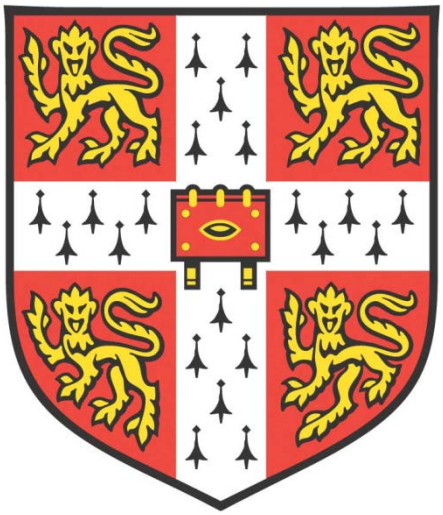
Accentual counterpoint and metrical narrative in the music of Brahms



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ABSTRACT

Accentual counterpoint and metrical narrative in the music of Brahms

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This thesis introduces a web of concepts to analyse Brahmsian metre and move toward a more nuanced understanding of metrical expression and narrative in his music.

Recent analytical studies of metre in common-practice Western classical music have utilised a powerful analogy of consonance and dissonance between tonal and metrical dimensions. More theoretical studies, particularly of Brahms's music, have investigated how metrical states can be systematised, both abstractly and by Brahms, to create a sense of tonicity.

This thesis synthesises and extends these approaches. Metrical dissonance is suggested to offer only an insufficient purchase on Brahms's metrical style, and the concept of *accentual counterpoint* is suggested as an alternative that gives fuller power to the explication of Brahms's metrical complexity, but without reducing that complexity.

The complexity of metrical states that Brahms employs, in turn, is explored. Brahms's path to the composition of extraordinary metrical complexity in his Op. 78 violin sonata shows both his increasing systematisation of metrical states and his increasing ability to separate and manipulate metrical accent-types, the latter supporting the concept of accentual counterpoint.

That metre has expressive power invites the concept of *metrical narrative*. An attempt is made to unite a recent theory of musical narrative with metrical analysis, inviting readings of different narrative archetypes within Brahms's metrical trajectories, with a focus on non-romantic narratives as a complement to traditional readings of unity.

The pitch-metre analogy, and particularly the typicality of tonicity in metrical organisation, is problematised by those works by Brahms that begin and end in different notated metres. These instances, apparent manifestations of *directional metre*, are analysed, principally using the theories of hypermetre, metrical dissonance, metrical states and accentual counterpoint, with the hypothetical concepts of organisation (directional metre, metrical narrative and metrical tonicity) as interactive heuristics.

Moving from organisation back to expression, the thesis closes by exploring a problem within current theories of form and phrase structure: the difference between musical expansion and extension. It highlights a metrical manifestation of this created as an effect of accentual counterpoint, dubbed *metrical expansiveness*, and examines the interaction of this effect with form and narrative.

Declaration

This dissertation is the result of my own work and includes nothing that is the outcome of collaborative work except where specifically indicated in the text. It has not been submitted, in whole or in part, for any other degree or qualification except where specifically indicated in the text. It does not exceed the permitted word limit of the Degree Committee, excluding footnotes, appendices, musical transcriptions, figures, examples, tables, equations, and the list of references.

William Bosworth

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This work has roots in my years at the University of Birmingham. Paul Rodmell, Matthew Riley and Ben Earle were guiding influences there on how to think about music, and Stephen Collisson ignited my love of Brahms, for which I will always be grateful to him (and to Martha Argerich, Alexandre Rabinovitch, Itzhak Perlman and Vladimir Ashkenazy).

In Cambridge I am most indebted to my supervisor, Nicholas Marston, for the unending support and probing criticism that shaped this work and my thinking. Martin Ennis and Robert Pascall also offered wise insights at several stages; the former's observation that the concept of counterpoint penetrates Brahms's music in a far more metaconceptual way than is often recognised was one seed for the idea of accentual counterpoint, while the latter led me to it in a different way by exhorting me to keep thinking about a single note. As I corrected this thesis Professor Pascall passed away, a monumental loss to the Brahmsian community.

I enjoyed incisive conversations with Mark Gotham on the nature of metre. Sean Curran engaged deeply with the content at a latter stage. Emanuel Signer guided me in several German translations that are not visible in the final thesis.

The Society of Cambridge Youths has been a welcoming community and a great support. Musically my time in Cambridge was predominantly choral; the choirs of Clare, Christ's and Magdalene Colleges led me along a very enjoyable path. The life of the Pick Club was brief but significant, and my time playing with Cambridge Gamelan opened my ears to yet another way of experiencing musical sound and time.

Gary Doherty kept me smiling for eighteen months. Philip McCosker generously housed me through thirteen difficult ones. Others whose friendship, counsel or patience have been gratefully received include David Bassford, Alice Corr, Richard Cowley, Mark Eccleston, Adam Greenley, Helen Groves, Jonathan Hellyer Jones, Ranita Klimach, David Richards, Philip Rioch, Polina Sosnina, Rebecca Taylor and George Unsworth. My close family has supported and saved me time and again, and, especially, my parents truly made this possible. I could not have made it through the last four years without Elizabeth Marsh and Helen Roberts.

My thanks to you all.

For

Philip Bosworth

who taught me
it is interesting
to think about
how things work

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Chapter 1 Introduction

> First find a teacher who will instruct you in strict counterpoint … It is absolutely essential that one see the world through this glass for a good long time.[1]
>
> Johannes Brahms

1.1 Approach and overview

In his seminal paper on musical motion in Brahms, David Epstein suggests a way of approaching metre in Brahms's music:

> Brahms's ambiguity arises not from a muddled view on his part of his own music. Quite the contrary; it is obviously deliberate. His mastery over his music suggests that there must be a key to this lack of clarity – some level or some perspective which, when revealed, makes sense of these conflicting concepts and points to a higher purpose that they all serve. This may well be the case, and rhythm and movement may well be this purpose.[2]

This thesis offers a way of exploring Brahmsian metre along the lines suggested by Epstein. Part 1 (Chapters 2–5) offers a new concept, accentual counterpoint, as a lens on rhythmic-metric issues in Brahms, claiming that accentual counterpoint invites a more nuanced view of *how* metrical complexity is created in the music of Brahms than the current dominant perspective of metrical analysis: theories of metrical dissonance.

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[1] Johannes Brahms to Gustav Jenner, translated in Gustav Jenner and Susan Gillespie, 'Johannes Brahms as Man, Teacher and Artist', in *Brahms and His World*, ed. Walter Frisch (Princeton: Princeton University Press, 1990), 189–90. "Zunächst suchen Sie sich einen Lehrer, der Sie im strengen Contrapunkt unterrichtet … es ist unbedingt nötig, dass man die Welt eine gute Zeit lang durch diese Brille sieht." Gustav Jenner, *Johannes Brahms Als Mensch, Lehrer Und Künstler: Studien Und Erlebnisse* (Marburg: N. G. Elwert'sche, 1905), 13.

[2] David Epstein, 'Brahms and the Mechanisms of Motion: The Composition of Performance', in *Brahms Studies: Analytical and Historical Perspectives*, ed. George S Bozarth (Oxford: Clarendon Press, 1990), 194.

Part 2 (Chapters 6–8) then offers a potential answer to *why* Brahms explores such metrical complexity – the 'higher purpose' that such phenomena might serve. It is claimed that a paradox lies at the centre of musical motion:

> there is no clear rhythmic-metric analogue to conclusive voice-leading closure;
>
> yet the expressive nature of rhythmic-metric events in Brahms's music creates energy which requires closure.

Metrical closure in Brahms's music is thus a problematic idea; at best, it is subtly gradated and frequently limited. Metrical events can nonetheless enhance a sense of non-closure, through, for example, ending in metrically dissonant states, violating a sense of metrical balance, or ending in a non-tonic metre. (All of these concepts will be defined in the following chapters.) Such closes are interpreted as frequently being part of multi-movement strategies of teleology, yet when they occur in final movements, they must point to the idea that Brahms was invested in creating alternative narratives to those that are frequently ascribed to him.

Answers to such substantial questions must be partial and provisional. A number of case studies must deal only with certain aspects at one time, and can ultimately aim only to provide enhanced insight.

Chapter 2, 'Theories of metre', surveys the literature on the theoretical building blocks of the thesis, principally recent theories which approach metre structurally and theories of metrical dissonance and metrical complexity.[3] The chapter then offers the new concept of accentual counterpoint.

Chapter 3, 'Brahms and metre', offers one possible structure for conceptualising the building blocks of Brahms's style, and explores ways in which he has been shown to use metre in his works.

[3] Chapter 2 retraces some material already submitted for a MMus in 2012. This work has in almost all areas been built on; the author's thinking has also substantively changed, e.g. regarding the limits of the dissonance analogy and the inappropriateness of Krebs's 'layer concept' of metre for the music of Brahms. Since the theory is unfamiliar to most musicologists, the retracing is unavoidable before the exploration and depth of the later chapters. The more exactly repeated points have often been consigned to footnotes. See William Bosworth, 'Metrical Dissonance in Brahms's Second Piano Trio, Opus 87 in C Major' (University of Birmingham, 2012).

Chapter 4, 'Case studies for accentual counterpoint', offers two small-scale instances of accentual counterpoint and one larger one. Both of Brahms's songs 'Abendregen', Op. 70/iv, and 'Immer leiser wird mein Schlummer', Op. 105/ii, exhibit a kind of 'metrical divergence', where accent types simultaneously create senses of acceleration and deceleration; the second song, 'Immer leiser', is a particularly complex example of this. The chapter then offers an instance of complex accentual counterpoint from the last movement of the *Deutsches Requiem*, Op. 45, where it creates a subtle expressive effect which is tied both to the movement's place in the whole work and to issues of climax and closure.

Chapter 5, 'Op. 78 reconsidered: Brahms's route to complexity', offers a diachronic survey of certain metrical features across Brahms's oeuvre. The end of Op. 78/i contains a complex hemiolic effect which has previously been recognised, but whose creation and provenance in Brahms's previous works has not been explored. In particular, the chapter investigates Brahms's use of the 6/4 time signature as a potential site for such metrical effects, and the use of what are termed *pulse figurations* to create metrical layers.

In Part 2, the focus shifts away from accentual counterpoint and metrical complexity per se to Brahms's use of metre as a tool in creating movement-wide narratives, particularly non-standard ones.

Chapter 6, 'Metrical narrative and narrative diversity', explores diverse narratives in Brahms's music and proposes Byron Almén's narrative theory as a productive tool to explore metrical trajectories. It explores the problem of metrical closure in Brahms but does not offer a solution; instead, a theory of narrative is used to bypass the possibly intractable problem of creating a theory of metrical closure. The chapter explores instances of writers ascribing diverse narratives to Brahms's music. Almén's theory of musical narrative is explained, which uses *narrative archetypes* to taxonomise the possible trajectories of any musical narrative. A series of case studies explore how Almén's non-romantic archetypes could be read onto metre in Brahms's works.

Chapter 7, 'Directional metre', takes a particular analogical problem as a heuristic. If metrical states frequently gain a status akin to tonic in Brahms's music (as has been demonstrated by others), what are the possible expressive and structural outcomes when works finish in a different metre to that in which they start? Four schemata are proposed as possible structures, and each is explored in a case study.

Chapter 8, '"Concise yet expansive": The tragic metrical narrative of the Op. 101 Piano Trio', attempts to pull the theories of accentual counterpoint and metrical narrative together in a single case study. The first movement of Op. 101 is remarkable for its brevity but also its sense of great size; how is metre involved in this? The chapter offers a new term, *expansiveness*, to connote the metrical evocation of William Caplin's form-functional term *expansion*. Op. 101/i is seen to offer several examples of expansiveness, and these ultimately create a tragic metrical narrative.

Chapter 9 concludes by considering the success of the thesis, with particular reference to the problem of theoretical pluralism.

After the body of the thesis follows a Glossary of Terms and other end matter. A supplementary volume contains musical examples, and texts and translations for all songs discussed in detail. After these follows an Appendix. In his 2001 article on complex hemiola (the focus particularly of Chapter 5), Richard Cohn lists several early-nineteenth-century pieces which he claims offer precursors to Brahms's complex hemiola in Op. 78/i. Viewing metre with the refinement of accentual counterpoint illuminates whether they should be considered as such, and the Appendix explores them in turn.

1.2 Upbeat

Before the body of the thesis, a brief analysis exemplifies the problems it faces, and the suggested power of the theories laid out in the following chapters.[4]

Example 1.1 shows the first of five passages from Brahms's Intermezzo in A major, Op. 118/i; a rich example of the nineteenth-century *Charakterstück*, it has been beloved by generations of pianists as well as Brahms himself and his close friend Clara Schumann. In bar 29, the metre projected by the music briefly changes from 3/4 to 3/8, or 6/8. If it changed from 3/4 to 3/2, it would be called a hemiola, so it makes sense to call this a reverse hemiola.

What is the effect on perception of this brief change? Over the last twenty years or so, there has been a leading analytical tradition that conceives of such events as being akin to pitch dissonances. By this theory, *metrical dissonance* – like pitch dissonance – creates a

[4] Referencing is minimised in this analysis, as almost all concepts and associated literature will be covered in far more detail in due course. The exceptions are the reception of the piece by Brahms and Clara Schumann and the issues of inversion and canon, which are both explored in Steven Rings, 'The Learned Self: Artifice in Brahms's Late Intermezzi', in *Expressive Intersections in Brahms: Essays in Analysis and Meaning*, ed. Heather Platt and Peter H Smith (Bloomington: Indiana University Press, 2012), 19–52.

sense of tension, a tension which is then released upon the return to *consonant metre*. This theory seems to explain part of what happens in Example 1.1 quite well. It can also be extended to theorise elements of Brahms's metrical style. The preceding bars presage the dissonance with the mid-range Es on the fourth quaver of each bar, so that when the reverse hemiola comes to consciousness in bar 29 it feels somewhat natural, because it has been subconsciously noted already. This parallels the way that pitch constellations are known to work in Brahms's music, and more generally the nineteenth-century musical trope of emergent or breakthrough-type structures, strengthening the analogy between pitch and metre.

There is another type of metrical dissonance in the following bars of the same example. The syncopated As in bars 31–34 may be seen as creating *displacement dissonance*, because whereas the reverse hemiola *regrouped* three sets of two quavers into two sets of three (giving *grouping dissonance*), these syncopated As retain the cardinality of sets of two quavers (syncopated crotchets), but *shift* the emphasis of each crotchet by one quaver. Again, the analogy of metrical dissonance seems to capture the effect of this syncopation; there is a sense of tension and a drive towards resolution.

Example 1.2 shows another point, earlier in the piece, where a contrasting phrase, beginning at bar 17, brings metrical interest. This, too, could be analysed with the theory of metrical dissonance. Many a pianist will have felt the need to make effort to stress the F♯s in bars 17 and 18 (or will have been exhorted by their teacher to do so). This is mainly because of the tied bass note over the barline, creating an *agogic accent* on the third beat; the feeling that harmony changes on the third beat, a *harmonic accent*; and the general 'grouping', as delimited by the repetition and marked by the slurs. Brahms adds a dynamic hairpin to encourage the player to stress the notated downbeat, even though the player must fight to do so with just two notes – F♯ and C – against the *density accent* of the third beat. There is a sense of opposing forces at play.

But there is something about this example that seems to fit the dissonance analogy slightly less well than the first example. If one *were* to try and play it in such a way as to make it sound displaced, as if the barline were notated a beat earlier, that wouldn't quite work either. Perhaps that's because the F♯ dissonance, or the move from third (E) as bass to the articulation of the root (C), both seem to create accentuation. The F♯ has a tiny local accentuation by being the highest note of the group, as well – a *contour accent*. The

preceding metre affects things, too, having been fairly stable for the last few bars – this is projected onwards into our expectation for these bars, so shifting metre is unlikely for that reason as well. It could just be labelled as *direct dissonance*, where a dissonant and consonant metre are simultaneous (as opposed to the indirect dissonance in bar 29 of Example 1.1, where 3/4 metre virtually disappears). But the idea of direct dissonance as multiple simultaneous metrical layers does not seem ideal, perhaps because it does not match the fact that here different accent-types are creating the metrical interest within the same voices. Finally, the dissonance analogy doesn't work quite as well here as in Example 1.1 because it is far less clear what 'resolution' would be. A rhythmic syncopation drives towards resolution through an onbeat event – would each of these accent-*types* require a downbeat manifestation for metrical dissonance to truly resolve? Nevertheless, the feeling of a departure from metrical stability, or metrical consonance, still seems to match experience here with some accuracy.

In Example 1.3, at the beginning of the middle section, the idea of metrical dissonance is more problematic again. It is quite straightforward to claim it as a useful way of viewing *low-level* metre; the conflict between duplet and triplet quavers is quite palpable, and again we can imagine what resolution might feel like – the removal of one of these layers. (Brahms sidesteps this in the following bars, which grant metrical 'consonance' through the removal of *both* layers – a change to crotchet motion.) But *mid-level* metre – around the level of crotchet and bar – is more subtle. The canonic fragments in bars 49–50 and 53–54 are set at an imitative distance of two crotchets (apart from the F♯), which means that pitches which garnered a weak-beat status become strong (for example the Es in bars 49 and 50), and vice versa. And, comparing the first C♯–F♯ dyad in each voice, they seem to have different metrical identities – one held over the bar and leaping over the E, the second rising more confidently from C♯ to F♯. Is this metrical dissonance? It is much harder to consider it as such. (Similar is the imitation in the middle voice in bars 35 and 36 at a distance of three quavers.) But there's no doubt that this is some kind of metrical event, a kind of metrical play or manipulation, and it's also, certainly, comparable to the first two examples in that there is some kind of opposition of forces, a sense of back and forth about metrical identity.

Example 1.4 shows the opening, and here it seems even more tenuous to claim a sense of metrical *dissonance*; 3/4 metre unfolds with little sense of challenge or tension. But there's still some sense of an unusual energy shape in this opening gesture. The rhythm, moving

from quavers onto an agogically accented minim, certainly supports the notated metre, as does the low bass note at the beginning of the first full bar. However, the move from a root-position tonic, voiced with an open fifth at the bottom and a doubled root, to a second-inversion subdominant – and a four-note chord moving to a three-note one – seems somehow inverted, upside-down. But is there really tension here? Is there something that could 'resolve'? Even more than Example 1.3, this has a feeling of dynamic equilibrium about it; opposing flows locked in a sort of stalemate. Yet again, though, it is comparable to all the previous examples. Brahms spends this piece (indeed, much of Op. 118) exploring inversion, motion and equilibrium, and often at the level of the crotchet.

What the metrical activity in all the previous four examples does do is to impart an individual sense of life to the music. The examples do not sound well-formed, ordered or closed – none of those terms being meant pejoratively. The examples suggest continuation, both in the sense of Epstein's expectation for clarification and in the sense that they raise a sense of potential energy.

So what happens at the end of the piece (Example 1.5)? Again, there is some metrical dissonance – the Es held across the beginning of the penultimate and final bars. But the final bar certainly seems on paper to close the piece with metrical stability – a perfect cadence to a long final chord, starting on the downbeat.

But there is a great difficulty in making that final chord feel like a conclusive downbeat; nor does it feel to have resolved all the temporal energy of the preceding bars: neither the instantly preceding ones, with the tied Es over the barline and those dynamic markings; nor the further preceding ones, with the third beats – displacement dissonance again – enriched with a chain of descending thirds in the bass; nor the passage before that, with the repeat of the material of Example 1.2 ending in a kind of half-hemiola in bars 108–109. The final chord is voiced to restrict the energy of melodic resolution: $\hat{3}$–$\hat{2}$–$\hat{1}$, $\hat{4}$–$\hat{3}$ and $\hat{7}$–$\hat{8}$ motions are all placed in inner voices; with an instruction to spread the chord, and after markings of *ritardando* and *piu lento*, one can only play it so slowly as to dissolve metre.

If one finishes playing there, that potential energy hangs there, with a sense of yearning, frustration and melancholy despite the tender major-key close – rich and entirely in keeping with the aesthetic of the nineteenth-century character piece. Or the energy is

displaced onwards, towards what Brahms chose as the third piece in the set, which not only takes up the gauntlet with a bang but also might suggest its own connection with the A major *Intermezzo*, through its upbeat gesture, the rearranged three-note motive, the V/V–V–i (A major; D major; G minor) progression, and the similar tessitura and harmonic style.

This thesis, then, suggests that all these five different passages share a technique of composition. The analogy of metrical dissonance is powerful, and often very cogent to our experience – it works relatively well in the first few examples – but it does not sufficiently account for the subtlety of experiencing metre in Brahms's music. This is because across his career he developed the ability to manipulate the different accent *types* which create, sustain, enliven and disturb metre. These types of accent are many and varied. We have a preference for dynamically accented notes to be in a strong metrical position (dynamic accent), and for long notes to be in strong metrical positions (agogic accent), and we have a preference for the highest or lowest note in a span to be in a strong metrical position (contour accent). We also have a preference for metre to continue in the same way once it has been established – we project. And these different accent types create preferences of different strengths.

Brahms learned how to set these accent types against each other, such that different types are used to emphasise successive moments. This can rise to the level of metrical disturbance where metrical dissonance is an apt perspective – where we feel a sense of challenge to the metre, and perhaps a sense of return if this is removed. But we need a more comprehensive view – a different analytical lens – because this independent motion is not always best viewed as dissonance, but rather there can be a balance of forces that nonetheless creates forward motion, and a complexity that cannot and should not be reduced to consonance and dissonance. This thesis calls such interplay of accent types accentual counterpoint.

To what ends does Brahms use accentual counterpoint? The sense of energy created by metre in Brahms's music, far more often than is currently considered, bleeds over the end of individual pieces, songs or movements. This is suggested to be the 'higher purpose' of metrical ambiguity or unclarity, alluded to by Epstein. But it can be appealed to with the musical evidence on the page, with analytical methods explored in the thesis that follows.

Chapter 2 Theories of metre

2.1 Introduction

This chapter groups with Chapters 3 and 4, founding the conception of metre used, and its roots in musicological literature, with a bias towards methodologies of score analysis, and particularly theories of metrical dissonance and metrical states. It then offers the new concept of accentual counterpoint, as both a type of metrical process and a conceptual parent of metrical dissonance. As a primer to the ways in which accentual counterpoint and metrical complexity will be interpreted, Chapter 3 explores Brahms's style, surveys some analysis of metre in Brahms's music, and starts to argue for the narrative quality of metre in Brahms. In Chapter 4, case studies offer instances of accentual counterpoint.

2.2 Analytical approaches to metre

Recent analytical work on musical metre can be classified in three broad strands (though good work rarely follows a single thread in isolation). Scientifically-oriented studies focus on the perception and cognition of metre by a listener (or performer). Historically informed studies aim to enhance our thinking about metre through revisiting historically appropriate treatises on music and composition. Finally, some analysts intentionally innovate, creating new theories, tools and structures – lenses through which to view often familiar music.

The theories of this thesis are most indebted to and characteristic of the third strand. Concepts used here have been developed in work since 1980 and mainly in the last twenty years or so, aimed at facilitating score analysis. This period has seen something of a disciplinary renaissance of analysis generally; after the anti-formalist swing of the New Musicology toward the end of the twentieth century, the back-swing of the pendulum has brought significant work in theory and analysis, perhaps most notably seen in the rise of the 'New *Formenlehre*', but also in areas such as hermeneutics, narrative, and harmonic theory. The quantity of work on analysis of rhythm and metre has exploded. This work has put metre on the map in terms of the analysis of expression, and has 'placed meters on

a more equal ontological footing with pitches, pitch classes, pitch-class collections (chords, melodies, etc.), and many other musical "objects"'.[5]

To return to word used in passing two paragraphs above, the concept of analysis or particular analytical methods as *lenses* recurs through the thesis. This comes principally from Suzannah Clark's 2011 monograph *Analyzing Schubert* – where she argues that the composer's music has been deprecated because critics have gazed at it through the wrong lenses – and Michael Spitzer's review of the same. Ocular metaphors are a particularly apt way of conceptualising the methods used in this thesis for two methodological reasons: their principal goal is insight, or illumination, through novel means; and in the absence of reconstitution through contemporary sources, theories of metre and narrative are particularly bound to being external, modern and speculative ways of conceptualising music. Nevertheless, the pitfalls are considerable, and Spitzer's review dwells upon them with considerable weight.[6]

But the idea of accentual counterpoint as an appropriate lens for looking at Brahms's music is serendipitously given a different kind of justification in the quote from the composer himself with which the thesis began. It is not new to assert Brahms's commitment to traditional counterpoint, but the quote suggests that the concept of counterpoint has a much deeper and more abstract rooting in his aesthetic and methods – that 'looking through this glass for a good long time' might illuminate something more about his music.

2.3 A definition of metre

The concept of metre used in this thesis is most indebted to the theories of Fred Lerdahl and Ray Jackendoff, although adapted from the use of their theories by scholars such as Harald Krebs, Danuta Mirka and Ryan McClelland.[7]

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[5] Scott Murphy, 'Metric Cubes in Some Music of Brahms', *Journal of Music Theory* 53, no. 1 (2009): 1.

[6] Suzannah Clark, *Analyzing Schubert* (Cambridge: Cambridge University Press, 2011); Michael Spitzer, 'Of Telescopes and Lenses, Blindness and Insight', *Journal of the Royal Musical Association* 138, no. 2 (2013): 415–29. Launching her discussion from an image of Schubert peering through a kaleidoscope (while his friend Leopold Kupelweiser crashes into him riding a draisine), Clark ties this record of Schubert in with another use of the ocular metaphor for analysing Schubert's music, Richard Cohn's exploration of neo-Riemannian harmonic models: Richard Cohn, 'As Wonderful as Star Clusters: Instruments for Gazing at Tonality in Schubert', *19th-Century Music* 22, no. 3 (1999): 213–32.

[7] Fred Lerdahl and Ray Jackendoff, *A Generative Theory of Tonal Music* (London: MIT Press, 1983); Harald Krebs, *Fantasy Pieces: Metrical Dissonance in the Music of Robert Schumann* (Oxford: Oxford University Press, 1999); Danuta Mirka, *Metric Manipulations in Haydn and Mozart: Chamber Music for Strings (1787–1791)* (New York: Oxford University Press, 2009); Ryan McClelland, *Brahms and the Scherzo: Studies in Musical Narrative* (Farnham: Ashgate, 2010). Mirka explores the heritage of Lerdahl and

Metre is defined as a regulatory, hierarchical, temporal grid, created by and organising the majority of pulses, groups and accents across a time span (accent relating to a broader conception than just dynamic stress, to be explored below). Metre is dynamic because it is interdependent with these accents, created by them but also influencing them and creating them in turn.[8] Metre is also interdependent with grouping; grouping and accent are primary-level constructs whereas metre exists at a secondary level.[9] It is also taken to have some flexibility, coping with rubato and occasional missing events, although these can be pertinent and expressive. Once metre is established, a listener projects the grid onwards, both anticipating future events and continuing for some time in the face of conflict.[10]

Metre's relationship with the time signature is therefore at best only one where the latter gives partial indication of the former (and occasional counter-instruction); metre includes those metrical layers above and below those suggested in the time signature, and it may be that the actual metre is not the same as the notated metre.[11]

Jackendoff's ideas both in earlier twentieth-century work and in eighteenth-century theories of metre: Mirka, *Metric Manipulations*, ix–xiii, 13-15.

[8] Due to its aims, this thesis does not explore the mechanisms of the processing of metre – such as the differences between 'serial single-choice' processor models and 'parallel multiple-analysis' models (see Mirka, *Metric Manipulations*, 17ff) – in detail.

[9] See William E Benjamin, 'A Theory of Musical Meter', *Music Perception: An Interdisciplinary Journal* 1, no. 4 (1984): 355–413. Benjamin describes 'grouping as an organization of music's event flow and accentuation as an organization of music's time-point continuum … accent and grouping are the basic, if not neatly separable, modes of partitioning musical time … meter is a secondary construct, imposed on the interaction of group structure and accent, in response to certain practical and aesthetic needs' (p. 359). Mirka admits that the problem of distinguishing between metre and grouping can be 'palpable' since 'meter, too, is a kind of grouping' Mirka, *Metric Manipulations*, 14, n. 24. Grouping here generally refers to the syntactical parsing of melodic-motivic material; in terms of its relation to metrical structure the most commonly salient aspect of grouping is the repetition of short groups, where the first group typically receives a metrical accent due to Lerdahl and Jackendoff's MPR11 (see below, 2.6).

[10] Metrical establishment and entrainment is not laid out in detail in this thesis, but is indebted to Mirka's work in *Metric Manipulations*, particularly Chapter 2, 'Finding Meter'. On entrainment see Chapter 1 of Justin London, *Hearing in Time: Psychological Aspects of Musical Meter*, Second (Oxford: Oxford University Press, 2012). The concept of projection, central to both Mirka's and Krebs's analyses, is owed to Christopher Hasty, *Meter as Rhythm* (Oxford: Oxford University Press, 1997). On the subtle differences between Mirka's and Hasty's conceptions of projection, see Edward Klorman, *Mozart's Music of Friends: Social Interplay in the Chamber Works* (Cambridge: Cambridge University Press, 2016), 203, n. 13. Projection is also tied in to motion-related metaphors of meter, such as Zuckerkandl's 'metric wave' model. See Victor Zuckerkandl, *Sound and Symbol: Music and the External World* (New York: Pantheon, 1956).

[11] The additional function of a time signature, to indicate affect, is still residual in nineteenth-century music (and plausibly more pertinent to Brahms than to the average nineteenth-century composer, given his historicist tendencies). This will be touched on in Chapter 4 but not treated in detail. See Mirka, *Metric Manipulations*; John Paul Ito, 'Koch's Metrical Theory and Mozart's Music: A Corpus Study', *Music Perception: An Interdisciplinary Journal* 31, no. 3 (2014): 205–22; Wye Jamison Allanbrook, *Rhythmic Gesture in Music: Le Nozze Di Figaro & Don Giovanni* (Chicago: University of Chicago Press, 1983); Floyd K. Grave, 'Metrical Displacement and the Compound Measure in Eighteenth-Century Theory and Practice', *Theoria* 1 (1985): 25–60; William Rothstein, 'Metrical Theory and Verdi's Midcentury Operas', *Dutch Journal of Music Theory* 16, no. 2 (2010): 95–98; Leigh VanHandel, 'National Metrical Types in Nineteenth Century Art Song', *Empirical Musicology Review* 4, no. 4 (2009): 134–45.

2.4 States, levels and layers

At its base, metre requires a regular series of pulses; the fastest pervasive level of pulses is termed the *pulse layer* (although a pulse layer can be so fast as to cease to be metrically useful, as will be discussed below).[12]

The pulse layer is thus an extension of time divided non-hierarchically by equal unit values. Each of those unit values is called a pulse. As construed in this dissertation, the unit value of the pulse will always be taken to be coincident with the shortest rhythmic value that pervasively organises a field of musical time. Metre occurs once the pulse layer is organised into a regularly recurring group.[13]

The specific grouping and any successive groupings (i.e. groupings of groupings) of pulses is called a *metrical state* (a metrical state codifies a metre), and it is here represented by numbers representing cardinalities. A metrical state interprets a time span by successively grouping its pulses (or sub-spans) until a list of ratios is obtained; this is denoted as, for example, '[𝅘𝅥𝅯232]': this represents grouping of the quaver pulse layer into pairs, these pairs into threes, and these threes into twos, eventually denoting 6/4 or duple hypermetre in 3/4 (here considered identical). This is a system developed by Richard Cohn, with the refinement of added noteheads by the present author.[14] The thesis deals almost exclusively with metrical hierarchies whose factors at every level are either two or three.[15]

This organisation typically happens by means of what Krebs calls *interpretative layers*, which make sense of the 'raw data of the pulse layer by organizing its pulses into larger

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[12] Krebs, *Fantasy Pieces*, 23. The term 'pulse' is often taken to denote an event anywhere on the metrical hierarchy, but pulse as used in this thesis will generally follow this more specific meaning.

[13] This follows Mirka, herself following the conception of metre articulated in the eighteenth century by such authors as Johann Philipp Kirnberger, his pupil Johann Abraham Peter Schulz, and Heinrich Christoph Koch. 'Meter in the proper sense of the word is therefore a "double uniformity" (*doppelte Einförmigkeit*) as it forms a hierarchical interconnection of two regular series to be counted by means of cyclically recurring shorter series of numbers'. Mirka then discusses the distinction between a conception of metre which requires phenomenal accents for the second-order regularity (the grouping), and one in which 'in an undifferentiated series of beats, subjective accents will arise by virtue of the cognitive mechanism that tends to impose a mental organization on otherwise unorganized stimuli'. This thesis takes the latter view. Mirka, *Metric Manipulations*, 4–5.

