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A COMPARISON OF THEMATIC AND EPISODIC ANALYSES OF THE BACH TWO-PART INVENTIONS

The University of Oklahoma PH.D. 1980

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THE UNIVERSITY OF OKLAHOMA

GRADUATE COLLEGE

A COMPARISON OF THEMATIC AND EPISODIC ANALYSES OF THE BACH TWO-PART INVENTIONS

A DISSERTATION

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in partial fulfillment of the requirements for the degree of

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BY

THOMAS CONLEY LECKIE

Norman, Oklahoma

1980

A COMPARISON OF THEMATIC AND EPISODIC ANALYSES

OF THE BACH TWO-PART INVENTIONS

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A COMPARISON OF THEMATIC AND EPISODIC ANALYSES OF THE BACH TWO-PART INVENTIONS

CHAPTER I

THE PROBLEM

Introduction

Differences in musical analyses often occur as a result of differences in the application of terminology. An analytical term as applied to one type of musical composition may not serve in the same sense when applied to a somewhat different kind of composition. Episode is such a term. When applied to fugal analysis it rather consistently identifies the passages which connect thematic areas. Yet, in a discussion of Bach's Two-Part Inventions, a complete subject statement may be analyzed as episodic by one analyst and non-episodic (i.e., thematic) by another.

Need for the Study

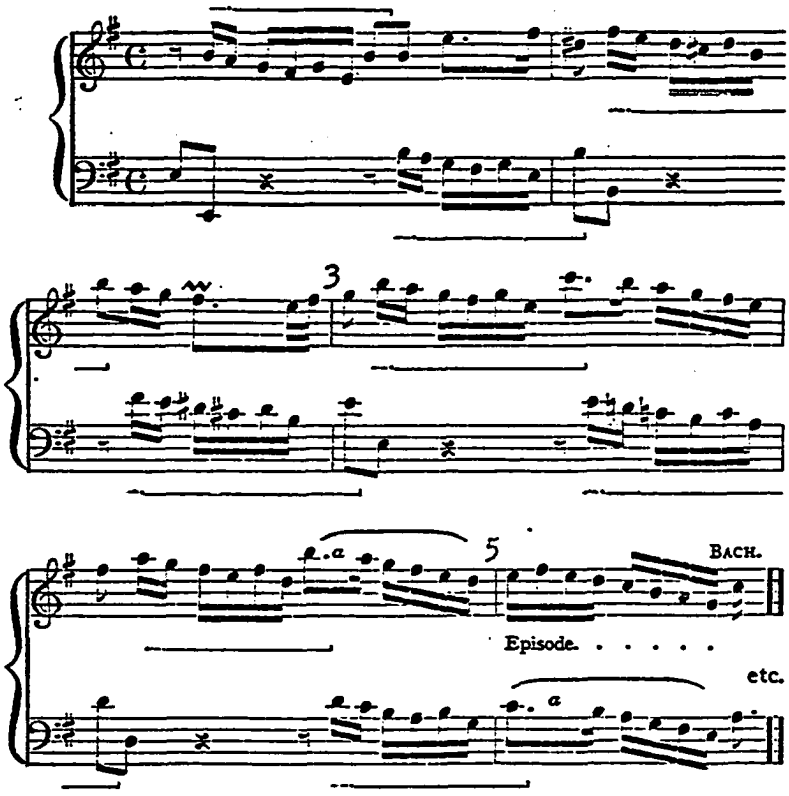
The Bach Two-Part Inventions are standard study material for both amateur and professional musicians.

College music students often are required to analyze the Inventions before studying fugues. Since the identification of thematic and episodic areas is part of the usual procedure in fugal analysis, it is then reasonable to assume that this analytical technique applied to the Two-Part Inventions is equally important. The sources investigated in this study disagree to some extent in thematic and episodic analysis, and, as will become evident, often provide inadequate rationale for the analytical procedure employed. This problem may be encountered in a number of analytical courses: keyboard classes, music literature, form and analysis, analytical techniques, and counterpoint. Clarification of the conflicting views is needed to properly evaluate the different approaches to thematic and episodic analysis. Although this ambiguity appears to be rather widespread, no systematic study of the problem has been found.

Statement of the Problem

Since the extent of a thematic area determines the limits of an episode, the problem of this study may be put in the form of a question: What are the differences in the published analyses of thematic areas in selected passages of the Bach Two-Part Inventions? The problem is clearly evident when one compares the analysis of two authors. The analysis in Example 1 shows the opening thematic area of Invention VII to close on the first note of measure 5,

Ex. 1. Invention VII, measures 1-5 (Goetschius)[1]



since episode is indicated in that measure. On the other hand, the opening thematic area of the same Invention as seen in Example 2 closes on the first note of measure 3, since this author shows episode to begin in that measure.

In comparing analyzed examples, this researcher has observed that analyses of a given thematic area may vary both in extent and in content from one author to the next. In this study content refers to the quantity of single, imitative, and sequential statements of the subject

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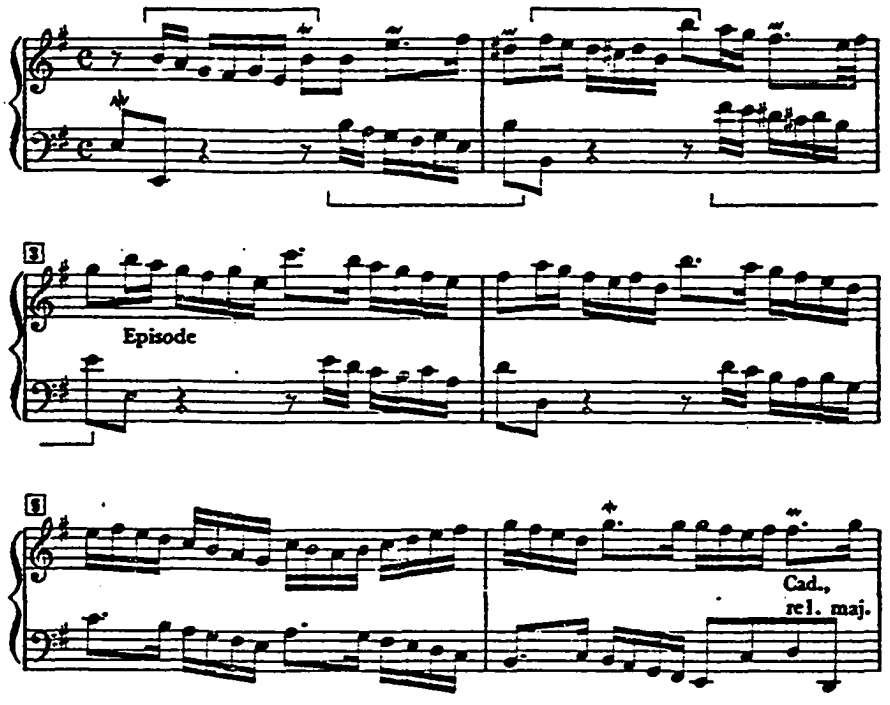
[1]Percy Goetschius, Applied Counterpoint (New York: G. Schirmer, 1930), p. 102.

Ex. 2. Invention VII, measures 1-7 (Kennan)[1]



found within areas that are analyzed as thematic. These statements which follow the initial presentation may appear in any modified form including melodic inversion. A single statement refers to a thematically analyzed statement which is neither preceded nor followed immediately by a thematic presentation of the entire subject. While an imitative statement is immediately preceded by a subject presentation in the other voice, a sequential statement is immediately preceded by a subject presentation in the same voice, but on a different pitch. A passage of an Invention may constantly

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[1]Kent Kennan, Counterpoint, 2d ed. (Englewood Cliffs: Prentice-Hall, 1972), p. 138. Some alterations in the reproduction are made for sake of clarity.

employ either imitative or sequential statements. However, if an author analyzes only one of these statements as thematic, it is interpreted as a single statement. Thus, the first specific question is posed: How do analyzed examples of thematic areas differ in the quantity of single, imitative, and sequential statements? Seven imitative statements appear within the thematic area of Example 1 by Goetschius. Only three imitative statements are seen in the thematic analysis of Example 2 by Kennan. No single or sequential statement appears within the thematic area of either example.

The second specific question which is necessary in solving the problem is asked in this manner: How do analyzed examples of thematic areas differ in regard to the inclusion of similar imitations at the perfect fifth and the perfect fourth? The term similar imitation is used here to describe a subject statement which is directionally shaped like its antecedent. In order for similar imitation to occur, a statement which is shaped like the original subject statement must imitate an original shape. Likewise, a melodic inversion must always imitate a melodic inversion to qualify as a similar imitation. The thematic area of Example 1 includes one imitation at the perfect fifth and four imitations at the perfect fourth. Here, Goetschius makes no distinction between the paired imitations at the octave within measures 1 and 2 and the successive

imitations at the perfect fourth of measures 3 and 4. In contrast the thematic area of Example 2 by Kennan includes only the one imitation at the perfect fifth which is preceded and followed by the paired imitations at the octave.

The third and final specific question is concerned with disagreements among authors in the analysis of statements of the subject. One analyst identifies a given statement as thematic, while another excludes this same statement from a thematic area, declaring it episodic. Observation has led this researcher to believe that the harmonic structure of such statements influences the disagreement among authors. The question raised, then, is this: What is the harmonic structure of those statements which cause disagreement in thematic analysis? The subject statements which cause disagreement between Examples 1 and 2 are the four found in measures 3 and 4. The harmonies of these four statements are E minor, A minor, D major, and G major. The tonal function of these harmonies is discussed in the chapter which deals with the analysis of the data. Other considerations which may be relevant to this discussion include the presence or absence of dissonance within the harmony and the harmonic rhythm of the statement and its relation to the harmonic rhythm of the initial subject statement. Furthermore, the intervallic relationship of the pitches of the statement to the root of its harmony may be significant if different from that of the pitches

of the initial subject statement to its harmonic root.

Limitations of the Study

Only factors and sources directly related to these three specific questions have been investigated. So that the thematic areas under question may be accurately identified, a source from which the data is drawn must employ the term episode in the analysis of an Invention, or must permit an interpretation of the analysis which logically assumes a passage to be an episode. The source must also be either a counterpoint text or an analysis of all fifteen Two-Part Inventions.

Three counterpoint texts have been found to qualify: Applied Counterpoint (1902) by Percy Goetschius, Counterpoint (1972) by Kent Kennan, and Essentials of Eighteenth-Century Counterpoint (1968) by Neale Mason. The analytical techniques of Mason differ from those used in the other listed works. Mason is the only author who applies the term counterexposition to invention structure. Since the three texts limit thematic and episodic analysis to Inventions I, IV, and VII, the comparative procedures of this study have been limited to these three. An analysis of one entire but different Invention is contained within each of the counterpoint texts. Since none of the three authors analyzes all portions of the three Inventions, an analysis of the missing portions has been either projected by this

writer as with Goetschius or obtained from the author by means of written communication as with Kennan and Mason. The projections of Goetschius are based on a study of analyzed examples and verbal statements from his text. Bach in Color: The Two-Part Inventions (1961) by John Thompson also has been included as an investigated source since it is the only published analysis of all fifteen Inventions which has been found. The analytical purpose of Thompson's work, however, was directed toward performance rather than theory.

Purpose of the Study

Since the problem of this study is the inconsistent application of analytical terms to invention structure, particularly episode and to a lesser degree counterexposition, a thorough review of the historical literature which discusses the terms and techniques of application is therefore necessary. The primary objective of the study is to compare the thematic analytical techniques of the four given sources as applied to Inventions I, IV, and VII. The design and procedures of the investigation are founded on the three specific questions. First, how do analyzed examples of thematic areas differ in the quantity of single, imitative, and sequential statements? Second, how do analyzed examples of thematic areas differ in regard to the inclusion of similar imitations at the perfect fifth and

the perfect fourth? Third, what is the harmonic structure of those statements which cause disagreement in thematic analysis?

The long-range purpose is to draw inferences from the findings: reasons for differences, a clarification of the terms episode and counterexposition, and determinants of compositional style. Based on these conclusions, a thematic and episodic analysis of the Bach fifteen Two-Part Inventions is presented by this writer. This analysis seems necessary since John Thompson is the only analyst found to publish an analysis of all fifteen. Many subtle problems exist in giving a generally acceptable analysis. With this realization the present writer proposes three categories. The first contains those statements of the theme which serve a primary thematic function. The second contains those statements of the theme which generate episodic or cadential material. The third category contains all other passages. These passages serve an episodic or conclusional function.

CHAPTER II

FUGAL TERMINOLOGY: IMITATION AND FUGUE

The earliest known reference to the term fuga appeared in the theoretical work Speculum musicae (c. 1330) by Jacobus of Liege. Fuga, the Latin equivalent for the Italian caccia, refers in the text of Jacobus to a secular vocal form in which two canonic voices move over a free tenor part.[1] An early sacred fuga from a Mass by Guillaume Dufay (c. 1400-1475) is similar in that the two canonic voices are accompanied by a lower ostinato.[2]

Another early method of counterpoint, Stimmtausch, is characterized by the interchange of melodic units between voices, resulting in repetition at the same pitch but in a different part. This technique, particularly obvious in

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[1]For an example see Archibald T. Davison and Willi Apel, Historical Anthology of Music (Cambridge: Harvard University Press, 1950), p. 55.

[2]Alfred Mann, The Study of Fugue (New Brunswick: Rutgers University Press, 1958), p. 10.

the motets "Alle, psallite--Alleluya" (c. 1250) and "Alleluia psallat" (14th century),[1] is also evident in the rondellus and the rota or round. In addition to the reference by Jacobus, the rondellus is described by Johannes de Grocheo in Theoria (c. 1300) and by the English theorist Walter Odington in De Speculatione musice (c. 1300). According to Odington all voices first enter simultaneously; the continuous form is created not by restatement but by introducing new melodic units which are imitated throughout the texture.[2] In these ways the rondellus differs from the round in which voices first enter individually and continue to be restated indefinitely. The significance of the round throughout the history of music is demonstrated by three sample pieces: the English "Sumer is Icumen In" (c. 1310) which is the earliest known texture of six voices composed of a four-part round above a two-part pes or ostinato,[3] the two- and three-part "Fugae" of the minnesinger Oswald von Wolkenstein (1377-1445), and

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[1]Davison and Apel, pp. 35, 61. For an example of organum triplum, "Descendit," c. 1200, see Willi Apel, Harvard Dictionary of Music, 2d ed. (Cambridge: Harvard University Press, 1969), p. 402, ex. 1.

[2]Imogene Horsley, Fugue, History and Practice (New York: Free Press, 1966), p. 7.

[3]For a verification of the date, see Manfred E. Bukofzer, "'Sumer is .cumin in:' A Revision," University of California Publications in Music, 2 no. 2 (1944): 79-114. For a score see Davison and Apel, p. 44.

the ever popular "Three Blind Mice," first published in the London text entitled Deuteromelia (1609).[1]

The first dictionary of music, Diffinitorium musicae (c. 1475) by Johannes Tinctoris, defines canon as "a rule which shows the intention of the composer in an obscure way."[2] Though different from the present meaning, this definition is appropriate when applied to a work such as that by Guillaume de Machaut (c. 1304-1377) entitled, "Ma fin est mon commencement, et mon commencement ma fin," in which the voices are performed in retrograde following the original statement.[3] The first definition of the term fuga is also found in the work of Tinctoris: "The identity of rhythmic and melodic writing in various parts of a composition."[4] Fugal terminology was again expanded to include imitation in Musica practica (1482), when Bartolomeo Ramos de Pareja used imitari to denote both

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[1]For a list of collections published in England from 1609 to 1864, see Frank Kidson, "Catch," Groves Dictionary of Music and Musicians, 1966 ed., vol. 2, pp. 120-21.

[2]Apel, HDM (1969), p. 126.

[3]A literal translation of the title is "My end is my beginning, and my beginning my end." For a score see William J. Starr and George F. Devine, Music Scores Omnibus, 2 vols., 2d ed. (Englewood Cliffs: Prentice-Hall, 1974) vol. 1, pp. 26-27.

[4]Douglas M. Green, Form in Tonal Music (New York: Holt, Rinehart and Winston, 1965), p. 249.

free and strict imitation. For imitative entries he endorsed the perfect intervals of an octave, fifth and fourth.[1]

Imitation and fugue are treated as synonyms in Pietro Aron's De institutione harmonica (1516). He defines exact fugal imitation at the perfect intervals by stating that "it is called imitation (imitatio) or fugue (fugatio) because the consequent voice repeats the very notes of the preceding part or else repeats notes identical in name though different in location."[2]. "The very notes" refers to imitation at the octave, and "notes identical in name" implies imitation at a fourth or fifth in which the hexachord syllables are the same and therefore intervallically exact. Aron, however, provides a distinction between imitation and fugue in his Lucidario of 1545. Under the section entitled "A view of certain progressions wrongly called fugue by many," he gives an example of a counterpoint imitating at a perfect fifth; however, since the intervals are inexact, he uses the term imitationi rather than "the unsuitable name of fugue (fuga) to the beginning of that part which follows."[3]

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[1]Mann, The Study of Fugue, p. 11.

[2]Pietro Aron, Libri tres de institutione harmonica (Bologna, 1516), III, lii, as quoted in James Haar, "Zarlino's Definition of Fugue and Imitation," Journal of the American Musicological Society, 24, no. 2 (1971): 232.

[3]Ibid., p. 233.

Gioseffo Zarlino was the first to document systematically the fugal terminology of the Renaissance. His Istitutioni harmoniche (1558, 1562, 1573) clearly shows the distinction to which Aron prescribed:

> Fugue is the copy or repetition by one or more parts of the voice-complex of a section or of a whole melody sung first by one part, high or low, of the composition. The parts may proceed one after the other at any distance of time, using the same intervals, singing at the unison, the octave, the fifth, or the fourth below or above. Next, we shall call Imitation that copy or repetition which is like what I have already described for the Fugue, except that it does not proceed by the same but by quite different intervals, the rhythmic and melodic figures of the two parts being nonetheless similar.[1]

In addition to defining fugue and imitation, Zarlino introduces the term thema and demonstrates how it can be developed through varied restatement. To encourage originality within the theme, he recommends increasing the distance between fugal entries. Further, he discusses in depth the techniques of contrary motion (melodic inversion) and double counterpoint (harmonic inversion).

The distinction between fugue and imitation which was drawn so sharply by Zarlino is found neither in Declaracion de Instrumentos musicales (1555) by the Spanish theorist Juan Bermudo nor in Antica Musica ridotta alla

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[1] Ibid., pp. 228-29, translated from the 1573 text. For a translation of the 1558 text, see Gioseffo Zarlino, The Art of Counterpoint, trans. Guy A. Marco and Claude V. Palisca (New Haven: Yale University Press, 1968; reprint ed., New York: W.W. Norton, 1976), pp. 126-27.

moderna prattica (1555) by Nicola Vicentino, Zarlino's fellow student under Adrian Willaert. Like Zarlino, Vicentino deals thoroughly with contrary motion and invertible counterpoint. Vicentino, however, stresses altering the answer of fugal entries more than does Zarlino. In later fugal terminology this situation is known as the tonal answer. According to Vicentino, the intervals of a fifth and fourth should be used alternately in a fugal exposition. He opposes the use of alternating harmonic fifths and sixths in which parallel fifths result.

Fugal development is an important element in the Arte de taner fantasia (1565) by Tomas de Sancta Maria and Ragionamenti di musica (1588) by Pietro Pontio (Ponzio). In discussing the fantasia, Sancta Maria states that after all voices have entered, a new or the original thematic passage (passo) should follow. Pontio further emphasizes developmental technique when he writes:

> It is possible to repeat the same melodic invention (inventio) two, three, or four times in different ways, as we find in the ricercari by Jaches Buus, Annibale Padovano, Claudio Merulo, and Luzzasco Luzzaschi. . . . The same theme (soggetto) may be followed from the beginning to the end of a composition, or, if the composer does not want to use it throughout, he may turn to a new one and repeat this as often as he wishes.[1]

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[1]Mann, The Study of Fugue, pp. 27-28.

In Dialogo (1595) Pontio distinguishes between imitation and fugue:

> Imitation is that which imitates a motet, madrigal, or canzone with the same melodic movements. But it does not preserve the figures of the motet or madrigal, or what have you; nor does it always so much as keep the same relationship of tones and semi-tones. This procedure is then called imitation; and such is the difference between imitation and fugue.[1]

By using the term fugue in reference to note values, Pontio enlarges upon Zarlino's definition of imitation. Two theoretical works published in Venice, L'Arte del contrappunto (1586) by Giovanni Maria Artusi and Il Compendio della musica (1588) by Orazio Tigrini, restate the distinction between fugue and imitation found in the Venetian text of Zarlino.

Zarlino's recommendation to increase the distance between fugal entries and thus provide for a more original thema is apparent in Thomas Morley's Plain and Easy Introduction to Practical Music (1597) which states that "we must give the fugue some more scope to come in and by that means we shall show some variety . . . . These maintaining of long points, either foreright or revert, are very good in Motets and all other kind of grave music." Morley continues to emphasize the importance of the theme by recommending rests to articulate the return of thematic entries:

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[1]Haar, "Zarlino's Definition of Fugue and Imitation," p. 236.

"The odd rest giveth an unspeakable grace to the point . . . . It is supposed that when a man keepeth long silence and then beginneth to speak, he will speak to the purpose."[1]

An obvious parallel during the late Renaissance and early Baroque is seen when Morley's thought concerning rest is compared to a statement by the English composer Giovanni Coperario. In Rules for Composing (c. 1610) Coperario wrote: "If you will twice use the fugue in all the parts . . . you must observe that your part may rest before his coming in with the fugue, which is a great grace to a part, and to the fugue."[2]

Although Zarlino introduces the term thema, Johannes Nucius in Musices poeticae (1613) is the first to relate thema directly to the term fuga which he defines as "the frequent and definite recurrence of the same theme (thema) in various parts which follow each other in spaced entrances."[3] Emphatically declaring the monothematic principle in El Melopeo y maestro (1613), the Spanish theorist Pietro Cerone states that "the true tiento is based on one theme only" and that within the ricercare "the same theme may be followed from the beginning to the end of the

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[1]Mann, The Study of Fugue, pp. 28-29.

[2]Ibid., p. 32.

[3]Ibid., p. 33.

composition, provided it is subjected to rhythmic changes and different manners of accompaniment."[1] In regard to distinguishing between imitation and fugue, Cerone quotes the above citation from Aron's Lucidario and concludes that "the moderns call this Fugue even though it does not proceed by means of the same numbers and intervals."[2]

The term fuga is used as a synonym for the tiento in Cerone's Melopeo, the canzona in the Tabulaturbuch (1607) by Bernhard Schmid, and the ricercare in Syntagma musicum (1619) by Michael Praetorius. After quoting the meaning of thema and fuga from the theoretical work of Nucius, Praetorius describes the procedure of development as a "searching in all possible manner and with particular diligence and thought how it may be joined, entwined, and woven together, and by direct and inverted, ordinary and unusual, entrances, connected and carried to the end," and the procedure of restatement by declaring that within the canzona "the first fugue is usually restated at the end."[3]

Although the term fuga is still used for canonic imitation in Scipione Cerreto's Della Prattica musicale (1601) and Christoph Bernhard's Tractatus compositionis augmentatus (c. 1650), both theorists show the concern of Vicentino for the tonal answer. Sharing this concern,

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[1]Ibid., p. 34.

[2]Haar, p. 234.

[3]Mann, pp. 34-45.

Lodovico Zacconi in his Prattica in musica (1622) endorses a new terminology, fuga naturale for the exact canonic imitation and fuga accidentale for the inexact tonal answer. Extending the meaning of imitatione, he employs the term in referring to sequential repetition within one voice.[1]

Whereas Giovanni Maria Bononcini in Musico prattico (1673) uses the term fuga regolare for both the exact and tonal answer, the term fuga reale in Documenti armonici (1681) by Angelo Berardi implies an exceptional rather than a regular practice. Both stress the placing of stretto entries in the final portion of a fugue, but for different reasons. While Bononcini regards the listener's familiarity with the theme as an important criterion, Berardi observes that "some have used such passages at the beginning or in the middle of the work. But I feel it is better to use them at the end: All's well that ends well."[2] In distinguishing between the free and diatonically strict inversion of a melody, Bononcini uses the strict inversion of the dorian scale in which half steps occur only between the second and third and the sixth and seventh pitches of both the ascending and descending forms. The state of fugal terminology at the end of the seventeenth century is expressed in Henry Purcell's Of Fugeing, or

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[1]Haar, p. 239.

[2]Mann, p. 46.

Pointing (1694) in which imitation is called "a diminutive sort of Fugeing" and in Giovanni Andrea Bontempi's Historia musica (1695) which declares the term fuga unsatisfactory "since it does not signify anything but the act of pursuit itself."[1]

Traite d'harmonie (1722) by Jean Philippe Rameau is to the eighteenth century what Zarlino's Istitutioni harmoniche is to the sixteenth century. Both summarize the past and strongly influence the future, Zarlino from a melodic view and Rameau from the standpoint of major-minor tonal harmony. Anticipating the major-minor tonal system, Christoph Bernhard in his Tractatus compositionis augmentatus (1650) bases the first mode on C rather than the traditional D. The term dominante first appears in Institution harmonique (1615) by Salomon de Caus and is applied along with the term finale to the tones of fugal entries by Guillame Gabriel Nivers in his Traite de la composition (1667). A tonal plan for an entire fugal work is outlined by Jan Adams Reinken in Kompositionslehre (1670). The recommended sequence of tonal levels is from the tonic D minor, to the dominant A minor, and thirdly to the relative major F. Rameau's rules deal systematically with the tonic and dominant function of the theme and its answers. What is considered by Zarlino to be a melodically

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[1]Ibid., pp. 46, 48.

inaccurate answer is interpreted by Rameau to be harmonically accurate. Rameau recommends that the theme of a fugue should be at least a half measure in length and that the last note of the theme should fall on the beat. In referring to imitation and fugue, Rameau declares the former to be that which "holds no particular merit worthy of our attention," and the latter to be treated "with more circumspection and according to given rules."[1]

Imitation and fugue are defined in Johann Josef Fux's Gradus ad Parnassum (1725) by the teacher Aloysius for his pupil Josephus:

> Aloysius. . . . Imitation arises when one part follows another, after a number of rests, forming the same intervals with which the first part began and without any regard for the scale or mode in which these parts move or for the position of whole and half-tone steps. . . .
>
> Josephus. From this first example I gather that not all notes of the part that enters first are to be taken over in the following part.
>
> Aloysius. Yes, that would be the function of canon, not of imitation. Here it is enough if a few notes follow those of the opening part. . . . Fugue takes its name from the words fugere and fugare--to flee and to pursue--a derivation confirmed by a number of eminent authors. . . . the voices of a fugue cannot start at intervals other than those that constitute a mode, that is, intervals other than the unison, octave, and fifth; whereas imitation . . . may occur at any interval.[2]

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[1]Ibid., p. 50.

[2]Ibid., pp. 78, 80-82.

The examples that follow in the text of Fux demonstrate that the interval of a fifth may be directed above or below.[1] Using the principle of inversion, current terminology designates the downward fifth to be imitation at the fourth. Johann Mattheson offers a similar definition of imitation in his Der vollkommene Capellmeister (1739) in which he contrasts "formal canons" with "canonic imitation, in which the voices follow one another as far as notevalues and intervals are concerned, but with freedom of pitch (Ton)."[2]

In defining imitation Friedrich Wilhelm Marpurg in Abhandlung von der Fuge (1753) first differentiates between repetition, an immediate restatement of the same tones in the same part, and transposition, an immediate restatement beginning on a different pitch in the same part or what is presently known as sequence. He then explains imitation to be restatement by means of repetition or transposition in different parts.[3] Marpurg defines a strict fugue in the following manner:

> A strict fugue--fuga obbligato--is a fugue which deals throughout its course with almost nothing but the theme, . . . If such a strict

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[1]Johann Joseph Fux, Gradus ad Parnassum, facsimile of the 1725 Vienna ed. (New York: Broude Brothers, 1966), pp. 140-53.

[2]Hans Lenneberg, "Johann Mattheson on Affect and Rhetoric in Music (I)," Journal of Music Theory 2 (Spring 1958): 73-74.

[3]Mann, p. 142.

> fugue is carried out at length, . . . it may be given the Italian name ricercare or ricercata--a fugue showing utmost skill, a master fugue. Such are most of the fugues of J. S. Bach.[1]

Marpurg distinguishes between the ordinary fugues imitating at intervals of a fourth, fifth, and octave, and the extraordinary fugues which imitate at imperfect intervals and serve only as variety within a composition. He is careful to explain that the nature of some themes is such that the answer must appear at the octave.[2]

By arranging for strings five fugues from the Well-Tempered Clavier, Mozart appears to have been the first after Mattheson and Marpurg to show interest in the works of Bach. In writing his sister on April 20, 1782, Mozart appraised the structural significance of thematic entries: "For if a fugue is not played slowly one cannot hear the entrance of the subject distinctly and clearly, and consequently it is of no effect."[3] Samuel Wesley, a nephew of John Wesley, also recommends a slow tempo in the "Introduction" to S. Wesley and C. F. Horn's New and Correct Edition of the Preludes and Fugues of John Sebastian Bach (1810):

> One most essential Advice must be added, that whoever determines upon executing the following Pages with Precision must steadily resolve upon practicing them at first in very slow Time, for

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[1]Ibid., p. 156. [2]Ibid., p. 159.

[3]Hans T. David and Arthur Mendel, eds., The Bach Reader (New York: W.W. Norton, 1945), p. 360.

> since there is not a single Note among them that can be omitted, without a material Injury to their Effect.[1]

The "Introduction" also presents and interprets the analytical symbols to be used in conjunction with the scores thus indicating the statements of the subject in their original, inverted, diminished, and augmented forms. The symbols used by Wesley are employed by Tovey in his analysis of Bach's Art of Fugue.[2]

The development of the classical formal structures, such as phrase, period, and sonata, no doubt influenced the theoretical works of the nineteenth century to concentrate on fugue as a specific form. An extreme example is the discussion of the origin of the term fugue in the Lehrbuch der Tonsetzkunst (1832-1842) by Johann Anton Andre. Rejecting the Latin or Italian fuga, he concludes the German word fug, meaning rule or regularity, to be the appropriate term. In an attempt to defend his thesis, Andre refers to the terms fuogi and fuoge as found in the works of the first theorist to write in German, Notker Labeo (d. 1022), and the minnesinger Walther von der Vogelweide (c. 1170-c. 1230). Ebenezer Prout in his preface to Fugue (1891) refers to Andre as one who

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[1]David and Mendel, The Bach Reader, p. 368.

[2]Donald Francis Tovey, A Companion to "The Art of Fugue" (London: Oxford University Press, 1931), pp. 10-12.

criticizes the fugues of Bach as being "contrary to the rules."[1]

The fugal theories of Hugo Riemann are found in Lehrbuch de Kontrapunkts (1888), Katechismus der Fuge (1890-1891), and Grosse Kompositionslehre (1902). According to his theory, the subject and answer form an eight-measure period which is considered to be the basic structure for all music. Extensions, contractions, and elisions are employed in analyzing the many irregularities found in the fugues of Bach. Riemann classifies the entire structure of the fugue as a ternary form.[2]

In contrast Philipp Spitta in his Johann Sebastian Bach (1880) views fugue as an evolutionary process:

> With regard to the fugue form itself, I must take this opportunity of adding a few words. Frescobaldi has been called the inventor of it, but this only really means that he was the first to employ the fugal style of playing on established principles of art. The high position held by this master has already been admitted; still the form could not be fully developed excepting under a general acceptance of the harmonic system, because it was this which first made the genetic connection between the leading subject and its associates actual and perceptible, and enabled the composer to construct an instrumental work on purely

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[1]Ralph Vaughan Williams, "Fugue," Grove's Dictionary of Music and Musicians, 1966 ed., vol. 3, p. 514. See also Ebenezer Prout, Fugue (London: Augener, 1891), p. iii.

[2]Mann, p. 67.

> musical lines and possessing an organic symmetry of its own. Then it was that the Quinten-Fuge (i.e., a fugue in which the answer is on the fifth above) first grew--undoubtedly the most perfect of those forms--out of all the canzone, capriccios, and fantasias, by which names everything fugally treated had until then been called, without any perceptible or essential difference.[1]

Support for the late development of the Quinten-Fuge is found within the discussion of "Imitation" in the Harvard Dictionary of Music:

> Prior to 1700, fugal imitation at the interval of a fourth (lower fifth) was much more common than that of a fifth. Bach was one of the first to establish imitation at the interval of a fifth as a characteristic feature of fugal writing.[2]

The application of the term imitation as defined by Rameau, Fux, Mattheson, and Marpurg has been generally consistent to the present, an exception being the Traite de la fugue (1900) by Andre Gedalge in which imitation includes repetition within the same voice.[3] In Applied Counterpoint (1902) Percy Goetschius defines imitation as

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[1]Philipp Spitta, Johann Sebastian Bach, trans. Clara Bell and J. A. Fuller-Maitland, 1883-85, 2 vols. (New York: Dover, 1951), vol. 1, p. 116.

[2]Apel, HDM (1969), p. 402.

[3]See the Editor's Introduction to Andre Gedalge, Treatise on Fugue, trans. A. Levin, ed. S. B. Potter (Mattapan: Gemut Music, 1964), p. viii. Potter observes the following: "The term 'imitation' is the one which has the widest divergence from its English usage. It is used to mean the repetition of a melodic idea, not only in another voice but also in the same voice."

the "recurrence of a melodic figure in some other voice, either literally or with modifications."[1] According to the first edition of the Harvard Dictionary of Music (1944), imitation is the "restatement in close succession of a melody (subject, motive) in different parts of a contrapuntal texture."[2] The definition found in the revised edition (1969) is essentially identical and very similar to that in Grove's Dictionary of Music and Musicians (1966).

The concept of fugue as a form has continued within the twentieth century as seen in the requirements for the Oxford examination fugue which are discussed in C. H. Kitson's Studies in Fugue (1922). Kitson advises students against using as models the first two fugues of Bach's Well-Tempered Clavier since the first fugue contains no episode and the second no stretto. In reference to this, Tovey declares "that of all Bach's fugues at least two-thirds have no stretto at all."[3]

Providing a clear definition of fugue, Tovey states that "fugue is a texture the rules of which do not suffice to determine the shape of the composition as a whole."[4]

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[1]Percy Goetschius, Applied Counterpoint (New York: G. Schirmer, 1930), p. 61.

[2]Apel, HDM (1956), p. 349.

[3]Tovey, A Companion to the "Art of Fugue", p. 68.

[4]Donald Francis Tovey, "Fugue," Encyclopaedia Britannica, 1957 ed., vol. 9, p. 904.

In another article he declares that "the only technical rules of a fugue are those which refer to its texture," and later, "fugue is still, as in the 16th century, a texture rather than a form."[1] After quoting Tovey's contention that fugue is "a question of texture rather than design," Ralph Vaughan Williams falls into Riemann's trap by claiming that a fugue "falls into three sections: exposition, middle section and climax (or stretto). These three sections coincide with the design usually described by the formula A.B.A. under which nearly every piece of music may be said to fall."[2]

In addition to texture two other terms--technique and procedure--have recently been applied to fugue. The Bach Reader explains that "fugue was not just a type of piece but a whole technique that permeated the entire body of early eighteenth-century music."[3] No doubt Tovey's explanation of fugue as a texture served as a point of reference for Bukofzer's definition: "The fugue was not a form, tripartite or other, nor was it a texture. . . . The fugue was a contrapuntal procedure . . . ."[4] At least six later

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[1]Donald Francis Tovey, "Contrapuntal Forms," Encyclopaedia Britannica, 1957 ed., vol. 6, p. 360.

[2]Vaughan Williams, "Fugue," pp. 513, 520.

[3]David and Mendel, The Bach Reader, p. 30.

[4]Manfred F. Bukofzer, Music in the Baroque Era (New York: W.W. Norton, 1947), pp. 361-62.

authors--Willi Apel,[1] Robert Erickson,[2] Allen Garrett,[3] Douglas Green,[4] Robert Tyndall,[5] and Alfred Mann--apply the term procedure to fugue. After referring directly to Bukofzer's use of procedure and outlining the history of fuga, Mann summarizes fugal terminology:

> It has become evident that the term fugue does not apply to a form. . . . It denotes something structurally less concrete. Nor does the term merely apply to a texture. . . . From the very beginning of its use, it has denoted something structurally more concrete. . . .
>
> With the establishment of harmonic theory, the terms imitation, canon, and fugue found their final distinction. Imitation remained the general term for the casual application of the imitative manner, and canon remained the term for the strict application of this manner; but the term fugue designated the sum of procedures by which the imitative manner was used in order to state and re-state, tonally establish, develop, and re-establish thematic material.[6]

The thesis that fugue is not to be classified as a form is further supported by a recent study of the keyboard ricercar

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[1]Apel, HDM (1969), p. 336.

[2]Robert Erickson, The Structure of Music (New York: Noonday, 1955), p. 124.

[3]Allen M. Garrett, An Introduction to Research in Music (Washington D. C.: Catholic University, 1958), pp. 24-29.

[4]Green, Form in Tonal Music, p. 250.

[5]Robert E. Tyndall, Musical Form (Boston: Allyn & Bacon, 1964), p. 148.

[6]Mann, pp. 71-72. See also Donald Loach "Review of The Study of Fugue by Alfred Mann," Journal of Music Theory 3 (Winter 1959): 316-19.

from 1520 to 1720, in which no common form or structure was found in the analysis of 230 compositions.[1]

Throughout the history of Western music, the term imitation has been employed in a more general and consistent manner than that of fugue. The term fuga has been applied to many specific compositional types or procedures during specific periods: the canon (c. 1330), the round (c. 1400), technique of imitation (1516), technique of strict imitation (1545, 1558, 1595), the canzona (1607), the tiento (1613), the ricercare (1619), and the fugue of the Baroque (1600-1750). Only one procedure of fugue appears historically consistent, that of imitation at the perfect intervals of unison, octave, fifth and fourth.

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[1]Richard J. Tappa, "An Analytical Study of the Use of Imitative Devices in the Keyboard Ricercar from 1520-1720" (Ph.D. dissertation, Indiana University, 1965), p. 225.

CHAPTER III

FUGAL TERMINOLOGY: EXPOSITION AND COUNTEREXPOSITION

While the term fugue has a continuing history of six hundred and fifty years and the term imitation five hundred years, the appearance of the terms exposition and counterexposition in theoretical writings is rather recent. Apparently the term exposition first appeared in Traite du contrepoint et de la fugue by Francois-Joseph Fetis, published in 1824 as a Paris Conservatoire textbook.[1] Anton Reicha, professor of counterpoint and fugue at the Paris Conservatoire, employs both the terms exposition and counterexposition in Volume Two of his Traite de haute composition musicale (1826).[2] With the use of the term exposition both Fetis and Reicha are referring to that part of the fugue d'ecole in which the subject or answer is first stated by each voice. Succeeding French treatises use the term in a similar manner.[3] Andre Gedalge in his Treatise

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[1]Horsley, Fugue, p. 184, n. 22.

[2]Horsley, p. 175.

[3]Horsley, pp. 155-56.

on the Fugue (1900) defines the exposition of the fugue d'ecole as follows:

> To begin a fugue, the subject is stated in one of the parts, followed by the answer in another part; a third voice restates the subject, to which the answer responds in the fourth part. These four entries constitute the exposition.[1]

Apparently Reicha was the first to apply the term counterexposition to fugal structure. He uses the term in reference to that portion following the exposition in which the answer is stated first by the voice originally exposing the subject and the subject is then stated in imitation by the voice originally exposing the answer. To describe this situation Martini employs the term rovesciamento in Esemplare (1775), while Fetis uses the term renversement in his treatise. Both Reicha and Gedalge observe that only one entry each of the answer and subject qualifies an area as a counterexposition.[2] Regarding tonality, Gedalge clearly states "the counterexposition is always written in the principal key of the fugue."[3]

Most English theorists accepted the French definitions of exposition and counterexposition. W. S. Rockstro (1823-1895) in his article "Fugue" defines the two terms

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[1]Andre Gedalge, Treatise on the Fugue, trans. Ferdinand Davis (Norman: University of Oklahoma Press, 1965), p. 72.

[2]Horsley, p. 175; Gedalge, trans. Davis, p. 114.

[3]Gedalge, trans. Davis, p. 114.

thus:

> The complete statement of subject or answer by all the voices employed is called the exposition. . . .
>
> Sometimes . . . the exposition is followed by a whole series of extra entries, a sort of complement to the exposition; this is called the counter-exposition. In the counter-exposition the answer usually leads off, followed by the subject. . . .
>
> Up to now there have been no serious modulations in the fugue, but when the exposition and counter-exposition are over, there begins what is known as the middle section of the fugue. This consists of a contrapuntal web gradually leading through some definite scheme of modulations to the final section or climax of the fugue.[1]

Similar definitions are to be found in Fugue by James Higgs (1829-1902). He defines exposition by explaining that "the first section of a fugue usually closes at the point where each voice has in turn sung the subject or answer, but occasionally there is a redundant entry of the subject by the voice that first led it." He concludes his definition by stating "so much of a fugue as has been described constitutes the exposition.' Higgs immediately defines counter-exposition: "The exposition is often followed by the counterexposition. In this the order of subject and answer is reversed. The answer now leads and the subject replies, the voice that in the exposition sang the subject now sings the answer, and vice versa"[2]

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[1]W. S. Rockstro, "Fugue," Grove's Dictionary of Music and Musicians, 1926 ed., vol. 2, p. 118.

[2]James Higgs, Fugue (New York: H. W. Gray, n.d.), p. 2.

Ebenezer Prout in his Fugue (1891) not only offers a similar definition of exposition but also an enlarged description of counterexposition and an appraisal of the work of Higgs:

> The general plan of this volume is to some extent the same as that adopted by Mr. James Higgs in his admirable Primer on "Fugue," by far the best treatise on the subject in our language. It would be dishonest of the author not to acknowledge the assistance he has derived from this little work, which indeed it would be impossible for any later writer on the same subject to ignore. . . .[1]
>
> A fugue may be in any number of parts, but, whatever the number, they should all (with very rare exceptions) enter in turn at the commencement of the fugue with either the subject or the answer. That portion of the fugue which extends as far as the conclusion of the subject or answer (as the case may be) by the voice that last enters is called the Exposition of the Fugue.
>
> The close of the first episode is sometimes, though not always, followed by what is called a Counter-Exposition. This is a second exposition in the same two keys as the first, but with this difference, that the voices which before had the subject now usually have the answer, and vice versa. Sometimes the counter-exposition precedes the first episode, and follows the exposition immediately. Very frequently also it is only partial; that is to say, only some of the voices, and not all, take part in it.[2]
>
> In some fugues the exposition is followed, either immediately or after the first episode . . . , by what is called a Counter-exposition. This is really a second exposition in the same two keys (generally tonic and dominant) as the first, but with important differences. The chief of these are that in the counter-exposition the voices which before had the subject now have the answer, and vice versa; and that frequently the answer leads and the subject replies. In fugues 1 and 11 of the

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[1]Prout, Fugue, pp. iv-v. [2]Ibid., p. 3.

> 'Wohltemperirtes Clavier' will be seen examples of the former, and in Nos. 26 and 33 of the same work, illustrations of the latter. Sometimes, as in the first fugue, the counter-exposition follows immediately on the close of the exposition; at others (as in Fugue 11) it is separated from it by an episode.[1]

A single parenthetical phrase expresses Tovey's definition of exposition in A Companion to The Art of Fugue (1931): "(i.e. until all the voices have entered with the subject) . . . ."[2] Though Tovey succinctly describes exposition as "the first entries" in his article "Fugue," his analysis of an accompanying fugue score clearly shows the influence of the earlier French and English definition.[3]

An interesting plagiarism is evident when one compares the definitions of exposition and counterexposition in Ralph Vaughn Williams' (1872-1958) article "Fugue"[4] with those of W.S. Rockstro (1823-1895). Since the definitions are identical, that is, word for word, it seems apparent that Vaughn Williams was in complete agreement with the definitions of Rockstro.[5]

Both The Concise Oxford Dictionary of Music (1964) and The Oxford Companion to Music (1970) stress the concept

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[1]Ibid., pp. 89-90.

[2]Tovey, A Companion to the "Art of Fugue", pp. 2-3.

[3]Tovey, "Fugue," pp. 904-07.

[4]Vaughan Williams, "Fugue," pp. 517-18.

[5]For quoted excerpts from the article by Rockstro, see pp. 33.

that the counterexposition remains in the principal tonal sphere. The former states: "Occasionally, after the Exposition . . . we find a Counter-Exposition, much like the 1st Exposition in that the same 2 keys are employed."[1] In referring to a fugue by W. Friedemann Bach, the latter source declares "its main scheme is . . . Exposition with further entries in the same keys--which are called a Counter-Exposition . . . ."[2]

The traditional meaning of the term exposition is found within two sources which first appeared in Germanic languages. Originally published in Berlin in 1911 and translated into English in 1951, Hugo Leichtentritt's chapter on contrapuntal forms provides a succinct definition: "When all . . . voices have stated the theme, the exposition is brought to a close."[3] The term is defined similarly within Counterpoint (1931) by the Danish theorist Knud Jeppesen: "When all voices have presented the theme, the first portion of the fugue, which is known as the exposition, is ended."[4]

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[1]Percy A. Scholes, The Concise Oxford Dictionary of Music, ed. John Owen Ward (London: Oxford University Press, 1964), p. 209.

[2]Percy A. Scholes, The Oxford Companion to Music, ed. John Owen Ward (London: Oxford University Press, 1970), p. 378.

[3]Hugo Leichtentritt, Musical Form (Cambridge: Harvard University Press, 1951), p. 72.

[4]Knud Jeppesen, Counterpoint, trans. Glen Haydon (New York: Prentice-Hall, 1939), p. 265.

In America the first theorist to define fugal exposition appears to be Goetschius. His definition in Applied Counterpoint (1902) is generally consistent with that of the foregoing French and English writers:

> The Exposition or first Section of a Fugue contains as many announcements of the Theme (Subject and Response alternately . . .) as there are parts employed. . . .[1]
>
> The Exposition (first Section) is an essential and characteristic factor of this form of composition, appearing in every genuine Fugue, no matter what its subsequent development (its design as a whole) may be.
>
> That which follows the Exposition, however, is not (as a rule) subject to any further specific conditions . . . .[2]

A similar thought is expressed by Aaron Copland in his What to Listen for in Music (1939):

> The exposition is considered to be at an end when each of the voices of a fugue has sung the theme once. (Certain fugues have a reexposition section in which the exposition is repeated but with the voices entering in different order.)
>
> The exposition is the only part of the fugue form that is definitely set. From there on, the form can be summarized only loosely.[3]

Several more recent American writers have presented definitions in keeping with the above tradition. Within The Contrapuntal Harmonic Technique of the 18th Century (1947), Allen Irvine McHose observes that "the middle

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[1]Goetschius, Applied Counterpoint, p. 224.

[2]Ibid., p. 229.

