p>When the moon's soft light shines into the woods, and the scent of the lime tree is wafted in the cool breezes:</p> <p>Then my mind is darkened by thoughts of my beloved's grave; and in the woods I only see dawn; and the blossom's fragrance does not reach me.</p> <p>I once enjoyed it, O spirits, with you! How the fragrance and the cool breezes caressed us how attractive you were in the moonlight, O beautiful nature!</p>
--	--

Example 4.1: Text and translation of Klopstock's *Die Sommernacht* (*The Summer Night*)

A. Version 1, mm. 17-20

B. Version 2, mm. 17-19

Example 4.2: Material before final section in *Die Sommernacht*, D. 289

A. Version 2

Strophe 1

Harmonic analysis for Version 2:

Measures 1-3: C I, 6, V

Measures 4-6: VI, V, VI

Measures 7-9: V, i

Measures 10-12: V⁷, I

Measures 13-15: V, I

Measures 16-18: vii^{o6}, ii^{o6} V₄⁶ 7, i

Measures 19-21: V

Measures 22-24: I, V, I, ii⁶, V⁷, I

B. Version 1, polyfocal analysis

Harmonic analysis for Version 1 (polyfocal):

Measures 1-3: C I, 6, V

Measures 4-6: VI, V, VI

Measures 7-9: V, i

Measures 10-12: V⁷, I

Measures 13-15: V, I

Measures 16-18: vii^{o6}, ii^{o6} V₄⁶ 7, i

Measures 19-21: V

Measures 22-24: I, V, I, ii⁶, V⁷, I

Measure 25: V (additional measure)

C. Version 1, monotonal analysis

Harmonic analysis for Version 1 (monotonal):

Measures 1-3: C I, 6, V

Measures 4-6: I

Measures 7-9: V, I

Measures 10-12: I

Measures 13-15: V, I

Measures 16-18: vii^{o4} I

Measures 19-21: V, I

Measures 22-24: ii⁶, V⁷, I

Example 4.3: Analyses of *Die Sommernacht*, D. 289

Even though the first version of *Die Sommernacht* can be read monotonally, polyfocal analysis remains useful in that it highlights the importance of dominant transformations. Both versions include the dominant transformation in mm. 4-5, but as seen in the polyfocal analysis, only the first version has a second transformation in mm. 19-20. The initial transformation eventually leads to a tonicization of A minor whereas the second transformation returns to C major, further contributing to the previously mentioned parallelism between the opening of the two halves. Perhaps Schubert's exclusion of this smooth retransition in the second version is his way of emphasizing the distance between the living protagonist and dead love.

In his two versions of *Der Jüngling und der Tod* (D. 545), Schubert revised the transitional material that leads to the final section, and transposed the final section to a different key. As discussed in Chapter 3, the first version has an overall progression of a tritone from E–B \flat (Example 4.4 and 4.5A). In his second version, Schubert transposes Death’s section (beginning in m. 27 in both versions) from the original G minor–B \flat major to D minor–F major. In his revised setting, the relationship between the initial and final keys is thus an ascending semitone rather than a tritone and now resembles the E major–F major motion in *Ganymed*. While Schubert seems to convey the distance between life and death with the tritone relationship in the first version *Der Jüngling und der Tod*, the revised semitone relationship can also be seen as representing distance, as it does in *Ganymed*. In fact, any two major keys (or two minor keys) a tritone apart have two common tones between their diatonic collections in pitch-class space; as shown in Example 4.6, this is also true of two such keys related by semitone, whether the first key is a semitone above or below the second.⁷³

German	English	m.	Key area	m.	Key area
<i>Der Jüngling:</i> Die Sonne sinkt, o könnt ich mit ihr scheiden, Mit ihrem letzten Strahl entfliehn, Ach diese namenlosen Qualen meiden, Und weit in schön're Welten ziehn!	<i>The Youth:</i> The sun is sinking; O that I might depart with it, Flee with its last ray: Escape these nameless torments, And journey far away to fairer worlds!	5	E major	5	E major
O komme Tod, und löse diese Bande! Ich lächle dir, o Knochenmann, Entführe mich leicht in geträumte Lande, O komm und rühre mich doch an.	O come, death, and loose these bonds! I smile upon you, skeleton; Lead me gently to the land of dreams! O come and touch me, come!	16 19	E minor- G major	16 19	E minor- G major
<i>Der Tod:</i> Es ruht sich kühl und sanft in meinem Armen, Du rufst! Ich will mich deiner Qual erbarmen.	<i>Death:</i> In my arms you will find cool, gentle rest; You call, I will take pity on your suffering.	27	G minor B \flat major	27	D minor F major

Example 4.4: Text and translation of Spaun’s *Der Jüngling und der Tod* (*The Youth and Death*)

⁷³ Schubert uses semitone relationships between outer keys of the same mode in five of his Lieder: *Shilric und Vinvela* (D. 293), *Ganymed* (D. 544), *Der Jüngling und der Tod* (D. 545, version 2), *Orest auf Tauris* (D. 548), and *Der Apenjäger* (D. 588). Besides the first version of *Der Jüngling und der Tod*, the only other tritone relationship between outer keys of the same mode is in *Laura am Klavier* (D. 388), although two similar examples occur in D. 553 and 636 in which one of the outer keys is in the relative mode of what would be a tritone relationship in the same mode (e.g. E major–G minor rather than E major–B \flat major). D. 636 will be discussed later in this chapter.

A. Version 1
Strophe 1

2

1 5 17 19 21 23 25 26 27 29 30 31 32

5 4 3 2 5 5 4 3 2 5 3 2 1

[E] vi V₂ I⁶ V₄ $\frac{5}{3}$ 5 [G] vi IV I V V⁷ vi⁶ i⁶ [B \flat] vi IV V₄ $\frac{5}{3}$ I

B. Version 2

1 5 17 19 21 24 26 28 32

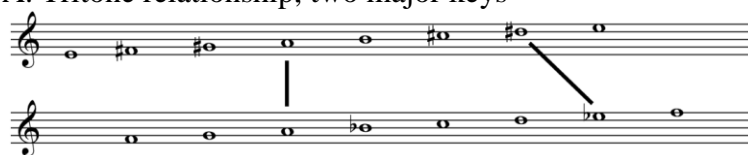
5 4 3 2 5 5 4 3 2 1 3 2 1

[E] vi V₂ I⁶ V₄ $\frac{5}{3}$ 5 [G] vi IV I [D] iv V₄ $\frac{6}{7}$ i [F] VI IV V₄ $\frac{6}{7}$ I

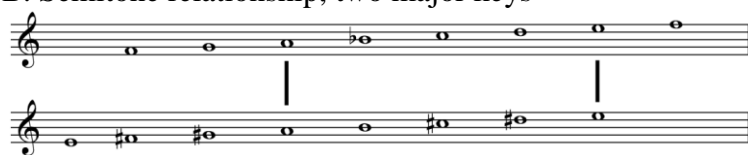
Example 4.5: Analyses of *Der Jüngling und der Tod*, D. 545

A byproduct of Schubert's transposition of Death's section is that he is forced to revise the preceding piano interlude in order to reach D minor rather than remain in G (mm. 24-26 in both versions, Example 4.7). As the polyfocal analyses in Example 4.5 makes visible, the analeptic allusion to E in the interlude of the first version (shown with brackets in Example 4.7A) is not maintained in the revision. In its stead, a sequence unfolds G minor to B \flat major in mm. 24-25, followed by the dominant of D in m. 26. The sequence is interesting because it recalls (albeit briefly) the overall G minor–B \flat major motion from the first version, before moving on to the new transposed section. By expanding the tonal progression in the second version, Schubert might have been trying to further highlight the tonal distance covered (and thus the poetic distance evoked) in the song.

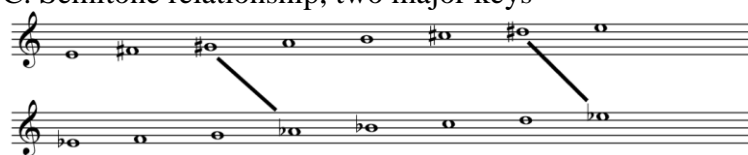
A. Tritone relationship, two major keys



B. Semitone relationship, two major keys



C. Semitone relationship, two major keys



Example 4.6: Common tones between distant diatonic collections

A. Version 1, mm. 24-27

24

E minor allusion

Der Tod

komm! Es ruht sich kühl und

p *f* *p* *f* *p* *dimin.* *pp*

$\boxed{G} V^7$ vii^{o4}_3 $\boxed{E} V^7$ vii^{o4}_3 i^6 vi^6 $ii^{\#6}_5$ V^6_4 7 i V

B. Version 2, mm. 24-27

24

Der Tod

komm! Es ruht sich kühl und

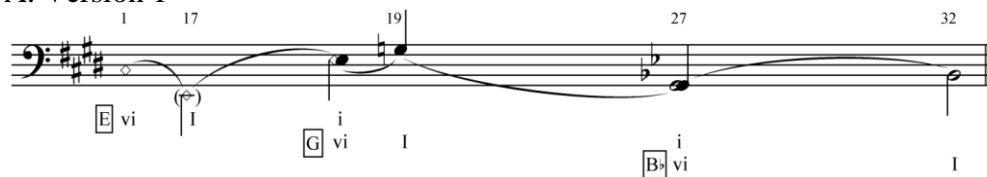
p *cresc.* *cresc.* *f* *pp*

$\boxed{G} V$ i $\boxed{B\flat} vi$ V $\boxed{D} I$ VI V^6_4 7 I V

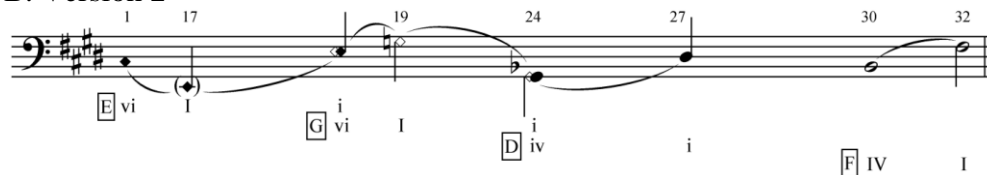
Example. 4.7: Piano interludes in *Der Jüngling und der Tod*, D. 545

The sequence in the revised interlude also raises another point: what if Schubert had continued the sequence as a strict progression of rising minor thirds, without diverting to D minor? In Example 4.8A-B, reductions of the bass lines show the sequences of off-tonic openings that are present in both versions. As previously discussed, the sequence remains consistent throughout the first version. Since Schubert initiates the same sequence in the interlude of the second version, he could have allowed it to continue its natural course, ending the song with B \flat minor–D \flat major instead of D minor–F major (Example 4.8C). The form created by such a hypothetical sequence is circular in that the next stage, with D \flat major becoming the minor submediant of the forthcoming key, leads back to the off-tonic opening of C \sharp minor–E major (D \flat spelled enharmonically). Perhaps allowing the sequence to end on D \flat major would be an apt representation of the “circle of life,” but the tonal representation of distance between life and death would be lost, and that seems to be what Schubert was stressing in both versions.

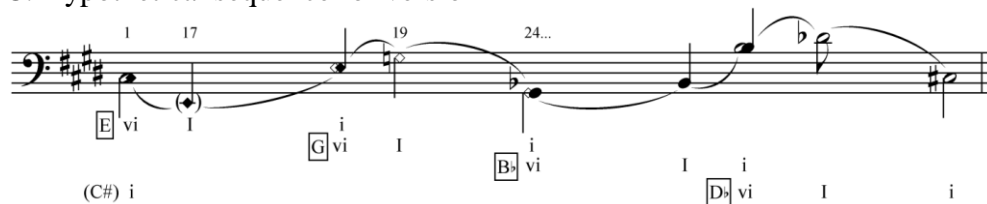
A. Version 1



B. Version 2



C. Hypothetical sequence for version 2



Example 4.8: Sequence of auxiliary cadences in D. 545

Recompositions: Monotonal to Polyfocal, and Vice Versa

Schubert goes beyond revising and completely re-sets the texts in some of his Lieder. One such song is *Der Geistertanz* (D. 116). Schubert re-set the text as a polyfocal male chorus piece (D. 494, previously discussed in Chapter 2). Both settings begin in C minor, but D. 494 ends in A \flat major while D. 116 remains in C minor (Example 4.9). Even with different ensembles and time signatures, both settings open with a sense of urgency imparted by bare octaves, quick tempos (both marked with some form of *Geschwind*), rapid harmonic rhythm, and half cadences closing their first four measures; most of the similarities, however, end there.

The monotonal analysis of D. 116 in Example 4.10A reveals that a large portion of the first section (mm. 1-26) is a prolongation of a half cadence (mm. 7-27) that comes to full fruition as an interruption in m. 26. A varied repetition of the opening measures begins in m. 28 (compare mm. 1-10 and 28-37), this time leading to tonic material in m. 41 rather than an extended dominant prolongation. The monotonal analysis is convincing, but a late tonicization of E \flat major in mm. 41-47 deserves more attention than provided in Example 4.10A.