[14] Richard Cohn, 'The Dramatization of Hypermetric Conflicts in the Scherzo of Beethoven's Ninth Symphony', *19th-Century Music* 15, no. 3 (1992): 188–206; Richard Cohn, 'Metric and Hypermetric Dissonance in the Menuetto of Mozart's Symphony in G Minor, K. 550', *Intégral* 6 (1992): 1–33. Also called *metric complexes* or *metric spans*. 'Metric and Hypermetric Dissonance' used lists of pulse numbers of the form <1,2,4,12,24>.

[15] This follows Lerdahl and Jackendoff's Metrical Well-Formedness Rule 3: 'At each metrical level, strong beats are spaced either two or three beats apart.' (1983, p.69), although John Paul Ito argues that 'their well-formedness rules would be better construed as extremely strong preference rules', and reconceptualises them using prototype structures from cognitive theory: John Paul Ito, 'Hypermetrical Schemas, Metrical Orientation, and Cognitive-Linguistic Paradigms', *Journal of Music Theory* 57, no. 1 (2013): 66ff.

units'.[16] An interpretative layer can be characterised by an integer denoting the number of pulses it regularly subsumes. This integer gives the layer cardinality; an interpretative layer of cardinality *n* is an 'n-layer'.[17] A single musical line can contain several interpretative layers because of the different accent-types involved in metre. Interpretative layers will be shorthanded in this thesis to *layers* or *metrical layers*; this means that the *pulse layer* is an exception to the concept of layer, since a layer thus construed implies organisation while the pulse layer is defined as unorganised.

2.5 Metrical states

While the metrical grid is, as will be explored below, taken to be perceptually *centred* around some tactus level or levels, in notation it is obviously easier to view it from the top or bottom.[18] Viewing from the bottom, as successive groupings of pulses and then sub-spans, can be exhaustive, and this is the preference in this thesis; viewing from the top can allow overview, and from the listener's point of view it reflects high-level chunking. In defining *metrical states*, this thesis uses the bottom-up method: the quickest pulse level first, and with its value illustrated by notehead.

Where all ratios are prime, the complex is said to be 'fully consonant', meaning there are no unarticulated levels in the metrical hierarchy.[19] Where all ratios in the span are either 2 or 3, the complex is said to be pure duple or pure triple respectively.[20] Where both 2 and 3 are involved as factors, the complex is said to be mixed.[21] Mixed complexes are technically consonant yet nevertheless invite metrical interest through the possibility of swapping ratios between levels; they have 'an inherent potential to host ambiguity and conflict'.[22]

The issue of identifying groupings of 2 and 3 intersects with the need to distinguish between readings of continuous periodic oscillation between two values (*a b a b a b*), in

[16] Krebs, *Fantasy Pieces*, 23. Here anglicised from the American 'interpretive'.
[17] Ibid.
[18] Yonatan Malin believes that 'the top-down and bottom-up methods each have heuristic value, depending on the analytical context'. Following Justin London's first edition of *Hearing in Time* in 2004, Scott Murphy makes use of some 'middle-out' constructions. Yonatan Malin, *Songs in Motion: Rhythm and Meter in the German Lied* (New York: Oxford University Press, 2010), 38; London, *Hearing in Time*; Murphy, 'Metric Cubes'.
[19] Cohn, 'Metric and Hypermetric Dissonance', 8.
[20] Cohn coined these terms in 'Dramatization'.
[21] This use of the term 'mixed metre' differs from that of Mark Gotham, for example, to whom mixed metres are those which include factors other than 2 and 3 (e.g. metres of cardinality 5 or 7). Mark Gotham, 'The Metre Metrics: Characterising (Dis)Similarity among Metrical Structures' (University of Cambridge, 2015); 'Attractor Tempos for Metrical Structures', *Journal of Mathematics and Music* 9, no. 1 (2015): 23–44.
[22] Cohn, 'Dramatization', 195.

what can sometimes amount to a perceptual paradox. Cohn defines interpreting the stream in the form (*a b*) (*a b*) (*a b*) as a *parallel* scheme; this conforms to a psychological preference for duple relations.[23] However, the alternative, a switchback scheme of the form (*a b a*) (*b a b*), can also be aesthetically satisfying, as each metric unit is bounded on both ends by a single value, responding to a 'basic desire for closure'; since there is 'an inversional relationship between adjacent units: **aba** is balanced by **bab**',[24] there is also a duple, parallel interpretation at a higher level.

2.6 Accents and MPRs

The events that create metre at all levels above the pulse layer are *accents*, either *phenomenal* or *subjective*.[25] Subjective accents are those inferred by the listener: imagined dynamic stresses created by the projection of the listener's metrical grid. There are many different phenomenal accent-types. The strongest and most basic are event presence and dynamic accents. Within the Western common-practice tradition, one of the most important families of accent is harmonic accents. Edward Klorman's adaptation of Lerdahl and Jackendoff's Metrical Preference Rules (MPRs), below (Table 2.1), explains most of the accent-types; importantly, the concept of accent essentially repositions the MPRs in the score.[26]

[23] Ibid., 191–94.
[24] Ibid., 193.
[25] There are different ways of grouping accent-types. Lerdahl and Jackendoff, for instance, posit three types: phenomenal, structural and metrical, but these intersect messily, for instance a 'metrical' accent ('any beat that is relatively strong in its metrical context' (17)) is in fact a point on a metrical grid which causes the performer to create a dynamic (phenomenal) accent and/or the listener to perceive one. See also Joel Lester, *The Rhythms of Tonal Music* (Carbondale: Southern Illinois University Press, 1986).
[26] Klorman, *Mozart's Music of Friends*, 199. For the first ten rules, Klorman 'adopted some simplified names and borrowed formulations' from David Temperley and William Rothstein: David Temperley, *The Cognition of Basic Musical Structures* (Cambridge, MA: MIT Press, 2001), 30–39; Rothstein, 'Metrical Theory and Verdi's Midcentury Operas', 95–98. Regarding the distinction of *notes* and *tones*, the former 'inhere concretely in a real or imagined performance; the latter exist only as mental abstractions, as in a Schenkerian middleground': Klorman, *Mozart's Music of Friends*, 111, n. 1. This equates to Rothstein's distinction between *parts* and *voices* in William Rothstein, 'On Implied Tones', *Music Analysis* 10, no. 3 (1991): 289–328. The eleventh MPR is 'Rothstein's refined formulation of what he calls "Tetzel's rule," named for the little-known German theorist Eugen Tetzel who first articulated it about a century ago.' (Klorman, *Mozart's Music of Friends*, 199, n. 4.) The twelfth rule results from one emphasis of this thesis; contour accents are mentioned by Krebs in *Fantasy Pieces*.

1) Parallelism	Prefer to assign parallel metrical structures to parallel segments.
2) Strong Beat Early *(grouping accent)*	Weakly prefer to assign the strongest beat relatively early in a group.
3) Event	Prefer to align strong beats with onsets of notes.
4) Stress *(dynamic accent)*	Prefer to align strong beats with relatively stressed notes.
5) Length *(agogic accent)*	Prefer to align strong beats with the inception of long events, such as: a) a relatively long note; b) a relatively long duration of a dynamic; c) a relatively long slur; d) a relatively long pattern; e) a relatively long tone (i.e., an abstractly prolonged note); f) a relatively long harmony.
6) Bass	Prefer a metrically stable bass. (This rule intensifies other MPRs as they apply to the bass.)
7) Cadence	Strongly prefer a metrically stable cadence. NB: This rule does not prefer cadences to fall on weak or strong beats; it merely prefers for them to fall on beats.
8) Suspension	Strongly prefer a metrical structure in which a suspension is on a stronger beat than its resolution. This rule applies to the suspended sixth and fourth in a cadential 6/4 chord.
9) Stability	Prefer to align stronger beats with the onsets of relatively stable harmonies and weaker beats with less stable harmonies. This rule also applies to stable and unstable notes (i.e., non-chord tones such as passing and neighbour tones are preferably aligned with relatively weak metrical positions).
10) Duple Bias	Prefer duple over triple relationships between metrical levels.
11) First Statement Stronger *(grouping accent)*	When a motive is immediately repeated at the same or another pitch level, prefer to align the strongest beat in the first statement with a stronger metrical position than the strongest beat in the second statement.
12) Outer pitches stronger *(contour accent)*	Weakly prefer a metrical structure which places extreme pitches in a local span on relatively strong beats.

Table 2.1 Metrical Preference Rules, as developed by Lerdahl and Jackendoff and presented by Edward Klorman.

A few notes on these accents and others: Mirka notes that the last event before a silence often has effectively an agogic accent.[27] Separately, the concept of agogic accents implies the relationship between rhythm and metre in this thesis.[28] There are also *textural accents*

[27] Mirka, *Metric Manipulations*, 42–46.

[28] Rhythm and metre are taken to be interdependent, much like pitch and harmony, following Ryan McClelland's preference for 'a relatively strict separation of rhythm from meter … something … is lost if one conceives of meter as rhythm rather than viewing meter and rhythm as separate, interacting entities'. Ryan

or *density accents*. Ornamentation can also play a role in metre, particularly in highlighting parallelism.[29] The onsets of slurs can have minor accentual effect.

2.6.1 Harmonic accents and phrasal metre

Brahms was aware of the metrical power of harmonic dissonances, particularly suspensions; in one of his uncommon comments on music theory, he said to Georg Henschel: 'And don't forget: no heavy dissonances on unstressed parts of the measure, that is weak-kneed! I greatly love dissonances, but on the heavy portions of the measure, and then resolve them lightly and gently!'[30]

Nevertheless, things are not as simple as Brahms's maxim might imply, and attempts at establishing a systematic relationship between harmony and metre in common-practice music have occupied theorists for centuries. The preference for changes of harmony to correlate with metre is undeniable; but the relative weighting of different chords is more problematic, and in particular whether a paradigmatic phrase is 'beginning-accented' or 'end-accented'. William Caplin provides a balanced review of the ideas of prominent historical theorists.[31] The paradigmatic problem is represented by an eight-bar sentence: does hypermetre align to odd bars, weighting the beginning (MPR 2), or even bars, weighting the cadential arrival (MPR 7)? Samuel Ng disagrees 'with Cone and other theorists who argue that phrases are inherently end-accented. As Lerdahl and Jackendoff (1983) have shown, such arguments stem from an erroneous conflation of structural and metrical accents and a disregard of multifariousness in their interaction in tonal music'.[32]

This thesis agrees; phrases are inherently beginning-accented (MPR 2), but perfect cadences are inherently weighted towards the tonic. Projection and regularity will tend to

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McClelland, 'Extended Upbeats in the Classical Minuet: Interactions with Hypermeter and Phrase Structure', *Music Theory Spectrum* 28, no. 1 (2006): 29. The substantial opposition to this comes from Hasty, to which McClelland is presumably referring.
On agogic accents, Mirka notes that it is inter-onset interval (IOI), 'rather than effective duration, that plays the role of durational accent' (Mirka, *Metric Manipulations*, 44).

[29] 'Parallelism may be recognized even earlier, if the pattern features a characteristic opening chunk. It is not by chance that many examples of *imbroglio* feature patterns that start with a quick turn … such a turn is designed to facilitate the recognition of the parallelism at the very beginning of the second segment.' Mirka, *Metric Manipulations in Haydn and Mozart: Chamber Music for Strings (1787–1791)*, 138.

[30] Johannes Brahms to Georg Henschel, 17 July 1876, Translated by Ernest Bernhardt-Kabisch in Constantin Floros, *Johannes Brahms: "Free but Alone"* (Frankfurt: Peter Lang, 2010), 208. 'Auch merken Sie sich: keine schweren Dissonanzen auf leichten Taktteilen, das ist schwächlich! Ich liebe Dissonanzen sehr, aber auf schweren Taktteilen, und dann leicht und sanft auflösen!' Max Kalbeck, *Johannes Brahms* (Berlin: Deutsche Brahms-Gesellschaft, 1922), vol. 3, p. 85.

[31] William Caplin, 'Tonal Function and Metrical Accent: A Historical Perspective', *Music Theory Spectrum* 5 (1983): 1–14.

[32] Samuel Ng, 'Phrase Rhythm as Form in Classical Instrumental Music', *Music Theory Spectrum* 34, no. 1 (2012): 61.

privilege the former, but in some cases a listener, composer or performer (or combination thereof) will act to privilege the latter. This, though, is the first theoretical example of accentual counterpoint, and it is such counterpoint that gives music its life, energy and motion.[33]

A similar problem is the placement of cadences within bars, and particularly compound time signatures, debates over which continue.[34] William Rothstein, for instance, has argued that eighteenth-century theorist Heinrich Christoph Koch's insistence on downbeat cadences represented an increasingly obsolete perspective as time passed, and suggests the existence of different 'national metrical styles' of cadence placement.[35] Leigh VanHandel evaluates Rothstein's taxonomy with regard to a corpus of art songs, but comes up with differences between Franco-Italian and German practice which are 'not statistically significant'.[36] Nevertheless, such debates revolve around stylistic usage, not metrical perception.

2.7 The MPRs show the complexity of metre and lead to accentual counterpoint

The MPRs demonstrate the complexity and fluidity of metre, and caution for flexible analysis. They operate with different weightings in different repertoires;[37] different performances will give different parameters different weightings; and different listeners are likely to weight metre differently. What the MPRs do is offer a multi-accented view of metre, which also indicates its interdependence with grouping.

This multi-accented view, in turn, suggests the possibility that the accent-types that create metre can act independently. The interaction of the different accent-types is here termed *accentual counterpoint*. Recognising that accent-types can assume some independence

[33] The concepts of energy and motion will be explored more below; see principally Epstein, 'Brahms and the Mechanisms of Motion'. Also Yonatan Malin, 'Metric Analysis and the Metaphor of Energy: A Way into Selected Songs by Wolf and Schoenberg', *Music Theory Spectrum* 30 (2008): 61–87; David Epstein, *Shaping Time: Music, The Brain, and Performance* (New York: Schirmer, 1995). Malin's project overlaps with the current one in that he uses the 'metaphor of energy' to investigate interactions between rhythm, metre and pitch, and roots this approach in a lot of the same literature and theory, such as that of metrical dissonance. In addition, he attempts to explicate issues like 'gesture' and 'grounding' with respect to the same domains. But the conceptual configuration he uses to approach these ideas is considerably different, most notably in its sense of music's agency and causality, resulting in different senses of such terms as *energy* and *movement*.

[34] See Mirka, *Metric Manipulations*; Roger Mathew Grant, *Beating Time and Measuring Music in the Early Modern Era* (New York: Oxford University Press, 2014); Ito, 'Koch's Metrical Theory and Mozart's Music'.

[35] Rothstein, 'Metrical Theory and Verdi's Midcentury Operas'.

[36] VanHandel, 'National Metrical Types in Nineteenth Century Art Song'.

[37] Rothstein, 'Metrical Theory and Verdi's Midcentury Operas', 108.

from each other is not new, and accentual counterpoint is to some extent ubiquitous in music (as are many of Brahms's other compositional hallmarks, such as developing variation).[38] Nevertheless, the thesis argues firstly that Brahms was unusually adept at it, and secondly that he became more so across his life. The term is therefore particularly apt for the exploration of his music, both because of the music's complexity in this regard. But it gains additional weight because of the high value that Brahms, as an ardent historicist and musical technician, placed on the study of counterpoint.[39]

2.8 The metrical hierarchy is centred

While the theoretical apparatus described so far could construct metre at any scale, and some analysts assume or argue that metre is equivalent at any scale, perceptual studies debunk this idea, and instead centre the metrical hierarchy around three core values, as crystallised by Mark Gotham:

> 1) there is a preference for pulses around 100 beats per minute which equates to an inter-onset interval (IOI) of 0.6 seconds;
> 2) pulses shorter than 0.1 seconds cease to be metrically useful;
> 3) the upper limit for what can be grouped as a single (metrical) unit is approximately 6 seconds.[40]

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[38] Klorman points out that 'Oftentimes in Mozart's chamber music, metrical play is tantamount to metrical interplay: moments of metrical ambiguity or manipulation commonly arise through conflicting signals expressed by individual parts', in his exploration of 'the intersection between a decentered view of meter and the concept of multiple agency'. With a focus on hypermetre, he points out that 'the question "how do I hear the hypermeter?" is often less illuminating than the alternative query "which metrical signals rub against the prevailing hearing?"' Klorman, *Mozart's Music of Friends*, 221, 201.

[39] This idea roots itself in: the 1856 counterpoint exchange with Joachim; Brahms's comment to Clara about canons; his collection of parallel fifths and octaves; the theory books in his own extensive library (to a lesser extent, since there is conflicting evidence as to how much he valued these texts). He recommended that the composer Max Graf go and see a village counterpoint teacher, and that Hugo Wolf should similarly study counterpoint to realise his potential; Richard Heuberger was directed to Heinrich Bellerman's 1862 textbook *Der Contrapunkt*; Gustav Jenner was sent to Eusebius Mandycewski. (Jenner's recollection of Brahms's teachings is a rare and thus valuable texts on Brahms's compositional aesthetic.) See: Virginia Hancock, *Brahms's Choral Compositions and His Library of Early Music* (Michigan: UMI Research Press, 1983); David Brodbeck, 'The Brahms-Joachim Counterpoint Exchange; Or, Robert, Clara, and "the Best Harmony between Jos. and Joh."', in *Brahms Studies*, ed. David Brodbeck (Lincoln: University of Nebraska Press, 1994), 30–80; Ludwig Misch, 'Kontrapunkt und Imitation im Brahmsschen Lied', *Die Musikforschung* 11, no. 2 (1958): 155–60; Robert T. Laudon, 'The Debate about Consecutive Fifths: A Context for Brahms's Manuscript "Oktaven und Quinten"', *Music and Letters* 73, no. 1 (1992): 48–61; Kurt Hoffman, *Die Bibliothek von Johannes Brahms* (Hamburg: Karl Dieter Wagner, 1974); George S Bozarth, 'Encounters: Max Graf', *The American Brahms Society Newsletter*, 1986; Jenner and Gillespie, 'Johannes Brahms as Man, Teacher and Artist'. For more in-depth consideration of Brahms's views on counterpoint, see also Peter Foster, 'Brahms, Schenker, and the Rules of Composition' (University of Reading, 1994), particularly Chapter 2, 'Brahms's views on composition teaching and theory'.

[40] Gotham, 'The Metre Metrics', 15, summarising Justin London's literature summary; London, *Hearing in Time*, 27ff. All these values continue to be contested, particularly the upper limit (psychological present), but

Gotham points out this weakness in Lerdahl and Jackendoff's account of metre: that it holds an 'implicit assumption that the various metrical levels are equally salient and important to the metrical experience'. He argues that 'a consideration of tempo improves this situation', and he provides this with his model of *attractor tempos*: the tempos which optimise salience for given metrical hierarchies.[41]

The metrical hierarchy is therefore centred around a tactus, which acts as a 'temporal anchor' to other levels; Justin London argues that this 'middle-out' view 'seems most consonant with the way we attend to (as well as represent) rhythmic events',[42] and has argued strongly that 'alterations of the tactus are more conspicuous than alterations of other pulses'.[43]

A tradition of musical treatises aimed at composers also follows the idea of a metrical hierarchy centred around the tactus.[44] But as an analyst, identifying in practice a single 'correct' *tactus* in any given passage is nearly impossible: different listeners will perceive different levels as perceptually prominent, and, as Gotham's work shows, different tempos will create different salience profiles anyway. For the present work, it is sufficient to say that metre becomes less strongly felt at both low and high levels of the metrical hierarchy, but that at either end of the prominently felt range, different accent types, or MPRs, have different weightings (as, for example, will be shown in relation to hypermetre in section 2.14.

2.9 The pulse layer

As well as metre typically being centred around a strongly salient tactus, other levels of the metrical hierarchy can exhibit individualities. The establishment, consistency and perception of the pulse layer has encouraged some recent work. Mirka suggests that some composers play with the establishment of a pulse layer (and thus a metrical grid), especially at the beginning of a piece but also at other times; for instance, changes in the metrical profile at the pulse layer can be used to explain irregularities at a larger scale, since

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they still support the concept of a centred metrical hierarchy. For discussion of the psychological present, see also Stefan Caris Love, 'Historical Hypermetrical Hearing: Uncertainty, Floors and Trapdoors', *Music Analysis* 35, no. 2 (2016): 142–70.

[41] Gotham, 'Attractor Tempos for Metrical Structures', 25.

[42] Justin London, 'Rhythm', *The New Grove Dictionary of Music and Musicians* (Grove, 2001).

[43] Murphy, 'Metric Cubes', 31.

[44] See, of course, Mirka's *Metric Manipulations;* also Grant, *Beating Time and Measuring Music*; Ruth I. DeFord, *Tactus, Mensuration and Rhythm in Renaissance Music* (Cambridge: Cambridge University Press, 2015).

irregularity becomes regularity when a change of real metre is recognised.[45] And Gotham's work on pulse salience suggests that a change of pulse layer, even a small one, can change the profile of salient tempos for the entire metrical structure.

So while Krebs suggests that layers that move more quickly than the pulse layer, micropulses, are to be considered 'coloristic embellishments', both of these ideas – Mirka's on composition and Gotham's on perception – suggest this conception might have weaknesses, since micropulses can suggest or imply a new pulse layer.[46] The implications of Gotham's work for a theory of metrical expression 'in the middle' – around salient tactus values – are enticing,[47] although for most general cases this kind of analysis is obviated at a score level by the flexibility of performance realisation. But one of the arguments of this thesis is that the pulse layer in Brahms might have a higher relevance than in the music of other composers in the creation of metrical complexity and expression.

As one brief example, consider the opening of 'Feldeinsamkeit', Op. 86/ii (Example 2.1). In the opening two bars, the metrical state [𝅗𝅥222] is suggested but not completely fulfilled; it is only when the piano figuration changes, at the voice entry in bar 3, that a state of what might be termed 'pulse flow' is established. There is a sense of resolution at this point which is very similar to the resolution of metrical dissonance.

2.10 Duple/triple organisation and markedness

MPR10 proposes 'duple bias'. In semiotic terms this suggests that duple and triple organisations act as an asymmetric opposition where triple is the marked state, a suggestion that can be refined slightly.[48]

At high levels of metre and hypermetre, this normative duple bias seems to hold. The rarity of high-level triple organisations correlates with the fact that a marked entity is

[45] See Mirka's Chapter 2, 'Finding Meter', and Ito, 'Koch's Metrical Theory and Mozart's Music'.
[46] Krebs, *Fantasy Pieces*, 23.
[47] For example, his reference to a paper by Richard Parncutt, which shows that the 'cumulative salience of a high metrical level (his 'aggregate salience') is not necessarily maximised by the tempo which optimises the salience of the individual pulse. Parncutt suggests this as a reason why subjects in tapping studies are drawn to other tempos when tapping in specified groupings: to faster tempos for larger groupings. This appears to indicate a desire to balance the various pulse levels involved, maximising the combination of pulses rather than any individual pulse.' Gotham, 'The Metre Metrics', 23; Richard Parncutt, 'A Perceptual Model of Pulse Salience and Metrical Accent in Musical Rhythms', *Music Perception: An Interdisciplinary Journal* 11, no. 4 (1994): 409–64.
[48] An example of such an argument is Hugh MacDonald's claim that in the nineteenth century triple metres began to replace normatively duple ones as 'bearers of expressive flexibility'; Hugh MacDonald, '[9/8 Time Signature; G-Flat Major Key Signature]', *19th-Century Music* 11, no. 3 (1988): 231.

defined in relation to an unmarked norm. Stephen Rodgers suggests that instances of triple hypermetre in the songs of Fanny Hensel occur as a 'distortion of duple norms'.[49] In practice, too, triple organisation at a high level often settles towards the end of a work into duple organisation, either through truncation or reorganisation of the triple factor in the metrical state. The issue relates also to the threshold of perception, since triple structures at high levels will necessary push closer to this, as well as to the exigencies of compositional redundancy. Yet Krebs points out that the normativity of duple structures at high levels has 'never been satisfactorily explained'.[50]

At lower levels, and in the music under discussion (from the nineteenth century), however, this markedness is reduced, mostly through normalisation; the necessity for marked entities to have a narrower distribution and occur in fewer contexts than their unmarked opposites is at odds with the commonality of triple pulse layers in nineteenth-century music.

The suggestion in this thesis, then, is that between duplet and triplet pulse layers, and usually at the second level of the metrical grid as well (usually the tactus), the unmarked-marked opposition is almost always contextual; whichever cardinality is set up as the norm in a particular piece becomes the unmarked entity, against which the other becomes marked. One exception to this is explored in Chapter 8, where various features of the music in question suggest a duplet pulse layer as a generic norm, against which the triplet layer, even from the beginning of the piece, is marked.

2.11 Metrical dissonance

When metrical layers nest, the result is metrical consonance. When they do not, it is taken to be metrical dissonance.[51] This use of analogy is a powerful tool for viewing expressive temporal processes in common-practice music.

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[49] Stephen Rodgers, 'Thinking (and Singing) in Threes: Triple Hypermeter and the Songs of Fanny Hensel', *Music Theory Online* 17, no. 1 (2011): 1–25.

[50] Harald Krebs, 'Hypermetre and Hypermetric Irregularity in the Songs of Josephine Lang', in *Engaging Music: Essays in Musical Analysis*, ed. Deborah Stein (Oxford: Oxford University Press, 2005), 16.

[51] Hector Berlioz is believed to have made the first explicit comparison of rhythmic and pitch dissonance. Wallace Berry, in 1985, discussed the concept of '"dissonance" within the metric element, an aspect of development complementary to that of tonal fluctuation, and subject to appreciable tendencies of resolution'. Following this 'formal similarity between tonal and metrical hierarchy', some authors, including Henry Cowell and Charles Seeger, worked by 'rigidly following a pitch-rhythm analogy', although Justin London gives convincing reasons why the two domains are not completely isomorphic. Krebs, *Fantasy Pieces*, 16; Wallace Berry, 'Metric and Rhythmic Articulation in Music', *Music Theory Spectrum* 7 (1985): 13; Mirka, *Metric Manipulations*, 130; Henry Cowell, *New Musical Resources* (Cambridge: Cambridge University Press, 1996); Charles Seeger, 'On Dissonant Counterpoint', *Modern Music* 7, no. 4 (1930): 25–31; Justin

Metrical dissonance takes two basic forms: displacement dissonance and grouping dissonance.[52] Brent Auerbach has proposed a third fundamental type, proportional dissonance, which will be explored in Chapter 8, in relation to Brahms's Third Piano Trio.[53]

2.12 Displacement dissonance

Layers that share cardinality with consonant layers but consistently differ in their accent placement create *displacement dissonance.* This type of dissonance is denoted 'D x y + z', where x can be a notehead of the scale concerned, y is the cardinality of the layer, and z is the integer by which the norm is displaced – this may be positive or negative.[54] Very rarely, y is absent, when the cardinality in a state of complex dissonance may be indeterminable or irrelevant. Example 2.2 shows D♪6-1 created by contour and harmonic accents, since the change of harmony is perceived on the lowest register pitch changes.

Displacement dissonance occurs with a wide spectrum of strength; it does not necessarily mean (as the name might be taken to imply) different metrical placement of the same motives, rhythms or pitches. This does happen, as in Example 2.3, and might be taken to be the 'strongest' type of displacement dissonance, but is not necessary; Walter Frisch writes of 'the threshold between strong syncopation and actual metrical displacement',[55] and Charles Rosen considers that the 'dislocation between melody and bass is something at which Brahms became very expert, and I think he went further than any other composer before him'.[56] Thus some displacement dissonances are equivocal – moments when the bar

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London, 'Some Non-Isomorphisms between Pitch and Time', *Journal of Music Theory* 46, no. 1/2 (2002): 127–51.

[52] Authors generally feel free to coin their own neologisms. Cooper and Meyer call grouping dissonance 'metric crossing' or 'rhythmic dissonance' (the latter also used by Maury Yeston) and displacement dissonance 'non-congruence'; Berry terms them 'metrical incongruity' and 'polymeter'. Krebs himself originally used 'Type A' and 'Type B' dissonance. Trucks uses 'commetric' and 'contrametric', from Mieczyslaw Kolinski. Krebs, *Fantasy Pieces*, 14–15; Maury Yeston, *The Stratification of Musical Rhythm* (New Haven: Yale University Press, 1976); Harald Krebs, 'Some Extensions of the Concepts of Metrical Consonance and Dissonance', *Journal of Music Theory* 31, no. 1 (1987): 99–120; Amanda Louise Trucks, 'The Metric Complex in Johannes Brahms's Klavierstücke, Op. 76' (University of Rochester, 1992), 28; Mieczyslaw Kolinski, 'A Cross-Cultural Approach to Metro-Rhythmic Patterns', *Ethnomusicology* 17, no. 3 (1971): 494–506.

[53] Brent Auerbach, 'Tiered Polyphony and Its Determinative Role in the Piano Music of Johannes Brahms', *Journal of Music Theory* 52, no. 2 (2008): 273–320. Proportional dissonance, he proposes, occurs when two or more voices are 'constructed of identical material but sound in divergent meters' (p. 278), as in a mensuration canon.

[54] See Krebs, *Fantasy Pieces*, 35, on positive and negative displacement. The use of the notehead to denote the scale concerned is not used by Krebs but introduced in this thesis.

[55] Walter Frisch, 'The Shifting Bar Line: Metrical Displacement in Brahms', in *Brahms Studies: Analytical and Historical Perspectives*, ed. George S Bozarth (Oxford: Clarendon Press, 1990), 152.

[56] Charles Rosen, 'Brahms the Subversive', in *Brahms Studies: Analytical and Historical Perspectives*, ed. George S Bozarth (Oxford: Clarendon Press, 1990), 110.

line just 'wobbles a bit'.[57] This represents a uniqueness of Brahmsian style; Rosen notes of one Brahms instance, for example, that 'Schumann would probably have carried this on until finally you were convinced that the sixth beat was the first beat of the bar'.[58] Performance decisions have a significant impact on perception in such situations.

Similarly, it is important to realise that while displacement dissonance in this theory requires a regular accent which marks the beginning of a dissonant layer, the primary consonant layer may still be present and accented, perhaps with strong harmonic accents, and perhaps even in the same textural stream. So the presence or absence of strong-beat events is independent of the creation of displacement dissonance, some situations of which will be distinguished below (as *direct* and *indirect* dissonance). Example 2.4 is therefore a legitimate example of dissonance, with a displaced 6-layer created by agogic and harmonic accents. With the consonant layer still articulated, this does not sound jarring in the same way as a pitch dissonance might, and there is not an identifiable stream that *has been displaced*. But it still counts as displacement dissonance; imagining the first harmony of each bar lasting a minim and the second a crotchet is one way of asserting that Brahms's version is not quite as consonant as it 'could' be.

Such considerations highlight one of the shortcomings of the dissonance analogy; in the pitch dimension dissonance is more easily classified than in the metrical. And it is these subtleties that encourage the use of accentual counterpoint as a productive lens on displacement-type phenomena; by encouraging a multi-accentual perspective, one gains a better sense of the richness of the music in question.

2.13 Direct and indirect dissonance

Metrical dissonance may occur through direct conflict between explicit and simultaneous layers, termed *direct dissonance*, or through the juxtaposition of layers, termed *indirect dissonance*. The premise behind indirect dissonance is that even after the cessation of a layer, a listener continues to project it for a short time; a new realised layer thus conflicts with the mental projection of the previous layer, creating indirect dissonance.

Cohn points out how crucial this distinction is; without it, a paradigmatic Handelian pre-cadential hemiola is not dissonant since the two conflicting layers do not sound simultaneously. In this indirect situation, however, Cohn believes there is a 'sense of

[57] Berry, 'Metric and Rhythmic Articulation in Music', 10.
[58] Rosen, 'Brahms the Subversive', 110.

disruption to the ongoing flow, a disruption that is set right (or "resolved")', thus providing support for the use of the dissonance metaphor.[59] There are parallels in the tonal dimension: a harmony may be immediately consonant but contextually dissonant.

2.14 Hypermetre

The term 'hypermetre' has already been used several times and is self-explanatory, referring to levels of metre which exist beyond the barline. A full review of the literature is unnecessary for the thesis, and discussion of the difficulties of hypermetric analysis will generally take place within the analyses of the following chapters, but a few notes follow.

Duple hypermetre is the norm, and triple hypermetre is rare.[60] 'Odd-strong' and 'even-strong' (relating to bar numbers) may be used to refer to hypermetric setups in analytical prose, though there is of course no feasibly perceptible difference between the two end states (except when they refer to phrase structure).[61] While four-bar hypermetre (duple grouping of duple) may seem to be common, this tends to push against the limits of the psychological present (see above), and increasing hypermetric spans must at some point blend with a more structural perception of the music.

