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Don O. Franklin:

ARTICULATION IN THE CEMBALO WORKS OF J.S. BACH:  
A Notational Study

The focus of performance practice studies within the last two decades has shifted away from the broadly-based concerns of the 1950s and 1960s - i.e. with describing and documenting a general set of performance conventions for each historical era - to a detailed examination of the specific conventions, performing techniques, and instruments appropriate to a single composer or style. The publications of the 1970s and 1980s, in contrast to the earlier studies, (exemplified by Donington's comprehensive volume, "The Interpretation of Music," published in 1963)<sup>1</sup> focus on a limited repertory, a particular genre, or one type of instrument or method of tuning, and often are concerned with only one aspect of performance practice. This change in focus entails not only a new set of questions but also a new approach to the sources. Theoretical treatises and instructional performance manuals no longer assume a role of primary importance; rather, the musical source itself, whether in manuscript or printed form - along with other types of "primary evidence," organological, musical, and archival - serves as the focal point of recent scholarship. Nowhere is this shift of focus seen more clearly than in recent studies of Bach's keyboard music, where a detailed study of the primary sources has produced dramatic results. Robert Marshall, in a newly-published terminological study (1986), suggests a new set of categories for Bach's keyboard works based on an examination of the instrumental prescriptions found in the primary sources: "manualiter" (organ with one or two manuals), "pedaliter" (organ with manuals and pedal), "clavier" (generic keyboard instrument), and "cembalo" (harpsichord)<sup>2</sup>. Sheridan Germann, drawing on a variety of original sources, including the unsigned white cembalo in Schloss Charlottenburg, has identified a German cembalo of the type known and played by Bach<sup>3</sup>. In similar fashion, scholars, in addressing issues which relate directly to performance, have turned to the primary sources, including the original performing parts and autograph scores, for a close look at

Bach's notational practice. A question of central importance has been the extent to which Bach's notation can serve as a guide to the performance of his music. Recent studies of ornamentation, tempo and dynamic markings, and time-signs, have shown Bach to be careful and precise in his notational practice<sup>4</sup>; still to be explored, however, is the role of articulation signs.

Traditionally, articulation in Bach's keyboard music has been viewed as a matter of performance convention. Recent scholarship, while considering some forms of "notational" evidence, has continued to draw primarily on historical documents, i.e. theoretical writings and contemporary accounts of Bach's keyboard playing. Studies by Faulkner (1984) and Lindley (1985), discuss articulation in terms of keyboard technique, including historical fingering<sup>5</sup>; LeHuray and Butt (1985), in a discussion of the organ works, include changes in keyboard texture as "articulation evidence," and survey the articulation signs found in the primary sources for the six sonatas (BWV 525-530)<sup>6</sup>. Each of the three studies focuses on what basic style of playing, detached vs. non-detached, is appropriate to Bach's keyboard music; each sheds new light on the art of historical keyboard performance. Several questions, however, crucial to an understanding of articulation in Bach's keyboard music, and in his works in general, still need to be addressed: What role do the articulation signs play in the performance of the keyboard music? To what extent are the articulation signs dependent on touch, to what extent do they modify it? Scholars have been reticent to address these questions, in part, because Bach's use of articulation signs often appears to be both imprecise and inconsistent, and in part, because the primary sources for many of the works, including those for cembalo, include so few articulation markings. Only after a systematic study of the articulation signs has been carried out, however, can the relationship between articulation and touch be clarified. It is the intent of this paper, therefore, to present the results of the initial stage of a "notational" study of articulation in Bach's keyboard music. The purpose of the study is to see what conclusions can be drawn about Bach's use of articulation signs from a study of his notational practice.

The guidelines for a "notational study" of articulation were first set forth in 1978 by Georg von Dadelsen in "Die Crux der Nebensache - Editorische und praktische Bemerkungen zu Bachs Artikulation,"<sup>7</sup> the most comprehensive study to date of Bach's use of articulation signs. Dadelsen offered a summary of the problems he encountered as an editor for the Neue Bach-Ausgabe in transcribing and interpreting Bach's articulation markings - primarily in the instrumental works, i.e. violin parts - and urged that studies of individual repertoires be carried out: 1. to determine the placement and frequency of signs in the primary sources, taking into consideration the nature and function of each source; 2. to differentiate between the use of signs to mark a figure of primary importance to the structure and/or affect of the piece, and the use of signs to mark a motive of secondary importance - ornamental or melodic; 3. to determine to what extent the use of the signs is dependent upon the idiomatic qualities of the instrument. (The only scholar to respond in any systematic way to Dadelsen was Dietrich Kilian, whose brief article provides a methodological model for further research.)<sup>8</sup>

Following the above guidelines, the present discussion is limited to one individual repertory - the works for "cembalo," using the designation as recently defined by Robert Marshall. Bach reserves the "cembalo" prescription, according to Marshall, for compositions, primarily suites, intended for a one -or two- manual stringed keyboard instrument with a range slightly larger in compass than the C-c'' typical of the works for "clavier."<sup>9</sup> The following works for cembalo were included in the present study: the

French suites, designated "pour le Clavessin"; Clavier-Übung I (the partitas), undoubtedly intended for cembalo although no specific instrument is mentioned on the title page<sup>10</sup>; Clavier-Übung II (the Italian concerto and the Ouverture in the French style), and Clavier-Übung IV (the Goldberg variations) both designated "vor ein Clavicymbel mit zweyn manualen." Not included are the English suites, titled "pour le Clavessin" in the earliest copy, but not extant in autograph; also not included are the toccatas (BWV 910-915), since, according to Marshall, they were intended for "manualliter," i.e. organ with manuals. A sequel to the present paper examines the works for "clavier;" a later stage of the study will consider the performance implications of the articulation signs.