The polyfocal analysis in Example 4.10B makes the strong E \flat major presence that nearly renders the song polyfocal quite visible. The E \flat tonicization occurs during the final strophe after the grief of the spirits has been deeply buried in mm. 39-40; this is portrayed in the piano by a descending arpeggiation of a fully diminished seventh chord that reaches B 1 in m. 40, the lowest note in the song yet. When the spirits bid a cheerful goodbye in m. 42, E \flat is unceremoniously tonicized.

The diachronic listener may expect the song to end soon after m. 43 since no text remains (the point at which the entire text has been presented is shown with a dotted line in the graph), but Schubert repeats the final couplet, tonicizing E \flat . The dominant of E \flat is then arpeggiated in

D. 116				D. 494		
German	English	m.	Key area	German	m.	Key area
Die brette Kamm'r Der Toten erbebt, Wenn zwölffmal den Hammer Die Mitternacht hebt.	The boarded chamber of the dead trembles when midnight twelve times raises the hammer.	1	C minor	STROPHE 1 Die brette Kamm'r Der Toten erbebt, Wenn zwölffmal den Hammer Die Mitternacht hebt.	1 3	C minor (A ^b major)
Rasch tanzen um Gräber Und morsches Gebein Wir luftigen Schweber Den sausenden Reih'n.	Quickly we airy spirits strike up a whirling dance around graves and rotting bones.	6		Rasch tanzen um Gräber Und morsches Gebein Wir luftigen Schweber Den sausenden Reih'n.	5 6	C minor (A ^b major)
Was winseln die Hunde Beim schlafenden Herrn? Sie wittern die Runde Der Geister von fern.	Why do the dogs whine as their masters sleep? They scent from afar the spirits' dance.	13		<i>Rasch tanzen um Gräber Und morsches Gebein Wir luftigen Schweber Den sausenden Reih'n.</i>	9	C minor
Die Raben entflattern Der wüsten Abtei, Und flieh'n an den Gattern Des Kirchhofs vorbei.	Ravens flutter up from the ruined abbey, and fly past the graveyard gates.	24		STROPHE 2 Was winseln die Hunde Beim schlafenden Herrn? Sie wittern die Runde Der Geister von fern.	1	C minor
Wir gaukeln und scherzen Hinab und empor Gleich irrenden Kerzen Im dunstigen Moor.	Jesting, we flit up and down like will-o'-the-wisps over the misty moor.	28		Die Raben entflattern Der wüsten Abtei, Und flieh'n an den Gattern Des Kirchhofs vorbei.	3	(A ^b major)
O Herz, dessen Zauber Zur Marter uns ward, Du ruhst nun in tauber Verdampfung erstarrt;	O heart, whose spell was our torment, you rest now, frozen in a numb stupor.	33		Wir gaukeln und scherzen Hinab und empor Gleich irrenden Kerzen Im dunstigen Moor.	5 6	C minor (A ^b major)
Tief bargst du im düstern Gemach unser Weh; Wir Glücklichen flüstern Dir fröhlich: Ade!	You have buried our grief deep in the gloomy chamber; happy we, who whisper you a cheerful farewell!	38		FINAL SECTION O Herz, dessen Zauber Zur Marter uns ward, Du ruhst nun in tauber Verdampfung erstarrt;	9	C minor
<i>Tief bargst du im düstern Gemach unser Weh; Wir Glücklichen flüstern Dir fröhlich: Ade!</i>		42	E ^b major	Tief bargst du im düstern Gemach unser Weh; Wir Glücklichen flüstern Dir fröhlich: Ade! Ade!	13	A ^b major
		44	C minor	<i>Wir Glücklichen flüstern Dir fröhlich: Ade! Wir Glücklichen flüstern Dir fröhlich: Ade! Ade!</i>	17	
				<i>Wir Glücklichen flüstern Dir fröhlich: Ade! Wir Glücklichen flüstern Dir fröhlich: Ade!</i>	23	
					31	

Example 4.9: Text and translation of Matthisson's *Der Geistertanz (Ghost Dance)*⁷⁴

⁷⁴ Text in italics denotes textual repetition.

Strophe 1

1 7 8 14 15 26 28 34 35 38 41 42 47 48 49

i V 7 i III V_5^6 i V^7 i

Strophe 1 (3) *2 (4)* *2 (5)* *6* *7*

1 3 4 5 7 8 9 10 13 14 15 16 17 18 19 20 22 23 24 25 26

C i V^7 VI i VI iv V_4^6 $\frac{5}{3}$ i I ii vii^{o7} I II V I V_3 I^6 ii V^7 $\frac{6}{4}$ $\frac{5}{3}$ I

mm. 44-46 to represent the buried grief and the lowest note in the song is reached, B \flat ¹. It would seem to the diachronic listener that Schubert is on his way to ending the song in E \flat , but he returns to C minor via a dominant transformation in m. 47 as the spirits are about to bid their final farewell. E \flat would have made a fitting final key to portray the closing cheerfulness of the spirits, but Schubert appears to have interpreted the ending as bittersweet and juxtaposes E \flat major and C minor to illustrate this.

Schubert seems to have reconsidered his interpretation in D. 116 since he changes it to a more cheerful and predictable one in D. 494. The final extended section in D. 494 (mm. 13-39) is unquestionably in A \flat major and Schubert gives no notion that C minor could return, as indicated by the lack of analeptic allusion in Example 4.10C. In summary, D. 116 resembles a potential polyfocal structure that Schubert later recomposes into a full-fledged polyfocal structure, with D. 494 ending on the lower mediant key rather than the upper mediant suggested in D. 116.

German	English	m.	Key area	m.	Key area
Ach, dieses Tales Gründen, Die der kalte Nebel drückt, Könnst' ich doch den Ausgang finden, Ach, wie fühlt' ich mich beglückt! Dort erblick' ich schöne Hügel, Ewig jung und ewig grün! Hätt' ich Schwingen, hätt ich Flügel, Nach den Hügeln zög' ich hin.	Ah, if only I could find a way out from the depths of this valley, oppressed by cold mists, how happy I would feel! Yonder I see lovely hills, ever young and ever green! If I had pinions, if I had wings, I would fly to those hills.	1 20 25 29	D minor F major (V of D) F major	1 12 19	B minor (V of G major) G major
Harmonien hör' ich klingen, Töne süßer Himmelsruh', Und die leichten Winde bringen Mir der Düfte Balsam zu, Gold'ne Früchte seh' ich glühen, Winkend zwischen dunkeln Laub, Und die Blumen, die dort blühen, Werden keines Winters Raub.	I hear harmonious sounds, notes of sweet, celestial peace, and the gentle breezes bring me the scent of balsam. I see the golden fruits glowing, beckoning amid dark leaves, and the flowers which bloom there will never be winter's prey.	33 37 45	(V of D) D minor F major	33 44 48	B \flat major (A \flat major)
Ach wie schön muß sich's ergehen Dort im ew'gen Sonnenschein, Und die Luft auf jenen Höhen, O wie labend muß sie sein! Doch mir wehrt des Stromes Toben, Der ergrimmt dazwischen braust, Seine Wellen sind gehoben, Daß die Seele mir ergraut.	Ah, how beautiful it must be to wander there in the eternal sunshine; and the air on those hills, how refreshing it must be. But I am barred by the raging torrent which foams angrily between us; the waves tower up, striking fear into my soul.	77	(V of F)	58 70 78	B \flat major G minor A \flat minor
Einen Nachen seh ich schwanken, Aber ach! der Fährmann fehlt. Frisch hinein und ohne Wanken, Seine Segel sind beseelt. Du mußt glauben, du mußt wagen, Denn die Götter leih'n kein Pfand, Nur ein Wunder kann dich tragen In das schöne Wunderland.	I see a boat pitching, but, alas! There is no boatman. Jump in without hesitation! The sails are billowing. You must trust, and you must dare, for the gods grant no pledge; only a miracle can convey you to the miraculous land of beauty.	89 103	F minor F major	90	E major

settings. In *Sehnsucht*, the protagonist fluctuates between two alternating psychological states: a longing to be in a better place and a delusion of being in that distant place. Schiller's poem begins with the protagonist wishing for a way out of the deep, cold, and wet valley in which he finds himself. Suddenly, in mid-stanza, he sees green hills in the distance and wants to fly there. In the second stanza, the protagonist falls further into his daydream and can hear heavenly harmonies, smell scents of balsam, and see golden fruit that has never been touched by the cold hands of winter. The protagonist remains in his alternate reality for the first half of stanza three, but is brought back to his unfortunate location when he sees the raging water with its tremendous waves that separates him from his utopia.

Schiller's imagery suggests that the protagonist is in hell, or someplace similar, and longs to be in heaven. This imagery is developed in the final stanza when he spots a boat tossing in the water, perhaps evoking the scene of Charon's boat on the Acheron River, and believes that he could escape his miserable surroundings on this boat without the help of the gods. Keeping with the theme set forth by its title, Schiller ends the poem with the protagonist left longing for heaven, his fate remaining unknown.

In both settings of *Sehnsucht*, as in many of his other *Lieder*, Schubert sets pleasant thoughts and unsympathetic reality in the major and minor modes, respectively. The opening description of reality in D. 52 is set in D minor, but D is soon revealed as part of an off-tonic opening (vi-V-I) in F major (Example 4.12A). If D minor represents reality and F major represents fantasy, then the relatively brief moment of D minor can reflect the protagonist's urge to leave his current surroundings as soon as possible and never return.

As with D. 116, a polyfocal analysis of D. 52 provides useful insights that can enhance the interpretation of a monotonal analysis. Example 4.12B shows that the sway of D minor is

farther reaching than in Example 4.12A; the influence of D minor clearly extends through m. 60, originally tonicized in mm. 1-17 and in oscillation with F major in mm. 20-60. F major is first established in m. 19 as the protagonist initially thinks happier thoughts. A recurrence of D

A. D. 52 (monotonal)

Strophe 1

1 18 30 32 64 78 89 99 104 121 129 130

[F] vi V⁷ I⁵ 6 5 vi V I⁵ 5 4 3 2 1 V⁴ 7 I

B. D. 52 (polyfocal)

1 6 7 8 9 11 13 14 16 17 19 24 25 29 30 31 32 33 37 39 43 45 47 53 57 59 60 63 64 69 73 78 89 96 98 99 104 121 122 129 130

[D] i V i 6 IV⁶ V⁶ V¹ i i V¹ i ii⁶ V⁴ 7 vi V⁴ 7 I V⁷ I V⁴ 7 I

C. D. 636 (polyfocal)

Strophe 1

1 7 19 29 30 33 43 49 57 68 71 73 83 90 100 102 103

[G] iii V³ — 4 V I 6 3 V⁷ I b III V⁷ i b ii⁶ iii⁶ V¹ I IV V⁴ 7 I

[C#] (V)

D. Series of auxiliary cadences in D. 636

1 19 33 73 83 90

[G] iii I III i [E] iii⁶ I

E. Overall tonal motion in D. 636

1 19 73 90

[G] i 1 [E] I

Example 4.12: Analyses of *Sehnsucht* (D. 52 and 636)

happens soon thereafter in mm. 25-28 (represented by its dominant) when the protagonist wishes for wings to fly away, a brief reminder that he remains in his original location. A dominant transformation then leads back for another short span of F major in mm. 29-32 (as the distant hills are mentioned again), before another dominant representation of D takes place in mm. 33-44 (when the protagonist hears peaceful harmonies in the distance). It is easy to imagine that the protagonist pauses and stares into the distance as the static harmony and arpeggiations occur in mm. 25-28 and 33-36.

D minor continues to be tonicized in mm. 37-44, but its faltering dominant (now A minor) and a weak resolution to D on the downbeat of m. 40 suggest that the protagonist is already losing his grip on reality. The A minor harmony also functions as a mediant to the coming F major that spans the remainder of the song, brought upon by the overwhelming waft of balsam in mm. 45-52. One final recurrence of D does take place in mm. 59-60, approached by another dominant transformation as glowing fruit are described, but the final appearance of D is brief and quickly gives way to the seductive fantasy of F major.

Due to the strong presence of D minor during the first 60 measures of D. 52, along with the fact that the protagonist never leaves his original location, the diachronic listener might anticipate a return to D minor by the end of the song. An ending in D minor actually seems fitting based on those two points, especially since Schubert did something quite similar in D. 116, *Lieb Minna*, and *Erster Verlust*. Returning to the F major ending of D. 52 and the interpretation that D minor represents reality and F major represents fantasy, the gradual dissolution of D minor suggests that the protagonist progressively succumbs to the fantasy world of F major, reality fading away until it is a distant memory.

Schubert's recomposition of *Sehnsucht* amplifies the potential polyfocal form of D. 52 into a true polyfocal form. As mentioned, Schubert also correlates major and minor modes with the mood of the text in D. 636, but includes additional tonicizations. The opening description of reality is set in B minor (mm. 1-12) and the images of heaven that immediately follow in G major (mm. 12-32, initially with a tonicization of the dominant of G).⁷⁵ The relative brevity of B minor, its immediate juxtaposition with V of G in the opening three measures of the piano introduction, and its lack of recurrence all contribute to it being heard as functioning as an off-tonic opening in G (Example 4.12C). Like the off-tonic opening in D. 52, fantasy has a stronger hold on the protagonist at this point than does reality.