At these high levels, the interaction between metre and grouping manifests as that between hypermetre and phrase rhythm; the former (metre, which at high levels is hypermetre) refer to metrical units whereas the latter (grouping, which at high levels is phrase rhythm) refers to units of musical form, and these may be in or out of phase with each other.[62] This interrelation becomes more pertinent because grouping and harmony are the main accent-

[59] Richard Cohn, 'Harald Krebs on Metrical Dissonance in the Music of Schumann and Brahms', *The American Brahms Society Newsletter*, 2002, 5.

[60] Krebs claims this has 'never been satisfactorily explained': Krebs, 'Hypermetre and Hypermetric Irregularity in the Songs of Josephine Lang', 16. The most famous example of triple hypermetre is the Scherzo of Beethoven's Ninth Symphony; see Cohn, 'The Dramatization of Hypermetric Conflicts in the Scherzo of Beethoven's Ninth Symphony'. Other examples include Beethoven's Bagatelle Op. 126 No. 6, and the coda of the Scherzo from Dvořák's Eighth Symphony; see David Smyth, 'Beethoven's Last Bagatelle', *Intégral* 13 (1999): 117–42. In Brahms's music, the most notable example is the *Rondo alla Zingarese* of the Piano Quartet in G minor, Op. 25. See also Rodgers, 'Thinking (and Singing) in Threes'.

[61] David Temperley, 'Hypermetrical Transitions', *Music Theory Spectrum* 30, no. 2 (2008): 305–25. Temperley coins the terms 'odd-strong' and 'even-strong', though admits that to perceive which state the current hypermetre is in 'would require not just a good musical memory, but rather some kind of meticulous metrical bookkeeping' (323).

[62] The meaning of phrase needs to be clarified. This thesis uses Rothstein's (and Temperley's) notion that 'a phrase is any group which contains significant tonal motion', but usually in William Caplin's narrower definition that a phrase leads towards a cadence. David Temperley, 'End-Accented Phrases', *Journal of Music Theory* 47, no. 1 (2003): 150; William Caplin, *Classical Form: A Theory of Formal Functions for the Instrumental Music of Haydn, Mozart, and Beethoven* (Oxford: Oxford University Press, 1998).

types which create hypermetre.[63] Different weightings of the metrical rules therefore occur at hypermetric levels: Temperley has demonstrated that 'the impact of the strong-beat-early rule on our interpretation of metrical structure becomes even stronger at higher metrical levels',[64] i.e. hypermetric upbeats are rare, although they do occur.[65] This conflicts with an 'end-accented' view of hypermetre as covered in the section on harmonic accent.[66] As mentioned above, cadential phrase endings are often found with the dominant on a hyperdownbeat and the tonic on a hyperupbeat, though there is arguably a stronger sense of closure when the converse occurs; Malin speaks of the 'tension of hypermetrically weak cadences'.[67] This is partially dependent on whether the listener is 'conservative or radical' in their openness to changing hypermetre.[68] The issue of closure will be revisited in Chapter 6.

2.14.1 Ng – beginning-accented and end-accented phrases

Another study on the topic is by Samuel Ng,[69] who takes David Temperley's finding that 'tight-knit opening themes are usually beginning-accented, whereas a majority of closing themes are end-accented';[70] coupled with a conformational model of sonata form suggested by sonata theory, Ng suggests that these and other phrase rhythm norms can create stylistic systems of norms and deformations, including that 'appearances of end-accented themes in zones other than closing zones may be profitably understood as deformations'.[71] Ng does not always admit the accentual conflict inherent in some of his

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[63] 'While many factors contribute to metrical perception, two are usually sufficient to generate and sustain the uppermost levels: harmony and grouping structure (with its corollary, parallelism).' Love, 'Historical Hypermetrical Hearing'. In supporting this, Love points principally to Lerdahl and Jackendoff, Rothstein, Temperley, and Mirka.

[64] Ng, 'Phrase Rhythm as Form', 61 on Temperley, *The Cognition of Basic Musical Structures*, 38. See also Temperley, 'End-Accented Phrases'; Lerdahl and Jackendoff, *A Generative Theory of Tonal Music*.

[65] McClelland, 'Extended Upbeats'; Eric McKee, 'Extended Anacruses in Mozart's Instrumental Music', *Theory and Practice* 29 (2004): 1–37; Channan Willner, 'Bar 0 and the Suppressed Hyperdownbeat', 2007. There is a tendency to hear unaccompanied melodic lines as gestural upbeats: see Janet M. Levy, 'Texture as a Sign in Classic and Early Romantic Music', *Journal of the American Musicological Society* 35, no. 3 (1982): 499ff. as well as McClelland, 'Extended Upbeats'.

[66] Temperley summarises that Schachter, Lerdahl and Jackendoff, Kramer, and Rothstein endorse an essentially beginning-accented view, while Riemann, Cooper and Meyer, and Komar are in the opposing camp. Temperley, 'End-Accented Phrases', 128.

[67] Malin, *Songs in Motion*, 47–48.

[68] The concepts of conservative and radical (or flexible) listeners are coined in Andrew Imbrie, '"Extra" Measures and Metrical Ambiguity in Beethoven', in *Beethoven Studies*, ed. Tyson (New York: Norton, 1973), 45–66.

[69] Ng, 'Phrase Rhythm as Form'. The word 'Form' in the article title might be more accurate as 'Form-Articulating' or, to use a term Ng references, '*Formung*'.

[70] Ibid., 53. Referencing David Temperley, 'End-Accented Phrases'. Throughout Ng's article he references two works by David Temperley (*The Cognition of Musical Structures* and 'End-Accented Phrases'), but references them in his bibliography with their publication years the wrong way around. I believe his in-text references are correct.

[71] Ng, *Phrase Rhythm as Form*, 61.

hypermetric readings, though. In his introductory interpretation of Mozart's K.454/I, for instance (Example 2.5), Ng's hypermetric reading is supported by harmony (with tonic on hyperdownbeats) and continuation from the preceding passage, but these are in a tension with parallelism (the repeated one-bar groups 51–52 and 55–6) and the strong-beat-early rule, which Ng elsewhere admits is stronger at higher levels.[72]

2.14.2 Hypermetric conflict and instabilities

Hypermetric conflicts and instabilities do not generally manifest in the same ways as metrical dissonance. Hypermetric grouping dissonances are rare. In addition, hypermetre generally acts more flexibly than does metre at lower levels.[73] Stefan Caris Love has posited a 'hypermetric floor': the uppermost level that remains entirely regular throughout a given passage; metrical irregularity is therefore 'the defining feature of metrical levels above the hypermetric floor'; further, he posits that this metrical irregularity is categorically different from metrical dissonance: in metrical dissonance, some higher level of metre remains intact, whereas above the metrical floor, the top level 'simply goes away'.[74] But this perspective is rooted in his own analytical agenda against what he calls the 'structural' tradition of hypermetric analysis, the tradition which seeks to reduce seeming irregularities to an underlying regularity. Whereas his object of investigation is eighteenth-century chamber music, where listeners were often first-time listeners, in Brahms's music, written for connoisseurs and repeated interaction, there is more of an excuse for a structural approach to analysis. Nevertheless, Love's conclusion that instabilities at hypermetric levels are different from conflicts at lower, metrical levels is incisive.

Occasional examples of direct hypermetric dissonances do occur, though. Klorman discusses the metrical conflicts inherent in many canonic passages, 'wherein notes that fall on strong metrical positions in the *dux* are imitated on weak metrical positions in the *comes* (and vice versa). Such imitation results in … violation of parallelism',[75] and in the many cases where a higher voice enters before a lower one, there is a conflict between

[72] Ng, 'Phrase Rhythm as Form in Classical Instrumental Music', 61.
[73] McClelland describes 'hypermeter as a flexibly periodic phenomenon that results not only from equal durations but also from similarity of musical content. Some recent metric theories, especially those of Christopher Hasty and Justin London, have emphasized the element of temporal measurement and have narrowed the scope of hypermeter … [but] I posit a qualitative aspect to beats within a hypermeasure similar to the widely accepted qualitative distinction between beats within a notated measure'. McClelland, *Brahms and the Scherzo*, 5, n. 13.
[74] Love, 'Historical Hypermetrical Hearing'.
[75] Klorman, *Mozart's Music of Friends,* 210.

grouping accents (the 'first-statement-stronger' MPR) and bass accents (prefer a metrically stable bass).

Example 2.6, from Brahms's Second Clarinet Sonata, shows an example of direct hypermetric displacement dissonance, and it operates a varied version of this accentual counterpoint, since both voices start at the same time; in terms of the quote above, parallelism is certainly in play, but the 'first statement stronger' accent is neutralised.

2.15 Grouping dissonance

Grouping dissonance occurs when metrical layers of different cardinality conflict. By far the most common family of grouping dissonances is that related to hemiola, where the layer cardinalities are 2 and 3. The following section explores some refinements to thinking about hemiola. But grouping dissonance also includes other conflicts of cardinality. Parallel to the designation of displiacement dissonance as D*xy* + *z*, grouping dissonance can be designated G*x*/*y*, though generally in this thesis other methods of taxonomisation are used.

2.16 Hemiola

Hemiola in this thesis is taken to occur when 3-layers and 2-layers interact, and specifically when a [23] layer (some unit grouped in twos and then threes) conflicts with a normative [32] layer (the unit grouped in threes and then twos). Taken this generally, hemiola is by far the most common grouping dissonance to occur in common-practice music.

This assertion and its generalist content are necessary to specify, because unravelling what the term 'hemiola' means and meant across music history turns out to be a complex issue. For example, H. H. Wintersgill's 1936 article on the Handelian hemiola does not mention the word hemiola (instead using the term 'two-length bar'), suggesting that the word was out of regular parlance at that point. The debate on the performance of early modern hemiola (or hemiolia) is another example.[76] The term has enjoyed little stability in its meaning across the last few hundred years, and it lies to another study to clarify exactly what 'hemiola' might have meant to Brahms.

[76] Michael B. Collins, 'The Performance of Sesquialtera and Hemiolia in the 16th Century', *Journal of the American Musicological Society* 17, no. 1 (1964): 5–28; DeFord, *Tactus, Mensuration and Rhythm*; Grant, *Beating Time and Measuring Music*.

2.17 Reverse hemiola

Reverse hemiola, where a normative [23] layer is replaced by a [32] layer, is a much less common occurrence than hemiola.[77] Mirka suggests that the rarity of reverse hemiola is because 'the level of measure is first realized and only afterward put into question. As a result, the metrical structure is clarified only in retrospect. This means that such manipulation is less effective and at the same time cognitively more difficult.'[78]

Reverse hemiolas tend to be used by Brahms in moments with medial function, as in Example 2.7.[79] They are occasionally notated with time signature changes.[80] In themselves they tend to have a deceleration effect, but are often combined with other musical features which might propel the music forward. But the analogy of metrical states to key areas, to be explored further below, can work quite well here. If 'forward hemiolas' increase tension in the manner of a dominant harmony, then reverse hemiolas often have a status akin to subdominant harmony, and this is reflected in their usage by Brahms, often in answering subphrases, or phrase conclusions without a PAC.[81]

2.18 Hemiolic cycles

Both of the hemiola types mentioned so far, and many other grouping dissonances, interact with the notated metre in a manner with cyclic qualities; in a hemiola, for example, the hemiolic beats will coincide with consonant beats 1-3-2-1, cycling through them (backwards) before coming back into phase. Samuel Ng has investigated this aspect of hemiolas and an example of Brahms manipulating it (in the first movement of Op. 99), creating sections which 'stop' at the different stages of the hemiolic cycle.[82]

So reifying a reverse hemiola (or other such metrical phenomena) is not merely a zeal for neologism. It emphasises that such devices have a subtle property: a higher chance of disappearing after cyclic completion (once they have cycled through consonant beats 3-2-1 and come back into phase, in the case of traditional hemiolas) rather than partway

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[77] The term 'reverse hemiola' is found in Deborah Adams Rohr, 'Brahms's Metrical Dramas: Rhythm, Text Expression, and Form in the Solo Lieder' (Eastman School of Music, University of Rochester, 1997). It is also mentioned by Malin (Malin, *Songs in Motion*, 55. Neither author comments on the effect or function of such a device. It is briefly mentioned in Rodgers, 'Thinking (and Singing) in Threes', [38].

[78] Mirka, *Metric Manipulations*, 146.

[79] The concept of formal function is taken from Caplin's *Classical Form*; see the glossary for definitions of 'formal function' and 'medial function'.

[80] Examples are Op. 60/ii, bars 48–49, and 51/2/i, bars 98–99 and 266–267.

[81] Examples of the former: Op. 87/iv, Op. 120/2/i, Op. 73/iv (larger reverse hemiola, two chunks of 2.5 bars). Example of the latter: Op. 51/2/i (above footnote).

[82] Samuel Ng, 'The Hemiolic Cycle and Metric Dissonance in the First Movement of Brahms's Cello Sonata in F Major, Op. 99', *Theory and Practice* 31 (2006): 65–95.

through. The reverse hemiola in Op. 120/2/i, Example 2.7, is not just two bars of 3/2, it is a reverse hemiola which completes its own process; naming it as such accents its ontology and its relationship to tonic metre.

2.19 Complex hemiola

Where more than one conflicting metrical layer is present, *compound dissonance* occurs. This can consist of more than one type of displacement, a mix of displacement and grouping dissonance, or hemiolic relationships present on more than one level, termed complex hemiola. Specifically, double hemiola is defined as 'the relationship between symmetrical divisions of a time-span that simultaneously bear 3:2 conflicts at two adjacent levels of the metric hierarchy',[83] although *adjacency* of hemiolic conflicts is not considered compulsory in this thesis. Indirect double hemiolas are slightly more common than direct ones. Complex hemiola is the subject of Chapter 5, but Example 2.8–Example 2.11 show instances in Brahms's works.

2.20 Metrical complexity as an expressive highpoint: Op. 71/v

To pause for a moment and offer a musical example, a good instance of a moment of metrical complexity used as an expressive highpoint in Brahms's works is found at the close of 'Minnelied', Op. 71/v (Example 2.12). At the close of the song, the narrator's heart 'blooms in joy', but the final two stanzas have also hinted at his desperation that his lover should not leave him; in the postlude, this heartache 'blooms' with a double hemiola, as 3/2 metre in the right hand and 3/8 metre in the left relate hemiolically in opposite directions to the 3/4 metre. The 3/2 hemiola in bars 50–51 is cleverly overlapped with another one in bars 51–52. Displacement is also present, hinted at by the low Cs of the left hand. This displacement is augmented into the bar of the tonic resolution, which is reached on the second crotchet of bar 52.

The combination of hemiola and displacement completely suspends the expected hypermetric downbeat on bar 51 and creates the effect of forward motion. The final two chords might then seem to return to metric and hypermetric consonance. But their effect as such is subtly reduced by the tonic resolution appearing earlier in the previous bar; they appear from their registral placement to be slightly detached from the soprano register; and

[83] Richard Cohn, 'Complex Hemiolas, Ski-Hill Graphs and Metric Spaces', *Music Analysis* 20, no. 3 (2001): 295.

as dotted minims, they do not fully articulate the metre. So despite their stability a residue of tension remains, an example of how complex the idea of metrical closure is.

This moment of metrical complexity at the song's end rises above those heard in the body of the song, where hemiolas surface and subside, and in bars 46 and 44 (just before the example starts), where there are reverse hemiolas. The metrical complexity here at the end – 3/2 metre against 6/8, with an overlapping hemiola in the right hand and extra displacement in the left hand – is remarkable. This kind of metrical space exploration does not happen throughout the whole of Brahms's career, and Chapter 5 examines some parts of how it arose in his style. But it is only possible through his manipulation of the different metrical accent-types within the music – see, for example, the displacement in the left hand, created out of quaver group shapes rather than rhythm – and this leads towards the idea of accentual counterpoint.

2.21 Hemiola classes, complex hemiola, and accentual counterpoint

As has been briefly observed, hemiola has not had a stable identity within writings on metrical theory, and various attempts have been made recently to define it more concretely. It is contended here that many of these have been unsuccessful because most hemiolas are examples of accentual counterpoint.

Representative of the most general type of definition, Richard Cohn stated in 1992 that, '[i]n essence, any interpretational conflict in a mixed span represents a generalization of the concept of hemiola'.[84] Nine years later, he was slightly more specific: 'When a span of time is trisected in place of an anticipated bisection, a *hemiola* is said to occur. More broadly, under current usage, the term refers to any successive or simultaneous conflict between a bisection and trisection of a single time-span'.[85]

Danuta Mirka's view of hemiola, on the other hand, is narrow: it is a 'composed-out *allargando* before the cadence' where the size of *Taktteile* doubles, the result being one double measure.[86] She distinguishes this from *imbroglio*, which is 'metric confusion

[84] Cohn, 'Dramatization', 195.
[85] Cohn, 'Complex Hemiolas', 295.
[86] Mirka, *Metric Manipulations*, 161.

[which] occurs when a different meter is introduced in a composition, for example, where in 3/4, certain places are in 2/4, etc.'[87]

In a previous thesis the present author reconciled the opposing views of Cohn and Mirka, using the terminology of Channan Willner to come up with different classes of hemiola: expansion, contraction and static.[88] This captured some essence of many of these devices, but in practice, explaining real musical examples, these distinctions were not clear-cut. Even within Baroque hemiolas (the remit of Willner's investigation), there often exist musical elements which create contradictions within this apparently simple taxonomisation.

Imagine, for example, a phrase-concluding hemiola in which harmonic rhythm accelerates from one harmony per bar before the hemiola to three harmonies across the hemiola, but in which the preceding bars have a crotchet pulse level and the hemiola bars have a minim pulse level. In this case, does one feel an acceleration caused by the harmony, or a deceleration caused by the pulse?

This example carries a further nuance. If the minims represent three decelerated crotchets (as argued by Mirka to be her true definition of hemiola), then this itself produces a level of paradox, for this implies that the harmonic acceleration has not been in a ratio of 3:2 but of 3:1. This nuance is pertinent to Brahms's practice, for he was attracted to the idea that the changed identity of an idea itself carries ramifications for the past identity of the motive.

Most destructive to the idea of expansion and contraction hemiolas, though, is the musical evidence that most hemiolas tend *not* to create a hypermetric disturbance; a hemiola over two bars, even though it may exhibit some features of an expansion hemiola, tends to be preceded and followed by hypermetre that suggests the hemiola contains both a strong and a weak bar. What *is* interesting, however, is that hemiolas tend to begin on hyperdownbeats and be followed by hyperdownbeats, rather than beginning on hyperupbeats and proceeding through a hyperdownbeat to another hyperupbeat. This suggests not just a function of hemiolas, as with all metrical dissonances, as devices of

[87] Ibid., 136. This definition also fails to distinguish the cyclic aspect of hemiola-type dissonances, discussed above.
[88] Channan Willner, 'The Two-Length Bar Revisited: Handel and the Hemiola', *Göttinger Händel-Beiträge* 4 (1991): 208–31; Channan Willner, 'More on Handel and the Hemiola: Overlapping Hemiolas', *Music Theory Online* 2, no. 3 (1996); Channan Willner, 'Metrical Displacement and Metrically Dissonant Hemiolas', *Journal of Music Theory* 57, no. 1 (2013): 87–118.

tension and return, but more specifically as devices whose process ends with an upbeat function (leading to the following hyperdownbeat); sometimes hemiolas arise out of passages with uncertain hypermetre, but carry the effect of hypermetric clarification, proceeding through hyperupbeat to close with a hyperdownbeat. This will become relevant in the analysis of Op. 101/i in Chapter 8, which suggests that Brahms manipulates the hypermetric signals of hemiolas towards expressive ends.

The issue of complex hemiola also complicates attempts to classify the effects of hemiola as unilateral (since it suggests multiple 'paces' at the same time), and supports the use of accentual counterpoint. Given Brahms's attraction and tendency to paradox and opposition in other aspects of his music and personality, then, it does not seem surprising that he was attracted to this aspect of hemiola, and that his use of accentual counterpoint became both pervasive and ever subtler, through its use of different accent-types to create various metrical effects simultaneously.

2.22 Displaced hemiola

Hemiolas can combine with displacement dissonance in different ways. One might be called a 'shifted hemiola', as in Example 2.13 and Example 2.14, where a hemiola begins at a non-downbeat point, but contains a full cycle of three strong-weak pairs. Example 2.13 also represents another example of how difficult it is to categorise hemiola; in each hand in the annotated bars, the triple factor has been augmented (3-layer of semiquavers moves to 3-layer of quavers in the right hand, and 3-layer of quavers moves to 3-layer of crotchets in the left hand), yet at the same time each hand in the hemiola across the bar is in a hemiola relation with the preceding material.

The second type might be called a 'disjointed hemiola', where displacement is active *within* the hemiola, rather than outside it as in the case of the shifted hemiola; at least one layer projects three weak-strong pairs. Mirka notes several examples in Haydn's works[89] (to these can be added the example quoted by Dommer in his definition of *imbroglio:* the opening of the Menuet alla Zingarese from Op. 20/iv (Hob III:34)).[90] Mirka realises that such occurrences represent the combination of displacement and grouping dissonances, and following Floyd Grave she refers to them as 'free falls'.[91] Eleanor Heisey notes the

[89] Mirka, *Metric Manipulations*, 139.
[90] Arrey von Dommer, *Musikalisches Lexicon, Auf Grundlage Des Lexcon's von H. Ch. Koch* (Heidelberg: Academische Verlagsbuchhandlung von J. C. B. Mohr, 1865), 440–41.
[91] Mirka, *Metric Manipulations*, 139.

connection of some manifestations of this to the Renaissance hocket.[92] In each of Example 2.15–Example 2.17, either harmonic displacement or instrumentation creates a dissonant effect against the articulation of the strong and weak part of each hemiolic beat. Example 2.14 is also a good example of a hemiola in a non-cadential location – the displaced hemiola ends with the pre-dominant chord of the cadential progression – and Example 2.17 shows a hemiola which is both shifted and disjointed; the lowest bass notes create a light displacement dissonance on the second quaver of each hemiolic beat.

Eric McKee examines shifted hemiolas in later Viennese waltzes, which can complicate the technique of hemiolic melodies (a common feature of waltzes) further 'by shifting the inception point of the melody's metrical pattern is such a way that the downbeats of the melody and accompaniment are not aligned.'[93] He develops this into a classification system defining in which direction, and how much, the hemiolic melodies are displaced.

2.23 Artificial hemiola

A concept which has received no academic analytical attention hitherto is the creation of triple-duple conflicts within otherwise pure duple situations; in other words, how hemiolic situations can arise without a triple factor previously being present. The terminology of the metrical complex facilitates consideration of how hemiola can be so created, in a way that is here termed 'artificial'. Hemiola is usually only possible in a mixed complex, and it represents the rearrangement of the factors of 2 and 3 – changing 2 sets of 3 beats for 3 sets of 2. Pure duple complexes, such as normative 4/4, thus frustrate the possibility of hemiola, unless a triple factor is introduced.[94]

2.23.1 Type 1 artificial hemiola

The easiest and most common way to artificially create G3/2 conflict is to just use a triplet sign, introducing a triplet note value that was not previously present in the music or implied in the time signature, as in Example 2.18. This is quite common and is termed a Type 1 artificial hemiola. Examples, of course, occur throughout the canonic literature, not just in Brahms; it is a common technique, particularly within contexts of variation and

[92] Eleanor Heisey, 'Brahms, Rhythm, and the Renaissance', *Vanderbilt University Humanities and Social Sciences Journal* 8 (2012): 1–2.
[93] Eric McKee, 'Joseph Lanner, Johann Strauss Sr and "The Future of Rhythm"', *Music Analysis* 32, no. 3 (2013): 294.
[94] For some discussion of the connotations of 'artifice' (which were salient during Brahms's lifetime as well as in current discourse), see Platt and Smith, eds. *Expressive Intersections in Brahms*, particularly Chapter 2, 'The Learned Self: Artifice in Brahms's Late Intermezzi', by Steven Rings, as referenced also in Chapter 1 of this thesis.

melodic decoration. It may seem banal to highlight it, and indeed it is usually used with little 'impact' on musical or metrical discourse. But when considered closely, it – like hemiola – turns out to be a phenomenon which pervades common-practice music and yet rarely receives any attention as to its subtleties.

One such subtlety about this type of artificial hemiola is that it is usually used at low metrical levels, even though this is not a restriction caused logically. A bar in 4/4 could, in theory, introduce triplet minims without preparation, but this is virtually non-existent in practice – it is far more common to find triplet crotchets artificially introduced, and even more so to find triplet quavers.

The creation of this phenomenon as described with reference to metrical complexes is that it invokes implicitly a previously unstated triplet micropulse, by implying that the previous smallest pulse was itself a triple grouping of this triplet micropulse, and the new triplets themselves duple groupings. In the first bar of Example 2.18, the lowest layer of motion present (which is also the pulse layer) is the duplet quaver, which is grouped into pairs (to make crotchet beats), then again in pairs (at the minim level), and once more to create the bar-level semibreve. (We could continue grouping the bars into pairs, since in this example duple hypermetre normatively prevails, but this is the point at which such groupings start becoming subjective, and also less perceivable as metrical regularities, since they fall outside the limits of entrainment.) So the metrical complex could be denoted as [♪222]. When the triplet quavers appear in bar 2, the metrical state at this point would thus be [3♪322] (the upper levels of the system remain undisturbed). These two levels can be related if we consider the original [♪222] complex as containing an *implicit* triplet micropulse, a triplet semiquaver. This is shown in the first bar of the stave in the lower part of Example 2.19, and the implicit micropulse is in brackets in the numbering above. This triplet micropulse is, of course, not technically present until invoked, but is potential. It is 'grouped' into three to create a duplet quaver, or into two to create triplet quavers. The duple metrical complex is thus [3♪(3)222], and, when the triplet quavers appear, [3♪(2)322]. While this may seem unnecessary jargon, what it allows is the realisation that this relationship is equivalent, albeit at a different metrical level, to that of a 'classic' hemiola, which would be the regrouping of two sets of three crotchets ([32]) into three sets of two ([23]).

2.23.1.1 Metrical spaces and Type 1 artificial hemiola

Furthermore, this thinking permits the analysis of a fascinating facet of Brahmsian metrical style. For while Brahms follows the common practice noted above of introducing triplet motion at lower metrical layers far more prolifically than at higher ones, what sets him apart is that after starting to use a triplet pulse at a low metrical level, he can then proceed to propagate it up through the metrical complex; an example of how this might manifest in related metres is shown in the rest of the *metrical space* in Example 2.19. (Metrical states will be revisited in section 3.2.5.) In the 'Haydn' Variations, Op. 56, for example, a pure duple complex in the theme (Example 2.20) becomes artificially mixed at a low level in the first variation (Example 2.21). Hemiolic conflicts then climb up the complex: 3/8 in variation 4 (Example 2.22) is not hemiolic but shows the triple factor at a higher level, then there is conflict between 6/8 and 3/4 in variations 5 and 7 (Example 2.23 and Example 2.24), to 'full-blown' hemiola at the end of the eighth (Example 2.25). The same thing happens, also at a movement-wide scale, in the slow movement of the C major Piano Trio, Op. 87, and the first movement of the Horn Trio, Op. 40, where it reaches its climax in the two three-bar groupings at bars 228–233.[95] All these examples show that exploring metre was one way in which Brahms created a sense of direction within the potentially static or circular form of variation movements. These kind of explorations are also found in Brahms's treatment of oscillating patterns that invoke the parallel-switchback distinction; in his mature music he found ways both to reinterpret the same material to engender each reading in turn, and also to move into and through the liminal boundary between readings.

2.23.1.2 Ritardando-Bewegung

Another kind of artificial hemiola, or more general artificial grouping dissonance, arises from what Thomas Krehahn sees as a Brahmsian 'speciality' – the written-out ritardando motion of incrementally augmented pulse values.[96] His main example is the end of the first movement of Op. 51/1 (Example 2.26), where the pulse level gradually augments from quaver to triplet crotchet to crochet. Krehahn also points to similar devices in Op. 5/v/31,

[95] In Op. 87/ii, as in the Haydn variations, the theme presents a pure duple complex. The first variation features duple against triplet semiquavers (invoking the triplet demi-semiquaver), the fourth modulates to 6/8, the fifth puts triplet quavers against 3-groups of triplet semiquavers (projecting duplet quavers), and the closing section features two hemiolas (as crotchet against dotted crotchet), which also straddle the barline, at bars 157–8 and 161–2.

[96] Thomas Krehahn, *Der fortschrittliche Akademiker: Das Verhältnis von Tradition und Innovation bei Johannes Brahms* (Munich: Musikverlag Katzbichler, 1998), 110ff.

Op. 60/i/67 and Op. 79/ii/118. Other examples are the end of the trio section of Op. 1/iii and the ends of Opp. 57/iii, 57/vii and 58/v.

However, this groups with Mirka's concept of hemiola in that such a device cannot reflect unilateral deceleration of metrical motion; in the cast of Example 2.26, the continuation of the minim layer in the first violin creates a consistency of motion that conflicts with the steadily augmenting pulse layer. So what makes a Ritardando-Bewegung distinctive, and distinct both from a normal ritardando and from the deletion of metrical layers, is that it effaces the felt pulse layer. Both deceleration and constant motion are therefore present at the same time (in an example of the Brahmsian synthesis that will be examined below in section 3.1.1). As in Example 2.13 (see section 2.22 for discussion), in Example 2.26 there is deceleration at more than one level; concentrating on the bass Cs in the final eight bars as indicative of downbeats will yield expanding bars, with a 3/2 bar across bar 256–257, and then a 4/2 bar across bars 257–258. This might create the implication that consonance has been achieved between the cello and the previously displaced violin, but there would then be a sting in the tail at the end, as the final bass C comes before the rest of the instruments' final chord.

2.23.2 Type 2 artificial hemiola

The second way of creating artificial hemiola is rarer. Example 2.27 shows an instance in the last movement of the C major Piano Trio, Op. 87. The third to fifth bars are emphatically grouped into two 3/2 bars by means of repeated harmonic groups, repeated pitch groups and repeated rhythmic groups. Also note that the beginning of each new 3/2 bar starts with a written out turn, fostering recognition of the metrical parallelism right at the beginning of each chunk – Brahms makes every effort to ensure we recognise this metrical feature in its first appearance.[97] It is technically also a reverse hemiola, since the new bars are longer than the old ones, and indeed most examples of Type 2 artificial hemiola are reverse hemiolas.

To create this situation, rather than invoking a new micropulse and regrouping it to cause the hemiola, Brahms has 'extended the bar', dissonantly overlaying three 4/4 bars with two 3/2 bars. The metrical complex moves from [♪ 222] to [♪ 223] (or [♪ 222(3)] to [♪

[97] Mirka points out this tendency: 'It is not by chance that many examples of *imbroglio* feature patterns that start with a quick turn, either carefully written out or indicated with a special sign. Rather than a purely conventional embellishment, such a turn is designed to facilitate the recognition of the parallelism at the very beginning of the second segment.' Mirka, *Metric Manipulations*, 138.

2232]),[98] and the triple factor has thus been introduced at the top end rather than the bottom: this is the difference between Type 1 and Type 2 artificial hemiolas.

[98] The bracketed 3 in the former metrical state implies that three bars were not present as a triple grouping, as such, but that three bars have been coerced into creating a (reverse) hemiola relation with two 3/2 bars.

Chapter 3 Brahms and metre

This chapter focuses first on Brahms's compositional aesthetic and his use of metrical complexity, and then on the possibility of metre having a narrative quality in his music.[1]

3.1 The three facets of Brahms's compositional aesthetic: synthesis, economy and counterpoint

Brahms's compositional aesthetic can be seen as having three facets: synthesis, economy and counterpoint. In this formation, these *act on* the concept of motive, which can refer in Brahms not merely to an arrangement of pitches and rhythms but also to a far more abstracted idea (Schoenberg's *Grundgestalt*) which can itself be embodied in the large-scale features of a composition.[2]

3.1.1 Synthesis (and ambiguity)

Synthesis refers to Brahms's exploration of the friction between pairs of seemingly opposing tendencies, and often the ability to combine them dialectically within his music.[3] A *conservative* adherence to classical forms and diatonic harmony merges with *progressive* formal manipulations and complex harmonic language.[4] Historicism and modernism are

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[1] Brahms is one of the most amply represented composers in musicological, and particularly analytical, studies; it is beyond the scope of this thesis either to trace the origins of these ideas in the literature or to connect them to biographical issues. Good introductions to Brahms and his music are Michael Musgrave, *A Brahms Reader* (London: Yale University Press, 2000); Michael Musgrave, *The Music of Brahms* (London: Routledge, 1985); Michael Musgrave, ed., *The Cambridge Companion to Brahms* (Cambridge: Cambridge University Press, 1999). The core texts in Brahms source and literature studies are Margit L. McCorkle and Donald M. McCorkle, *Johannes Brahms: Thematisch-Bibliographisches Werkverzeichnis* (München: Henle, 1984); Thomas Quigley, *Johannes Brahms: An Annotated Bibliography of the Literature through 1982* (London: Scarecrow, 1990); Thomas Quigley, *Johannes Brahms: An Annotated Bibliography of the Literature from 1982 to 1996, with an Appendix on Brahms and the Internet* (London: Scarecrow, 1998).