The primary sources for each of the works cited above were examined in detail, using Dadelson's guidelines as a general frame of reference. The autograph scores and prints formed the basis of the study; copies in the hand of Anna Magdalena and other members of the Bach circle were included only for comparative purposes. The results of the study are presented in Tables 1-4 and in the discussion which follows. The following general conclusions can be drawn: Bach's articulation signs in the cembalo works include only the slur and the dot. (The vertical stroke and wedge (Keil) are not found in the autograph sources; the stroke first appears in copies and prints, c. 1750.)<sup>11</sup> Bach's placement of the signs is generally clear and precise, in contrast to many of the examples cited by Dadelson and others<sup>12</sup>. Of the two signs, the slur is by far the more prevalent and is used with two basic types of figures: ornamental figures, listed below as types Ia-Ic, and melodic figures, listed below as types IIa-IIg. The dot, found less frequently, is used alone, as in type IIIb below, or more commonly, in conjunction with the slur, as in types IIIa, c and d. One aspect of Bach's notation not included in the present study is his use of the slur as an integral part of an ornamentation symbol, as seen in several of the "manieren" listed in his "Explication" of 1720:<sup>13</sup> "accent steigend" or "accent fallend", appoggiatura from above or below ; "accent u. mordant" (port de voix), ascending appoggiatura with mordent ; "accent u. trillo" ; "doppelt cadence" (Cadence appuyé), trill with prefix from above or below, with or without mordant,  - and in two ornamental symbols not listed in the "Explication" - the "Schleifer" , and the appoggiatura notated as a grace note .

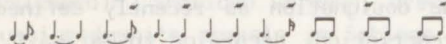
Table 1 presents a taxonomy of the categories and types of figures Bach marked with articulation signs in the cembalo works. (The Table will also serve as the basis for a comparative study of the "clavier" works.) The figures in each of the three categories are listed in order of frequency; unless noted, the sign is used for the entire figure.


Table 1. Categories and Types of Figures Marked by Articulation Signs in Bach's Cembalo Works


Category I - Ornamental Figures marked by slur.

The majority of the figures are written-out versions of late 17th-century French and Italian ornaments.

Ia. Appoggiatura ("Accent"). Used cadentially, or in conjunction with a suspension; normally approached by unison or step-wise motion. Notated in various forms.





Ib. Schleifer ("Coulé sur une tierce") and other short melodic ornaments. Usually an ascending or descending 3rd. 


Ic. Cadential figure. Includes appoggiatura or notated trill. 

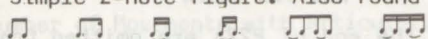
Category II - Independent melodic figures marked by slur.

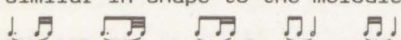
Several of the figures are similar in shape, but not in function to the types of figures listed in category I.

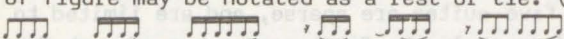
IIa. 4-note descending scalar figure. Occurs frequently in all types of works, especially dance movements; often used as part of a cadential pattern, and may have originated as a written-out form of the "tierce coulée." 

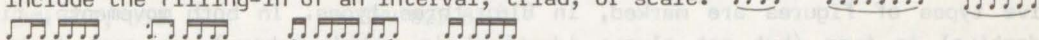
IIb. 4-note figure with first 3 notes slurred. Distinctive melodic profile with an interval of a third or larger between slurred notes and single note; may also occur as triad or arpeggio. (See IIIc below.) 

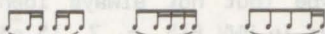
IIc. 4-note figure of varying melodic shape. Includes ascending scalar and arpeggio figures; usually in same note values. 

IIId. Simple 2-note figure. Also found as successive 2-note groups. 

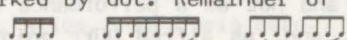
IIe. Short melodic figure. Often in the form of an ascending or descending third; similar in shape to the melodic ornaments listed in Ib above. 


IIIf. 3 to 8-note figure with all but first note slurred. (Reverse of IIb) First part of figure may be notated as a rest or tie. (See IIIa for later use with dot.) 

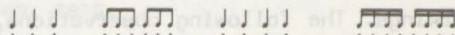
IIg. Figure of irregular shape and length. Usually one beat or longer in duration. May include the filling-in of an interval, triad, or scale. 


Short motivic figures are also common. 


Category III - Melodic Figures and single notes marked by dot

IIIa. 4 to 8-note figure with first note marked by dot. Remainder of notes slurred. (May be similar in shape to IIIf above). 

Also found as 

IIIb. Single note or series of individual notes. 

IIIc. Single note or 2 successive notes, preceded by a short melodic figure. Figure may be slurred or unslurred. 

IIId. 8-note figure, with first and last notes marked by dot. Remainder of notes slurred. 

The first works to be considered in detail are the French suites (BWV 812-15), the earliest cembalo works found in autograph. The single source in Bach's hand (P 224, the 1722 Clavierbüchlein for Anna Magdalena) includes five of the six suites, three in composing score (CR) and two in fair copy (FC). Table 2 shows the number of movements with articulation markings and the types of figures marked; the individual layers of the source are listed separately.