Rather than continue in G major during the second strophe's sweet harmonies and scent of balsam, Schubert introduces B \flat major, suggesting a further removal from reality: the protagonist can now hear sounds and smell fragrances in his fantasy. A further step from reality occurs when the golden fruit are described (mm. 44-56), set in A \flat major (foreshadowing its important role to come), before returning to B \flat major for mm. 58-68. G is restored as tonic for the reality of the obstructive raging waters (mm. 70-77), only G is now in the minor mode (along with tremolos and scalar runs representing the oppressive waves). What was once a key of fantasy is now brought to the realm of reality, creating another off-tonic opening to G, in this case from B \flat .

The turbulent waves not only bring the protagonist back to reality, but also cause G minor to be dislodged by A \flat minor (mm. 78-85). A \flat was tonicized in the major mode in mm. 44-56 as a means of expanding the protagonist's daydream and can also be understood in this unstable

⁷⁵ Interestingly, Schubert transfers the A major section in mm. 25-28 of D. 52 to mm. 25-26 in D. 636 rather than transposing it. This A major section still acts as the dominant of D in D. 636, but now it is a secondary dominant in the context of G. Perhaps Schubert avoided the transposition (resulting in V of B) so that B minor is not heard as a possible tonic, removing the blurred line that is present between D minor and F major in D. 52.

minor context as heightening the dramatic tension caused by the sight of the waves (nowhere in the passage does an A \flat minor triad appear in root position). Once A \flat minor is established as the boat appears on the water (mm. 84-85), Schubert is able to lead A \flat minor (as an off-tonic opening) to the final and hopeful key of E major (A \flat is enharmonically equivalent to G \sharp , the diatonic mediant of E major).

The final off-tonic opening to E major completes a series of off-tonic openings shown in Example 4.12D. Each key is preceded by its own mediant, which are also hidden repetitions of the overall motion G-E (Example 4.12E). Although the overall motion is mediant-derived, it is unlike any of the hidden repetitions in that it is modally mixed (G minor–E major rather than G \sharp minor–E major). Additionally, after the G major fantasy becomes a G minor reality, a tonal juxtaposition results between keys with two flats and four sharps, the same remote relationship found in the first version of *Der Jüngling und der Tod* (E major–B \flat major). The remote relationship in D. 636 suggests both great tonal scope and the distance between heaven and hell.

Although there are not many tonal allusions present in D. 636, those that do occur produce interesting situations. The only proleptic allusion of E occurs when the deep valley is mentioned during the first phrase of the vocal part (mm. 8-9). Without a score, the diachronic listener may reinterpret the piano introduction as prolonging the minor dominant of E minor and that the song may continue with E as tonic, but the phrase soon returns to B by way of the half cadence in m. 11. If the first section of the song continued in E minor, then the structure could be interpreted monotonally; the initial E minor would suggest a depiction of reality and the concluding E major the protagonist's optimism to escape (Example 4.13A). Additionally, the motion to G could be seen as originating from E minor, thereby the protagonist's initial escape from reality is temporary (relative major) and later becomes permanent (parallel major).

A. Opening in E minor

Hypothetical Opening

B. Ending in C# minor

Hypothetical Ending

C. Ending in E minor

Hypothetical Ending

Example 4.13: Possible alternative structures of D. 636

The next tonal allusions are prolepses to G minor in mm. 37-38 (they have been reduced out of Example 4.12C due to their brevity). Here, during the prolongation of B \flat major, a brief resolution to G minor takes place as Schiller's peaceful harmonies are mentioned. Textually, this happens to be the same point at which a weak resolution to D minor occurs in D. 52 after F major had been attempting to assert itself (mm. 39-41). It is thus possible that Schubert retains a hint of the minor mode here to suggest the protagonist's melancholy at hearing the heavenly harmonies. Unlike D. 52, this allusion to G minor is repeated in mm. 62-63 as the protagonist desires to be in eternal sunshine, giving it the same melancholic tinge as in mm. 37-38. A similar G minor allusion occurs in mm. 50-51 of D. 636 as the blooming flowers are described, again coloring beauty with the melancholy of the minor mode (also reduced out of Example 4.12C, approached by dominant transformation in m. 50 from V of E \flat to V $\frac{4}{3}$ of G). This allusion also expands the phrase from four measures to five, further drawing attention to the allusion as

well as creating text painting of a blossoming phrase. A normalization of the allusion and phrase expansion can be found in Example 4.14. No such analogs to the allusion or expansion in this passage exist in D. 52.

The final allusion in D. 636 is unusual because it is a proleptic allusion to C#, a key that is never tonicized. The allusion first appears during the final E major section in m. 102 and is repeated in m. 110, then in augmentation in mm. 113-114 (all are approach by dominant transformations). It should be mentioned that Schubert obviously recycles the material for the final section of D.52 as the ending of D. 636, with slight alterations. The C# allusion in D. 636 is weakened by the fact that V⁷ of C# resolves deceptively to A, but Schubert highlights its presence

A. Five-measure phrase

48

winkend zwischen dun - keln Laub, und die Blu - men, die dort blü - hen,

pp *cresc.*

(V/A♭) E♭ I⁶ V G V₃⁴ i iii V⁷ I

(dominant transformation)

B. Normalization of mm. 48-52 (four-measure phrase)

48

winkend zwischen dun - keln Laub, und die Blu - men, die dort blü - hen,

pp *cresc.*

(V/A♭) E♭ I⁶ V $\frac{4}{2}$ I⁶ V⁷ I

Example 4.14: G minor allusion and phrase expansion in D. 636

with a dynamic accent and a change in accompanimental pattern from straight sixteenth notes to syncopation (the syncopation and dynamic accent is brought to an extreme in the augmented version in mm. 113-114). The allusion to the relative minor can be interpreted as revealing the protagonist's possible doubts about his ability to reach his desired destination.

Furthermore, the C# allusions are like the setting's earlier G minor allusions in that they both appear to be remnants of Schubert's first encounter with Schiller's text in D. 52. The C# allusions in D. 636 align with the same text as C#-D resolutions in D. 52 (the final F major section, mm. 126-127 and 142-143). In D. 52, C# is the fifth of an augmented dominant over F that resolves to Bb. It is thus difficult to hear it as recalling D minor. In D. 636, Schubert revises the chord to spell V⁷ of the relative minor, making the allusion obvious.

Diachronically, the C# allusions also suggest a possible ending in C# minor that could confirm the protagonist's failure of reaching paradise. Following the relative key paradigm that shapes D. 636, it would be fitting for E major to eventually lead to C# minor (another example of III-i) and thereby fulfill the implications of these allusions. Example 4.13B graphically represents a hypothetical C# minor ending and Example 4.15A contains a full realization. Since the text that Schubert sets after m. 103 is a repetition of the last four lines of the final strophe, mm. 104-119 makes a likely location for such a change of tonal goal. C# minor is easily attainable by properly resolving the V⁷ of C# that already exists in m. 110. It is also effective to rewrite the allusion in mm. 113-114 as an analepsis to E, only to be foiled by C# minor in m. 115. Doing so reverses the situation in mm. 100-103, representing the protagonist's unsuccessful escape attempt. It is also plausible that Schubert could turn to C# minor in the piano postlude, as he does in *Lieb Minna* and *Erster Verlust*. Example 4.15B gives a possible realization of a C# minor postlude.

A. Measures 104-119

104

Du mußst glau - ben, du mußst wa - gen, denn die Göt - ter leihn kein Pfand,

108

nur ein Wun - der kann dich tra - gen in das schö - ne Wun - der-land,

112

in das schö - ne Wun - der -

116

land.

119

land.

Harmonic analysis labels: E I, E V⁷, (dominant transformation), C# V⁷, i, C# i, E V⁷, vi, V⁶₄, 7, C# i

B. Postlude only (mm. 116-119)

116

land.

119

land.

Harmonic analysis labels: E I, V, C# V⁷, i, (dominant transformation)

Example 4.15: Recompositions of D. 636 to end in C# minor

Another ending with an effect similar to the one in C# minor would be E minor (Example 4.13C). If Example 4.15A is transposed to end in E minor, then the motion from E major to E minor would mimic the G major to minor motion as well as truly fulfilling the E minor allusion in mm. 8-9; the protagonist would remain in the depths of the cold and damp valley. In any case, Schubert ends D. 636 in E major, maintaining the optimistic ending of D. 52, with the exception of the C# allusions.

The final settings to be discussed in this chapter are of Schiller's *Des Mädchens Klage* (D. 6, 191, and 389). Each setting is structurally different from the others, especially the through-composed form of D. 6 compared to the strophic forms of the latter two versions. In the poem, there are two characters: a maiden and a heavenly being (Example 4.16). The first stanza is a narrative depiction of a weeping maiden on a shore in a storm-like atmosphere; the second stanza is her plea that the heavens take her and her broken heart (the latter plea is in quotation marks). The final two stanzas are from the perspective of the heavenly spirit that is observing the maiden.

Der Eichwald brauset, die Wolken ziehn, Das Mägdlein sitzt an Ufers Grün, Es bricht sich die Welle mit Macht, mit Macht, Und sieseufzt hinaus in die finstre Nacht, Das Auge von Weinen getrübet. „Das Herz ist gestorben, die Welt ist leer, Und weiter gibt sie dem Wunsche nichts mehr, Du Heilige, rufe dein Kind zurück, Ich habe genossen das irdische Glück, Ich habe gelebt und geliebet!“ Es rinnet der Tränen vergeblicher Lauf, Die Klage, sie wecket die Toten nicht auf; Doch nenne, was tröstet und heilet die Brust Nach der süßen Liebe verschwund'ner Lust, Ich, die Himmlische, will's nicht versagen. „Laß rinnen der Tränen vergeblichen Lauf, Es wecke die Klage den Toten nicht auf! Das süßeste Glück für die traurende Brust, Nach der schönen Liebe verschwund'ner Lust, Sind der Liebe Schmerzen und Klagen.“	The oak-wood roars, the clouds scud by, the maiden sits on the verdant shore; the waves break with mighty force, and she sighs into the dark night, her eyes dimmed with weeping. “My heart is dead, the world is empty, and no longer yields to my desire. Holy one, call back your child. I have enjoyed earthly happiness; I have lived and loved!” Tears run their vain course; lamenting does not awaken the dead; but say, what can comfort and heal the heart when the joys of sweet love have vanished? I, the heavenly, shall not deny it. “Let tears run their vain course; let lament not awaken the dead! For the grieving heart the sweetest happiness, when the joys of fair love have vanished, is the sorrow and lament of love.”
--	--

Example 4.16: Text and translation of Schiller's *Des Mädchens Klage* (*The Maiden's Lament*)

D. 6 is a polyfocal setting that involves three keys: D minor, F major, and C major. The opening D minor extends through the first three lines of the second strophe (mm. 1-53), coinciding with the description of the heartbroken maiden and her plea. It is only when the maiden recalls her pleasant life that the shift from D minor to F major occurs (during a recitative, mm. 53-58).⁷⁶ In fact, proleptic allusions to F major occur in mm. 36-37 and 44-45 (the latter is a textual repetition and musical variation of the former). As the maiden states that the world is empty, the dominant of a potential authentic cadence in F major is transformed to V_3^6 of D. If F major represents life and D minor death, then Schubert aptly portrays the emptiness of life with the divergence to D minor.

The polyfocal analysis of D. 6 in Example 4.17A shows that two analeptic allusions to D also occur during the span of F. The first is a brief resolution to D in m. 56, immediately after the shift to F during the recitative (mm. 53-58). The resolution aligns with *habe* (*have*) in the phrase *ich habe gelebt und geliebet* (*I have lived and loved*), adding poignancy to the use of the past tense (*habe gelebt*) since she has lost her love and therefore her reason to live. The second analepsis to D is also brief and takes place at the onset of the third strophe when the spirit begins its portion of the song. In this case, Schubert pairs the resolution to D in m. 68 with *Tränen* (*tears*) as the spirit considers the purpose of tears. By the time the fourth strophe begins in m. 80 (mid-phrase), C major has been firmly established as tonic and remains as such for the rest of the song. The unexpected C major ending causes a plagal motion (F-C) that suggests otherworldliness to the spirit's reassuring speech.

⁷⁶ The transition from D minor to F major involves parsimonious voice leading in m. 54 that resembles a dominant transformation, but here it is a transformation between chords that function as secondary dominants (i.e. a secondary-dominant transformation). A German augmented sixth occurs on the downbeat of m. 54 (the $B\flat$ is implied from the previous chord; the same chord also appears in mm. 39 and 47) and shifts to $B^{\circ 7}$ on the third beat of the same measure, requiring a single semitone motion from $B\flat$ to $B\sharp$ in addition to respelling $G\sharp$ as $A\flat$. This has been the only instance of this type of transformation that I have found in Schubert's songs.