[2] Schoenberg never defined *Grundgestalt* precisely, and, as Samuel Ng puts it, 'the term *Grundgestalt* has a uniquely enigmatic status in the history of music theory'; given the elusiveness of the term, see Ng's Chapter 2, and Stephen Collisson's Chapters 1–3, for good introductions and literature reviews of *Grundgestalt* and developing variation. Yuet Hon Samuel Ng, 'A Grundgestalt Interpretation of Metric Dissonance in the Music of Johannes Brahms' (Eastman School of Music, 2005); Stephen J Collisson, 'Grundgestalt, Developing Variation, and Motivic Processes in the Music of Arnold Schoenberg: An Analytical Study of the String Quartets' (King's College, University of London, 1994). Developing variation is most notably explicated in Walter Frisch, *Brahms and the Principle of Developing Variation* (London: University of California Press, 1984).

[3] Musgrave: 'a constant synthesis was at work between different types [of song structure and style] throughout [the different periods of composition], with the elements always drawn into an integrated whole'. Michael Musgrave, 'Words for Music: The Songs for Solo Voice and Piano', in *The Cambridge Companion to Brahms*, ed. Michael Musgrave (Cambridge: Cambridge University Press, 1999), 199. See also David Lewin, 'Brahms, His Past and Modes of Music Theory', in *Brahms Studies: Analytical and Historical Perspectives*, ed. George S. Bozarth (Oxford: Clarendon Press, 1990), 13–27.

[4] 'Brahms the Progressive' is the name of Arnold Schoenberg's famous 1933 radio talk and 1947 essay, the latter found in Arnold Schoenberg, 'Brahms the Progressive (1947)', in *Style and Idea: Selected Writings of Arnold Schoenberg*, ed. Leonard Stein (London: Faber, 1975), 398–441. On Brahms as the first modernist

often simultaneous; Frisch sees Brahms as the leader of this 'historicist modernism'.[5] The dyad of form and content (or 'architecture' and 'process')[6] is another example. John Rink claims that 'the inner compulsion of his music often derives from some manifestation of what might be termed the *principle of opposition* – whether an opposition between idioms, between levels of intensity, between rhythm and metre, or between motivic material and tonal structure … this principle of opposition is part of what makes the music come alive in sound, or, more to the point, what enables it to make a cogent, coherent artistic statement'.[7] Brahms loved writing variations, in which genre the theme is 'both goal *and* point of departure … both a whole and a part', and in which a variation is simultaneously a fragment and an independent piece.[8] Another example is the dichotomy between absolute and programme music; thirty years ago Christopher Reynolds described the increasing work to 'chip away at the graven image of Brahms as a paragon of absolute music',[9] with Dillon Parmer more recently going so far as to suggest that Brahms's music has a 'double reception history', with some works having suggestive or programmatic connotations within his circle but remaining 'absolute' in the public sphere.[10] It is an enduring trope in Brahms criticism to praise his ability to synthesise and integrate.[11] These dyads can be found at more metaconceptual levels; Rink's investigation is into 'opposition and integration' in the piano music, and in a preamble on the periodisation of Brahms's works he also notes the 'dichotomy between stylistic integrity and stylistic evolution …

composer, see J.P. Burkholder, 'Brahms and Twentieth-Century Classical Music', *19th-Century Music* 8, no. 1 (1984): 75–83.

[5] Walter Frisch, 'Reger's Bach and Historicist Modernism', *19th-Century Music* 25, no. 2–3 (2001): 296–312.

[6] John Rink, 'Opposition and Integration in the Piano Music', in *The Cambridge Companion to Brahms*, ed. Michael Musgrave (Cambridge: Cambridge University Press, 1999), 80.

[7] Ibid. Emphasis added.

[8] Julian Littlewood, *The Variations of Johannes Brahms*, ed. Christopher Wintle (London: Plumbago Books, 2004), 7.

[9] Christopher Reynolds, 'A Choral Symphony by Brahms?', *19th-Century Music* 9, no. 1 (1985): 3.

[10] Dillon R Parmer, 'Musical Meaning for the Few: Instances of Private Reception in the Music of Brahms', *Current Musicology* 83 (2007): 109. See also Dillon Parmer, 'Brahms, Song Quotation, and Secret Programs', *19th-Century Music* 19, no. 2 (1995): 161–90; A. Peter Brown, 'Brahms' Third Symphony and the New German School', *The Journal of Musicology* 2, no. 4 (1983): 434–52.

[11] Ann Besser Scott offers a 'catalogue of integrative techniques' in Brahms's music, including thematic recall and transformation, motivic unification, linkage and the use of accompanimental figuration. See Ann Besser Scott, 'Thematic Transmutation in the Music of Brahms: A Matter of Musical Alchemy', *Journal of Musicological Research* 15, no. 2 (1995): 177–206. As a more unusual example, Michael Steinberg claims, 'The popularity and significance of Brahms's music resides in its combination of intransience and lyricism, in how it makes us feel at once inspired and consoled … Brahms is able to weave both of these rhetorics together. It is the *harmonization of militance and consolation* that is unique in Brahms's music' (emphasis added). Leon Botstein, ed., *The Compleat Brahms: A Guide to the Musical Works* (London: Norton, 1999), 380.

the purposeful tensions between a seemingly integrated musical style and one which itself experienced temporal progression'.[12]

Throughout Brahms's music exist multivalent moments; Raymond Knapp puts it that Brahms's music can 'simultaneously make sense from a variety of perspectives, any one of which might reasonably be taken as central'.[13] One analytical example of this is his 'linkage technique', principally found when a moment of conclusion is simultaneously used, or immediately used again, as a moment of initiation.[14] It is the simultaneous presence of opposing aspects which makes Brahms's music endlessly fascinating, and it is also arguably the reason for its unpopularity among some camps, either because of its resultant complexity or its reluctance to choose one 'side' wholeheartedly, as in the Viennese musical politics of the nineteenth century. As Karl Geiringer puts it, 'he [Brahms] succeeded magnificently in fusing opposing forces into a glorious new unity. In Brahms's music there is no conflict between old and new, between experimental and traditional; instead, a peaceful dialogue leads to a harmonious solution. In his compositions, diametrically opposed artistic elements are completely reconciled.'[15] (This quote will be problematized shortly.)

A major part of Brahmsian synthesis is ambiguity, when the listener is not sure how to read the multivalence of his music.[16] In an ambiguous situation, two (or more) readings are equally possible. This may give rise to what Jordan and Kalafenos term a 'double trajectory', and this in turn can create 'a form that is teleological and closed, but in which the ending cannot be as conclusive as in a work with one main trajectory'.[17] In another study, Joseph Dubiel eloquently lines up ambiguous Brahmsian situations and their possible

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[12] Rink, 'Opposition and Integration in the Piano Music', 79–80.

[13] Raymond Knapp, 'Utopian Agendas: Variation, Allusion, and Referential Meaning in Brahms's Symphonies', in *Brahms Studies: Volume 3*, ed. David Brodbeck (Lincoln: University of Nebraska Press, 2001), 139.

[14] Peter H. Smith, 'New Perspectives on Brahms's Linkage Technique', *Intégral* 21 (2007): 109–54.

[15] Karl Geiringer, 'Brahms the Ambivalent', in George S Bozarth, ed., *Brahms Studies: Analytical and Historical Perspectives* (Oxford: Clarendon Press, 1990), 4.

[16] Several writers, principally Kofi Agawu, attack the idea of musical ambiguity, which is defended by Peter Smith; Peter H. Smith, 'You Reap What You Sow: Some Instances of Rhythmic and Harmonic Ambiguity in Brahms', *Music Theory Spectrum* 28, no. 1 (2006): 57–97. See also Jonathan Dunsby, *Structural Ambiguity in Brahms: Analytical Approaches to Four Works* (Michigan: UMI, 1981); Ryan McClelland, 'Brahms's Capriccio in C Major, Op. 76, No. 8: Ambiguity, Conflict, Musical Meaning, and Performance', *Theory and Practice* 29 (2004): 69–94.
Ambiguity is taken as different to vagueness, where not enough information is present to support a particular interpretation; a situation can thus be both ambiguous and vague.

[17] Roland Jordan and Emma Kafalenos, 'The Double Trajectory: Ambiguity in Brahms and Henry James', *19th-Century Music* 13, no. 2 (1989): 139; Lawrence Kramer, 'Dangerous Liaisons: The Literary Text in Musical Criticism', *19th-Century Music* 13, no. 2 (1989): 159–67.

interpretations and explores some of them as what he calls *abnorms*: 'definably irregular events that become criteria of prolongation or succession in violation of larger norms of the pieces in which they occur.'[18] He defends the sustenance of ambiguity: 'There are rewards for subscribing to both criteria, meanings to be lost by suspending one or the other.'[19]

3.1.2 Economy (and variation)

Economy refers to Brahms's love of motivic unity and aversion to redundancy, particularly exact repetition. Theodor Adorno was one of the first to argue this:

> While still composing within the total framework of tonality, Brahms by and large rejects conventional formulae and fundamentals, producing a unity of the work which – out of freedom – is constantly renewed at every moment. He consequently becomes the *advocate of universal economy*, refuting all coincidental moments of music, and yet developing the most extreme multiplicity – the result from thematic materials the identity of which has been preserved. This indeed is his greatest accomplishment.[20]

Brahms's economy can be found on the largest scale, in the rarity of large repeated blocks of material and yet the basis of this music on small motivic cells (another example of synthesis), and on the smallest scale in his moment-by-moment processes of developing variation and 'musical prose' and his love of variation form. Brahms's compositional economy being a generally recognised aspect of his style, there is no need to reflect or provide further support for this viewpoint here.

3.1.3 Counterpoint (and effacement)

Chapter 1 began with a quote from Brahms, exhorting Gustav Jenner to study counterpoint. This quote, from Jenner's recollections, both exemplifies the high value Brahms himself gave to counterpoint, and echoes this thesis's commitment to counterpoint as an analytical lens. Counterpoint is one of the harder concepts to elucidate as a guiding concept of Brahms's aesthetic, but it could be summarised as the ability to manipulate different parameters independently. Its normal meaning connotes the relationship between voices in a score, yet it is also found in a far more abstracted form in Brahms's language, in

[18] Joseph Dubiel, 'Contradictory Criteria in a Work of Brahms', in *Brahms Studies*, ed. David Brodbeck (Lincoln: University of Nebraska Press, 1994), 82–83.
[19] Ibid., 82.
[20] Walter Frisch, *Brahms and the Principle of Developing Variation*, 19. Emphasis added.

the relationship between almost any parameters, a relationship which contains both independence and interdependence. Brahms's compositional project involved honing the ability to manipulate these different parameters independently. Some such manipulations are the focuses of Frisch's exploration into developing variation; Frisch says that in the Op. 34 Piano Quintet, for example, 'thematic transformation, motivic development, harmonic process, and formal design are at last all beautifully and powerfully coordinated.'[21] Whereas, formal and tonal boundaries are typically marked in more than one musical dimension,[22] in Brahms's music disjunctions among these processes are encapsulated in Peter Smith's term *dimensional counterpoint*, the idea that 'a movement's form consists of the total structure that emerges through a counterpoint of musical dimensions', the three main ones to Smith being thematic design, key scheme, and tonal structure.[23] Smith argues that 'considerations of dimensional interaction are crucial not only for interpretation of Brahms's music, but also for the great tonal tradition of which he was a part'.[24]

In this thesis, counterpoint usually refers to the idea that the resolution of conflicts or tension in one parameter or dimension may occur in or out of phase with such changes in other dimensions, a simple example being the delay of tonic articulation after thematic return at the recapitulatory boundary. The idea of accentual counterpoint tends to operate on a smaller scale; this concept is a suggestion that Brahms puts the different accent-types that create metre in counterpoint.

Just as the principle of synthesis can express itself in ambiguity, so the principle of counterpoint can thus express itself in both effacement and forward motion. Effacement is another idea, like synthesis, that runs quietly through much Brahms criticism and analysis. Peter Smith has argued on separate occasions that Brahms's hallmarks, including linkage technique and his use of 6/3 chords, can be involved in processes of effacement.[25] Wayne

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[21] Ibid., 86.

[22] '…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'. John Rothgeb, 'Design as a Key to Structure in Tonal Music', *Journal of Music Theory* 15, no. 1 (1971): 230–53.

[23] Peter H. Smith, *Expressive Forms in Brahms's Instrumental Music: Structure and Meaning in His "Werther" Quartet* (Bloomington: Indiana University Press, 2005). Smith acknowledges the idea's provenance in Milton Babbit, *Words about Music*, ed. Stephen Dembski and Joseph N. Straus (Madison: University of Wisconsin Press, 1987). See also Roger Moseley, 'Is There Only Juan Brahms?', *Journal of the Royal Musical Association*, 131.1 (2006), 160–75, particularly p.168.

[24] Smith, *Expressive Forms in Brahms's Instrumental Music*, 32.

[25] Smith, 'New Perspectives on Brahms's Linkage Technique', 137; Peter H. Smith, 'Brahms and Motivic 6/3 Chords', *Music Analysis* 16, no. 2 (1997): 181; Peter H. Smith, 'Harmonic Cross-Reference and the

Petty argues that Brahms effaces closure in at least one first movement so as to make it function in its place in the multi-movement work.[26] Mark Evan Bonds proposes the 'misreading' of Beethoven in Brahms's First Symphony.[27] Most saliently, David Epstein points out that 'structural downbeats – those big moments of full release – are rare in Brahms' – this is frequently as a result of accentual counterpoint – and that 'tension means energy unresolved, and unresolved energy ultimately means forward motion'.[28]

Along the same lines, remembering Brahms's use of counterpoint also leads to the *criticism* of the analytic or interpretative practice of looking for an overarching synthesis, or unity, in Brahms's music. Rather, the dislocation of parametric activity can be open-ended. As Kevin Korsyn remarks in a criticism of Karl Geiringer's above quote on synthesis:

> Rather than allowing art to include the problems of division, alienation and anxiety which pervade life, Geiringer unconsciously accepts an ideology that proclaims art the place where these conflicts are transcended, where all bad antinomies fall away. Indeed, critics alert to the relationship between rhetoric and psychic defence might argue that Geiringer's repeated insistence on fusion, unity, reconciliation and absence of conflict indicates a repressed awareness that the opposite may be true; hyperbole often signals repression.[29]

Brahms's music is of its time,[30] (it is nationalistic, for example)[31] and, it is argued in this thesis, it can end in non-maximal closure, in transformation, or in failure.

3.2 Brahms: metre, expression and narrative

Brahms's proclivity towards the manipulation of metre has been recognised since his own time; Chapter 2 has already shown some isolated examples of metrical complexity in Brahms's music. But how do these moments fit into his larger musical structures? This part of the chapter surveys work which examines Brahms's use of metre, to create the context

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Dialectic of Articulation and Continuity in Sonata Expositions of Schubert and Brahms', *Journal of Music Theory* 50, no. 2 (2006): 143–79.

[26] Wayne C. Petty, 'Brahms, Adolf Jensen and the Problem of the Multi-Movement Work', *Music Analysis* 22, no. 1–2 (2003): 105–37.

[27] Mark Evan Bonds, 'The Ideology of Genre: Brahms's First Symphony', in *After Beethoven: Imperatives of Originality in the Symphony* (Cambridge, MA: Harvard University Press, 2013), 138–74.

[28] Epstein, 'Brahms and the Mechanisms of Motion', 198.

[29] Kevin Korsyn, 'Brahms Research and Aesthetic Ideology', *Music Analysis* 12, no. 1 (1993): 93.

[30] See, for example, Margaret Notley, *Lateness and Brahms: Music and Culture in the Twilight of Viennese Liberalism* (New York: Oxford University Press, 2007).

[31] See most notably Daniel Beller-McKenna, *Brahms and the German Spirit* (Cambridge, MA: Harvard University Press, 2004).

of a compositional aesthetic, the ways in which metre can create and interact with musical structure, expression and narrative, and the diverse paths these narratives might take.

Brahms uses metre to an extraordinarily complex degree, as has been explored by various writers. Hugo Riemann was likely one of the earliest to note this within a more strictly academic rather than journalistic discourse, shortly followed by Schoenberg.[32] The idea that Brahms's metrical processes can be complex is explored, for instance, by Wolfgang Plyn, whose thesis systematically catalogues the various divisions of the beat and bar used by Brahms in his instrumental music.[33] David Lewin showed the metrical complexity within just the first fifteen bars of a piece, the Capriccio in C, Op. 76/viii.[34]

The idea that Brahmsian metre can be both complex *and developmental* has been followed by several authors. Walter Frisch included metrical processes in his treatise on developing variation, noting, for example, how the theme and accompaniment of a song can 'together seem to resist any metrical framework';[35] how in Brahms's music, often 'inner metrical freedom is balanced by an outwardly regular structure';[36] he proposes 'for Brahms's metrical procedures a dual heritage, in both Beethoven and Schumann';[37] and suggests that devices like hemiola and displacement 'become tools of developing variation ... they can also serve to articulate the formal structure'.[38] McClelland goes a step further than Frisch, suggesting 'a more primary role for rhythm and meter. Rhythmic and metric phenomena not only vary the motives embedded within themes, but can themselves be motivic agents whose journey is as central as the development of pitch motives.'[39]

Thus McClelland ties metrical phenomena together with Schoenberg's concept of *Grundgestalt*;[40] heightened by Brahms's techniques of developing variation, moments of

[32] Hugo Riemann, 'Die Taktfreiheiten in Brahms' Liedern', *Die Musik* 12, no. 1 (1912): 10–21; Schoenberg, 'Brahms the Progressive (1947)'.
[33] Franz Hermann Wolfgang Plyn, 'Die Hemiole in Der Instrumentalmusik von Johannes Brahms' (Bonn, 1984).
[34] David Lewin, 'On Harmony and Meter in Brahms's Op. 76, No. 8', *19th-Century Music* 4, no. 8 (1981): 261–65. Metre in this work has also been explored by Ryan McClelland, within a holistic analysis: McClelland, 'Brahms's Capriccio in C Major, Op. 76, No. 8'.
[35] Frisch, *Brahms and the Principle of Developing Variation*, 81.
[36] Ibid., 92.
[37] Ibid.
[38] Ibid., 93.
[39] McClelland, *Brahms and the Scherzo*, 5. Krebs also proposes that metrical dissonances can become motivic in themselves (in any music, not specifically Brahms's), even when divorced from their initial pitch content. Krebs, *Fantasy Pieces*, 82–83.
[40] McClelland acknowledges the work of Samuel Ng here. See Ng, 'A Grundgestalt Interpretation of Metric Dissonance in the Music of Johannes Brahms'; Ng, 'The Hemiolic Cycle and Metric Dissonance in the First Movement of Brahms's Cello Sonata in F Major, Op. 99'.

metrical complexity – including unusual metrical dissonances, complex hemiola, and manipulations of artificial hemiola – come to suggest their own narrative of development; 'the opening material undergoes transformation, and the relationship of the initial music to its subsequent versions creates a musical narrative.'[41] Deborah Adams Rohr's thesis shows that 'rhythmic strategies help to transform many poems from repetitive, strophic structures into small dramas with clearly defined, unified shapes, including metrically crafted dramatic highpoints.'[42]

3.2.1 The ambiguity principle; puzzles

These narratives typically run from instability to stability, from ambiguity to clarification, following what Deborah Stein terms the 'ambiguity principle': the basic principle whereby musical works which have some ambiguity in their material will typically clarify this across the piece.[43]

In Brahms's music, this may be compared to what McClelland terms Brahms's 'principle of destabilised beginnings'; McClelland explores how Brahms 'frequently withholds stability at the very beginning of a work', that he typically follows Beethoven's practice of resolving these instabilities in his codas, and, most notably for the current project, that he 'often locates the instability in the rhythmic-metric domain'.[44]

The ambiguity principle is basic to many forms of art, and within music can manifest in different dimensions. However, one of Deborah Stein's theses is that in Wolf's music, his 'exploitation of tonal ambiguity' extends the classical tradition 'to a new level', such that 'the establishment and resolution of ambiguity is an expansion or a replacement of traditional common-practice formal schemes that used the tonic-dominant polarity, I-V-I, to express the dramatic rhythm of tension and resolution'.[45] If general multi-parameter ambiguity can be form-articulating, it could be that ambiguity itself can be a dimension in which musical narrative can manifest.

This tactic of solving problems does not begin with Brahms, of course. Two other examplars of this tradition, both revered by Brahms, are Haydn and Beethoven. Matthew

[41] McClelland, *Brahms and the Scherzo*, 6.
[42] Rohr, 'Brahms's Metrical Dramas', 5.
[43] As applied by Stein, the term denotes a procedure where 'a song begins with some form of musical ambiguity or confusion; over time, the ambiguity is resolved with appropriate musical clarification'. Deborah Stein, *Hugo Wolf's Lieder and Extensions of Tonality* (Michigan: UMI Research Press, 1985), 5–6.
[44] Ryan McClelland, 'Brahms and the Principle of Destabilised Beginnings', *Music Analysis* 28, no. 1 (2009): 7.
[45] Stein, *Hugo Wolf's Lieder and Extensions of Tonality*, 5–6.

Riley suggests that 'Haydn liked to start a movement with a "problem" to be worked through later, suggesting a strong implication that needs to be realized or an error that has to be corrected.'[46]

However, the typicality of the ambiguity principle should not blinker us to other possible narratives, and the attempt to shift the focus towards such differing trajectories is one object of the thesis, mainly followed in Part 2.

3.2.2 Metrical structure through development

Brahms sometimes uses metrical development to articulate form. The best known example might be the first movement of the Second Symphony, where the rearrangement of the neighbour-note motive from hyperupbeat to hyperdownbeat coincides with the beginning of the coda.[47] Amanda Trucks's thesis 'identifies metrical processes of middleground significance' in Op. 76.[48] The development of the sighing motive in the first movement of the Op. 60 Piano Quartet,[49] or the progress of displacement dissonance across the first movement of the Op. 40 Horn Trio,[50] are other examples.

3.2.3 Metrical structure through metrical tonicity

But as well as metrical events and the development of metrical *material* creating a narrative, the progression of metrical *states* across a movement, sometimes all consonant, can create a *structure*; it is not just about the journey of motives (material) but also a metrical background, as analogous to key structure; Malin, amongst others, expresses the cogency of rhythm/pitch analogies.[51] Murphy points out that this idea, that an

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[46] 'What emerges strongly from the process is an awareness of the controlling rational mind of the composer, which is in agreement with the rational minds of listeners about what constitutes correctness.' See Chapter 2, footnote 44. Matthew Riley, *The Viennese Minor-Key Symphony in the Age of Haydn and Mozart* (Oxford: Oxford University Press, 2014), 260. Riley's core analytical approaches are theories of formal functionality and schemata. On Brahms's reverence for Haydn, see Heather Platt, 'Probing the Meaning of Brahms's Allusions to Haydn', *International Review of the Aesthetics and Sociology of Music* 42, no. 1 (2011): 33–58.

[47] Carl Schachter, 'The First Movement of Brahms's Second Symphony: The Opening Theme and Its Consequences', *Music Analysis* 2, no. 1 (1983): 55–68.

[48] Rohr, 'Brahms's Metrical Dramas', 16.

[49] See Smith, 'You Reap What You Sow', 61ff; Smith, *Expressive Forms in Brahms's Instrumental Music*.

[50] Peter H. Smith, 'Brahms and the Shifting Barline: Metric Displacement and Formal Process in the Trios with Wind Instruments', in *Brahms Studies: Volume 3*, ed. David Brodbeck (Lincoln: University of Nebraska Press, 1990), 191–230. Smith identifies a two-level coordination in the Horn Trio: within the refrain there is alignment between shifted 2/4 and dominant prolongation, and between (more) aligned 2/4 and tonic resolution; the 9/8 metre acts as non-tonic, along with non-tonic keys (simplistically, G minor and Eb minor) (196). Eventually the metrical 'problem' of the theme is resolved at the same time as its 'sole transposition to the tonic level' (212). Smith points to the first movement of the Second Symphony as a similar example: the hypermetrical repositioning of the neighbour-note motive occurs at the same time as the withheld structural (tonal) downbeat (211).

[51] Malin, *Songs in Motion*, 61.

arrangement of metrical states can create a logical structure to the movement, puts metrical states as equal in class to each other, as opposed to the 'figure and ground' model of metrical dissonance.[52] Concentrating on levels of rhythmic activity rather than metre per se, Hugh Hendrickson has shown that the 'composite rhythm', his term for all the articulations in a given span, has formal associations, generally decreasing at the end of formal sections and frequently having a new pattern with the appearance of a new tonality.[53] Richard Cohn has explored how in 'Von ewiger Liebe', Op. 43/i, 'the song's sense of musical motion, journey and narrative is displaced onto rhythmic events',[54] as the song progresses through the different metres in a metrical complex, and Schachter and Murphy have noted other occasions where Brahms's metrical schemes and key schemes 'complement each other regarding the complexity of their content.'[55] Possibly the most complex arrangement of metrical states across a movement occurs in the *Rondo alla Zingarese* finale of the Piano Quartet in G minor, Op. 25.[56]

The idea of metrical structure as analogous to key structure suggests the possibility of a *metrical tonic*. While not using the concept of tonic, Krebs says that, typically, 'within each musical work a particular metrical consonance – the primary consonance – assumes the role of the normative metrical state for that work.'[57]

Three major pieces of evidence can be offered to support the claim that the concept of metrical tonic is salient in Brahms.

3.2.3.1 Metrical balance

The first is the principle of metrical balance, based on the concept elucidated by David Lewin, which has since been expanded and empirically tested by Scott Murphy. In exploring the metres present at the beginning of Brahms's Op. 76/viii, Lewin applies Moritz Hauptmann's idea that 'the philosophical principles underlying metric structure are

[52] Murphy considers that his style of analysing metres 'permits a secondary meter to earn a rank of "metrical state" that is just as high as that of the primary meter against which is juxtaposed or superimposed, such that the two phenomena are in the same class despite any hierarchical relationship between them. This style is categorically different from (and intended as a complement to) the style of analyzing meters where a secondary meter becomes figure against the primary meter's ground', as in Krebs's *Fantasy Pieces*. See also Ng, 'The Hemiolic Cycle and Metric Dissonance in the First Movement of Brahms's Cello Sonata in F Major, Op. 99', 67.
[53] Trucks, 'The Metric Complex', 7. Hugh Hendrickson, 'Rhythmic Activity in the Symphonies of Brahms', *In Theory Only* 2, no. 6 (1976): 5–15.
[54] Cohn, 'Complex Hemiolas', 312.
[55] Murphy, 'Metric Cubes', 40.
[56] Scott Murphy, 'On Metre in the Rondo of Brahms's Op. 25', *Music Analysis* 26, no. 2007 (2007): 323–53.
[57] Krebs, *Fantasy Pieces*, 82.

the same as those underlying the harmonic structure of tonality'.[58] The three metres at the beginning of the Capriccio are based on numerical relationships the same as those underlying the relationship between dominant, tonic and subdominant harmonies.

As a visualisation of this, metrical states may be situated diagrammatically within *metric spaces*. Cohn has developed two types of metric space,[59] and also coined the 'ski-hill graph' at the same time as the second metric space.[60] Murphy developed 'metric cubes' (shorthand for 'hypercubes'), which may operate over several dimensions to more accurately relate metres which are incomparable in Cohn's spaces.[61] With the use of metric spaces or cubes, it is possible to place all the metres used in a work into a spatial representation. In a work in 6/4, for example, where all the metres are mixed with one triple factor, the following metric space might apply (Example 3.1 and Example 3.2): moving to the right entails hemiola transformations, and to the left, reverse hemiola.

What Murphy shows is that 'a meter centrally located among a common-practice work's meters in a certain metric space is typically the work's primary meter'.[62] This makes use of a distinction between *logical* and *rhetorical* definitions; the logical tonic is the one which is in the centre of a space, and the rhetorical one is defined by use, prevalence and stability within the work.[63] In the examples above, the central metre (what we think of as '6/4' metre) is logically in the centre of the metric space; it is also, typically, the rhetorical tonic in works written with the 6/4 time signature. In the *Rondo alla Zingarese*, Op. 25/iv, the rhetorical tonic is used in the refrains and typically with the tonic key and mode. The interesting thing that Murphy shows in Op. 25 is that the tonic metre's rhetorical identity only coincides with its identity as the logical tonic (that in the middle of the metric space

[58] Lewin, 'On Harmony and Meter in Brahms's Op. 76, No. 8', 261. From Moritz Hauptmann, *Die Natur der Harmonik und Metrik* (Leipzig, 1853); trans. W. E. Heathcote (London, 1888).
[59] Scott Murphy describes them as 'Type I' and 'Type II' metric spaces ('Metric Cubes', 2–7). The first was developed in Cohn, 'Dramatization' and the second in Cohn, 'Complex Hemiolas'.
[60] Daphne Leong explores the application of ski-hill graphs in works by Humperdinck and Wagner. Daphne Leong, 'Humperdinck and Wagner: Metric States, Symmetries, and Systems', *Journal of Music Theory* 51, no. 2 (2007): 211–43.
[61] Murphy, 'Metric Cubes'.
[62] Ibid., 2.
[63] 'Logical definitions are applied to musical features only through their extra-opus relationships with other musical features. Rhetorical definitions are applied to musical features only through their specific intra-opus instantiation in a particular work. For example, the tonic pitch and its accompanying triad as *Vermittlung* is a logical definition: among a group of major or minor diatonic triads, it is a triad whose root lies a perfect fifth both above and below the roots of either two other major or two other minor triads. However, a tonic pitch and its accompanying triad can also be defined rhetorically: the last, the first, the lowest, the most common, the most emphasised through a variety of means, and so on.' Murphy, 'On Metre in the Rondo of Brahms's Op. 25', 332–33.

of all metres used) right at the end of the movement, when a hitherto unused metre occurs, logically recentering the rhetorical tonic.

This idea of metrical balance is analogous to tonal norms, where, for instance, a subdominant or flat-side emphasis in a work's coda is seen to balance dominant or sharp-side emphasis in the body of the work. Indeed, Murphy draws this parallel further when noting the last-minute logical balancing in Op. 25/iv as akin to subdominant peroration in codas or closing sections;[64] in turn, the 'dominant' metre of hemiolas is typically found as a more foregrounded device, while the 'subdominant' metre of reverse hemiolas can be less globally balancing, often found in more transitional phrase locations. Further, this thinking elucidates yet another possible role of metrical complexity, nuancing the dissonance-resolution model to one where *departure from a state helps to logically confirm that state*. That Brahms had a developed aesthetic of balance in the tonal dimension is demonstrated in part of his advice to Jenner on song composition:

> Even in the case of a very long song whose subsidiary phrases were extended and internally consistent, the principal key always had to be clearly articulated and its dominance of the secondary keys maintained by means of clear relationship, so that, so to speak, the sum of all the keys utilized in the piece combined to create an image of the tonic key inits activity. That precisely the lack of clear identification of a key, even the tonic, can serve as an excellent means of expression, is in the nature of the matter.[65]

Murphy confirms that this practice of balance is a near-universal norm across Brahms's oeuvre in the metrical dimension, and suggests: 'If this hypothesis is correct, tonality's use of a particular musical entity as both a logical 'middle point' and a rhetorical 'home base' may not be confined to harmony. Instead, there may be a more general perceptual and/or aesthetic concept at work here which encompasses harmony, metre and perhaps other quantifiable musical dimensions.'[66] The idea of logical and rhetorical definitions, as he

[64] '… [the metres'] formal placement and rhetorical disposition mirror those characteristics of last-minute subdominant harmony in many full-movement tonal forms.' Ibid., 342.
[65] Jenner and Gillespie, 'Johannes Brahms as Man, Teacher and Artist', 189.
[66] Murphy, 'On Metre in the Rondo of Brahms's Op. 25', 343. Murphy believes the only counterexample is Op. 85/iv, 'Ade'. I would further argue that this is part of a metrical thread of uncertainty which binds the whole of Op. 85 together. All of the Op. 85 songs leave their tonic metrical state unclarified at the low level, matching a textual theme throughout the set of bittersweet happiness, melancholy, and nostalgia.

points out, manages partly to disconnect this kind of metrical thinking from its reliance on analogy with pitch.[67]

The ideas in the above paragraphs lie as assumptions behind the work of Chapter 5.