[3]Aaron Copland, What to Listen for in Music (New York: McGraw-Hill, 1939), pp. 167-68.

section begins at the close of the last subject entry in the exposition,"[1] and Kennan declares in both the 1959 and 1972 editions of his Counterpoint that "the initial statement of the subject and answer in all voices in turn is called the exposition." Kennan continues within a footnote by describing a different application of the term:

> The word exposition has been used by some writers on fugue to mean any announcement of the subject, at the beginning or later. But the more restricted meaning given above is the one generally understood today, and it has therefore been adopted here.[2]

A similar thought has occurred to Paul Fontaine and is expressed in his Basic Formal Structures in Music (1967):

> Some analysts would label the middle and final sections of expositions 2 and 3, but this author prefers to limit the term exposition in a fugue, as in any other type of composition, to the opening section where the melodic material is first exposed.[3]

Leon Stein in Structure and Style (1962) writes: "The fugue is a sectional form. Its first section, in which the subject or answer appears in each of the voices, is called the exposition."[4] Within Volume 2 of Materials and

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[1]Allen Irvine McHose, The Contrapuntal Harmonic Technique of the 18th Century (New York: Appleton-Century-Crofts, 1947), p. 423.

[2]Kent Kennan, Counterpoint (Englewood Cliffs: Prentice-Hall, 1959), p. 154; 2d ed. (1972), p. 203.

[3]Paul Fontaine, Basic Formal Structures in Music (New York: Appleton-Century-Crofts, 1967), p. 192.

[4]Leon Stein, Structure and Style (Evanston: Summy-Birchard, 1962), p. 132.

Structure of Music (1967) by William Christ and coauthors, the reader finds: "The content of a fugue is delineated by a series of sections in which the topic melodic idea, the subject, is stated by each participating voice in a series of imitative statements. The first of these sections is called the exposition . . . ."[1] An obviously functional view is taken by Mason in Essentials of Eighteenth-Century Counterpoint (1965) when he states that "the purpose of an exposition is to present the thematic material and to introduce and define each of the voices which will be responsible for the manipulation and development of the material for the duration of the fugue."[2] Two other writers, Imogene Horsley[3] and Harriet Ruth Chase,[4] clearly adhere to this tradition in terminology.

In Basic Counterpoint (1956) Harold F. AtKisson disagrees only slightly with established tradition when he suggests that the exposition may close with an episode.[5] He

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[1]William Christ and others, Materials and Structure of Music, 2 vols. (Englewood Cliffs: Prentice-Hall, 1967), vol. 2, p. 237.

[2]Mason, Essentials of Eighteenth-Century Counterpoint, p. 132.

[3]Horsley, Fugue, p. 155.

[4]Harriet Ruth Chase, "German, Italian, and Dutch Fugal Precursors of the Fugues in the Well-Tempered Clavier I, 1600-1722" (Ph.D. dissertation, Indiana University, 1970), p. 9.

[5]Goetschius also differs in this respect; see Goetschius p. 228. Possibly AtKisson was influenced by Goetschius.

first declares that fugue "consists of two sections, the exposition of a theme and the development of the exposed theme" and later writes: "After the last voice has made its statement, the exposition may either end immediately or close with an episode. The fugue may be extended in length by further exposition (counterexposition)."[1]

Five recent American texts have presented definitions of counterexposition which are generally consistent with those of the French and English. Stein observes that "in some instances the exposition is followed immediately by a counter-exposition in which subjects and answers reappear, but in different voices than the exposition (WTC, Vol. I, Fugue IX)."[2] Referring to the portion of Bach's Fugue XI (WTC, Vol. I), measures eighteen to thirty-six, Christ and coauthors declare the section to be "another exposition containing the same order of keys (F-C-F) but with different voice order of 1-2-3." They conclude that "because of this basic similarity of technique and tonality arrangement, this section is called a counterexposition."[3]

A third text, Form and Content in Instrumental Music (1977) by Gail deStwolinski, describes the counter-exposition of Fugue XI in a similar manner: "The episode that follows the exposition leads to a counter-exposition

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[1]Harold F. AtKisson, Basic Counterpoint (New York: McGraw-Hill, 1956), pp. 109, 117.

[2]Stein, p. 135.

[3]Christ, p. 224.

in which the three voices again present the subject in succession using the same tonal plan but a different order of voice entries than the order of the first exposition."[1]

Within the two editions of the fourth text, Counterpoint by Kennan, uncertainty is evident. In the first edition Kennan fails to explain the indefinite term sometimes appearing in his description of counterexposition: "The plan of keys in this section is sometimes the same as in the main exposition . . . ."[2] He is more positive with his description in the second edition when he declares that "alternating tonic and dominant keys are normally involved as in the main exposition . . . ."[3] This position is supported later in both editions:

> Occasionally the subject is announced in the tonic key in the middle portion of a fugue, and in some treatises on counterpoint this is also called a counterexposition. The author feels that the term is better reserved for a series of statements involving the tonic and dominant as at the beginning.[4]

The fifth text to present a traditional view of counterexposition, Form in Music (1966) by Wallace Berry, clearly describes the tonal framework: "The counterexposition is a subsequent pair or group of entries of subject

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[1]Gail deStwolinski, Form and Content in Instrumental Music (Dubuque: Wm. C. Brown, 1977), p. 159.

[2]Kennan, Counterpoint (1959), p. 165.

[3]Kennan (1972), p. 216.

[4]Kennan (1959), p. 165; Kennan (1972), p. 216.

and answer, often separated from the initial exposition by an episode, and remaining within the original tonic-dominant sphere."[1]

Berry's terminology "initial exposition" is significant. He first defines exposition in a clearly traditional manner:

> The exposition is the first part of the fugue; it consists of subject statements, in tonal or real form, once in each voice with, occasionally, an added entry in the originating voice. A cadence is usual at the conclusion of the exposition, or following a subsequent episode, but whether or not there is such cadential punctuation, the exposition is regarded as a distinct structural entity because of its unique function. The usual traditional pattern is tonic level to dominant level . . . .[2]

After stating "the exposition is regarded as a distinct structural entity because of its unique function," Berry stretches the function of the term to include a "subject-answer internal entry group," calling it a re-exposition or internal exposition, and cites "measures 12-16 of WTC I, 16," as an example.[3]

Several other writers have also applied the term exposition to fugue in this more general manner. The earliest writer found to contradict the French definition is the Englishman, C. Hubert H. Parry (1848-1918). Like Berry he offers a traditional description in his article

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[1]Wallace Berry, Form in Music (Englewood Cliffs: Prentice-Hall, 1966), p. 390.

[2]Berry, p. 388.

[3]Berry, p. 392.

"Exposition": "In fugue the process of introducing the several parts or voices is the exposition, and it ends and passes into episode or counterexposition when the last part that enters has concluded with the last note of the subject."[1] However, in the article entitled "Episode" Parry speaks of "successive expositions" in his analysis of a Bach fugue.[2]

In America the contradiction appears to be more obvious and more widespread. Within an early Harvard University dissertation (1938), Henry George Mishkin declares that "the function of Bach's exposition is systematically to expose the subject, first in the basic tonal contrast of tonic and dominant and subsequently in the nearly related keys . . . ."[3] Manfred Bukofzer writes: "The one formal feature that all fugues had in common was continuous expansion, realized in a chain of fugal exposition."[4] While Berry analyzes "measures 12-16 of WTC I, 16," as an internal exposition, Douglas M. Green in his Form in Tonal Music (1965) identifies measures 12-19 as a second exposition containing "five entries of the theme, the last

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[1]C. Hubert H. Parry, "Exposition," Grove's Dictionary of Music and Musicians, 1966 ed., vol. 2, p. 984.

[2]C. Hubert H. Parry, "Episode," Grove's Dictionary of Music and Musicians, 1966, ed., vol. 2, p. 958.

[3]Henry George Mishkin, "The Function of the Episodic Sequence in Baroque Instrumental Music" (Ph.D. dissertation, Harvard University, 1938), p. 90.

[4]Bukofzer, Music in the Baroque Era, p. 362.

two occurring in stretto."[1] Green explains earlier that "passages that present or 'expose,' the theme are called expositions."[2] Robert Erickson not only contradicts tradition but is inconsistent in the application of his definition:

> Areas in the music where the subject appears at least once in each voice are called expositions, whether they appear at the beginning, middle or end of the fugue. . . .
>
> While no fugue can get along without at least one exposition, the first, expositions may appear in many forms. Usually the first exposition is the most regular. In the fugue diagrammed above (Contrapunctus III, Art of Fugue, J. S. Bach) the first exposition has the subject once in each voice, but in the second exposition there is no announcement of the subject in the bottom voice.[3]

This researcher theorizes that the very free tanslation of German terms to English has produced the definition of exposition which conflicts with the traditional meaning of the term. Imogene Horsley observes that "Alfred Mann in his translation of excerpts from Marpurg's treatise (1753) in The Study of Fugue . . . , translates both Wiederschlag and Durchfuhrung as exposition."[4] In translating Marpurg's definition of a strict fugue, Mann uses the terminology "first exposition,"[5] while merely the term "exposition"

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[1]Green, Form in Tonal Music, p. 263.

[2]Ibid., p. 262.

[3]Erickson, The Structure of Music, pp. 126, 129.

[4]Horsley, p. 184, n. 2.

[5]Mann, p. 156.

appears in the translation of the same passage in The Bach Reader.[1] Not only has the term Wiederschlag been translated as exposition in Mann's study, but also as "answer" and "sequence" in a recent translation of a portion of Mattheson's Der vollkammene Capellmeister (1739).[2] In the Harvard Dictionary of Music Apel defines exposition by referring to the term Durchfuhrung: "In a fugue, . . . the first as well as subsequent sections containing the imitative presentation of the theme."[3] This definition of exposition taken from the second edition eliminates an inconsistency evident in his first edition: "The initial section of musical forms (sonata, fugue) which contains the statement of the chief subject. The German term for the exposition of a sonata is Themenaufstellung; for that of a fugue, Durchfuhrung."[4] Such a definition in the French tradition is logically incompatible with the term Durchfuhrung. Apparently Apel realized this and changed it, but in favor of the German tradition. Thus, propagation of the Germanic view continues.

In defining Durchfuhrung Apel admits the term has "two different, almost opposite meanings according to

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[1]David and Mendel, p. 253.

[2]Lenneberg, "Johann Matheson," p. 73, n. 49, and p. 75, n. 55.

[3]Apel, HDM (1969), p. 301.

[4]Apel, HDM (1956), p. 250.

whether it refers to sonata form or the fugue." He continues by explaining that "in the former case it means development; in the latter, exposition."[1] The issue is compounded by Mann's reference to the still earlier Latin repercussio:

> Thus it first appeared in fugal theory as a term for the thematic statement that would drive back, return, the tonal answer. Later it served for the regular return of theme and answer--the exposition--or even for the return of the exposition, the second or counterexposition. This use of the term resembles its first application, for it describes the return of the theme on the dominant.[2]

All of the writers who so carefully defined fugue as a procedure rather than a form have applied the term exposition more freely than the French theorists who first established the terminology. This is true of Bukofzer, Apel, Erickson, Garrett, Green, Tyndall, and Mann.[3] Applying the term exposition to statements of the theme other than the opening ones appears to be an unrealistic attempt to force fugue into the more formal structure, which the above writers were seeking to avoid by the use of the term procedure. They do not appear to recognize that the exposition of a fugue not only exposes the theme or subject but also the participating voices and the tonal center of

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[1]Apel, HDM (1969), p. 250. [2]Mann, p. 49.

[3]For a discussion of the term procedure, see pp. 28-29.

the composition. Defining tonality is considered by this writer to be one of the most important functions of exposition. This may explain why several of the above authors do not mention counterexposition and those who do refer to it merely as a second exposition. The preceding study of the traditional definitions of counterexposition has shown theorists in general to be concerned that the counterexposition always appear within a tonic frame.

Recent general dictionaries and musical dictionaries offer support for the traditional French definition of exposition:

> A part of a composition . . . in which the theme or subject is presented or opened out . . . as the opening section of a fugue . . . .[1]
>
> In music, the initial presentation or statement of the themes of a movement; especially, in a fugue, the introduction of the several parts or voices.[2]
>
> The 1st setting forth of thematic material in a comp. In a fugue the E. is the statement of the subject by its 1st entry in each voice . . . .[3]

The initial presentation of thematic material,

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[1]Philip Babcock Gove, ed., Webster's Third New International Dictionary (Springfield: G. & C. Merriam, 1968), p. 802.

[2]Charles Earle Funk, ed., Funk & Wagnalls New Practical Standard Dictionary, Brittanica ed. (New York: Funk & Wagnalls, 1956), p. 468.

[3]Eric Blom, Dictionary of Music (New York: St. Martin's Press, 1971), p. 191.

> particularly in the sonata form and in the fugue.[1]
>
> In fugues, the exposition is the first statement of the subject (and answer) in all voices.[2]
>
> The initial statement of the theme or themes, in a composition of extended form. In the fugue the exposition consists of the imitation of the subject in all voices . . . .[3]

The above definitions restrict the use of the term exposition by including one of the following adjectives: opening, initial, or first. Therefore, these definitions provide one reason why the term exposition should be limited to the early thematic statements in a fugue. A second reason is that the foregoing historical survey of writings by nineteen theorists substantiates this more restricted application of the term.[4] A third point to be considered is the structure of the polythematic work in which "several themes appear in the course of a work, each

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[1]Willi Apel and Ralph T. Daniel, The Harvard Brief Dictionary of Music (Cambridge: Harvard University Press, 1960), p. 95.

[2]Jack M. Watson and Corinne Watson, A Concise Dictionary of Music (New York: Dodd, Mead & Co., 1965), p. 94.

[3]Oscar Thompson and Bruce Bohle, eds., The International Cyclopedia of Music and Musicians (New York: Dodd, Mead & Co., 1975), p. 660.

[4]A restricted application of the term exposition is favored by the following theorists: Fetis, Reicha, Gedalge, Rockstro, Higgs, Prout, Tovey, Leichtentritt, Jeppesen, Goetschius, McHose, Kennan, Fontaine, Stein, Christ, Mason, Horsley, Chase, and AtKisson.

being presented first in an exposition."[1] A fourth reason is that a consistent application of the term should produce a higher degree of clarity in communication. Historically the exposition is the most consistent component of fugue; it is also the most essential, for without it the remainder of the fugue can not be realized compositionally or experientially.

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[1]Horsley, p. 227.

CHAPTER IV

FUGAL TERMINOLOGY: EPISODE

The term episode originally came from the Greek art forms described by Aristotle in his Poetics (c. 335-322 B.C.). In Chapter 12 he declares "a tragedy has the following parts: prologue, episode, exode, and a choral portion," and defines episode as "all that comes in between two whole choral songs . . . ."[1] John Brown in his dissertation Poetry and Music (1753) observes that "not only the Part of the tragic Choir, but the Episode or interlocutory Part would be also sung."[2] A similar observation is made by Charles Burney: "Nor will the custom of setting the Episodes . . . appear strange to such as recollect that they were written in verse, and that all verse was sung . . . ."[3]

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[1]Whitney Jennings Oates and Charles Theophilus Murphy, Greek Literature in Translation (New York: David McKay, 1963), p. 650.

[2]"Episode," The Oxford English Dictionary, 1961 ed., vol. 3, p. 245.

[3]Charles Burney, A General History of Music, 2 vols. (New York: Dover, 1957), vol. 1, p. 133.

In Chapter 4 of The Poetics Aristotle speaks "of episodes, and the other extras . . .,"[1] and later in Chapter 23 he speaks of bringing in "episodes to relieve the uniformity . . . ."[2] One commentary on Aristotle's Poetics declares "that episodes are not part of the plot, but contrasted with it, as additions . . . ."[3] A similar view is taken by the writer of the article "Episode" in The Encyclopaedia Britannica: "In early Greek tragedy the parts spoken by the actors were considered of subsidiary importance to those sung by the chorus, and it is from this aspect that the meaning of the word, as something which breaks off the course of events, is derived."[4]

In A Dictionary of the English Language (1755) Samuel Johnson defines episode as "an incidental narrative, or digression in a poem, separable from the main subject, yet rising naturally from it," and immediately quotes Joseph Addison from The Spectator (c. 1711): "The poem, which we have now under our consideration, hath no other 'episodes' than such as naturally arise from the subject."[5]

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[1]Gerald F. Else, Aristotle's Poetics (Cambridge: Harvard University Press, 1967), p. 164.

[2]Oates and Murphy, p. 660.

[3]D. S. Lucas, Aristotle Poetics (Oxford: Oxford University Press, 1968), p. 180.

[4]"Episode," Encyclopaedia Britannica, 1957 ed., vol. 8, p. 660.

[5]Samuel Johnson, A Dictionary of the English Language, 2 vols. (London: W. Strahan, 1755; facsimile ed., New York: AMS Press, 1967).

The earliest application of the term episode to fugal structure found by this writer appears in Charles Burney's General History of Music (1789). His thought that fugal "subjects must be . . . without extraneous episodes"[1] is consistent with the meaning expressed by Addison and Johnson. While the term episode is generally used in English writings, the term divertissement functions similarly for the French.[2] One dictionary defines divertissement as "an episode in a fugue."[3] The German term is Zwischenspiel, often translated as interlude; however, one of the definitions that Apel gives is a "name for fugal episode."[4]

A fundamental question in the present study is this: May an entire statement of the subject appear within an episode? In his treatise of 1900 Gedalge observes the following:

> There is an observation to be made with respect to the two preceding episodes: Note that they have as their main motive the entire subject. This practice is frequent in the free fugue when the subject is short and the tempo, rapid. In the school fugue, however, where the subjects are generally more extended, this method is not employed.[5]

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[1]Burney, vol. 2, p. 77, n. k.

[2]See analyzed examples in Gedalge, trans. Davis, pp. 338-420.

[3]Gove, Webster's Third New International Dictionary, p. 663, definition 1c.

[4]Apel, HDM (1969), p. 933.

[5]Gedalge, Treatise on Fugue, trans. Levin, p. 151.

An early Harvard University dissertation (1938) by Henry Mishkin describes "the so-called interludes or episodes" and declares that the episodes of the pre-baroque fugal forms contain the entire statement of the subject:

> First, the sequence becomes the principal means of organization within the episode, and second, the thematic material of the episode shows a thematic relation to the exposition. Only these two tendencies are realized in the pre-Baroque practice . . . .[1]
>
> . . . an investigation of the contrapuntal forms of the sixteenth, seventeenth and eighteenth centuries testifies to the total inadequacy of the definition which labels as episode any part of the fugue in which the subject is not present. The episode, as a development section, is obviously based upon the thematic material of the exposition . . . in the pre-Baroque forms the episode actually contains the subject intact . . . .[2]
>
> . . . In the pre-Baroque forms the sequential episode contains the entire subject, which is usually varied, but varied as a unit . . . .[3]

Mishkin shows examples of episodes by Cabezon (1510-1566) and Sancta Maria (d. 1570) which contain complete statements of the subject. He also observes that Sweelinck (1562-1621) and his pupil Scheidt (1587-1654) use similar techniques.[4] However, Mishkin states that a "lack of episodes remains characteristic for the German instrumental composers."[5]

In contrast, Bach's concern for Zwischenspiel or episode is evident throughout his works and is documented

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[1]Mishkin, "The Function of the Episodic Sequence," p. 89.

[2]Ibid., p. 90

[3]Ibid., p. 94.

[4]Ibid., pp. 94-97.

[5]Ibid., p. 89.

in Marpurg's Kritische Briefe (1760). Marpurg declares that an examination of the fugues of Bach will reveal "how many artistic transpositions of the subject into other keys and how many excellently timed episodes are to be found there." Marpurg continues with an account of a personal encounter with Bach:

> Once during my stay in Leipzig I spoke to him about certain matters concerning fugue and heard him call the works of an old laborious contrapuntist dry and wooden, and certain fugues arranged for the clavier of a recent no less great contrapunist pedantic, because both remained in the principle [sic] key without any change; and the latter at least in the fugues of which we spoke had not shown enough fire to renew the theme through episodes.[1]

In Abhandlung von der Fuge (1753) Marpurg describes episodes as those "portions which serve as connection....."[2] Later he writes:

> The function of the episodes begins where that of the counterparts ends; rather, an episode is a continuation of the counterpart and lasts until the fugal theme returns. . . .
>
> The episodes need not be formed by all voices. One or two voices may be suspended one after another, or simultaneously, so that the theme may re-enter all the more clearly and emphatically, especially if it appears in an inner voice.[3]

This definition allows for the appearance of an episode within the exposition. The fact that such a thought had

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[1]Howard Serwer, "Marpurg versus Kirnberger: Theories of Fugal Composition," Journal of Music Theory 14 (Winter 1970): 229. See also David and Mendel, p. 257.

[2]Mann, p. 155.

[3]Ibid., pp. 202-03.

occurred to Marpurg is evident in his analysis of the exposition of a fugue by Luigi Battiferri in which Marpurg observes "the entrances are presented without episodes."[1] Referring to the same work, Marpurg points out the "short episode" in measure 37 which consists only of an authentic cadence in G major and the longer episode of measures 40-45 "which is related to the theme."[2] Marpurg clearly employs the term Zwischenspiel or episode in a rather general manner, applying it to expositional, developmental, and interior cadential material.

Earlier German theorists were the first to provide a term for the melodic bridge which falls between the last note of the subject and the first note of the answer. Whereas the term conciliatio fell into disuse with later German theorists, the Italian theorist, Padre Martini, called this material coda in his Esemplare (1775).[3] In contrast to the limited usage of the earlier term, the term coda has influenced fugal terminology to the present. The French theorists extended the application of the term to include material which joins the answer to the restatement of the subject within the exposition.[4] Most English

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[1] Ibid., p. 182.

[2] Ibid., p. 184.

[3] Horsley, p. 165.

[4] See analyzed examples in Gedalge, trans. Davis, pp. 87-88 and 111-12.

writers adopted the French position but changed the term to codetta as the term coda had already been applied to the conclusion of a composition or movement. English writers using the term codetta in the French tradition include Rockstro (1823-1895),[1] Higgs (1829-1902),[2] Prout (1835-1909),[3] and Vaughan Williams (1872-1958).[4] A recent American writer, Paul Fontaine, advocates extending the application of the term still further. After observing that "the words coda and codetta have long been used somewhat indiscriminately,"[5] he makes the following suggestion:

> Codetta: a term which has come to have a special meaning in a fugue. It is used mainly to define extensions and interpolations within the exposition, between the subject or answer as heard in one voice and the entrance of the next voice. However, it can and should be applied to short bridge passages anywhere in the fugue--even those of a single measure or less--which are too brief to be classed as episodes. This includes, in particular, approaches to interior cadences not involving the subject.[6]

A number of other terms have been applied to the coda or codetta material of the fugue exposition. The term transition has been used by Aaron Copland[7] and Imogene Horsley,[8] as well as by Goewey and Kucaba in their Understanding

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[1]Rockstro, pp. 117-18.

[2]Higgs, pp. 2 and 48.

[3]Prout, p. 88, Ex. 204.

[4]Vaughan Williams, p. 517.

[5]Fontaine, p. 73, n. 2.

[6]Ibid., p. 188.

[7]Copland, p. 167.

[8]Horsley, pp. 164-65.

Musical Form (1962).[1] Analyzing the exposition of Fugue 16 (WTC I) within Counterpoint (1959), Kennan employs the terminology "link passage."[2] In his 1972 edition he analyzes the same passage as a "bridge."[3] Mason[4] and Christ[5] also use the term bridge; however, the latter includes the term episode within parenthesis implying that the two terms are synonymous.

The practice of applying the term episode to expositional auxiliaries has been advocated by several writers. The earliest reference found is Goetschius (1902) who uses the terminology "episodic interlude."[6] McHose notes length as the primary criteria: "If the codetta is unusually long some theorists consider it an episode."[7] In Musical Structure and Design (1953) Cedric Thorpe Davie declares that "the distinction between episode and codetta . . . is purely arbitrary, those episodes which occur before the end of the exposition being technically styled codettas." He continues within a footnote: "Tovey and Morris in their

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[1]Gordon Goewey and John Kucaba, Understanding Musical Form (Dubuque: Wm. C. Brown, 1962), p. 30.

[2]Kennan (1959), p. 176.

[3]Kennan (1972), p. 226.

[4]Mason, p. 129.

[5]Christ, p. 239.

[6]Goetschius, p. 227.

[7]McHose, p. 422, n.

writings have set the excellent fashion of abolishing this very artificial distinction."[1] In one article Tovey states that "there is no reason for distinguishing episodes that occur during the exposition from later episodes."[2] In his analysis of the J. S. Bach Forty-Eight Preludes and Fugues (1924) Tovey declares "the term is used to include those that appear during the Exposition . . . ."[3] Referring to the modulating passages between entries in the exposition, Morris observes:

> Such passages are known conventionally as codettas, and where their function is purely tonal, the name will serve well enough. Where they are of sufficient length, and sufficiently definite in construction, they are of course neither more nor less than episodes, and there is no reason why they should not be called so.[4]

At least five later writers--Erickson (1955),[5]

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[1]Cedric Thorpe Davie, Musical Structure and Design (New York: Dover, 1966), p. 157.

[2]Tovey, "Fugue," p. 904.

[3]J. S. Bach, Forty-Eight Preludes and Fugues, 2 vols., ed. Donald Francis Tovey (London: Associated Board, 1924), vol. 1, p. 20.

[4]R. O. Morris, The Structure of Music (London: Oxford University Press, 1935), pp. 91-92.

[5]See example in Erickson, p. 129.

AtKisson (1956),[1] Stein (1962),[2] Green (1965),[3] and Walton (1974)[4]--apply the term episode to material within the exposition. None of them apply the terms coda or codetta to fugal exposition.

A few writers have discussed terminology which is to be applied to the closing auxiliary of the fugue. Davie makes the following observation:

> Many fugues have a formal extension of the cadence which may fairly be described as a coda, since it sounds like one; but this does not seem to justify the stand taken by some writers, who maintain that everything following the end of the last entry of the subject must be classified as such.[5]

Berry concurs with this observation. He asserts that "when there is a coda or codetta, it is a concluding appendage to the final stage, set off by a clear, premature cadence, sometimes deceptive, in the tonic key . . . ."[6] Gedalge uses the term conclusion to describe closing auxiliaries such as codas, codettas, and cadences.[7]

Several of the above writers have limited the application of the term episode to intermediate passages

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[1]AtKisson, p. 117. [2]Stein, p. 134.

[3]Green, p. 262, Ex. 14-15.

[4]Charles W. Walton, Basic Forms in Music (New York: Alfred, 1974), pp. 151-55, ex. 1-2.

[5]Davie, p. 156. [6]Berry, p. 404.

[7]See examples in Gedalge, trans, Davis, pp. 189, 219, 223, 227, 230, 238.

of significant length and structure, namely, Mishkin, Fontaine, McHose, and Morris. For such passages a new term--development-- has been suggested by Robert Tyndall:

> Development: Between the expositions are passages that introduce no new material but rather develop motives and fragments from the first exposition. These passages are called developments . . . .[1]
>
> The traditional name for these passages is episode, but because these passages in a fugue are developmental in nature and because they are dissimilar to sections in other forms called episodes, this alternative term is suggested as being more descriptive.[2]

What term or terms should be applied to those auxiliary passages of less significant length and structure? Marpurg and apparently Bach identified both significant and less significant intermediate material by using the term Zwischenspiel (episode) in a general manner. Fontaine advocates that the special term codetta be applied to less significant material appearing throughout the fugue. In the future Berry's use of episodic terminology may help to establish greater consistency. He differentiates between types of episodes:

> Where no subject entry is in progress, there is an episode. When not merely candence-forming (cadential episode), or brief and simply transitional (within the exposition, the transitional episode), an episode is an area of tonal movement, of free manipulation of subject or countersubject motives.[3]

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[1] Tyndall, p. 149.

[2] Ibid., n. 2.

[3] Berry, p. 390.

However, Berry appears to contradict himself when on the following page he declares "in WTC I, 1, the subject is relinquished only for the formation of cadence at measure 14, measure 23 and the end; there are no real episodes."[1] Why did he not say "there are no developmental episodes"? According to his definition of terms, measures 13/14 and 23/24 must be classified as cadential episodes.

Davie's application of the term episode to the same fugue also appears to be rather vague. He observes:

> The texture of some fugues is so closely connected with the subject itself as to preclude the use of episodes altogether, or to reduce them to slight linking or modulating passages of a beat or two. Such is the case in the very first fugue of the '48,' in which the listener's whole attention must be devoted to the enormous number of entries of the subject in stretto, the display of which is the main object of the fugue. Breathing-spaces such as are afforded by episodes would upset the whole plan, reducing what is an overwhelming effect of accumulation to a boring series of fresh starts.[2]

Writers tend to use the term episode in either a rather general manner or in a more limited specific way. However, Berry and Davie propose a special definition of the term but fail to use an appropriate special name. Tovey is more articulate when he states that "episodes are usually developed from the material of the subject and countersubjects; they are, when independent, conspicuously so."[3]

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[1]Ibid., p. 391.

[2]Davie, p. 157.

[3]Tovey, "Fugue," p. 904.

Thus, there are developmental episodes and independent episodes. In his recent article in the Encyclopaedia Britannica (1974) Lionel A. Rogg, professor at Geneva Conservatory, offers a concise and reasonable explanation of fugal episode: "An episode is any passage, developed or not, that links two statements of the subject. . . . There is a great variety of episodes."[1]

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[1]Lionel A. Rogg, "Fugue," Encyclopaedia Britannica, Macropaedia 7, p. 769.

CHAPTER V

FUGAL PROCEDURE AND TERMINOLOGY: THE TWO-PART INVENTIONS

Many writers have shown interest in the relationship of the fugue and invention types. Some emphasize the similarities. Hugo Leichtentritt in Musical Form (1951) observes that "on the whole the methods of the invention are closely allied to those of the fugue, and constitute an important means of fugal style."[1] Bukofzer states the idea in a similar manner: "Written in fugal style without being fugues the inventions represent the triumph of obligato part-writing."[2] A stronger statement is made by Christ and coauthors:

> It would be accurate to describe Bach's Inventions as fugues for a keyboard instrument. The developmental techniques applied to motives are characteristic of the fugue, and the imitative textures of inventions are indistinguishable from those seen in most fugues.[3]

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[1]Leichtentritt, p. 309. [2]Bukofzer, p. 287.

[3]Christ, p. 235.

AtKisson relates the invention to the polyphonic style of the sixteenth and seventeenth centuries:

> The various aspects of evolution in polyphonic music from the sixteenth and seventeenth centuries to the eighteenth are embodied almost in entirety in the Bach Two Part Inventions. As one becomes more familiar with sixteenth- and eighteenth-century music the similarities begin to seem much greater in number than the differences.
>
> The principles of imitation are much the same as in the sixteenth century. The basic difference is that eighteenth-century polyphony usually exposes and develops a single theme in one composition.[1]

Several other writers are impressed with the "single theme" concept of the invention structure. In defining invention, Sir George Grove states that the term is "used by J. S. Bach for fifteen small keyboard pieces--each in two parts, and each developing a single idea."[2] Regarding the single theme of the Bach Inventions, McHose writes: "The invention opens with a statement of the motive or subject in the upper voice. Six of the inventions have the motive or subject begin the composition without the second voice accompanying them."[3] The method by which five of the Inventions open with both voices is explained by Leichtentritt:

> Inversion forms are a special type of the contrapuntal forms. They make use of double or triple counterpoint, beginning by exposing the

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[1]AtKisson, p. 91.

[2]Sir George Grove, "Invention," Grove's Dictionary of Music and Musicians (1966), IV, p. 526.

[3]McHose, p. 394.

> theme, and simultaneously one or two counter-subjects, and from these motifs building up the entire piece by inversions of the various parts and by different combinations of these inversions. Thematic interludes occur frequently, as do sharply marked cadences in order to indicate clearly to the listener the division of the piece into two or three sections. Models of this very logical type of construction are found in Bach's Inventions.
>
> Of the two-part Inventions, Nos. 5, 6, 9, 11, 12 belong to this class.[1]

A writer who lists both similarities and differences between the invention and the fugue is Douglas Green. Of the five similarities presented, the second reads: "Both are based on a single theme, normally stated at the outset by each voice in succession, and reappearing at intervals throughout the piece."[2] Within a footnote he recognizes that Three-Part Inventions II and V are exceptions to the principle of a fugal piece opening with each voice stating the theme successively. Green could also have included the Two-Part Invention XIV as an exception, since the first two statements of the theme are separated by a two-measure episode (measures 4 and 5).[3] McHose also acknowledges that Invention XIV does "not begin with imitation."[4] The choice is simply an exposition with only one statement of the theme followed by one internal entry at the dominant or a

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[1]Leichtentritt, p. 308 [2]Green, p. 275.

[3]For a description of this episode, see Christ, p. 129.

[4]McHose, p. 395.

complete exposition with two statements of the theme followed by no internal entry. However, a statement and answer separated by a two-measure episode is highly unlikely. Such a relation is not imitation in the sense of an immediate repetition in the other voice; rather, it is a restatement of the theme in the other voice.[1]

Some writers regard the invention as a freer structure than the fugue. Referring to the inventions as a genus, Spitta writes:

> In extent alone is it inferior to the two parts of the Wohltemperirte Clavier and the Kunst de Fuge, in its more modest dimensions and the limitations imposed by fewer means employed, but certainly in no other respect. Nay, in one way it is superior to them and to all Bach's later clavier music--namely, in its perfect novelty of form. . . .
>
> He seems to have struggled longest after the ideal form of the inventions. A two-part fugue in C minor is, as it were, the butterfly half-escaped from the chrysalis; it is, properly speaking, a fugue only to the end of the sixth bar, and afterwards more of an "invention" in its freedom of theme and episode.[2]

A similar thought is expressed in a recent text: "In general, one may say that the Inventions are short imitative contrapuntal pieces that contain many features of the

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[1]See Walter Kob's distinction between the terms "repetition" and "restatement" in Roger P. Phelps, A Guide to Research in Music Education (Dubuque: Wm. C. Brown, 1969), pp. 169-70.

[2]Spitta, II, pp. 58-59.

fugue. They are, however, less predictable and much freer than the fugue."[1] Goetschius declares the same criteria for distinguishing between invention and fugue:

> Polyphonic styles of composition are divided into three classes, distinguished chiefly by the degree of severity with which the principles of polyphony, or contrapuntal writing, are applied; namely: the Invention, the Fugue, and the Canon.
>
> In the Canon the utmost rigor of thematic treatment prevails. In the Fugue, the contrapuntal methods are applied with less insistence, but with reference to certain specific conditions, peculiar to this class. In the Invention, the polyphonic principles (Imitation, etc.) are applied in a general way only, with much freedom of detail . . . .[2]
>
> The first Imitation, in an Invention, is almost always in the octave; though occasionally the fifth is chosen, or some other interval which adjusts itself readily to the Harmonic design--any interval being permissible.[3]

Unfortunately, Goetschius provides a false premise. The phrase "any interval being permissible" is simply not true of the Bach Two-Part Inventions. In these Bach uses only intervals of a perfect octave and perfect fifth for the first imitation. In listing six distinguishing characteristics between invention and fugue, Stein presents the same incorrect information: "The fugue answer is

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[1]David Ward-Steinman and Susan L. Ward-Steinman, Comparative Anthology of Musical Forms, II (Belmont: Wadsworth, 1976), p. 119.

[2]Goetschius, p. 94. [3]Ibid., p. 97.

traditionally in the fifth, whereas the invention answer may be in any interval."[1] As noted above, Invention XIV opens without imitation. The first imitation of Inventions V, X, XII, and XV is at the fifth, and the first imitation of the remaining ten Inventions is at the octave.

A statement by Spitta indicates an influence on Bach's choice of intervals of imitation within the Inventions. This statement refers to the fugues of Bach's predecessor Johann Rudolf Ahle (1625-1673):

> The form of the quintenfuge is not yet brought to its full perfection in them; sometimes the theme is answered first in the octave and then in the fifth, involving another response in the octave; it even occurs that the answer remains for the time exclusively in the octave.[2]

Inventions I and VII are examples of the former, and Invention IV is an example of the latter. The fact that these Inventions are limited to two voices does not alter the aural impression of successive imitations. The contrasting register of the imitations is also noteworthy. The fact that the intervals of imitation in the Inventions are different from most Bach fugues is not a valid reason to consider the invention a freer structure than the fugue. Spitta's observation supports the idea that from this view the invention is more traditional than the Bach fugue.

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[1]Stein, p. 138.

[2]Spitta, vol. 1, p. 341. For a discussion of the evolution of the quintenfuge, see p. 26.

In general, the literature which relates the term exposition to the Two-Part Invention follows the French tradition discussed in Chapter III. This is true of Goetschius, McHose, Stein, Christ, and Mason. The exposition includes the first statement of the theme and its successive imitations. Goetschius differs slightly in that he includes the first modulating episode. Mason is the only writer found to define and apply the term counter-exposition in reference to the Two-Part Invention.

Rhythmical consideration is extremely important in the analysis of motives and subjects and of the invention type in general. Two statistical studies have shown the emotional content of the Bach Inventions to vary with the roughness in durational accent rather than to depend on dissonance.[1] One writer has declared overoptimistically that "Bach avoided writing down-beat beginnings like the plague. Over 99% (!) of Bach's beginnings are up-beat. It is doubtful if there is any other stylistic matter in which he is so consistent." Later he observes: "In addition to Bach's avoidance of down-beat beginnings, there is the evidence of both Roger North and Johann Mattheson who

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[1]John Satterfield, "Dissonance and Emotional Content in the Bach Two-Part Inventions," The Music Review 17 (November 1956): 273-81; and John Satterfield, "The Emotional Content of the Bach Two-Part Inventions II," The Music Review 19 (August 1958): 173-79.

gave examples showing the inferiority of the down-beat beginnings."[1] Bukofzer relates articulation to the up-beat: "A clear conception of baroque articulation will bring out the fact that the almost omnipresent upbeat patterns . . . usually straddle the bar line and play havoc with an accentual or strictly metrical rhythm, especially in the music of Bach."[2] Leichtentritt writes: "The motif normally begins on an upbeat (upbeat: lifting, arsis; downbeat: descending, thesis). Of course there are many motifs which begin with the downbeat, but they are exceptions involving an artificial foreshortening of the normal upbeat motif . . . ."[3] Only four of the fifteen Two-Part Inventions begin with a theme opening on the downbeat, namely, Inventions IV, IX, X, and XII.

Identifying the length of an Invention subject is sometimes difficult. While writers in general describe the subject of Invention VII in terms of seven notes,[4] the subject length of VIII is less evident as Ward-Steinman acknowledges:

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[1]Sol Babitz, "To the Editor of Bach," Bach, 3, no. 2 (1972): 41.

[2]Bukofzer, p. 379. [3]Leichtentritt, p. 5.

[4]Johann Sebastian Bach, Two-Part Inventions, ed. Joseph Banowetz (Park Ridge: General Words & Music, 1974), p. 58. Goetschius, p. 102; Julius Herford, "Bach's Model of 'Good Inventiones'," Bach, 2, no. 4 (1971): 13; Kennan (1959), p. 69; Kennan (1972), p. 138; and Thompson, Bach in Color: The Two-Part Inventions, p. 16.

> The motive itself is elusive. How long is it? One bar? Two bars? Ten? A case could be made for each of these, but the best answer seems to be two bars' length (compare measures 12-13 in the bass, 13-14 in the soprano).[1]

John Thompson agrees.[2] Both Ward-Steinman and Thompson are impressed with the canonic technique within Invention VIII. Opposing this view, Goetschius is impressed with the fugal technique and thus identifies the subject as one measure in length.[3] Joseph Banowetz also views the subject as only one measure in length.[4] Several reasons may be given for this six-note subject analysis by Goetschius and Banowetz. First, stretto is unusual within the exposition. Ward-Steinman admits this. Second, the opening point of imitation early in measure 2 marks a significant change in texture. Third, an obvious change in pitch direction in the higher voice separates measures 1 from 2, thus forming two distinct ideas. A change from melodic skips to stepwise motion and a change in melodic rhythm also serve to separate the two. Finally, the function of countersubject is to serve as continuation of the subject while imitation is occurring in another voice. Marpurg thoroughly discusses this function of countersubject in his treatise.[5] Noteworthy also is the fact that the countersubject of bar 2 appears alone in the

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[1]Ward-Steinman, p. 122. [2]John Thompson, p. 18.

[3]Goetschius, pp. 62 and 68.

[4]Bach, ed. Banowetz, p. 63. [5]Mann, pp. 191-202.

higher voice of measures 9 and 31 and in the lower voice of measures 10 and 32.

Herford's analysis of the subject of Invention II disagrees with that of Robert Marshall. Herford records three "high points": E-flat, the third sixteenth note of the second beat; F, the first sixteenth note of the fourth beat; and A-flat, the second sixteenth note of the first beat of measure 2.[1] Marshall's analysis differs from Herford's A-flat in that G, the third sixteenth note of the first beat of measure 2, is identified as the third high point.[2] The G is stronger both rhythmically and harmonically.

The subjects of Inventions I and VII have been compared by Julius Herford. He declares the subject of eight notes of Invention I to occur in "two phases": "The first four notes of the theme form the first phase of the musical process. The last four notes, the second phase of action."[3] Rhythmic and harmonic analysis support this position. Further support is seen in development by the rhythmical augmentation of the first phase in measures 3 and 11 and the second phase in measures 9 and 10. Herford

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[1]Julius Herford, "Bach's Models of 'Good Inventiones', Part III," Bach, 3, no. 2 (1972): 29.

[2]Robert Lewis Marshall, The Compositional Process of J. S. Bach, 2 vols. (Princeton: Princeton University Press, 1972), vol. 1, p. 168.

[3]Herford, Bach, 2, no. 4 (1971): 11.

claims the seven-note subject of Invention VII to fall in one phase. Apparently he considers harmony to prevail over rhythm. However, if rhythm is considered to be the stronger, this subject would also occur in two phases, the first three notes forming the first phase. The modified statement in the lower voice of measure 7 combines an inverted first phase with an original second phase. This partial modification supports the idea that the subject occurs in two phases. Herford observes that the last four notes of the subjects of the two Inventions are identical within their respective tonalities. He does not mention that the last four notes of the fifteen-note theme of Invention III are also identical.

Two other authors have compared Invention VII with Invention I. Spitta is impressed with the similarities between the two Inventions: "No. 7, in E minor, shows an affinity in form with No. 1 . . . ."[1] James Vassar compares the two to support his thesis that Invention VII among others was probably "written by Friedemann Bach"[2]: "Praembulum 3 (Invention VII) is close enough thematically to the C major study to be considered its twin."[3] However,

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[1]Spitta, vol. 2, p. 62.

[2]James B. Vassar, "The Bach two-part Inventions: A Question of Authorship," Music Review 33 (February 1972): 14.

[3]Ibid., p. 16.

the striking similarities between the two compositions prompt this writer to believe that both are by Johann Sebastian Bach.

The compositional device of subject modification is important to an understanding of the developmental process found within the Bach Inventions. Only slight change occurs when a subject is terminally modified. In general, a more extensive change occurs when a subject statement contains a modified opening. E. H. Alden in "The Role of the Motive in Musical Structure" describes three such modifications which appear in the lower voice of Invention VII, measures 7, 8, and the second half of 10:

> Bach's two-part E minor Invention (No. 7) provides . . . several essential changes both in rhythm and pitch contour of the motive, particularly in the upbeat. Note especially an extra note is soon needed in this upbeat in order to eliminate gaps and draw the successive motives into close proximity.[1]

In addition to these three modifications, a fourth is first stated in the higher voice, beginning with the last three sixteenth notes of measure 15. These four modifications, along with their sequential repetitions, demonstrate the developmental process that is common to episodes.

In a foregoing discussion the term episode has been

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[1]Edgar Hiester Alden, "The Role of the Motive in Musical Structure" (Ph.D. dissertation, University of North Carolina, 1956), pp. 87-88.

applied to Invention XIV.[1] Elie Siegmeister describes the episode of measures 4 and 5: "Here, as so often happens in Bach, the pace quickens. A half-bar fragment of the motive appears in a series of rapid sequences over a faster harmonic rhythm (four chords in a bar)."[2] Several other writers have related the technique of sequence to the episode of the two-part invention. McHose observes that within episodes "Bach frequently utilizes the device of sequence."[3] Within his discussion of the two-part invention Kennan declares that "episodes are nearly always sequential."[4] Mason writes that "the first episode . . . may be begun by substituting the devices of sequence, inversion, or repetition for the imitative devices characteristic of the exposition."[5] On the other hand, sequence of the theme and episode function separately in the analytical system of Goetschius.[6]

The sequential character of episode is described by two other writers. The movement from imitation to sequence is identified as "acceleration" by Alden: "In polyphonic music an additional technique of acceleration is employed

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[1]See pp. 65-66.

[2]Elie Siegmeister, Harmony and Melody, 2 vols. (Belmont: Wadsworth, 1966), vol. 2, p. 109.

[3]McHose, p. 396.

[4]Kennan (1972), p. 131.

[5]Mason, p. 72.

[6]Goetschius, p. 99.

when a motive that is sounded first in alternation between two voices is then presented two or more times in succession in the same voice."[1] In "The Function of the Episodic Sequence in Baroque Instrumental Music," Mishkin describes the strength of the sequence in this manner: "Repeated statements . . . with only sequential variation can involve an insistent and dramatic increase in tension and emotional power."[2]

Three writers--Siegmeister, Smoliar, and Berry--describe the first thematic and episodic passages of Invention IV. Siegmeister cites Invention IV as an example of "centering motion" and "traveling motion." Within a footnote he identifies the first six measures as an example of centering motion, i.e., thematic: "Bach's Invention No. 4 starts with a two-bar motive, which is repeated twice in different registers, centering harmonically around the tonic." Siegmeister then identified measures 7 through 17 as an example of traveling motion, i.e., episodic: "A variant of the motive initiates a sequence traveling through the cycle of fifths." He declares the example "shows how sequence can serve to develop a motive into a widely arching phrase, a strong harmonic movement, and a modulatory progression."[3]

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[1]Alden, p. 86.

[2]Mishkin, p. 141.

[3]Siegmeister, p. 112.

In the article "Process Structuring and Music Theory," Stephen Smoliar presents Invention IV in the form of a schema which provides the output for a computer program. Within the schema the essential material of the first six measures is referred to as "call THEME in D harmonic minor," i.e., thematic. Measure 7 marks the first significant structural change, the higher voice being referred to as "call THEME from second note in D natural minor," i.e., episodic. Thereafter the first subject unit to appear from the first note providing thematic function is the "call THEME in F major" in the lower voice of measure 18.[1] Berry describes the same area with the terms "Subject" (measures 1 through 6), "Sequence" and "Developmental recurrence of subject variation" (measures 7 through 17), and "Subject" (measure 18).[2] Based on the three above descriptions, reason dictates the structural unit extending from measure 7 through 17 be classified as episode.

Locating the first episode of Invention VII is necessary. Imitation continues through the first four measures; however, the change of imitation interval to a perfect fourth in measure 3 is significant. In addition sequence is more evident in measures 3, 4 and 5 than in the

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[1] Stephen W. Smoliar, "Process Structuring and Music Theory," Journal of Music Theory 28 (Fall 1974): 320-21.