Table 2: French Suites

A. Number of Movements with Articulation Signs

| Source | Description | Date      | BWV      | # of movements marked       |
|--------|-------------|-----------|----------|-----------------------------|
| 1.P224 | CS          | 1722/1723 | 813-14*  | 1 of 7 (suites incomplete)  |
| 2.P224 | FC          | 1722/1723 | 812, 815 | 4 of 11 (suites incomplete) |
| 3.P224 | CS          | 1724      | 816      | 3 of 7                      |

## B. Occurrence of Articulation Signs by Type

| Type | Layer 1. CS | Layer 2. FC             | Layer 3. CS   |
|------|-------------|-------------------------|---------------|
|      | BWV 813-814 | BWV 812, 815            | BWV 816       |
| Ia   |             |                         | BWV 816 sara. |
| Ib   |             | BWV 815 gig.            |               |
| Ic   |             |                         | BWV 816 sara. |
| IIa  |             | BWV 812/815 cour./sara. | BWV 816 gav.  |
| IIb  |             | BWV 815 sara.           |               |
| IIc  |             | BWV 815 sara. gav.      |               |
| IId  | BWV 813 air | BWV 815 sara. gav.      |               |
| IIE  |             | BWV 812/815 cour./sara. | BWV 816 sara. |
| IIg  |             |                         | BWV 816 sara. |
| IIIb |             |                         | BWV 816 loure |

\* The Menuets for BWV 813 & 814, copied out at the end of P224 are omitted from the present study. (813, in the hand of Anna Magdalena, includes imprecise slur markings; 814, in autograph, includes slurs of type IIE.)

As shown in the table, the greatest number of markings are found in BWV 815 (FC) and 816 (CS); BWV 812 (FC) and 813 (CS) include only a few markings, BWV 814 (CS) none at all. In general, the markings in all five suites are sparse, and are limited to short figures, usually one beat in length; often, only the first appearance of each figure is marked. In BWV 815 and 816, the sarabandes are marked in the greatest detail; in 815, five types of figures are marked, in 816, three types. In both movements, figures identical in type (but not always identical in melodic shape) are marked at major cadential points: in BWV 815, m. 7, 15 and 23, and in BWV 816, m. 31-32 and m. 38-39.

The composite nature of the autograph suggests it was intended as a reference or "house copy," and not as a performance score. Since a final copy of the French suites is not extant, and, as Alfred Dürr points out, may never have existed<sup>14</sup>, it is difficult to reconstruct Bach's final intentions with regard to his articulation markings. The following observations, however, can be made, based on a survey of the manuscript copies by Anonymous 5 (P418) and Altnikol (LC, ML 96 B 186) - used by Dürr as the basis for Fassung A (Neue Bach-Ausgabe, V/8) - and the copies by Anna Magdalena (P225, suites 1 and 2) and Johann Caspar Vogler (P 420) - used as the basis for Fassung B<sup>15</sup>. In general, the copies include few additional articulation signs - in contrast to the many ornamentation signs added throughout. For the two suites in fair copy, BWV 812 and 815, the sources are almost identical with the autograph; the three copies of BWV 815, however, include added slurs in the gavotte and in the menuet, a movement added to the suite after 1722<sup>16</sup>. BWV 816, although in composing score in the autograph, appears to function as a fair copy; it includes more markings than the other composing scores, perhaps because it was written-out at a slightly later date<sup>17</sup>. In contrast, the copies for the two remaining suites in composing score, BWV 813 and 814, contain many more articulation markings. In BWV 813, slurs occur at major cadential points in the sarabande in a manner similar to that noted above in the sarabandes of BWV 815 and 816, and are included in the menuet<sup>18</sup>. In BWV 814, the only suite to be unmarked in the autograph, slurs are added to both the allemande and sarabande<sup>19</sup>. In summary, it appears likely that Bach - in the years immediately after the autograph was copied out, c.1722/1723-25 - added or made slight revisions in his articulation signs for the suites in composing score; the additions were notated in one of the Bach manuscripts, now lost, which served as the source for the copyists. The markings in the suites in fair

copy, in contrast, remain basically unaltered in subsequent copies, even when details of the text are revised. A tabulation of the number of movements marked in the four copies is as follows: 17 of the 34 movements in suites 1-5 include markings. (Suite 6, copied out c. 1725 and found in two of the above sources, includes the same proportion - 4 of 8 movements.) In all cases, the majority of the additional markings are slurs from category II.

Clavier-Übung II, the next work for cembalo, was begun in 1725 and published complete in 1731. Earlier versions of two of the partitas (BWV 817 and 830) are found in autograph (P225, the 1725 Clavierbüchlein for Anna Magdalena). Table 3 shows Bach's use of articulation signs in the autograph and the print:

Table 3: Clavier-Übung II (Partitas)

A. Number of Movements with Articulation Signs

| Source            | Description | Date | BWV      | # of movements marked                         |
|-------------------|-------------|------|----------|---|
| 1.P225            | FC          | 1725 | 827, 830 | 6 of 12 (type Ia)<br>0 of 12 (excluding Ia)   |
| 2.Clavierübung II | Print       | 1731 | 825-830  | 20 of 39 (type Ia)<br>14 of 39 (excluding Ia) |