3.2.3.2 Other conceptual arguments for metrical tonicity

Other than the principle of metrical balance, the second piece of evidence behind the idea of metrical tonicity is the fact that in Brahms's ambiguous openings, what will turn out to be the rhetorical tonic is typically one of the options available to a listener. Brahms typically suggests what will be the 'right answer' but then challenges it.

One rare counter-example of this might be thought to be the Third Symphony – it seems impossible to glean 6/4 metre from two held notes. But Brahms marks the score 'in 2', and in the manuscript the first bars are actually notated as two tied dotted minims.[68] A real counter-example is the Intermezzo in B minor, Op. 10/iii, which sits within an early and explicit multi-movement structure; its unusually unstable opening links it to the preceding movement in the tradition of the Romantic fragment.

The third piece of evidence supporting the idea of metrical tonicity is the occurrence and manipulation of synchronicity between dimensions. Malin puts it that 'Analogies between pitch and rhythm have proved to be especially cogent for Brahms's music. It is not only that one finds rhythmic processes that are analogous to tonal processes but that the processes frequently go together'.[69] Murphy cites Lewin, Cohn, Smith and McClelland as noticing 'synchronicities and concerted interaction between consonant or tonic pitch states and consonant or primary metrical phenomena, and between dissonant or non-tonic pitch states and dissonant or secondary metrical phenomena.'[70] While the focus of this thesis is on situations of counterpoint between dimensions – as a corrective – situations of synchronised change strengthen the analogy between tonality and metre. Brahms's belief in the importance of the (pitch) tonic can be found, for example, in Jenner's memoirs,

[67] 'It should be stressed that with the exception of the word 'tonic', this claim does not in fact entail an analogy between pitch and time: the logical metric tonic is the metre positioned centrally in some metric space among other metres in the piece; and the rhetorical metric tonic is the metre which occurs last, first, most often, or with primary thematic material, and is often reflected, at least in part, by the notated time signature.' Ibid., 342–43.
[68] Frisch, *Brahms and the Principle of Developing Variation*, 133–34.
[69] Malin, *Songs in Motion*, 61.
[70] Murphy, 'Metric Cubes', 31.

where the composer is reported to stress the importance of establishing the tonic so that subordinate key relationships are not seen to be arbitrary.[71]

3.2.4 Example: 'Serenade', Op. 70/iii – metrical development and balance

Two of these features of Brahmsian metrical style – metrical development and balance – can be seen at work in 'Serenade', Op. 70/iii (Example 3.3). In bar 4, the song introduces a low-level reverse hemiola in the right hand; the 3/16 quality of this figure is strengthened by its use in augmented form in the voice, creating parallelism (and proportional dissonance). The strength of this metrical figure ebbs and flows across the following bars depending on its exact pitch content – it is strongest in bar 8, with semiquaver neighbour-note motion. It becomes a direct dissonance within the piano part at the dynamic climax of the song (bars 12–14), after which it subsides. The metrical balancing occurs at the closural climax in bar 20, when the voice moves into hemiola. A final metrical rustle occurs in bar 22, when the piano part is encouraged to bring out 6/16 again by separation of the figure between hands.

This song could be said to play with metrical functionality – the way musical material expresses its metrical identity – in several subtle ways.[72] How does the introductory bar relate to what follows? As is also potently explored in the opening bars of the Third Symphony, the song (and symphony) seem to start twice: it is not just that the entry of the voice creates a hypermetric restart, but that the introductory bar turns out not to relate to the metric structure that follows; from bar 1's bare dotted crotchets the pulse layer is filled out to flowing quavers and semiquavers, and the harmonic rhythm is halved.[73] In addition, the whole song shows Brahms manipulating parallel and switchback readings, as the diminution of the vocal figure in the first half of each bar to become a repeated accompanimental figure creates a dissonance between duple and triple readings, and between the metrical 'scale' one attends to (in an example of proportional dissonance).

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[71] Jenner and Gillespie, 'Johannes Brahms as Man, Teacher and Artist', 198–99.

[72] Here I take the idea of metrical function, already used above in the idea of 'upbeat function', as an intuitive coercion of the concept of formal functionality. See also 6.5.4 on metrical orientation.

[73] The converse happens in the opening of the first movement of the First Symphony, Op. 68 (one of the few examples of slow introductions in Brahms's oeuvre), where what initially does present itself as an introduction is subsequently tied into the opening of the body of the movement. The norm would be for a slow introduction to act as a large-scale upbeat to a strongly weighted 'beginning', with fragmentary pre-echoes of the thematic material, which will follow in more tight-knit form and with strongly initiatory function. But within the first few bars of the *Allegro* section of Op. 68/i, the material of the introduction returns in just as fragmentary a form as in the introduction, and a cadential progression within the first few bars also suggests a non-initiating phrase function, tying the 'opening proper' to the slow introduction in another way.

3.2.5 Metrical states and proportional tempos

The issue of relating metrical states across distant musical spans may call to mind the issue of proportional tempos in Brahms's music; if a metrical state can achieve a status comparable to a tonic, how does this relate to the problem of tempos? Brahms left 44 metronome marks in eight works, and calls explicitly for proportional relationships within movements in nineteen cases.[74] In 1957 Allen Forte demonstrated various rhythmic and motivic relationships in the 'Haydn' Variations, Op. 56, and argued that 'In order to articulate these relationships correctly – and indeed the rhythmic structure of the theme itself – it is essential that the tempi of the Variations be correctly proportional to the tempo of the theme. Tempo is thus an important aspect of the rhythmic structure – more specifically, an aspect of the foreground structure.'[75] Proportional systems have also been recommended, most notably, by David Epstein.[76]

But there is also conflicting evidence. When asked whether the metronome marks in the *German Requiem* should be followed, Brahms himself said, 'I think here as well as with all other music the metronome is of no value. ... As far at least as my experience goes, everybody has, sooner or later, withdrawn his metronome marks'; he did so in 1894.[77] Epstein's methodology, and his thesis of 'the idea of proportionally related tempi as a *desideratum*' and as the 'conceptual heritage of Western music' have been critiqued by reviewers,[78] and after reviewing Epstein's arguments, Bernard Sherman concludes that 'the evidence makes it seem unlikely that Brahms had a pervasive system of tempo proportions in mind. Even when he clearly did have proportions in mind, they might not have always been meant to bind performers any more than the metronome marks'.[79] Kevin Korsyn sees Epstein's arguments as becoming a 'Procrustean bed', citing the fact that Tovey,

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[74] See Bernard D. Sherman, 'Tempos and Proportions in Brahms: Period Evidence', *Early Music* 25, no. 3 (1997): 462–77. 'Those whose sections are related proportionally include the finales of opp.2 and 5; the Adagio of op.8, first version; the Adagio of op.36; the finale of op.67; the op.73 third movement; ops. 80 and 81; 'Das Mädchen', from op.93a; the Andante grazioso of op.101; op.116 no.2; and op.118 no.5. Some involve changes of metre with no indication of a tempo change: *Marias Wallfahrt* from op.22; op.74 no.1; op.89; op.92, no.4; the finale of op.98; the Hosanna of the unpublished *Missa Canonica* of 1856; and *Vom heiligen Märtyrer Emmeraus*, one of the 1869 *Deutsches Volkslieder*.' (p. 476, n. 31).

[75] Allen Forte, 'The Structural Origin of Exact Tempi in the Brahms-Haydn Variations', *The Music Review* 18, no. 2 (1957): 149.

[76] David Epstein, *Beyond Orpheus: Studies in Musical Structure* (Cambridge, MA: MIT Press, 1979); Epstein, 'Brahms and the Mechanisms of Motion'.

[77] Sherman, 'Tempos and Proportions in Brahms', 463.

[78] Epstein, *Shaping Time*, 104, 106. Quoted in José A. Bowen, 'Review: Shaping Time: Music, the Brain, and Performance by David Epstein', *Music Theory Spectrum* 20, no. 2 (1998): 311–18. See also Dave Headlam, 'Review: Shaping Time: Music, The Brain, and Performance by David Epstein', *Theory and Practice* 20 (1995): 193–204.

[79] Sherman, 'Tempos and Proportions in Brahms', 474.

> who was closely associated with many members of the Brahms circle, including Joachim, and who frequently performed Brahms's music with interpreters who had played for Brahms himself, consistently rejected the idea of proportional tempos. Tovey considered the fixation on maintaining aliquot ratios between tempos a sign of interpretative dullness and a hallmark of amateurishness. Epstein's adherence to such a rigid scheme can only be explained on the basis of ideological commitments.[80]

In another article, Sherman points out that tempo can be structural *and* expressive: 'The advantages of proportional tempo relationships are, as Epstein has explained, that they create continuity of motion and add to the unity of a work. But this explanation emphasizes the role of tempo as a structural device. For most musicians, the choice of tempo has at least as much to do with expression as with structure.'[81] A thesis by Sean Wang goes further, arguing that Brahms's tempo instructions and reluctance to mark absolute metronome numbers belies a conception of time which is more reliant on expression and affect than tempo.[82]

But Murphy points out the weakness in Sherman's implication that tempo proportions and expressive contrasts are mutually exclusive ('As way of an analogy, the relationship between two pitches or two tonal centers may be measured precisely yet still heard as contrasting'),[83] and argues again in favour of proportional relationships in some cases. Gotham also argues empirically in favour of some proportional schemes, and his system of attractor tempos nuances the problem.

Furthermore, a centred metrical hierarchy supports the idea that 'absolutely' different metres, e.g. the same metrical state/grid, but played at different tempos, can be related by a listener, because their *profile* can be recognised. Proportional tempos are thus not the only way that temporal states can be linked – in situations of disproportion, moments may still be linked through their similarity of metrical state. The set of relationships between metrical states that hold in all possible performances is a subset of all the types of relationship between metres. For example, an identity of grouping, say [23], may be

[80] Korsyn, 'Brahms Research and Aesthetic Ideology', 101.
[81] Bernard D. Sherman, 'Metronome Marks, Timings, and Other Period Evidence Regarding Tempo in Brahms', in *Performing Brahms*, ed. Michael Musgrave and Bernard D. Sherman (Cambridge: Cambridge University Press, 2003), 111. Quoted in Murphy, 'Metric Cubes', 24.
[82] Sean Yung-hsiang Wang, 'Lost in Time: The Concept of Tempo and Character in the Music of Brahms' (Stanford University, 2008).
[83] Murphy, 'Metric Cubes', 31.

perceived as present and shared by two different situations regardless of their tempos, but the hemiola relation between [♩32] and [♪23] only holds between two situations if the quaver tempo is perceived as the same in both situations.

This highlights an important non-isomorphism between pitch and metre. Whereas in the tonal system each key is equivalent in internal structure to the eleven other keys of the same mode, in the metrical system outlined above, different metres have different structures (their constituent factors of grouping and division). Tempo is thus a separate parameter to metrical state, though the two are interrelated through the issue of pulse salience. This is therefore another example of Brahms separating out the strands of musical discourse, since the idea of metrical tonic as a metrical state is separated from the issue of tempo. Finally, divorcing metrical state from tempo highlights an aspect of Brahms's engagement with musicians through the *visual* score as well as the *audial* result.[84]

For example, in the Six Songs, Op. 85, dissonance between duplet and triplet quavers is motivic throughout the set; five of the six songs contain this dissonance (and the sixth contains a development of it). In three of the songs (1, 2 and 6), this dissonance appears as an expressive apotheosis in the final stanza or passage, and each of these songs is set in common time. Regardless of the tempos chosen in performance, each of these moments will relate to one another through the identity of metrical state change.

[84] The audience's knowledge of and engagement with scores increased from the beginning of score publication, during Beethoven's lifetime. Anthony Newcomb points out that the most extensive reviews of Schumann's Second Symphony were of the newly published orchestral score. Anthony Newcomb, 'Once More "Between Absolute and Program Music": Schumann's Second Symphony', *19th-Century Music* 7, no. 3 (1984): 235. See also Thomas Schmidt-Beste, 'Preventive and Cautionary Dynamics in the Symphonies of Mendelssohn and His Time', *The Journal of Musicology* 31, no. 1 (2014): 43–90; Katy Hamilton and Natasha Loges, eds., *Brahms in the Home and the Concert Hall: Between Private and Public Performance* (Cambridge: Cambridge University Press, 2014).

Chapter 4 Case studies for accentual counterpoint

Brahms's unique compositional aesthetic and biography, which can be seen as grounded in the three facets of synthesis, economy and counterpoint, make metrical analysis of his music difficult for several reasons, and problematize the concept of metrical dissonance. Unlike Schumann's music (for which Krebs developed his theory), where metrical dissonances tend to be repetitive, persistent or even obsessive, in Brahms's music developing variation, vagueness and ambiguity mean that metrical events can be fleeting, multivalent and complex.

Accordingly, this thesis terms the interplay of metrical accent types *accentual counterpoint*. Almost all examples of metrical dissonance are examples of accentual counterpoint, so this is in a sense just a reframing, but it emphasises the complexity and dynamism with which composers, Brahms in particular, manipulate accent types, and it also recognises that sometimes metrical events that might be classed as dissonances are better seen as contrapuntal events, just as in the voice-leading dimension. Accentual counterpoint sublimates concepts such as rhythmic dissonance (single rhythmic events which do not suggest competing layers), metrical dissonance, metric colloquy and antinomy, counterstress and shadow metre, but each of these concepts can be more appropriate to use in certain situations.[1] This chapter gives two examples, Op. 105/ii and Op. 45/vii, where accentual counterpoint is suggested to be a more profitable lens on metrical complexity than any of these other concepts.

Focusing on accentual counterpoint should not be taken to mean that accents should be awarded disproportionate value in their ability to manipulate metre. As Mirka points out, 'What an overeager analyst might wish to consider a weak metrical dissonance generated by contour or grouping may be only a by-product of melodic profile, neither intended by the composer as a metric effect nor perceived as such by the listeners.'[2] Her criterion for taking notice of these factors is 'the further course of metrical strategy', suggesting that

[1] The distinction between rhythmic and metrical dissonance is used by McKee and Mirka, among others. Eric McKee, 'Review: *Fantasy Pieces: Metrical Dissonance in the Music of Robert Schumann*', *Notes* 57, no. 1 (2000): 99. Colloquy and antinomy are coined in Richard Kurth, 'On the Subject of Schubert's "Unfinished" Symphony: "Was Bedeutet Die Bewegung?"', *19th-Century Music* 23, no. 1 (1999): 3–32. Shadow metre is Frank Samarotto's conception and is used in passing by several authors, but never, to my knowledge, explained in detail. Counterstress is William Rothstein's conception and is used, for example, in Channan Willner, 'Stress and Counterstress: Accentual Conflict and Reconciliation in J. S. Bach's Instrumental Works', *Music Theory Spectrum* 20, no. 2 (1998): 280–304.

[2] Mirka, *Metric Manipulations*, 174.

only if the composer *activates* the dissonance later, 'by means of other factors',[3] will a dissonance be perceived. In this way she disagrees with Krebs's use of the term *intensification* because this 'implies that the dissonance is already perceived in the first place',[4] and with Willner's claim that 'metrical displacement … is a normative rather than an exceptional feature of Baroque style'[5] because he confuses metrical displacement with cases where metre and grouping are out of phase in ways which have their origin in a consistent tradition elucidated by Kirnberger (among others).[6] The lens of accentual counterpoint takes all these factors into account: musical accents, individual modern perception and historically contingent factors. The point at stake in this thesis is not to decide on perceivability of minor dissonances, nor to prescribe correct readings in complex situations, but to acknowledge firstly the plurality of these factors and secondly the increasing complexity of such situations in Brahms's later music.

Furthermore, metre has no equivalent to resolution through voice-leading. Just as movements from dissonance to consonance in the harmonic dimension are not always instances of closure, so metrically consonant passages cannot necessarily be seen to resolve their preceding dissonances. This problematizes notions of metrical closure, but it is also seen as something on which Brahms capitalized; without the need to resolve his metrical instabilities at the end of movements (or single songs), he could use the resultant non-closure (or non-maximal closure) to create larger, multi-movement trajectories. For the purpose of analysis, the absence of a theory of metrical closure is overcome with the use of narrative theory, explained in Chapter 6.

4.1 Areas of focus

To return to the three guiding Brahmsian concepts: the principal concerns of the thesis are in contributing to the perspectives of two of them, synthesis and counterpoint. Synthesis is explored in the ability of Brahms's metrical events to make sense simultaneously from different perspectives, such as in the metrically divergent moments where both acceleration and deceleration are present. Counterpoint is explored on the smallest and largest scales: the concept of accentual counterpoint refers to metrical properties of the smallest moments, while concepts such as directional metre and non-maximal resolution

[3] Ibid., 175.
[4] Ibid.
[5] Channan Willner, 'Durational Pacing in Handel's Instrumental Works: The Nature of Temporality in the Music of the High Baroque' (City University of New York, 2005), 175.
[6] Mirka, *Metric Manipulations*, 175, n. 10.

allow one to explore Brahms's predilection to create diverse metrical narratives which take place on larger scales than generally admitted.

It is the focus on counterpoint, and to a lesser extent synthesis, which sets this work apart, because much analytical exploration of Brahms's music, driven by a focus on his compositional economy, can tend to see the analytical goal as to interpret his work as unified, and to take this tendency on to readings of *closed structures*. This is particularly found in readings of closure and resolution within single movements, whereas here it is argued that the concept of dimensional counterpoint, and the focus on the metrical dimension in particular, can open our ears to occasions when Brahms weaves movements together through counterpoint in its largest sense, or when he creates open-ended structures.

Detailed discussion of these issues occurs in Chapter 6, but, to briefly survey the hermeneutic and analytic predecessors of the present work, an example of exploration into the musical manifestations of Brahms's tendency towards larger structures is Jonathan Dunsby's work on the 'multi-piece'.[7] In terms of historical precedent, James Webster's work on Haydn's 'Farewell' Symphony explores an example of a connected multi-movement work significantly before the 'usual suspect' of Beethoven; elsewhere Webster says that Brahms 'search[es] for a deeper level of integration of a multimovement work than was possible by thematic-motivic links alone … the issue of integration centered above all on the problem of how to end a work.'[8] Close to the current project, McClelland believes that 'One of the most important outcomes of thorough treatment of rhythmic-metric design is the realization that tonal closure can be accompanied by various degrees of rhythmic-metric resolution.'[9]

Schubert, another composer whom Brahms revered, continues to be the subject of investigations into subtle cyclic procedures, juxtaposition and even disunity, and dimensional counterpoint; a particularly tantalising path for the interpretation of Brahms's music is offered by Charles Fisk's monograph on late Schubert, particularly those 'more

[7] Jonathan Dunsby, 'The Multi-Piece in Brahms: Fantasien Op. 116', in *Brahms: Biographical, Documentary and Analytical Studies*, ed. Robert Pascall (Cambridge: Cambridge University Press, 1983), 167–90.

[8] James Webster, *Haydn's "Farewell" Symphony and the Idea of Classical Style* (New York: Cambridge University Press, 1991). On Brahms's relationship to Haydn, see for example Platt, 'Probing the Meaning of Brahms's Allusions to Haydn'. James Webster, 'The Alto Rhapsody: Psychology, Intertextuality, and Brahms's Artistic Development', in *Brahms Studies: Volume 3*, ed. David Brodbeck (Lincoln: University of Nebraska Press, 2001), 41–42.

[9] McClelland, *Brahms and the Scherzo*, 296.

pervasive subtle references that produce deep resonances between ostensibly unrelated passages'.[10] And as philosophical-aesthetic context offsetting the usual focus on unity, Inge van Rij's work on Brahms's song collections offers powerful arguments that juxtaposition and the idea of the fragment, as found, for example, in the works of E. T. A. Hoffman, could be just as cogent to Brahms's project as unity and organicism.[11] Similarly, Virginia Hancock claims that his annotated conducting scores of early music betray an interest in creating 'contrast for its own sake'.[12]

4.2 Metrically divergent moments in Opp. 70/iv and 105/ii

Brahms's most elaborate moments of accentual counterpoint come in his late music, typically in slower moments; this is not to say that his fast music cannot be metrically complex, but that it is typically rendered so through more explicit means, since the manipulation of minor accent-types is subordinated to the accentual weight of harmonic grouping and dynamic stress.

This section gives two examples of 'metrically divergent moments', where accentual counterpoint is used to create a sense of both acceleration and deceleration. The first moment, in Op. 70/iv, has more palpable divergence but less complex accentual diversity; the second moment, in Op. 105/ii, exhibits a typically late-Brahmsian sense of the ineffable.

Op. 70/iv, 'Abendregen', contains a moment of transformation between the second and third stanzas (Example 4.1). While the first two stanzas contain considerable quaver displacement dissonance, the cardinality of pure duple metre is unquestioned. In bars

[10] Charles Fisk, *Returning Cycles: Contexts for the Interpretation of Schubert's Impromptus and Last Sonatas* (Berkeley: University of California Press, 2001), 12; Anne M. Hyland, 'The "Tightened Bow": Analysing the Juxtaposition of Drama and Lyricism in Schubert's Paratactic Sonata-Form Movements', in *Irish Musical Studies, Vol. 11*, ed. Gareth Cox and Julian Horton (Dublin: Four Courts Press, 2014), 17–40. On Brahms's relation to Schubert, see for example James Webster, 'Schubert's Sonata Form and Brahms's First Maturity', *19th-Century Music* 2, no. 1 (1978): 18–35; James Webster, 'Schubert's Sonata Form and Brahms's First Maturity (II)', *19th-Century Music* 3, no. 1 (1979): 52–71; Graham Hunt, 'The Three-Key Trimodular Block and Its Classical Precedents: Sonata Expositions of Schubert and Brahms', *Intégral* 23 (2014): 65–119. Works strongly indebted to Schubert include the Piano Quartets Opp. 25 and 26; the second movement of Op. 26, with its starkly opposed dark and light sections, is resonant with the idea of Schubert's 'tightened bow'. Anne Hyland's work on parametric non-congruence in Schubert's music suggests a link with dimensional counterpoint: 'Most pressing in the articulation of form are moments where one parameter is suggestive of closure (and thus the commencement of a new zone) but one or more of the others are not – a practice frequently encountered in Schubert's instrumental music.' Anne M. Hyland, 'Rhetorical Closure in the First Movement of Schubert's Quartet in C Major, D. 46: A Dialogue with Deformation', *Music Analysis* 28, no. 1 (2009): 115.

[11] Inge Van Rij, *Brahms's Song Collections* (Cambridge: Cambridge University Press, 2006).

[12] Virginia Hancock, 'Brahms's Performances of Early Choral Music', *19th-Century Music* 8, no. 2 (1984): 138.

21–23, however, a kind of triple metre is introduced through an arpeggiated figure which is overlapped every three crotchets. At the end of bar 23, the triple factor is doubled through a new overlap in the right hand, creating a sense of 6/8 metre.

After the pause in bar 24, duple metre returns at a slower, 'Langsam' tempo. Now, however, the pulse layer has been changed from duplet quavers to triplet quavers. This triplet pulse (a Type 1 artificial hemiola) is therefore prepared by the introduction of the triple factor before the pause (through Type 2 artificial hemiola). The interesting thing is that the triple factor undergoes a staged acceleration that is in opposition to the deceleration caused by the global 'Langsam' change. The focus on the pitch E, transferring from accompanimental to melodic, creates another transformative linkage.

The second such extraordinary moment occurs in 'Immer leiser', Op. 105/ii. The song is characterised by a vagueness of higher-level metre above the minim – it is not clear whether the strong beat is the bar, the half-bar or even whether the song might be in 3/2, as Riemann rebarred it.[13] This is due in main part to the complex harmony, itself frequently ambiguous as to whether particular pitches should be read as appoggiaturas and thus where the hierarchical weight falls. But is also worth noting that Brahms obscures the possibility of reading metrical status through contour and particularly rhythm; the repeated dotted cell and displaced accompaniment is the only rhythmic material for the first seven bars, allowing no differentiation of bar or half-bar.

The moment in question occurs at the expressive crux of the first stanza, when the narrator wakes up and weeps. Example 4.2 and Example 4.3 show the opening of the piece and the metrically complex moment. This example is explored again in Chapter 8 as an example of expansiveness, but the following observations are intended to support viewing such moments through accentual counterpoint. Bar 23, the first 3/2 bar, is a metrically complex bar. There are a remarkable number of subtle metrical cues in this moment, simultaneously portraying continuity, retardation and acceleration in musical motion. Several of these are themselves ambiguous.

Continuity is perhaps the weakest level of motion accentually emphasised. The minim and crotchet levels that the metre of this bar shares with the previous bar are accented only through event presence (some event occurs on each minim and crotchet beat) and

[13] Hugo Riemann and Paul Berry, 'Metric Freedoms in Brahms's Songs: A Translation and Commentary', in *The Oxford Handbook of Neo-Riemannian Music Theories*, ed. Edward Gollin and Alexander Rehding (New York: Oxford University Press, 2011), 464–69.

projection. It is quite possible that a listener has felt the minim level as the tactus throughout the piece, in which case this tactus would continue. The voice's second rhythmic cell – minim then crotchet – in bar 23 echoes those in bars 15 and 19.

A sense of acceleration is caused by the increased movement of the bass line and harmony. Outlining three harmonies in bar 23, this change is an increase at a considerable ratio to the two immediately preceding bars, which had paused on one harmony. Bassline contour accents (relatively low notes) articulate two consecutive downbeats, bars 23 and 24, an increase on the previous articulation in this range once every two bars. Text is set at an increased syllable rate compared to bars 14–20.

Finally, a sense of deceleration is caused by various accent types. Most pertinently the quaver pulse level, which has been articulated with high consistency across the song, drops out in bar 23. Quaver syncopation is augmented to crotchet syncopation – a displacement dissonance – suggesting an augmentation of tactus level. While increasing the syllable rate from the immediately preceding bars, the text also portrays a sense of retardation and repetition by stating 'weine bitterlich' twice in bars 22–23 in 23–24.

Decelerations at a lower ratio also occur. Most pertinently, the agogic accent, in the voice part, of the minim F♯ suggests 6/4 metre within bar 23. Textual metre also comes into play: even though downbeat status has been ambiguous between bar and half-bar across much of the song, text has always been set with stressed syllables on one of these locations (beats 1 or 3); the textual accent on 'bitt-' in bar 23 thus has even more weight in this context. The 6/4 suggestion is also enhanced by a density accent of the right-hand piano chord on beat 4 of bar 23. A final kind of deceleration is caused by the melodic shape viewed from a higher perspective; the time to descend from A to C♯ is fractionally longer than in the opening statement of the song.

Hypermetrically there is a feeling of acceleration, though there are various possible readings. What seems most likely is that bars 14, 16, 18 and 20 are heard as hyperdownbeats (through bass accent and harmonic accents created by the third-related shifts) but that this shifts in bar 21, with the forte dynamic and vocal accent (textual stress and contour) suggesting a new hyperdownbeat and a shifted hyperbar which is supported by the lack of harmony change in the following bar. It is possible to hear either of the 3/2 bars as hyperdownbeats, or even both; the text has followed a kind of hypermetre (niemand wacht und öffnet dir) but in bars 23 and 24 a double hyperdownbeat is

suggested: 'ich erwach und weine bitterlich'. This also confuses any application of MPR2 (strong beat early) as it is not clear where the group starts.

With such a low degree of continuity with the previous bars, conservative metrical projection seems less likely than a perceptual shift of metre, a realisation that metre has changed. But any shift will bring new complications due to the divergent metrical action here. If the listener concentrates on the voice, they may feel the bass line accelerating motion underneath. More specifically, against an augmentation to 6/4, if one concentrates on the voice, the bass line will outline a hemiola; this reading is supported by the notated time signature change. If one changes tactus level as suggested by the event structure, the harmonic acceleration is even faster.

A remarkable number of metrical cues are condensed into these few bars. Though this brief analysis has not explored the context in sufficient detail, it illustrates the utility of the lens of accentual counterpoint over that of metrical dissonance theory. While the passage could be seen to be metrically dissonant, the complexity and subtlety here obviates the labelling of specific events as individually consonant or dissonant in themselves, and the fleeting nature of the moment does not conform to Krebs's use of metrical layers; the accents relate to each other, rather than to layers which they outline. A contrapuntal view of this moment acknowledges better the diverse metrical suggestions, particularly the simultaneous feeling of expansion and contraction, without adding hierarchizing judgements.

4.3 Accentual counterpoint in *Ein Deutsches Requiem*, Op. 45

4.3.1 Introduction

Most of the examples in this thesis are from Brahms's chamber music and songs, but this analysis offers an example of accentual counterpoint in a very different genre. The seventh movement of the *Deutsches Requiem*, judged in metrical comparison to the first, is nevertheless an example of the expressive power of accentual counterpoint communicating an experience quite peculiar to the tonal dimension, as it communicates the closure of the Requiem without the dynamic drama of teleological tonal closure.

This analysis comes at this point in the thesis for two reasons. The first is that the movement shows accentual counterpoint but without multiple levels of hemiola; the pulse level, while expressive, does not participate in the creation of metric states in the way that will be demonstrated in Chapter 5. The second reason is that accentual counterpoint in

this movement creates a metrical narrative which does not benefit especially from the approach to narrative used later in the thesis, though the analysis argues that it does have an unusual narrative, creating the benediction effect of the Requiem through metrical means.

4.3.2 Analysis

4.3.2.1 Introduction

Writers on the Requiem have tended to disagree about issues of work-scale unity and trajectory, in respect both of what (if anything) creates these, and in what form they might be found.

Potential unity of material, or at least cohesion, can be found ascribed to two main sources: a three-note motive, dubbed the 'selig' motive, in its pure form an ascent through the notes F-A-B♭; and the possible reference to a Lutheran chorale as founding material for the whole work. The latter hinges on two supposed conversations between Brahms and the choral conductor Siegfried Ochs, reported by Ochs himself. In the first conversation Brahms revealed that there was a 'well-known chorale' in the 'first bars and in the second movement'; in the second conversation, Brahms is reported to have specified the chorale as 'Wer nur den lieben Gott läßt walten'.[14] Some scholars have trusted the first conversation but not the second, proposing alternative chorales: Christopher Reynolds suggests 'Freu' dich sehr, o meine Seele', and Martin Ennis (following Robert Haven Schauffler) proposes 'Erhalt' uns, Herr, bei deinem Wort'.[15]

Yet arguments either for motivic saturation of the 'selig' motive or for the perceived influence of a chorale can become spurious. The 'selig' motive or its transformation is perceivable as primary material in the first, second, fourth and seventh movements, but in the third and sixth it is less so, and in the fifth it is virtually absent from motivic perception. More pertinently, the motive does not act as a *Grundgestalt*, a source of developing variation, across the work in the same way as motives can do in some of Brahms's other compositions. All of the suggested chorale references, meanwhile, are unsatisfactory in one way or another. Again most pertinent is a sense of Brahms's standard practice, in which quoting a whole chorale line unambiguously would be extraordinary. It seems more likely against the background of the rest of Brahms's oeuvre that if there is a

[14] Michael Musgrave, *Brahms: A German Requiem* (Cambridge: Cambridge University Press, 1996), 26.
[15] Reynolds, 'A Choral Symphony by Brahms?'; Martin William Ennis, 'Recomposition in the Music of Johannes Brahms' (University of Cambridge, 1992).

single chorale as plaintext Brahms would nevertheless quote it in some transformed fashion, and that an alternative is simply to perceive a sort of chorale topic against a generic background, as Daniel Beller-McKenna has suggested.[16] Against the idea of a specific and recognisable chorale reference we could also put John Daverio's examinations of Brahms's cryptographic practices, positing that they go 'hand in hand with a process of effacement … Here Brahms acts less like a cryptographer than a chemist, transforming a verbal subject so thoroughly into a musical one that no trace of the original plaintext remains. In these works, the plaintext thus functions as a mere *pre*text that ultimately has no bearing on the aesthetic significance of the finished product'.[17]

Two more aspects add to the cohesion of the work, but both are similarly non-maximally unified: tonality and text. The tonal scheme of the seven movements, as Michael Musgrave elucidates, includes a basic scheme within F major of I-IV-vi-V-I (movements 1, 2, 3, 6, 7), enhanced with modal changes, tertiary subordinate keys, and non-primary keys in the fourth and fifth movements.[18] Contrast in the global tonal scheme is provided by the fourth movement, in its move to E♭ major after the thundering D major close of the third.