[2] Berry, p. 417, ex. 11.34.

first two measures. These reasons and the above explanations of "acceleration" and "traveling motion" give support to those analysts who classify measures 3 through 6 as episode. Although Kennan's first edition indicates these measures to be thematic, his second edition analyzes them as episode.[1]

The episodes of Invention I pose a different set of analytical problems. Goetschius includes both modified statements and sequential repetition in his analysis of the opening thematic area:

> In No. 1 of the 2-voice Inventions, the Motive is announced five times (the 5th time in Contrary motion) before the alternative of the "Sequence" is adopted; and no less than ten consecutive announcements are made before an "Episode" is introduced.[2]

This means episode begins in measure 6. However, one cannot deny that a significant change in structure is apparent in measure 3. In a description of Invention I Herford observes that "both voices move toward a half-close on the down-beat of measure 2 (lower voice, 'Sol,' higher voice, 'Re') and then move on to the imperfect whole-close on the down-beat of measure 3 (lower voice, 'Do,' upper voice, 'Mi')."[3] Spitta succinctly states that "at the third bar

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[1]Kennan (1959), p. 69, ex. 8; Kennan (1972), p. 138, ex. 13.

[2]Goetschius, p. 103.

[3]Julius Herford, "Bach's Models of 'Good Inventiones' --How to Develope the Same Well," Bach, 4, no. 1 (1973): 17.

there begins a moderately long episode on the inverted subject . . . ."[1] Both Kennan and Mason agree with Spitta.

Leon Stein's episodic analysis of Invention I differs greatly with all of the sources being investigated. Several writers have shown that an episode may contain statements of the entire theme.[2] However, Stein alleges that "in the fugue (and invention) the episode is a passage in which only a fragment of thematic or counter thematic material is used. AMF [Anthology of Musical Form], no. 20a (meas. 5-6, 9-10, 13-14, 17-19)."[3] Although this analysis of Invention I indicates measure 5 to be episodic, the measure contains a statement of the entire theme. Thus, Stein's analysis contradicts his definition. Certainly a structural change occurs in measure 5, but the change in measure 3 is more pronounced because it is experienced first by the listener. The ideas of "acceleration" and "traveling motion" also support measure 3 as the beginning of episode. Stein may have avoided classifying measures 11-12 as episode because they parallel measures 3-4. Additional analytical problems occur in measures 19-20. Apparently Stein considers the imitation of measure 20 a more significant structural change than that in measure 19. Carl Geiringer disagrees: "The piece is divided into five sections (1-6, 7-10, 11-14, 15-18, 19-22) all

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[1]Spitta, vol. 2, p. 61. [2]See p. 53.

[3]Stein, p. 61.

approximately of the same length, and there is a marked relationship between the first and last section, as well as between the second and fourth."[1] John Rothgeb declares that "changes in surface design usually coincide with crucial structural points, and accordingly such changes must be given the most thoughtful attention in deriving or verifying an analysis."[2]

To explain such phenomena the present writer has developed a thematic and episodic analysis based on significant structural changes appearing in the fifteen Two-Part Inventions. A serious attempt has been made to consider these structural changes in relation to experiential recognition and historical tradition.[3]

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[1]Karl Geiringer, Johann Sebastian Bach (New York: Oxford University Press, 1966), p. 275.

[2]John Rothgeb, "Design as a Key to Structure in Tonal Music," Journal of Music Theory, 15, nos. 1 and 2 (1971): 231.

[3]For this analysis of the fifteen Two-Part Inventions, see Chapter IX.

CHAPTER VI

INVESTIGATIVE DESIGN AND PROCEDURES

The Design

The primary objective of the present study is to compare the thematic analytical techniques of four sources: Goetschius, Applied Counterpoint (1902); Kennan, Counterpoint (1972);[1] Mason, Essentials of Eighteenth-Century Counterpoint (1968); and Thompson, Bach in Color: The Two-Part Inventions (1961). Only Thompson analyzes all fifteen of the Bach Two-Part Inventions. Since the three counterpoint texts limit thematic and episodic analysis to Inventions I, IV, and VII, the comparative procedures of this study are limited to these three Inventions. An analysis of one entire but different Invention is contained within each of the counterpoint texts. Since none of the three authors analyzes all portions of the three

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[1]Kennan's 1959 edition is not an investigated source because his more recent analytical views are contained within his 1972 edition.

Inventions, an analysis of the missing portions has been either projected by this writer as with Goetschius or obtained from the author by means of written communication as with Kennan and Mason.

In comparing analyzed examples from the above sources, this writer has observed that a thematic area may vary both in extent and in content according to the author. In this study content refers to the quantity of single, imitative, and sequential statements of the subject found within areas that are analyzed as thematic. These statements which follow the initial presentation may appear in any modified form including melodic inversion. A single statement refers to a thematically analyzed statement which is neither preceded nor followed immediately by a thematic presentation of the entire subject. Whereas an imitative statement is immediately preceded by a subject presentation in the other voice, a sequential statement is immediately preceded by a subject presentation in the same voice, but on a different pitch. A passage of an Invention may continuously employ either imitative or sequential statements. However, if an author analyzes only one of these statements as thematic, it is interpreted as a single statement.

An analysis of the problem in Chapter I revealed three specific questions. The first question was asked in this manner: How do analyzed examples of thematic areas differ in the quantity of single, imitative, and

sequential statements? The maximum quantity of single statements is the largest number of such statements indicated as thematic by any of the four analysts. Since observation has shown Goetschius to include every possible imitative and sequential statement within thematic areas, he is easily projected, and his analysis of thematic areas contains the maximum quantity of each of these two classes of statements. The procedure in this study is to express in table form all quantities of single, imitative, and sequential statements immediately before the maximum quantity to form a ratio. Promoting ease of comparison, this ratio vividly shows the relation of a given quantity to the maximum quantity.

The second specific question which is necessary in solving the problem is asked in this manner: How do analyzed examples of thematic areas differ in regard to the inclusion of similar imitations at the perfect fifth and the perfect fourth? The term similar imitation is used here to describe a subject statement which is directionally shaped like its antecedent. In order for similar imitation to occur, a statement which is shaped like the original subject statement must imitate an original shape. Likewise, a melodic inversion must always imitate the shape of a melodic inversion to qualify as a similar imitation.

The third and final specific question is concerned with disagreements among authors in the analysis of

statements of the subject. One analyst identifies a given statement as thematic, while another excludes the same statement from a thematic area, declaring it episodic. Observation has led this researcher to believe that the harmonic structure of such statements influences the disagreement among authors. The question raised, then, is this: What is the harmonic structure of those statements which cause disagreement in thematic analysis? The harmonic structure includes both the quality of the vertical structure and its tonal function. Other considerations which may be relevant include the presence or absence of dissonance within the harmony and the harmonic rhythm of the statement and its relation to the harmonic rhythm of the initial subject statement. Furthermore, the intervallic relationship of the pitches of the statement to the root of its harmony may be significant if different from that of the pitches of the initial subject statement to its harmonic root.

The answer to the third question is obtained by the use of a special procedure. Only the harmonic structure of the first subject statement of a passage showing similar disagreement is identified within the tables which answer this question. Harmonies are indicated by using the following symbols: major triad (upper case letter), minor triad (lower case letter), diminished triad (lower case letter and ^{o}), minor seventh (7), and fully diminished

seventh chord (7°).

A set of analytical symbols has been developed to facilitate comparative procedures. These symbols are grouped about a horizontal analysis line. Those appearing above the line refer to the higher voice, while lower voice symbols are placed below the line.

Within areas analyzed as thematic, a subject statement which introduced imitative and/or sequential statements is symbolized by the use of Sub. An Im represents an imitative statement and Seq, a sequential statement. A single statement of the subject is symbolized by Sg. The continuation of a statement through the next metrical unit is indicated by a dash (-). Episode is indicated by Ep followed by a series of dots, while all other material including countersubject is represented by X. Two symbols will appear within a single measure of a voice when a thematic statement opens or closes on the third quarter of the measure. Although not indicated by symbol, structural units always close on the first note of the following metrical unit.[1] Clarity and simplicity of presentation are considered to be the advantages of this lack of preciseness in symbolization.

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[1]For a discussion of up-beat beginnings by Babitz, Bukofzer, and Leichtentritt, see pp. 69-70.

A Comparison of Analyses of Invention I

An analysis of Invention I by each of the four sources under investigation is shown in Example 3. Goetschius includes both imitative statements and sequential repetition in his analysis of the opening thematic area and indicates episode to begin in measure 6:

> In No. 1 of the 2-voice Inventions, the Motive is announced five times (the 5th time in Contrary motion) before the alternative of the "Sequence" is adopted; and no less than ten consecutive announcements are made before an "Episode" is introduced.[1]

Since Goetschius does not provide a complete analysis of Invention I, an analysis of the remaining portion (measures 7-22) has been projected. As stated earlier, Goetschius consistently includes all statements of the entire subject within thematic areas.

A complete thematic and episodic analysis of Invention I does not appear in Kennan's text. However, he has kindly provided the writer with such an analysis.[2]

Mason's text shows a complete thematic and episodic analysis of Invention 1.[3] Although he indicates the second episode to begin in the last half of measure 8, his analytical symbols show the statement in the lower voice of measure 5 to be a "clearly defined statement."

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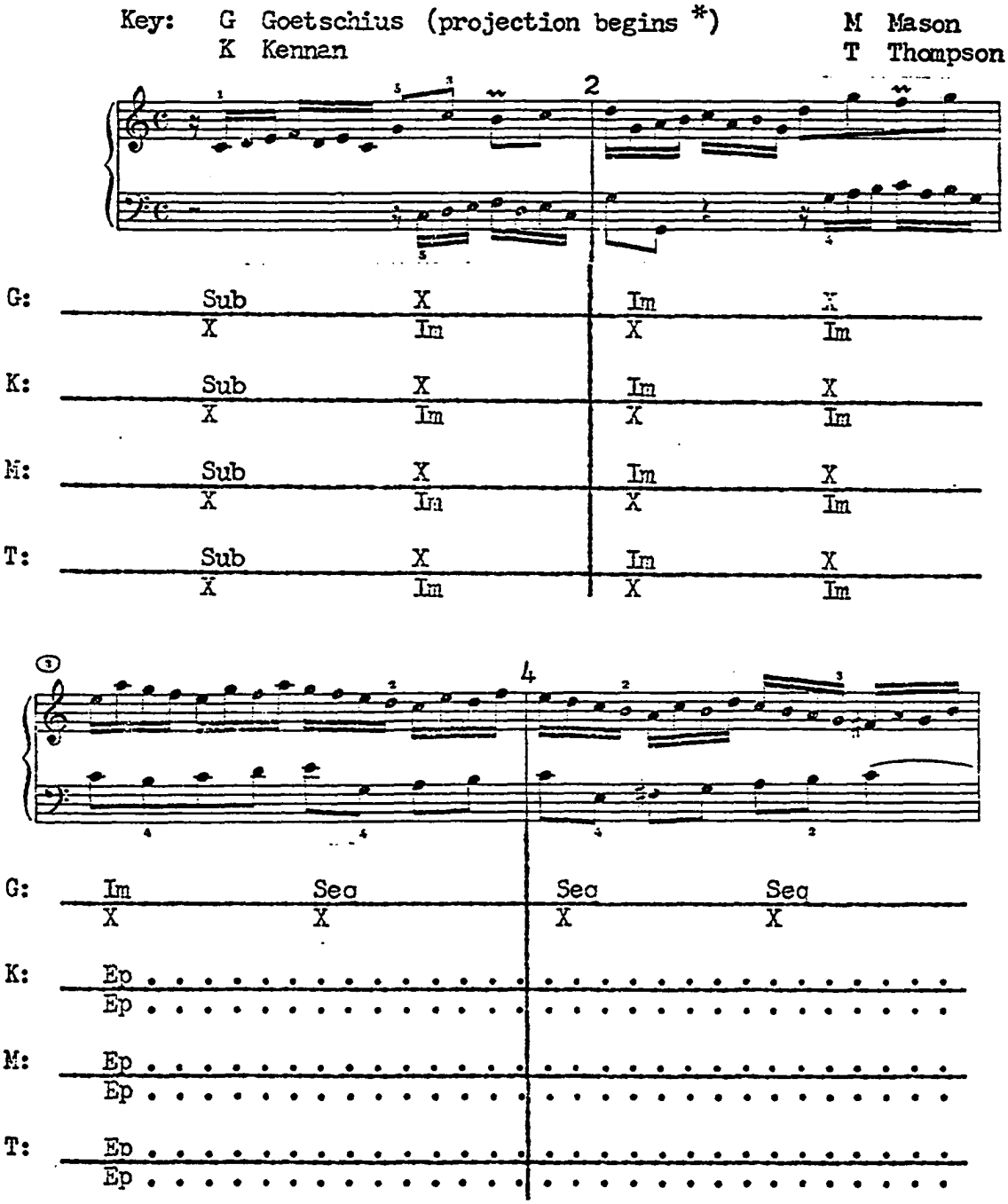
[1]Goetschius, p. 103. [2]See Appendix A.

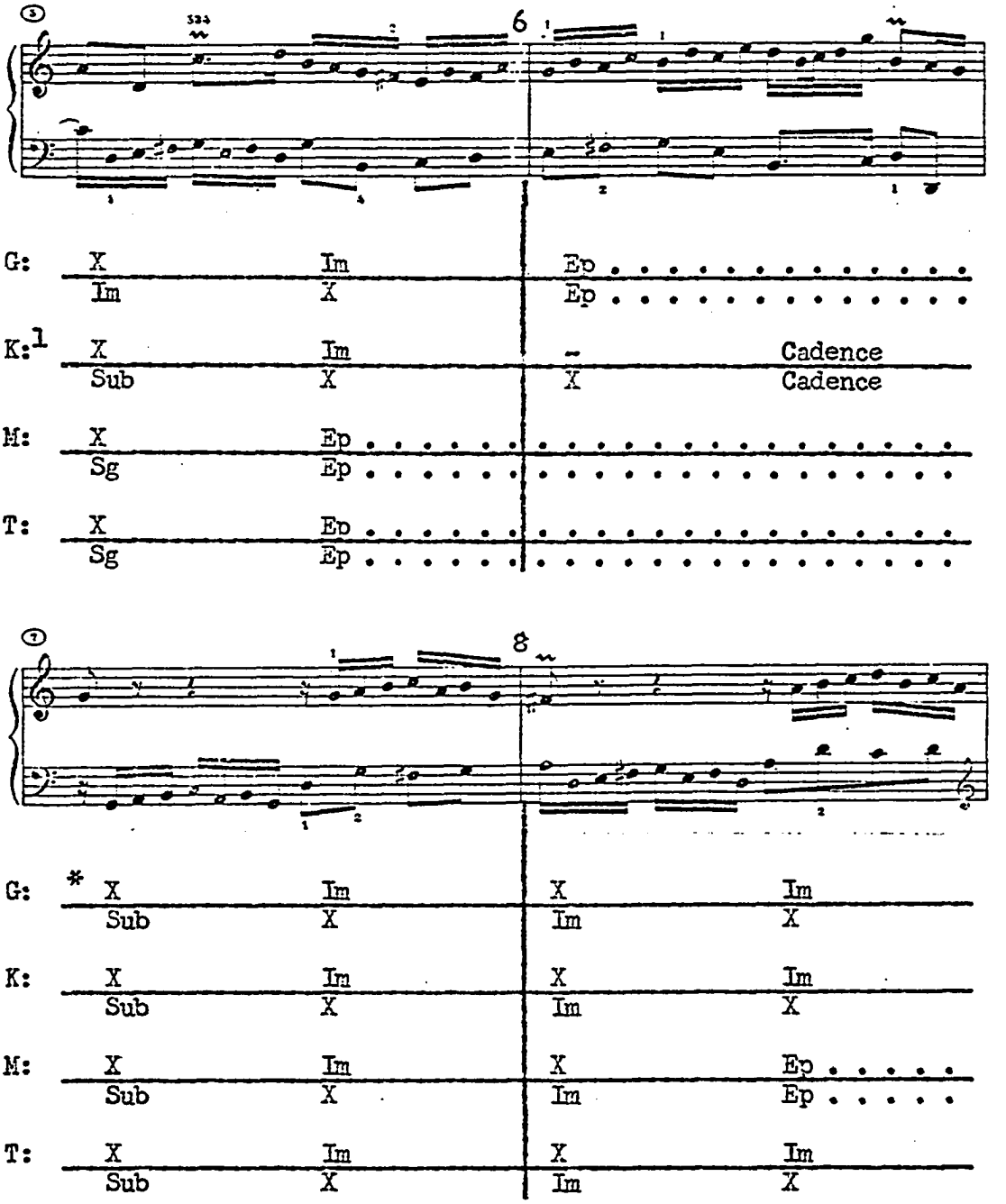
[3]Mason, pp. 75-76 and 77-79.

Ex. 3. Analyses of Invention I[1]



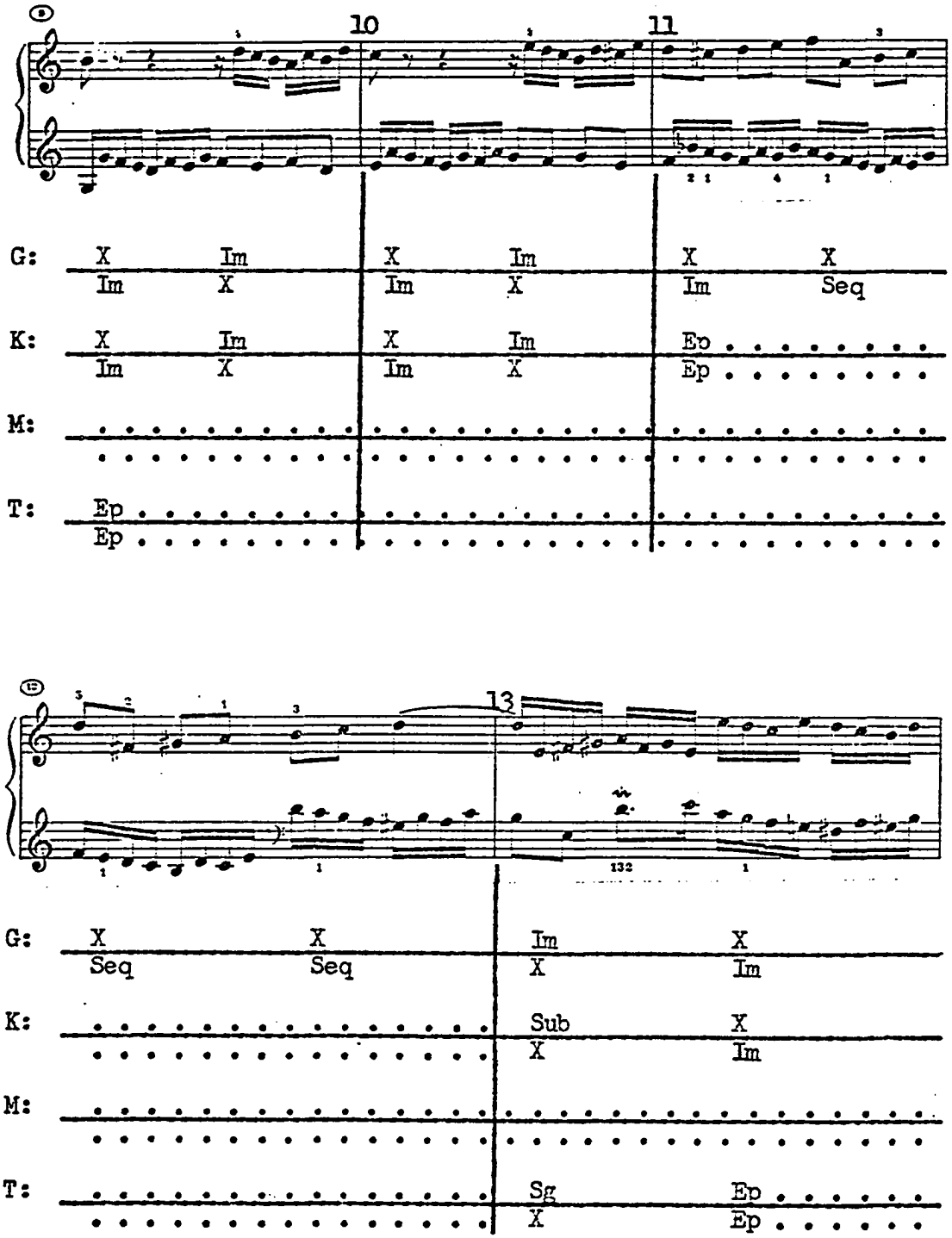
[1]This and all similar scores are from J. S. Bach, Inventionen und Sinfonien (Munich: G. Henle Verlag, 1955). Reproduced with kind permission of G. Henle Verlag, Munich, Germany.

Ex. 3 (continued)

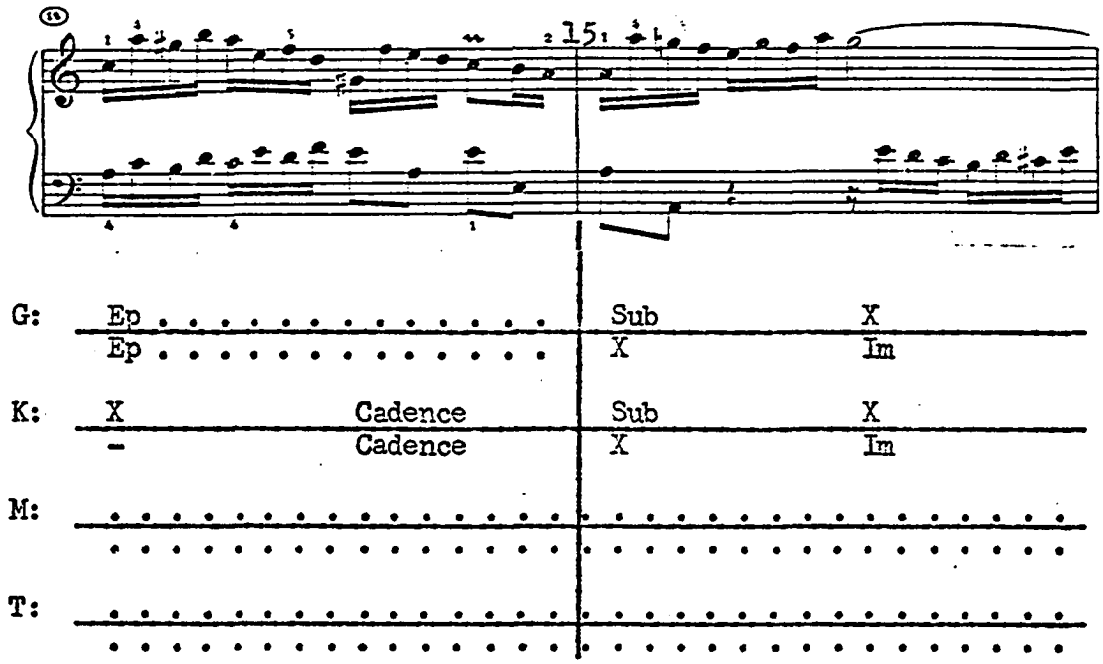


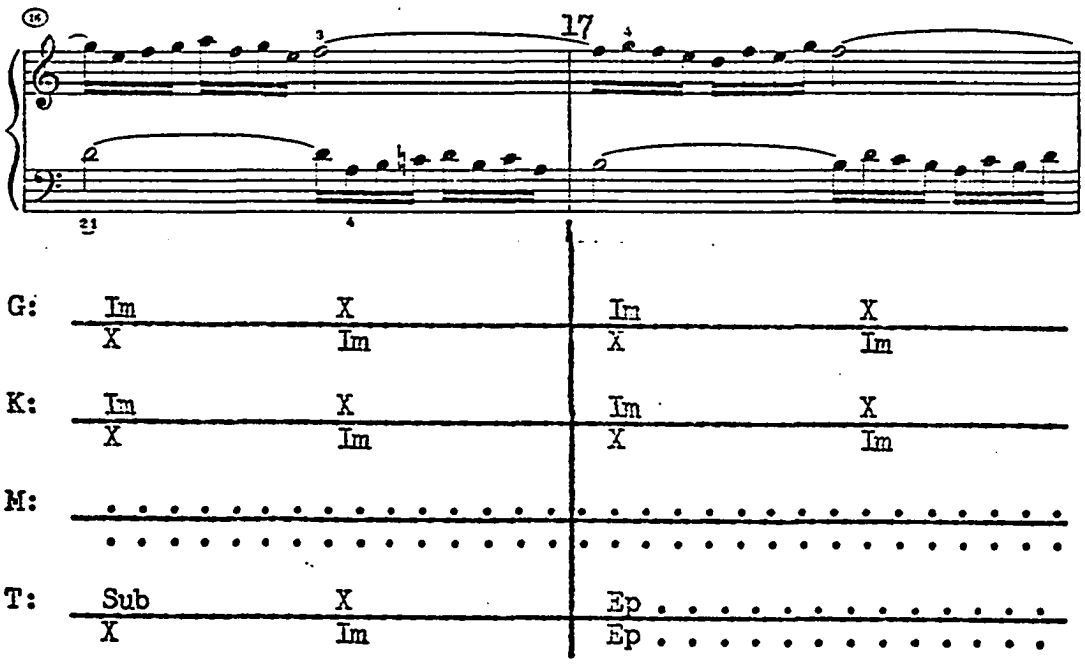
[1] Kennan's most recent analysis of measure 5, documented in Appendix A, is different from that implied by his parenthetical statement and example found on pages 130-31 of his 1972 text.

Ex. 3 (continued)

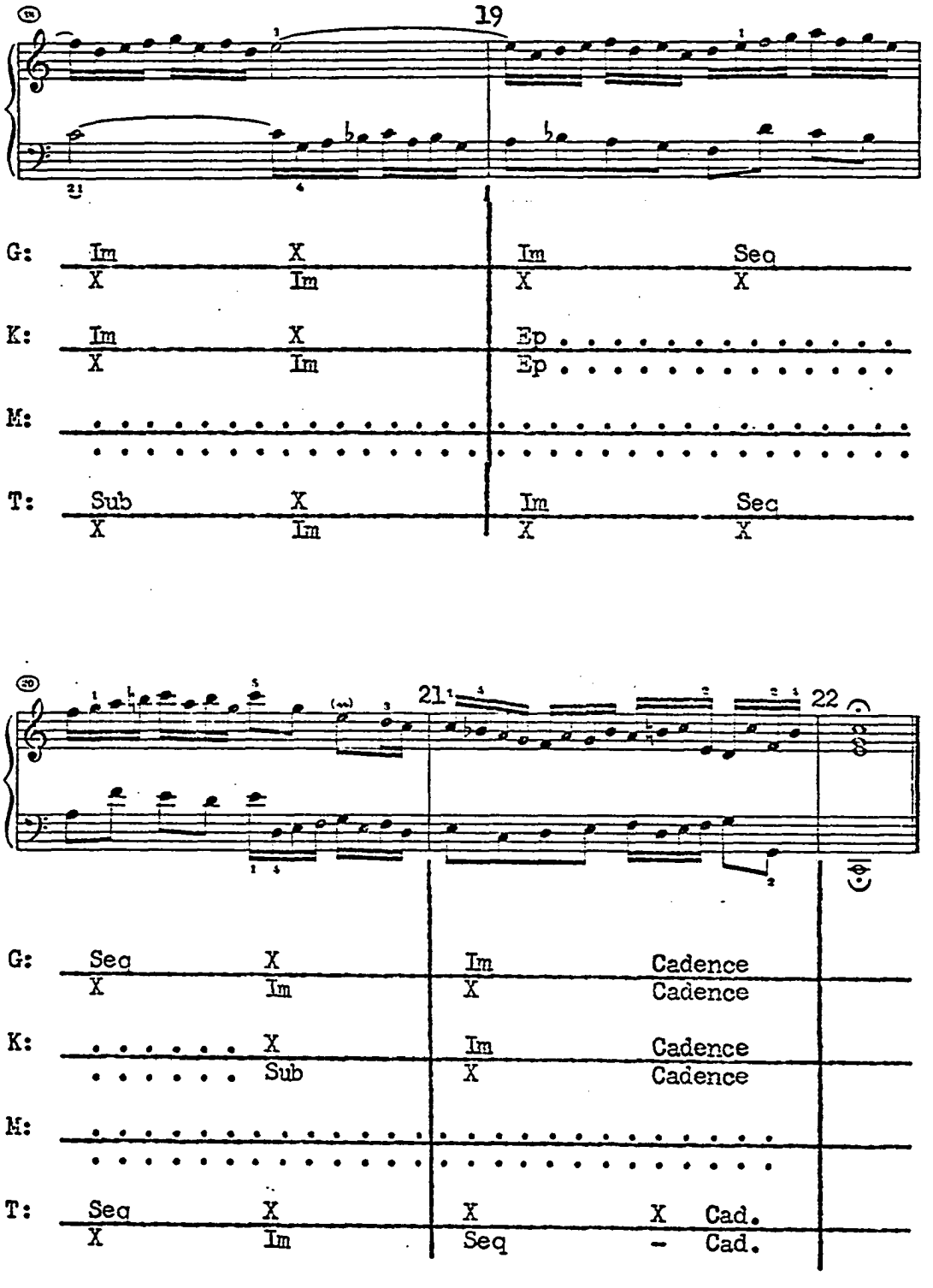


Ex. 3 (continued)





Ex. 3 (continued)



In the Forward to Thompson's complete analysis, he declares that "the Subject is shown entirely in red," thus suggesting that these areas are thematic and all others are episodic.

To answer the first specific question, a count of single, imitative, and sequential statements is taken from Example 3. These quantities which are followed by the maximum quantity to form a ratio may be seen in Table 1.

TABLE 1

QUANTITIES OF STATEMENTS WITHIN THEMATIC AREAS OF INVENTION I

Source	Single	Imitative	Sequential
Goetschius	0:2	26:26	8:8
Kennan	0:2	20:26	0:8
Mason	1:2	5:26	0:8
Thompson	2:2	10:26	3:8

Thompson's analysis shows the maximum quantity of single statements. The thematic analysis of Goetschius shows the largest quantities of imitative and sequential statements. The smallest quantity of imitative statements is found within Mason's analysis of thematic areas. Kennan and Mason analyze no sequential statements as thematic.

To answer the second specific question, similar imitations at the perfect fifth and perfect fourth must be located. Example 3 reveals imitative statements at the perfect fifth at measures 2, 8, 8.5, 9.5, 10.5, 15.5, 17.5, and 20.5. Goetschius and Kennan include within thematic areas all of these imitative statements. Thompson includes those at 2, 8, 8.5, and 20.5, while Mason includes only the first two within his thematic analysis. Only three similar imitations at the perfect fourth are found within Invention I. These appear at measure 16.5, 18.5, and 19. All are included as thematic by Goetschius and Thompson, while Kennan includes only those at 16.5 and 18.5. All are excluded to episode by Mason.

The harmonic structure of those statements which show disagreement in Example 3 must be analyzed to answer the third specific question. These harmonies appear in Table 2. Only Mason consistently excludes all of the controversial statements.

TABLE 2

HARMONIC STRUCTURE OF CERTAIN STATEMENTS WITHIN INVENTION I

Measure	Harmony	Thematic Inclusion	Thematic Exclusion
3	C	Goetschius	Kennan Mason Thompson

(continued)

TABLE 2 (continued)

Measure	Harmony	Thematic Inclusion	Thematic Exclusion
5.5	G-C	Goetschius Kennan	Mason Thompson
8.5	D-7	Goetschius Kennan Thompson	Mason
9	G7	Goetschius Kennan	Mason Thompson
11	d	Goetschius	Kennan Mason Thompson
13	E7	Goetschius Kennan Thompson	Mason
13.5	a-D7-g#^{o}	Goetschius Kennan	Mason Thompson
15	a-a7	Goetschius Kennan	Mason Thompson
16	d	Goetschius Kennan Thompson	Mason
17	G7	Goetschius Kennan	Mason Thompson
18	C	Goetschius Kennan Thompson	Mason
19	C7	Goetschius Thompson	Kennan Mason
20.5	C	Goetschius Kennan Thompson	Mason

A Comparison of Analyses of Invention IV

Both Goetschius and Thompson provide a complete published analysis of Invention IV.[1] Although a complete analysis does not appear in the texts of Kennan and Mason, each author has submitted one to this writer.[2] These analyses appear in Example 4.

Example 4 reveals the quantity of single, imitative, and sequential statements included within the thematic areas of each source. These quantities which answer the first specific question appear in Table 3. While Mason and Thompson include as thematic no sequential statements,

TABLE 3

QUANTITIES OF STATEMENTS WITHIN THEMATIC AREAS OF INVENTION IV

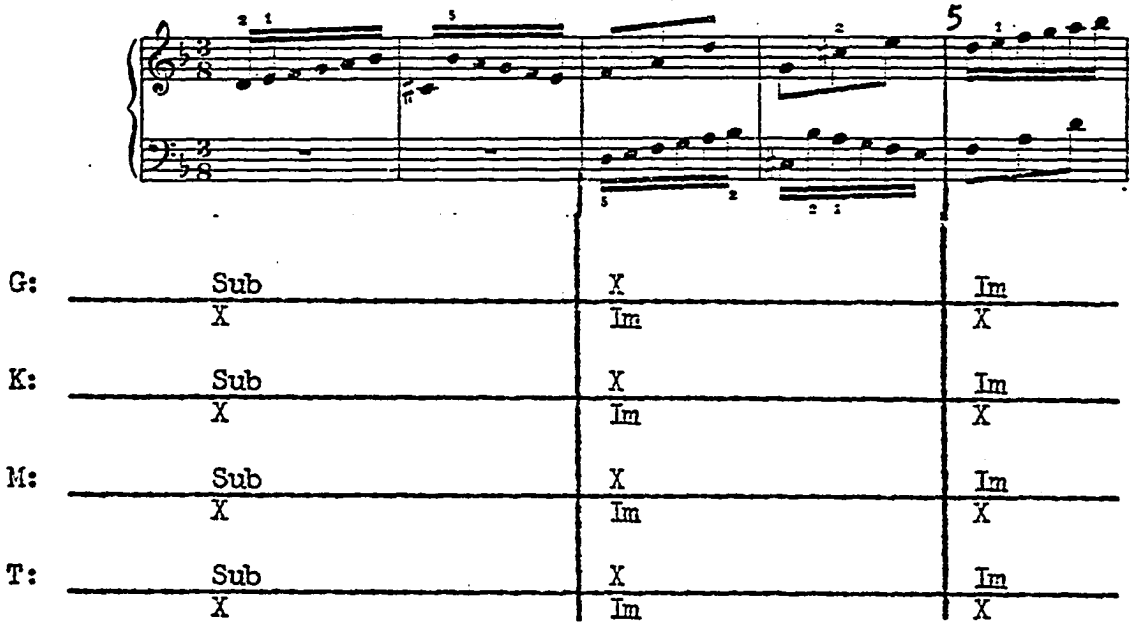
Source	Single	Imitative	Sequential
Goetschius	2:2	8:8	8:8
Kennan	2:2	6:8	1:8
Mason	0;2	2;8	Q:8
Thompson	1;2	3;8	0;8

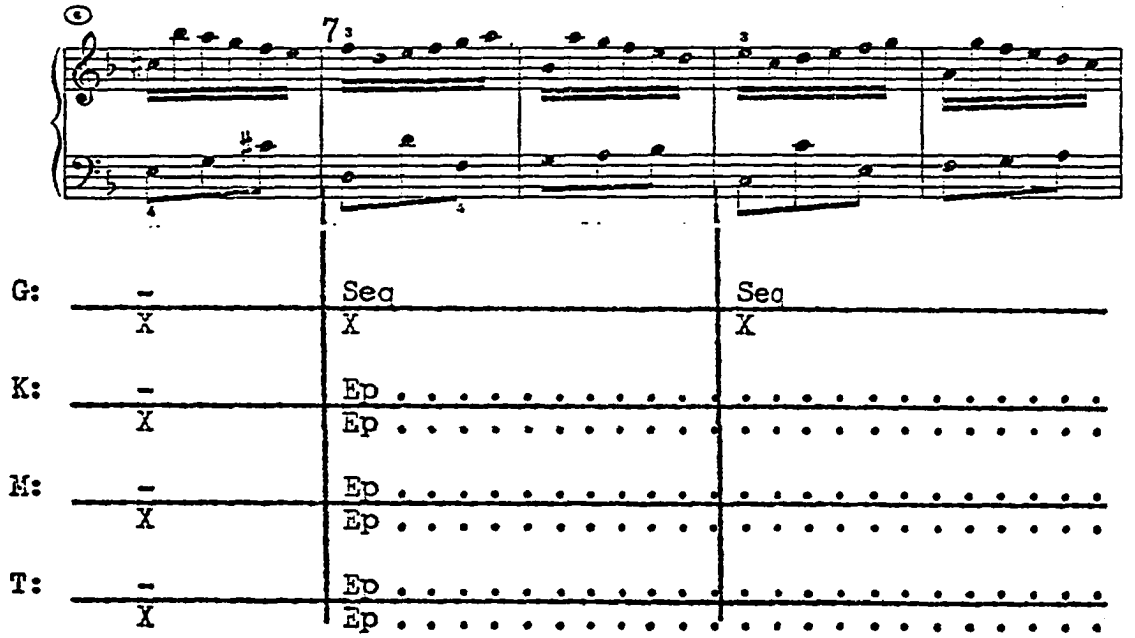
[1]Goetschius, pp. 98-99, 103-Q4, 109-10, and 112-13. Thompson, pp. 8-9.

[2]See Appendices A and B.

Ex. 4. Analyses of Invention IV

Key: G Goetschius M Mason
K Kennan T Thompson





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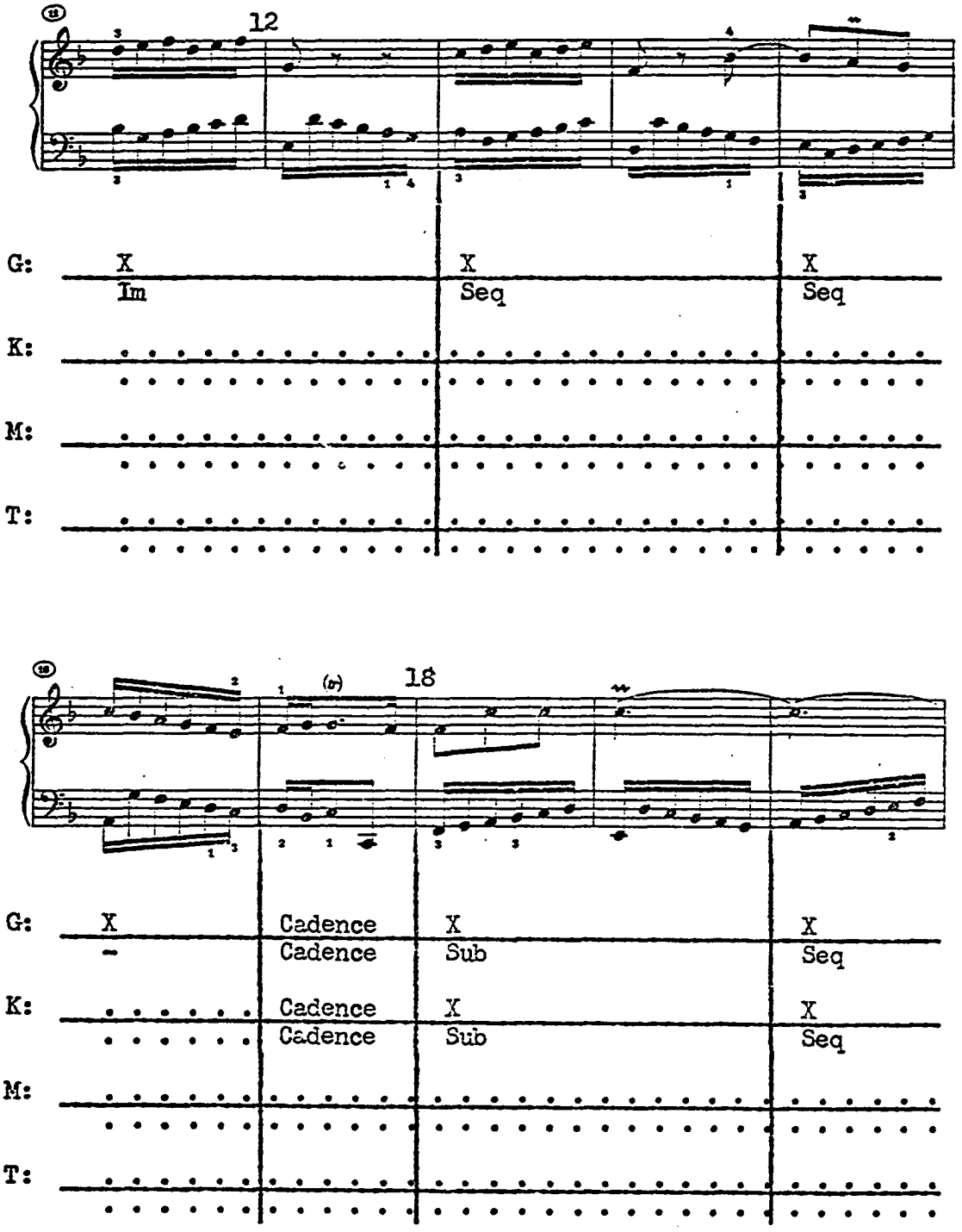

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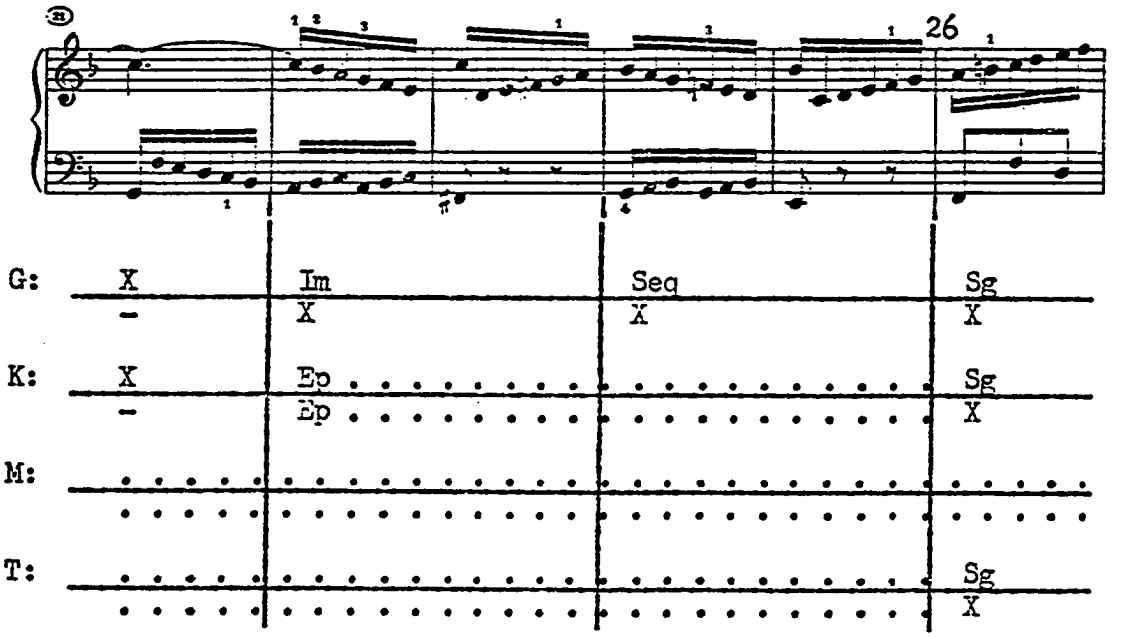

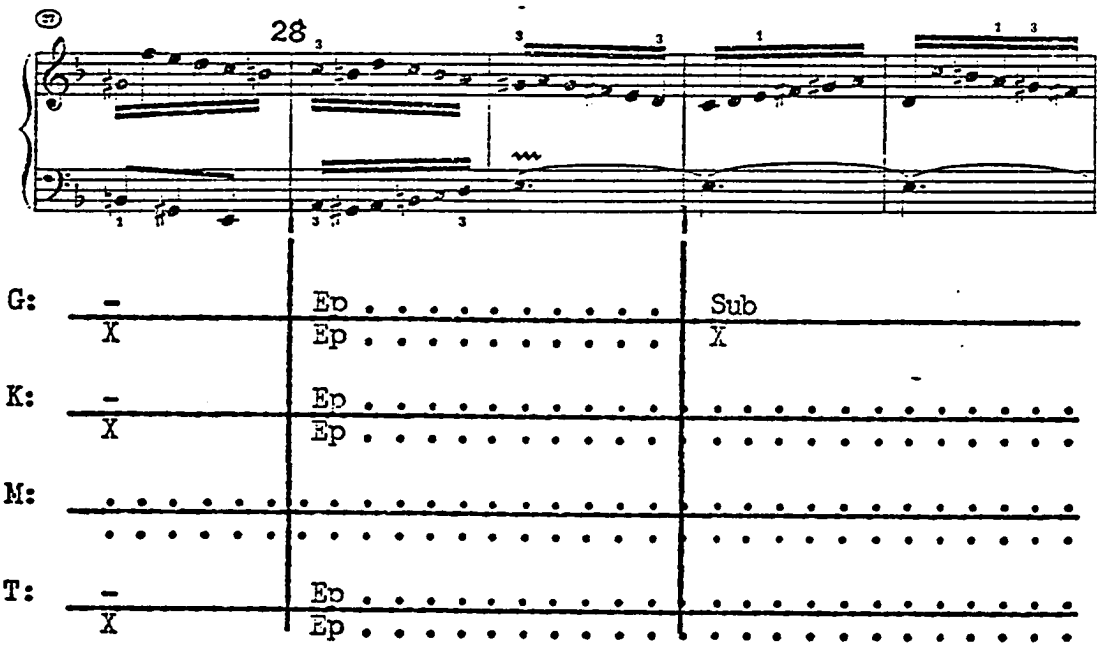

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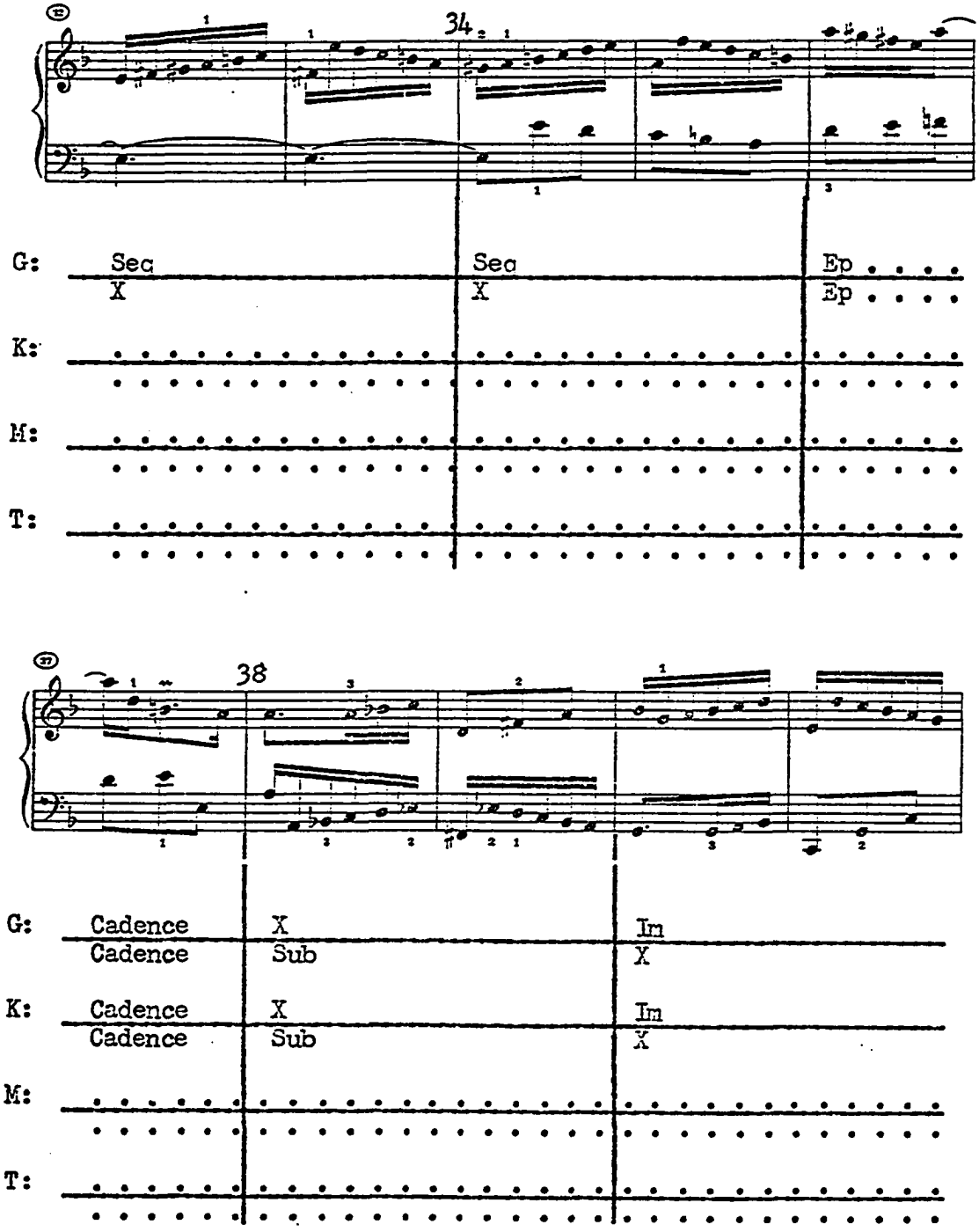

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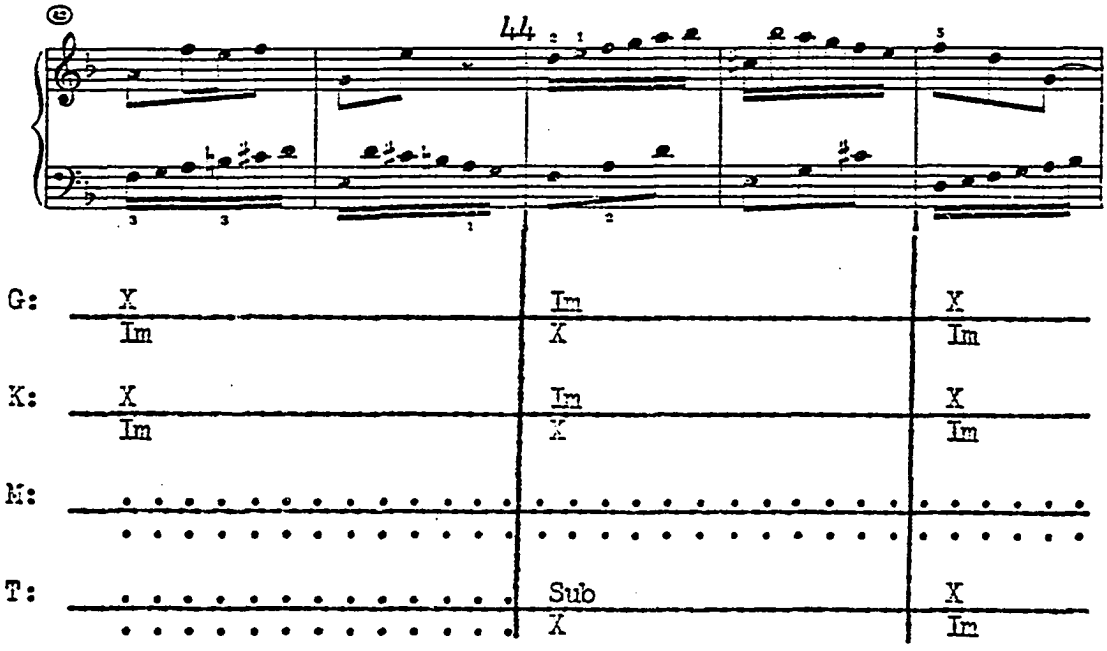
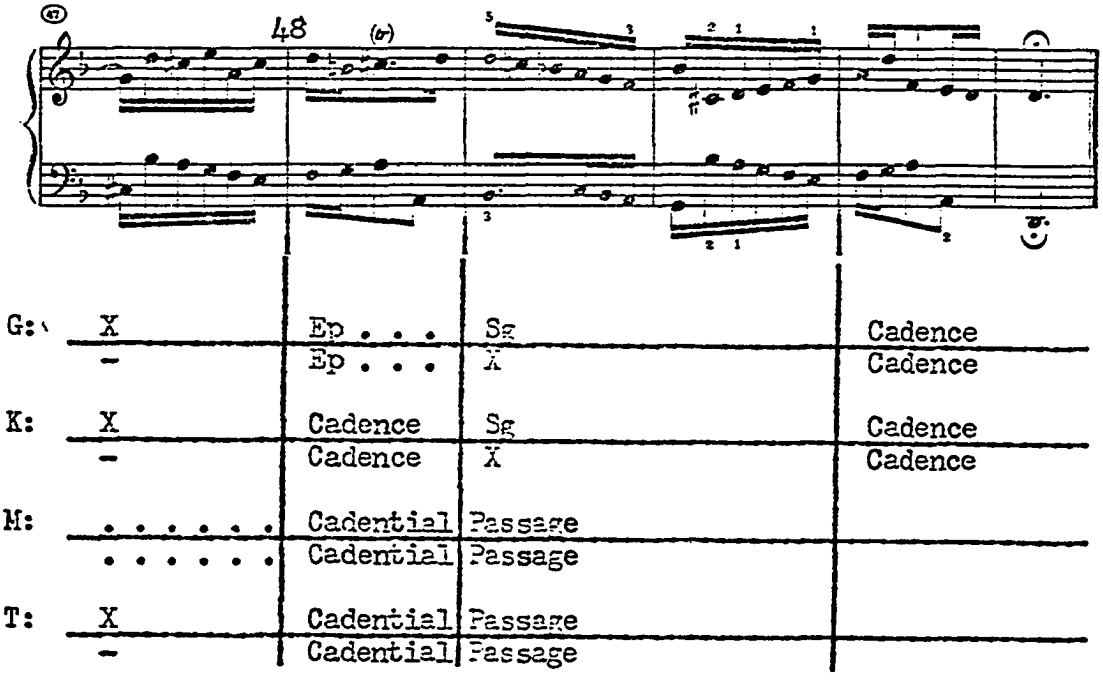




Kennan includes only the one in measures 20-22.