B. Occurrence of Articulation Signs by Type

|      |                           |                 |
|------|---------------------------|-----------------|
| Type | Source 1: P225 (Clvr-üb.) | Source 2: print |
|      | BWV 827, 830              | BWV 825-830     |

|      |  |
|------|--|
| Ia   | BWV 825 prael.*                        |
|      | BWV 826 sinf. allem. cour              |
|      | BWV 827 allem. men. gig.               |
|      | BWV 827 fantas. allem. burles. gig.    |
|      | BWV 828 Ouver. allem. cour. aria sara. |
|      | BWV 829 allem. sara. men. gig.         |
|      | BWV 830 prél. allem. sara              |
| Ic   | BWV 828 cour.                          |
| IIa  | BWV 826 allem. sara.                   |
| IIb  | BWV 830 tocc. air*                     |
| IIc  | BWV 826/830 sara./tocc.                |
| IId  | BWV 826/827 allemande/sara. burles.    |
|      | BWV 828 cour. sara*                    |
|      | BWV 829 allem. corr. sara.             |
| IIe  | BWV 826 allem.                         |
| IIf  | BWV 826 allem.                         |
| IIg  | BWV 826 sinf. allem.                   |
| IIIB | BWV 826/829 rond./corr.                |
| IIIC | BWV 827/828 burles.+ /men.             |

\* The markings are found only in BL, Hirsch III.37, believed to be Bach's handexemplar.<sup>20</sup>

+ The dots in the Burlesca were added to the plates after the first printing.<sup>21</sup>

As the table shows, Bach limits his use of articulation signs in the 1725 autograph to one type of figure, type Ia. A comparison of the autograph movements with the 1731 print reveals that Bach adds very few signs in preparing the movements for publication.

Only two new movements are marked: in the Fantasia (BWV 827), m. 52, Bach restricts his additions to slurs of type Ia; in the Sarabande (BWV 827), m. 2 and 4, Bach adds slurs of type IIId. Two of the movements include additional markings: slurs of type IIb in m. 9-11, and m. 21-24 of the Toccata (BWV 830, formerly Prélude); dots of type IIIc (see Table 3) in m. 5 and 6, and slurs of type IIId in m. 10 and 12, and of type Ia in m. 16 and 40 of the Burlesca (BWV 827, formerly Menuet). Bach places additional slurs in the print for the sake of consistency: in the allemande (BWV 830), for example, only one voice of the cadence in m. 8 is marked in the autograph (type Ia); in the print, both voices are marked with a slur, and slurs are added in the corresponding cadence in m. 20 (type Ia).

An examination of all six partitas reveals that the majority of the markings found in the 1731 print are of type Ia - written-out melodic appoggiaturas used with suspensions or in cadences. It is not clear why Bach makes such extensive use of the two-note slurs; in the remainder of the cembalo works, including the late prints, Bach usually notates the appoggiatura as a grace note, or "accent."<sup>22</sup> (Were the written-out appoggiaturas indigenous to the style of the partitas or a notational experiment which Bach rejected in favor of the more traditional French-style of notation?) Excluding the markings of type Ia, 14 of the movements in the print include articulation markings. As in the French suites, the markings are limited to short melodic figures. Unlike the French suites, however, none of the partita movements with florid melodic lines, such as the D major allemande and sarabande (BWV 828) include articulation signs; also, unlike the suites, Bach rarely marks contrasting figures within a single movement. The single exception is the C minor allemande, BWV 826, which is marked in great detail and may have been intended to serve as model for similar movements. Overall, the partitas include a greater range of types than the suites, including two examples of IIIc, but the proportion of movements marked (excluding Ia) is slightly smaller than in the French suites. It is clear, for whatever reason, that Bach limits the number and scope of his articulation markings in his first publication for keyboard: he may have been wary of the complexities of the engraving process, new to him at the time, or he may have wanted to keep the print "generic," i.e. not designated specifically for any one instrument - as the title page suggests - and therefore attractive to a wider public.

A closer look at Bach's use of articulation signs in both of the above collections reveals that the types of figures marked are either explicitly ornamental or clearly derived from ornamental figures. In both the suites and the partitas, figures from the first category (type Ia-c) clearly function as written-out ornaments. Many of the figures from the second category, (type IIa-d) while melodic in function, are similar in profile and rhythm to ornamental figures common to 17th and 18th century keyboard music (see Table 1): IIa, "tierce coulée"; IIb, "arpeggé" or "chute sur une note"; IIId, "accent" or "Vorschlag"; IIe, "Schleifer"; IIg, "tirata". Even in the case of figures from the third category, limited to types IIIb and c, single occurrences of the dot are immediately preceded by a written-out ornament, usually a melodic turn on the preceding beat, as in the Burlesca (BWV 827) m. 5 and 6, and m. 21 and 22, and the Menuet (BWV 828) m. 1, 4, and 24. In summary, Bach's articulation markings in the first two collections for cembalo are limited to short motives - "melodic formulae" - generically ornamental in nature and function. That the signs themselves are closely allied with ornamental figures in the above works, is clear from the present discussion; the extent to which the nature and function of the two signs may have been derived directly from the notational symbols for the "manieren" warrants further study<sup>23</sup>.