A. Polyfocal analysis of D. 6 *Strophe 1*

[illegible]

B. Polyfocal analysis of D. 191

Figure 10: Example of a polylocal analysis of a 14-measure phrase. The analysis is shown in two staves. The top staff is a musical score with 14 measures, each numbered 1 through 14. The bottom staff is a polylocal analysis showing the sequence of chords and their functions. The chords are: C_i , E_b , $\text{V}^7 \text{ I}$, $\text{V}_5^6 \text{ I}$, $\text{I}^6 \text{ V}^7$, vi , and $\text{V}_{4 \ 4}^{6 \ 7} \text{ i}$. The analysis also includes a sequence of functions: $\text{V}^7 \text{ i}$, V^7 , $\text{V}^7 \text{ i}$, $\text{vii}^{o7} \text{ i}$, and $\text{V}^7 \text{ i}$. The analysis is a polylocal analysis, meaning it considers multiple local contexts simultaneously.

C. Introduction to D. 191

D. Monotonal analysis of D. 389

D: Monotonal analysis of D: 589

3 3 3 2 1

1 4 5 8 9 10 11 12 13 14

C i v⁶ $\frac{5}{3}$ vii⁰⁷ i 6 V⁶₄ 7 i

Example 4.17: Analyses of *Des Mädchens Klage* (D. 6, 191, and 389)

An interesting observation can be made about D. 52 (*Sehnsucht*, first setting) when the structures of D. 6 and D. 52 are compared. In D. 52, as the protagonist becomes permanently lost in his optimism, D minor is gradually subordinated to F major. In D. 6, as the maiden becomes distracted by memories of her former happy life, D minor is abandoned for F major, which is the least extensive of the song's three tonal centers. Rather than leave the maiden in her daydream, the spirit intercedes with C major, helping her to attain a heavenly state that is never reached in D. 52. Since D. 6 and D. 52 share a similar D-F motion that can represent reality and dreams (respectively, in both songs), perhaps Schubert would have also ended D. 52 in C major had he believed the protagonist would eventually reach his heavenly sanctuary.

Schubert's next setting of *Des Mädchens Klage*, D. 191, is very different from D. 6 in regard to form and overall mood. D. 191 is strophic and can be analyzed monotonally in C minor, but as in D. 116 and 52, more information can be gleaned from a polyfocal analysis, as in Example 4.17B. Tonicizations of E \flat major occur in mm. 3, 7-8, and 11-12, causing a quasi-oscillatory effect with C minor. Although an E \flat authentic cadence closes the first phrase with text (m. 8), its structure is not truly oscillating since there are three C minor cadences (mm. 4, 12, and 14) to this single E \flat cadence. The final allusion to E \flat in mm. 11-12 is especially weak in that it is approached by a German augmented sixth chord with an unusual resolution to E \flat in m. 11, and shifts back to C minor in m. 12 via a dominant transformation. The unexpected resolution to E \flat and an immediate transformation back to C minor reveal the true subordinate nature of E \flat in this setting.

Unlike Schubert's through-composed songs, there is no strong correlation between the relative key alternations and the text in D. 191. Furthermore, as mentioned in Chapter 2, any correlations would become less meaningful after the initial strophe since the same music is

recycled with different text. Instead, the alternating keys provide a general characterization of the overall mood of the poem: overwhelming grief interspersed with memories of happiness.

Whereas the spirit was able to lighten the mood in D. 6, there is no such change in D. 191.

The piano introduction and consistent accompanimental figuration also contribute to the oppressive feeling of gloom in D. 191. The first two measures of the introduction present a juxtaposition of two relative triads, but they are A \flat major and F minor rather than E \flat and C. The alternative analysis of these two measures in Example 4.17C shows that the first measure can be interpreted as an arpeggiation of A \flat major, followed by a resolution to F minor in the second measure.⁷⁷ The motion from relative major–minor in the first two measures already sets the mood for the song and is further emphasized by the same motion from E \flat major–C minor in mm. 3–4. The introduction is also repeated with each strophe and again at the end of the song. Since the postlude makes listeners anticipate more strophes, the maiden’s suffering continues in the imagination of the audience even after the song has ended. The constant sixteenth note triplets in the accompaniment also contribute to the never-ending quality of D. 191.

The third setting of *Des Mädchens Klage* (D. 389) is similar to D. 191 in that Schubert retains the strophic form, key of C minor, and the driving sixteenth note triplets in the accompaniment. The major differences between the two versions are that D. 389 lacks a piano introduction or any resemblance of polyfocal tonality, the latter making monotonal analysis the best method to approach the song (Example 4.17D). There is no alternation with the relative major in D. 389; instead, there is a tonicization of the minor dominant (mm. 4–5) that is

⁷⁷ The introduction was not in the original version of the song and was probably added when Schubert grouped D. 191 with *An Emma* (D. 113) and *Hektors Abschied* (D. 312) as op. 58. It happens that *Hektors Abschied* is polyfocal, shifting from F minor/major to A \flat major, and *An Emma* is in F minor, therefore making A \flat major and F minor quite audible during the initial hearing of the introduction to D. 191 (when the songs are heard in order). It seems no coincidence that Schubert includes A \flat and F in the introduction. When heard out of the context of op. 58, A \flat ’s presence is weak because it is in first inversion, especially since the first pitches sound like $\hat{1}$ - $\hat{3}$ - $\hat{6}$ in C minor during the strophic repetitions.

prolonged by a deceptive resolution in m. 6 that spurs brief tonicizations of A \flat and B \flat major in mm. 6-9, ultimately returning to the minor dominant at the end of m. 9. The prolongation of the minor dominant seems to have the opposite effect of the relative alternations in D. 191. D. 389 is undoubtedly Schubert's least sympathetic setting, offering the maiden little, if any, solace.

It is quite plausible that events in Schubert's life may have affected at least some of his revisions and recompositions. In the case of *Des Mädchens Klage*, Schubert wrote D. 6 around 1811 or 1812 when he was at most sixteen years old and had an unknown future to look forward to. Soon after composing D. 6, Schubert experienced many hardships including his mother's death in 1812, his voice 'crowning' in 1812, a friend's death in 1813, an unfulfilled love interest from 1814-1816 (after which he renounced marriage), and an unsuccessful job search in 1816.⁷⁸ Schubert also joined the "Bildung Circle" in 1815, which consisted of students who embraced reflections of reality and shunned Romantic trends such as indulging in dream worlds.⁷⁹ In addition to everything else, twentieth and twenty-first-century commentators have speculated that Schubert suffered from cyclothymia, a form of bipolar disorder, and may have begun feeling its effects around the same time he joined the Bildung Circle.⁸⁰ It is easy to imagine that all of these events (in addition to contracting syphilis) led Schubert to have darker interpretations of the poems he set, as is evident in his progression of *Des Mädchens Klage* settings.

Regardless of the motivation, the fact remains that each successive setting of *Des Mädchens Klage* becomes less polyfocal and more grounded in the minor mode. Although it is

⁷⁸ Elizabeth McKay, *Franz Schubert: A Biography* (Oxford: Oxford University Press, 1996): 25-56.

⁷⁹ *Ibid.*, 45-50.

⁸⁰ *Ibid.*, 137-44 and 150-51. The idea of disabilities being reflected in composers' works is a topic that has recently received attention from many music scholars, most notably in Neil Lerner and Joseph Straus, eds., *Sounding Off: Theorizing Disabilities in Music* (New York: Routledge, 2006). There is even a hypothesis that Schubert had a condition known as intra-uterine growth retardation, influencing his music. See Roger Neighbour, "The Doppelgänger Revealed?" in *Schubert the Progressive: History, Performance Practice, Analysis*, ed. Brian Newbould (Burlington: Ashgate Publishing Company, 2003): 143-45. More recently, Brian Hyer presented the case for the possible portrayal of autism in Schubert's music. Brian Hyer, "Mimetic Failure and Moral Autonomy in Schubert's 'Die Stadt,'" Society for Music Theory annual meeting, Nashville, 7 Nov. 2008.

unknown if Schubert truly had his prior settings in mind when composing D. 389, its basic similarities to D. 191 are hard to dismiss. The same can be said for his settings of *Der Geistertanz* and surely for *Sehnsucht*, the endings of which share nearly the same material, even with approximately eight years separating the settings.

CHAPTER 5: CONCLUSION

Trends in Schubert's Polyfocal Lieder

Over Schubert's lifetime, he composed many great works, but the only notable polyfocal compositions are found in his music with text, mostly in his Lieder. Schubert composed more than half of his 600 or so songs between the years 1814-1817; not surprisingly, these are the years during which he wrote the majority of his polyfocal Lieder. While his song output varies each year after 1817, he permanently abandoned polyfocal tonality after 1823. During the final five years of his life, Schubert composed around 132 songs, just shy of the number he composed in 1815 alone. Of the songs composed in 1815, 25 are polyfocal, which make the complete absence of any in the final five years of his life baffling.⁸¹

As shown throughout this study, Schubert's decision whether or not to compose a polyfocal Lied is almost always driven by textual considerations. The topics of the texts that received polyfocal treatment consistently revolve around three themes, often occurring in combination: (1) lament caused by death or unrequited love; (2) distance, whether physical, mental, or mystical; or (3) some type of external or psychological change (e.g. day to night, life to death, and rejection or acceptance of past events; even a poem that depicts a longing for an unrealized fundamental change of this sort can elicit a polyfocal response from Schubert). These topics are certainly present in Schubert's monotonal songs, but the texts he chose to set polyfocally must have stood out to him as inviting special musical treatment.

⁸¹ Some of Schubert's late Lieder have polyfocal features that could easily have lead to true polyfocal tonality, but he never takes the polyfocal option after 1823. An example of this is *Der Wallensteiner Lanzknecht beim Trunk* (D. 931), composed in 1827. This strophic song is in G minor, but B \flat major is tonicized over much of it, and even governs the majority of cadences. However, the piano introduction (mm. 1-6) foretells that G minor will ultimately subsume its relative major, and the repeated strophes drive home that fact. Had Schubert not turned back to G minor at the last moment in the final phrase, D. 931 would be among Schubert's polyfocal output.

Polyfocal structures emphasize dramatic content by drawing listeners' attention to important textual features through deformation of tonality. Such structures transcend the monotonal harmonic devices that often portray text–off-tonic openings, parallel shifts in mode, or temporary tonicizations—by replacing them with a permanent change in key, thus heightening the effect. The table in Example 5.1 summarizes all of the songs discussed in this study by listing the general topic(s) of their texts, type of polyfocal structure, and tonal scheme. It is conceivable that Schubert restricted polyfocal tonality to a select number of texts, retaining their dramatic impact by not desensitizing listeners with an inundation of polyfocal structures.

The majority of Schubert's polyfocal structures rely on the tonal juxtaposition of mediant keys (mostly relative major and minor), but some are based on more remote relationships, creating less normative and therefore more intense textual/musical relationships (see the rightmost column in Example 5.1 for a list of all of the tonal schemes discussed in this study, bold font denotes remote relationships). Just as Schubert's polyfocal songs are a minority within his overall song output, so too are the non-median relationships among his polyfocal structures. It is possible that Schubert reserved these special tonal relationships for the texts he thought were the most dramatic, making them stand apart from the average polyfocal structure.

There seems to be no discernable pattern to the matching of structural type to textual theme in Schubert's polyfocal songs, but a generalization can be made about structures that involve one polyfocal device; tonal oscillation. Schubert tends to set texts, or portions of text, that prominently fluctuate in mood with oscillating structures. In oscillating two-key structures, the mood of the text is constantly changing; while in structures with more than two keys, oscillations are confined to one or more sections of the text that fluctuate in mood, the remainder being stable. Mood also alternates in texts that Schubert does not set with oscillation (both

Key:	Deutsch number:	D.	Major or minor mode:	M or m (respectively)
	Version number:	D. (X)	Change of mode:	Mm or mM
	2-key, non-oscillating structure:	2 n/osc	Direct transition:	X:Y
	2-key, oscillating structure:	2 osc	Pivoting transition:	X~Y
	3- or 4-key, non-hybrid structure:	3-4 n/hyb	Oscillation in key scheme:	X/Y (Y is the final key)
	3- or 4-key, hybrid structure:	3-4 hyb	Half cadence:	(V)
	Strophic form causing oscillation:	“X”	Non-median relationships:	Bold font (italics or underlining show pairs)

SONG		TEXT THEME			POLYFOCAL STRUCTURE				
D.	Title	Lament	Distance	Change	2 n/osc	2 osc	3-4 n/hyb	3-4 hyb	Tonal Scheme
6	<i>Des Mädchens Klage</i>	X		X			X		<u>Dm~FM:CM</u>
7	<i>Leichenfantasie</i>	X						X	<u>Dm/FM/B♭M/Gm</u>
50	<i>Die Schatten</i>			X	X				AMm~CM
63	<i>Wer die steile Sternenbahn</i>			X				X	Am/CM~EM
142 (6)	<i>Geistes-Gruss</i>		X		X				EM(V):GM
143	<i>Genügsamkeit</i>			X		“X”			C♯m~EM
217	<i>Kolmas Klage</i>	X						X	Cm:A♭M:Fm
218	<i>Grablied</i>			X		“X”			A♭M~Fm
222	<i>Lieb Minna</i>	X				X			A♭M/Fm
226	<i>Erster Verlust</i>	X				X			A♭M/Fm
289 (2)	<i>Die Sommernacht</i>	X		X		X			Am(V)/CM
436	<i>Klage</i>	X			X				FM:Dm
490	<i>Der Hirt</i>	X				X			Dm/FM
494	<i>Der Geistertanz</i>			X	X				Cm:A♭M
509	<i>Leiden der Trennung</i>		X	X	X				Gm~B♭M
544	<i>Ganymed</i>		X	X			X		A♭Mm: <u>C♭M~EM~FM</u>
545 (1)	<i>Der Jüngling und der Tod</i>			X			X		EMm~GMm~B♭M
545 (2)	<i>Der Jüngling und der Tod</i>			X			X		<u>EMm~GMm~Dm~FM</u>
548	<i>Orest auf Tauris</i>		X	X			X		<u>Emm:GMm~BMm:DM</u>
636	<i>Sehnsucht</i>			X	X				GMm~EM
659	<i>Hymne I</i>			X				X	Am/CM:A♭M:Fm
700	<i>Freiwilliges Versinken</i>			X	X				FM~Dm
702	<i>Der Jüngling auf dem Hügel</i>	X		X			X		Em:CM:GM

Example 5.1: Table of text themes and structures

monotonal and polyfocal), but he commonly sets these texts with common devices such as off-tonic openings, parallel shifts in mode, or temporary tonicizations; both settings of Schiller's *Sehnsucht*, D. 52 and 636, are good examples of these features in monotonal and polyfocal structures, respectively. Tonal oscillations have a different dramatic effect than any of these other devices since they keep the listener in tonal suspense until the song or section ends. As with non-median juxtapositions, Schubert may have reserved oscillation for texts he thought had a special quality.