The answer to the second specific question is simple. Invention IV contains one similar imitation at the perfect fifth (measure 11) and none at the perfect fourth. Only Goetschius includes as thematic the one similar imitation.

Table 4 answers the third specific question by showing the harmony of those statements which cause disagreement in analysis. As seen in the comparison of analyses of Invention I, only Mason excludes as thematic all controversial statements of Invention IV.

TABLE 4

HARMONIC STRUCTURE OF CERTAIN STATEMENTS WITHIN INVENTION IV

Measure	Harmony	Thematic Inclusion	Thematic Exclusion
7-8	d-g	Goetschius	Kennan Mason Thompson
18-19	F-C7	Goetschius Kennan	Mason Thompson
22-23	F-D7	Goetschius	Kennan Mason Thompson
26-27	F-d-E7	Goetschius Kennan Thompson	Mason

(continued)

TABLE 4 (continued)

Measure	Harmony	Thematic Inclusion	Thematic Exclusion
30-31	E7	Goetschius	Kennan Mason Thompson
38-39	a-a^{o}-D7	Goetschius Kennan	Mason Thompson
44-45	d-c#7°	Goetschius Kennan Thompson	Mason
49-50	B -c#7°	Goetschius Kennan	Mason Thompson

A Comparison of Analyses of Invention VII

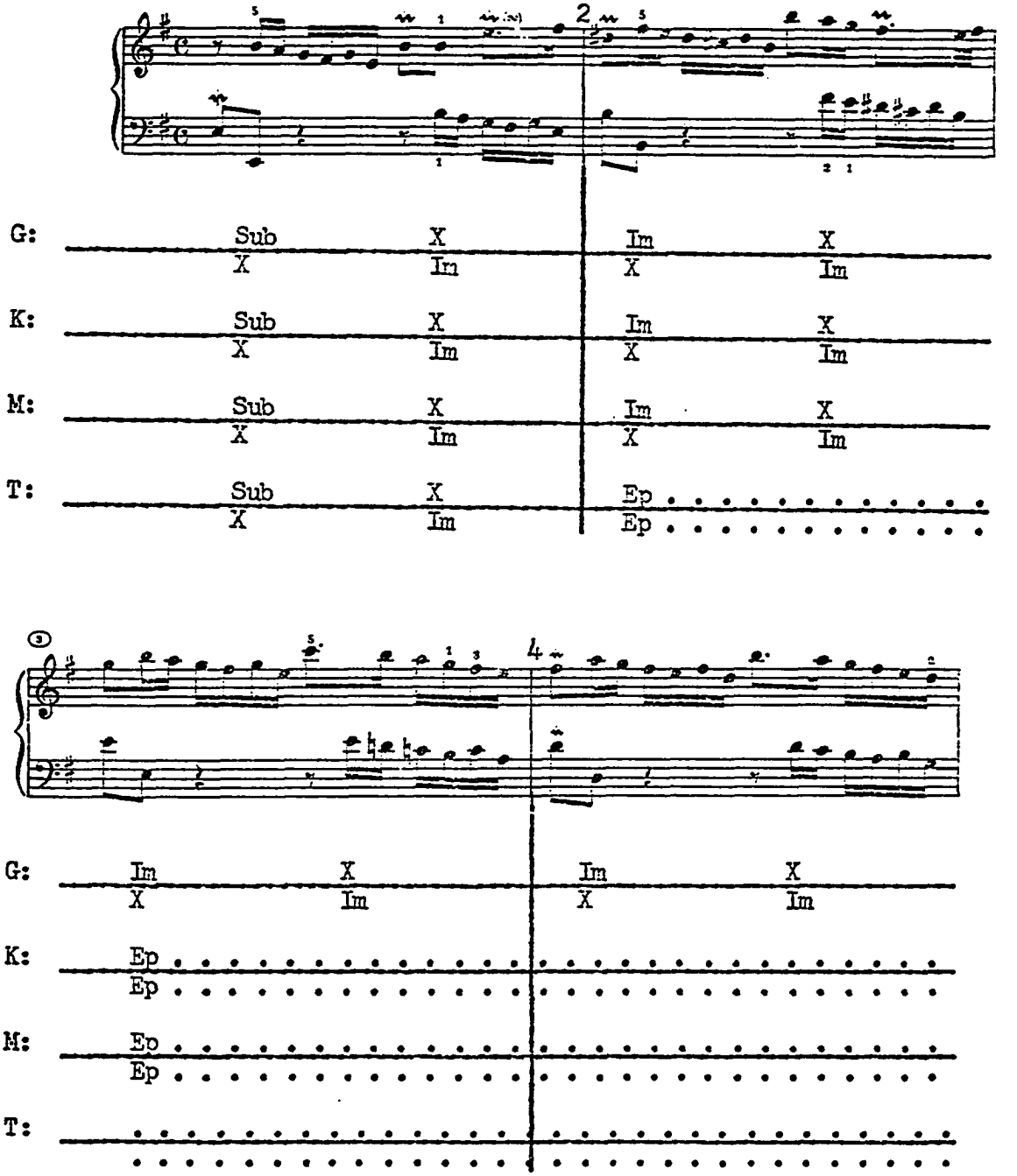
The final Invention to be compared is number VII. The four analyses of this Invention appear in Example 5. Complete analyses are available in the Kennan and Thompson sources.[1] In his text Goetschius analyzes only the first five measures showing the first episode to begin in measure 5.[2] Since he consistently includes all statements of the entire subject within thematic areas, the projected analysis of the remaining portion follows this procedure. Mason's analysis has been secured directly from him.[3]

[1]Kennan (1972), pp. 138-39; and Thompson, pp. 16-18.

[2]Goetschius, p. 102. [3]See Appendix B.

Ex. 5. Analyses of Invention VII

Key: G Goetschius (projection begins *) M Mason
K Kennan T Thompson



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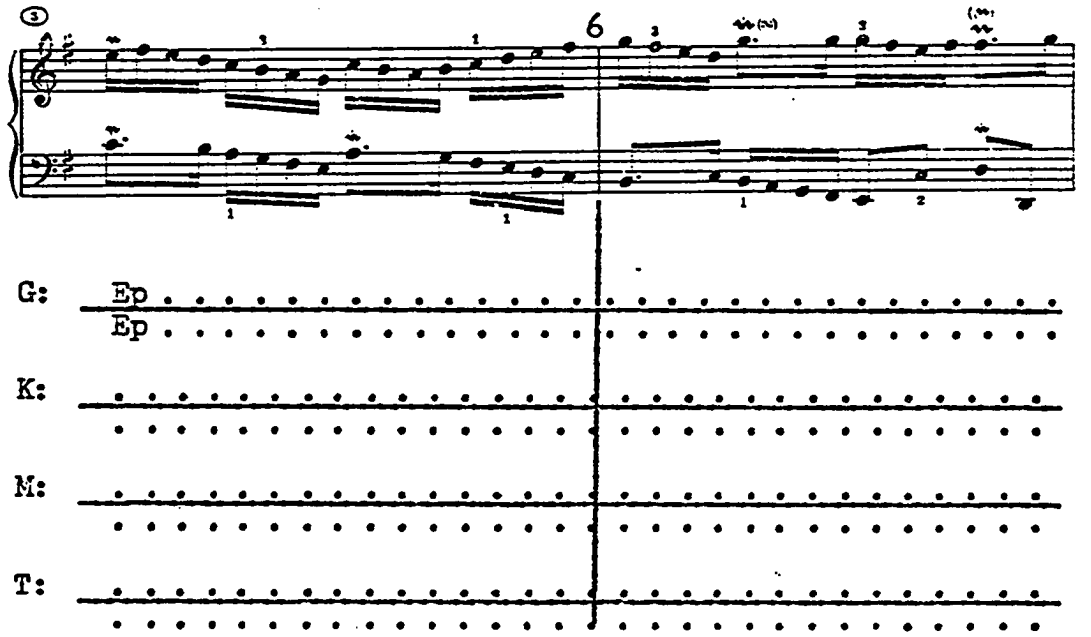
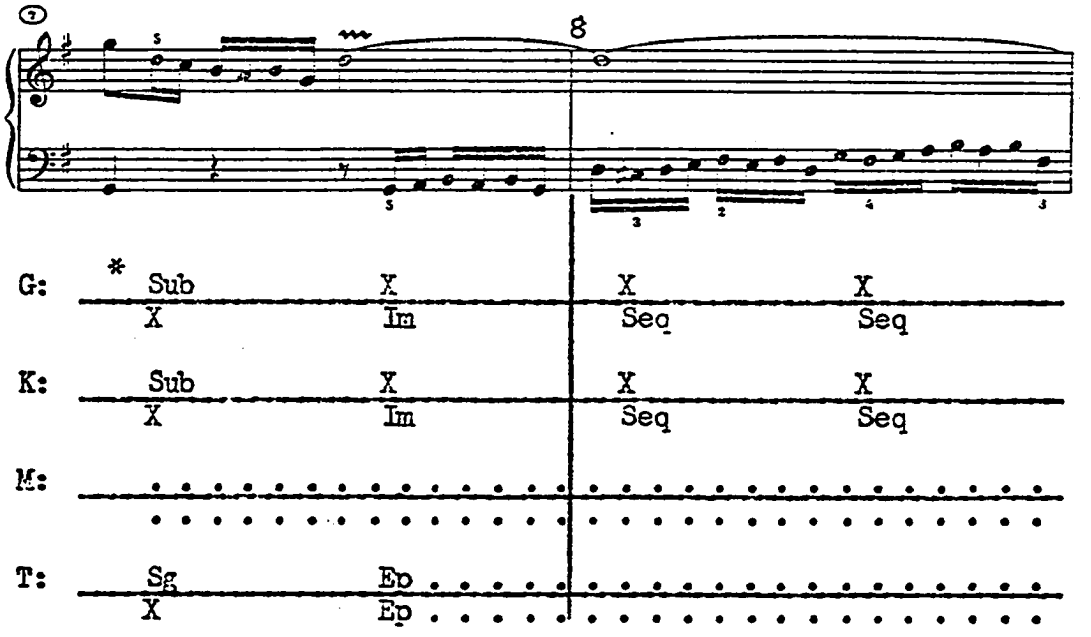
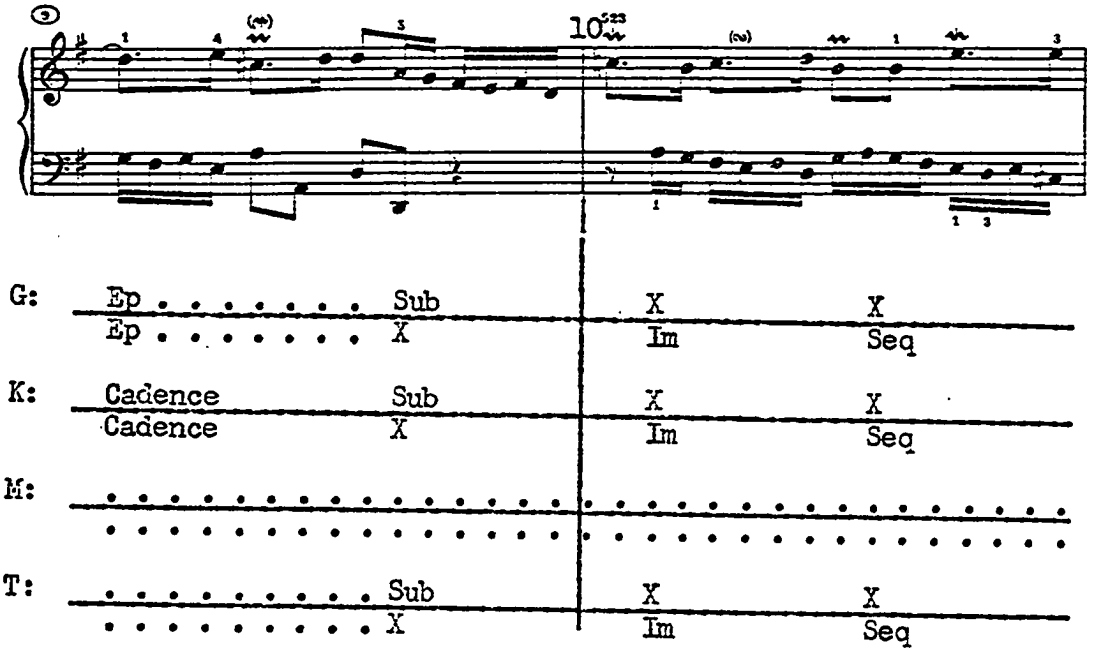
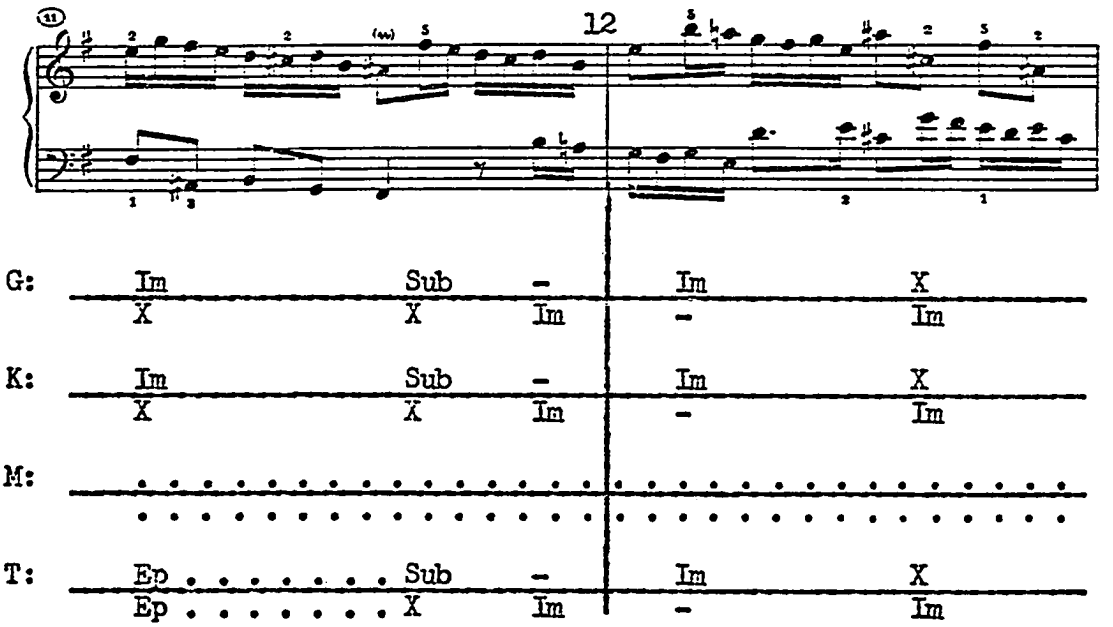


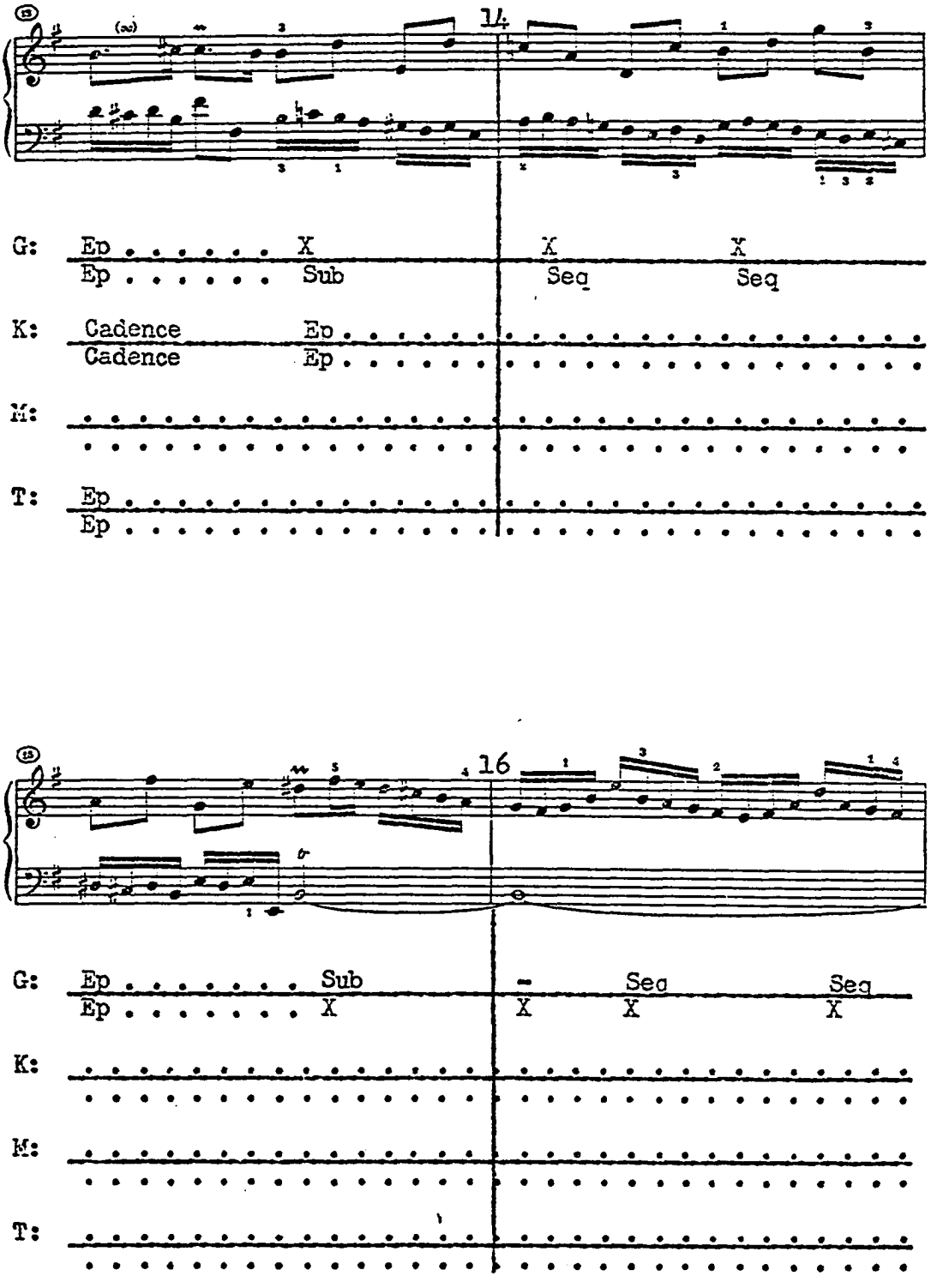


Ex. 5 (continued)

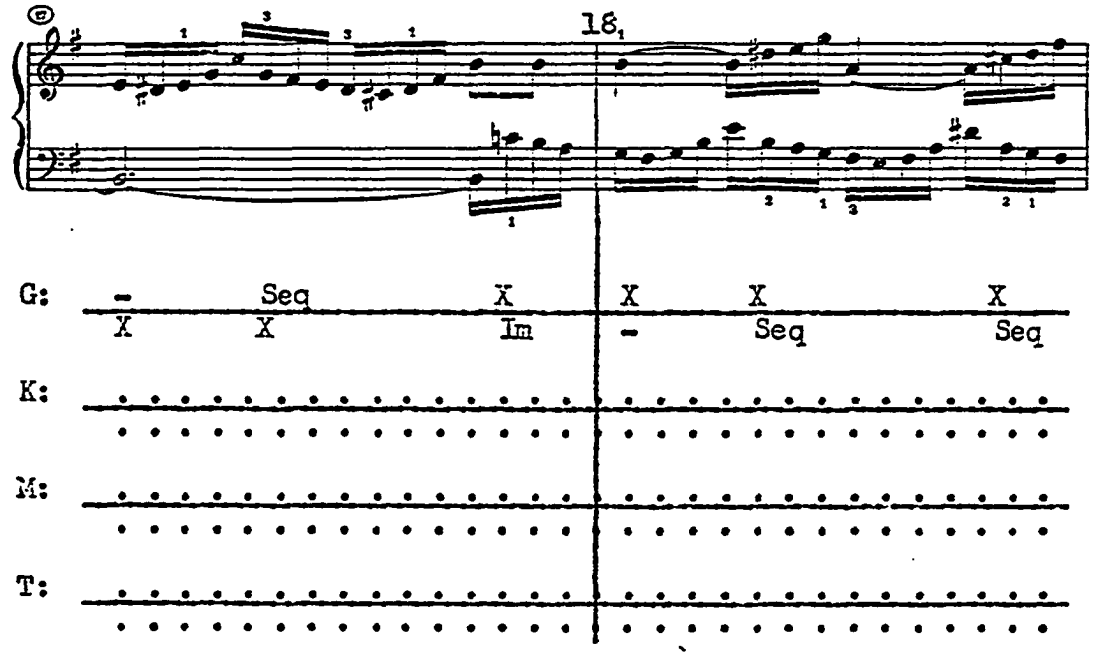


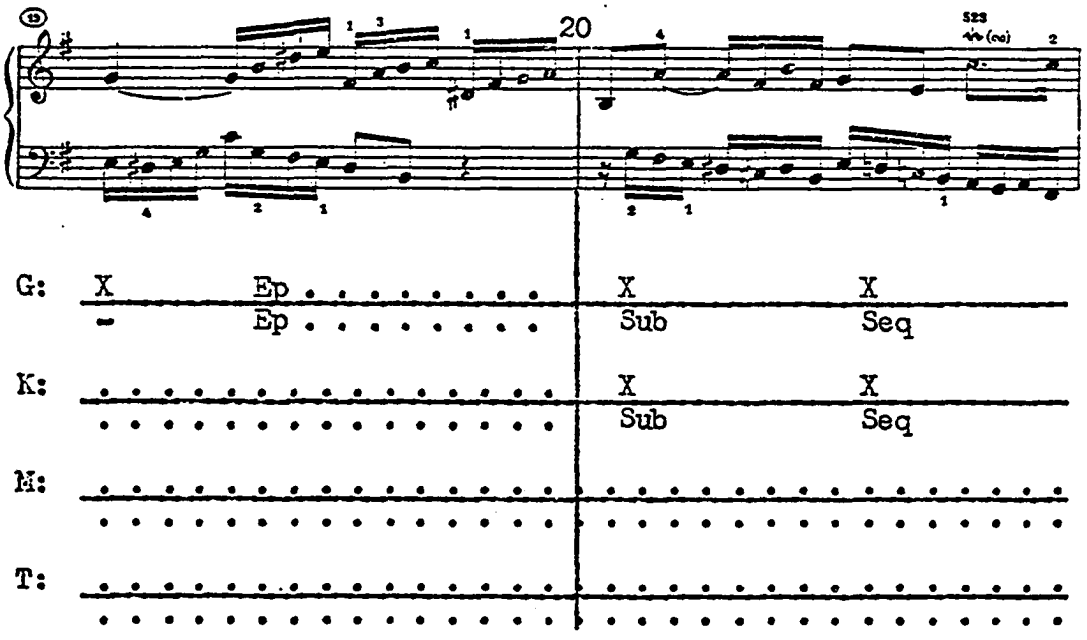


Ex. 5 (continued)

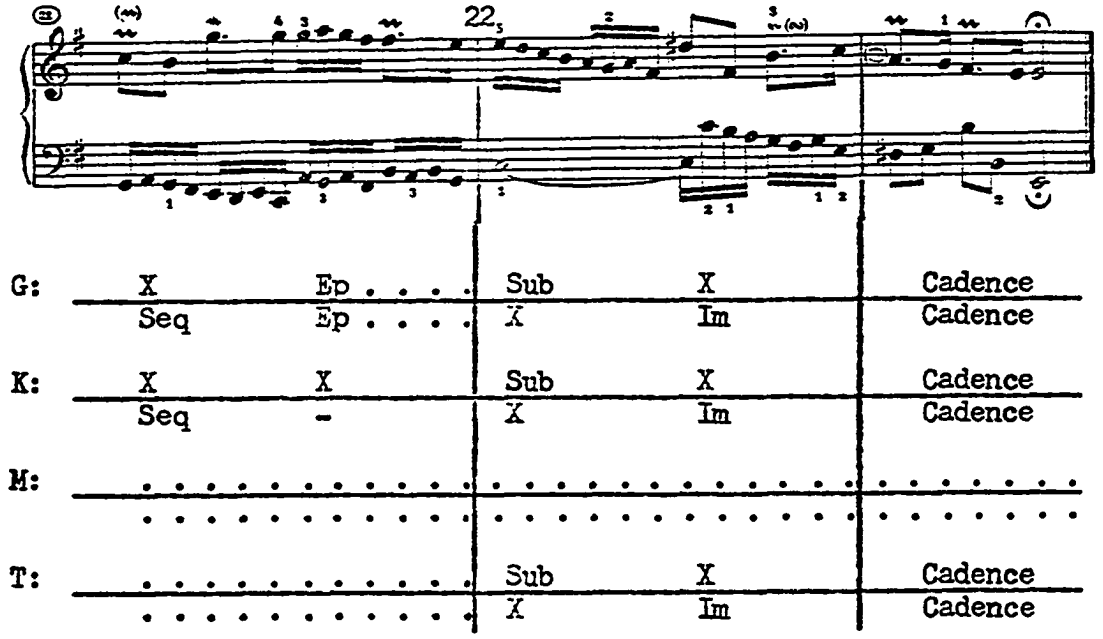


Ex. 5 (continued)





Ex. 5 (continued)



By counting the number of single, imitative, and sequential statements found in Example 5, an answer to the first specific question may be obtained. These quantities appear in Table 5.

TABLE 5

QUANTITIES OF STATEMENTS WITHIN THEMATIC AREAS OF INVENTION VII

Source	Single	Imitative	Sequential
Goetschius	0:1	15:15	12:12
Kennan	0:1	10:15	6;12
Mason	0:1	3:15	0:12
Thompson	1:1	6:15	1:12

To answer the second specific question, statements imitating at the perfect fifth and perfect fourth must be located. Only one imitation at the fifth appears in Example 5. This occurs at measure 2. Thompson alone excludes this imitation from a thematic function. Several imitations at the perfect fourth occur in this Invention: measure 3, 3.5, 4, 4.5, 12, and 18. Goetschius is the only one to include as thematic all imitations listed. While Mason includes none, Kennan and Thompson include only the one at measure 12.

A study of Example 5 reveals the answer to the third specific question. The harmonies of those statements which show disagreement among authors may be seen in Table 6. Whereas Goetschius includes all statements within

TABLE 6

HARMONIC STRUCTURE OF CERTAIN STATEMENTS WITHIN INVENTION VII

Measure	Harmony	Thematic Inclusion	Thematic Exclusion
2	B	Goetschius Kennan Mason	Thompson
3	e	Goetschius	Kennan Mason Thompson
7	G	Goetschius Kennan Thompson	Mason

(continued)

TABLE 6 (continued)

Measure	Harmony	Thematic Inclusion	Thematic Exclusion
7.5	G	Goetschius Kennan	Mason Thompson
9.5	D	Goetschius Kennan Thompson	Mason
11	F#7-G	Goetschius Kennan	Mason Thompson
11.5	b	Goetschius Kennan Thompson	Mason
13.5	b-E7	Goetschius	Kennan Mason Thompson
20	B7	Goetschius Kennan	Mason Thompson
22	C-f#^{o}	Goetschius Kennan Thompson	Mason

his thematic analysis, Mason excludes all but the one in measure 2. Kennan excludes two of the controversial statements, and Thompson, six.

The three specific questions of the problem have been answered for each of the three Inventions. These findings are summarized and analyzed in the following chapter.

CHAPTER VII

ANALYSIS OF THE DATA

Answering the first specific question of the problem, a summary of the quantities of single, imitative, and sequential statements included within thematic areas of Inventions I, IV, and VII appears in Table 7. A ratio indicates the quantity of thematic statements in relation

TABLE 7

A SUMMARY OF STATEMENT QUANTITIES

Source	Single	Imitative	Sequential	Total
Goetschius (1902)	2:5	49:49	28:28	79
Kennan (1972)	2:5	36:49	7:28	45
Mason (1968)	1:5	10:49	0:28	11
Thompson (1961)	4:5	19;49	4:28	27

to the maximum quantity. Each of the four analysts include as thematic at least one single statement. Wide variation

exists in the analysis of imitative statements. As noted earlier, Goetschius includes within thematic areas every sequential statement. In contrast Mason excludes every one of them to an episodic function.

Goetschius provides a rationale for including within thematic areas all types of statements of the entire subject. He declares that "the ready recognizability of the original motive" is the only criteria.[1] Furthermore, his distinction between sequence and episode indicates that all sequential statements provide a thematic function. He states that variety

> may be obtained, (1) by substituting the principles of the Sequence for that of Imitation,--i.e., reproducing the Motive once or twice in the same part instead of the opposite part; or (2) by dropping the thematic thread, and proceeding episodically.[2]

Goetschius describes an episode as a passage "where the motive is not present in either part, or is represented by only one of its fractional figures."[3] Thus Goetschius consistently analyzes all statements of the entire subject as thematic.

The analytical techniques of Kennan demonstrate considerable change within the thirteen years from his 1959 edition to the 1972 edition which is presently under

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[1]Goetschius, p. 66. [2]Goetschius, p. 99.

[3]Goetschius, p. 95.

investigation. In 1959 Kennan adhered for the most part to the Goetschius tradition. Kennan's change in position is made clear by comparing his 1959 and 1972 definitions of the term episode. Echoing the Goetschius tradition, Kennan's 1959 text describes the term thus: ". . . statements are often separated by 'episodes,' which are short intermediate sections in which the motive does not appear intact, though 'portions' of it are very likely to be employed."[1] Kennan takes a more functional view of episode in 1972:

> The motive, if it is used as a basis, generally does not appear in its complete form unless it happens to be so brief that it does not lend itself to division into smaller segments. Episodes are nearly always sequential. Their chief functions are to modulate from the key of one statement to that of the next and to provide new interest and relief from full statements of the motive.[2]

In this edition Kennan has changed his definition so that it now allows for "brief" subject statements to function as episode.

As noted earlier, Mason's system of analysis excludes as thematic all sequential statements, thus giving them an episodic function. He views thematic areas primarily as either expositions or what he calls counterexpositions. Since expositions contain no subject modification or sequential treatment, Mason's system excludes from a

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[1]Kennan (1959), p. 62. [2]Kennan (1972), p. 131.

thematic function these compositional techniques.

Thompson provides no rationale for his analysis of the fifteen Two-Part Inventions. However, observation reveals a general principle. Thompson includes within thematic areas only those statements which follow the pitch direction of the original subject statement. He excludes statements which are modified by inversion (i.e., Invention I, 3-6, 9-14) or which contain a directionally modified opening (i.e., Invention VII, 7.5-9.5).

Table 7 indicates that the three more recent analysts have departed considerably from the analytical techniques of Goetschius. There is a clear tendency to exclude sequential statements from a thematic function. In fact, all sequential statements are excluded by one author, Mason. The three more recent analysts view only certain imitative statements as serving a thematic function, while other imitative statements are given an episodic function.

Tables 8 and 9 answer the second specific question of the problem. Table 8 shows eight thematic exclusions of statements which function as similar imitations at the perfect fifth. Only Mason excludes the statement found in Invention I, measure 8.5. He classifies measures 7-8.5 as counterexposition and measures 1-3 as exposition. He then explains why the "apparent fourth entrance"

TABLE 8

A SUMMARY OF SIMILAR IMITATIONS AT THE PERFECT FIFTH

Source	Inclusion	Exclusion	Location of Exclusion
Goetschius (1902)	10:10	0:10	
Kennan (1972)	9:10	1:10	Invention IV 11
Mason (1968)	3:10	7:10	Invention I 8.5 9.5 10.5 15.5 17.5 20.5 Invention IV 11
Thompson (1961)	4:10	6:10	Invention I 9.5 10.5 15.5 17.5 Invention IV 11 Invention VII 2

beginning at 8.5 is excluded from his analysis of thematic areas:

> The counterexposition here is one entrance shorter than the exposition. The apparent fourth entrance of the motive is on the wrong scale steps to fit the pattern of the exposition, so must be considered to be part of the second episode.[1]

Mason's thematic analysis is influenced by his interjection of the term counterexposition and the fact that a change of imitative interval exists. All of the intervals of imitation, however, are perfect intervals. Mason also excludes

[1]Mason, p. 76.

the statement of Invention I, 20.5. The harmonic structure of this statement which is to be discussed shortly is a significant factor. Both Mason and Thompson exclude the statements of Invention I, 9.5, 10.5, 15.5, and 17.5, since all are modified by inversion. Kennan, Mason, and Thompson exclude the statement of Invention IV, 11. Each of these three analysts views the entire passage beginning with measure 7 as episode. The final exclusion of a similar imitation at the perfect fifth is found in Thompson's analysis of Invention VII, measure 2. Thompson provides no rationale for this exclusion. Perhaps the continuous imitative process through measure 4 influenced his analysis.

A summary of similar imitations at the perfect fourth appears in Table 9. Since Mason exludes from a thematic function all statements of Invention I which occur after measure 8.5, the imitations at 16.5, 18.5, and 19 are viewed as episode. Kennan excludes the one at 19 because it introduces a sequential passage.[1] Kennan, Mason, and Thompson exclude from a thematic area the four statements which imitate at the fourth in Invention VII, measures 3-4.5. Since the four statements provide a modulatory function, Kennan's statement quoted above is an

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[1]See p. 113 and letter of October 21, 1979, in Appendix A.

TABLE 9

A SUMMARY OF SIMILAR IMITATIONS AT THE PERFECT FOURTH

Source	Inclusion	Exclusion	Location of Exclusion
Goetschius (1902)	9:9	0:9	
Kennan (1972)	3:9	6:9	Invention I 19 Invention VII 3-4.5 18
Mason (1968)	0:9	9:9	Invention I 16.5 18.5 19 Invention VII 3-4.5 12 18
Thompson (1961)	4:9	5:9	Invention VII 3-4.5 18

appropriate rationale for these exclusions. In Invention VII Mason alone excludes to episode the statement at bar 12 which at the fourth imitates in stretto the statement of 11.5. Mason classifies stretto as an episodic technique.[1] Kennan, Mason, and Thompson exclude the imitation of Invention VII, 18, since it is preceded and followed by rather long sequential passages.

In Chapter VI the answer to the third specific question revealed many statements which show disagreement

[1]Mason, pp. 104-16 and 159-60.

among authors. Within Invention I thirteen such statements were found.[1] The first at measure 3 implies a C major harmony. Kennan, Mason, and Thompson exclude this statement from a thematic function. In his 1972 text Kennan identifies the entire passage of measures 3-7[2] as episode:

> The passage seems clearly to belong in the episode category, for several reasons: (1) The treatment is characteristically sequential. (2) These measures occur at a point where episodes are commonly found--immediately following the initial statements of the motive; there the design changes from a straightforward presentation of the motive to a more developmental approach. (3) The passage effects a modulation.[3]

The C major harmony of measure 3 concludes the stable tonal passage of the exposition and opens a modulatory passage which finally closes with the strong cadence at measure 7. Not only is the statement at 5.5 found within a modulatory passage, it is also composed of faster harmonic rhythm, G to C. The next statement to cause disagreement is at measure 8.5. Only Mason excludes to episode this statement with D7 harmony. The function of the harmony in this case, however, acts as a stabilizing force within the tonality. The stable tonality of G major extends from measure 7 to 9. Mason's rationale for his exclusion is not concerned with

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[1]See pp. 93-94, Table 2.

[2]More recently Kennan has described the length of this episode as measures 3-5. See his latest analysis and letter of September 1, 1979, in Appendix A.

[3]Kennan (1972), p.

the harmony--rather with the interval of imitation which was discussed earlier.[1] The F-natural of the G7 of measure 9 is the first indication of tonal instability since the stable tonality of 7-9. Tonal instability continues from measure 9 to the strong cadence in a minor of measure 15. Since all of the statements within this passage are primarily modulatory, the third point of Kennan's rationale given above is appropriate for these exclusions. A faster harmonic rhythm is also evident in one of these statements, measure 13.5. The statement of measure 15 opens with tonal stability. However, the dissonant G-natural, seventh of the a minor harmony, adds a degree of tonal instability. The C-sharp which appears later in this measure clearly indicates tonal instability which continues to the final cadence of measure 22. This tonal instability affects all statements of the subject which fall within the passage of measures 15-22 and provides adequate rationale for their thematic exclusion. In relation to their harmonic roots the pitches of the statements of measures 16, 18, and 20.5 appear a second above the pitch relationship of the initial subject statements. Kennan excludes the statement at measure 19 because sequential treatment is evident. He is supported by the fact that the continuous C7 harmony from 18.5 to 19.5 disguises the entrance of the theme at 19 and

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[1]See p. 115.

the fact that the dissonant seventh is present.

The third specific question produced eight statements which cause disagreement in analysis of Invention IV.[1] The first statement at measure 7 is excluded to episode by Kennan, Mason, and Thompson. Several factors may be given as a rationale for the exclusion. The g minor harmony of measure 8 functions as supertonic in the key of F major, which is not completely realized until the strong cadence at measure 18. However, the harmonic progression g-C-F of 8-9-10 clearly indicates the modulatory intention. The tonal stability of the first six measures has been succeeded by tonal instability. Then, too, the harmonic progression which accompanies this statement of measures 7-9 is very different from that found in measures 1-7. Another factor is the intervallic relationship of statement pitches to harmonic roots. The next statement to cause disagreement appears in measures 18-20. Mason and Thompson exclude this statement to episode even though tonal stability extends from measure 18 to 26. Only the F-sharp of 23 provides a degree of instability. All other factors also fail to support their thematic exclusion at 18. Thompson shows the subject treatment to begin with G, the second note of measure 18. Apparently he was unaware

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[1]See p. 101-02, Table 4.

of the formal elision which joins the preceding strong cadence to the statement. The F-D7 harmony of measures 22 and 23 is inherently unstable and is excluded to episode by all but Goetschius. Tonal stability is avoided throughout the portion from measure 26 to 44, despite the strong cadence in the key of a minor at 38. Consequently, a thematic exclusion is most reasonable for all of the statements that fall within this area. This thesis is supported by the fact that faster harmonic rhythm exists in the statements at measures 26 and 38. Mason alone excludes to episode the two statements of measures 44-48. If tonic tonality and stability are accepted as thematic criteria, these two statements should be analyzed as thematic. The B^{b}-c#7° harmony of 49-50 does not clearly define the tonality. Here, a thematic exclusion of this statement seems reasonable. The melodic fourth is inconsistent with the seventh of the initial statement. The impression is that measure 49 is a melodic inversion of the first half of the subject from one pitch, while measure 50 is a melodic inversion of the second half of the subject from a different pitch.

Within Invention VII many statements were found to cause disagreement.[1] Only Thompson excludes as thematic

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[1]See pp. 109-10, Table 6.

the two statements which imply B major harmony in measure 2. However, tonal stability is maintained into measure 3 with the B major harmony of measure 2 functioning as dominant. Apparently, Thompson was unaware of this occurrence. The four statements at 3, 3.5, 4, and 4.5 are excluded to episode by Kennan, Mason, and Thompson. Kennan's rationale given above explains these exclusions.[1] The four statements serve a modulatory function. The statement at measure 7 follows a strong authentic cadence and remains tonally stable in that key. Consequently, this thematic exclusion by Mason is questionable. Since the statement at 7.5 is directed by means of sequence to the strong cadence in a contrasting key at 9.5, this statement may reasonably be classified as a thematic exclusion. Mason excludes the statement at 9.5, although it is tonally stable in the key of the preceding cadence. A slight degree of tonal instability is introduced in measure 10 by means of the C-natural. This pitch functions as the seventh of the V7/IV. Tonal instability increases to 11.5 at which point the key of b minor is introduced. This key remains tonally stable through the strong authentic cadence at 13.5. Tonal instability then prevails to the final cadence of the Invention. Faster harmonic rhythm is evident at measures

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[1]For Kennan's rationale see p. 118.

11, 13.5, 22, and 22.5, and the continuous B7 harmony from 19.5 to 20.5 disguises the statement at 20. Therefore, a thematic exclusion is most reasonable for these five statements of the subject.

Based on the foregoing discussion of harmonic structure, certain statements are logically classified as thematic exclusions. These statements appear in Table 10. Roman numerals indicate the Invention, and Arabic numbers the measure. The harmony of each statement is shown in parenthesis. Most statements function within a modulatory passage. Accelerated harmonic rhythm is evident in many of the statements. The added dissonant seventh is also common. Several statements exhibit a change of relationship to the harmonic root when compared to the initial statement. Because of their harmonic structure, all of the statements in Table 10 demonstrate an episodic function.