A detailed examination of Bach's notational practice in the next two works for cembalo reveals a more comprehensive use of articulation signs than in the suites and partitas. In both publications, *Clavier-Übung II*, 1735, and *Clavier-Übung IV*, c. 1742, the number of movements with articulation signs is significantly higher. In *Clavier-Übung II*, each of the three movements in the Italian Concerto (BWV 971), and 10 of the 11 dances in the Overture in the French style (BWV 831) are marked in detail; in *Clavier-Übung IV*, 12 of the 31 movements in the Goldberg variations (BWV 988) include articulation signs. The use of the articulation signs in the two prints is no longer restricted to the exclusively ornamental figures typical of the first two collections; particularly striking in all three works is the frequent occurrence of the dot. (See Table 4.) A survey of the primary sources for the remaining collections of keyboard music dating from the late 1730s, along with selected chamber works, reveals this change in notational practice to be typical for the entire period. In "Das Wohltemperirte Clavier II," a work compiled c. 1738-40, articulation markings are found in 10 of the 42 preludes and fugues in autograph, as opposed to 6 of the 48 in "Das Wohltemperirte Clavier" (WTC), Book I, written out almost twenty years earlier<sup>24</sup>. (As in the cembalo works, the dot is found far more frequently in the later work, WTC II.) Several of the chamber works with harpsichord reveal a similar practice: in the autograph parts (P 226) for the Sonata for Gamba and Obligato Cembalo, BWV 1027, each of the movements in both the gamba and cembalo parts include copious use of markings from the third category, IIIa-d; the autograph parts for the Orchestral suite with flute, BWV 1067, copied out c. 1739, (St. 154) show a detailed use of articulation signs, including the use of the dot in six of the seven movements. This dramatic change in notational practice is less apparent in the works for organ. In *Clavier-Übung III*, published in 1739, articulation signs are found in only 3 of the 13 pieces for "pedaliter" - including the use of dots in the Prelude in E-flat (BWV 552a) and the chorale prelude "Vater unser im Himmelreich" (BWV 682) - as compared with 2 of the 10 "manualiter" pieces and all four of the "clavier" pieces - the duettos, BWV 802-805. (In contrast, the eighteen chorales (BWV 651-668), copied out in the early 1740s (P 271) are completely devoid of articulation signs.)<sup>25</sup>

Simultaneous with this change of notational practice in the late 1730s and early 1740s was Bach's interest in exploring and expanding the expressive possibilities of the keyboard itself, including the cembalo. (More than at any other time in his career, Bach was involved at this time with the composition and performance of works for the cembalo.)<sup>26</sup> Both of the late cembalo prints utilize the increased range of the instrument and the availability of two manuals. In addition, Bach came into contact with Gottfried Silbermann's first hammerklavier during this period, and his close cooperation with Zacharius Hildebrandt in the design and construction of a lautencembalo can be traced to around 1740<sup>27</sup>. Bach's composition for "Prelude pour la Luth. à Cebal. par J.S. Bach" (BWV 998) dates from the early 1740s<sup>28</sup>, and it is possible that some of the "new" pieces to be written for WTC II, c. 1740, were conceived with these instruments in mind, e.g. BWV 873i, 881i, 887i, and 892i<sup>29</sup>. (The extent to which Bach's writing during this period may have been influenced by the idiomatic qualities of the various instruments - the third of Dadelsen's guidelines - is beyond the scope of this paper.)

Table 4 lists the types of figures marked in the late publications for cembalo. The two prints are listed as source 1 and 2: an additional source, an earlier version of BWV 831 in the hand of Anna Magdalena, is listed as source 1a in the first part of the table, but was not included in the tabulation in part B; reference will be made to individual movements in the discussion which follows.



Table 4: Clavier-Übung II (Italian concerto and Overture in the French style) and Clavier-Übung IV (Goldberg variations)

A. Number of Movements with Articulation Signs

| Source              | Description             | Date   | BWV  | # of movements marked |
|---------------------|-------------------------|--------|------|-----------------------|
| 1. Clavierübung II  | Print                   | 1735   | 831  | 10 of 11              |
|                     |                         |        | 971  | 3 of 3                |
| 1a. P226            | Ms. copy in hand of AM* | c.1732 | 831a | 8 of 11               |
| 2. Clavier-Übung IV | Print                   | c.1741 | 988  | 12 of 31              |

\* The score is an apograph, with titles in the hand of J.S. Bach.

B. Occurrence of Articulation Signs by Type

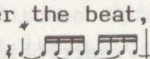
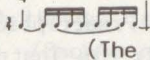
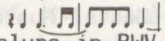
| Source 2. Print                   | Source 2. Print | Source 3. Print           |
|-----------------------------------|-----------------|---------------------------|
| BWV 831                           | BWV 971         | BWV 988                   |
| 1a                                | mvt. 2          | aria var. 12, 25          |
| 1b                                | mvt. 1 mvt. 2   | aria var. 15, 28          |
| IIa cour.* gav. I bour. I         |                 |                           |
|                                   |                 |                           |
|                                   |                 |                           |
| IIc cour. gav. II bour. I         | mvt. 2          | var. 2                    |
| IIId cour. gav. I bour. II        | mvt. 1          | aria                      |
|                                   |                 | var. 2, 5, 13, 15, 25, 30 |
| IIe gav. I sara. bour. I echo     | mvt. 2          |                           |
| IIIf ouver.                       | mvt. 1          |                           |
|                                   | mvt. 2 mvt. 3   |                           |
| IIIg cour. gav. I sara. echo gig. | mvt. 1          | aria var. 7, 14, 25       |
|                                   | mvt. 2          |                           |
| IIIa gav. II                      | mvt. 1 mvt. 3   | var. 13, 25               |
| IIIb ouver.*                      | mvt. 3          | var. 16, 20, 28           |
| IIIc pass. I                      | mvt. 3          | var. 13, 14+              |
| IIId                              | mvt. 1          |                           |

\* Bach, in his handexemplar of BWV 831 (BL, K.8.g.7), adds dots (type IIIb) in the fugal section of the overture, m. 22-3, 38-40, 59-60, 71-2, 99-104, 135-36, and a slur (type IIa) in the courante, m. 5.

+ Bach, in his handexemplar of BWV 988 (B.N. Ms. 17669) adds dots (type IIe) in m. 9-12, 15-16, 25-28, 31-32.