Non-oscillating polyfocal structures do not consist of simple juxtapositions of blocks of music in different keys; temporary tonicizations often occur that may refer backward, or forward, to one of the principal tonalities, and are thus termed tonal allusions. Since these allusions can have a narrative role by foreshadowing or recalling a key (and the poetic mood or action associated with it), they have a greater impact on the listener, bringing more attention (and possibly interpretive meaning) to the text than a more incidental tonicization. With the exception of the second version of *Der Jüngling und der Tod* (D. 545), all of Schubert's polyfocal compositions with text exhibit tonal allusion.⁸² In comparison, only one of Schubert's polyfocal piano miniatures include tonal allusion (Graz Waltz, D. 924, no. 9, as discussed in Chapter 1), reinforcing the idea that Schubert's compositional choices for polyfocal structures were largely instigated by text.

Text also seems to influence Schubert's method of transition between keys. Direct shifts to another key usually coincide with a drastic change in mood of the text (as in the final two stanzas of *Der Geistertanz*, D. 494), a change of character (narrator to protagonist, as in *Geistes-*

⁸² It could be argued that *Ganymed* (D. 544) has no allusion, but as discussed, the modal mixture in the F major postlude hints at the opening A♭ major. Conversely, it can also be argued that since allusion is present in the first version of *Der Jüngling und der Tod*, the lack of allusion in the second version may simply be a byproduct of the transposition of Death's section, therefore making it a weak example in regards to the absence of allusion.

Gruss, D. 142), or perhaps Schubert's implication of a dramatic change (as in the final stanza of *Klage*, D. 436). As discussed in Chapter 1, direct shifts can seem to have the potential to make polyfocal songs sound like they have separate movements within a *scena*-like structure, but cohesive elements like parallel structures, a single *Kopftön* in a song, tonal allusion, and the text itself bring unity to these compositions. In fact, all of Schubert's polyfocal songs with direct shifts employ all of those features (except two-key structures, which cannot have both parallel structures and a single *Kopftön*).

Take *Hymne I* for instance (D. 659, the graph is given again in Example 5.2). On the surface, the final two sections in *Hymne I* (mm. 75-98 and 99-end) are quite disjointed from the beginning of the song and from each other, but there is a high degree of unity in their structures. The final two sections have the same *Kopftön* of C⁵; each structure, moreover, parallels one of the two previous structures in mm. 1-74, both of which have the same *Kopftön* of E⁵. This parallelism lies in the fact that the final two structures are in the reverse order of the first two (5-line to 3-line, then 3-line to 5-line), thus creating a mirror symmetry that provides another level of unity. Additionally, the *Kopftön* of the second pair of structures picks up where the first pair left off, C⁵.

Strophe 1

The musical score for *Strophe 1* of *Hymne I*, D. 659, is presented in a polyfocal analysis. The score is divided into four sections labeled 1, 2, 3, and 4. Section 1 (mm. 1-46) is in E major, section 2 (mm. 75-81) is in E major, section 3 (mm. 99-107) is in C major, and section 4 (mm. 122-135) is in C major. The score includes a piano accompaniment and a vocal line. The piano accompaniment features a series of chords and intervals, with some marked as 'div.' (divided). The vocal line features a series of notes and rests, with some marked as 'div.' (divided). The score is annotated with various musical symbols and numbers, including measure numbers and chord symbols.

Example 5.2: Polyfocal analysis of *Hymne I*, D. 659

Schubert's other transitions have a pivot chord (or area) that can either occur between lines of text or during a line of text. The pivots that take place between lines of text are simply piano interludes that soften what could be a direct transition, as is case in the piano interlude in *Der Jüngling und der Tod* that leads to Death's section in both versions. The transitions that occur during a line of text are harder to detect since they occur mid-phrase and involve the voice part, like the transition from G minor to B \flat major in mm. 13-14 of *Leiden der Trennung* (D. 509, 2nd version, Example 5.3). At first, the transition sounds like a temporary tonicization (or allusion) that emphasizes the first mention of "zum Meer" (*the sea*), as discussed in Chapter 2. The diachronic listener would probably suspect a return to G minor, and actually hears a brief relapse in m. 17 (again, approached by dominant transformation in m. 16), but the moment quickly passes as B \flat resumes that same measure. By the end of the song, the wave's longing (G minor) is replaced with optimism (B \flat major), so the listener is left to retrospectively figure out where the transition occurred since it is not as blatantly obvious as direct transitions. It may take many hearings and some analysis before the subtle transition is located.

In addition to direct or pivoting transitions, Schubert often shifts between mediant keys by means of dominant transformations, during which (as discussed in Chapter 1), one dominant transforms into the other through parsimonious voice leading. Such transformations are, in

13

mur-meln-den Ba - che, im Brun - nen ge- ma - che zum Meer, zum Meer, von dem sie kam, Von dem sie

Chord symbols below the piano part:

G $\text{vii}^{\circ 4}_3$ i^6 V^4_3 i $\text{B}\flat$ vi $\text{vii}^{\circ 4}_3$ I^6 V^4_3 I IV^6 V^7 $\text{vii}^{\circ 7}$ i vi V^6_5 I $\text{vii}^{\circ 6}_5$

Dynamic markings: *fp*, *fp*, *cresc.*

Example 5.3: Transition from G minor to B \flat major in *Leiden der Trennung* (D. 509, 2nd version)

essence, a hybrid of direct and pivoting transitions because the function of dominant harmony is used as a pivot while the actual motion is directly from one key to the other. Since Schubert uses dominant transformations to initiate both tonal allusions and permanent changes of key, they do not act as indicators of allusions or more structurally essential key changes, but rather as clues that one or the other has taken place.

Another feature of Schubert's polyfocal Lieder is the interpretive richness of structures with more than two keys, the configuration of which often resembles arpeggiations or sequences, or both. In such cases, multiple interpretations should be taken into consideration, reflecting what listeners might experience at various stages of hearing. Although this requires multiple graphs, as seen in the cases of *Ganymed* (D. 544) and *Orest auf Tauris* (D. 548), it is the only way to account for all plausible interpretations that reveal pertinent relationships between text and music.

Lastly, piano postludes can play an important role in Schubert's polyfocal songs. Some of Schubert's postludes include musical features that are essential to the form of the song, requiring them to be included in graphic analyses, whereas most postludes (and codas) are omitted from graphic analyses due to their redundant nature. Obvious examples of this are the postludes that include changes of key, as was seen in *Lieb Minna* (D. 222), *Erster Verlust* (D. 226), and *Der Hirt* (D. 490). The only other example can be found in *Die Nacht* (D. 534), a scena whose seven measure postlude unexpectedly ends in A minor, the most underrepresented key in the scena (similar to G minor in *Leichenfantasie*). Along with presenting the final key of the songs, these postludes also provide structural closure since the voice has no chance to close in the final key.⁸³

⁸³ A unique example of a postlude that provides closure in a polyfocal context, but does not change key, is *Laura am Klavier* (D. 388, both versions). The voice ends on $\hat{2}$ (m. 85 in version 1 and m. 93 in version 2) and the piano provides a descent to $\hat{1}$ in the postlude.

Less evident examples are the postludes that contain analeptic allusions. Such late occurring allusions present the possibility that a song could end in the key that the allusions reference. The allusions cause the final key to be unpredictable until the final cadence occurs; therefore the final cadence is the structural close of the song. These important moments need to be included in analyses so the true experience of the song is preserved. Only five such cases exist in Schubert's polyfocal songs, including *Kolmas Klage* (D. 217), *Grablied* (D. 218), *An die Geliebte* (D. 303), *Laura am Klavier* (D. 388) and *Klage* (D. 436). As will be discussed in the next section, this feature may be important in later polyfocal compositions by other composers.

A more prominent feature in the postludes of Schubert's polyfocal songs, but less structurally important, is modal mixture. As previously discussed, modal mixture often appears as the grief motive ($\flat\hat{6}-\hat{5}$) and usually evokes melancholy when it occurs in the context of a major mode ending. Simultaneously, in juxtapositions of relative keys, $\flat\hat{6}$ of the major key is the enharmonic spelling of the minor key's leading tone, thus foreclosing the return of the minor key and asserting the prominence of the major key. Examples of modally mixed grief-motives that were discussed in this project include *Die Sommernacht* (D. 289, both versions), *Leiden der Trennung* (D. 509), *Ganymed* (D. 544), *Orest* (D. 548), and *Freiwilliges Versinken* (D. 700). Other examples in Schubert's polyfocal Lieder include *Hektors Abschied* (D. 312), *Hermann und Thusnelda* (D. 322), *Klage der Ceres* (D. 323), *Laura am Klavier* (D. 388, second version only), *Aus Diego Manazares* (D. 458), *Lied des Orpheus* (D. 474, first version only), *Sehnsucht* (D. 516), *Uraniens Flucht* (D. 554), and *Grenzen der Menschheit* (D. 716).

Further Applications

In this study, I have presented a method of analyzing Schubert's polyfocal Lieder and a survey of the compositional tendencies in these, the earliest significant body of polyfocal repertoire. With this information, analysts can approach polyfocal compositions by other composers (notably Chopin, Brahms, Mahler, Strauss, Wolf, and Wagner) to investigate the evolution of polyfocal tonality after Schubert, and even to precursors that predate Schubert.⁸⁴ As shown in the case of *Ganymed* (D. 544), polyfocal analysis can even shed light on compositions with a lengthy analytical pedigree, revealing new interpretations that are lost in monotonal perspectives.

One case in point that was mentioned in Chapter 1 is Brahms's Intermezzo, op. 118, no. 1. Cone states that this Intermezzo is a composition that, perhaps more than most, requires a "Third Hearing."⁸⁵ Although Cone discusses the first portion of the Intermezzo's ambiguous tonal structure, he does not provide a graphic analysis of such a reading and does not discuss the final section (mm. 32-43), which contains the defining tonal moment of the Intermezzo. Example 5.4 provides a polyfocal analysis of the Intermezzo that accurately depicts a third level reading of the structure as oscillating between C major and A minor.

The Intermezzo is in rounded binary form with coda, as shown above the graph in Example 5.4. Contrary to Cone's reading of F major as a possible tonic (due to its tonicization in the first four measures), I hear F functioning as an off-tonic opening: it is the only resolution to F in the entire Intermezzo, F is in first inversion, and an A minor triad muddles the resolution

⁸⁴ One seeming precursor of polyfocal tonality are the songs by Johann Friedrich Reichardt (1752-1814). Reichardt composed a large number of songs, mostly short and strophic. Both Kramer and Clark mention Reichardt's setting of *Ganymed* as an influence on Schubert's. See Kramer, *Schubert: Sexuality, Subjectivity, Song*, 127-128, and Clark, "Schubert, Theory and Analysis," 231-237. Since Reichardt's music is mostly out of print, reliable scores were not available for this study, but I plan to research them in the future to examine the extent to which Reichardt influenced Schubert's polyfocal song writing.

⁸⁵ Cone, "Brahms Intermezzo," 87-90.

Form ||: **A** (IAC:CM):||: **B** (IAC:Am):|| **A'** (PAC:Am):|| **Coda** (IAC:Am):||

The musical score is presented in a two-staff format (treble and bass clef). Above the staff, measure numbers are indicated: 3, 5, 6, 7, 8, 11, 14, 17, 20, 25, 27, 28, 36, 38, 39. Below the staff, various harmonic annotations are provided, including Roman numerals (e.g., IV⁶, VI⁶, Fr⁴, V⁹, V⁷, I, V⁷, i³, ⁴, vii⁵, I⁶, III⁶, IV⁶, I⁶, III⁶, V⁷, i³, ii⁶, vii⁵, ⁴, vii⁵, i) and other markings such as 'div.', 'X', and 'A'. The score is divided into sections labeled A, B, A', and Coda, with their respective IAC and PAC notations.