TABLE 10

CLASSES OF STATEMENTS WHOSE HARMONIC STRUCTURES SUPPORTS THEMATIC EXCLUSION

Function Within a Modulatory Passage	Exhibit Accelerated Harmonic Rhythm	Exhibit Addition of Dissonant Seventh	Exhibit Change of Relationship To Root
I 3 (c)	I 5.5 (G-C)	I 5 (D7)	I 16 (d)
I 5 (D7)	I 13.5 (a-D7-g#^{o})	I 9 (G7)	I 18 (C)
I 5.5 (G-C)		I 17 (G7)	I 20.5 (C)
I 9 (G7)		I 19 (C7)	

(continued)

TABLE 10 (continued)

Function Within a Modulatory Passage	Exhibit Accelerated Harmonic Rhythm	Exhibit Addition of Dissonant Seventh	Exhibit Change of Relationship To Root
I 11 (d)			
I 13 (E7)			
I 13.5 (a-D7-g#^{o})			
I 16 (d)			
I 17 (G7)			
I 18 (C)			
I 19 (C7)			
IV 7-8 (d-g)	IV 26-27 (F-d-E7)		IV 7-8 (d-g)
IV 22-23 (F-D7)			
IV 26-27 (F-d-E7)			
IV 30-31 (E7)			
IV 38-39 (a-a^{o}-D7)			
VII 3 (e)	VII (F#7-G)	VII 11 (F#7-G)	VII 11 (F#7-G)
VII 11 (F#7-G)	VII 13.5 (b-E7)	VII 13.5 (b-E7)	
VII 13.5 (b-E7)	VII 22 (C-f#^{o})	VII 20 (B7)	
	VII 22.5 (d#7°-e)	VII 22.5 (d#7°-e)	

CHAPTER VIII

EVALUATION OF THE DATA

The foregoing differences in thematic analysis imply that each source from which the data is drawn approaches the analytical problem in a different manner. The analyst must consider the disposition of each statement of the subject. The question then arises: Should a statement be included within a thematic area or excluded to episode? An analyst's decision may be influenced by the presence of tonal stability or instability, the relation of the statement to the modulatory process, the harmonic function and harmonic rhythm of the statement, the developmental procedures of sequence and imitation, and/or the interval of imitation involved.

An analysis of the data has shown Goetschius to include within thematic areas all statements of the subject. His solution to the analytical problem is simplistic and consequently may be applied with a high degree of consistency. For this reason an analysis of his missing

portions of the three Inventions was easily projected. The analytical method of Goetschius is inherently restricted by his definition of episode in which he declares the "motive is not present."[1] When applied to the Inventions this arbitrary procedure fails to allow for the modulatory function of entire subject statements within episode.

In contrast Kennan does consider the modulatory function of episode. An analysis of the data revealed that he excludes from a thematic function many statements of the subject, thus classifying them as episode. The harmonic function of these statements was shown to contribute to the process of modulation. However, problems are evident within Kennan's analysis. He gives the impression that he has not completely decided on the classification of all subject statements.[2] Nevertheless, his scholarly approach to the problem deserves careful consideration.

Mason consistently classified the use of sequence as an episodic technique. Analysts in general follow this analytical procedure. There are, however, problems in Mason's system of analysis. The second specific question

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[1]Goetschius, p. 95.

[2]See Kennan's letters of September 1 and October 21, 1979, in Appendix A. Also compare his analysis of Invention I, measures 3-7, in Appendix A to his parenthetical statement and example on pages 130-31 of his 1972 text and his related discussion on page 118 of the present study.

was directed toward one of these problems. An analysis of the data revealed that Mason excluded to episode the imitation at the perfect fifth in Invention I, 8.5. Mason provides a rationale,[1] but it is founded on an inaccurate definition of the term counterexposition: "It will be in a contrasting key."[2] As the literature has shown, writers agree that the counterexposition is not in a contrasting key but remains in the tonic key.[3] Mason, however, applies this term within Invention I to an imitative entry in the dominant key. This questionable application of the term counterexposition provides the misguided reasoning for excluding the subject statement at measure 8.5. Another analytical problem is encountered within Mason's system. He classifies stretto as an episodic technique.[4] In general, analysts give statements of the fugue subject in stretto a thematic function. While Goetschius includes as thematic all statements of the entire subject, Mason generally includes only those in expositions. Although Goetschius and Mason are opposite in their approach to analysis, they both present simplistic solutions to the problem.

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[1]See pp.114-16.

[2]Mason, p. 76.

[3]See pp.40-41.

[4]Mason, pp. 104-06 and pp. 159-60.

The significance of Thompson (1961) as an investigated source may lie in the fact that his is the first published material found which obviously breaks with the Goetschius (1902) tradition. Although he provides no analytical rationale, the analysis of the data indicates a general principle.[1]

An analysis of the data clearly shows that the three recent sources have substantially withdrawn from the analytical techniques of Goetschius. Although the data may be somewhat limited, this fact remains. Kennan's 1959 edition appears to have been greatly influenced by Goetschius. In his 1968 text Mason established his analytical procedure which is very different from Goetschius and Kennan (1959). This is true even though Goetschius and Kennan are the only relevant sources in Mason's bibliography. Kennan's 1972 edition records the works of Goetschius and Mason in his bibliography and establishes an analytical procedure different from them and from that in his 1959 edition. Thus, the trend to move away from the analytical procedures of Goetschius is clearly evident.

Every Bach Two-Part Invention demonstrates an evolutionary compositional process. Each work evolves

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[1]For a discussion of this principle, see p. 114.

from a single idea into a compositional whole.[1] This process of organic growth in fugue has been called a procedure. Many writers note that the term procedure is more appropriate than the term form.[2] The literature supports the idea that the Bach Inventions are fugal structures.[3] In fugal history imitation has been found to be the most consistent compositional technique. More specifically, fugal imitation appears throughout pre-Bach history at the perfect intervals of the octave, fifth, and fourth.[4] Tradition dictates that within the Two-Part Inventions imitative thematic areas should be limited to these perfect intervals. An analysis of the data has shown that the three recent analysts limited imitation within expositions to the perfect octave and the perfect fifth.

Bach is known to employ only closely related keys for presenting thematic statements of a subject. Therefore, the opening of thematic areas within the Bach Two-Part Inventions should be limited to these keys.[5] An analysis of the data has shown the harmony of many statements of a subject to serve a modulatory function. These statements

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[1]For the literature which supports the concept of a single idea or theme, see pp. 64-66.

[2]See pp. 28-29.

[3]See p. 63.

[4]See Chapter II, pp. 10-30.

[5]Kennan (1972), p.135.

do not function primarily as thematic presentations in closely related keys. Instead, they serve an episodic function.

An over-simplification in defining the term episode appears to be the source of many analytical problems. In 1902 Goetschius defines episode as a passage "where the motive is not present."[1] In the 1944 edition of the Harvard Dictionary of Music, Apel defines the term as "sections . . . in which the principal subjects are missing."[2] In Kennan's 1959 text, episodes are described as "sections in which the motive does not appear intact."[3] Similar limitations are used in defining the term in a 1962 text by Leon Stein[4] and in the 1969 edition of the Harvard Dictionary of Music.[5]

Although none of the above definitions allow for an entire statement of the subject to appear within an episode, several writers have been found to cite examples of such statements and to classify them as episode. An early writer to analyze in this manner was Gedalge (1900).[6] Several examples of complete statements of the subject which appear within an episode are cited by Mishkin in his

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[1]Goetschius, p. 95.

[2]Apel, HDM (1956), p. 247. [3]Kennan (1959), p. 62.

[4]See p. 79.

[5]Apel, HDM (1969), p. 296. [6]See p. 52.

1938 thesis "The Function of the Episodic Sequence in Baroque Instrumental Music."[1] A study of the episodes of the Two-Part Inventions supports the position held by Gedalge and Mishkin.

Bach's use of a short subject in several of the Two-Part Inventions appears to be the prime cause of most of the differences in analysis.[2] The use of a short subject allows for more repetition and restatement of the subject as a whole, and encourages subject modification rather than subject fragmentation. Sequential treatment of the entire short subject is also a natural process.

In his 1972 text Kennan identifies three factors which suggest episode: sequence, a more developmental approach, a modulation.[3] Kennan's view is supported by the literature; most writers declare sequence to be an episodic technique.[4] Of course a subject which contains sequence would be an exception. Kennan's reference to a more developmental approach within episode implies that the structure must change from what he calls "a straightforward presentation of the motive."[5] His reference to

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[1]See pp. 52-53.

[2]For a discussion of examples of the short subject, see pp. 70-72.

[3]Kennan (1972), p. 135.

[4]See pp.74-76.

[5]Kennan (1972), p. 135.

modulation implies harmonic movement away from one closely related key and toward another.

Marpurg refers to Bach's admonishment "to renew the theme through episodes."[1] This researcher understands the term "renew" to include those compositional procedures which accomplish the three factors given above. No given set of developmental techniques can be said to be episodic. Each situation must be judged in the light of its individual characteristics. The result is that different analysts are apt to view a given situation differently.

Although each problematic statement of the subject must be judged in the light of its individual characteristics, classification of such statements as either thematic or episodic may be guided by certain general pinciples (Table 11). The variety of techniques used in the episode of Invention I, 3-7, include subject modification, rhythmic augmentation of the initial half of the subject, contrary imitation, an original version of the subject the harmony of which is modulatory, and an abundance of sequence. Rhythmic augmentation of the final half of the subject is the episodic technique found in measures 9 and 10. Similar and contrary imitation are used as techniques in the modulatory episode which follows the strong cadence in measure 15. In a discussion of Invention IV, Kennan

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[1]See p. 54.

TABLE 11

GENERAL CHARACTERISTICS OF THEMATIC AND EPISODIC AREAS

Thematic	Episodic
Primarily Imitative	Variety of Techniques
Similar Imitation	Contrary Imitation
Absence of Subject Modification	Presence of Subject Modification
Absence of Extended Trill on the Dominant	Presence of Extended Trill on the Dominant
Consistent Relationship of Subject Pitches to Harmonic Roots	Changed Relationship of Subject Pitches to Harmonic Roots
Consistent Harmonic Rhythm	Accelerated Harmonic Rhythm
Less Modulatory	More Modulatory
Greater Tonal Stability	Lesser Tonal Stability

notes the extended trill on the dominant C in F major and the dominant E in a minor.[1] He describes the effect produced by this technique as "unsettled."[2] The implications are that the extended trill on the dominant functions as episode. Similar examples are found in Invention VII, measure 7.5 and 15.5. At 7.5 the extended trill on the

[1]See Kennan's letter of September 1, 1979, in Appendix A.

[2]For a review of the literature in which the terms acceleration and traveling motion are discussed, see p. 75-76.

dominant in conjunction with the modified subject and its sequential treatment increases the episodic implications of this passage.

In summary, Kennan, Mason, and Thompson analyze entire statements of the subject as episode. This analytical approach contradicts the earlier method of Goetschius and many recent definitions of the term episode. Bach's use of a short subject and his use of the compositional process of modulation within the Two-Part Inventions have been found to be the source of most analytical differences. Historical research supports the analyses by Kennan, Mason, and Thompson to the extent that their classification of entire subject statements as episode is determined by the modulatory process.

CHAPTER IX

AN ANALYSIS OF THE BACH FIFTEEN TWO-PART INVENTIONS

The purpose of this chapter is to review the findings of the preceding chapters, to introduce additional support for the findings, and to conclude with an analysis of the fifteen Inventions which is based on the findings.

This study has revealed many problems in applying fugal terminology to the Two-Part Inventions. However, the use of such terms by analysts will apparently continue. Leonard Meyer declares that these analytical terms should identify the functions of the various parts of a musical structure:

> Until recently . . . all music, from the most primitive to the most complex, was hierarchically structured to some extent. Indeed, most of the terms ordinarily used in the analysis of music--motive, antecedent phrase, first-theme group, bridge passage, subject, episode, exposition, and so on--point either explicitly or implicitly to the functions of different parts and levels of the musical hierarchy.[1]

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[1]Leonard B. Meyer, Music the Arts and Ideas (Chicago: University of Chicago Press, 1967), p. 305.

He later observes that useful analytical procedures are generally developed within a particular style and that "the concepts of form and harmonic relationship" serve as an example of "the most generally accepted and illuminating modes of analysis."[1] He further observes that at times "the syntactical and formal modes act independently of one another" and that "the return to congruence of syntax and form creates a kind of structural resolution which, because it re-establishes stability, both permits and emphasizes closure."[2] The reverse relationship may also exist. A departure from congruence of syntax and form to incongruence creates unresolved motion and instability.

Alan Walker is also impressed with the stable and unstable relationships of tonality and thematicism:

> The descriptive view of form . . . fails to take into account the organic nature of musical structure. If a work is not to remain static it must unfold, reach out for new stages in its evolution and leave old ones behind. It will exhibit stability and instability as its structure develops; the qualities of repose and unrest are in constant alternation in music and help to make it the organic thing which it is. Now the two main ingredients in classical structures are keys and themes. They are the twin forces out of which musical form is created. If they were perfectly synchronized forces there might be more truth behind the academic notion of form. As it is, they are often in a state of opposition and consequently when academic criteria are applied

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[1]Ibid., p. 311.

[2]Ibid., pp. 310-11.

> the result may be a structural ambiguity
> . . . .
> An examination of the relationship in which the elements of tonality and thematicism may stand to one another will show that it is only when they act conjointly that there exists a structure which is simple to describe. Tonal continuity often goes hand in hand with thematic change, and thematic continuity with tonal change. When either of these two conditions operates at a structurally important juncture . . . descriptive analysis has a difficult time dealing with the situation.[1]

Many of the differences in analyses of the Two-Part Inventions are due to this incongruence of harmony and formal return of the theme.

Throughout this investigation the interval of imitation has been considered to be an important factor in developing analytical procedures. The most historically consistent procedure of fugue has been found to be imitation at the perfect intervals.[2] The literature has declared the invention type fugal.[3] Therefore, the use of imitation at perfect intervals within the Inventions is significant. Leonard Meyer explains how the physical redundancy within perfect intervals creates psychological stability:

> Considerable evidence, both experimental and cultural, indicates that the central nervous system, acting in conjunction with motor systems, predisposes us to perceive certain pitch relationships,

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[1]Alan Walker, A Study in Musical Analysis (New York: The Free Press, 1963), pp. 27-28.

[2]See Chapter II, pp. 10-30.

[3]For references by Leichtentritt, Bukofzer, and Christ, see p. 63.

> temporal proportions, and melodic structures as well shaped and stable. For instance, the octave, fifth, and fourth are basic, normative intervals in the music of almost all cultures. And it does not seem far fetched to say that each of these is quite literally redundant--in the sense that the partials of one tone duplicate the fundamental of the other.[1]

An analysis of expositions of the Two-Part Inventions has revealed the data shown in Table 12. Only imitations at the perfect octave and the perfect fifth appear within expositions. Stability is provided by the physical redundance of the imitations at the octave and fifth. Many of the expositions remain within the stable tonic key. Those which contain an imitation in the dominant key still provide stability by means of congruence of tonality and form. The exposition of Invention XIV contains no imitation; however stability is built into this theme since it remains within the tonic key and is formed by a redundant melodic pattern.

The pattern pitch of Table 12 is best described as the first pitch of the first characteristic pattern of the theme. A characteristic pattern is defined as a melodic and/or rhythmic configuration that is most apt to be audible to the listener. The theme of Invention III provides an excellent example of a characteristic pattern. Example 6 shows the pattern pitch to be f#, the third of the D major

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[1]Meyer, p. 289.

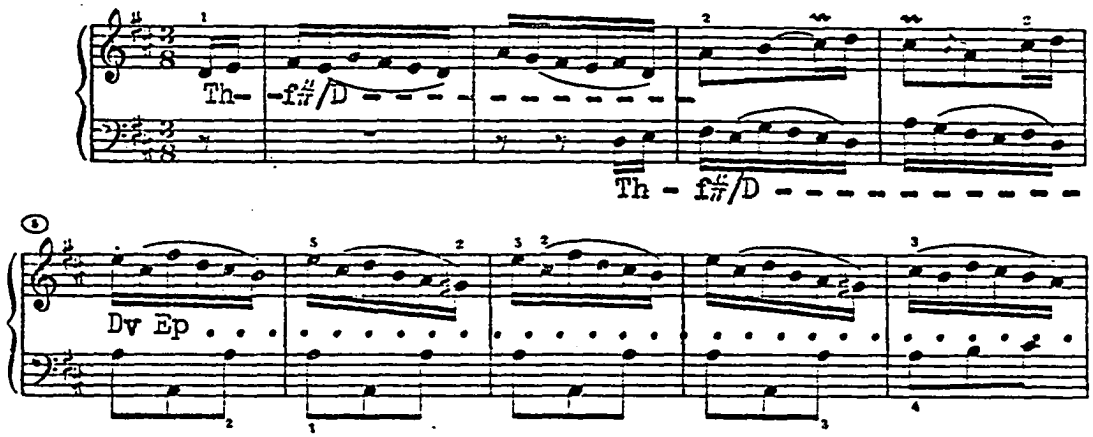
TABLE 12

ANALYSIS OF EXPOSITIONS OF THE FIFTEEN TWO-PART INVENTIONS

Invention	Measures	Pattern Pitch/ Harmony	Imitation Interval
I	1-3	c/C c/C g/G g/G	8-5-8
II	1-4	c/c c/c	8
III	1-5	$f^{\#}$/D $f^{\#}$/D	8
IV	1-7	d/d d/d d/d	8-8
V	1-9	e^{b}/E^{b} b^{b}/B^{b}	5
VI	1-9	e/E e/E	8
VII	1-3	g/e g/e $d^{\#}$/B $d^{\#}$/B	8-5-8
VIII	1-3	a/F a/F	8
IX	1-9	a^{b}/f a^{b}/f	8
X	1-3	g/G d/D	5
XI	1-5	g/g g/g	8
XII	1-5	a/A e/E	5
XIII	1-3	a/a a/a a/a a/a	8-8-8
XIV	1-4	b^{b}/E^{b}	-
XV	1-5	b/b $f^{\#}$/$f^{\#}$	5

harmony. This pitch is the first pitch of the four-note changing tone pattern which is characteristic throughout the Invention.

Ex. 6. Characteristic Pattern Pitch, Invention III, measures 1-10[1]



In the Instructions to his 1723 autograph edition of the Inventions, Bach declares his purpose "not only to compose good inventions but to develop them well."[2] Julius Herford describes the procedure of development in his article "Bach's Models of 'Good Inventiones'--How to Develope the Same Well":

> The term "musical development" is here understood as the process by which musical thought unfolds in a composition. . . .
>
> It . . . is conceived here as a process in action. We cannot, therefore, limit ourselves to a study of techniques per se. Our search must be directed toward the functioning of these techniques within the process of this musical unfolding.[3]

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[1]This and all similar examples that follow are from J. S. Bach, Inventionen and Sinfonien (Munich: G. Henle Verlag, 1955). Reproduced with kind permission of G. Henle Verlag, Munich, Germany.

[2]Johann Sebastian Bach, Two and Three Part Inventions, facsimile of the 1723 autograph manuscript, ed. Eric Simon (New York: Dover, 1968).

[3]Herford, Bach, 4, no. 1 (1973): 16.

Every Bach Two-Part Invention demonstrates this evolutionary compositional process. Each work evolves from a single idea into a compositional whole.[1] Describing this process, many writers note the term procedure is more appropriate than the term form.[2] The theme of Invention III in Example 6 is imitated so as to expose the second voice. The statement and imitation of the theme are sufficient to form the exposition. Bach then turns to further development in measures 5 and 6 by introducing two variations on the characteristic pattern of the theme. Identical melodic direction is maintained, but the melodic intervals and harmonic implications change. The passage beginning in measure 5 may properly be called a developmental episode.

An analysis of stable[3] thematic entries occuring after the expositions of the fifteen Inventions is presented in Table 13. The data of this table reveals only imitations at the perfect octave, fifth, and fourth. Only closely related keys open these later stable thematic areas. Areas opening on the tonic occur near the conclusion. Eleven areas open on the dominant and seven on the relative of the tonic. Only one each of subdominant,

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[1]For the literature which supports the concept of a single idea or theme, see pp. 64-65.

[2]See pp. 28-29.

[3]The term stable here means centered within the tonic or a closely related key.

TABLE 13

STABLE THEMATIC ENTRIES OCCURRING AFTER EXPOSITIONS

Invention	Measures	Pattern Pitch/ Harmony	Imitation Interval	Relative Key
I	7-9	g/G g/G d/D a/D	8-5-5	V
II	11-15	g/g g/g	8	v
	23-27	c/c c/c	8	i
III	12-14	$c^{\#}$/A	-	V
	24-28	d/b g/e	4	vi/I
	43-47	$f^{\#}$/D $f^{\#}$/D	8	I
IV	18-20	f/F	-	III/i
	44-48	d/d d/d	8	i
V	12-20	c/c f/f	4	vi/I
	27-32	e^{b}/E^{b}	-	I
VI	21-29	b/B b/B	8	V
	43-51	e/E e/E	8	I
VII	7-7.5	b/G	-	III/i
	9.5-10.5	$f^{\#}$/D $f^{\#}$/D	8	III/v
	11.5-12.5	d/b g/e g/e	4-8	v
VIII	12-14	e/C e/C	8	V
	16-18	b^{b}/g b^{b}/g	8	vi/IV
IX	17-21	e^{b}/c	-	v
	29-33	a^{b}/f	-	i
X	14-18	d/D a/A d/D g/G	5-4-4	V
	27-28	g/G	-	I
XI	7-9	d/d	-	v
	13-16.5	c/c c/c	8	iv
	18.5-20.5	g/g	-	i
XII	9-13	$f^{\#}$/$f^{\#}$ $c^{\#}$/$c^{\#}$	5	vi/I
	18-20	a/A	-	I
XIII	6.5-8.5	c/C c/C c/C c/C	8-8-8	III/i
	18-19	a/a a/a	8	i

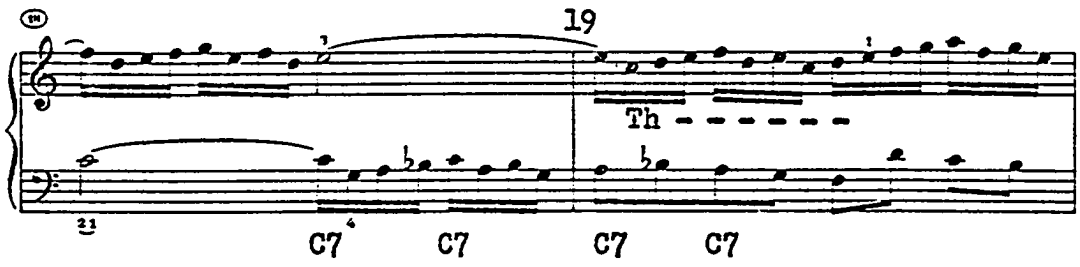
TABLE 13 (continued)

Invention	Measures	Pattern Pitch/ Harmony	Imitation Interval	Relative Key
XIV	6-9	f/F	-	V
	16.5-19.5	b^b/B^b b^b/B^b	8	I
XV	5.5-7.5	$f^\#/f^\#$	-	v
	12-16	d/D a/A	5	III/i
	18-21.5	b/b b/b	8	i

relative of the dominant, and relative of the subdominant serve to open stable thematic areas which follow the exposition. In general the pattern pitch consistently holds the same membership within all harmonies of a given Invention. One exception is found. The pattern pitch of Invention I is usually the root of the implied harmony. The a, however, is the fifth of the D major harmony. This exception is due to the short and harmonically versatile theme.

Unstable harmonic functions may exist when harmony and form are incongruent, when harmonic rhythm is accelerated, when modulation is apparent, or when imitations are expressed with distantly related harmonies. An example of incongruence of harmony and form is seen within Invention I. Measure 18 in Example 7 is imitative--measure 19 is sequential. A formal articulation occurs at bar 19. However, a harmonic articulation does not occur at this point, since the C7 harmony extends from measure 18.5 to 19.5. This

Ex. 7. Unstable Statement of Theme, Invention I, measure 19



harmony which overlaps the formal structure disguises the entrance of the theme in measure 19.[1]

Incongruence of harmony and form may also be seen in Invention IV. Unstable statements begin in measures 26 and 38 of Example 8. Had Bach begun the statement of 26 with f instead of a and maintained melodic and harmonic consistency as in the exposition, a stable statement would exist. On the contrary, the F major harmonic function of measure 26 in conjunction with a statement of the theme which is directed toward the dominant ninth of a minor in measure 27 causes instability. Similar instability is created by the strong cadence in a minor of measure 38 together with a statement of the theme which is directed toward g minor in 40.

One more incongruence may be noted. This appears in Invention VII. The strong b minor cadence in

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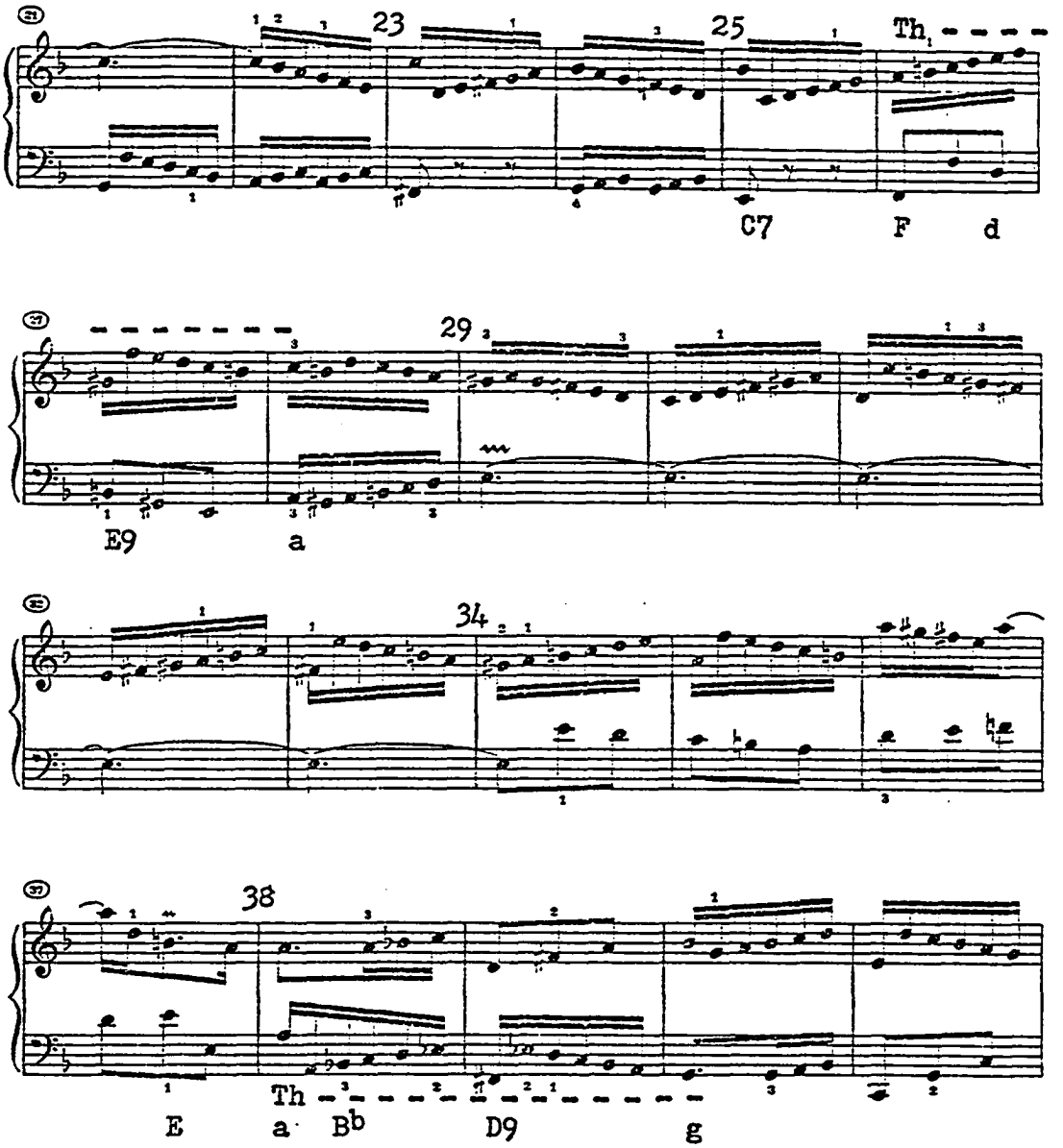
[1]Within Invention VII the B7 extending from 19.5 to 20.5 overlaps the formal articulation at bar 20.

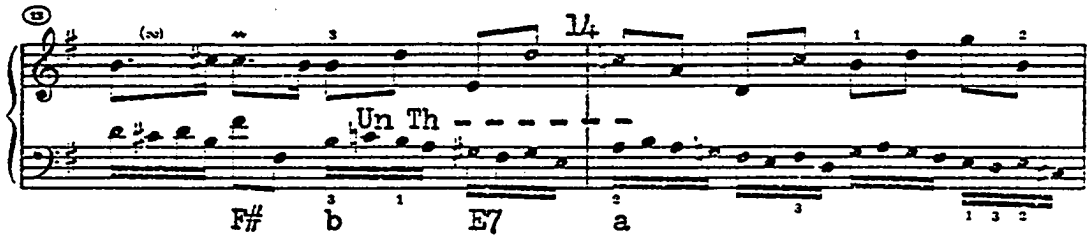
Ex. 8. Unstable Statements of Theme, Invention IV, measures 26 and 38



Example 9 measure 13, leads the listener to expect a stable statement in that key. Instead, the statement moves toward a minor through E7 and thus proves to be unstable.

Invention III demonstrates subtle degrees of instability. The statement beginning in measure 12 of

Ex. 9. Unstable Statement of Theme, Invention VII, measure 13



Example 10 is stable. The statement which begins in measure 14 opens with stability; however, the e minor harmony of 15 provides a degree of instability since it is not closely related to the preceding A major harmony. In this case the e minor harmony functions as the minor subdominant in the key of b minor which is Bach's modulatory objective. This developmental procedure gives the impression that harmonic acceleration is so important at this point that the final half of the subject needs to be and is thus omitted. Bach does, however, add three notes to its opening.[1] A greater degree of instability is experienced with the statement in measures 18-20 since the harmonic rhythm is doubled. Stability is again evident in 24 but less evident in 28-30 since its harmony is distantly related to that of the preceding statement. Again, modulation is the function of this harmonic relationship--modulation to A major. Furthermore, the high G natural which resolves

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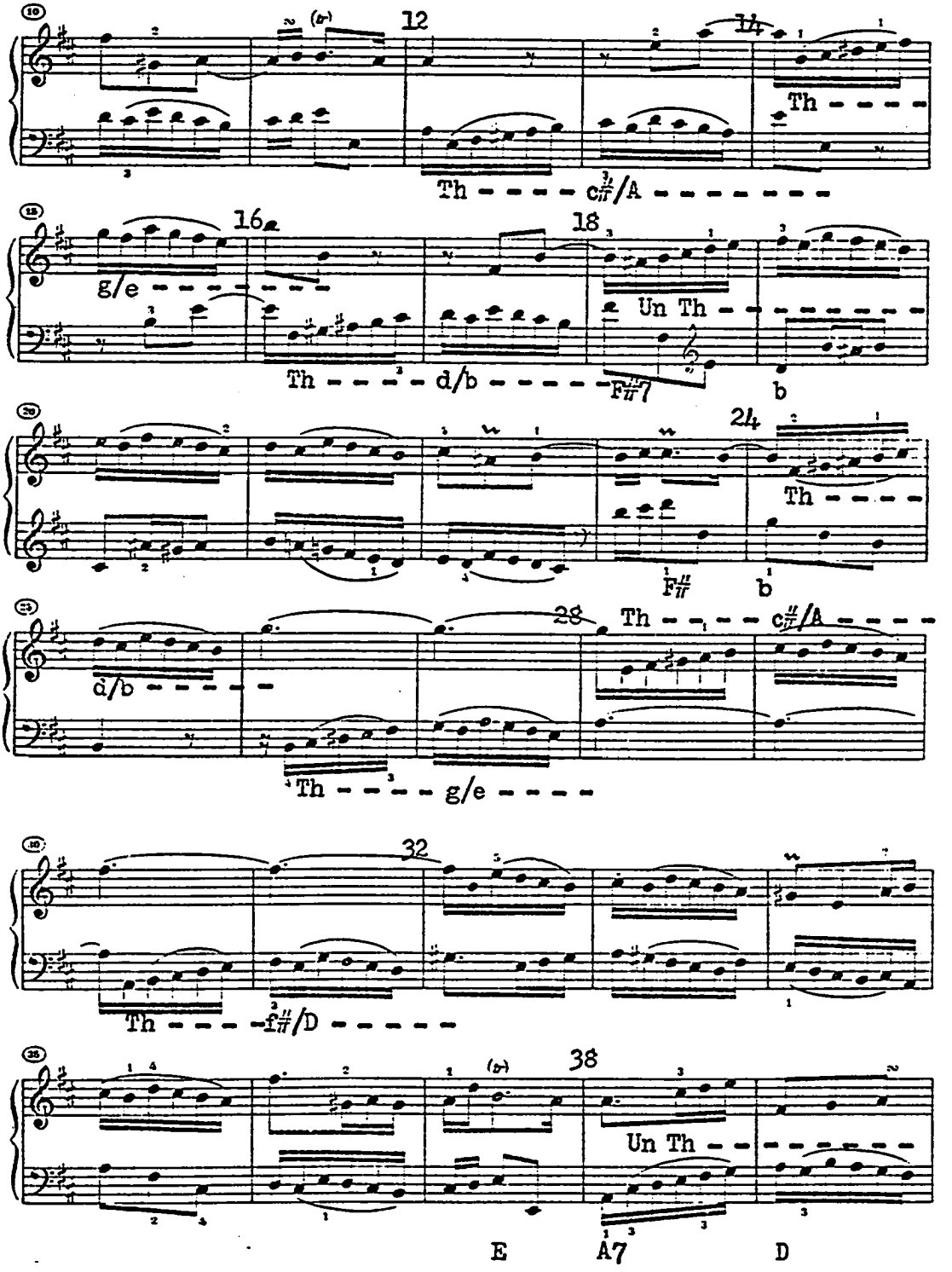
[1]For a description of this subject modification, see Christ, p. 132.

Ex. 10. Stability and Instability, Invention III, measures 10-40



to the F sharp in 30 creates a kind of structural contraction. With the strong cadence in A major of measure 38 the listener, since he has been preconditioned, would expect a stable statement similar to that in measure 12. However, such is not the case. Instead, the harmonic rhythm of the statement in measure 38 is doubled and thus causes instability.

In addition to the importance of tonal stability and instability of statements, their function within the developmental process is also significant. The developmental process employs a variety of techniques, such as imitation and sequence. Following the initial statement of the exposition, the developmental process is usually begun immediately with the introduction of imitation. However, a developmental process of redundancy is evident within the initial statement of Invention XIV. This may explain why in this unusual case an immediate imitation is not present.

The short subject has been shown to be the source of most analytical differences. This is due to the fact that the entire subject is developed as a unit throughout the Invention. The result is a high degree of thematic redundancy. Each statement provides a special formal function within the process of development. Within thematic areas a statement of the subject may generate a rather continuous process of imitation. On the other hand, within episodic

areas an entire short subject statement may generate a cadential or a sequential passage. However, the solution to the problem is not simply a matter of distinguishing between imitation and sequence. Furthermore, the simplistic views of Goetschius and Mason provide no solution. While Goetschius includes as thematic all statements of the entire subject, Mason generally includes only those that appear in the exposition. Although Kennan's thoughtful approach to the problem is the most worthy of consideration, it does not always take into account matters of tonal instability and developmental function.[1] Kennan refers to "musical situations" in which fugal terminology is not pertinent.[2] What are these situations and why is fugal terminology not pertinent? The "musical situations" encountered within invention structure include various treatments of the entire short subject: single statement, similar imitation, contrary imitation, subject modification, sequence, an accompaniment composed of an extended trill on the dominant, a change in the interval relationship of the subject to its harmonic roots, an increase in the harmonic rhythm, and lesser and greater degrees of tonal instability. In addition, the "musical situation" may involve any combination

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[1]See Chapters VII and VIII.

[2]See Kennan's letter of September 1, 1979, in Appendix A.

of the preceding. In order that the term episode may be applied consistently to invention structure, those situations which serve a primarily thematic function must be identified. All other situations would then provide an episodic function. In his 1972 text Kennan contrasts theme and episode by using the descriptions "staightforward presentation" and "a more developmental approach."[1] A straightforward presentation reasonably implies one in which the subject is stated in the tonic or closely related key either singly or by means of similar imitation.[2] This imitative statement may employ lesser degrees of tonal instability such as that commonly found in the answer at the dominant. All other situations listed above then reasonably imply a more developmental approach, that is, an episodic function. In reference to the situation of subject modification, one may point to Kennan's question: "Is contrary motion (as in No. 1) developmental per se?"[3] The most appropriate answer is no. However, when contrary motion appears in conjunction with other developmental situations listed above, this more

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[1]Kennan (1972), p. 135.

[2]For a review of the literature which has shown similar imitation at the perfect intervals to be the most consistent fugal procedure, see Chapter II, pp. 10-30.

[3]See Kennan's letter of September 1, 1979, in Appendix A.

developmental procedure implies an episodic function. A primary function of episode in the works of Bach is modulation. Bach's admonishment "to renew the theme through episodes"[1] may help to explain the developmental and modulatory functions of episodes. Bach's use of the term renew implies the variety which episodes provide. Since an almost incessant use of the entire short subject is found within the three Inventions with which this investigation has been concerned, frequent straightforward (i.e. thematic) presentations are not needed. Consequently, the more developmental (i.e. episodic) passages are sometimes unusually long.

The foregoing discussion suggests the need for three categories in the analysis of the Two-Part Inventions. The first category contains those straightforward statements of the subject which serve a primary thematic function. Although a slight degree of tonal instability may be present, they appear in the tonic or a closely related key either singly or by means of similar imitation. The second category contains those problematic statements of the short subject which, for a variety of reasons, sound as thematic entries but which generate tonal instability and/or a primarily developmental or cadential passage. The third category is composed of all other cadential,

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[1]See pp. 53-54.

developmental and/or modulatory material. These more developmental passages are often referred to as episodes. Certain episodes which are introduced by a generative statement of the subject belonging to the second category expose the subject in a more straightforward manner than do other episodes. Two examples may be seen in the score analysis of Invention I which follows. In this Invention measures 9-11 and 15-19 are characterized by a straightforward presentation of imitative pairs. However, a primarily developmental procedure is suggested by the occurrence of formal articulations at the beginning of measures 9, 16, 17, and 18, as well as by the tonal instability of these passages.[1]

An analysis of the fifteen Inventions by this writer follows. In establishing thematic and episodic analytical techniques, consideration has been given to the degree of instability and the developmental function of statements of the short subject. Statements of the short subject which fall within the second category often function to regenerate the developmental process. In the following analysis this generative function is indicated by a slash (/). A list of analytical symbols employed is shown in Example 11.

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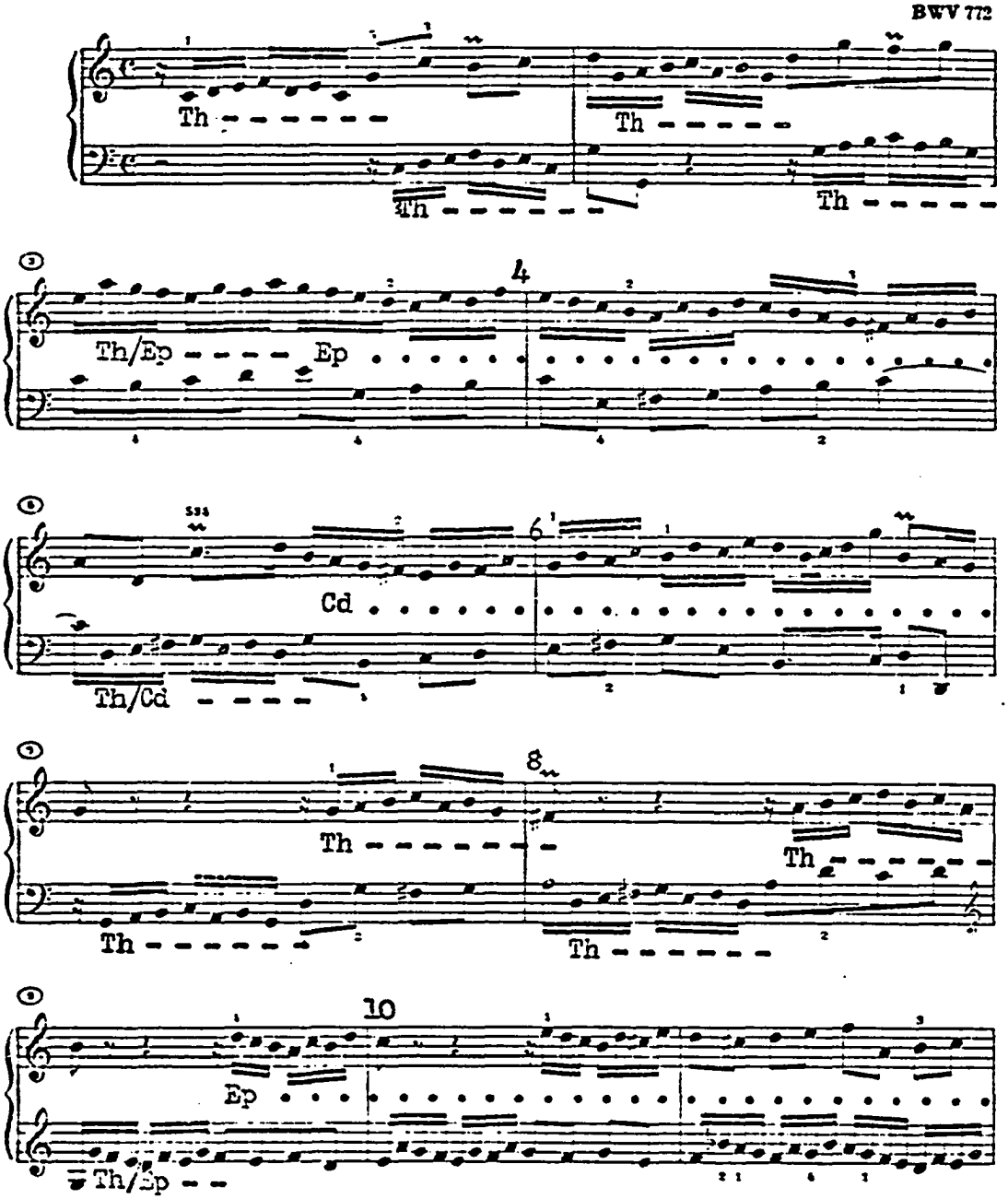
[1]For a discussion of tonal instability within these passages, see pp. 118-19.