The greatest change in Bach's notation practice, as shown in Table 4, is in the increased use of the dot; BWV 988, Bach's final work for cembalo contains the widest range of markings. The dot is used systematically in the notation of types IIIa and IIIc, both variants of the "generic" figure found in the earlier works as type IIb and IIIf. In at least one case, however, the dot was not originally part of the figure; in gavotte II from BWV 831, dots, not found in source 1a (BWV 831a), are included in the 1735 print, m. 13-15 and, m. 20-22 (type IIIa). Another example shows a similar change: in passapied I, BWV 831, m. 13-14, & 22, both the slur and dot (type IIIc) are added in the print; in source 1a, the figure was unmarked. (A look at Tables 3 and 4 shows that Bach continued to add dots, even after the engraving process was completed.) The increased and varied use of the dot can be seen in light of Bach's general concern

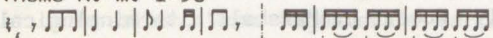
during this period with exploiting the expressive possibilities of the cembalo.

Bach also uses the slur in several new contexts: type IIg is found far more frequently than in the suites and partitas, and with a greater variety of figuration; the use of type IIf is expanded to include figures triadic in nature, as in the overture from BWV 831 (See illustration below.) In addition, the placement of the slur in Clavier-Ubung II and IV is no longer limited to a single beat, or metrical unit, and often extends over the beat, as in BWV 971, mvt. 1, m. 43-45  and mvt. 2, m. 4. Andante ; and across the barline, as in BWV 831, sarabande, m. 1-2  (The latter was unmarked in BWV 831a.) An overall comparison of the slurs in BWV 831a (P 226) with those in the 1735 print reveal that the additions involve more substantial changes of articulation than in the partitas. The "additive" nature of the markings in both works, however, is in keeping with Bach's general notational procedures<sup>30</sup>.

Finally, both the slur and dot are used in the late prints to delineate contrasting motives within a thematic group, a practice not found in the earlier works. In the opening movement of the Italian concerto, as shown below, the first motive of each group is unmarked, the second is marked in detail.

BWV 971, mvt. 1.

Theme A. m. 1-30



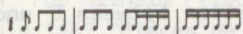
Theme B. m. 31-52

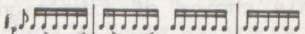


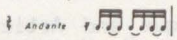
In the opening movement of the Overture in the French style, the fugal section, a similar practice can be seen:

BWV 831, mvt. 1. m. 21-46

m. 47-58

Theme A 

Theme B 

In variation 15 of the Goldberg variations, the slur markings are an integral part of the figure: BWV 988, var. 1. m. 1  The above examples suggests that in the late works for cembalo the articulation signs take on a more important role in the compositional process, and are one of the means by which Bach articulates the structure of the work as a whole.

In conclusion, Clavier-Ubung II and IV, clearly intended to be performance scores, are comparable to the fair-copy scores of other instrumental collections, such as the "Sei Solo à Violino senza Basso accompagnato" (BWV 1001-1006), written out in 1720. In the case of the cembalo works, however, Bach waited almost two decades, to produce a score with as comprehensive a set of articulation markings<sup>31</sup>. (No final performance copy of the French suites is extant, and the status of Clavier-Ubung I as a performing score is uncertain.) It is clear from the present study that the two collections were produced during a period of notational change, and at a time when the cembalo was the focus of Bach's compositional interest. The late cembalo prints, therefore - in a manner similar to the "Sei Solo" twenty years earlier - represent the culmination of Bach's writing for the instrument, and include his most complete set of articulation markings.

## Notes

- 1) The purpose of Robert Donington's *The Interpretation of Music*, London, 1963, is to provide a compendium of source material in translation about the performance of music written between 1600 and 1750, and to establish guidelines for a "generic" Baroque style of performance. A major portion of the book is devoted to ornamentation and rhythm.
- 2) Robert L. Marshall, *Organ or "Klavier"? Instrumental Prescriptions in the Sources of Bach's Keyboard Works*, in: *J.S. Bach as Organist: His Instruments, Music and Performance Practices*, edited by George Stauffer and Ernest May, Bloomington 1986, pp. 212-239.
- 3) Sheridan Germann, *The Mietkes, the Margrave, and Bach*, in: *Bach, Handel and Scarlatti: Tercentenary Essays*, edited by Peter Williams. Cambridge 1985, pp. 119-148.
- 4) Frederick Neumann's solutions to the problems of ornamentation and rhythmical alteration in Bach's music, as presented in his monumental study, *Ornamentation in Baroque and Post-Baroque Music. With Special Emphasis on J.S. Bach*, Princeton 1978, and in *Essays in Performance Practice*, Ann Arbor 1982, were reached by a careful study of Bach's notational practice. Similarly, Robert L. Marshall's terminological studies - see note 2 above - and "Tempo and Dynamic Indications in the Bach Sources: A Review of the Terminology" in: *Bach, Handel, Scarlatti*, op. cit. 1985, pp. 259-275, were both based on an examination of the primary sources. My own study of Bach's use of time-signs in the cembalo works, based on the autographs and original prints of the cembalo works, revealed that Bach was precise and consistent in his choice of time-signs, including the differentiation between C and cut C. (Unpublished paper, "Problems of Tempo in the Keyboard Works of J.S. Bach." Read at a meeting of the New Bach Society Chapter meeting in Rochester, N.Y. May, 1982.)
- 5) Mark Lindley, *Keyboard Technique and Articulation: Evidence for the Performance Practices of Bach, Handel and Scarlatti*, in: *Bach, Handel, Scarlatti*: op. cit., pp. 207-243, and Quentin Faulkner, *J.S. Bach's Keyboard Technique: A Historical Introduction*, St. Louis 1984. Both scholars rely heavily on Forkel's description of Bach's keyboard playing; both include examples of fingerings drawn from contemporary manuscript sources.
- 6) Peter Le Huray and John Butt, *In Search of Bach the Organist*, in: *Bach, Handel, Scarlatti*: op. cit., pp. 185-206. A table on p. 196 identifies three basic types of figures marked in the vivace section of mvt. 1 of Sonata 4 for organ (BWV 528): the first of three figures appears identical to type IIa in Table 1; the second figure appears similar, but not identical, to type IIb.
- 7) Georg von Dadelsen, *Die Crux der Nebensache - Editorische und praktische Bemerkungen zu Bachs Artikulation*, in: *BJ 64* (1978), pp. 95-112.
- 8) Dietrich Kilian, *Zur Artikulation bei Bach*, in: *Beiträge zur Bach-Forschung*, Heft 2, Leipzig (1983) pp. 27-35. Kilian carried out a comparative study of the three original obbligato parts for mvt. 2 of the cantata, "Bleib bei uns," BWV 6, and the original performing parts of the concerto for two violins (BWV 1043) and for two cembali (BWV 1062).