Example 5.4: Polyfocal analysis of Brahms's Intermezzo, op. 118, no. 1

from C⁷ to F in m. 2. Rather, F acts as a predominant for both C and A, potentially leading to one or the other. Initially, it appears that A minor will be the goal since F unfolds to a French augmented sixth in A in m. 5, but rather than resolving the latter to the dominant of A, Brahms continues unfolding F into a fully diminished seventh chord in m. 6 that could resolve to the dominant of either key.

The latter chord resolves to V⁷ of C in m. 7, but Brahms creates a perplexing moment on beat three, where, if the A-flats in the right hand were spelled as G-sharps, the dominants of both keys would be simultaneously present, again suggesting another fork in the road: when spelled as A^b, they present modal mixture in C major; if spelled as G[#], then they could resolve to A (although it would result in a strange bass motion). Example 5.5 presents resolutions to both keys to show that each are viable, especially since the inner-voice melody can fit either scenario (this melody occurs in the context of A minor in mm. 27-28). Ultimately, a resolution to C major occurs in m. 8 and is prolonged through m. 10. This resolution causes the chromaticism in m. 7 to be understood as modal mixture in C major, but the initial uncertainty of the resolution implies a promissory status to the “G[#].” Indeed, the potential resolution to A comes to fruition in mm. 11-12, 27-28, and 37-39, the first of which effectively reverses the A-A^b-G descent to an ascent of G-G[#]-A.

A. Original cadence (C major)

5

VI A IV C

Fr 6

vii^o7/V

V⁹

V⁷

I

sf

B. Hypothetical cadence (A minor)

5

VI A IV C

Fr 6

vii^o7/V

V⁹

V⁷

i

sf

Example 5.5: Possible cadences for the first phrase in Brahms's Intermezzo, op. 118, no. 1

The second section of the Intermezzo, mm. 11-30a, begins unambiguously in A minor, with the resolution of G[#]-A in m. 11 and a half cadence in A minor in m. 14. The next phrase begins with an A minor triad in root position, but a quasi-sequential progression in mm. 17-19 leads to V⁷/V of C, which is emphasized by a statement of the descending-third motive from the opening measures. On the downbeat of m. 20, another fully diminished seventh chord appears that again could resolve to V of either key, but is spelled here as vii^o7/V of A. Rather than resolve vii^o7/V of A to V (like the chord resolved to V of C in mm. 6-7), Brahms resolves it to a C major triad in first inversion that begins a restatement of mm. 1-2. Brahms then extinguishes any chance for a return to F by transposing the material in mm. 3-4 up a perfect fifth to C major, making mm. 23-24 the climax of the Intermezzo.

Since C major is the goal of the first section and appears at the climax of the Intermezzo, it would be reasonable to predict that the composition would end in that key. Brahms quickly undermines that hypothesis by closing the second section with a perfect authentic cadence in A minor (preceded by another ambiguous quasi-sequential progression in mm. 25-27); including a statement of the initial descending third motive that corrects B \flat to B \sharp (compare Example 5.6A and B). The second section therefore begins and ends in A minor, making it impossible to predict the tonal outcome due to the strong presence of both keys.

The coda, mm. 29b-41, opens with a series of dominant functioning chords that resolves to the next harmony: B 7 (m. 30), E 7 (mm. 31-34), C \sharp^{o7} (m. 34), and D (m. 35). If the D major chord in m. 35 resolved in a similar fashion, then m. 36 would bring some kind of G major

A. Measures 1-2

Motive: C B \flat A

B. Measures 27-28

Motive: C B \flat A

Example 5.6: Descending third motives in Brahms's Intermezzo, op. 118, no. 1

harmony that could then simply resolve to C major, presenting a clear ending as in Example 5.7A. Brahms prevents such a predictable ending by shifting the D major triad on the downbeat of m. 35 to a D minor in m. 36. He then arpeggiates a fully diminished seventh chord in mm. 37-38 that could resolve to either C or A (once again, the spelling gives away the resolution). In essence, this predicament is similar to the one presented in the first section: an ambiguous predominant harmony (first F, now D) is followed by an ambiguous dominant harmony (first the simultaneous dominants, now the fully diminished seventh chord). Whereas the first instance resolves to C major, the final resolves to a picardy ending in m. 41 on A major (Example 5.7B). Interestingly, a resolution to C major in m. 41 sounds more natural since the outer voices would resolve by step in contrary motion (Example 5.7C). Perhaps Brahms wanted to bring more attention to the A major ending with the unusual leaps in the bass and melody.

A. Hypothetical continuation of dominant chain, ending in C major

35

f

sf

[C] II $\sharp 6/4$ V $6/4$ $5/3$

38

p

dim. rit.

I

Red.

Example 5.7: Ending to Brahms's Intermezzo, op. 118, no. 1

B. Original ending in A minor

35

38

dim. rit.

p

Rea

Chord symbols:

- Measure 35: C $\text{ii}^{\#6}_4$, A $\text{iv}^{\#6}_4$
- Measure 36: C $\text{vii}^{\circ 6}_5$, A $\text{vii}^{\circ 4}_3$
- Measure 38: C $\text{vii}^{\circ 6}_5$, A $\text{vii}^{\circ 4}_3$

C. Hypothetical resolution to C major

35

38

dim. rit.

p

Rea

Chord symbols:

- Measure 35: C $\text{ii}^{\#6}_4$, A $\text{iv}^{\#6}_4$
- Measure 36: C $\text{vii}^{\circ 6}_5$, A $\text{vii}^{\circ 4}_3$
- Measure 38: C $\text{vii}^{\circ 6}_5$, A $\text{vii}^{\circ 4}_3$

Example 5.7 (Continued): Ending to Brahms's Intermezzo, op. 118, no. 1

Even though my polyfocal analysis of the Intermezzo lacks an emphasis on F, it portrays the third level of hearing caused by the oscillation of C major and A minor that Cone discusses. In my analysis, the notation does not give away which key will be the “winner,” but merely graphically presents the interplay between the keys. This is not the case in the analysis by Schenker that Cone cites (Example 5.8). A polyfocal analysis reveals that the ambiguous off-tonic opening is essentially varied in the coda; the dominant functioning harmony of mm. 37-38 could resolve to either key, thus suspending the tension between the keys to the very end (a point Cone does not mention).



Example 5.8: Schenker's analysis of Brahms's Intermezzo, op. 118, no. 1⁸⁶

Brahms's Intermezzo displays the same fluctuation between relative keys that renders the final key unpredictable as in Schubert's oscillating polyfocal Lieder, although the intermezzo has fewer cadences and more spans of ambiguous material. As discussed in the previous section, Schubert wrote five songs with similar last-minute ambiguity; of those, the most comparable may be *Der Hirt* (D. 490), in which the material preceding m. 20 could lead to either F major or D minor. More typical of Schubert, however, is a move to the final tonic before the last cadence, or a sudden shift after what seems to be a concluding cadence in another key. It appears that Brahms amplifies the disorientation between the keys by focusing on chords that function in both keys and delaying any certain outcome until the final cadence.

⁸⁶ Schenker, *Free Composition*, Figure 110d3.

In addition to polyfocal tonality, polyfocal analysis can provide valuable perspectives on monotonal compositions. As seen in Schubert's song setting of *Der Geistertanz* (D. 116, Chapter 4), polyfocal analysis is particularly useful when applied to monotonal compositions that exhibit polyfocal features. Monotonal compositions can also contain tonal allusions that refer to important harmonic events. Just as in polyfocal compositions, allusions can be emphasized in a monotonal framework through polyfocal notation, such as the allusions to B \flat major in Beethoven's Trio (refer to Chapter 1). Recurring tonal references can also be traced throughout multi-movement compositions by assigning a notehead to the desired key, perhaps especially useful in opera.

For more typical monotonal compositions, polyfocal analysis can feasibly be used to examine the expressive and motivic role of modulations. Polyfocal notation can be applied to modulating passages to expose how one key shifts to another, perhaps uncovering trends in composers' methods of modulations (such as dominant transformations in Schubert's songs). This may prove to be enlightening when comparing modulating transitions to their non-modulating counterparts in the exposition and recapitulation in sonata forms. Clearly, the adaptability of polyfocal analysis and the findings in Schubert's polyfocal Lieder will prove to be useful in future research on polyfocal tonality and monotonicity, in all genres, styles, and repertoires.

BIBLIOGRAPHY

- Abbott, H. Porter. *The Cambridge Introduction to Narrative*. 2nd ed. New York: Cambridge University Press, 2009.
- Agawu, V. Kofi. "Concepts of Closure and Chopin's Opus 28." *Music Theory Spectrum* 9 (1987): 1-17.
- _____. "Mahler's Tonal Strategies: A Study of the Song Cycles." *The Journal of Musicological Research* 6/1-2 (1986): 1-48.
- Anson-Cartwright. "Chasing Rainbows: Wolf's *Phänomen* and Ideas of Coherence." *Journal of Music Theory* 45/2 (Fall 2001): 233-261.
- Ausubel, Hillel. "Aspects of Modulation Practice in the Period Between 1890 and 1910." *The Music Review* 16/3 (August 1955): 218-227.
- _____. *The Effect of Chromaticism on Tonality: As Found In Selected Compositions From the Period Between 1890 and 1910*. Ph.D. diss., Columbia University, 1953.
- Babbitt, Milton Babbitt. "Remarks on the Recent Stravinsky." *Perspectives of New Music* 2/2 (1964): 35-55
- Bailey, Robert. "Wagner's Preliminary Draft: An Analytical Study of Sketches and Drafts." In *Richard Wagner: Prelude and Transfiguration from Tristan and Isolde*, ed. Robert Bailey, 113-146. New York: W.W. Norton and Company, Inc., 1985.
- Baldick, Chris. *The Oxford Dictionary of Literary Terms*. New York: Oxford University Press, 2009.
- Bartel, Dietrich. *Musica Poetica* (Lincoln: University of Nebraska Press, 1997
- Beach, David. "Modal Mixture and Schubert's Harmonic Practice." *Journal of Music Theory* 41/1 (1998): 73-100.
- Benjamin, William. "Interlocking Diatonic Collections as a Source of Chromaticism in Late Nineteenth-Century Music." *In Theory Only* 1/11-1/12 (February-March 1976): 31-52.
- _____. "Tonal Dualism in Bruckner's Eighth Symphony." In *The Second Practice of Nineteenth-Century Tonality*, ed. William Kinderman and Harald Krebs, 237-258. Lincoln: University of Nebraska Press, 1996.
- Boyd, James. *Tonality, Genre, and Form: Mahler's Lieder Eines Fahrenden Gesellen*. Ph.D. diss., University of Michigan, 1994.

- Bridgeman, Teresa. "Thinking Ahead: A Cognitive Approach to Prolepsis." *Narrative* 13/2 (2005): 125-159.
- Burmeister, Joachim. *Musical Poetics*, trans. Benito Rivera. New Haven: Yale University Press, 1993.
- Burstein, L. Poundie. "Devil's Castles and Schubert's Strange Tonic Allusion." *Theory and Practice* 27 (2002): 69-84.
- _____. *The Non-tonic Opening in Classical and Romantic Music*. Ph.D. diss., City University of New York, 1988.
- _____. "Unraveling Schenker's Concept of the Auxiliary Cadence," *Music Theory Spectrum* 27/2 (2005): 159-185.
- Clark, Suzannah. "Schubert, Theory and Analysis." *Music Analysis* 21/2 (2002): 209-244.
- Clarke, Frederick. "Schubert's Use of Tonality: Some Unique Features." *Canadian Association of University Schools of Music* 1/2 (Fall 1971): 25-38.
- Cohn, Richard. "Neo-Riemannian Operations, Parsimonious Trichords, and their "Tonnetz" Representations." *Journal of Music Theory* 41/1 (Spring 1997): 1-66.
- Cone, Edward. "Hearing and Knowing Music." In *Hearing and Knowing Music: The Unpublished Essays of Edward T. Cone*, ed. Robert Morgan, 49-60. New Jersey: Princeton University Press, 2009.
- _____. "Schubert's Promissory Note: An Exercise in Musical Hermeneutics." In *Schubert: Critical and Analytical Studies*, ed. Walter Frisch, 13-30. Lincoln: University of Nebraska Press, 1986.
- _____. *The Composer's Voice*. Berkeley: University of California Press, 1974.
- _____. "Three Ways of Reading a Detective Story – or a Brahms Intermezzo." In *Music: A View from Delft*, ed. Robert Morgan, 77-93. Chicago: University of Chicago Press, 1989.
- Cuyler, Louise. "Progressive Concepts of Pitch Relationships As Observed in the Symphonies of Brahms." In *Essays On Music for Charles Warren Fox*, ed. Jerald Graue, 164-180. New York: Eastman School of Music Press, 1979.
- Damschroder, David. *Harmony is Schubert*. New York: Cambridge University Press, 2010.
- Darcy, Warren. "Rotational Form, Teleological Genesis, and Fantasy-Projection in the Slow Movement of Mahler's Sixth Symphony." *19th-Century Music* 25/1 (2001): 49-74.