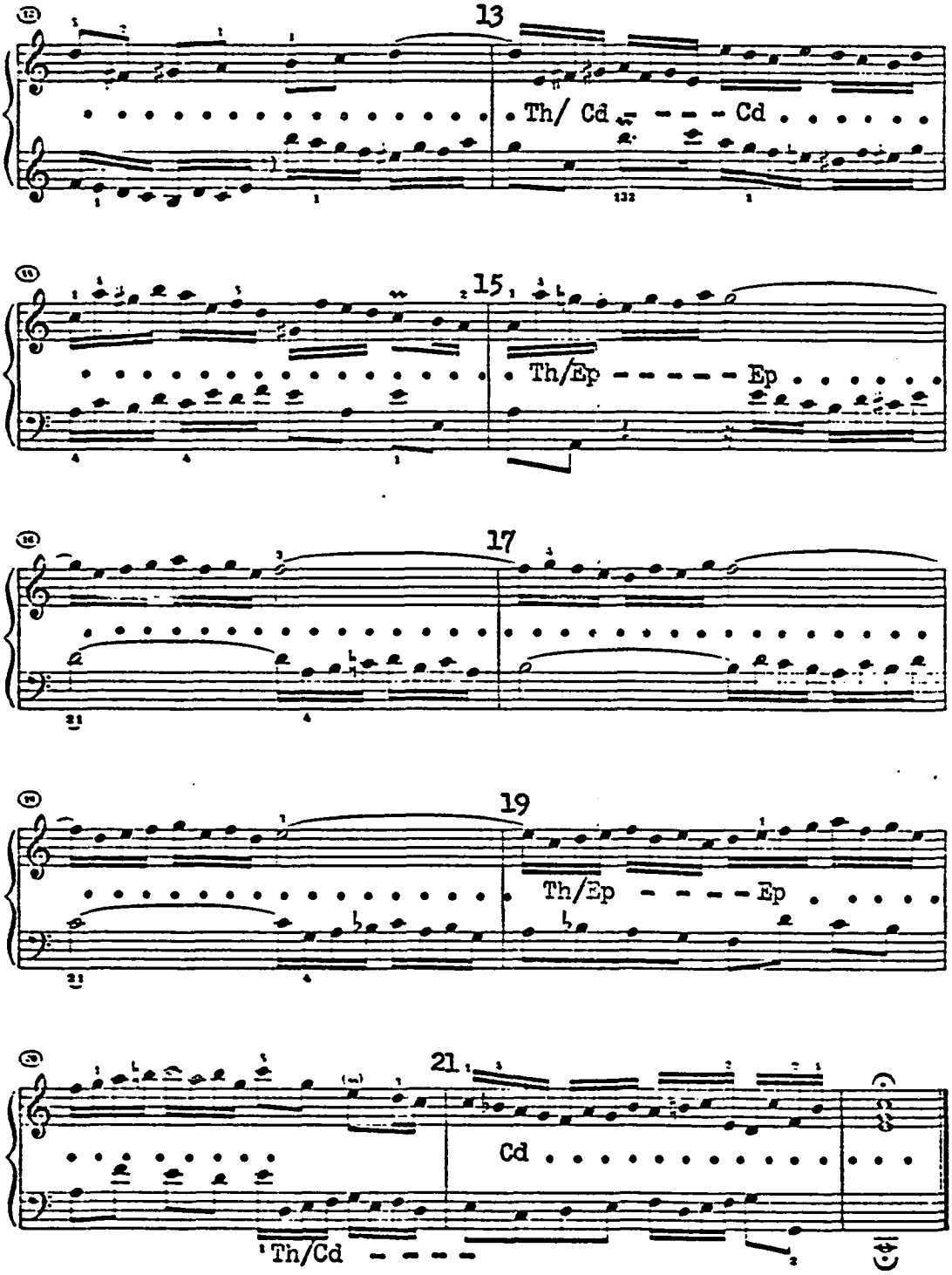
Ex. 11. Analytical Symbols

Th	theme	Cd	cadence or cadential passage
Ep	episode	/	generates

INVENTIO 1 *



* This and all similar scores that follow are from J. S. Bach, Inventionen und Sinfonien (Munich: G. Henle Verlag, 1955). Reproduced with kind permission of G. Henle Verlag, Munich, Germany


13
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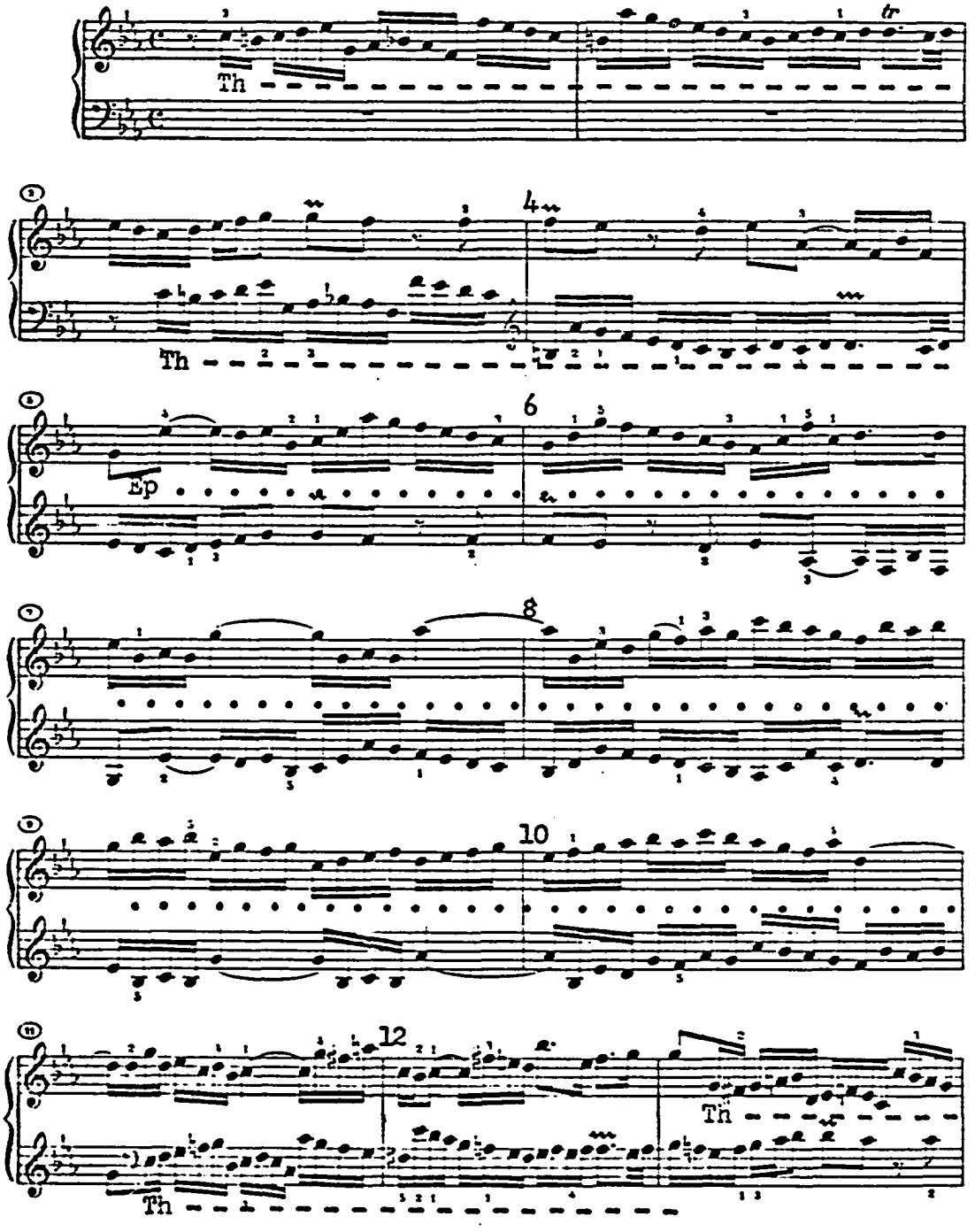
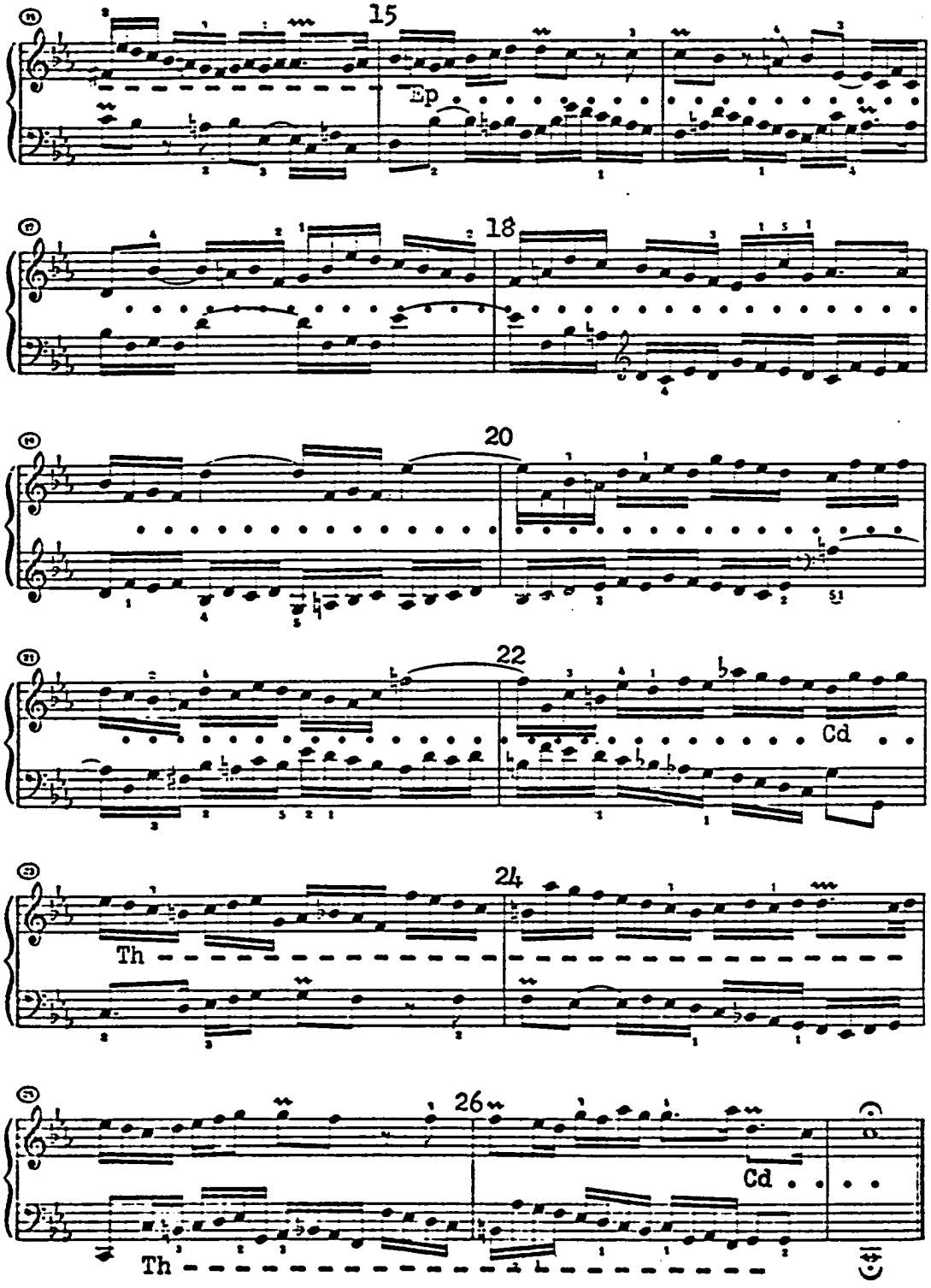
Th/Cd

INVENTIO 2

BWV 773




15
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24
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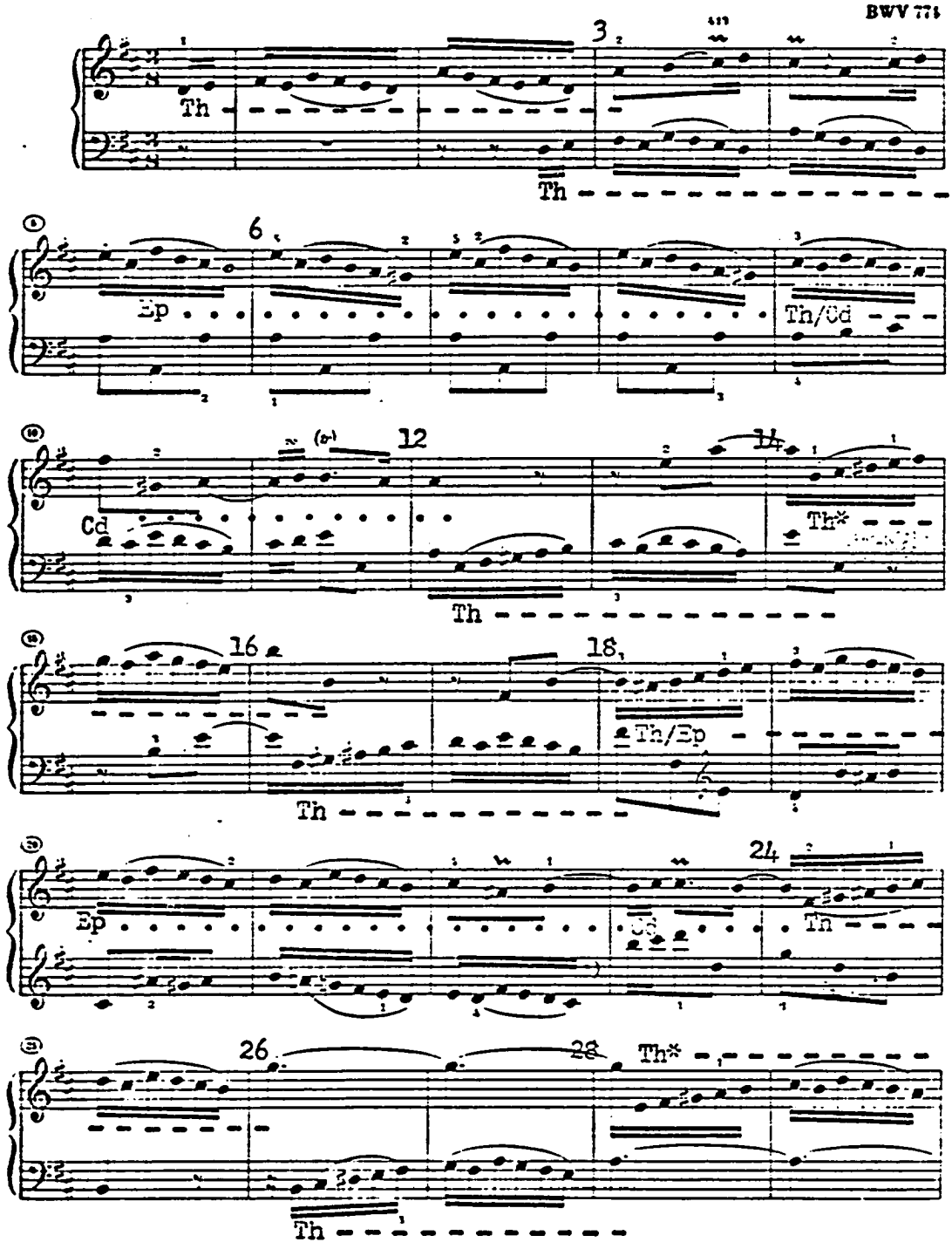
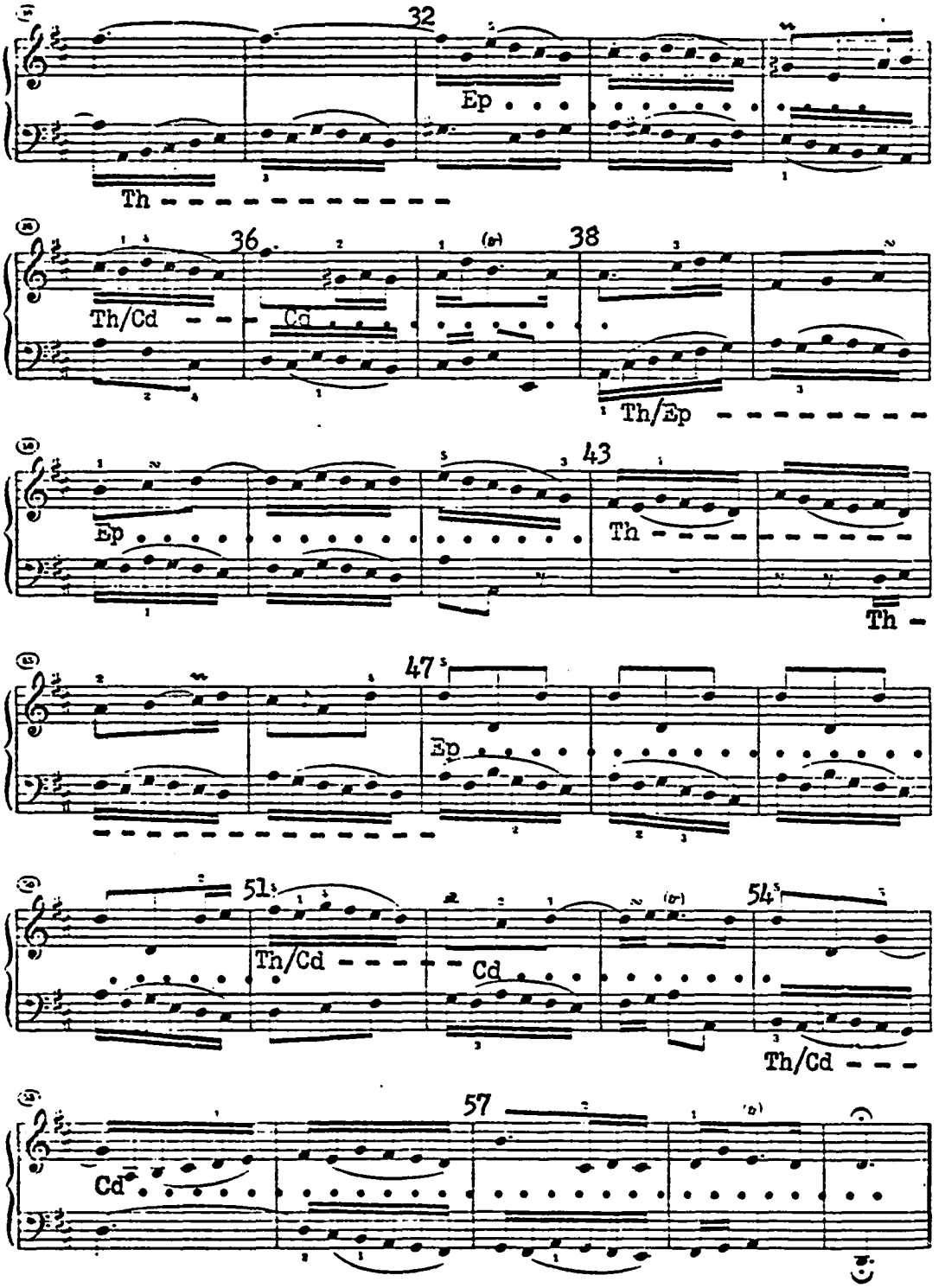
26
Cd
Th

INVENTIO 3

BWV 771



* For a discussion of degrees of stability and instability within Invention III, see pp. 128-30.


32
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38
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54
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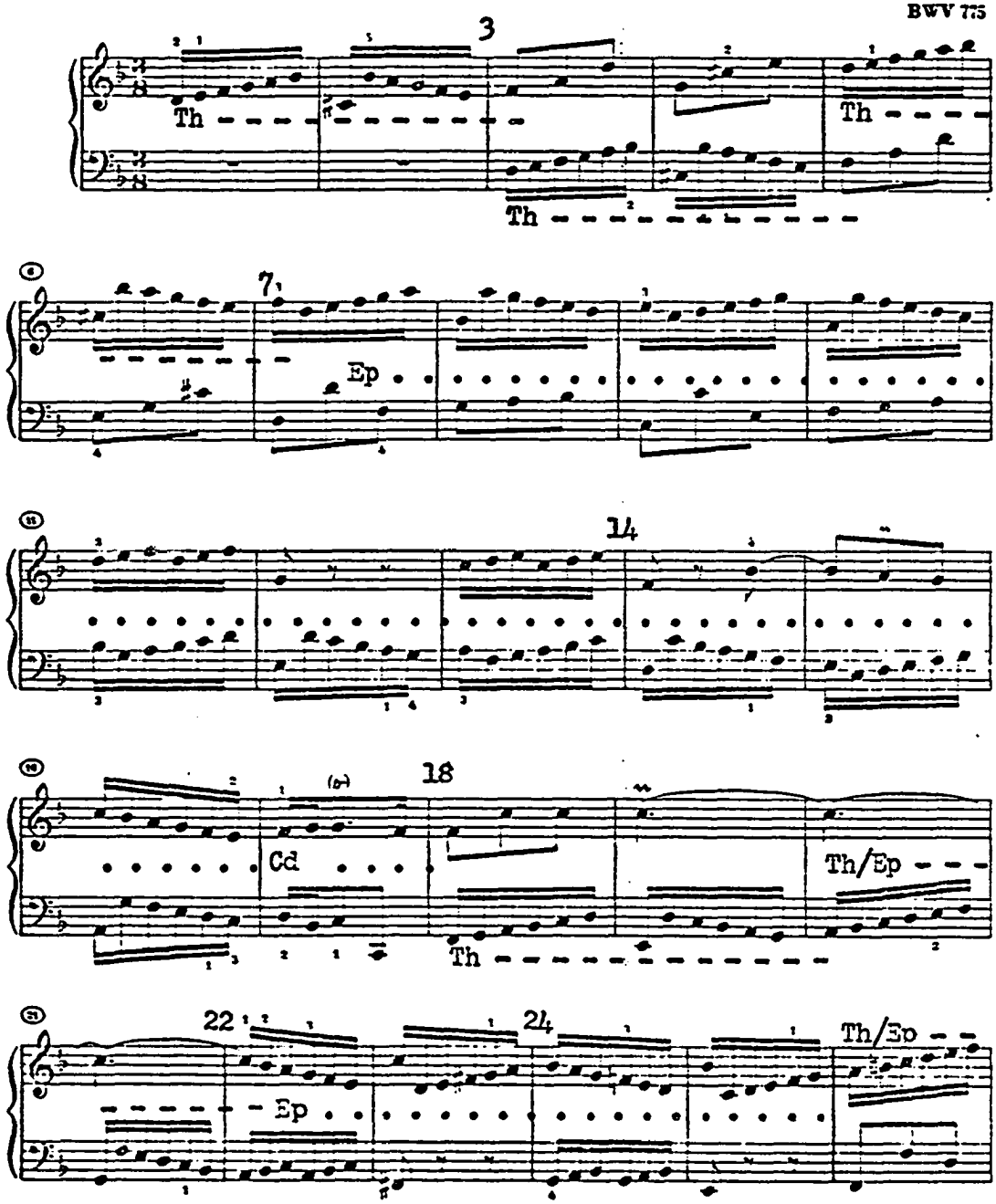
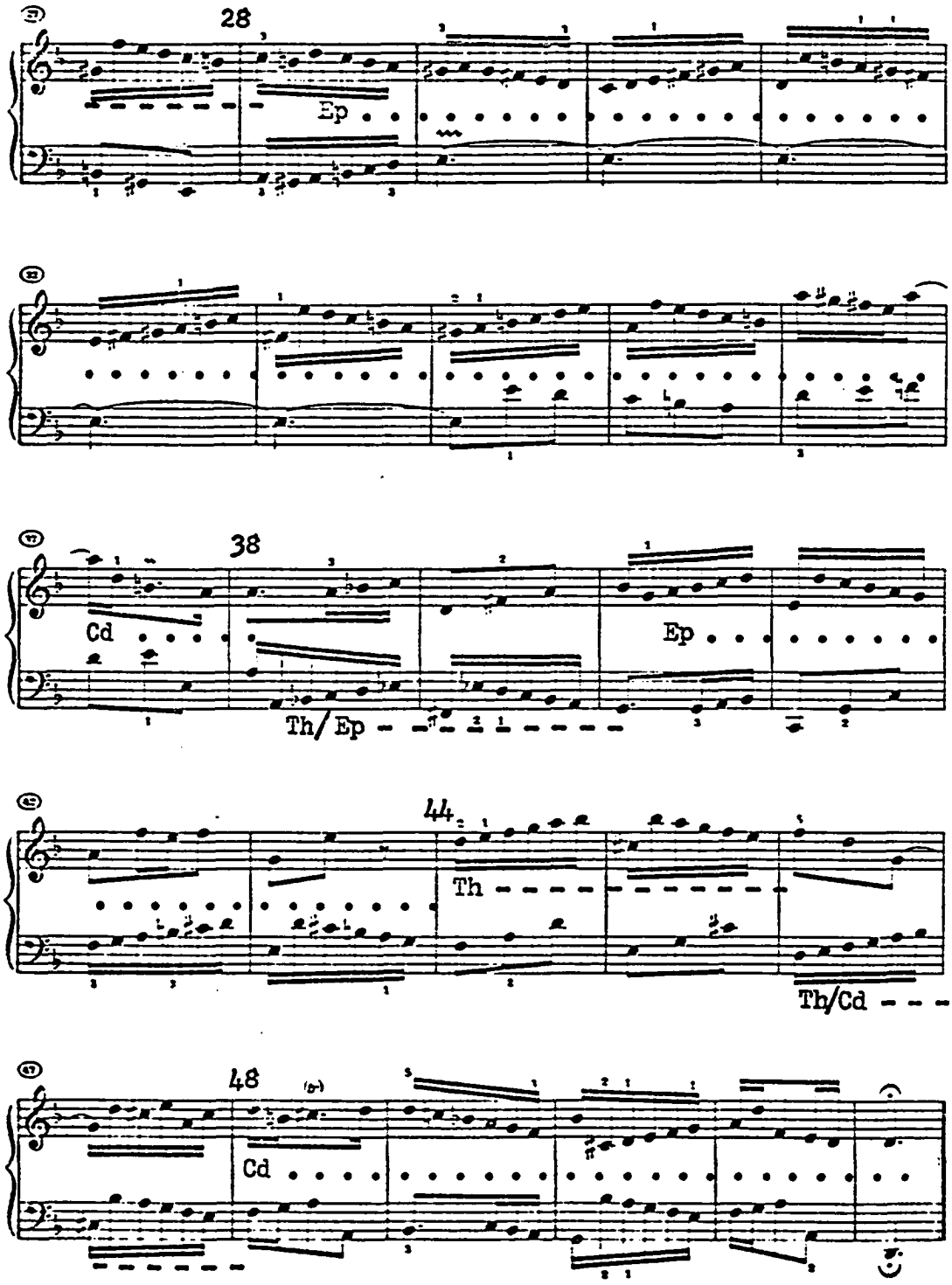
Th/Cd
57
Cd

INVENTIO 4

BWV 775




28
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38
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Ep
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44
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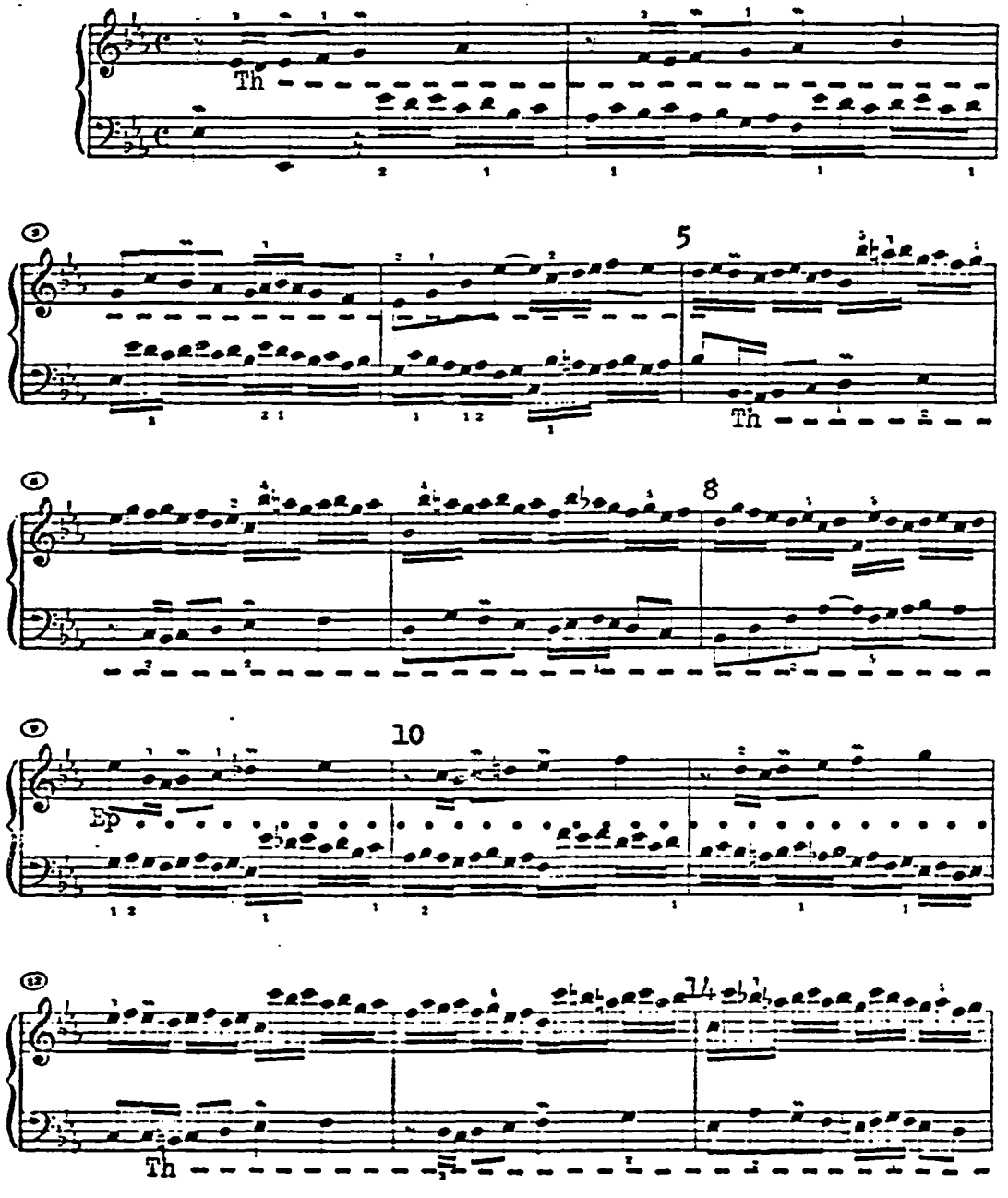
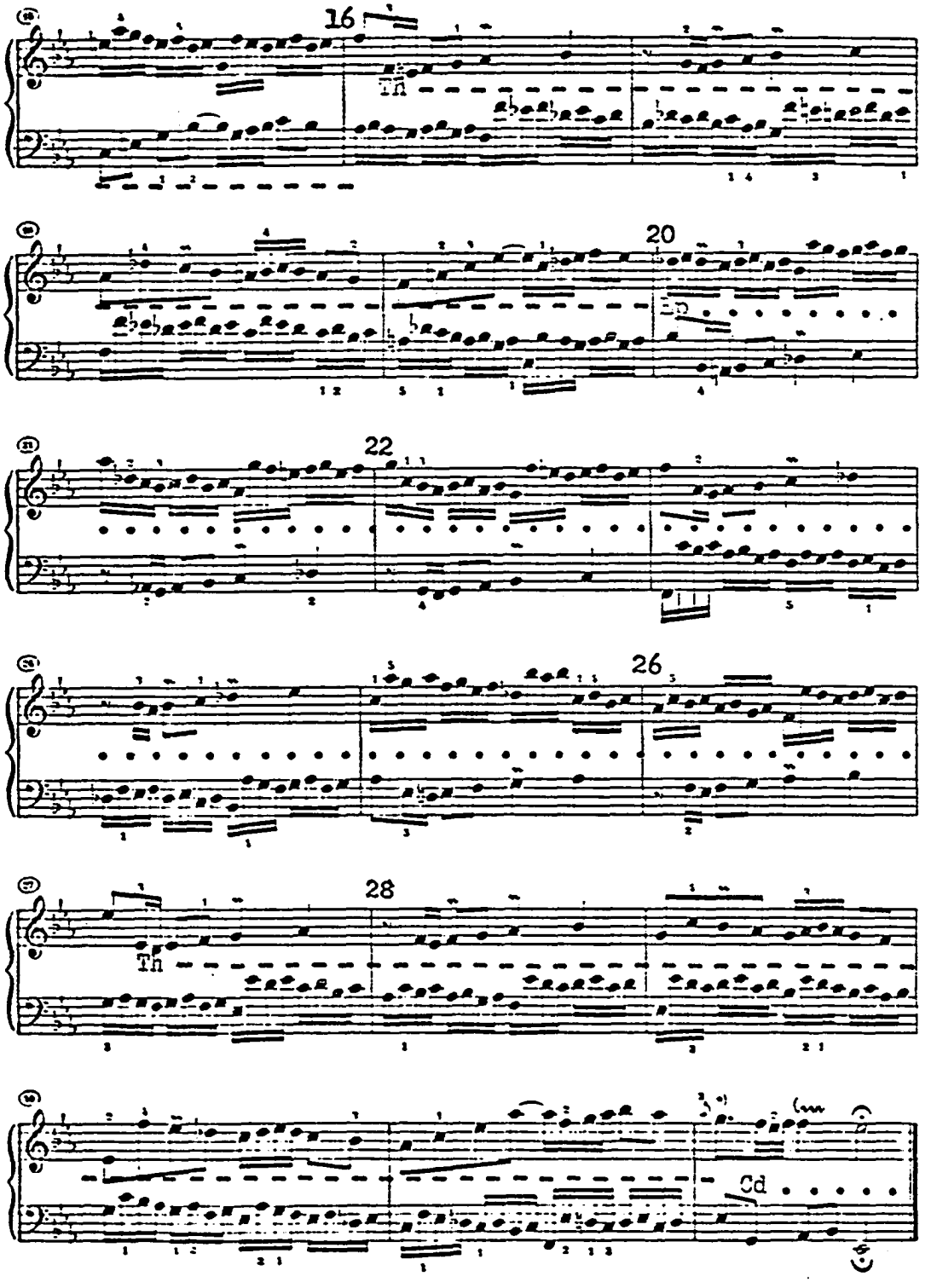
Th/Cd
48
Cd

INVENTIO 5

BWV 776

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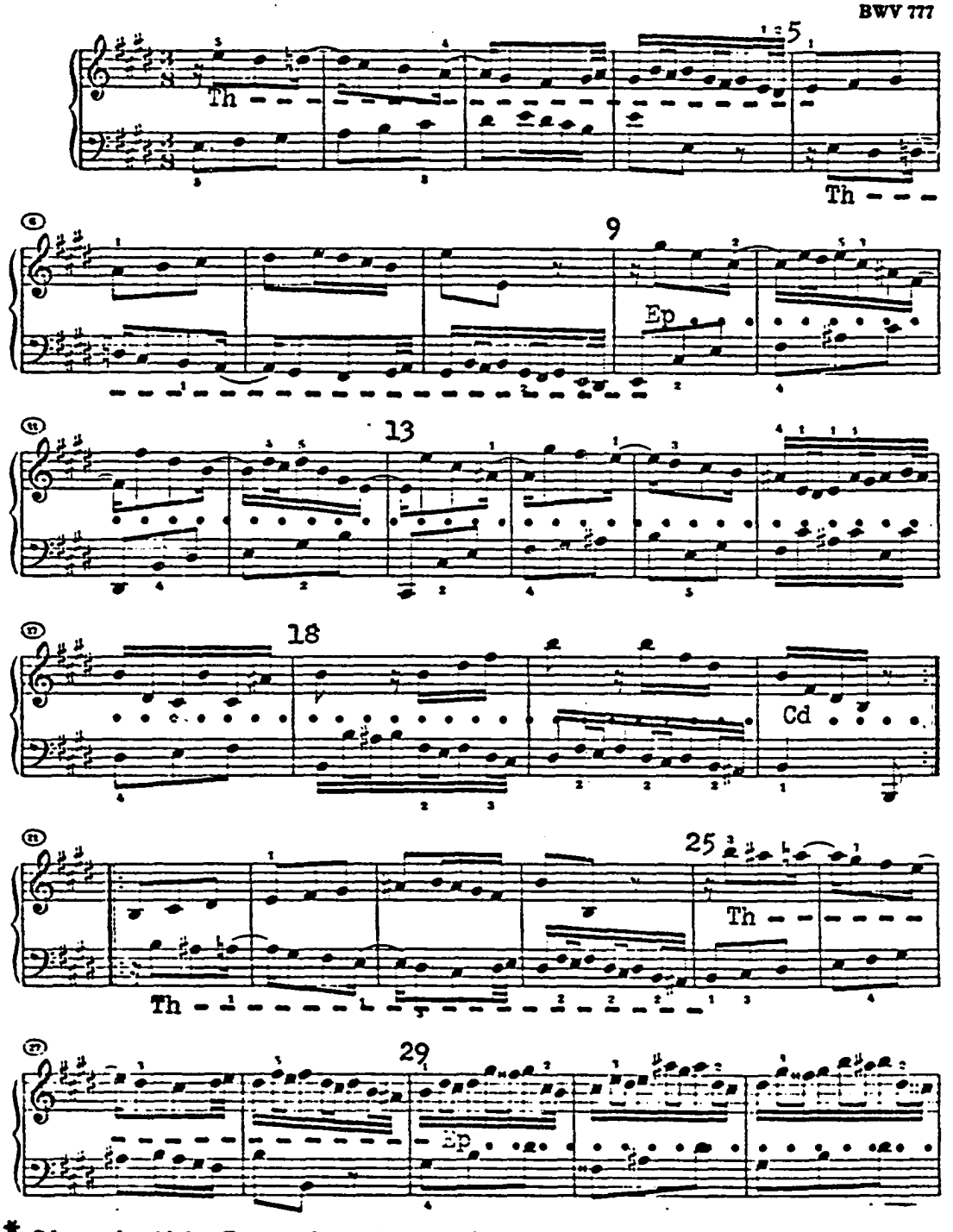
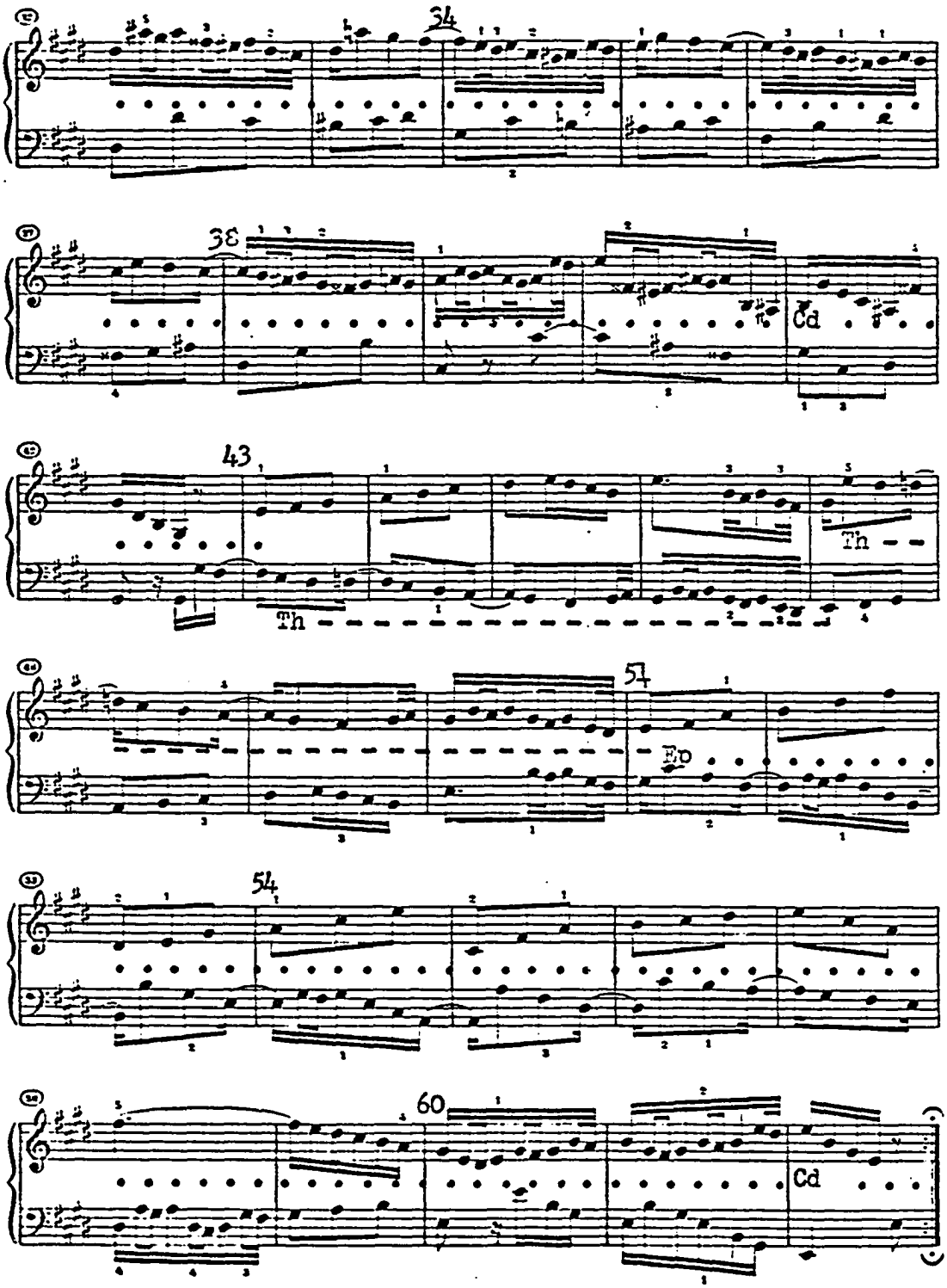
INVENTIO 6 *

BWV 777



* Since in this Invention the theme occurs only in conjunction with its countertheme, this two-voice relationship may be viewed as a single idea. See Kennan (1972), p. 128.


34
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43
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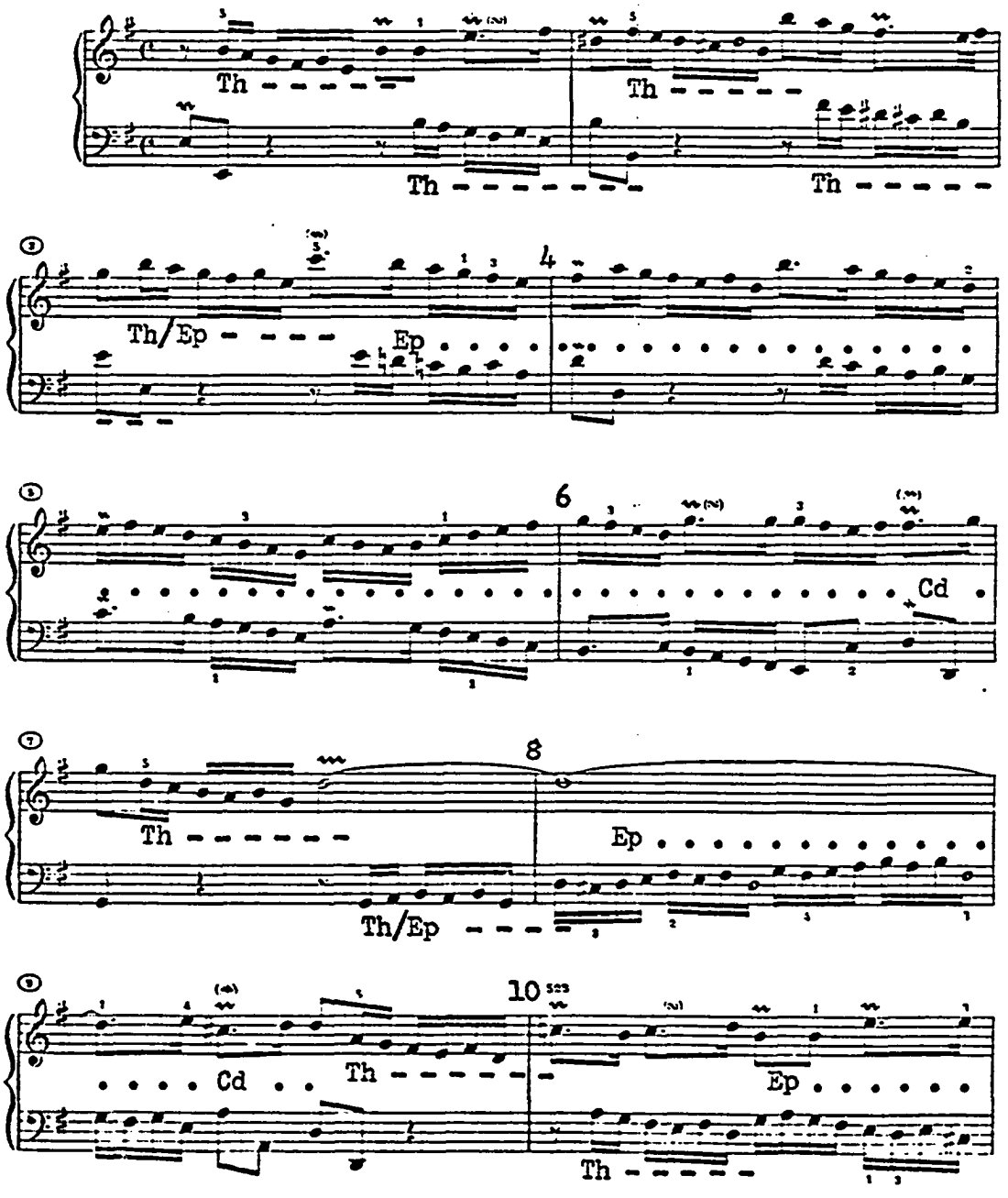
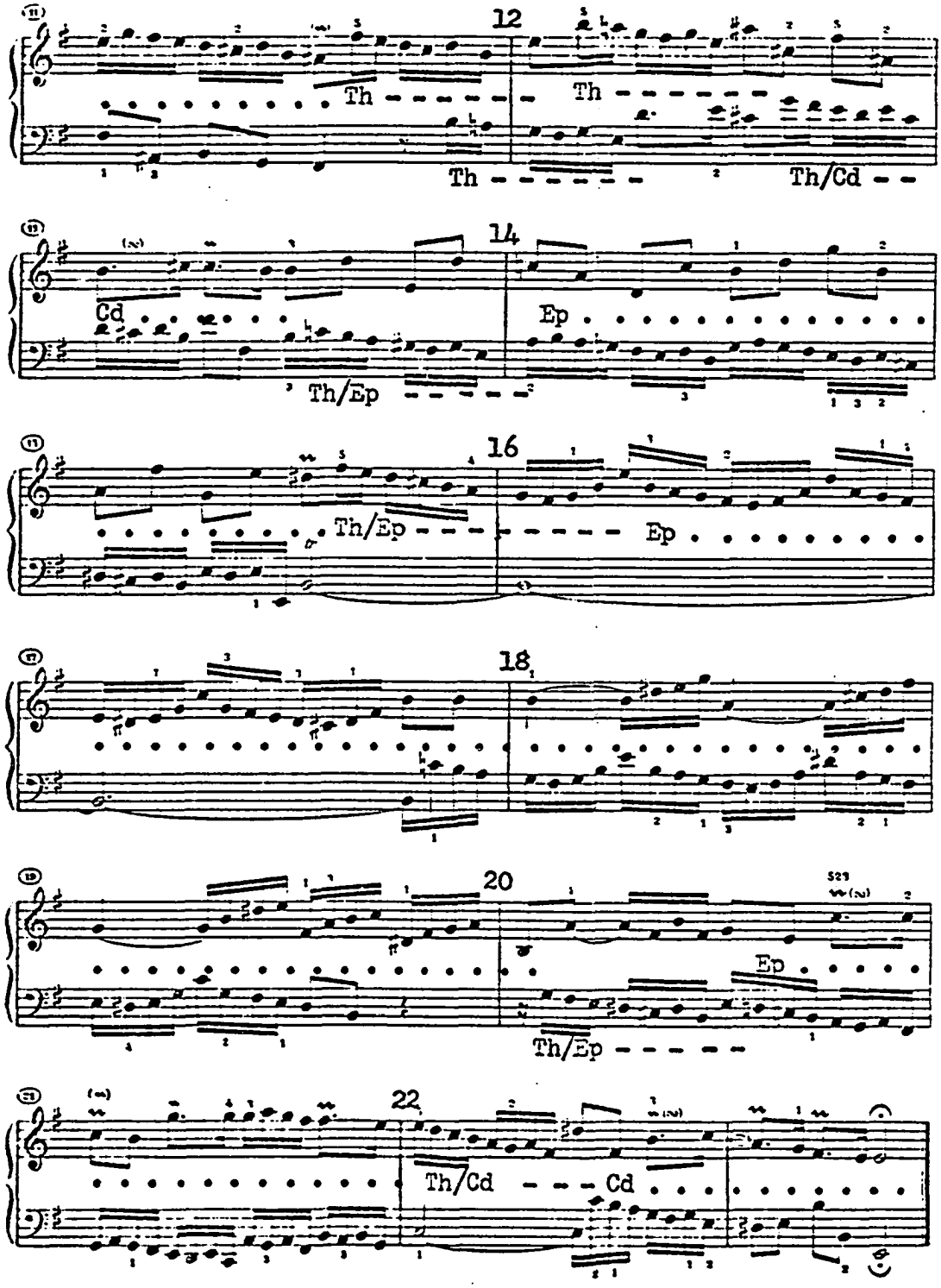
51
Ed
54
60
Cd