Brahms's choice of texts for the work, famously compiled as an agnostic alternative to the traditional Requiem mass texts, similarly show both cohesion and contrast. Texts from disparate parts of the Bible and Apocrypha are juxtaposed; themes such as hard work, blessing, farming and nature images, and life and death all recur throughout, creating a web of connections which some have read to be the primary unifying aspect of the work; Robin Leaver's trajectory of textual topics, combining both symmetry and a sense of progression, is shown below. Yet this too, like any reading, requires an obfuscation of many points of contrast and non-cohesion within the text.

[16] Daniel Beller-McKenna, 'Distance and Disembodiment: Harps, Horns, and the Requiem Idea in Schumann and Brahms', *Journal of Musicology* 22, no. 1 (2005): 47–89.
[17] John Daverio, 'Brahms's Musical Ciphers', in *Crossing Paths: Schubert, Schumann, & Brahms* (New York: Oxford University Press, 2002), 121.
[18] Musgrave, *Brahms: A German Requiem*, 23.

1. The living are blessed
2. Mortality of both the living and the dead
3. Personal reflection addressed by the living
4. Heaven—for those who have died and those who have yet to die
5. Personal comfort addressed to the living
6. Earthly homelessness of both the living and the dead
7. The dead are blessed

Table 4.1 Robin Leaver's diagram of the topical content of the movements of the German Requiem.[19]

What emerges from these considerations is the idea that the Requiem finds its work-scale cohesion more in the manner of Brahms's song collections, which are typically held together by a set of loose, parametrically diverse connections between individual parts, and through a combination of cohesion and contrast.[20] All these elements – motivic connections, textual images and topics, and tonal scheme – combine. Other elements of loose symmetry or parallel are also often cited: the solos in the third and fifth movements, as a maternal and paternal pair; the connection of the second, third and sixth movements through their minor-to-major transformations and increasingly tight fugal conclusions; and the shared pastoral style of the fourth and fifth.

Regardless of the perceived strength of intermovement cohesion, it is undeniable that the seventh movement must be judged in relation to the first; the return to F major, matching harmonic progression and textual echo ('selig') clearly signal this. The following analysis thus reads the last movement through the first, arguing that metre, and particularly accentual counterpoint, plays a strong role in the creation of a sense of closure for the whole, seemingly weakly unified, work.

4.3.2.2 The first movement

Despite its immediate chromatic features, the opening of the Requiem (Example 4.4) is rooted in F major. This rootedness is partly due to the stability of the hypermetric hierarchy; chromatic notes are always on hypermetrically weak bars, while the hypermetrically strong bars state primary chords in F major. Metre also plays a strong part in the increased motion towards the choral entry; the accompanying harmonies move to minim motion (though chromatic harmonies are still on hierarchically weak minims) in

[19] Robin A Leaver, 'Brahms's Opus 45 and German Protestant Funeral Music', *Journal of Musicology* 19, no. 4 (2002): 633.

[20] Van Rij considers the Requiem as a 'useful starting point for the coherence of Brahms's song bouquets', although the reason that she gives is the common thread of the 'sorrow-to-comfort plot archetype'. Inge Van Rij, *Brahms's Song Collections*, 78.

bars 8–11, and then crotchet motion, including displacement dissonance through syncopation, further increases the forward motion in bars 12–14. Musgrave argues, as part of an argument for the foundation of the work on chorale material, that the choral entry itself is prefigured by the *selig* motive (in its absence) in counterpoint with the opening three bars and the opening orchestral entries.[21] Duple hypermetre remains unquestioned throughout the first section, up to bar 46. This stability of metrical state, along with the feeling of self-forming created by the stepwise diminution in harmonic acceleration and the general upward rising of pitch, helps the opening to *function* as an opening, expressing its place within the work. Hermeneutically, this stability also reflects the 'earthly' beginnings of the Requiem – beginning with the mourners and eventually to pass in subject matter to the dead.

4.3.2.3 The seventh movement

Those writers who see symmetry across the course of the Requiem are likely to cite the relationship between the outer movements as one of the strongest examples of this symmetry. As already noted, the last movement returns to the key of the first (with the V-I motion between sixth and seventh reflecting I-IV between first and second), to the chord progression of the opening, and to the basic subject matter of benediction.

Yet Beller-McKenna nuances this relationship. Rather than a mirror, he argues, the outer movements act as a frame; rather than reflection, he sees resumption. The last movements thus provide a 'frame' around the 'peregrination … an essay in transience' of the middle five; Beller-McKenna is proposing a stratified structure to the narrative of the work as a whole.[22]

This feeling of the last movement continuing the narrative of the first can be grounded in features of the music. For while the soprano entry at the opening of the last movement features the pervasive *selig* motive in inversion, it is more accurate to relate it to coda material of the first movement (Example 4.5 and Example 4.6), the opening of the last therefore not only continuing the close of the first (in an example of linkage technique on a grand scale) but also beginning to provide closure for the whole work. The pitch content of this initial phrase of the seventh movement, starting high and descending, perhaps adds to the functional expression of conclusion rather than initiation.

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[21] Musgrave, *Brahms: A German Requiem*, 37.
[22] Beller-McKenna, *Brahms and the German Spirit*, 80–81.

Resumption is also found in metrical aspects. Where the first movement 'formed itself' metrically from the largest metrical units down, the last begins with activity at what will be its lowest level, the pulse layer of quavers. If one hears Musgrave's 'invisible *selig* motive' in the opening bars, then the soprano entry interrupts it, keen to resume. Most simply, rather than the fourteen bars of orchestral introduction before the choral entry in the first movement, this movement resumes action in bar 2.

These aspects of resumption lead towards the more interesting differences between the first and last movement, which lie in metre and hypermetre. This analysis suggests that the last movement withholds strong hyperdownbeat status until bar 34; adding to the lack of tonic PAC, this creates a feeling of suspension in breadth, which when resolved at the end of the movement will help create the work's peculiar state of ultimate closure.

The opening bar presents a fairly strong candidate for a hypermetric downbeat, with its strongly rooted F major harmony. But, unaccompanied by choir and with its strong upward motion, it also signals towards bar 2 as a hypermetric downbeat. Bar 2, though, is equally ambiguous. Most firm of its downbeat qualities is the high tonic entry by sopranos. But this is undercut by the orchestral seventh and the removal of the lowest octave bass (this reappears only in bar 4, contributing to hypermetric instability). The resonance to the first movement, where the seventh on bar 2 *was* a hyperupbeat, complicates things. The repetition of the upward quaver motion starting on A suggests parallelism, suggesting that bar 1 was a hyperdownbeat after all. This leads us, perhaps, to expect bar 3 as a hyperdownbeat – but this, too, is effaced by the static vocal line (both in text and pitch), and the static quality of the harmony.

Even within the soprano line in isolation, metre is subtle through accentual counterpoint. This is an example of what Schoenberg called Brahms's 'musical prose'; there is little obvious division or classical phrase structure within this evolving line. What little parallelism is present obfuscates the barline: the small A-C-D internal cell occurs on both half-bar positions, as does the high F, and there is little rhythmic symmetry. Hypermetre is subtle; it seems to fall better with the vocal phrase beginning on a hyperdownbeat (though this conflicts with the orchestra), but even then, 'sind' and 'Herren' are not as strong as they could be, since they both lead onwards to the following half-bar – a result of melodic contour, agogic accents and pitch, accenting 'Toten' and 'sterben' – and the supposed hyperdownbeat on bar 8 (the seventh of the phrase) has event absence. Textual accent,

therefore, is also playing a part; Brahms sets some, but not all, of the strong syllables on notated strong beats. Sometimes this occurs at the smallest level of syllabic relation – the spoken phrasing off of '*nun* an' is particularly at odds with the notated metre – but there is also a kind of textual hypermetre occurring in the relations within 'sind die *To*ten' and 'Herren *ster*ben', which are set contrarily in the music. In the opening gesture, the melisma on 'Selig' and then the non-melismatic treatment of 'sind die Toten' suggest different rates of motion.

Thus agogic accents, textual metre, parallelism and melodic contour all play a part in withholding strong metric downbeats in the soprano line. The orchestra provides further counterpoint to this. At the lowest level, the quaver pairs are beamed and slurred against the crotchet beat (despite the pitches changing on the beat) providing another example of metrical effacement, at the pulse layer.[23] At the highest level, it has already been noted that the orchestra seem to be out of phase hypermetrically with the sopranos. What is especially notable is the constant ebbing and flowing of this; the moments when hyperdownbeat seems to be signalled most strongly are those in which it is then effaced the most. Bars 5 and 9 are the best examples of this, seeming to signal hyperupbeat and impending hyperdownbeat, but with bars 6 and 10 providing the strongest effacement through chromatic motion (B♮ and B♭ respectively), the latter again in opposition to the strength of the bass entry.

This kind of continual suppression continues throughout this first section, adding to its quality of suspension. Perhaps the strongest sense of hyperdownbeat occurs in bar 18 with the full choral entry (though offset again by the seventh), but this seeming stability is offset straight away by the grouping structure of bars 20 and 21, for 21 seems to pair with 22, and 23 with 24, in terms of melodic-motivic content, but 25 again throws this out. Bars 20 and 25 in retrospect seem to be extension bars.

Somewhere around bars 25-27 (Example 4.7), the harmony and grouping finally start more strongly to assert even-strong duple hypermetre, but at this point the ambiguity shifts up a level – is augmented – to the potential placing of quadruple hypermetre. Bars 30-34 seem to suggest four-bar grouping starting on 30 and 34 (agogic accents and two-bar parallelism), but this too is counterpointed by the text, with its stresses two bars out (28

[23] Musgrave points out a possible allusion here, to the 'closing chorale fantasia' of Bach's *St Matthew Passion*: presumably that of Part 1, 'O Mensch, bewein dein Sünde groß'. Musgrave, *Brahms: A German Requiem*, 57.

and 32, with accents created by the comma before the textual repeat at bar 27, and then 'nun'). Finally, at bar 34, there is a strong hyperdownbeat, formed by the first successful PAC of the movement; thus hypermetric stability at the two-bar level materialises at the same time as tonal stability – the successful grounding in C major – but, of course, this latter stability is outside the tonic.

The first stable eight-bar structure comes with the following 'Ja, der Geist spricht' passage, whose role is to pivot between F and A as key centre. While this grouping structure is generally stable, however, note the counterpoint between the dotted rhythm in 40 and its repetition on the fourth bar of the subphrase and then the third bar of the next subphrase, and similarly the semibreve, on bars 1.2, 2.1 and 2.4 of the two subphrases. Yet again, metrical consonance at lower levels is not maximal, with an absence of accompaniment on the downbeats of bars 40 and 44. Harmony at a local level creates a much more unified hypermetric structure here – but at the larger scale, this harmony is acting as a transition to the subordinate key of A major. When this section arrives, dimensional counterpoint continues, as the phrase-function expression from bar 49 is medial.

Do hypermetric stability and tonal stability in the tonic key ever align? As in most of the Requiem movements, a successful PAC in the tonic is withheld until the coda.[24] (The recapitulation is reached via a VII-I motion from V/A (the subordinate key to F), avoiding V-I motion at that point.) The coda reaches tonic via cadential motion (Example 4.8), although the strength of this is slightly effaced by the lack of dominant seventh and by the immediate leaping over of the orchestral part; nevertheless, tonic harmony is established. The coda starts by signalling a four-bar structure (bars 127–130) and hypermetric stability, but then this is interrupted by the extraordinary upward flourish of the choir, both metrically odd and tonally surprising in its sudden excursion to E♭ major. This brief tonicization of E♭ major begins the explicit referencing of the first movement's coda,[25] yet also with an explicit transformation; alto and tenor are put in dialogue in a five-bar phrase which seems to tease at hypermetric stability. Nevertheless, this hypermetric device is different to that at the opening; rather than efface stability, as the accentual counterpoint of the opening does, this hypermetric event seems to reach resolution, with a hyperdownbeat on bar 137.

[24] This tonal delay is particularly interesting in the fourth movement, which otherwise seems to express itself as one of the most stable movements.

[25] One could argue that E♭ major here references the fourth movement, and, since that movement deals with heaven, posit a connection between the use of this key and a reference to the afterlife.

From bar 137 the process seems to repeat, but here with another change in metre and phrase structure; the flourish in bar 140 arrives in the fourth bar of the phrase, and continues beyond the start of bar 141 (Example 4.9), into the brief tonicization of D♭.

After a dialogue of motives in bars 143–146 (during which the resolution of the augmented sixth into bar 146 provides a powerful counter-cue to the two-bar grouping), hypermetric stability is only reached after the second statement of the five-bar phrase (bars 147–151), finally in the tonic. From bar 152 to the close, hypermetre is stably signalled by the orchestra, primarily through harmony, and there is no challenge to hypermetric orientation in the choir. Finally, tonic stability and hypermetric stability are aligned in this passage for the first time in the piece.

Nevertheless, the close (Example 4.10) is not completely metrically consonant. After the moment of cadential closure (bar 162) the choral parts move into syncopation at a large scale. This final transformation suggests what Beller-McKenna sees as the effect of 'timelessness' created by the work, at the same time as the harps signal what he calls the 'Requiem Idea'.[26] The unfinished nature of the isolated word 'selig' suggests this timelessness, unfinished sentences a common trope to signal continuity beyond the end of a piece; yet the circularity of 'selig' within the context of the whole Requiem simultaneously affords the work a sense of closure. Similarly, the metric instability in the choral part also signals continuation, yet the hypermetric stability afforded by the orchestra, with which this syncopation is in unresolved counterpoint, also allows the piece some sense of final consolation.

4.3.3 Conclusion

The opening of the seventh movement of the Requiem is a prime example of accentual counterpoint because it does not feel metrically dissonant yet harbours all sorts of metrical complexities. Metrical dissonance fails to account for the subtle teasing of metre found in all the different accent types and at all metrical scales. In a concluding passage on Brahms's rhythmic-metric ambiguities, McClelland contends that

> … a musical passage with more than a single available reading has a different effect from one that does not. Although multiple interpretations cannot be perceived or imagined simultaneously, their very presence, I believe, affects the musical experience (and often enhances the potential for a subsequent recomposition).

[26] Beller-McKenna, 'Distance and Disembodiment'.

> They do not generate instability *per se*, but perhaps tension or something akin to potential energy that can be discharged later in a more straightforward musical passage.[27]

This analysis contends that the passage at the beginning of the final movement of the Requiem has just such a 'potential energy' in abundance. But the most powerful feature of this kind of analysis is its ability to lend intersubjective justification for expressive descriptions made of the work. Malcolm MacDonald describes the first movement as the 'constant theme' and the last as the 'consolatory parallel', 'returning to its opening as it were on a higher level' and 'raising itself towards the light of consolation'.[28] Musgrave ascribes a 'special aura of peace' to the final bars.[29] With metrical analysis, and particularly through the lens of accentual counterpoint, we can ground such claims in objective features of the score. Metre, and particularly hypermetre, is part of Brahms's trajectory of closure in this movement and this work, creating consolation through a kind of closure, yet one which is not transcendental or resolving of conflicts in the usual way, and which ultimately ends in open counterpoint. By placing the dominant to tonic movement between 6 and 7 – and making dominant so huge at the end of 6 – Brahms places V-I dramatic resolution at this juncture, rather than in a final movement apotheosis. The seventh movement, while having a tonal 'after-the-end' position (afterlife) therefore performs its closural function in other ways. The coda motive from the first movement, downward and referential, and the other 'resumptive' aspects, help to start this process. The hypermetric suspension created by accentual counterpoint continually withholds the groundedness of the first movement, eventually creating a metrical sense of closure, which adds to and yet subtly complements the tertiary key scheme and the effects of textual and motivic material, before the open metrical counterpoint at the end signals the eternity fo the afterlife into which we travel.

[27] McClelland, *Brahms and the Scherzo*, 299.
[28] Malcolm MacDonald, *The Master Musicians: Brahms* (London: Dent, 1990), 199–200.
[29] Musgrave, *Brahms: A German Requiem*, 59.

Chapter 5 Op. 78 reconsidered: Brahms's route to complexity

5.1 Introduction

Where Chapter 4 attempted to show some productive use for the lens of accentual counterpoint in the analysis of expressive effects, this chapter changes tack slightly, to explore the systems of relationships between different metres in Brahms's music. However, this does end in a contribution to an accentual viewpoint, by showing the increased separation of particular accent-types through Brahms's career, and particularly his increased use of contour accents as creators of metrical layers.

Bars 235–237 of the first movement of Brahms's Op. 78 Violin Sonata are a visceral, climactic moment (Example 5.1). In their explicit combination of distinct metres, they show Brahms delighting in the metrical possibilities of his material, to create a moment whose effect of culmination is predominantly rhythmic and which has been noted as quintessentially Brahmsian many times.[1] But what more can be said about Brahms's use of what Richard Cohn has called complex hemiola? How did he get to this point?

This chapter first lays out some of the (sparse) theory of complex hemiola. It refreshes and refines a few key terms, and then looks at instances of complex hemiola in Brahms's early works. Points from these trigger two analytical streams by which the preceding opuses to the G major Violin Sonata are used to argue evidence of a traceable path to the extraordinary, and unprecedented, close in question. First, a diachronic survey of Brahms's use of the *6/4 time signature* up to Op. 78 highlights his changing views on it as a site of potential for hemiola, both complex and simple. Secondly, the chapter proposes that one of the key ingredients of his mature use of complex hemiola is the increasing manipulation of the *pulse layer* to create metre; the chapter looks at some characteristic 3-layers and 4-layers, leading to an analysis of the song 'Während des Regens' (Op. 58/ii) as a key moment in his development. The key points of the chapter provide evidence for Brahms's increasing use of accentual counterpoint: his metrical language begins to separate the use of

[1] As two examples: 'The use of the metric materials in the first movement has made it the *locus classicus* for Brahms's mature rhythmic technique. His use of hemiola reaches its apex here.' Laurence Wallach, in Botstein, *The Compleat Brahms*, 94.; '… an effect that perhaps during the nineteenth century only Brahms could have conceived': Jan Swafford, *Johannes Brahms: A Biography* (London: Macmillan, 1997), 457.

different accent-types, to increasingly harness mid-level dissonances and give them formal roles, and generally to utilise the potential of his metrical spaces in more refined ways.

5.2 Theory

5.2.1 Notation and terminology in this chapter

The key theory and refinements of Chapters 2 and 3 are briefly refreshed here.

The concept of pulse layer is used heavily in this chapter; Krebs's definition of this is 'the most quickly moving pervasive series of pulses in a given work or section'.[2]

A *direct* metrical dissonance is one in which both the dissonant and the consonant layer are present at the same time, whereas in an *indirect* dissonance they are not. Indirect dissonances can occur when layers are juxtaposed, since the listener continues projecting a layer for a short time after its cessation, but can also be identified over long spans, especially when a layer is dissonant against the global tonic metre of a work (see below).

Another possible cause of confusion, and so worth clarifying, is the word 'triplet'. A triplet is a note value of which three are needed to create the next largest note value (e.g. three triplet quavers create one crotchet). This should not be confused with a '3-layer', which is the term for the cardinality of grouping. Duplets and triplets can both take part in 2-, 3- or n-layers. There are a few counterintuitive results of this; the 6/8 time signature consists of duplet quavers, for instance (since each of the two beats in the bar are notated as dotted crotchets).

In classifying metres, the metric state notation is key to this chapter. It is always used 'bottom-up', thus connoting *grouping* rather than *division*. An example is [♪ 2322]: quavers are grouped in twos, then these twos in threes, and so on; this example state refers to two 6/4 bars, or four 3/4 bars (Example 5.2).

Any [23] layer is in a state of hemiola to a [32] layer at the same hierarchic level; the latter is in a state of reverse hemiola to the former.[3]

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[2] Krebs, *Fantasy Pieces*, 255.

[3] This holds provided the integers 'below' contain the same numbers of duple and triple factors in both states. For example, the layer denoted at the highest level of [23223] will be in a state of hemiola to the highest level of [22332] because the final pairs are [23] and [32] and the lower three numbers in both cases contain one triple factor and two duple factors, but the layer at the highest level of [22223] will not be in hemiola to [33332], because even though the final pairs of integers are [23] and [32], the lower layers contain different numbers of triple and duple factors.

Brackets used within this notation reflect that a level might be absent or undecidable. For example, [(♪2)322] might reflect that quavers are not articulated in the passage in question, and the lowest pulse at that point is crotchets.

Using brackets in this way is particularly useful when dealing with the creation of sub-pulse dissonance, especially through what has been earlier termed Type 1 artificial hemiola. To repeat: this allows the invocation of a previously absent micropulse in order *theoretically* to relate different metrical states. Example 5.3 gives an abstract demonstration. To relate numerically the duplet quavers (Example 5.3a) to the triplet quavers (Example 5.3b) requires seeing them both as 'groupings' of their highest common micropulse – the triplet semiquaver, of which there are three in a duplet quaver and two in a triplet quaver, giving the second pair of metrical states. The intuitive assumption that triplet quavers are in a state of hemiola to duplet quavers can thus be quantified: (a) is [(3♪.3)2], (b) is [(3♪.2)3].

Further, this allows the quantification of *levels* of hemiola. Example 5.4 shows another hemiolic relation; (b) is in a state of hemiola to (a). (Since this conflict happens at a level at or above the pulse, it is a *mid-level* dissonance, where the previous one was a low-level dissonance.) The levels of hemiola in Example 5.3 and Example 5.4 can be compared by extending each state using brackets to the same unit pulse as Example 5.3, and it can be stated that the hemiola in Example 5.4 is two levels above that in Example 5.3. It is this ability to relate and to quantify metrical levels, and especially levels of hemiolic conflict, which makes this theoretical approach useful, and worth skirting the potentially dangerous implications of suggesting that musical material contains implicit signals of its later, or other, interpretations.

5.2.2 'Ideological' assumptions

Much of the analysis of this chapter rests on some assumptions which should be made explicit.

The first is that the concept of tonic metre is salient in Brahms's works. This is not a significantly controversial statement but simply gives analogical emphasis to Krebs's concept of the *primary consonance,* 'the consonance created by the primary metrical layer in interaction with the pulse layer',[4] the *primary metrical layer* being 'the most prominent

[4] Krebs, *Fantasy Pieces: Metrical Dissonance in the Music of Robert Schumann*, 254.

metrical layer in a work, generally (but not always) the layer designated by the upper integer of the time signature and rendered visually apparent by the bar lines'.[5]

It is unsurprising that almost all of Brahms's works have an obvious tonic metre, as this is the case for common-practice Western classical music in general. There are two extensions to this idea, though, which are proposed in this thesis and are salient in this chapter. The first is that the concept of tonic metre becomes more important to Brahms as his career develops, not necessarily in the sense that it becomes a 'rule' less often 'broken' but in that he develops sophisticated ways (including complex hemiola) of evoking, effacing and otherwise exploring it, and that deviations and deformations can stand as increasingly formally important or expressively profound moments. The second proposed extension is that in Brahms's later works the concept of tonic metre extends further down the metric hierarchy, so that the concept is of a whole multi-levelled metric state becoming (normatively) tonicised, and a single pulse level becoming normative within a work.

As explored in Chapter 3, the concept of metrical balance (that 'a meter centrally located among a common-practice work's meters in a certain metric space is typically the work's primary meter')[6] is important, as is the idea that rather than always being a challenge to the tonic metre, the use of related metrical states, such as hemiola, can strengthen the sense of tonic metre, and even provide an aesthetic and/or logical sense of 'completion' in relation to it. For example, if [232] is the predominant metre and thus the *rhetorical* tonic, and [223] is used occasionally, then the use of [322] at some point, re-centering the [232] metre in the metrical space of all metres used, will provide *logical* support to what has already been made *rhetorically* clear – that [232] is tonic. Yet again: this is not a rule but rather a normative system; it is the intention of this chapter to show that Brahms increasingly explores it through his career.[7]

In accordance with this, several of the examples of complex hemiola that will be observed in this chapter are created by using the metrical states 'either side' of a tonic state – one layer in hemiola to the tonic, and one layer in reverse hemiola to the tonic. Where this occurs, colours are used in the diagrams – blue to denote a (global or local) tonic state, red to denote the state one level of hemiola above that, and green to denote the state one level of reverse hemiola away from it.

[5] Ibid., 255.
[6] Murphy, 'Metric Cubes', 2.
[7] A further method of analysis would investigate the way Brahms explores the interplay between rhetorical and logical assertions of the layouts of such metrical spaces in specific works

In a similar vein, the completion of the pulse layer is an important part of the establishment of metrical states. Danuta Mirka shows several examples in Haydn's music of when the completion of a metrical state is an important formal event and one which interacts in interesting dimensional counterpoint with harmonic processes.[8] Mark Gotham's recent research on 'attractor tempos' for metrical structures adds a fascinating mathematical and cognitive-scientific dimension to this, exploring the idea that for every metrical level added to, taken away from, or changed from duple to triple in a metrical structure, the attractor tempo for the resulting structure will change, potentially changing the feel of how fast or slow the resultant structure is due to its relation to this attractor tempo.[9]

5.2.3 Literature on complex hemiola

Richard Cohn claimed to be the first person to use the term 'double hemiola' in 1992, describing a diagram of an abstract metrical situation which 'embeds a 2:3 relation at two levels simultaneously'.[10] In a later article he explored further 'the relationship between symmetrical divisions of a time-span that simultaneously bear 3:2 conflicts at two adjacent levels of the metric hierarchy',[11] with detailed examples from music by Brahms and Dvořák.

Wherever this situation exists, a 12-unit span can be identified (though those units may be subdivisions of any pulse articulated in a single voice). In metric states which articulate a 12-unit span as part of their tonic metre there is thus a higher inherent potential for such a situation. Cohn says:

> The interplay between the three symmetrical partitions of a 12-unit span is quite common in nineteenth-century music. Examples abound, particularly in the music of Beethoven: all three subdivisions are employed in the opening of *Für Elise*; in the finales to the 'Tempest' Sonata, the 'Emperor' Concerto and the Triple Concerto; in the first movements of the E minor 'Rasumovsky' Quartet, the 'Ghost' Trio, the Eighth Symphony and the 'Appassionata' Sonata; and in the Scherzo of the Ninth Symphony. And Krebs demonstrates the frequent interplay of

[8] See particularly Chapter 2 ('Finding Meter') of Mirka, *Metric Manipulations*. One particularly apt example is the opening of Haydn's Op. 50 No. 6/i ('The Frog') – see page 34.
[9] Gotham, 'Attractor Tempos for Metrical Structures'.
[10] Cohn, 'Metric and Hypermetric Dissonance', 13.
[11] Cohn, 'Complex Hemiolas', 295.

> such partitions in Schumann's music, for example in the Finale of the Piano Sonata, Op. 11 and the first movement of the Third Symphony.[12]

Many of Cohn's examples, however, are not as clear-cut as the quote might imply. A more thorough exploration as to why this is would take this chapter too far off-track, but is found in the Appendix at the end of the thesis, along with notes on each of Cohn's cited works. It suffices to say that contrary to Cohn's claim, examples in the pre-Brahms literature of consistent, non-ambiguous, and perceivable use of the three symmetrical groupings of a single-pulse 12-unit-long span within a single movement would seem to be quite rare, particularly the grouping which has the triple factor at the lowest hierarchical level, usually in a relationship of reverse hemiola to the tonic metre (the 'subdominant', in Lewin's terms).

'Complex Hemiolas' has been cited several times in the literature. Most of these citations reference Cohn's analysis of 'Von ewiger Liebe', several explore the possibilities of metric states as key areas, and a few (most notably Leong 2007, but also Malin 2010) use his ski-hill graphs. But very few of these citations explore the analytical possibilities and refinements of double hemiola, and none in any depth. Even Scott Murphy's work, some of the most theoretically extensive on Brahms and metre, rarely mentions the superposition of metres, focusing instead on the relationship between them. Plyn's investigation into Brahmsian hemiola does not mention it. Thus, there is a space for an analytical investigation into double hemiola, and Brahms's use of it seems a good place to start.

5.2.4 Theoretical refinements/nuances

Cohn's definition of double hemiola is an ideal case; it is useful to have refinements that describe phenomena resembling his double hemiola in some ways but not others.

5.2.4.1 Adjacency

A useful refinement to Cohn's terminology is to be able to label instances of non-adjacent double hemiola (adjacent here refers to levels in a metrical state, not proximity on the musical page). Thus, an adjacent double hemiola ('3:2 conflicts at two adjacent levels of the metric hierarchy'[13]) presents divisions of a 12-unit span as [322], [232], and [223],

[12] Ibid., 297. Regarding the 'Ghost' Trio, Cohn's footnote also points to Harald Krebs, `Rhythmische Konsonanz und Dissonanz', *Musiktheorie*, 9 (1994), 27–39.
[13] Cohn, 'Complex Hemiolas', 295.

where the two levels of hemiola ('between the numbers') are adjacent, but a non-adjacent double hemiola might present [32232] and [23223].

In practice, non-adjacent double hemiola often occurs when there is one level of hemiola due to different pulse levels (for example triplet and duplet quavers) as well as a hemiola at a higher level. This is exactly what happened in the earlier abstract demonstration, and such an example occurs in one of the first Brahms examples below (Example 5.10, Op. 10/iv).

5.2.4.2 'Missing middle' double hemiola (MMDH); 4/3

A phenomenon worth naming due to its frequency is 'missing-middle double hemiola' (MMDH). This occurs when the two 'outer' states of an adjacent double hemiola ([322] and [223]), are present, without the central one. Since, as discussed earlier and in the previous chapter, the central layer is often the 'tonic' metre (either local or global), there is a sense of departing in opposite directions from it. A good example occurs in Op. 64/iii (Example 5.5), where the MMDH seems to spring out of nowhere to accompany the tenors' anguished cry of 'Mich, dich, Welt'.

The above example highlights that one of the by-products of this situation is a '4 against 3' dissonance (here four sets of three semiquavers against three crotchets). Thus, just as a hemiola can be said to arise whenever pulses in a 3:2 ratio are perceived to conflict,[14] any kind of 4:3 (G1.333/1) dissonance is an expression of the concept of MMDH.

5.2.4.2.1 Embedded grouping dissonance

A more complex version of this latter phenomenon has been described by Mark Butler, who calls it 'embedded grouping dissonance' (EGD), 'in which one grouping dissonance is nested within another whose common durational unit is larger'.[15] Butler stakes out three 'distinct dimensions' of this kind of dissonance: '(1) the presentation of more than one grouping dissonance at the same time; (2) the presentation of grouping dissonance on more than one metrical level; and (3) a causal relationship in which the non-congruence of the lower-level dissonance's cycle generates the larger dissonance.'[16] Butler's example of embedded grouping dissonance (Example 5.6) is similar to the above MMDH example if

[14] Ibid.
[15] Mark J. Butler, 'Hearing Kaleidoscopes: Embedded Grouping Dissonance in Electronic Dance Music', *Twentieth-Century Music* 2, no. 2 (2005): 228.
[16] Ibid.

it was in 4/4; the points of alignment do not coincide with barlines and thus create a higher-level dissonance.

5.2.4.2.2 Pulse; Artificial 12-unit spans

In addition to adjacency and 'missing middle' situations, the final salient aspect of complex hemiola worth refining is pulse. In most of Brahms's early examples of double hemiola, one of the levels of hemiolic conflict is at a sub-pulse level. Krebs defines how such low-level grouping dissonances 'are formed by the association of noncongruent subdivisions of metrical beats. In many cases, the "micropulse" underlying such dissonances is not articulated within any single voice but is merely the resultant of the pulses of different voices.'[17]

In the rest of this chapter, pairs of adjectives of the form 'low-low' or 'mid-low' can denote how the levels of hemiolic conflict relate to the pulse layer. Thus, a low-low double hemiola contains two levels of hemiolic conflict which are both occurring at a micropulse layer, as divisions of the pulse; a mid-low double hemiola contains one micropulse (low) hemiola, and one mid-level hemiola, consisting of different groupings of the pulse layer. Due to the pertinence of the central tactus, a mid-mid hemiola, such as in Op. 78/i, is arguably the most powerful; as it turns out, it is also the most rare.

5.3 Analysis

5.3.1 Complex hemiola in early works

Brahms's early works, especially the piano pieces, are characterised by huge metric variety – one example, the last movement of the Op. 1 sonata, will be explored in detail in Chapter 7. It is unsurprising, then, that appearances of double hemiola occur in these works from the very beginning. Two examples from the piano sonatas are explored below.

The unit micropulse in Example 5.7 is the triplet semiquaver: the duplet crotchets in the right hand of bar 246 are thus [3♪(3)22] and the triplet crotchets in the left hand are [3♪(2)23]; the 6/8 metre is [3♪(2)32], is the middle state, and is absent in bar 246.