- Denny, Thomas. "Directional Tonality in Schubert's Lieder." In *Franz Schubert – Der Fortschrittliche?: Analysen, Perspektiven, Fakten*, ed. Erich Partsch, 37-53. Tutzing: Hans Schneider, 1989.
- Devoto, Mark. "Non-Classical Diatonicism and Polyfocal Tonality: The Case of Nielsen's Fifth Symphony, First Movement." In *The Nielsen Companion*, ed. Mina Miller, 257-288. Portland: Amadeus Press, 1994.
- Downes, Graeme. *An Axial System of Tonality Applied to Progressive Tonality in the Works of Gustav Mahler and Nineteenth-Century Antecedents*. Ph.D. diss., University of Otago, 1994.
- Enix, Margery. "Formal Expansion Through Fusion of Major and Minor: A Study of Tonal Structure in Tristan Und Isolde, Act I." *Indiana Theory Review* 1/2 (Winter 1978): 28-34.
- _____. *The Dissolution of the Functional Harmonic Tonal System 1850-1910*. Ph.D. diss., Indiana University, 1977.
- Everett, Walter. "Grief in 'Winterreise': A Schenkerian Perspective." *Music Analysis* 9/2 (1990): 157-175.
- Fanning, David. *Nielsen; Symphony no. 5*. Cambridge: Cambridge University Press, 1997.
- Frisch, Walter, ed. *Schubert: Critical and Analytical Studies*. Lincoln: University of Nebraska Press, 1986.
- Gibbs, Christopher. "Beyond Song: Instrumental Transformations and Adaptations of the Lied from Schubert to Mahler." In *The Cambridge Companion to the Lied*, ed. James Parsons, 223-244. Cambridge: Cambridge University Press, 2004.
- George, Graham. *Tonality and Musical Structure*. New York: Praeger Publishers, 1970.
- Hirsch, Marjorie. *Schubert's Dramatic Lieder*. Cambridge: Cambridge University Press, 1993.
- Hopkins, Robert. *Closure and Mahler's Music*. Philadelphia: University of Pennsylvania Press, 1990.
- Hoyt, Reed. "Chopin's Prelude in A minor Revisited: The Issue of Tonality." *In Theory Only* 8/6 (April 1985): 7-16.
- Jackson, Timothy. "Hinauf strebt's: Song Study with Carl Schachter." In *Structure and Meaning in Tonal Music: Festschrift in Honor of Carl Schachter*, ed. L. Poundie Burstein and David Gagné, 191-202. Hillsdale: Pendragon Press, 2006.
- Jones, William. *A Study of Tonality in the Symphonies of Carl Nielsen*. Ph.D. diss., Florida State University, 1973.

- Joseph, Charles. "Structural Pacing in the Nielsen String Quartets." In *The Nielsen Companion*, ed. Mina Miller, 460-488. Portland: Amadeus Press, 1994.
- Kaplan, Richard. "The Interaction of Diatonic Collections in the Adagio of Mahler's Tenth Symphony." *In Theory Only* 6/1 (November 1981): 29-39.
- Kinderman, William. "Directional Tonality in Chopin." In *Chopin Studies*, ed. Jim Samson, 59-75. New York: Cambridge University Press, 1988.
- _____. "Dramatic Recapitulation and Tonal Pairing in Wagner's *Tristan und Isolde* and *Parsifal*." In *The Second Practice of Nineteenth-Century Tonality*, ed. William Kinderman and Harald Krebs, 178-214. Lincoln: University of Nebraska Press, 1996.
- _____. "Romantic Meaning in Chopin's Prelude in A Minor." *19th Century Music* 9/2 (Fall 1985): 145-155.
- Kinderman, William and Harald Krebs, eds. *The Second Practice of Nineteenth-Century Tonality*. Lincoln: University of Nebraska Press, 1996.
- Korsyn, Kevin. "Directional Tonality and Intertextuality: Brahms's Quintet op.88 and Chopin's Ballade op.38." In *The Second Practice of Nineteenth-Century Tonality*, ed. William Kinderman and Harald Krebs, 45-83. Lincoln: University of Nebraska Press, 1996.
- Kramer, Lawrence. *Franz Schubert: Sexuality, Subjectivity, Song*. Cambridge: Cambridge University Press, 1998.
- _____. "The Schubert Lied: Romantic Form and Romantic Consciousness." In *Schubert: Critical and Analytical Studies*, ed. Walter Frisch, 200-236. Lincoln: University of Nebraska Press, 1986.
- Krebs, Harald. "Alternatives to Monotonicity in Early Nineteenth-Century Music." *Journal of Music Theory* 25/1 (Spring 1981): 1-16.
- _____. Review of *Chopin Studies*, ed. Jim Samson. *Journal of Music Theory* 33/2 (Fall 1989): 429-438.
- _____. "Some Early Examples of Tonal Pairing: Schubert's 'Meeres Stille' and 'Der Wanderer.'" In *The Second Practice of Nineteenth-Century Tonality*, ed. William Kinderman and Harald Krebs, 19-33. Lincoln: University of Nebraska Press, 1996.
- _____. "Techniques of Unification in Tonally Deviating Works." *Canadian University Music Review* 10/1 (1990): 55-70.
- _____. "The Background Level in Some Tonally Deviating Works of Franz Schubert." *In Theory Only* 8/8 (December 1985): 5-17.

- _____. *Third Relation and Dominant in Late 19th - and Early 19th-Century Music*. Ph.D. diss., Yale University, 1980.
- _____. "Tonal Allusions in Schoenberg's *Die glückliche Hand*." *Studies in Music from the University of Western Ontario* 13 (1991): 49-67.
- _____. "Tonal and Formal Dualism in Chopin's Scherzo, op. 31." *Music Theory Spectrum* 13/1 (Spring 1991): 48-60.
- _____. "Tonal Structure in Nielsen's Symphonies: Some Addenda to Robert Simpson's Analyses." In *The Nielsen Companion*, ed. Mina Miller, 208-49. Portland: Amadeus Press, 1994.
- La Rue, Jan. "Bifocal Tonality: An Explanation for Ambiguous Baroque Cadences." In *Essays On Music In Honor of Archibald Thompson Davison*, ed. Randall Thomson, 173-184. Cambridge: Harvard University Press, 1957.
- Lambert, John Sterling. *Re-Reading Poetry: Schubert's Multiple Settings of Goethe*. Rochester: The Boydell Press, 2009.
- _____. *Schubert's Multiple Settings of Poetry*, Ph.D. diss. Yale University, 2000.
- Lau, Robert. *Initial Versus Ultimate Tonality in Instrumental Music of the Classic and Romantic Periods*. Ph.D. diss., The Catholic School of America, 1979.
- Lester, Joel. "Continuity and Form in the Sonatas for Violin and Piano." In *The Nielsen Companion*, ed. Mina Miller, 495-533. Portland: Amadeus Press, 1994.
- Lewis, Christopher. "Mirrors and Metaphors: Reflections on Schoenberg and Nineteenth-Century Tonality." *19th Century Music* 11/1 (Summer 1987): 26-42.
- Longyear, R. M. "Unusual Tonal Procedures in Schumann's Sonata-Type Cycles." *In Theory Only* 3/12 (March 1978): 22-30.
- McCreless, Patrick. "An Evolutionary Perspective on Nineteenth-Century Semitonal Relations." In *The Second Practice of Nineteenth-Century Tonality*, ed. William Kinderman and Harald Krebs, 87-113. Lincoln: University of Nebraska Press, 1996.
- _____. "Ernst Kurth and the Analysis of the Chromatic Music of the Late Nineteenth Century." *Music Theory Spectrum* 5 (1983): 56-75.
- _____. "Roland Barthes's *S/Z* from a Musical Point of View." *In Theory Only* 10/7 (August 1988): 1-29.
- McKay, Elizabeth. *Franz Schubert: A Biography*. Oxford: Oxford University Press, 1996.

- Mitchell, Donald. *Gustav Mahler, Songs and Symphonies of Life and Death: Interpretations and Annotations*. Berkeley: University of California Press, 1985.
- _____. *Gustav Mahler: The Early Years*. London: C. Tinling and Company Limited, 1958.
- _____. *Gustav Mahler: The Wunderhorn Years*. Boulder: Westview Press, 1976.
- Nelson, John. "Progressive Tonality in the Finale of the Piano Quintet, Op. 44 of Robert Schumann." *Indiana Theory Review* 13/1 (Spring 1992): 41-52.
- Newlin, Dika. *Bruckner, Mahler, Schoenberg*. rev. ed. New York: W.W. Norton and Company, Inc., 1978.
- Noden-Skinner, Cheryl. "Tonal Ambiguity in the Opening Measures of Selected Works by Chopin." *College Music Symposium* 24/2 (Fall 1984): 28-34.
- Perry, Jeffrey. "Schubert's 'Aus Goethe's *Faust*,' D. 126: The *Scena* as Fragment." *Indiana Theory Review* 26 (Spring-Fall 2006): 105-122.
- _____. "The Wanderer's Many Returns: Schubert's Variations Reconsidered." *The Journal of Musicology* 19/2. (Spring 2002): 374-416.
- Pomeroy, Boyd. "Tales of Two Tonics: Directional Tonality in Debussy's Orchestral Music." *Music Theory Spectrum* 26 (2004): 87-118.
- Reid, Sarah. *Tonality's Changing Role: A Survey of Non-concentric Instrumental Works of the Nineteenth Century*. Ph.D. diss., University of Texas at Austin, 1980.
- Reynolds, Anne-Marie. "The Early Song Collections: Carl Nielsen Finds His Voice." In *The Nielsen Companion*, ed. Mina Miller, 399-453. Portland: Amadeus Press, 1994.
- Samson, Jim. *Chopin*. New York: Schirmer, 1997.
- _____. "Chopin's Alternatives to Monotonicity: A Historical Perspective." In *The Second Practice of Nineteenth-Century Tonality*, ed. William Kinderman and Harald Krebs, 34-44. Lincoln: University of Nebraska Press, 1996.
- _____. *Chopin: The Four Ballades*. Cambridge: Cambridge University Press, 1992.
- _____. *Music In Transition*. New York: W.W. Norton and Company, Inc., 1977.
- _____. *The Music of Chopin*. London: Routledge and Kegan Paul, 1985.
- Schachter, Carl. "Chopin's Fantasy, op. 49: The Two-Key Scheme." In *Chopin Studies*, ed. Jim Samson, 221-253. New York: Cambridge University Press, 1988.

- _____. "Motive and Text in Four Schubert Songs." In *Unfoldings: Essays in Schenkerian Theory and Analysis*, ed. Joseph Straus, 209-220. New York: Oxford University Press, 1999.
- _____. "Rhythm and Linear Analysis: A Preliminary Study." In *Unfoldings*, ed. Joseph Straus, 17-53. New York: Oxford University Press, 1999.
- Schenker, Heinrich. *Free Composition (Der freie Satz)*. Edited and translated by Ernst Oster. New York: Longman, 1979.
- _____. *Harmony*. ed. Oswald Jones, trans. Elisabeth Borgese. Chicago: The University of Chicago Press, 1972.
- Schoenberg, Arnold. *Structural Functions of Harmony*. rev. ed. Edited by Leonard Stein. New York: W.W. Norton and Company, Inc., 1969.
- Simpson, Robert. *Carl Nielsen: Symphonist*. rev. ed. New York: Taplinger Publishing Co., Inc., 1979.
- Sobaskie, James. "Tonal Implication and the Gestural Dialectic in Schubert's A Minor Quartet." In *Schubert the Progressive: History, Performance Practice, Analysis*, ed. Brian Newbould, 53-80. Brookfield: Ashgate Publishing Company, 2003.
- Stein, Deborah. *Extended Tonal Procedures in the Lieder of Hugo Wolf*. Ph.D. diss., Yale University, 1982.
- _____. *Hugo Wolf's Lieder and Extensions of Tonality*. Ann Arbor: UMI Research Press, 1985.
- _____. *Poetry into Music*. New York: Oxford University Press, 1996.
- Steinbron, Matthew. *Background Conglomerates in Alkan's Quasi-Faust, op. 33, no. 2*. M.M. thesis, Louisiana State University, 2006.
- Tischler, Hans. "Key Symbolism versus *Progressive Tonality*." *Musicology* 2/4 (July 1949): 383-387.
- _____. "Mahler's Impact on the Crisis of Tonality." *The Music Review* 12/2 (May 1951): 113-121.
- Truscott, Harold. "Some Aspects of Mahler's Tonality." *The Monthly Musical Record* (November-December 1957): 203-208.
- Turchin, Barbara. "The Nineteenth-Century *Wanderlieder* Cycle." *The Journal of Musicology* 5/4 (Fall 1987): 498-526.