INVENTIO 7

BWV 778




12
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14
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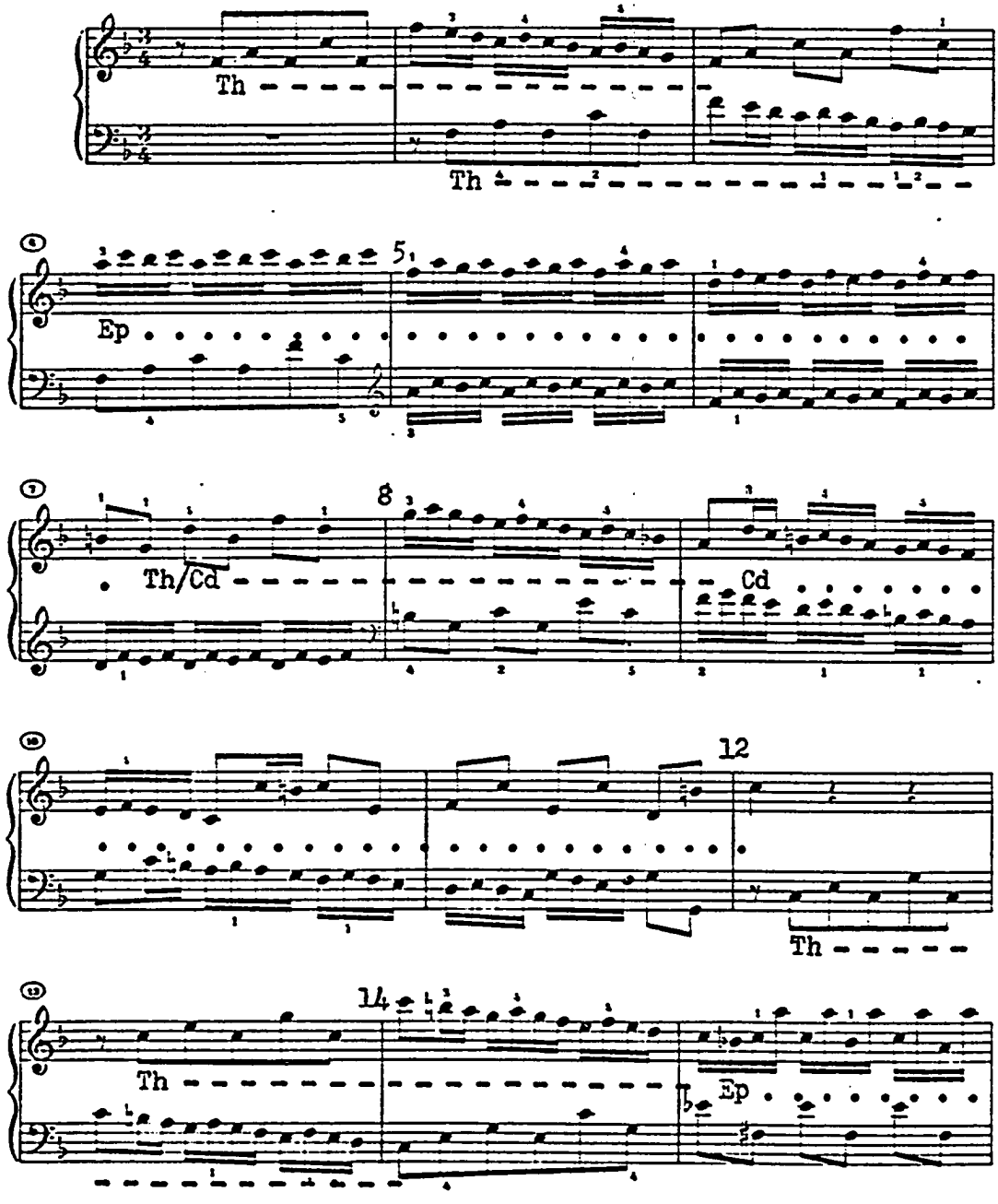
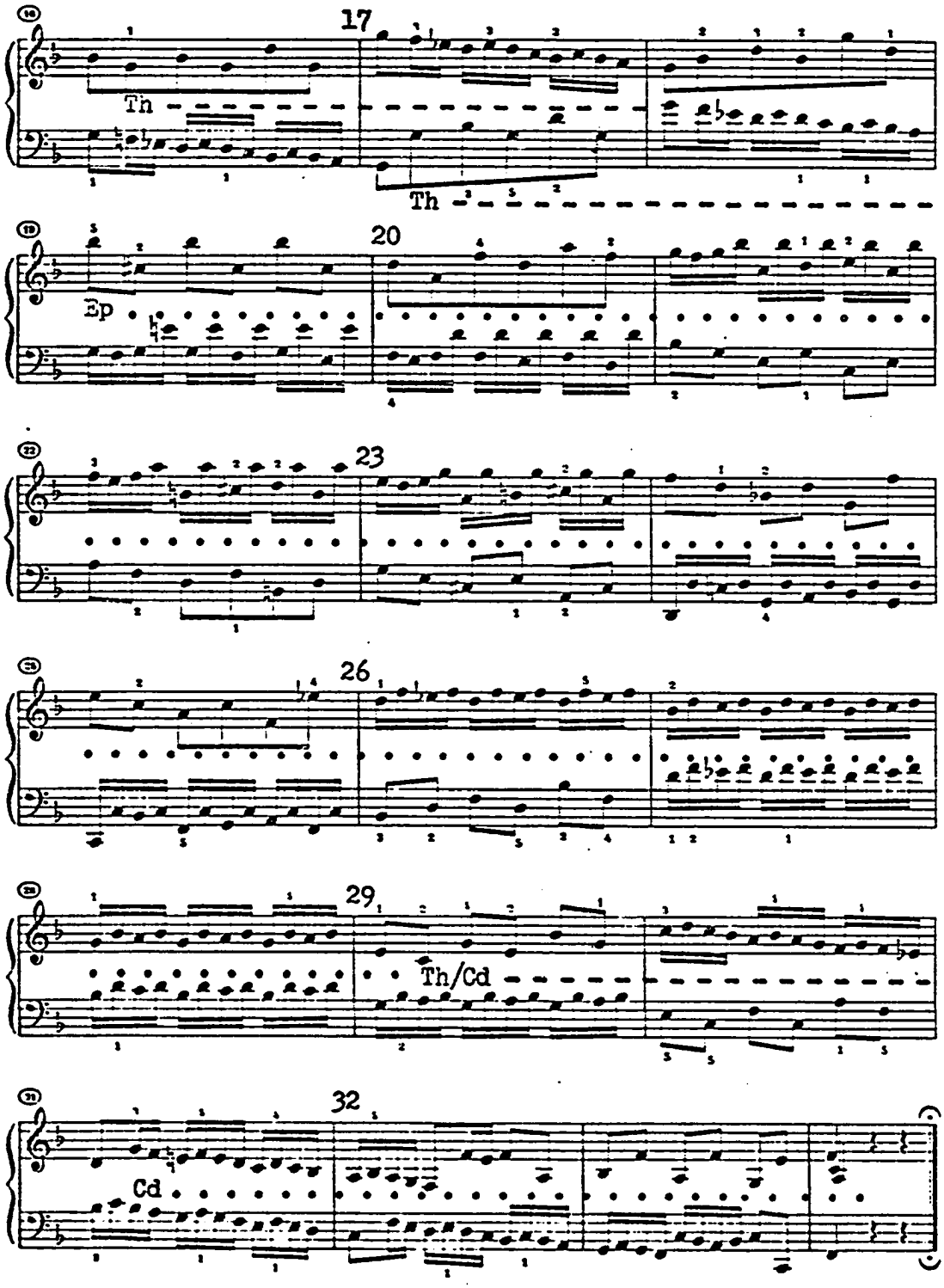
INVENTIO 8

BWV 779

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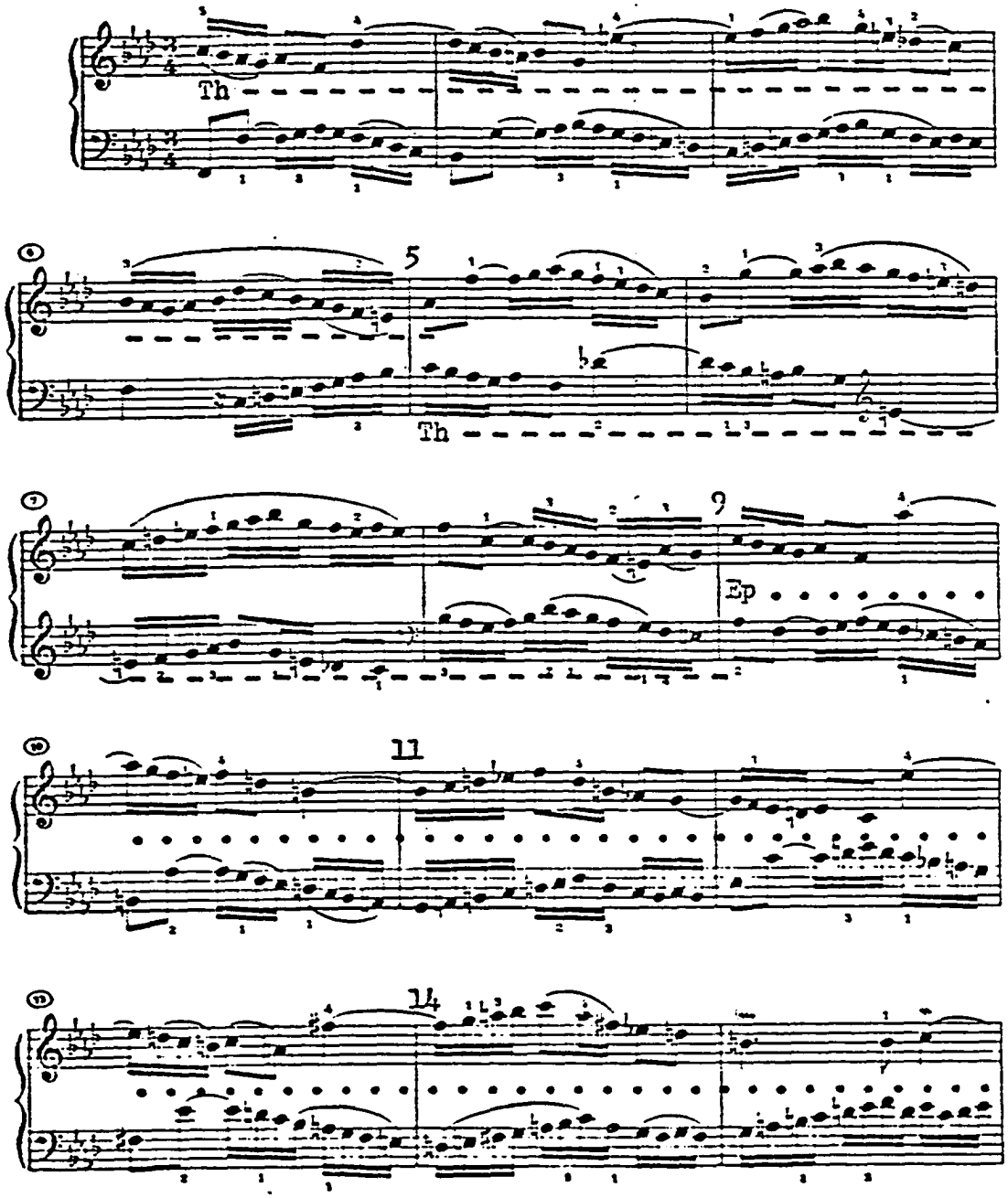
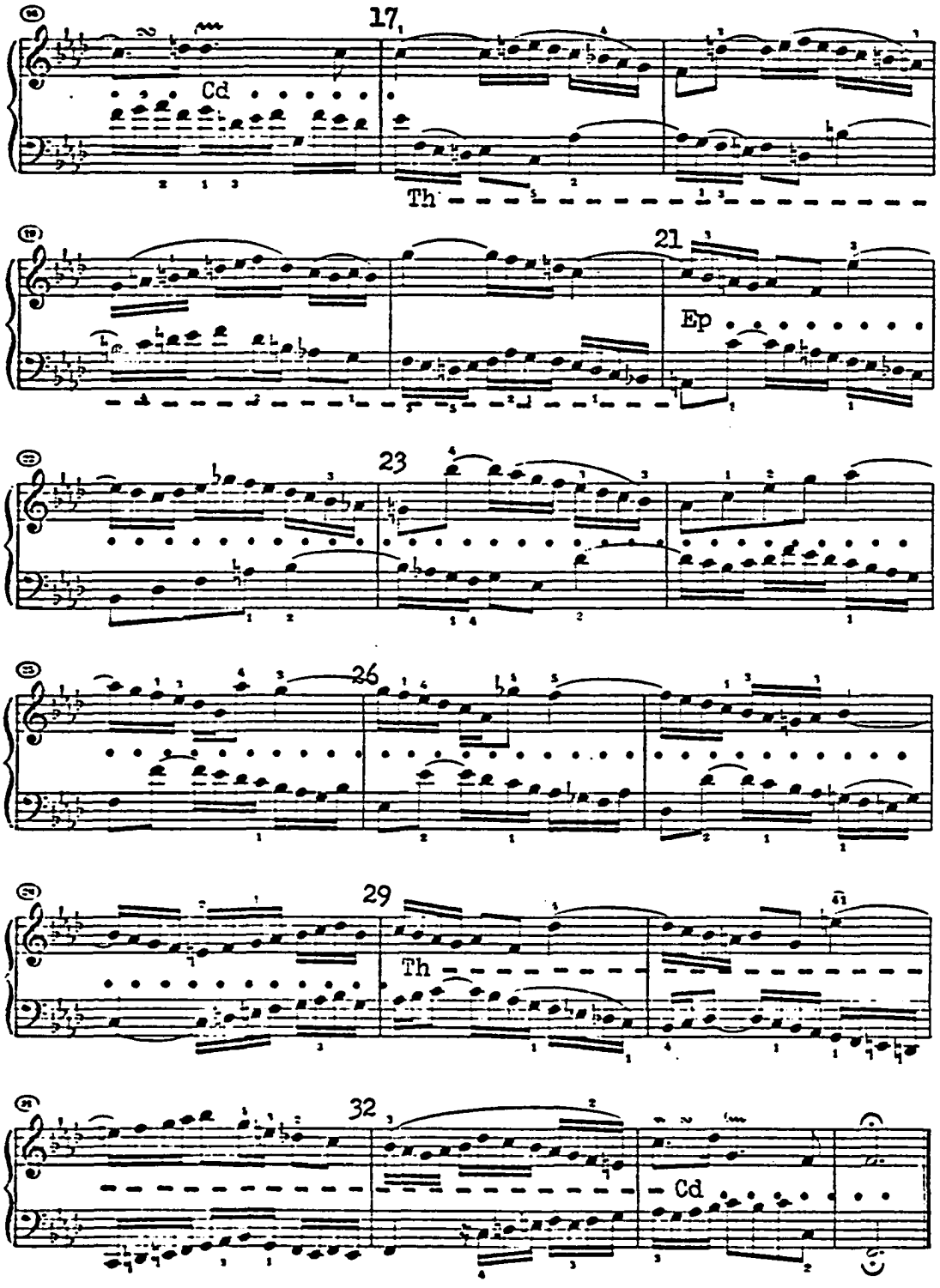
INVENTIO 9

BWV 780




17
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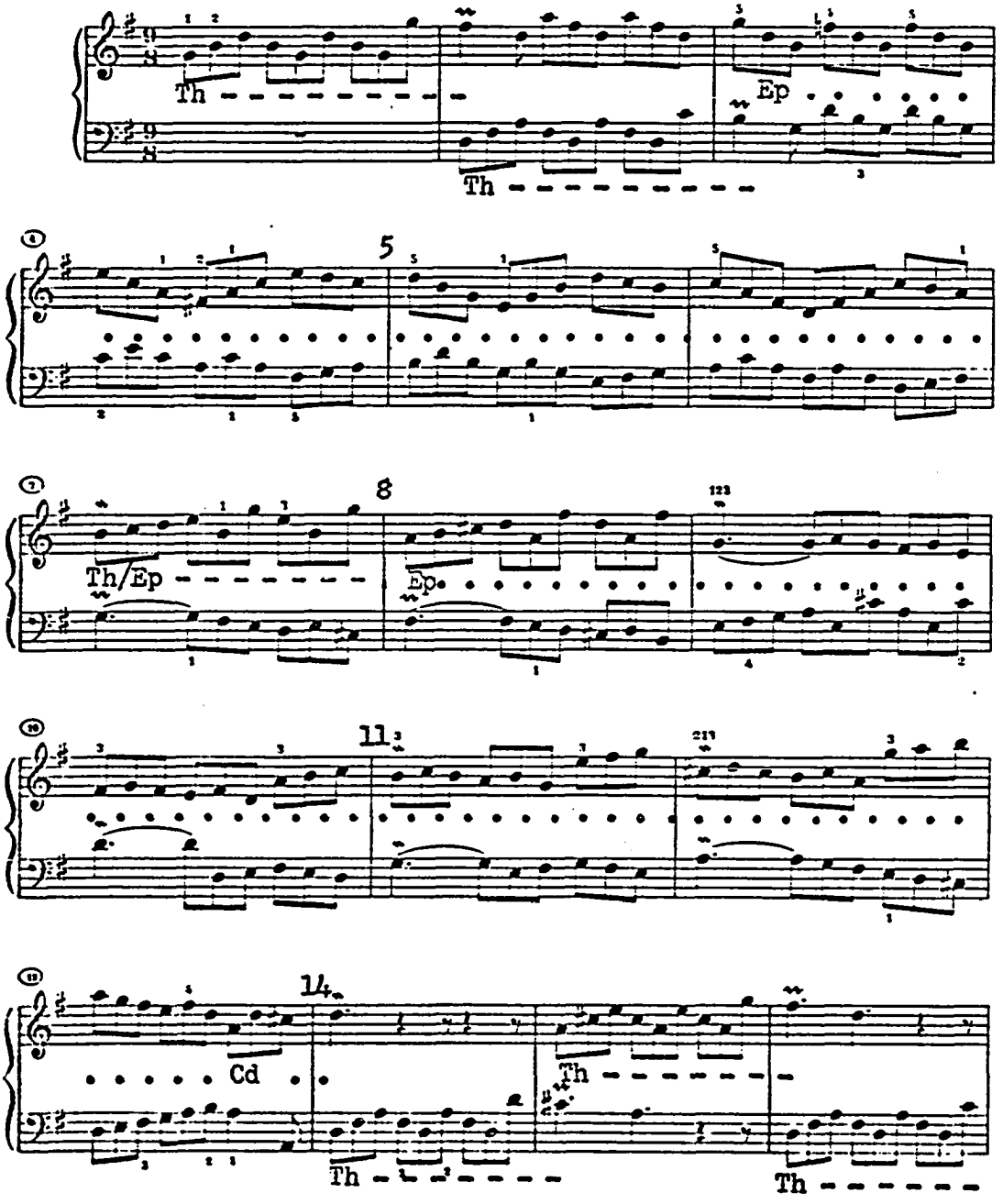
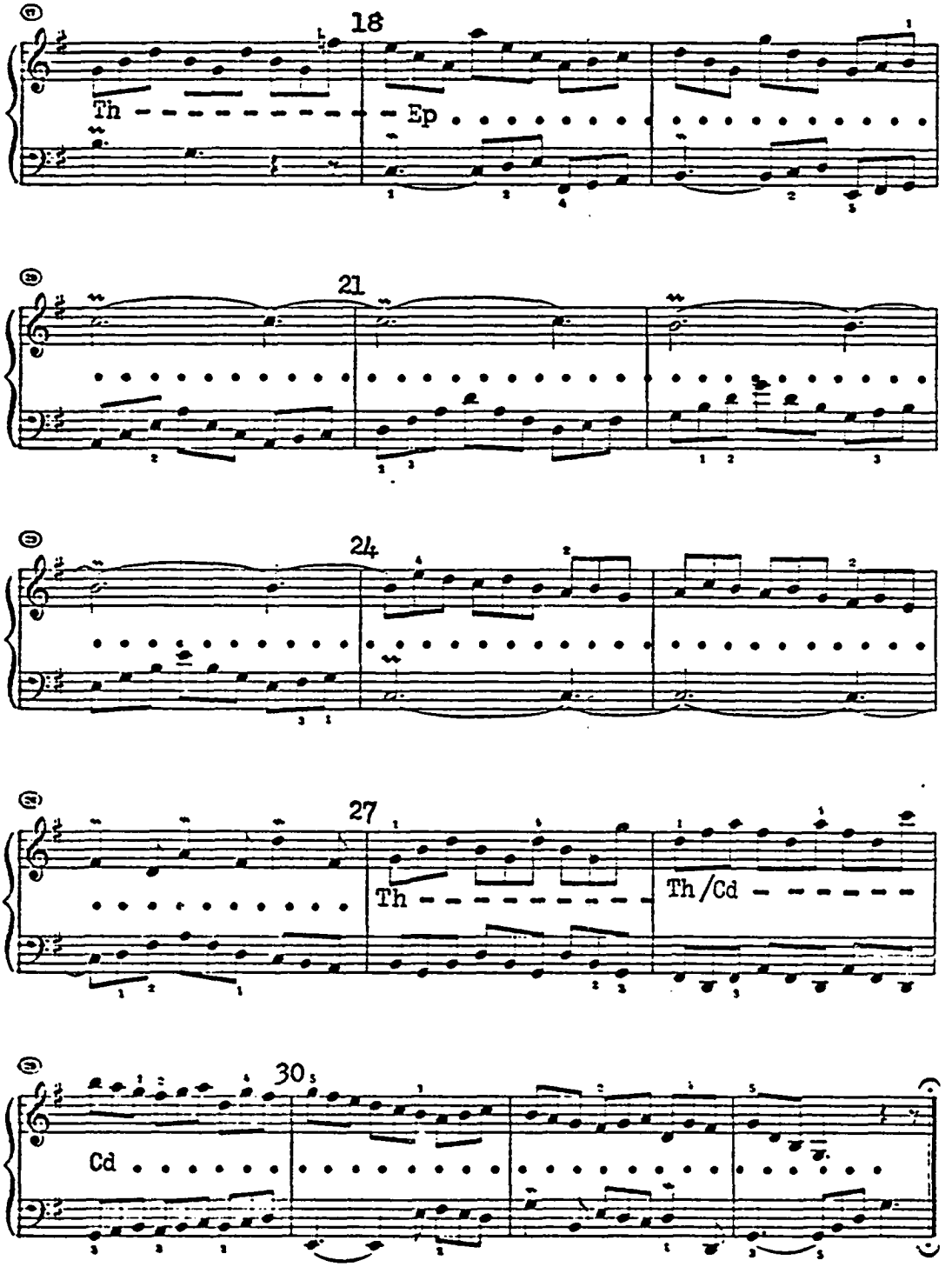
INVENTIO 10

BWV 781

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Th/Cd
30
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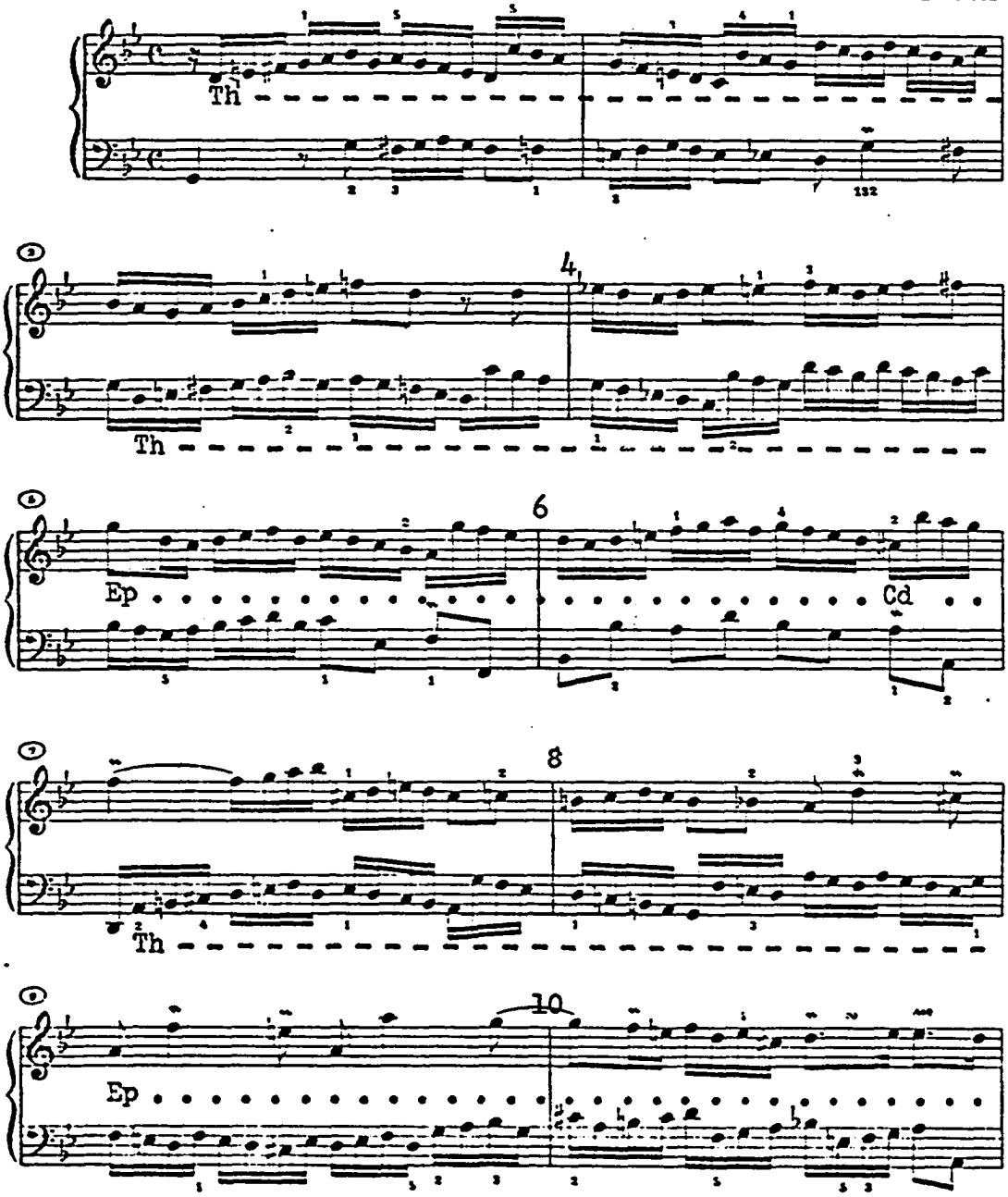
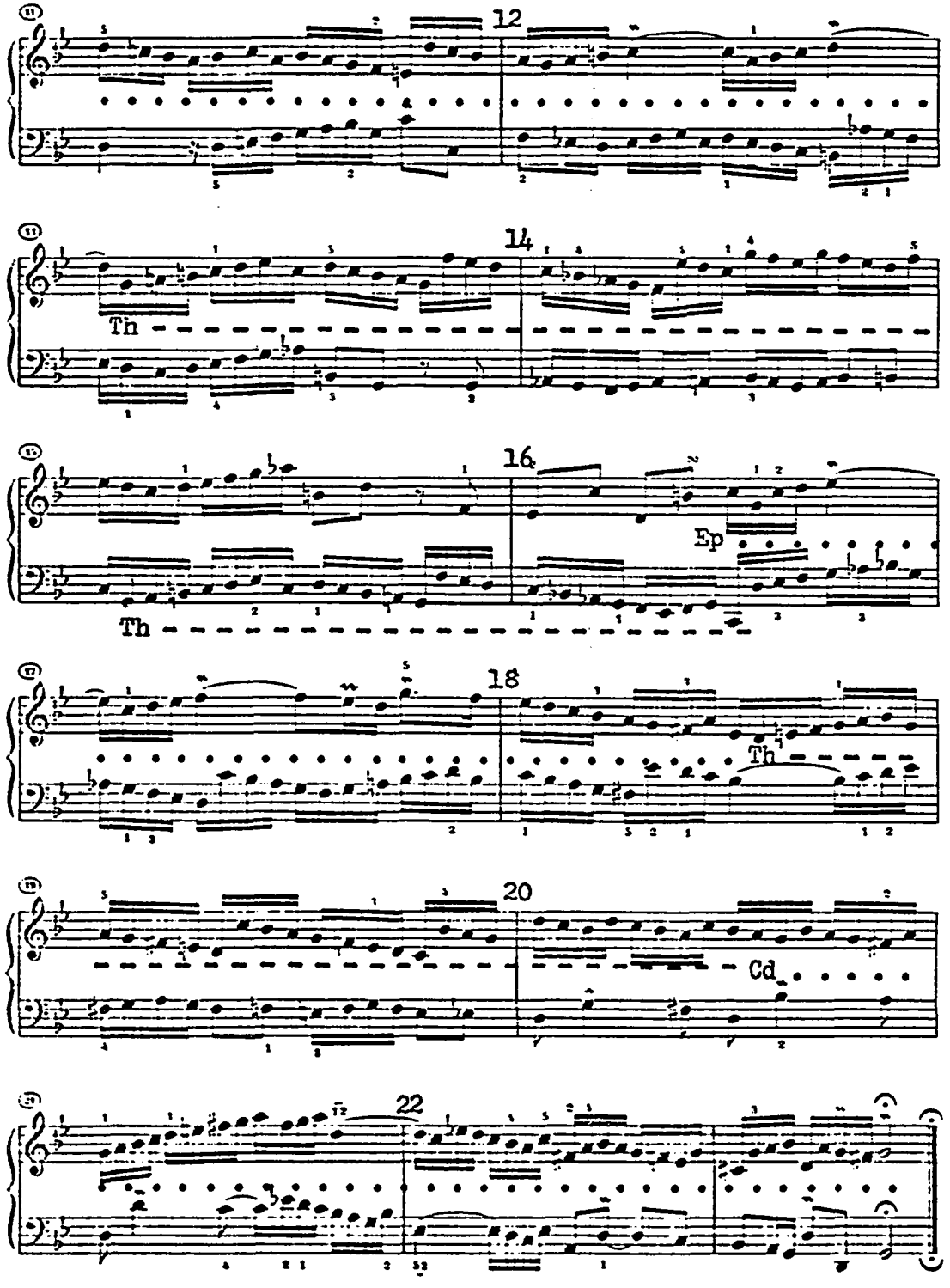
INVENTIO 11

BWV 782

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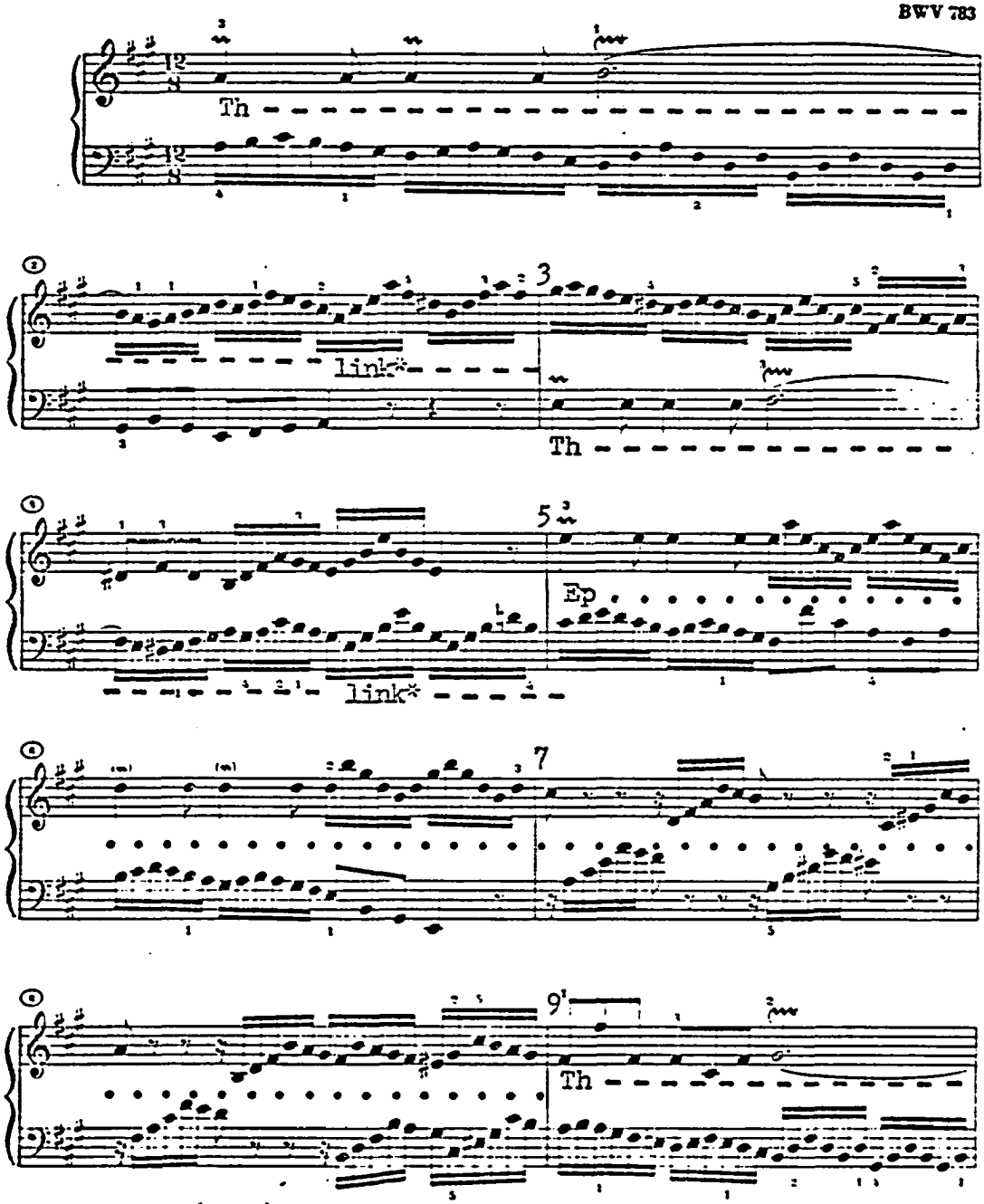
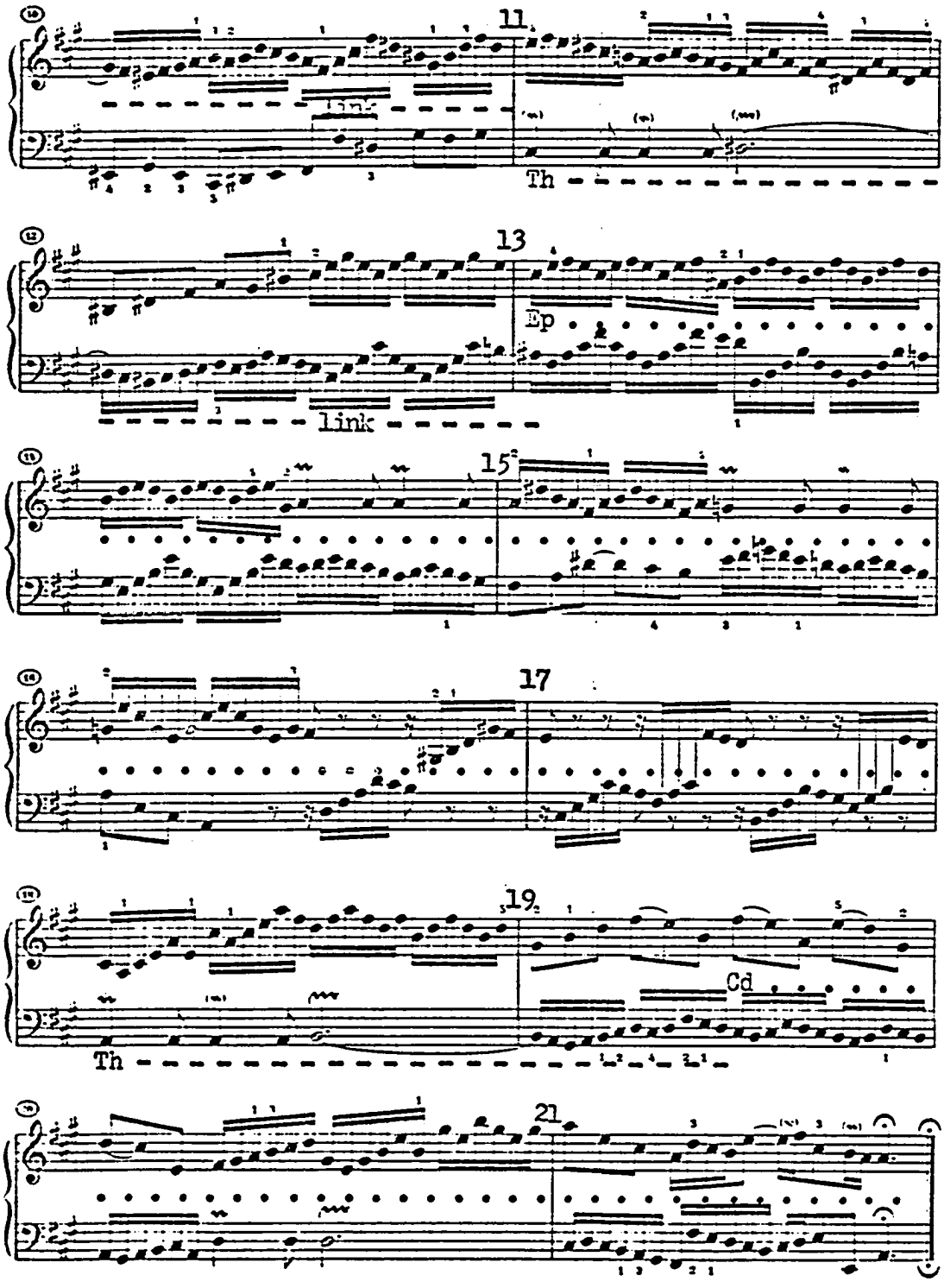
22

INVENTIO 12

BWV 783



* See Kennan (1972), p. 170.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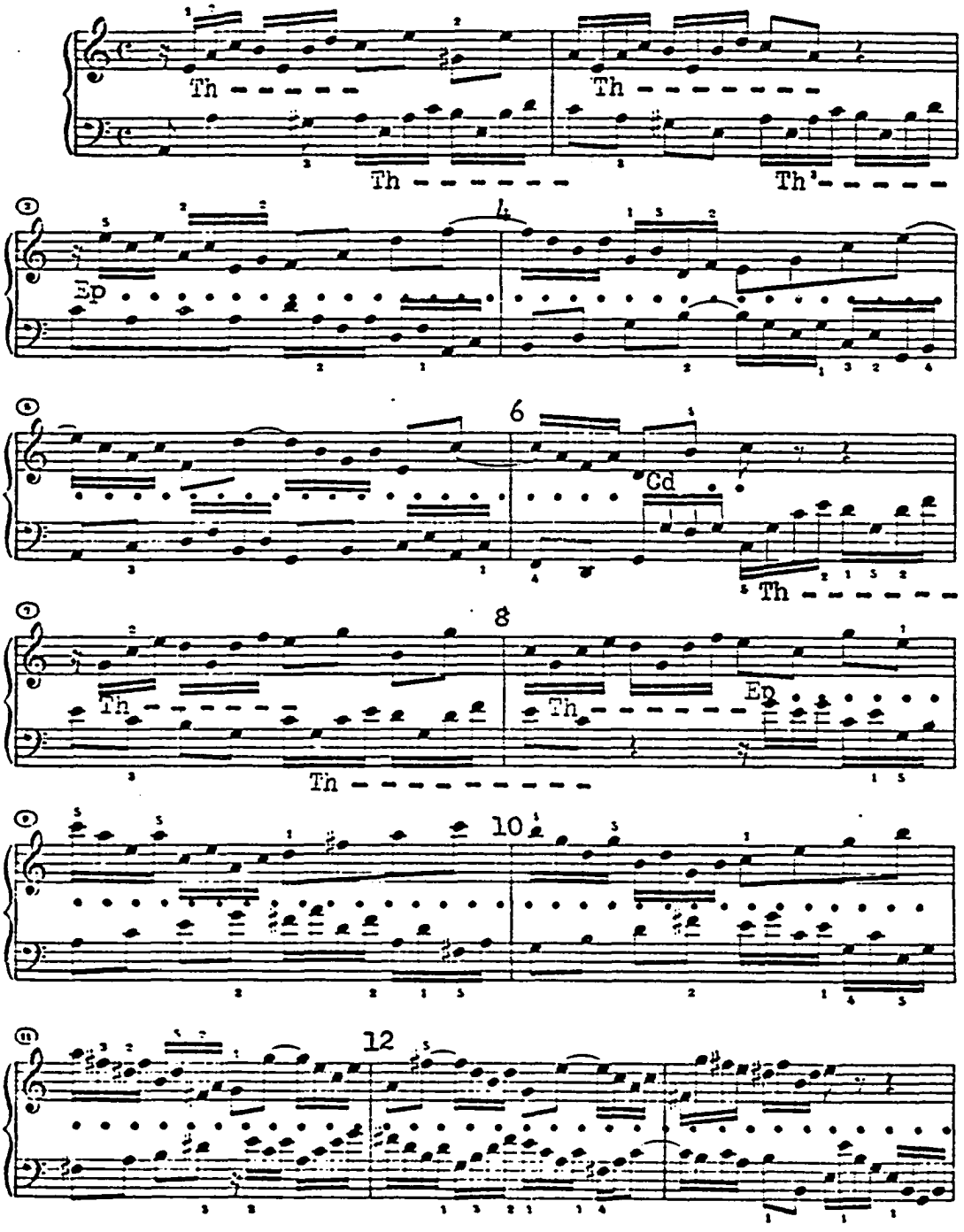
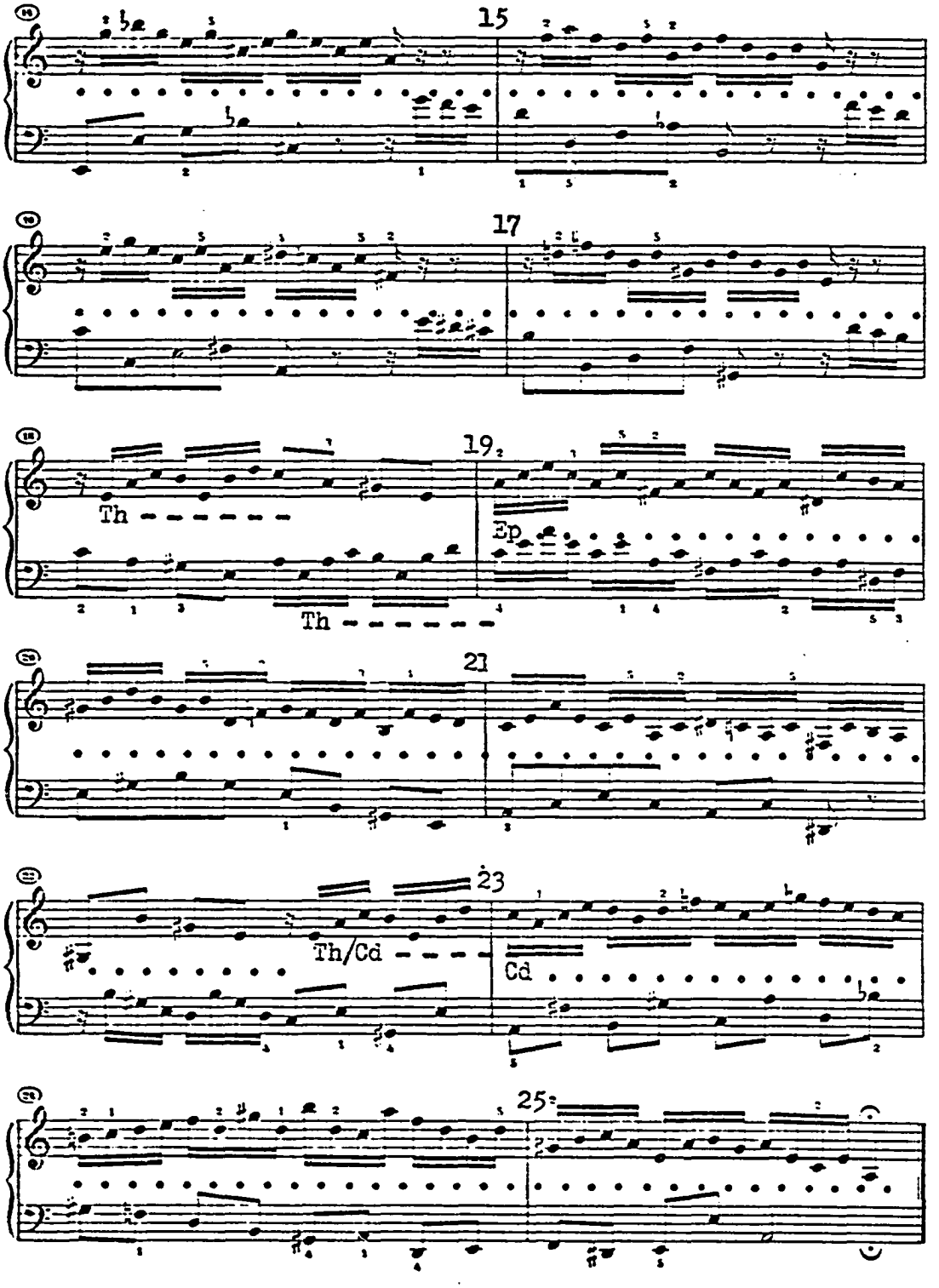
INVENTIO 13

BWV 784




15
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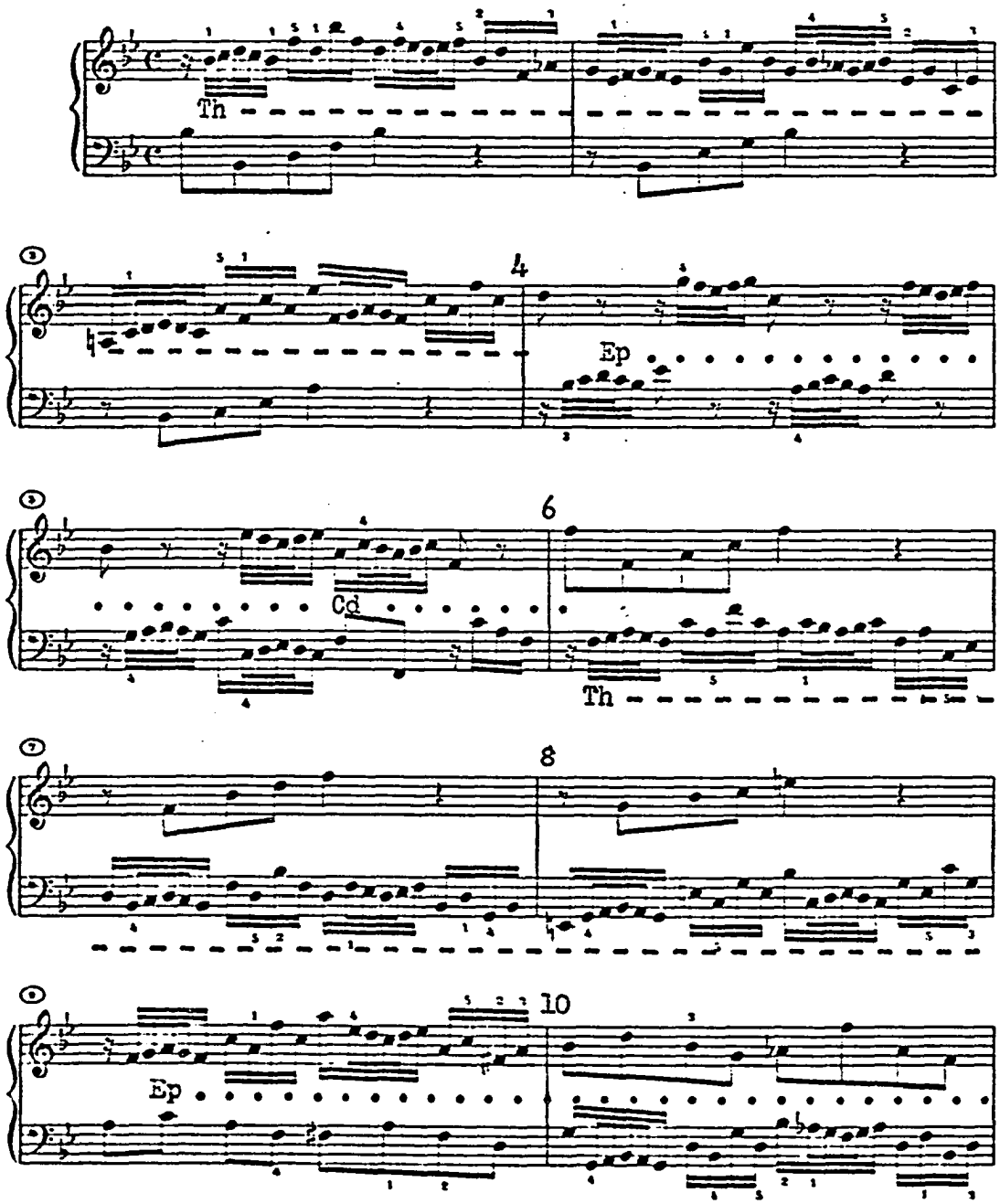
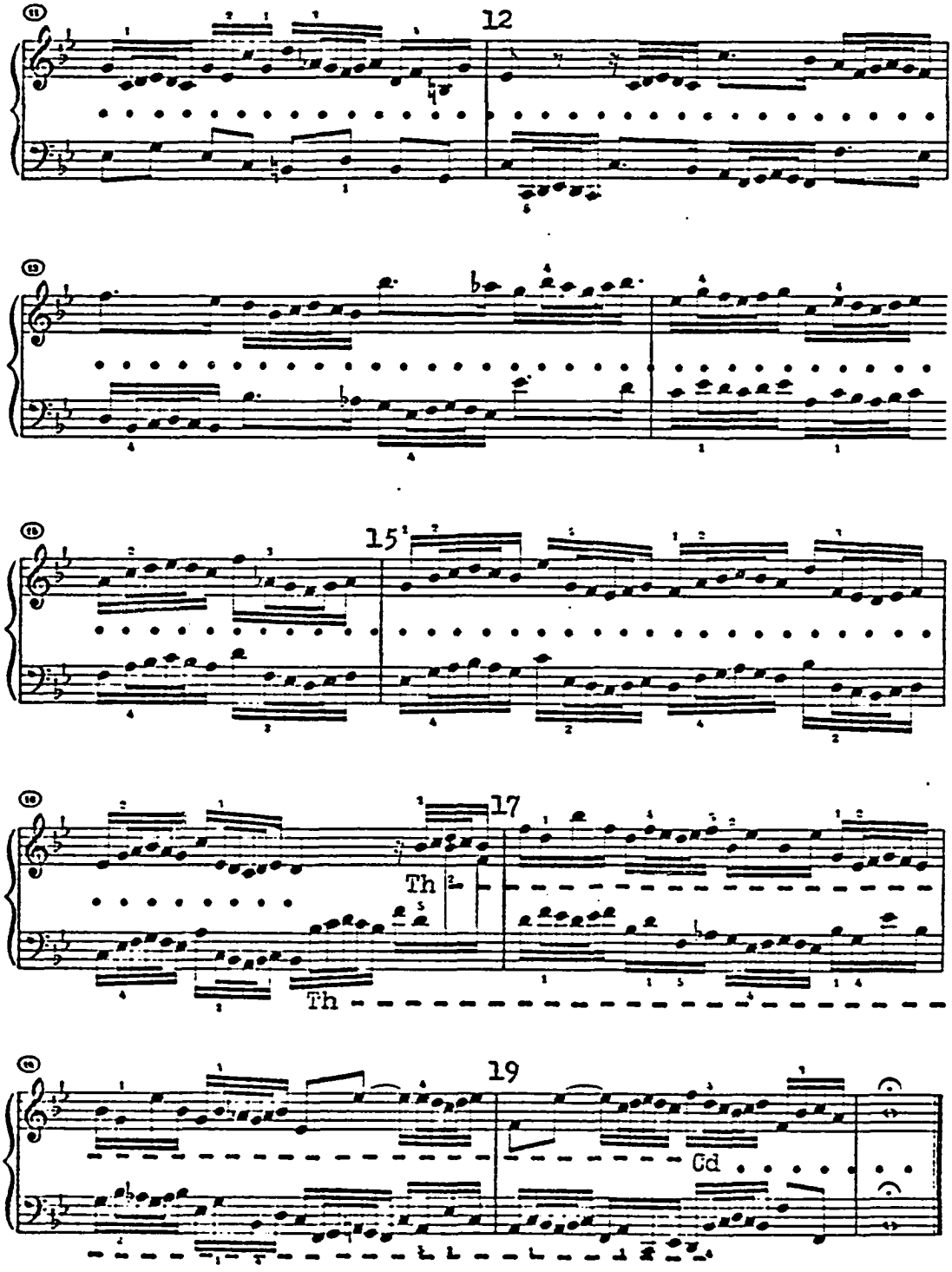
INVENTIO 14