There are several aspects worth noting. This appearance is culminatory, acting as a delay of the cadential dominant (and its second appearance, at bar 267, is at the final PAC). Its middle state is the (local) metric tonic, and this intermediate state is absent in the 'double hemiola' bar, making this a 'missing middle' double hemiola. The pulse in this passage is

[17] Krebs, *Fantasy Pieces*, 53.

the quaver. One of the levels of hemiola (quaver 2-layers against quaver 3-layers) is a rearrangement of this pulse (a mid-level hemiola), and the second (two duple crotchets against three quavers) creates a micropulse dissonance: this is a 'mid-low' situation.

Another example (Example 5.8), from Op. 2, shows how such a phenomenon can arise from the dissonance created by two accompaniment figurations, creating a low-low situation. The double hemiola occurs in bar 80. The micropulse is the triplet hemidemisemiquaver: the triplet semiquavers in the right hand are [3 (2)23] and the demisemiquavers in the left hand are [3 (3)22]; this is another MMDH, but here the missing middle ([3 (2)32], triplet demisemiquavers in two groups of three) is not any sort of local tonic. Indeed, it is counterintuitive to label the left hand as being in a state of reverse hemiola to anything. While it may seem mildly ridiculous to spend time on this, the purely theoretical comparison of Example 5.7 and Example 5.8 does have later analytical paybacks.

Example 5.9, from the opening of the Op. 5 piano sonata, shows another mid-low double hemiola starting at bar 7 (triplet quavers against duplet quavers, and 3/2 metre against 3/4 metre). The effect is created within one of Brahms's characteristic five-bar phrases (7–11), and has a number of potential metrical interpretations, as Example 5.9 shows, including displaced hemiola; the hypermetrical level is even harder to analyse. At bar 12 the multiplicity of interpretations increases; the octave change and mode switch give the rhetorical effect of a new sub-phrase, but the left-hand two-beat pattern continues underneath, bridging the phrase boundary and now in a different 'phase'. In the right hand, the rhythms match those in bars 7–9: two higher-level hemiolas overlap (bars 12–13 and 13–14).[18]

The final example from the early piano works is from Op. 10/iv (Example 5.10), and is the first example of double hemiola occurring within the 6/4 time signature. Both these examples (Example 5.9 and Example 5.10) show non-adjacent double hemiola, and both involve conflicts at the same levels. In Example 5.9 (Op. 5) the left hand outlines [3 (2)323] and the right hand [3 (3)223]; the 3/4 bar is [3 (32)32]; in Example 5.10, the states involved are the same, but the hands are the other way round.

In all these early examples of complex hemiola, one or more of the hemiolic conflicts is at a micropulse level; creating complex hemiola where all the layers are higher than the pulse

[18] Willner coins overlapping hemiolas in Willner, 'Overlapping Hemiolas'.

is something which comes later in Brahms's career. But in a deeper sense, apart from the Op. 1 example, none of them seems to have been created with their specific metrical properties in mind, but rather as effects. This is what seems to characterise Brahms's early use of hemiola: a huge metric variety, but a lack of structured and specifically metrical discourse.

For example, bars 187–196 of Op. 2/iv (Example 5.11) move from [𝅗𝅥. 22] (reinterpreted as [3𝅗𝅥.(3)22]) in 187–191, to [3𝅗𝅥.(2)32] in 192–3, to [3𝅗𝅥.(2)23] in 194–5. These three metres represent stepwise hemiolic moves – each state is hemiolic to the previous one – and so theoretically could create double hemiola if they were overlaid. But the effect of these individual metres, or their combination, is not explored; their individualities as related metrical states are incidental to the musical effect Brahms is creating here (which is nonetheless compelling, in a virtuosic topos).

5.3.2 Brahms's use of the 6/4 time signature

Rather than progressing diachronically, the chapter now splits off into strands suggested by the previous section, in order to explore what makes Op. 78 different from these preceding examples. Table 5.1 presents all the uses of the 6/4 time signature within Opp. 1–122. The time signature seems particularly suited to complex hemiola since, while remaining at the pulse level of a quaver (so without going into unusually small note values), it contains 12 pulses per bar, particularly suited to rearrangement through factorisation as 2x6, 3x4 and 4x3. Historically it also has connotations of the courante genre, in which interplay between 6/4 and 3/2 is common. So while realising that it is far from the only location of complex metrical dissonance, 6/4 can be viewed as a site of high potential, and particularly for complex hemiolas that do not involve a micropulse conflict.[19]

[19] Further work could investigate the tempos at which 6/4 occurs, and ideally whether this leads to salient entrainment times for all three symmetrical groupings.

	Opus and movement (year)[20]	Quantity of 6/4 bars
1	Op. 5/i (Third Piano Sonata) (1853)	One bar
2	Op. 9 (Schumann variations) (1854)	Two variations
3	Op. 10/ii (Four Ballades, D major) (1854)	Central section
4	Op. 10/iv (Four Ballades, B major) (1854)	Two B sections within ABAB form.
5	Op. 15/i (First Piano Concerto) (1854–8)	Whole movement⋆
6	Op. 15/ii (First Piano Concerto) (1854–8)	Whole movement⋆
7	Op. 16/iv (Second Serenade) (1858–60)	Whole movement
8	Op. 22/iii (*Marienlieder*) (1859)	Five bars at end[21]
9	Op. 22/v (*Marienlieder*) (1859)	Whole song
10	Op. 27 (Psalm 13) (1859)	Outer sections of ABA' form
11	Op. 28/iii (Four Duets), 'Es rauschet das Wasser' (1860–62)	7 scattered bars
12	Op. 29/ii (Two Motets) (1856–60)	B and C sections of ABC structure.
13	Op. 44/xii (Twelve songs and Romances) (1859–61)	Whole song
14	Op. 48/iii (Seven songs), 'Liebesklage des Mädchens' (1860)[22]	Whole song
15	Op. 48/vii (Seven songs), 'Herbstgefühl' (1867)[23]	Last 12 bars
16	Op. 53 (Alto Rhapsody) (1869)	B section of ABC structure
17	Op. 58/ii (Lieder und Gesänge) (1869)	Song mixes 6/4 and 9/4
18	Op. 63/i (Lieder und Gesänge) (1874)	Whole song
19	Op. 63/vi (Lieder und Gesänge) (1874)	Whole song
20	Op. 63/viii (Lieder und Gesänge) (1874)	Whole song⋆
21	Op. 71/iii (Five Songs) (1877)	Whole song
22	Op. 72/i (Five Songs) (1876–77)	Whole song
23	Op. 74/i (Two Motets) (1856–77)	Second 'movement' of three
24	Op. 76/viii (Eight Pieces) (1878)	Whole movement
25	**Op. 78/i (First Violin Sonata) (1878–79)**	**Whole movement**
26	Op. 82 (Nänie) (1880–1)	Outer sections of ABA

[20] Unless specifically noted, the dates given are the dates of composition as listed in Botstein, *The Compleat Brahms.* In turn, *The Compleat Brahms* claims to base this information primarily on Margit and Donald McCorkle, *Johannes Brahms, thematisch-bibliographisches Werkverzeichnis* (Munich: G. Henle, 1984). A few particulars are noted in Table 5.1 from the latter work.

[21] Last eight bars are 96969666 (9=9/4, 6=6/4).

[22] 48/iii: '… in der Liste der 1860 noch veröffentlicht Lieder und Duette aufgeführt'. McCorkle, 190.

[23] 48/vii: 'Das Autograph zu Lied Nr. 7 trägt das Datum „6. Mai 1867"'. McCorkle, 90. This song is mentioned in the Schumann-Brahms correspondence, I, 567. The text is also set as Op. 31/iii.

27	Op. 83/iii (Second Piano Concerto) (1878–81)	Whole Movement
28	Op. 85/iii (Six Songs) (1878)	Last three bars
29	Op. 90/i (Third Symphony) (1883)	Most of movement
30	Op. 94/iii (Five songs) (1883–4)	Song mixes 6/4 and 9/4
31	Op. 104/v (Five songs for mixed choir) (1887)	Whole song
32	Op. 110/ii (Three Songs for a capella choir) (1889)	Whole song
33	Op. 118/v (Six Piano Pieces) (1892)	Outer sections of ABA
34	Op. 122/iv (Herzlich tut mich erfreuen) (1896)	Whole prelude
35	Op. 122/x (Herzlich tut mich verlangen) (1896)	Outer sections of ABA

Table 5.1 Brahms's use of the 6/4 time signature in his published works, Opp. 1–122.

6/4 occurs in 24 works (coincidentally – 6x4!) prior to Op. 78, summarised with some accompanying details in the table. Of these, there are ten whole works or movements in 6/4 (Opp. 15/ii,[24] 16/iv, 22/v, 44/xii, 48/iii, 63/i, 63/vi,[25] 71/iii, 72/i, 76/viii). There are two works or movements which are overwhelmingly in 6/4 apart from a few bars (15/i, 63/viii) – these are listed as 'whole movement★'.[26] Whole formal sections in 6/4 are found in six works (10/ii, 10/iv, 27, 29/ii, 53, 74/i). In Op. 9, 6/4 is used for the last two of sixteen variations. Appearances in the remaining five (5/i, 22/iii, 28/iii, 48/vii, 58/ii) are each unique: one bar near the end (5/i); several bars (modulation) near the end (48/vii); a mix of bars near the end (22/iii); a scattering of several bars across the piece (28/iii), and an equal mix with another time signature across the piece (58/ii). In general, Brahms's habit of changing a time signature for isolated bars decreases over time.

The occurrence of 6/4 as it relates to different instrumentations is also interesting: solo piano (5/i, 9, 10/ii, 10/iv, 76/viii), piano with orchestra (15/i, 15/ii), 'orchestra' (16/iv), unaccompanied choir (22/iii, 22/v, 27, 29/ii, 44/xii, 74/i[27]), voice and piano (28/iii, 48/iii, 48/vii, 58/ii, 63/i, 63/vi, 63/viii, 71/iii, 72/i), voice and orchestra (53) are all represented. Brahms never used 6/4 in purely instrumental chamber music before Op. 78. Indeed, after its early use in both piano music (the early works) and orchestral music (the first Piano Concerto and the Second Serenade), it is then used only for vocal music (both solo and choral) for the next 60 opuses. However, in the same year as Op. 78/i it is

[24] Apart from a cadenza bar.
[25] Opp. 63/vi and 63/viii are both the second parts of two-part songs: 63/v and 63/vii respectively.
[26] Interestingly in both these cases, the 'intruder bars' are in 9/4, and there are two such bars; in Op. 15/i they are together, near the end of the orchestral exposition, but in 63/viii they are single bars near the end of the first and third stanzas.
[27] Piano part only for rehearsal ('Nur zur Aushilfe beim Einüben').

'brought out of the cupboard' to be used in solo piano music again, in 76/viii. (A similar pattern obtains for his use of 3/2, albeit to a lesser extent.)

5.3.2.1 Early piano works

In Op. 5 (Example 5.12), the first example of 6/4,[28] it is used as a single bar near the end, containing a cascade of six fortissimo, accented crotchet chords. It is preceded by 3/4 bars in hemiolas (classic early hemiolas in their creation through all available local parameters), and followed by 3/4 containing single-bar chords. Why did Brahms not stay in 3/4 for this bar? One theory is that he is using the 6/4 time signature to indicate a certain *reduction* in metrical stress; this cascade is meant to be one flourish, undifferentiated by barlines. The bar could be played either stressing 3/4 or 3/2 – either is plausible given that one is the tonic metre and the other has just been played – but more likely is that a performer will attempt to eschew both in favour of an ungrouped forward motion.

A similar situation obtains in Op. 9, where 6/4 is used for the final two variations (Example 5.13). As in Op. 5, the intention seems to be to reduce metrical stress and create forward motion (at a slow tempo). While both variations contain some D♩3-1 dissonance (anticipated beats in the left hand), neither variation contains any hemiola.

In Op. 10/ii, for the third time, 6/4 is used as a state seemingly evoking some kind of 'other', this time with a sense of dreaminess (Example 5.14). At the end of this passage there are two hemiolas: first a neighbour-note motion in the bass (bar 66), then an augmentation of the stepwise progression this passage is built on. Both of these hemiolas could be described as 'linear': they arise from transient melodic writing which is both unprepared and unrepeated.

As explored above, in the fourth Ballade of Op. 10 the 6/4 time signature hosts a double hemiola for the first time (Example 5.10). Bar 60 contains a direct dissonance between duplet and triplet quavers, and an indirect dissonance between the preceding 6/4 metre and the 3/2 created by minims.

[28] The usage is here ordered by opus number, which does not always reflect compositional date. Most famous in this regard is perhaps the long gestation of the First Symphony; to a lsser extent, those of the First String Quartet and Third Piano Quartet. Van Rij's *Brahms's Song Collections* explores how Brahms often kept song unpublished for several years until they had appropriate bedfellows. Nevertheless, for the purposes of sketching a diachronic narrative, and considering the musical features in question, I believe prveeding by opus number is adequate, and that taking the effort to arrange Brahms's oeuvre by compositional date would yield neither improvements nor significant counter-evidence.

5.3.2.2 Early-to-mid style

These examples are representative of Brahms's early '6/4 style'. Notwithstanding the two Op. 10 examples, the remarkable thing about this period is how rare hemiola is within Brahms's use of 6/4. The first two movements of the First Piano Concerto (Op. 15) are an exception, and Op. 16/iv (the Second Serenade) contains a few large reverse hemiolas (9/4 against 6/4), but otherwise this movement, and all the uses of 6/4 in Table 1.1 up to and including number 15 (Op. 48/vii) contain little or no use or suggestion of 3/2 metre. Example 5.15, Example 5.16 and Example 5.17 give representative examples.[29]

5.3.2.3 Alto Rhapsody and Op. 63; ambiguity between 6/4 and 3/2; the 'final ingredient'

In all the preceding examples, when bar-level hemiola *is* created (3/2 in dissonance with 6/4 or 3/4) it is indirect; hemiolas at that level 'abandon' the prevailing metre, and are generally created with voice-leading or harmonic accents and agogic accents.

The use of 6/4 in the Alto Rhapsody is noticeably different, both in the quantity and substance of its hemiolas. Example 5.18 shows the first seven bars of the section in 6/4. This short duet passage between voice and viola illustrates how Brahms had by this point developed an interest in exploring the boundary between 6/4 and 3/2. It is impossible to give a definitive reading of how the metre in this passage will be perceived, as the viola and voice both evoke and efface each metre in different bars.[30]

In the Op. 63 *Lieder und Gesänge*, 6/4 is used for three whole songs (the first, sixth, and eighth), and its use in these shows a significant variance, and, in the eighth, an important new ingredient of complex hemiola.[31] To start, Op. 63/i ('Frühlingstrost') shows a further example of the 6/4-3/2 ambiguity seen in Op. 53 (Example 5.19).

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[29] Op. 29/ii (Example 5.16) had its origin in Brahms's counterpoint exchange with Joachim. Daniel Beller-McKenna considers that while 'any work derived from a counterpoint exercise or based on an archaic form is likely to exhibit historical qualities … the Op. 29 motets display their historicism more self-consciously, even polemically.' Daniel Beller-McKenna in *The Compleat Brahms*, ed. Botstein, 335.

[30] James Webster has argued that the Alto Rhapsody played a 'crucial and hitherto underappreciated role in Brahms's artistic development' (p. 20) and that the standard division of the decade 1866–76 in two subperiods (a choral half-decade ca. 1866–71 and an instrumental one ca. 1871–76) is misleading; he argues that 'the entire span can be understood as a single period; that, although this period ends with the First Symphony, that work is not a culmination; and that the Rhapsody proved more fruitful than the Symphony for Brahms's further development as a composer.' Webster, 'The Alto Rhapsody'.

[31] Op. 58/ii has been skipped in the progression through Table 5.1; it contains a fascinating and unique example of complex hemiola and will be explored later in section 5.3.3.2.2.

In the opening bars of 'Frühlingstrost', agogic and dynamic accents in the right hand might seem to suggest the possibility of a 3/2 hemiola. But this is countered in each bar by the left-hand harmonic accents on the fourth crotchet beat (reaffirming 6/4) and the lack of any accentuation on the fifth beat, which would be the third hemiolic beat; the hemiola remains in a sense unfulfilled. The three iterations of this (bars 1–3) make the weak-beat displacement motivic, and cement the metrical interpretation *as upbeat,* not hemiola, in the listener's mind. When the voice enters, then, 6/4 has been firmly established as tonic metre, and this is what the voice consistently projects. But the right hand moves to 3/2, also consistently, accentuated by harmonic accents. The left hand takes on the motivic upbeat syncopations, now in a constant chain both across the half-bar and the barline. While the contrapuntal value of this line is abstractly just as it was in the introduction (9-8, 6-5 or 4-3 motions resolving on the fifth crotchet), the articulation of 6/4 is reduced both by its transferral to the left hand (as the bassline had previously offered the root of the resolution chord on the fourth crotchet beat) and by the octave changes which create contour accents. Now it is the voice alone, in fact, which unambiguously articulates 6/4; the right hand projects 3/2 and the left hand seems to mediate between the two.

At bar 14 (Example 5.20) there is an interesting exchange of accentuations: the left hand moves to a much clearer articulation of 3/2, yet this is countered by a *lack* of harmonic change in the second 3/2 beat in right or left hand. The overall hemiolic articulation seems increased, but not by much, and the song continues to hover in a slightly floating 6/4.

All this shows how much Brahms's metrical style had changed from the 'block hemiolas' of Op. 5/i; Brahms is now able to juggle different accent-types simultaneously to support and undermine different metres, a characteristic of his music that intensifies throughout his career.

As a final point of note in this song, bar 68 (Example 5.21) shows an example of Brahms fulfilling the metrical potential of his figurations, as a minimal fragmentation is employed to create hemiola (bar 68); this technique could have been equally effective in Op. 27 or Op. 48/iii, for example, but was not used. Note, though, that Brahms does not extend this technique to exploiting the hypothetical hemiolic potential of the triplet quaver line earlier in the song (through parallel projection).

The sixth song of the Op. 63 set ('Junge Lieder: II') stands as a reminder that Brahms could write compellingly in 6/4 without exploring hemiola-type dissonance; in this song there is no hemiola, or any use of grouping dissonance. Interest in the song is primarily harmonic, with constant use of mixture (♮3, ♯5, and ♭6), and pictorial (some subtle but beautiful word-painting, particularly on 'Glocke'), and metrically there is significant use of displacement dissonance.

Otherwise, though, Brahms's passages in 6/4 have on average shown increasing (and increasingly subtle) hemiola through the use of 3/2 metre. What has not been seen in any of the above examples, however, is the metre that is related to 6/4 by *reverse* hemiola: 12/8 (or at least 3/8). This is seen for the first time in the eighth song of Op. 63 ('Heimweh: II') (Example 5.22).[32]

The interesting thing about these 3-layers is the gradation of their intensity. In bars 22 and 23 their accentuation is primarily through grouping and contour accents, and the crotchets on the second note of each 3-layer, adding an element of syncopation to the reverse hemiola. But in these bars (22–23) the left hand cannot be said to accentuate the 3-layer through harmonic accents, since all changes of harmony note still follow the 6/4 metre. Yet in bar 25, the crotchet syncopations disappear, but at the end of the bar the B in the left hand anticipates the harmony change, finally giving the 3-layer extra accentuation through a harmonic accent.

5.3.2.4 Opp. 71 and 72

A pair of examples, Op. 71/iii and Op. 72/i, show Brahms's continuing exploration of both 3/2 and 12/8 within 6/4. They also show the trend seen in Op. 63/i increasing; in both, the important grouping events are created from reinterpreting the content of earlier thematic material, in these cases from the opening. In 'Geheimnis' (Op. 71/iii; Example 5.23), this happens in two places and also creates the 'ingredients' for double hemiola. At the opening, repeated agogic accents and harmonic accents in the form of suspensions (very similar to Op. 63/i) lightly emphasise the fourth quaver of each six. In bar 13 (Example 5.24) this is intensified: an inversion of the arpeggio figuration is dynamically accented to begin to mildly emphasise 3-layers, a dissonance which is made more explicit at the end of bar 14 with slur and beam grouping, an agogic accent, and a small contour

[32] The 9/4-to-6/4 reverse hemiola in the Second Serenade (Op. 16/4) is a Type 2 artificial hemiola.

accent. At the end of the song (Example 5.25), a different aspect of the figuration is used to create 3/2 hemiola through a small fragmentation and layered repetition.

In Op. 72/i, 'Alte Liebe', grouping dissonance appears again through reframing of thematic figuration material from the opening (Example 5.26).[33] Here, though, the opening does not contain any actual accentuations of such dissonance. It is only hinted at later, in bars 13 and 14 (Example 5.27), and then made more consistent in bars 19–21 (Example 5.28), through regrouping (inversion in the right hand) to create greater contour accents. In bars 35–46 (Example 5.29), the same stepwise variation is repeated and then the contour accentuation is strengthened through increased tessitura, creating a strong 6/8 articulation in reverse hemiola to each half of the 6/4 bar.

In both of these examples, the mixed metres either side of 6/4 surface through manipulation of thematic material, particularly through grouping, and without invoking any sub-pulse dissonance.

5.3.2.5 Op. 76/viii

The Capriccio in C major, Op. 76/viii, composed in the same year as the first movement of Op. 78, is the first example in 6/4 of the mature metrical style which has interested recent analysts. Grouping dissonance is obviously a primary parameter of musical discourse; in addition, and unlike Op. 78/i, the Capriccio also explores displacement dissonance as a key metrical element of the work. In 1981 David Lewin focused on the bass line, giving one of the first extended examples of an analogy between pitch and metre in Brahms with a Hauptmannian thesis: 3/2 as tonic, 3/2 with hemiola ('3/1') as subdominant, and 6/4 as dominant, the numerical relationships of which are equal to the ratios between tonic, subdominant and dominant pitches, and the uses of these metres roughly coinciding with C major, F major and E minor (dominant substitute) harmonies in the first fifteen bars.[34] Ryan McClelland reassessed Lewin's approach, suggesting two problems: that Lewin ignores the treble voice, and that the metric-harmonic association

[33] This song has been recently analysed by Yonatan Malin who, in a celebration of analysis, notes many extraordinary subtleties of Brahms's song accompaniment in the close of the song (Malin, *Songs in Motion*, 209–10). Paul Berry has also explored the intra-opus connections of the work, showing how a 'virtually unprecedented array of evidence indicates that Brahms intended a single listener [Clara Schumann, his own 'Alte Liebe'] to perceive a referential relationship to the F♯-minor Capriccio, Op. 76/1.' Paul Berry, 'Old Love: Johannes Brahms, Clara Schumann, and the Poetics of Musical Memory', *The Journal of Musicology* 24, no. 1 (2007): 80.

[34] Lewin, 'On Harmony and Meter in Brahms's Op. 76, No. 8'.

breaks down after the first fifteen bars.[35] He persuasively outlines a narrative that instead sees the conflict at the opening as 'the focal musical problem that the Capriccio struggles to solve'[36] and that it is the delay in achieving tonal and metrical ambiguity *simultaneously* – the disjuncture (counterpoint) between these dimensions – that is more salient than direct parallels.

Three points arise in their absence from both of these articles. Firstly it is interesting that neither Lewin nor McClelland considers the possibility of overlaying all three of the metres which are used, which would create double hemiola (although admittedly the two-hand restriction would make this difficult). Secondly, the work does not contain any use of 3/8; the three layers used here are 6/4, 3/2 and 3/1. Again, neither Lewin nor McClelland mention that this is the 'missing' way of grouping the twelve quavers of the bar. Thirdly, and perhaps a fairer analytical criticism: neither author considers in detail *how* the various metres in the work are created, generally taking it for granted that the reader will understand and agree with their metrical labels. The salient feature for the current discussion is the 4-quaver group that is the primary motivic material in the work. This motive creates metre automatically through its repetition, of course, but it is also metrically dissonant: in the form the motive is used in the first bar (e.g. A-G-F-F), it contains two displacement dissonances: the first a D♩2+1 formed by a contour accent on the third quaver, and the second an occasional D♪2+1 resulting from tying the first note from the last of the previous four.

While McClelland points out that in the final bars (Example 5.30) motivic manipulation in the form of imitations at a diminished time interval forms a metrical resolution (and a 'microcosmic reflection' of the metrical progression of the whole work), he leaves implicit the fact that the motive is itself metrically dissonant because of these contour accents, and that this final layering in bars 64 and 65 assimilates the dissonance into a larger, consonant hierarchy; Brahms finally makes the motive serve a consonant function. The dynamic hairpins on the previous four iterations serve to highlight the dissonance before its final resolution. At the same time, triadic movement in the left hand supports 3/2 division in bar 63, but then in bars 64 and 65 serves as a displacement and propellant towards eventual resolution after the pause.

[35] McClelland, 'Brahms's Capriccio in C Major, Op. 76, No. 8'.
[36] Ibid., 85.

5.3.3 Pulse figurations

The concept here termed a 'pulse figuration' – a pattern of rhythmically undifferentiated pulses with a distinct contour that creates one or more distinctive metrical layers – is the focus of the next section, motivated by the realisation that grouping and contour layout can be an important factor in complex hemiola.

5.3.3.1 3-layers

Repeating 2-layers are special in that they are able to support both parallel and switchback interpretations. But the concept of a pulse figuration, as seen in Op. 76/viii, extends to larger patterns.

5.3.3.1.1 Double hemiola in Op. 65/xv

The final song from the Op. 65 *Neue Liebeslieder* is in 9/4: this is unique in Brahms's oeuvre as a sole key signature within a work, and it is only the fifth work in which he had used it at all.[37] The concept of 3-layers as dissonant is used in a particularly ingenious way in this song, as a 3-layer is in a reverse hemiola relation with an augmentation of itself, as seen from the beginning (Example 5.31). This creates a proportional dissonance, though not all proportional dissonances have this property.

The perceiver is here forced to make a choice between putting the same interpretation on both versions of the A-C-F motive and therefore perceiving them in different metrical states (3/4 and 6/8), or perceiving them both in the same metrical state (3/4) and thereby forcing an interpretation on the diminished motive which breaks it up into three unique pairs of quavers (A-C, F-A, C-F). As at the end of Op. 76/viii, the same arpeggio pitches are also displaced (beats 4 and 5 of bar 1), perhaps creating a hint of 4/4, or at least forward motion which is frustrated into potential energy by the tied C.

In the codetta of the song, these two layers take part in a double hemiola (Example 5.32). In bar 23 the tenors outline a 3/2 hemiola – a sort which has been suggested several times throughout the song by ties similar to those in bar 1 – while the piano parts outline the hemiola at the 3/4-against-6/8 level. The method of resolution from this double hemiola is an interesting example of stepwise resolution; the singers continue to sing in overlapped 3/2 hemiolas in bar 23 and 24, but the 3/8 level disappears from the piano, both with a

[37] The preceding uses of 9/4 are in Opp. 15/i, 22/iii, 58/ii, and 63/viii, all works in which its use is metrically intriguing.

figuration change and with the use of the double-flagged notes, which counteract 6/8.[38] This leaves a single hemiola conflict in bar 24 (3/2 against 3/4), which is then resolved with the disappearance of the 3/2 metre in bar 25. The whole process stands as an example of Brahms delaying the metrical highpoint of a piece to the codetta, after the harmonic highpoint has taken place in bar 21.

5.3.3.1.2 3-layer from Op. 78

The *Neue Liebeslieder* double hemiola that has just been examined takes place in a fairly static harmonic setting. The pulse 3-layers tend to outline complete triads, which restricts the potential pitches of voices which are outlining different metres. The quaver 3-layer used in Op. 78/i (Example 5.33) is different in this respect by being harmonically thinner, generally outlining only part of a chord and thus with the potential for the final note of two different consonant triads (and many other dissonant chords) to be filled in another voice.

This kind of 3-layer shape abounds in common-practice music, of course, but in Brahms's often-triadic writing it appears even more than in other composers. An early example by Brahms is shown in Example 5.34: in the fourth of the Harp and Horn Songs (Op. 17) the 3-layer appears for the first time in a song, used for most of the last stanza in triplet semiquavers in the right hand of the harp, against duplet semiquavers in the left hand. The potential for this figuration to create metrical dissonance without any pitch dissonance is thus demonstrated, and, as in later uses, it accompanies text to do with water and 'another land'.[39] But it is not yet used to create reverse hemiola dissonance, as a 3-layer against a (same-unit) 2-layer consonance.

It can also be seen as a 4-layer (in fact a variation on the Op. 15/i example) which Brahms uses several times in early and mature works (Example 5.35, also see Op. 7/i, bar 12), but whose potential for complex hemiola (a '4/3 hemiola') through minimal fragmentation he first fulfils in Op. 49/v (Example 5.36). This example shows that by the writing of Op. 78 Brahms was aware of the metre-generating potential of this specific type of 3-layer figuration (the contour accents of figurations proceeding in one direction). (He would later use it in the First Clarinet Sonata, in both 4-layer and 3-layer versions juxtaposed:

[38] These double-flagged notes are a hidden extra voice participating in the vocal canon; I am grateful to Robert Pascall, in correspondence, for this observation.

[39] The text for the verse is: 'Weep on the rocks of roaring winds, / O maid of Inistore! / Bend thy fair head over the waves, / thou lovelier than the ghost of the hills; / when it moves in a sun-beam, at noon, / over the silence of Morven!'

Example 5.37.) Brahms used this trick again in the revised version of the Op. 8 Piano Trio, in the first movement coda (Example 5.38).

5.3.3.2 4-layers

5.3.3.2.1 Two basic examples: Op. 15/i, Op. 40/iv

An early example of a 4-layer that creates metrical dissonance is found in the final movement of the third Piano Sonata (Example 5.39). It does not initially cause grouping dissonance, but in bar 32 undergoes a Ritardando-Bewegung. The same pattern is also found in the first movement of the First Piano Concerto (Example 5.40).

Another 4-layer, which is used to create double hemiola, is found in the Finale to the Horn Trio (Example 5.41). In bars 251–2 the right-hand figuration creates 3/2 in hemiola to 3/4 in the left hand, which is, in turn, in indirect hemiola to the 6/8 tonic metre. This example is therefore very unusual in that even though the double hemiola is adjacent ([♪322], [♪232] and [♪223]) the tonic metre is not the central state in the double hemiola; the 3/4 metre is in hemiola to the tonic 6/8, and the 3/2 metre is then in hemiola to the 3/4 metre. The other thing that places the Horn Trio chronologically – despite its sophisticated use of accent-types and mid-level complexity – is the lack of direct conflict.

5.3.3.2.2 Op. 58/ii – 'Während des Regens'

A far more interesting example of a 4-layer, however, is found in the second song of Op. 58, 'Während des Regens'. It has been noted above that all of Brahms's early examples of double hemiola include one level of hemiolic dissonance which is at a sub-pulse level. 'Während des Regens' is the relevant precedent against this trend, as the first example of direct double hemiola that does not involve such a micropulse conflict. To create this, it also uses a 4-layer very similar in contour to that used in Op. 76/viii.

The topic of rain seems to have invited the idea of metrical interest in Brahms's mind more than once, and this song follows the trend. The music is highly teleological, matching the text about a lover who asks the rain to carry on falling, because his partner's kisses increase with its drops. The lively quaver accompaniment, with many repeated notes, sets up a clear raindrop image from the opening (Example 5.42), and this quaver movement does not cease for more than a few crotchets in the song. Against this pulse-level regularity is set an unusual metrical setup at a higher level, with eight notated changes between 6/4 and 9/4 in the course of the song, which follow no obvious pattern.

When the last couplet is reached, the right-hand quavers double in frequency to a consistent pulse. The last line of text (Example 5.43) begins at bar 26: 'Tropfen, tropfet immer dichter' ('Drops, drop always denser'), and Brahms sets music that is indeed dense.

Bar 26 starts a quaver 6-layer which is distinct in contour, and whose alternate notes are an inversion of the voice's 3-note motive shape ('mid-low-high') (Example 5.44). By bar 29, where the double hemiola starts, this 6-layer has become normative and motivic, and its fragmentation in bar 29 is clearly recognisable as a manipulation. But this manipulation is truly ingenious: divided into threes, it spells out the 3-note motive, followed by its retrograde inversion, its retrograde and then its inversion. But in terms of contour pattern this also creates, and more prominently, a 4-layer ('mid-low-high-lower'); the fingering pattern of a pianist playing it will attest to this.