- 9) See Marshall, *Organ or "Klavier"?*, pp. 216, 222-23, and 233.
- 10) See Marshall, *op. cit.*, p. 233. Marshall bases his conclusion on the types of pieces included in the collection, i.e. suites, and the expansive compass of the works.
- 11) The stroke, for example, is found in the violin and flute parts for the trio sonata from "Musicalisches Opfer" (BWV 1079, 8) printed c. 1749, and is used interchangeably with the dot in the continuo part; the dot is used alone in the remainder of the print. (Bach's notation of the dot sometimes gives the appearance of a horizontal - but not vertical - stroke, drawn from left to right.)
- 12) Le Huray and Butt, in their survey of the organ sonatas, *op. cit.*, p. 191, conclude that "Bach's slurs in P 271 are for the most part short and inexactly placed." Dadelsen, *op. cit.*, p. 151, in a more apt description, points out that Bach often places the beginning of a slur slightly to the right of the first note, particularly when writing in great haste. This practice can be seen in the cembalo works in composing score, e.g. in P 224 (BWV 816, sarabande). In addition, it is sometimes difficult in the prints to determine where a slur ends, as in "Clavier-Übung II," when slurs extend across the barline or the beat. Bach's placement of the slurs in general, however, is exact and his intent is clear. (In comparison, Anna Magdalena's markings are much less precise, as can be seen in the facsimile reproduction of the menuet (BWV 813) from the "Clavierbüchlein" for Wilhelm Friedemann, *Neue Bach-Ausgabe*, V/5 p. IX.)
- 13) "Explication unterschiedlicher Zeichen, so gewisse 'manieren' artig zu spielen, andeuten." is included in Bach's hand at the beginning of the 1720 "Clavierbüchlein" for Wilhelm Friedemann. The table is based on D'Anglebert's list of ornaments in his 1689 "Pièces de Clavecin." (A copy of D'Anglebert's table exists in the hand of Bach in a manuscript in the Stadt- und Universitätsbibliothek, Frankfurt am Main.)
- 14) See Alfred Dürr, *Zur Leipziger Fassung der Französischen Suiten von J.S. Bach*, in: *Beiträge zur Bach-Forschung*, Heft 1, Leipzig (1982) pp. 74-78.
- 15) *Neue Bach-Ausgabe*. *Kritischer Bericht*, V/8, edited by Alfred Dürr. For a discussion of the sources, see pp. 16-41. P 418, P 420 and P 225 were all copied out between c. 1722/23 and 1725. (Gerber's copy, P 1221, also dates from c. 1725, but is sparsely marked.) The Altnikol copy, written out a later time, c. 1744-59, includes early versions of the text.
- 16) Of the four copies of BWV 812, the markings in P 418 are identical with the autograph; Altnikol, P 225 and P 420 include one or two added (or omitted) slurs. Of the three copies of BWV 815, Altnikol's markings are closest to the autograph, with a few variant slurs in the sarabande and gavotte; P 418 and P 420, which contain a later version of the text, include additional slurs in the sarabande and gavotte, and in the menuet(s), which was added to the work after 1722/1723.
- 17) Altnikol and P 420 (with a later version of the text), include a few variant slurs; in Altnikol, dots are added in the Loure at the final cadence in m. 15 to correspond to the dots in the autograph in m. 7.
- 18) BWV 813 appears to have been revised by Bach shortly after it was copied out in autograph in 1722. The markings in the sarabande (type IIb and c) m. 3-4 and m.