BWV 785




12
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19
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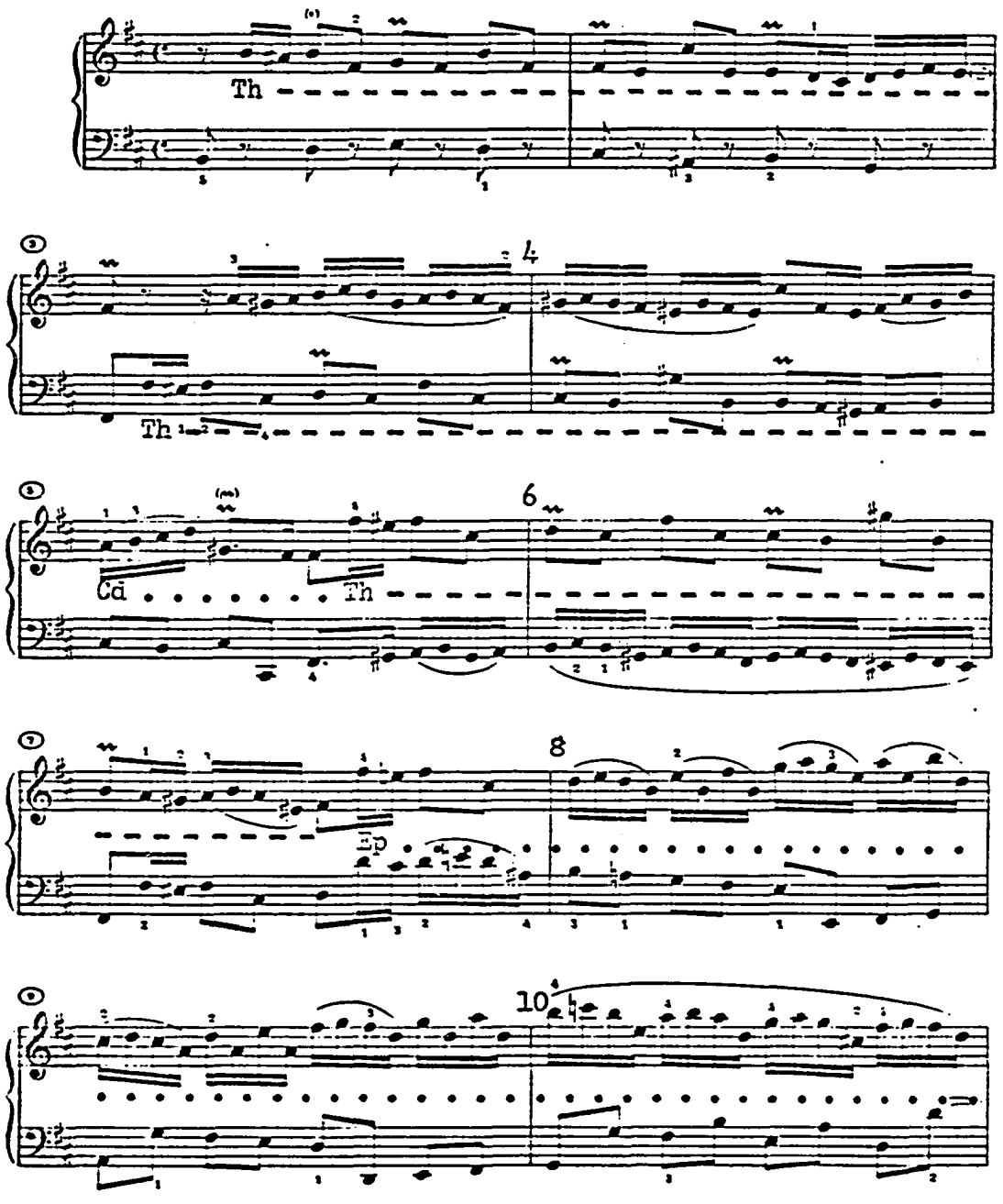
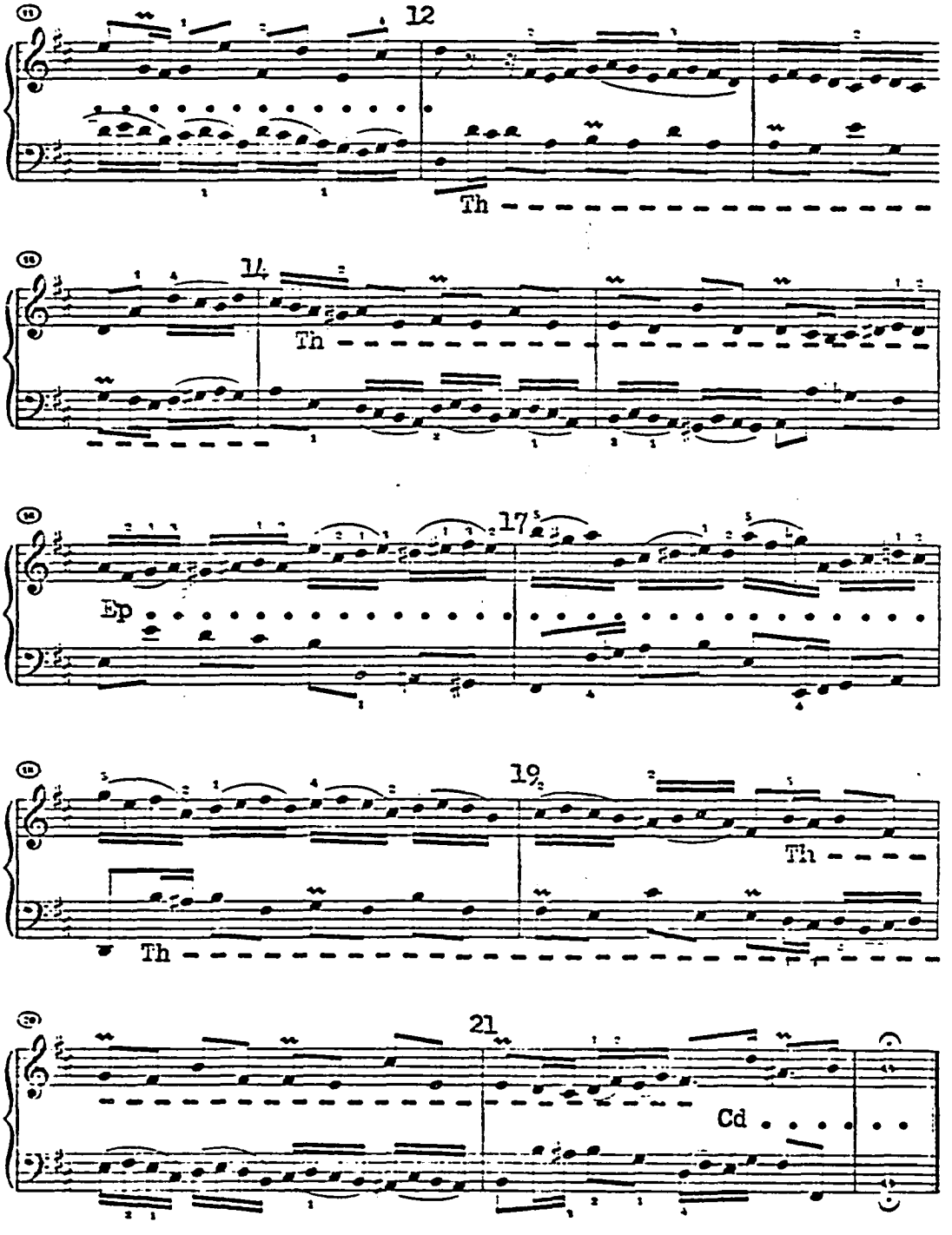
INVENTIO 15

BWV 786

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CHAPTER X

SUMMARY

In analyzing the Bach Two-Part Inventions, analysts have classified passages as either thematic or episodic. However, considerable disagreement exists. Since the extent of a thematic area determines the limits of an episode, the problem of this study is presented in the form of a question: What are the differences in analyses of thematic areas in selected passages of the Bach Two-Part Inventions?

Observation has shown that a given statement of an entire short subject may be classified as thematic by one analyst but episodic by another. Further analysis of the problem revealed three specific questions. The first is concerned with the categorizing and quantifying of subject statements that are included within thematic areas by analysts. The second question deals with differences in thematic analysis of certain statements imitating at the perfect fifth and the perfect fourth. The third question is directed toward the function of the harmony of certain statements which cause disagreement in analysis of

thematic areas.

The problem has been created by the inconsistent application of analytical terms to invention structure, particularly episode and to a lesser degree counterexposition. Therefore, a thorough review of the historical literature which discusses the terms and techniques of application has been presented. These terms include fugue, imitation, exposition, counterexposition, and episode.

Sources from which the data was drawn were limited to counterpoint texts and an analysis of all fifteen Inventions. Three counterpoint texts were found to qualify: Applied Counterpoint (1902) by Percy Goetschius, Counterpoint (1972) by Kent Kennan, and Essentials of Eighteenth-Century Counterpoint (1968) by Neale Mason. Bach in Color: The Two-Part Inventions (1961) by John Thompson also was an investigated source, since it contains an analysis of all fifteen Inventions. The three counterpoint texts limit thematic and episodic analysis to Inventions I, IV, and VII. Therefore, the comparative procedures of the study were limited to these three Inventions. An analysis was projected for portions missing from the text of Goetschius. Missing portions in Kennan and Mason were secured directly from the authors.

While Goetschius was found to include as thematic all statements of the entire short subject, the three

recent analysts excluded many of these statements, thus classifying them as episode. Many reasons were found for these exclusions. However, the one of greatest significance is that of modulation, a very important function of episode in the fugal works of Bach.

At the conclusion of the study, a thematic and episodic analysis of the fifteen Two-Part Inventions by this writer is presented. Of the three categories employed, the first contains those straightforward statements of the subject which serve a primary thematic function. The second category contains those problematic statements of the short subject which, for a variety of reasons, sound as thematic entries but which generate tonal instability and/or a primarily developmental or cadential passage. Incongruence of formal and harmonic structure was found to affect some of these statements. The third category is composed of all other cadential, developmental and/or modulatory material. These more developmental passages are often referred to as episodes. By means of these three categories, recognition is given to the structural function of problematic statements of the short subject within the Two-Part Inventions.

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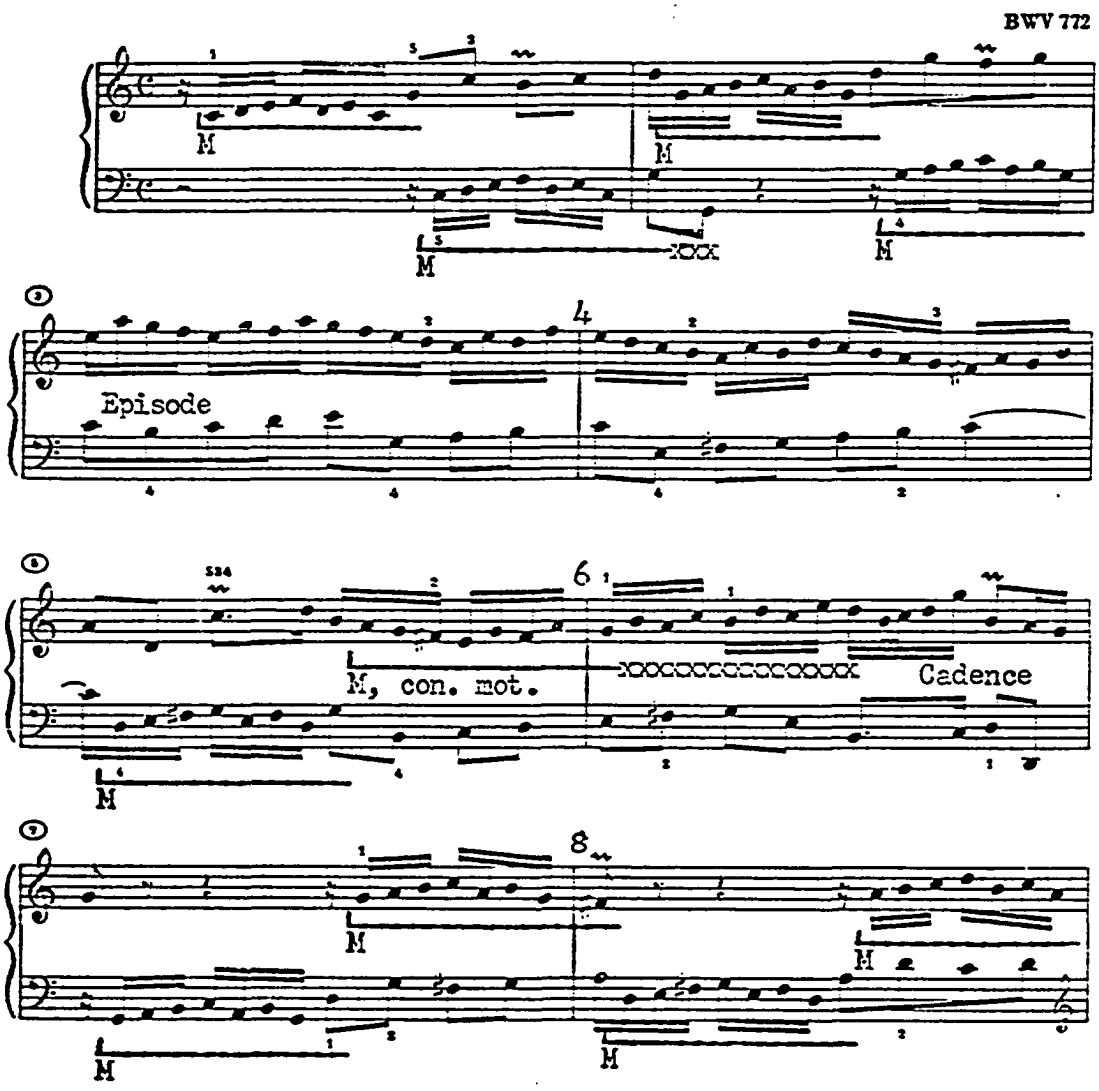
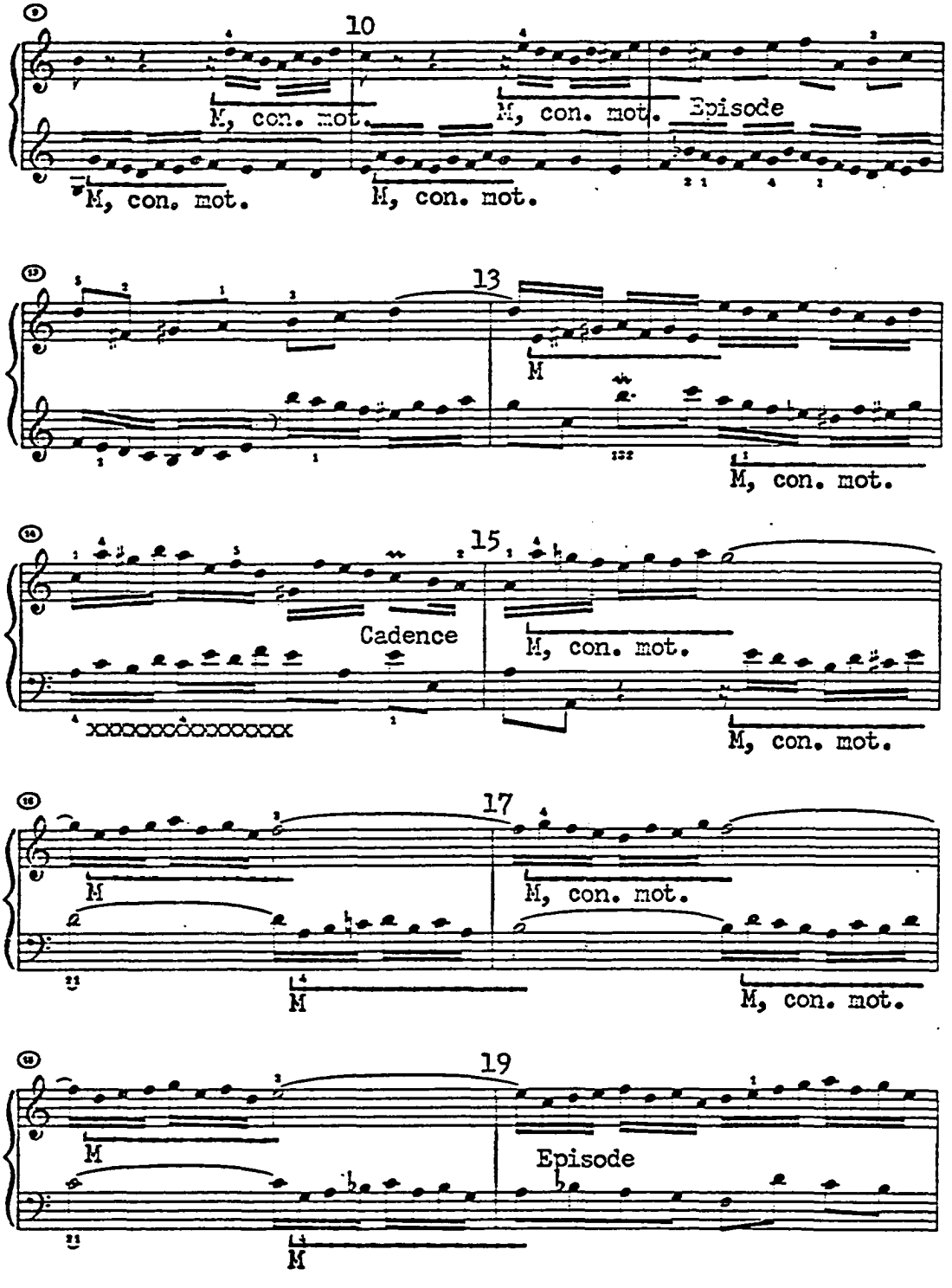
APPENDICES

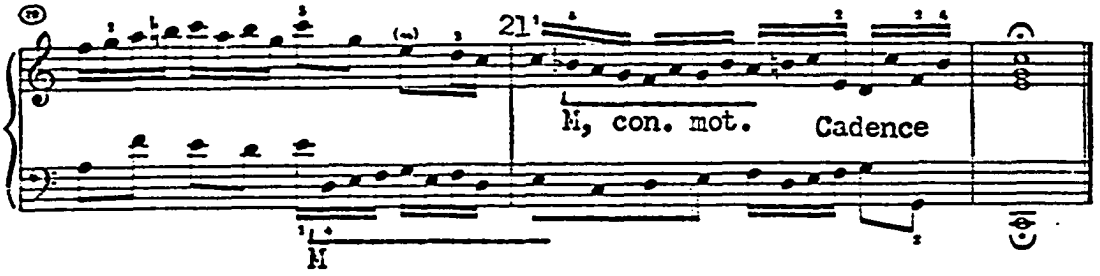
APPENDIX A

ANALYSES AND LETTERS BY KENT KENNAN

INVENTIO 1

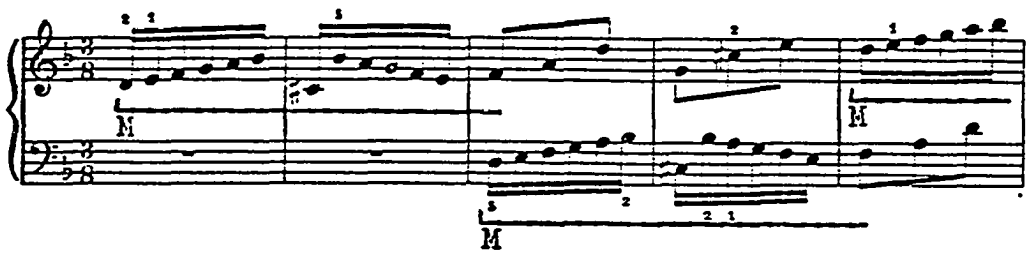


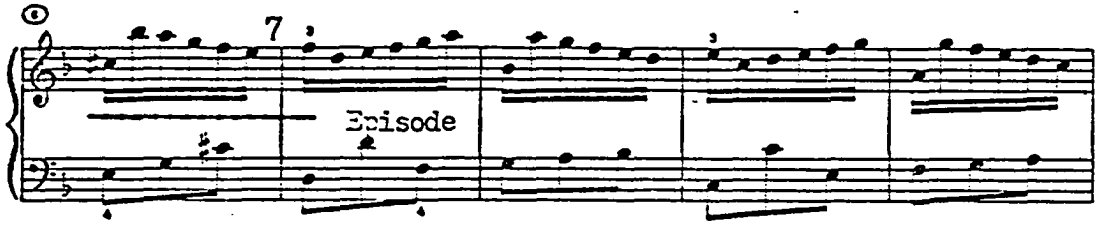

10
M, con. mot.
M, con. mot.
Episode
M, con. mot.
M, con. mot.
13
M
M, con. mot.
15
Cadence
M, con. mot.
M, con. mot.
17
M
M, con. mot.
M
M, con. mot.
19
M
Episode
M

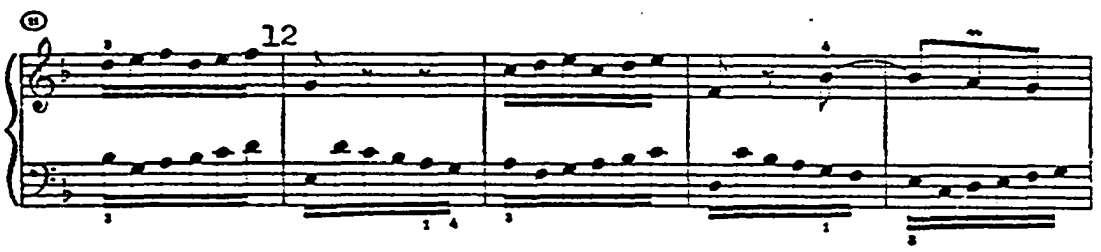


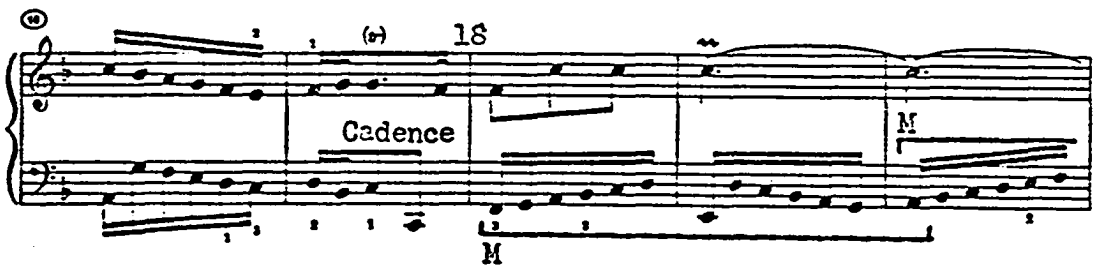
INVENTIO 4

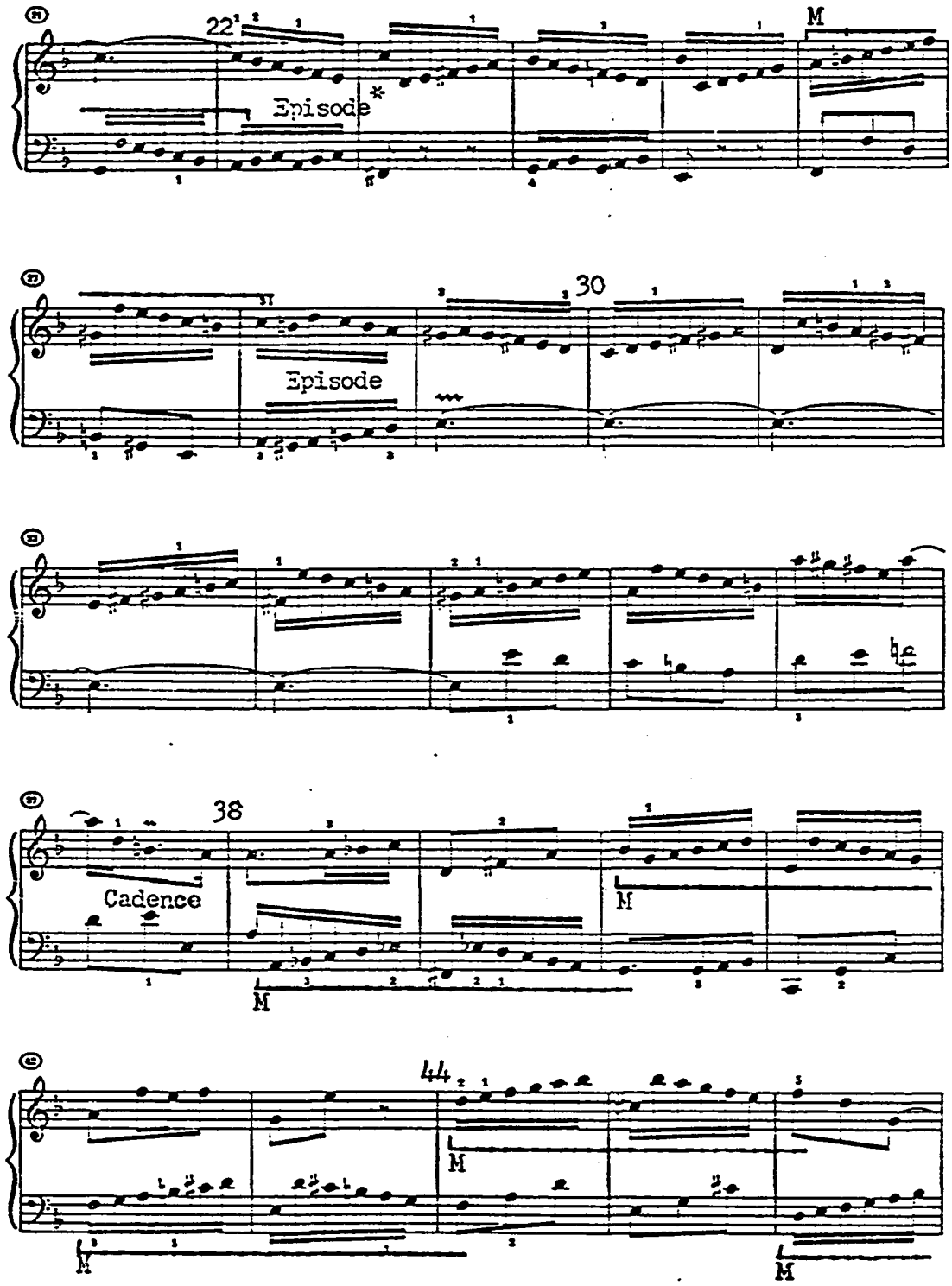
BWV 775



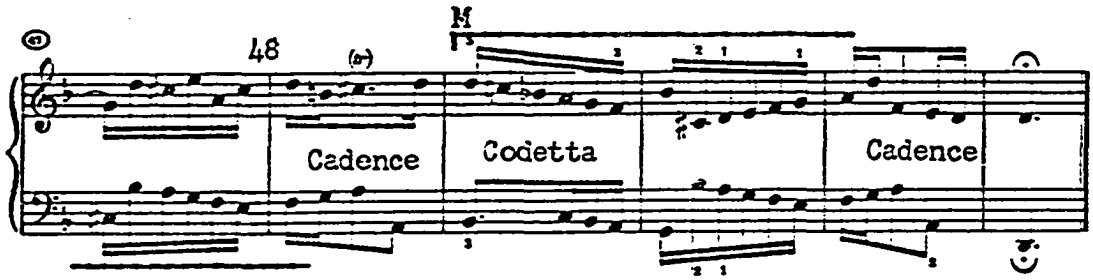








*Measures 22-25 might well be heard, instead, as two consecutive statements of the motive inverted (in the upper voice).



THE UNIVERSITY OF TEXAS AT AUSTIN
THE COLLEGE OF FINE ARTS
AUSTIN, TEXAS 78712

September 1, 1979

Professor T. C. Leckie
9 East Edwards
Edmond, Oklahoma 73034

Dear Professor Leckie:

Thank you for your good letter following your visit here and for the more recent one with the music enclosed. I have added a few analytical notations to those already in the inventions, and some alternative analyses are mentioned in the last portion of this letter.

Your project caused me to think at greater length than I ever had before about terminology in inventions. I have come to the conclusion that a clear-cut distinction between statements and episodes (so easily made in most fugues) is simply impossible in the case of some of the Bach inventions, especially the two you sent. The vexing question seems to be: if the entire motive appears two or three times in the same voice in sequential fashion, does this make the passage an episode? We are so used to associating sequence with episodes in fugues that one's first impulse is probably to say "yes" to that question. Yet if that approach is used in analyzing No. 4, the invention turns out to be almost entirely episode, which doesn't seem to make sense. Might it be safer just to label such places as consecutive appearances of the motive and to point out, in passing, that the sequential character may

suggest an episode function to some ears? I think I would now advocate that, specifically as applied to measures 3-5 in No. 1 and measures 7-16 in No. 4, for example.

If one attempts to clarify the situation by saying that statements have an expositional feeling, episodes a developmental one, that still doesn't solve the problem, since there is room for differences in subjective judgments as to what is developmental. For example, is contrary motion (as in No. 1) developmental per se? In some cases certain musical factors seem to suggest one analysis while other factors point in the other direction. An example of this sort of situation occurs in No. 4 at measures 18-21. After the highly sequential preceding part followed by a strong cadence, we tend to expect a straightforward statement at measure 18 and almost certainly hear measures 18 and 19 that way as they go by; yet the ensuing sequence in measures 20 and 21 (coupled with the continuing trill in the upper voice) may make us decide in retrospect that this was really episodic. And the parallel passage, at measures 29-33, seems to fall more clearly on the episodic side because of the "unsettled" feeling given by the trill on the dominant in the left hand.

I don't mean to suggest ruling out the use of the term "episode" in analyzing inventions, since there are too many passages that clearly fall into that category (No. 12, measures 5-8, for example, or No. 7, the last half of measure 13 to measure 19).

Doesn't the problem arise, then, because we attempt to use fugal terminology consistently, whereas inventions, with their generally shorter subjects (motives) and freer construction, often set up musical situations in which that terminology is not pertinent?

I hope I haven't merely muddied the waters. As a result of being forced to think more about these points, I may add at least a footnote in the counterpoint book concerning the passages I've labeled episodes in the invention analyses.

I enjoyed very much meeting you and Mrs. Leckie. My best regards to you both.

Sincerely,

Kent Kennan

Kent Kennan

October 21, 1979

Professor T.C. Leckie
9 East Edwards Street
Edmond, Oklahoma 73034

Dear Professor Leckie:

The invention analyses seem satisfactory to me, though in the D minor one I have added an asterisk (measure 22) and a footnote concerning an alternative way of hearing measures 22-25. You are free to include the analyses in the appendix of your paper if you wish.

As I indicated in my last letter, I have come to feel more and more that the distinction between announcements and episodes normally so clear-cut in fugues simply does not carry over in certain of the Inventions, in part because of the brevity of the main motive in most of them. Thus there are places where all one can say with assurance is that the passage in question involves a characteristic of the typical episode (e.g., it modulates or uses sequential treatment). Where no modulation occurs but sequence does, it seems to me one must make allowance for the possibility of hearing two consecutive statements of the motive. Since that is the situation in measures 22-25 of the D minor, I have indicated that possibility in the footnote. I side slightly with the "episode" analysis because we have heard the left hand material earlier (measures 11-14) in a passage I labeled as episode. If you should think it appropriate, you might include a small portion of my last letter or of this as an addendum to the example, to explain my increasing conviction that fugal terms cannot always be applied to inventions in black-and-white fashion.

My thanks to Professor Platt and to yourself for your letters expressing appreciation for my contribution (obviously a very small one) to your paper. I've welcomed the chance to explore the questions you raised, and doing so has helped to clarify some points in my own mind.

I hope you will forgive my going back over some of the same ground I covered in my last letter. Having failed to keep a copy of that, I'm not sure exactly what I said, and I suspect that I'm guilty of some repetition here.

Sincerely,

Kent Kennan

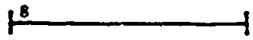
Kent Kennan
Professor of Music

APPENDIX B

ANALYSES BY NEALE MASON

Symbols[1]

A system of symbols will denote thematic relationships:

a)  – Motive in exposition (or any clearly defined statement of the motive). Use number of scale step at beginning of symbol to show where it starts.

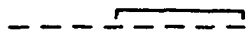
b) xxxxxxxxxxxxxxxxx – Countermotive or counterpoint.

c) ////////////////// – Accompanying figure (in exposition only).

d) – – – – – – – – – – – Episodic material derived from the motive.

(1) inv. – – – – – – By inversion.

e) oooooooooooooooo – Episodic material derived from the countermotive.

f)  – Sequence indicated by brackets over symbol denoting derivation. Bracket to cover amount of material in sequence.

g)  – Free material (not obviously derived).

h)  – Pedal point. Number indicates scale step used as pedal point.

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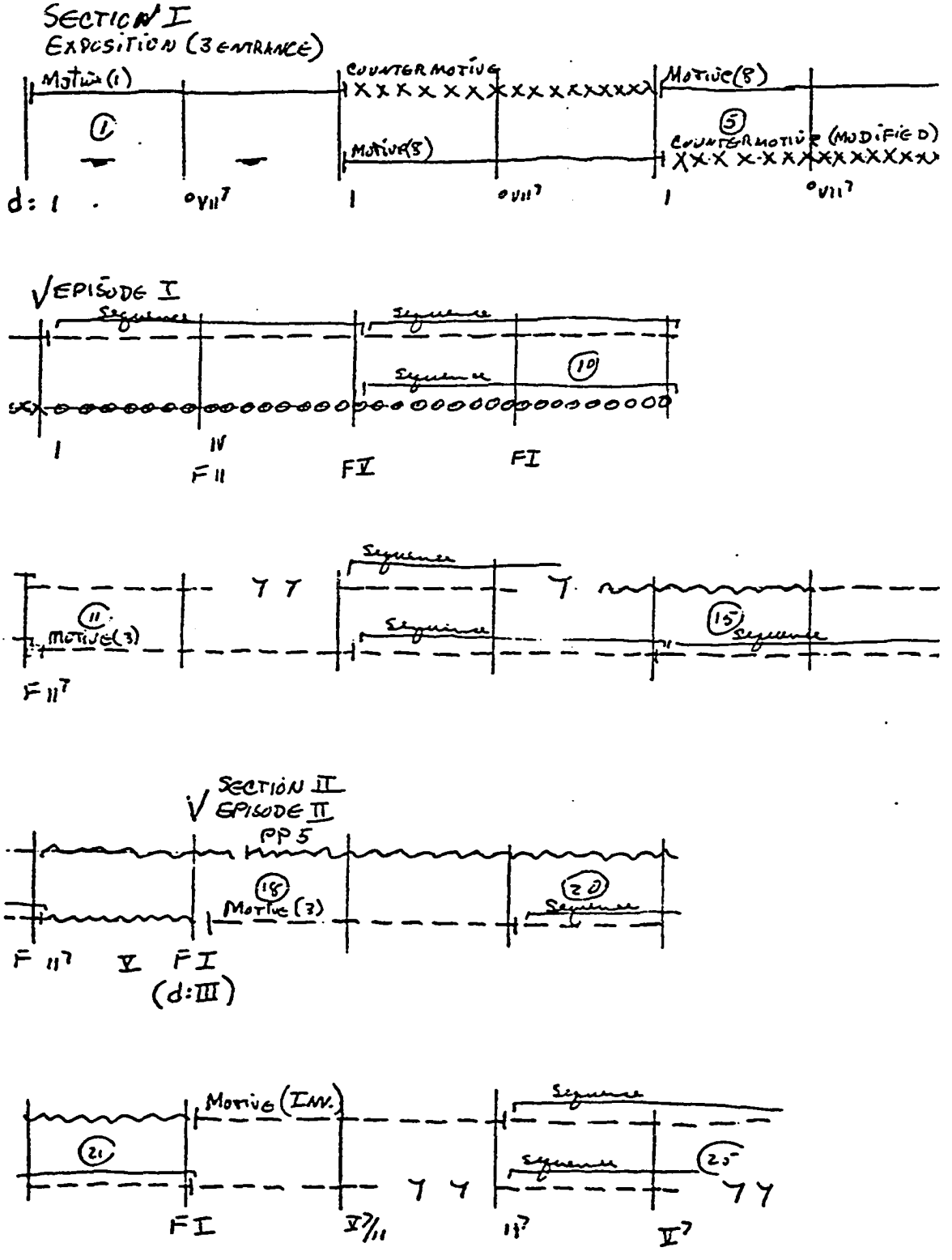
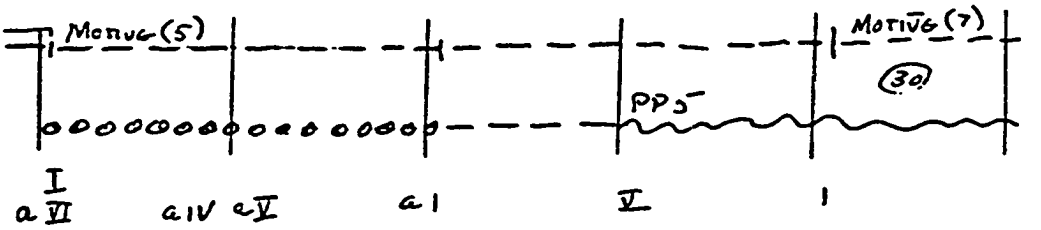
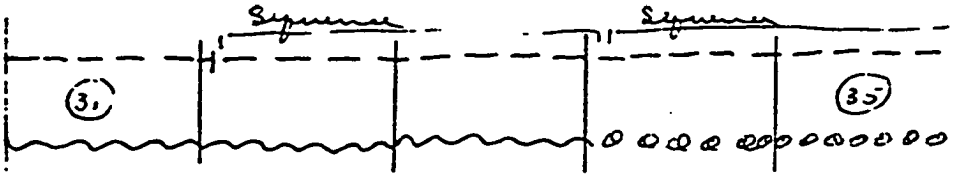
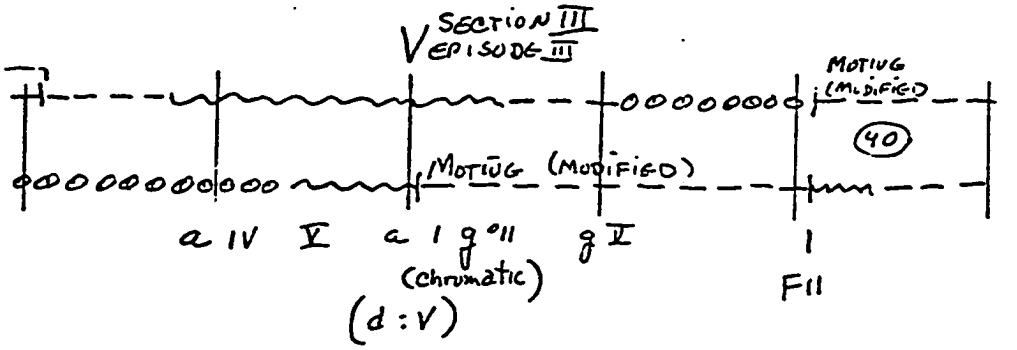
[1]The given symbols appear in the text by Mason, p. 73.

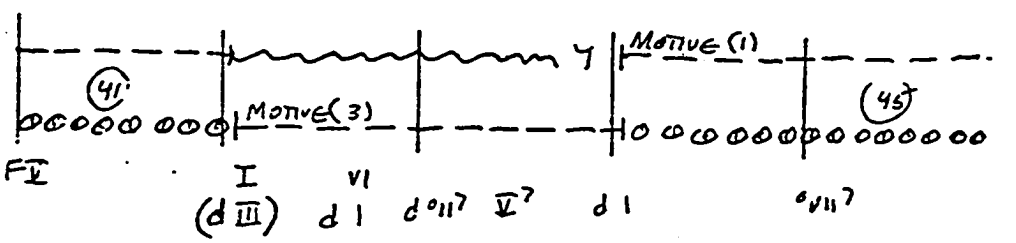
Invention 4

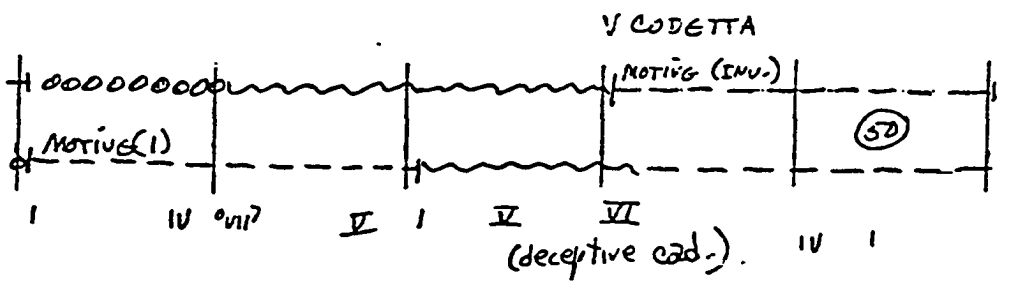

SECTION I
EXPOSITION (3 ENTRANCE)
Motive (1)
COUNTERMOTIVE
Motive (8)
Motive (8)
COUNTERMOTIVE (MODIFIED)
d: I
EPISODE I
Sequence
Sequence
Sequence
I
IV
F II
F V
F I
Sequence
Sequence
Sequence
Motive (3)
F II7
SECTION II
EPISODE II
PP 5
Motive (3)
Sequence
F II7
V
F I
(d: III)
Motive (INV.)
Sequence
Sequence
F I
V7/II
II7
V7

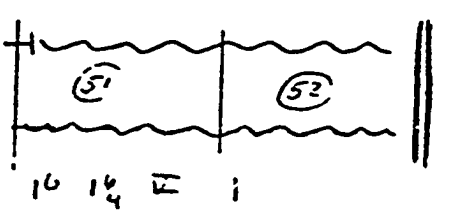

Motive (5)
Motive (7)
30
pp
I
a VI
a IV
a V
a I
V
I


Sigmas
Sigmas
31
35


V
SECTION III
EPISODE III
Motive (Modified)
40
Motive (Modified)
a IV V a I g°11 g V
(chromatic)
I
F11
(d: V)


41
Motive (3)
Motive (1)
45
F V
I
VI
(d III) d I d°11 V7 d I °VII7

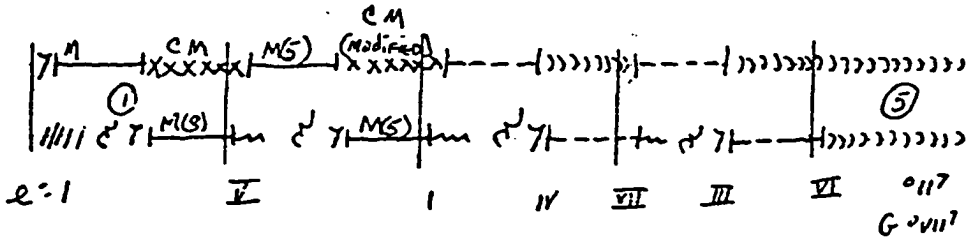

V CODETTA
Motive (Inv.)
Motive (1)
50
I IV °VII7 V I V VI
(deceptive cad.) IV I


51
52
I6 I6/4 V I

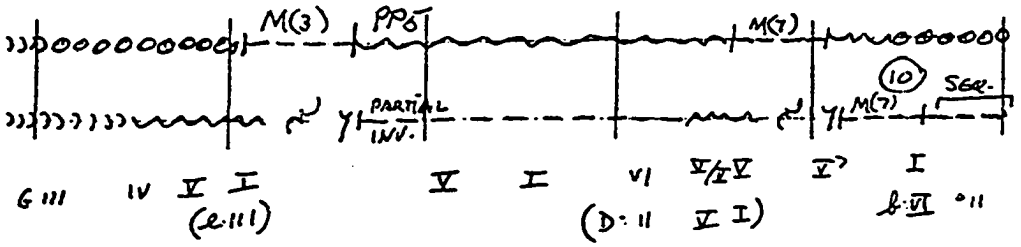
Invention 7

SECTION I

EXPOSITION (4 ENTRANCE) V EPISODE I



V SECTION II
EPISODE II



V SECTION III
EPISODE III