- Wagner, Naphtali. "Tonic References in Non-tonic Key Areas." *Israel Studies in Musicology* 4 (1987): 59-72.
- Wigmore, Richard. "Schubert: The Complete Song Texts." England: Hyperion Records Limited, 2005.
- Williamson, John. "Wolf's Dissonant Prolongations." In *The Second Practice of Nineteenth-Century Tonality*, ed. William Kinderman and Harald Krebs, 215-236. Lincoln: University of Nebraska Press, 1996.
- _____. "Dissonance and Middleground Prolongations in Mahler's Later Music." In *Mahler Studies*, ed. Stephen Hefling, 248-270. Cambridge: Cambridge University Press, 1997.
- Wollenberg, Susan. "Schubert's Transitions." In *Schubert Studies*, ed. Brian Newbould, 16-61. Brookfield: Ashgate Publishing Company, 1998.
- Ya Deau, William. *Tonal and Formal Structure in Selected Larger Works of Chopin*. Ph.D. diss., University of Illinois, 1980.
- Youens, Susan. *Schubert's Poets and the Making of Lieder*. Cambridge: Cambridge University Press, 1996.
- _____. "Tradition and Innovation: The Lieder of Hugo Wolf." In *The Cambridge Companion to the Lied*, ed. James Parsons, 204-222. Cambridge: Cambridge University Press, 2004.

APPENDIX A: POLYFOCAL SONGS ARRANGED BY TYPE

Appendix Key

Deutsch number:	D.
Version number:	D. (X)
Major or minor mode:	M or m, respectively
Change of mode:	Mm or mM
Direct transition:	X:Y
Pivoting transition:	X~Y
Off-tonic transition:	X:~Y
Half cadence:	(V)
Oscillation in key scheme:	X/Y, where Y is the final key

Note: Only the latest version of a composition is given except for versions that have structural revisions (unless noted otherwise).

Structures with Two Tonalities

D.	TITLE	HARMONIC STRUCTURE
50	Die Schatten	AMm~CM
93/2	Don Gayseros, no. 2	FM~CM
142 (6)	Geistes-Gruß	EM(V):GM
143	Genügsamkeit	C#m~EM
149 (1)	Der Sänger	DM~B♭M
149 (2)	Der Sänger	DM:~B♭M
212	Die Nonne	A♭M~(AM~F#m~)Fm
216 (2) ⁸⁷	Meeres Stille	E~CM
218	Grablied	A♭M~Fm
222	Lieb Minna	A♭M/Fm
226	Erster Verlust	A♭M/Fm
238	Die Mondnacht	BM~F#M
289 (2)	Die Sommernacht	Am(V)/CM
303	An die Geliebte	CM/GM
397 (1)	Ritter Toggenburg	FM:~B♭m
397 (2)	Ritter Toggenburg	E♭M:~A♭mM
419	Julius an Theone	B♭M/Gm
436 (2)	Klage	FM:Dm
445	Edone	E♭M/Cm
458	Aus Diego Manazares	Fm/A♭M
489 (3)	Der Wanderer	C#m/EM
490	Der Hirt	Dm/FM
509 (2)	Leiden der Trennung	Gm~B♭M
510	Vedi quanto adoro	A♭M/Fm

⁸⁷ Version 1 has three tonalities and can be found in the next table.

514	Die abgeblühte Linde	Am/CM
535	Lied	Gm~B♭M
562	Fischerlied	CM~(A♭~)FM
573 (3)	Iphigenia	FM~CM
636	Sehnsucht	GMm~EM
700 (2)	Freiwilliges Versinken	FM~Dm
716	Grenzen der Menschheit	EM~AM
736	Ihr Grab	A♭M~E♭M

Structures with Three or More Tonalities

D.	TITLE	HARMONIC STRUCTURE
6	Des Mädchens Klage	Dm~FM:CM
59	Verklärung	(Am)~DM~Bm~GM~Em~Am
93/1	Don Gayseros, no. 1	5ths sequence (F...B~G...A♭)
97	Trost. An Elisa	FM/Dm~CM
114 (1)	Romanze	B♭M/Gm~A♭M/Fm(v):Gm/B♭M
114 (2)	Romanze	B♭M/Gm~A♭M/Fm~Gm/B♭M
126 (2)	Szene aus "Faust"	Cm~E♭M~B♭m
134	Ballade	Gm~B♭M(V):Bm/DM~Em
159 (1) ⁸⁸	Die Erwartung	B♭M~EM:~GM
216 (1) ⁸⁹	Meeres Stille	F/E~CM
217	Kolmas Klage	Cm:A♭M:Fm
293	Shilric und Vinvela	B♭M/Gm~FMm:AM
312 (2)	Hektors Abschied	A♭M/Fm~AMm~A♭M
322	Hermann und Thusnelda	E♭~A♭~D♭~B♭
388 (1) ⁹⁰	Laura am Klavier	EM~Gm/B♭M
395	Lebens-Melodien	GM:Cm:E♭M
412	Stimme der Liebe	(DM)~B♭M:BM~DM
473 (2)	Liedesend	BMm~A♭Mm~EMm
474 (1)	Lied des Orpheus	F♯Mm~AM:DM
474 (2)	Lied des Orpheus	F♯Mm~AM~B♭M
491	Geheimnis	B♭M/FM~D♭M/A♭M~EM:~FM
516	Sehnsucht	CM~Bm~GM
518	An den Tod	(BM)~CM~B♭M~BM
544	Ganymed	A♭Mm:C♭M~EM~FM
545 (1)	Der Jüngling und der Tod	EMm~GMm~B♭M
545 (2)	Der Jüngling und der Tod	EMm~GMm~Dm~FM
548	Orest	E♭Mm:G♭Mm~BMm:DM
583 (2)	Gruppe aus dem Tartarus	~Dm~F♯m(V)~CMm

⁸⁸ Version 2 is monotonal in B♭ major.

⁸⁹ Version 2 has two tonalities and can be found in the previous table.

⁹⁰ Version 2 is monotonal in A major.

588 (1) ⁹¹	Der Alpenjäger	E♭M(V):BMm~GM
588 (2)	Der Alpenjäger	CM(V):A♭M~C♯m~AM
611	Auf der Riesenkoppe	FM/Dm(V):B♭M
659	Hymne	Am/CM:A♭M:Fm
674	Prometheus	Gm~E♭M~CM
702	Der Jüngling auf dem Hügel	Em:CM:GM
775	Daß sie hier gewesen	Dm/CM(V):FM/Dm~CM
794 (2)	Der Pilgrim	DM~Bm

Polyfocal Scena

D.	TITLE	HARMONIC STRUCTURE
5	Hagars Klage	E♭M/Cm~A♭M~CM(V):A♭M
7	Leichenfantasie	Dm/FM/B♭M/Gm
111 ⁹²	Der Taucher	CM/Am~Dm
209	Der Liedler	Am-A♭M:~AMm~E♭M:A♭M
211	Adelwold und Emma	B♭M/GmM~BM
323	Klage der Ceres	Gm/B♭M
534	Die Nacht	GMm~G/CM~Am
554	Uraniens Flucht	DM(V):FMm~EM~B♭M
584	Elysium	E:A:~C:A
620	Einsamkeit	B♭M:~EM:~BM(V):GM

Polyfocal Partsongs

D.	TITLE	HARMONIC STRUCTURE
63	Wer die steile Sternenbahm	Am/CM~EM
494	Der Geistertanz	Cm:A♭M
893	Grab und Mond	(Am)~CM:A♭Mm~CcM:Am
985	Gott im Ungewitter	Cm~B♭M~D♭M~E♭M

⁹¹ Version 1 is unfinished, but it is likely that Schubert would have ended it in the same manner as the second version since the final section of both versions are identical, save for the transposition.

⁹² D. 111 is the second version of *Der Taucher*. The first version is known as D. 77, and there are no structural revisions.

APPENDIX B: POLYFOCAL SONGS ARRANGED BY DEUTSCH NUMBER

D.	TITLE	HARMONIC STRUCTURE
5	Hagars Klage	E♭M/Cm~A♭M~CM(V):A♭M
6	Des Mädchens Klage	Dm~FM:CM
7	Leichenfantasie	Dm/FM/B♭M/Gm
50	Die Schatten	AMm~CM
59	Verklärung	Am~DM~Bm~GM~Em~Am
63	Wer die steile Sternenbahm	Am/CM~EM
93/1	Don Gayseros, no. 1	5ths sequence (F...B~G...A♭)
93/2	Don Gayseros, no. 2	FM~CM
97	Trost. An Elisa	FM/Dm~CM
111	Der Taucher	CM/Am~Dm
114 (1)	Romanze	B♭M/Gm~A♭M/Fm(v):Gm/B♭M
114 (2)	Romanze	B♭M/Gm~A♭M/Fm~Gm/B♭M
126 (2)	Szene aus "Faust"	Cm~E♭M~B♭m
134	Ballade	Gm~B♭M(V):Bm/DM~Em
142 (6)	Geistes-Gruß	EM(V):GM
143	Genügsamkeit	C♯m~EM
149 (1)	Der Sänger	DM~B♭M
149 (2)	Der Sänger	DM:~B♭M
159 (1)	Die Erwartung	B♭M~EM:~GM
209	Der Liedler	Am-A♭M:~AMm~E♭M:A♭M
211	Adelwold und Emma	B♭M/GmM~BM
212	Die Nonne	A♭M~(AM~F♯m~)Fm
216 (1)	Meeres Stille	F/E~CM
216 (2)	Meeres Stille	E~CM
217	Kolmas Klage	Cm:A♭M:Fm
218	Grablied	A♭M~Fm
222	Lieb Minna	A♭M/Fm
226	Erster Verlust	A♭M/Fm
238	Die Mondnacht	BM~F♯M
289 (2)	Die Sommernacht	Am(V)/CM
293	Shilric und Vinvela	B♭M/Gm~FMm:AM
303	An die Geliebte	CM/GM
312 (2)	Hektors Abschied	A♭M/Fm~AMm~A♭M
322	Hermann und Thusnelda	E♭~A♭~D♭~B♭
323	Klage der Ceres	Gm/B♭M
388 (1)	Laura am Klavier	EM~Gm/B♭M
395	Lebens-Melodien	GM:Cm:E♭M
397 (1)	Ritter Toggenburg	FM:~B♭m
397 (2)	Ritter Toggenburg	E♭M:~A♭mM
412	Stimme der Liebe	DM~B♭M:BM~DM
419	Julius an Theone	B♭M/Gm
436 (2)	Klage	FM:Dm

445	Edone	E♭M/Cm
458	Aus Diego Manazares	Fm/A♭M
473 (2)	Liedesend	BMm~A♭Mm~EMm
474 (1)	Lied des Orpheus	F♯Mm~AM:DM
474 (2)	Lied des Orpheus	F♯Mm~AM~B♭M
489 (3)	Der Wanderer	C♯m/EM
490	Der Hirt	Dm/FM
491	Geheimnis	B♭M/FM~D♭M/A♭M~EM:~FM
494	Der Geistertanz	Cm:A♭M
509 (2)	Leiden der Trennung	Gm~B♭M
510	Vedi quanto adoro	A♭M/Fm
514	Die abgeblühte Linde	Am/CM
516	Sehnsucht	CM~Bm~GM
518	An den Tod	BM~CM~B♭M~BM
534	Die Nacht	GMm~G/CM~Am
535	Lied	Gm~B♭M
544	Ganymed	A♭Mm:C♭M~EM~FM
545 (1)	Der Jüngling und der Tod	EMm~GMm~B♭M
545 (2)	Der Jüngling und der Tod	EMm~GMm~Dm~FM
548	Orest	E♭Mm:G♭Mm~BMm:DM
554	Uraniens Flucht	DM(V):FMm~EM~B♭M
562	Fischerlied	CM~(A♭~)FM
573 (3)	Iphigenia	FM~CM
583 (2)	Gruppe aus dem Tartarus	~Dm~F♯m(V)~CMm
584	Elysium	E:A:~C:A
588 (1)	Der Alpenjäger	E♭M(V):BMm~GM
588 (2)	Der Alpenjäger	CM(V):A♭M~C♯m~AM
611	Auf der Riesenkoppe	FM/Dm(V):B♭M
620	Einsamkeit	B♭M:~EM:~BM(V):GM
636	Sehnsucht	GMm~EM
659	Hymne	Am/CM:A♭M:Fm
674	Prometheus	Gm~E♭M~CM
700 (2)	Freiwilliges Versinken	FM~Dm
702	Der Jüngling auf dem Hügel	Em:CM:GM
716	Grenzen der Menschheit	EM~AM
736	Ihr Grab	A♭M~E♭M
775	Daß sie hier gewesen	Dm/CM(V):FM/Dm~CM
794 (2)	Der Pilgrim	DM~Bm
893	Grab und Mond	Am~CM:A♭Mm~CcM:Am
985	Gott im Ungewitter	Cm~B♭M~D♭M~E♭M

VITA

Matthew Steinbron is a native of Minnesota and currently resides in Baton Rouge, Louisiana. He received his Bachelor of Music in music theory from the University of Wisconsin at Eau Claire in 2004, Master of Music in music theory from Louisiana State University in 2006, and Doctor of Philosophy in music theory from Louisiana State University in 2011, with a minor in piano pedagogy. Steinbron was awarded the Dissertation Fellowship Award at Louisiana State University for 2010-2011, and completed his dissertation in the spring of 2011. He has served as the president of the South Central Society for Music Theory, on the program committee for the 2011 joint conference between Music Theory Southeast and the South Central Society for Music Theory, and on the Society for Music Theory Professional Development Committee. Along with having taught Applied Piano, Group Piano, Aural Skills, and Rudiments of Music at LSU, Steinbron has given presentations at the regional, national, and international level on the music of Alkan, Schubert, Scriabin, and on Heavy Metal.