- 11-12, are found in P 225 in Anna Magdalena's hand; presumably copied from a lost autograph, and in P 418; Altnikol and P 420 include variant markings. The menuet, originally appended to P 224, is included in P 418 and P 420.
- 19) Altnikol's copy of BWV 814 includes slurs in the allemande (type IIId) and the sarabande (type IIg). The second copy, P 418, includes a more extensive use of slurs in the sarabande and the Anglaise.
  - 20) See the Neue Bach-Ausgabe. Kritischer Bericht, V/1, edited by Richard Douglas Jones, pp. 25-27 for a description of the BL copy, and pp. 55-67 for a list of the corrections.
  - 21) Jones, op. cit., pp. 18-22. According to Jones, Bach did not add the dots until the third printing (Auflage) of the first edition.
  - 22) Few written-out appoggiaturas are found in the cembalo works outside of the partitas: a few examples are seen in BWV 988, var. 25, and in the Andante from BWV 971, where both notational forms are used. (See Table 4) Bach reserves the use of this notational style for a particular musical effect, found primarily in later keyboard works: e.g. in several preludes and fugues from "Wohltemperirtes Clavier" II - at cadences and fermatas in particular - and in "Musicalisches Opfer" and BWV 998.
  - 23) The generic origins of both signs may be in the notational symbols for the French agrément, as exemplified by the "Explication des Agrémens, et des Signes," from Francois Couperin's "Pièces de Clavecin... Premier Livre," published in 1713. The dot, for example, is similar to Couperin's "aspiration" and the slur to the "liaison." Ludger Lohmann, in a recent study, Studien zu Artikulations-problemen bei den Tasteninstrumenten des 16.-18. Jahrhunderts, Regensburg, 1982, pp. 359-360, concludes that the origins for the slur (which he equates with legato), are to be found in the ligature signs of mensural notation, and states that the dot (which he equates with staccato), first occurs in keyboard notation in the second half of the seventeenth century.
  - 24) For a description of the autograph and a brief summary of the compilation process, see the facsimile edition published by the British Library: Johann Sebastian Bach, Das Wohltemperirte Clavier II (London, 1980) with an introduction by Don Franklin and Stephen Daw. Of the 42 preludes and fugues in autograph (some in apograph) 10 include markings, and 5 of these are from category III and include the use of the dot. In WTC I, in contrast, only 6 of the pieces are marked; the marking, all from categories I and II, are limited to small ornamental figures. The single occurrence of the dot in Book I is found in a later layer of the autograph (P 415).
  - 25) More detailed markings, however, occur several years earlier in the six sonatas, BWV 525-530, copied out c. 1730; 10 of the 18 movements in Bach's performing score (P 271) are marked, and additional autograph markings are found in P 272, a second copy of the sonatas in the hand of Wilhelm Friedemann and Anna Magdalena. For a detailed discussion of the two manuscripts, see Walter Emery, Notes on Bach's Organ Works, London, 1957, p. 40 fol. (Le Huray and Butt, op. cit., question Emery's conclusions that P 272 was used by Bach as a teaching copy. The fact, however, that P 272 contains time-words, i.e. tempo markings, in the hand of Bach (Sonata 6, mvt. 1) suggests that many of the added articulation markings may also be in autograph.)

- 26) Bach's works for cembalo, in addition to the two publications, include the seven solo cembalo concerti (BWV 1052-58) and the concerti for two cembali (BWV 1060 and 1062), along with individual pieces, such as BWV 906 and 998.
- 27) Agricola in his "Musica Mechanica Organoedi" of 1768 describes Bach's evaluation of Silbermann's first pianoforte, c. 1735-36, and further mentions that Bach had a lautencembalo built by Hildebrandt, presumably after Bach's specifications, in Leipzig c. 1740. (Bach-Dokumente, herausgegeben vom Bach-Archiv Leipzig, Bd. III, vorgelegt und erläutert von Hans-Joachim Schulze, Kassel etc. and Leipzig 1973, Nos. 743 and 744.)
- 28) Autographs are extant for two single works for cembalo, the Prelude, Fuga and Allegro (BWV 998), c. 1742, and the Fantasie in C minor (BWV 906), c. 1738. Bach limits his use of articulation signs in both works to occasional slurs (types Ia and II d).
- 29) All four works are found in the "Prelude" layer of the autograph which was copied out c. 1740. All four works appear to be newly-composed for Book II, and include figuration idiomatic to a two-manual cembalo, or one of the "new instruments, i.e. the lautencembalo or hammerklavier.
- 30) In BWV 831, additional slurs found in the print include the following: courante (type IIa, c, d and g), sarabande (IIe and g); and, the two new movements to be marked, bourée I (type IIa and c) and bourée II (type IIa and d). As with the partitas, the most striking additions involve the use of the dot: gavotte II (IIIa) and passpied I (IIIc).
- 31) In P 974, Bach's copy of the solo violin works, each movement is marked in detail. In the cembalo prints, and in BWV 988 in particular, not all of the movements are marked; in the Andante from BWV 971, markings occur only in the opening twenty measures, perhaps providing a model for the remainder of the movement. Further study is needed to determine to what extent the difference in the types and frequency of the markings is due to the nature of each instrument.

Uta Henning:

#### ZUR FRAGE DES LAUTENKLAVIERS BEI JOHANN SEBASTIAN BACH

Mögliche Zuweisung der Bachschen Lautenkompositionen an das Lautenklavier - Beschreibung des Instruments und Rekonstruktionsversuche im 20. Jahrhundert

Seit sich die Fachwelt auf das Bachsche Lauten-Oeuvre neu besinnt, wird immer wieder die Frage seiner Zuweisung an ein bestimmtes Instrument aufgeworfen, das vielleicht keine eigentliche Laute war. Betroffen davon sind BWV 995-1000 sowie BWV 1006a, also Kompositionen, die wohl für bestimmte Spieler und Anlässe geschaffen wurden oder Bearbeitungen von Streicher-Sololiteratur darstellen; alle entstanden zu einer Zeit, als die Laute bereits im Niedergang begriffen war. Die Diskussion entzündet sich hauptsächlich an der e-Moll-Suite BWV 996, wo eine der überkommenen Abschriften einen späteren Zusatz "aufs Lautenwerck" trägt.

Zum einen fällt auf, daß die fraglichen Kompositionen, soweit sie überhaupt im Autograph vorliegen (3 von 7), nicht in Tabulatur, sondern in zwei 5-Linien-Systemen auf uns gekommen sind, was allerdings nicht gegen die Laute sprechen muß; zum anderen