As a 4-layer, under the second iteration of 'dichter' it outlines not one but two more levels of hemiola. The quaver 4-layer, repeated three times, creates 3/2 metre (Example 5.45), in hemiola against the 6/4 bass line in the left hand (6/4 is simultaneously outlined by the lower voice-leading in the right hand: D♭ in the first three crotchet beats and the 4-3 resolution to C on the second three). Three 6/4 bars, meanwhile – a kind of large hemiola of three 6/4 bars against two 9/4 bars – are outlined by the harmonic changes in the upper right-hand voices (even though these are ingeniously different to the harmonic changes in the left hand) and are in hemiola to the two notated bars of 9/4 that are accentuated by the voice line and the left-hand harmonies, including the very lowest notes of the left-hand bass (Example 5.46). Behind this sits a third, theoretical, and lowest, level of hemiola, of 3/4 against 6/8 (the 3-layer created by the motivic permutation), almost certainly imperceptible to the listener. The metric density of these bars is remarkable, and it seems an ideal example of Butler's 'embedded grouping dissonance' (see section 5.2.4.2.1), with each smaller level of grouping dissonance 'causing' a larger one.

But the density is not just in the metrical dimension. As shown in Example 5.47, a 3-line melodic descent, F-E♭-D♭, has been structural throughout the song, generally across the space of a bar or two; in bars 27–28 it is stated three times in the voice line and once in the central octave between right and left hands, and it receives a final hidden statement through every third note of the left hand in bar 30. At bar 26 the bass line starts a chromatic descent from C♭ to F (then a final tone's descent to E♭), the density of which heightens tension for the final cadence and also draws attention to the bass line, which will

outline the largest level of hemiola in 29–30. Harmonically the passage is denser in that the harmonies are more decorated with added notes and suspensions (many of which create the complex metrical effects), and the only cadential resolution to tonic is compressed into a larger sequence. The pitch content becomes denser simply in the sense that the notes are closer together, with oscillating lower right hand notes.

After the complex hemiola in bars 29 and 30, the time signature changes back to 6/4. Metrical consonance is not quite reached, though: contour accents highlight 6/8 metre in a stronger way than in the preceding bars, with harmonic accents created by 4-3, 6-5 and 9-8 motions. The plan of this whole metrical episode – both complexity and conclusion – is very similar to Op. 78/i, as will be explored in the conclusion.

5.3.3.2.3 4-layer shape in Op. 58/ii, Op. 76/viii, and Op. 78/i

The similarity of contour shape between the 4-layer used in Op. 58/ii and Op. 76/viii is notable (Example 5.48a and b). This figuration is in fact also used for one brief moment in Op. 78/i, from bars 96–98 (Example 5.48c), where it creates hemiola (3/2 against 6/4) in the same way as it does in Op. 76/viii and Op. 58/ii. Whether this was a conscious reminiscence or allusion by Brahms is of course too problematic to consider, but the similarity between them, especially given the connotations of the 'Regenlied Sonata' and another song about rain, seems plausibly more than coincidental.

5.3.3.3 Pulse around and after 'Während des Regens'; Op. 64

'Während des Regens' is the first example found in Brahms's works (by opus number order) of a direct mid-mid double hemiola; all the examples of double hemiola pre-Op. 58 involve a sub-pulse layer of hemiola and/or are indirect.[40] After 'Während', however, double mid-mid hemiolas occur several times in Brahms's mid-Op. 60s works, and a notable opus in this sense is Op. 64 (*Drei Quartette*), which contains good examples of all of the points noted so far, and each of the three songs has moments which relate to double hemiola.

In Op. 64/i ('An die Heimat'), the tonic metre is 3/4 in duple hypermetre: [♪232]. Triplet quavers are used as a non-tonic metrical state at several points through the song; this invokes a triplet semiquaver micropulse, putting the triplet quavers as [3♪(2)332] in a low-

[40] Other than the Horn Trio, examples of the latter include Op. 51/2/iv, which prominently uses three adjacent metres but never combines them into a double hemiola. The metric states in the Second Symphony, Op. 73 (see Murphy, 'Metric Cubes') and the Haydn Variations, Op. 56, are far more varied, but again Brahms does not explore their combination into direct double hemiola.

level hemiola relationship (with a new triple factor) to the tonic metre [3♪(3)232]. Triplet quavers return in the coda (Example 5.49), in which they participate in the double hemiola-like moment: in bars 126–9 they are organised into overlapping 3/2 beats which are emphasised by contour accents in the right hand and by the metric parallelism of the neighbour-note triplets, which have expressed downbeats for each of the last four bars. This creates the metre [3♪ (2)323], a non-adjacent double hemiola to the tonic as each pair of figures is swapped. This metric 'outward motion' just before the end of the song leaves the tonic metre essentially unarticulated for four bars (apart from the light articulation created by the note changes and hairpins in the voices in bar 127), before it is returned to in the final three bars, in which both triplet quavers and 3/2 metre disappear. A similar outward motion is found at the end of Op. 78/i.

In Op. 64/ii ('Der Abend') a dissonance between triplet and duplet quavers is again present. Here the core metrical moment is in the middle of the song (Example 5.50), when triplet and duplet quavers are in direct dissonance. More notable is the arrangement of the triplet quavers, which, moving in octave pairs, clearly encourage a parallel reading (triplet crotchets). This could thus be argued to be a low-low double hemiola; if the quaver is the pulse level, then both the triplet/duplet quaver hemiola and the triplet/duplet crotchet hemiola involve micropulse dissonance. It is used as a 'state' rather than a 'moment'; the metrical situation remains the same for 12 bars.

The third song of the set ('Fragen') has similarities and differences with each of the others. The great majority of the song is in 6/8, but with a constant D♪2+1 dissonance, the right hand always offset by one semiquaver. The middle section (Example 5.51, repeating Example 5.5) changes key to F major (from A major). This is accompanied by a metrical change; the displacement dissonance is completely absent in the F major section (the hemiola visible at the beginning of the example only occurs in the last three bars of the previous section, which is otherwise in 6/8). In fact, the key change is anticipated by this metre change, the displacement augmenting from D♪2+1 to D♪2+1 three bars before the time signature change, disappearing at the change and reappearing only two bars after the change back to A major.

Within this otherwise more metrically consonant middle section is the moment of double-hemiolic interest. Whereas the cardinality of 6/8 has been unchallenged in the first A major section, a hemiola leads into the F major section and then the fifth bar of the section

(b. 45) brings a dual change; the voice and left hand move to 3/4 and the right hand to 3/16. These are the two metres either side of the tonic, which itself would be needed to create adjacent mid-mid double hemiola, but is absent. As noted earlier, this MMDH accompanies an emotional outburst, as the protagonist exclaims he would give 'Mich, dich, Welt, Himmelshöhn' to see his love. Bar 46, the bar after the MMDH, while losing the hemiolic layer in the left hand, introduces a light displacement dissonance in that same hand, where the upper octaves are agogically weighted against the normative 'long-short'. This brings (or keeps) the left hand to perception and links it to the right-hand figuration in the preceding (44) and succeeding (47) bars. The black boxes in Example 5.51 show a dotted-note figure which could align with either 6/8 or 3/4; while at the beginning of the example it is placed over a hemiola, in bar 46 it actually helps to create 6/8, providing a sixth-quaver articulation against the lopsided rhythm of the piano left hand.

5.3.4 4/3 hemiolas

As noted near the beginning of this chapter, rhythmic moments that do not immediately look like hemiola can be often mapped as such: complex instances of triple/duple dissonance can usually be described using the metric state notation to define how many levels of hemiola they fall across. Example 5.7 was a '4-against-3' dissonance, which is a type of MMDH creating a micropulse dissonance, as the '4' is a different unit size to the '3'. This section briefly looks instead at instances where 4- and 3-*layers* are used to create complex hemiola.

This kind of dissonance at a pulse level is rare in early works. The First Piano Concerto provides an exception, as it has several times already; in all these instances it does so in solo, cadenza or cadenza-esque passages. Example 5.52 shows a triple layer which is three levels of hemiola away from the duple consonance: the triple semiquaver layer is [𝅘𝅥𝅯3222], and the three bars of 2/4 are [𝅘𝅥𝅯2223].

A similar device is climactic in the *Rondo alla Zingarese* of the G minor Piano Quartet (Example 5.53). This device is achieved through fragmentation of the double incomplete neighbour-note 4-layer in bar 391 to create a quaver 3-layer, which is [322], two levels of reverse hemiola away from three bars of the local (and global) tonic 2/4 ([223]). As with other early examples of hemiola, it is indirect.

In the last movement of the Third Piano Quartet (Example 5.54) a 3-layer in the right hand starting at the end of bar 230 is three levels of hemiola away from three bars of 4/4 ([3222] to [2223]), as in the Piano Concerto example.

Since these figurations generally bow to the metrically consonant harmonic changes, and are often dynamically stressed to the tonic metre as well, they rarely create the level of strong dissonance which might be imagined from their double or triple hemiolic relationship with the local tonic. In the final movement of the Op. 88 String Quintet (Example 5.55), however, such a dissonance can be seen to be part of large-scale form, and this will be explored further in Chapter 7.

5.4 Conclusion: Op. 78/i

Having seen many instances of complex hemiola in Brahms's works, it is now illuminating to turn back to Op. 78/i as a final analysis which brings many salient points together. In a few small ways this passage is unprecedented, but in terms of most of its features it is possible to point to how Brahms's style changed over his career to enable its creation. Example 5.56 shows the final page of the first movement of Op. 78. The themes of the whole sonata are taken from two Op. 59 songs, 'Regenlied' and 'Nachklang' (numbers 3 and 4).

The metrical interest begins at bar 235, and this is the single bar that is quoted most often,[41] as a paradigmatic, self-contained example of double hemiola. The three most common metres in this movement are 3/8 (12/8), 6/4 and 3/2; their metrical states are [♪322], [♪232] and [♪223], respectively, and it is these three states which are compiled in bar 235, a direct dissonance in contrast to many of Brahms's early examples of double hemiola. The predominant pulse level of quaver is established and maintained across the movement; there is some use of triplet quavers, but absolutely no use of any other note value below the quaver, a huge change from the ever-changing pulse levels seen in Brahms's early works. Bar 235 thus represents a mid-mid double hemiola, as first seen in 'Während des Regens' (Op. 58/ii), and the levels of hemiola are adjacent. In presenting each of these three metrical layers as separate streams, however, it differs from 'Während', where a single stream outlined several different levels of hemiola. The first example in this case (of a double hemiola where each of the three metric layers belongs to one line) is 'Zum

[41] Cohn, 'Complex Hemiolas', 304; Roger Mathew Grant, *Leonhard Euler's Unfinished Theory of Rhythm*, *Journal of Music Theory*, vol. 57, 2013, 255–56; Swafford, *Johannes Brahms: A Biography*, 457; Butler, 'Hearing Kaleidoscopes', 233.

Schluß', Op. 65/xv, but in that work the rhythmic streams occurred over a single tonic harmony. What enables the changing harmonies in Op. 78/i is the precise pitch content of each of the lines, including the 3-layer, each line always supporting the chord changes yet without any single line presenting the harmonic rhythm exhaustively. Similarly, none of the layers is projected primarily through the two strongest accent-types, harmony and dynamics. This enables individual streams to have clear metrical identities but which do not clash with others; if each of the three lines in Op.78/i had *dynamic* accents primarily accentuating each line, the result would be at best tense and at worst barely coherent; three different lines all accentuated through *harmonic* changes seems barely possible. But with such *grouping*, united by a constant pulse-layer, the sense of musical flow remains paramount despite the metrical complexity. This metrical flow, meanwhile, is a corollary of Brahms's fondness for using 6/4 predominantly in vocal music: firstly in choral music, and often in a historicist vein, focusing on counterpoint; and also in *Lieder*, and several times (as here) in music with a rain connection; its lyrical style, its time signature and its heritage in the two Op. 59 songs puts this movement in a web of Brahmsian works which have similar metrical interest.

But as yet only bar 235 has been considered, as in the literature; when the following bars are considered they reveal a metrical richness beyond that of bar 235. Bar 235 is the first bar of a three-bar unit. This is an example of a Type 2 artificial hemiola, the violin line extending its bar-length to 9/4, supported by the harmonic plan. The previous triple factor (bold) remains; the metrical state of these 9/4 bars is [♪ 2**3**32], and they are in a relationship of reverse hemiola to the three notated 6/4 bars, [♪2**3**23], a conflict with precedent in Op. 16/iv. This high-level conflict leaves the tonic metre [♪2**3**2] slightly 'left of centre'; to use Murphy's terminology, while its rhetorical definition as tonic is strong, its logical definition is less so. Brahms does, indeed, restore this balance. In bar 241 he introduces triplet quavers, a Type 1 artificial hemiola which creates the metre [**3**♪(2)3**3**2] in hemiola against [**3**♪(3)2**3**2]. In this notation, the high-level conflict between 6/4 and 9/4 occurs to the right of the tonic triple factor (bold above). Keeping the original triplet pulse on the same level (3/4), bar 241 swings to the other side with a conflict to the left, solving a logical imbalance that has been present since bar 11.[42] As in Op. 25/iv, Brahms uses this new metre to 'stretch the metric continuum and thus reposition the [tonic]

[42] This theoretico-analytical move is akin to that performed by Murphy in his later discussion of the Op. 25 Rondo, leading to his three-dimensional graph of the metres used, though I believe it represents a different variety of transformation than those he covers. Murphy, 'On Metre in the Rondo of Brahms's Op. 25', 345–48.

metre'.[43] The three-bar unit and then the triplet quavers each stretch the metrical continuum, but when both have occurred, tonic remains central.

The ascription of 9/4 to bars 235–237 requires a qualification, which in turn prompts another observation about metre in this passage. To see the violin part constructing 9/4, it is necessary to come to terms, as Cohn cannot,[44] with the asymmetric creation of this 9/4; it is superior to a symmetric setup both in its economy of resources (by thus taking part in the portrayal of both 3/2 and 9/4) and in the fact that its asymmetric construction allows no other parsing than as part of a larger periodicity.

The idea of asymmetry is also found in another form. In the left hand, the final crotchet of each group of three (F♯, C♯, C♮, G, C♯, D-F♯) creates a light pitch dissonance against the prevailing harmony, creating a hint of displacement which increases in intensity over the three bars, increasing in turn the sense of forward motion, through a different accent-type.

Before the final 'logical balancing' in bar 241, bars 238 and 239 outline a missing middle double hemiola, the tonic 6/4 metre disappearing between the flanking metres. The roots of this practice are found back in Op. 5 (Example 5.9); examples of it occurring at a mid-mid level like this were seen in Op. 64/iii (Example 5.51), and Op. 64/i in a different way (Example 5.49). The tonic flourish with low triplet factor as a 'counterbalance' in the final bars recalls the layout of the end of Op. 58/ii very closely, as does the general climactic effect of the whole passage, of course.

The moment of complex hemiola is not in a usual hemiola phrase location – it *is* the phrase. Whereas in the Op. 76 Capriccio resolution is explicitly delayed until the final three bars through metrical means, in the violin sonata Brahms makes the synthesis of all the competing metres (before the tonal resolution) a telos in itself, a kind of union. Because complex hemiola often plays out over a significant stretch of time, the effect might seem to contradict common invocations of musical climax or apotheosis, which are likely to be applied to a single point in a musical discourse where one or several elements reaches a highpoint of some sort, often convergent. But Kofi Agawu has pointed out that, in Schumann at least, the concept of 'highpoint' can be in some cases replaced by 'high regions', where 'music of high activity' is 'prolonged over a significant period'.[45] Agawu

[43] Ibid., 340.
[44] Cohn, 'Complex Hemiolas', 307.
[45] Kofi Agawu, 'Structural "Highpoints" in Schumann's "Dichterliebe"', *Music Analysis* 3, no. 2 (1984): 170–71.

could be accused of self-contradiction, however, when he admits that 'Inevitably, of course, there will always be a single moment in the high region that carries the point of greatest tension', but he rights himself with the observation that (within the high region he examines) there are 'two successive highpoints belonging to two different dimensions, melody and harmony'.[46]

Brahms can be seen to take on this Schumannesque technique in two ways: firstly by developing the dimensional counterpoint and secondly by developing his metrical events such as complex hemiola to create high regions without internal highpoints. Ryan McClelland has specifically investigated Brahms's culminating sequences, dividing them into 'vigorous culminating' and 'transcendent culminating' types; Opp. 76 and 78 are both of the latter type, which are 'an opportunity for profoundly elevated expressive content'.[47]

These bars are syntheses on many planes, however. Within the work, of course, they are climactic, combining several metres that have been motivic and displaying a deep logical and rhetorical balance. On a Brahmsian inter-opus level, their constellation does not end at the Op. 59 songs whose themes they quote, but extends to other 6/4 works, other rain-songs, and all the works in which Brahms had explored the metrical potential of complex hemiola and pulse figurations. Finally, the inter-opus links extend outside Brahms's oeuvre; the 'heights to which Brahms aspired in this work' are indicated by Imogen Fellinger:

> In his inscription of a copy of the original edition … to the designer Heinrich Groeber, he referred to Mozart as well as to Beethoven by writing on it the incipits of the violin Sonatas in G major of both masters [Beethoven, op.96], setting above them the words spoken by the *Himmelskönigin* ['Queen of Heaven'] from Faust's *Verklärung* ('Transfiguration') in Goethe's *Faust*- … 'Come, rise to higher spheres!'[48]

Op. 78 may have been recognised by many as a moment of Brahmsian mastery, but the preceding investigation shows it to be more rare and remarkable, as a dense confluence of

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[46] Ibid., 171.

[47] Ryan McClelland, 'Sequence as Expressive Culmination in the Chamber Music of Brahms', in *Expressive Intersections in Brahms: Essays in Analysis and Meaning*, ed. Heather Platt and Peter H. Smith (Bloomington: Indiana University Press, 2012), 171.

[48] Ivor Keys, *Johannes Brahms* (Bromley: Christopher Helm, 1989), 216. Imogen Fellinger, 'Brahms's View of Mozart', in *Brahms: Biographical, Documentary and Analytical Studies*, ed. Robert Pascall (Cambridge: Cambridge University Press, 1983), 53.

both technical and biographical features, and as a suggestive window on Brahms's practice, both technical and aesthetic, in other works.

Chapter 6 Metrical narrative and narrative diversity

6.1 Introduction

In Part 2 of the thesis, the focus moves away from accentual counterpoint and metrical complexity at lower levels and towards the larger scale of whole movements. As an alternative to an elusive theory of closure, this chapter introduces the theory of narrative which will be used to read metrical trajectories in the following chapters. It surveys some literature on what could be called *narrative diversity* in Brahms – readings of narratives which run counter to the stereotypical analyst's narrative of resolution and unity (however much this stereotyped analyst is a straw man). Byron Almén's theory of narrative is summarised, and some of these 'diverse' narratives are explored as instances of Almén's *non-romantic narrative archetypes*: tragedy, comedy and irony. A sample reading of each archetype as a metrical narrative is given; irony, as the most unusual and problematic of the narrative archetypes, is proposed here in a few exploratory analyses.

6.2 Narrative

6.2.1 Metrical closure

What might constitute metrical closure in the absence of a voice-leading analogue? Even in an otherwise rigorous analytical project such as McClelland's monograph, the author must admit that he has 'relied on an intuitive understanding of what constitutes stability in music, highlighting contrasts like those between tonic and non-tonic harmonies, consonant and dissonant vertical sonorities, diatonic and chromatic pitches, strongly and weakly defined keys, and *clearly and less clearly projected meter and hypermeter'* (emphasis added).[1] Elsewhere McClelland makes frequent use of the concept of 'metric resolution', but with a meaning which again relies intuitively on stability and dissonance-to-consonance progression.[2]

But if 'the sense of closure is arguably the most essential structural attribute of tonal music',[3] and if the work surveyed and presented thus far argues for the ontology of metre as at least partly akin to tonality in common-practice music, surely there is something

[1] McClelland, *Brahms and the Scherzo*, 298.
[2] Ryan McClelland, 'Metric Dissonance in Brahms's Piano Trio in C Minor, Op. 101', *Intégral* 20, no. 2006 (2006): 1–42.
[3] Webster, *Haydn's "Farewell" Symphony*, 145.

theoretically rigorous that can be said about what metre contributes to closure? One of the reasons for putting forward accentual counterpoint as a more appropriate and meta-conceptual lens for metre than metrical dissonance is the increased nuance it puts on issues of closure, or rather the common lack thereof. The model of metrical dissonance assumes that a return from dissonance to consonance always carries with it an inherent sense of resolution, but this is not logically sound. Consonance can follow dissonance without impling resolution. Further, not only does metre in general lack an analogue to voice-leading closure, but the complexity of metre in its multi-accentual creation exacerbates this problem. In practice virtually no musical work reaches maximal metrical closure, in the sense that this would require metrical consonance to be projected by every accent-type in the music. Accentual variety and its role in metre problematises any ideas of metrical closure.

This argument and its ramifications may seem uncomfortable, since it follows that many movements, even works with strong tonal closure, do not thereby have maximal metrical closure.[4] This need not be a value judgement, but merely a view that introduces a wider variety of possible narratives for movements and multi-movement works.

Nevertheless, there is no doubt that metrical stability at the end of a work can create some sense of closure. Further, the theory of metrical balance suggests that closure can also be created by a closing metrical event such as a hemiola, acting not just as a dissonance but also as a 'counterweight' to the metrical tonic, logically asserting it through a departure and return model. Apart from the closure created by individual accent-types and the closure created by metrical events in departure-and-return devices, a third way of conceptualising metrical closure could be posited by following Mark Richards's theory of the possibility of 'closural function' and 'separated cadences', the latter substituting for normal cadences when bass and melody are misaligned.[5] Richards's most important point for the current discussion is that 'tonic chords are weak indicators of cadential function because essentially any chord can follow them, whereas predominant and dominant chords

[4] McClelland admits this possibility: 'The progression from ambiguity or conflict to resolution is not the only type of narrative found in Brahms's scherzo-type movements. Since the constraints on large-scale rhythmic-metric processes are different from those on tonal ones, many types of rhythmic-metric narratives are possible, including narratives that do not conclude with resolution of instabilities in the thematic material.' McClelland, *Brahms and the Scherzo*, 9.

[5] Mark Richards, 'Closure in Classical Themes: The Role of Melody and Texture in Cadences, Closural Function, and the Separated Cadence', *Intersections: Canadian Journal of Music* 31, no. 1 (2010): 25–45. Another exploration of the manipulation of cadential content and function is Peter H. Smith, 'Cadential Content and Cadential Function in the First-Movement Expositions of Schumann's Violin Sonatas', *Music Theory & Analysis* 3, no. 1 (2016): 27–57.

are strong indicators because only certain chords are expected to follow them.'[6] For metrical closure, then, this highlights the role of *upbeat structures* as well as, or possibly superseding, consonance on the final downbeat; a sense of metrical closure can be created or heightened by anticipation through upbeat structures that lead to the final downbeat.

Taking the premise that some sense of metrical closure is possible, we can think about how patterns of this might manifest across works. Within Brahms's multi-movement works, and possibly within Romantic multi-movement works in general, the standard progression of closure across the procession of movements is typically agreed to be end-weighted; inner movements will be of less weighting than the final movement, which will project a sense of finality. There are thus two main patterns of non-normative closure at the work scale. Firstly, a closing movement may have a low level of (metrical) closure; one example in Brahms's works is the Op. 34 Piano Quintet (Example 6.1), whose closing melodic flourish runs past the penultimate barline, a metrical aspect of the tragic topos that runs through the work. In turn, and also a rare occurrence, a few of Brahms's *opening* movements have a strong sense of finality and of metrical closure, occasionally stronger than the succeeding closing movements: a prime example is the climax to Op. 78/i, as just investigated. This introduces interesting ideas about unusual work-scale narratives in such works. It is worth noting, as is the case in Op. 78, that such strongly closural opening movements are often followed with a movement which begins with medial function; in the sonata as in the Requiem, this can create a stratified narrative, suggesting that the narratives of the interior movements take place on a different plane.

Issues of lack of full closure in Brahms's music have been noticed, often obliquely, by several authors. In his monograph on the Op. 60 Piano Quartet, Smith reads a lack of tonal resolution in the first movement which extends far into the coda. McClelland considers that Brahms's scherzo-type movements exhibit limited closure more often as his career progresses. Samuel Ng's article on Op. 99/i takes the idea of the hemiola cycle as a metric *Grundegestalt* which 'manifests itself at different levels throughout the course of the piece'.[7] His interpretation is that 'the centrality of the hemiolic cycle in the movement is aptly summed up in the local hemiola found in the final five measures of the piece', which restores 'order and stability'.[8] But Nelson Wu's exploration of the same movement as an

[6] Richards, 'Closure in Classical Themes', 26.
[7] Ng, 'The Hemiolic Cycle and Metric Dissonance in the First Movement of Brahms's Cello Sonata in F Major, Op. 99', 72.
[8] Ibid., 87, 89.

example of a 'coda with a final twist' includes a reconsideration of Ng's argument, pointing out that final metrical resolution 'seems under-prepared' because 'a regular pulse in triple time was not established adequately in the final bars'.[9] He questions whether metrical consonance is really 'the primary function of this final twist', instead suggesting that the task is 'to readdress in a different textural setting the rhythmic tension displayed at the outset of the movement', with a 'homophonic gesture that embraces both duple and triple rhythmic units'.[10] Finally, after quoting McClelland's study of destabilised beginnings, Wu concludes that this movement is 'an exception' because there is not the expected kind of 'metrical normalisation' expected: 'The concluding harmonic stability is, in fact, accompanied by bold metric irregularity. The function of the concluding section of a sonata-form movement may not, then, be as simple as achieving or confirming harmonic and thematic completion'.[11]

The possibility remains unconsidered by Wu that these might not in fact be exceptions; that Brahms's codas, including those with final twists, and particularly in first movements, might more often be designed to limit or even efface closure. This contradicts the common assumption of Brahms's codas as fixing problems, or as having a 'multifaceted summarising function'.[12] This is the route taken by Petty, who considers that first movements in particular have a paradoxical double role, requiring closure but also suggesting the need for the movements that follow.[13]

6.2.2 Narrative and Brahms

Having highlighted the difficulty of a theory of metrical closure, and introduced the idea of non-closural narratives in Brahms's music, this section further explores some of the diverse narratives which have been ascribed to his music.

Whether rightly or wrongly, the most common analytical readings of Brahms's works find trajectories which align with (to name but three diverse manifestations of the same basic idea): Stein's 'ambiguity principle', where ambiguous material as a rule finds clarification; Webster's idea that 'the sense of closure is arguably the most essential structural attribute of

[9] Nelson Wu, 'Coda with a Final Twist: The Vivace Codetta in the First Movement of Brahms's Cello Sonata in F Major', *Music Analysis* 31, no. 1 (2012): 103.
[10] Ibid., 104.
[11] Ibid., 105.
[12] John Rink, 'Playing in Time: Rhythm, Metre and Tempo in Brahms's Fantasien Op. 116', in *The Practice of Performance: Studies in Musical Interpretation*, ed. John Rink (Cambridge: Cambridge University Press, 1995), 264. He cites Dunsby 1983 ('The Multi-Piece') and Epstein 1979, 1990, 1995.
[13] Petty, 'Brahms, Adolf Jensen and the Problem of the Multi-Movement Work'.

tonal music';[14] or Schenker's project to show all tonal music as the resolution of the same basic structure. All of these concepts show a tendency towards closed, unified structures, a tendency which can become ideological.

There is no denying that Brahms valued teleology.[15] As covered in Chapter 3, his works frequently feature instability-to-stability narratives; they tend in their movement from destabilised beginnings to clarified endings to follow the ambiguity principle; Van Rij notes his 'typical sorrow-to-comfort' plot archetype in song collections.[16] Tonal delays are common, heightening resolution when they arrive.[17]

But analysts must not get stuck in what Korsyn calls the 'procrustean bed' of such readings.[18] Tragic plots are not unheard of in music analysis; indeed, Uri B. Rom considers they have become 'almost a cliché' of Mozart analysis.[19] Van Rij notes that several of Brahms's song collections reverse the sorrow-to-comfort archetype.[20] Within Brahms criticism, other occasions that might be cited include the following.

David Osmond Smith reads a 'fierce affirmation of stasis'[21] in the Fourth Symphony:

> By employing a strictly ternary version of the form in which an expository mosaic of lyrical units governed by a wider tonal logic is reworked in recapitulation only as much as is necessary to bring the second subjects to the tonic, and third-based sequences are moulded into a meticulously symmetrical structure in the development, Brahms placed a question mark against the symphony's traditional celebration of

[14] Webster, *Haydn's "Farewell" Symphony*, 145.
[15] 'In their discussions of Jenner's attempts at variation form, Brahms criticized the failure to achieve a sense of goal-direction.' Foster, 'Brahms, Schenker, and the Rules of Composition', 105.
[16] Rij, *Brahms's Song Collections*, 82.
[17] For example, Smith explores several movements which feature 'an enormous tonal delay whose resolution corresponds with liquidation of the contradictory characteristics, so that the movements finally achieve the clarity absent from their bivalent openings.' Smith, 'You Reap What You Sow', 59.
[18] Korsyn, 'Brahms Research and Aesthetic Ideology', 101.
[19] Quoting Hepokoski and Darcy that the 'negative vision is the one invariably presented to us by Mozart in his minor-key sonata form movements' (James Hepokoski and Warren Darcy, *Elements of Sonata Theory: Norms, Types, and Deformations in the Late-Eighteenth-Century Sonata* (New York: Oxford University Press, 2006), 314). Uri B. Rom, Review of Matthew Riley, *The Viennese Minor-Key Symphony in the Age of Haydn and Mozart*, *Music Theory & Analysis* 3, no. 1 (April 2016), p.110.
[20] Rij, *Brahms's Song Collections*, 85, 102.
[21] David Osmond-Smith, 'The Retreat from Dynamism: A Study of Brahms's Fourth Symphony', in *Brahms: Biographical, Documentary and Analytical Studies*, ed. Robert Pascall (Cambridge: Cambridge University Press, 1983), 151.

> dynamic growth, that could then be turned into a fierce affirmation of stasis – or rather of the 'still point of the turning world' – in the final passacaglia.[22]

Still concerning Brahms's symphonic output, readings of the First Symphony see Bloomian misreading and nostalgia in its Beethovenian allusions.[23] And Brinkmann's reading of the Second Symphony as an expression of irony and melancholy continues to spawn similar readings.[24] Most interesting, and apposite for the current investigation, is when these readings use structural characteristics, rather than superficial rhetorical ones, as grounding. Leading the way in the interpretation of structural characteristics as expressive, specifically against generic backdrops, is the discipline of sonata theory. Seth Monahan's appropriation of sonata theory to Mahler's symphonies finds a correlation between structural success or failure and expressive narratives of the same, but then a reversal of Mahler's habits in this regard in the later part of his career.[25] Jackson's exploration of the reversed recapitulation (though anathema to sonata theory) similarly posits an expressive function for a structural characteristic – or, more specifically, its deformation.[26]

The most comprehensive exploration of structural characteristics as emblematic of tragic expression in Brahms's music is Peter Smith's monograph on the Piano Quartet in C minor, Op. 60,[27] starting from the characterisation of the work by Brahms himself as demonstrating the suicidal tendencies of Goethe's Werther. There are at least two aspects of irony here, too. Firstly, the work, according to Smith, 'achieves its special status through intensification of standard Brahmsian strategies. In other words, the work is governed by a paradox: it represents a prototype of Brahms's core compositional concerns,

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[22] Ibid.

[23] The most notable of these is Mark Evan Bonds's substantial reading of the First Symphony as a Bloomian misreading in Bonds, 'The Ideology of Genre: Brahms's First Symphony'. 'Monelle interprets it as "a nostalgic *Eroica*," "grave and elegiac," about a "victory for bourgeois society like the universal franchise or the abolition of slavery"' (Raymond Monelle, *The Sense of Music: Semiotic Essays* (Princeton: Princeton University Press, 2000), 126–27, quoted by Michael Klein, 'Musical Story', in Klein and Reyland (eds), *Music and Narrative since 1900* (Bloomington: Indiana University Press, 2013), 19). See also Michael Musgrave, 'Brahms's First Symphony: Thematic Coherence and Its Secret Origin', *Music Analysis* 2, no. 2 (1983): 117–33.

[24] Reinhold Brinkmann, *Late Idyll: The Second Symphony of Johannes Brahms* (Cambridge, MA: Harvard University Press, 1997). Francis Maes uses the 'black wings' as a catalyst for intertextual analysis in comparison to Shostakovich's Tenth, although they do not consider tragedy or irony in depth. Francis Maes, 'Black Wings in Two Symphonies: Brahms's Second and Shostakovich's Tenth', *Music Theory & Analysis* 3, no. 1 (2016): 71–85.

[25] Seth Monahan, 'Success and Failure in Mahler's Sonata Recapitulations', *Music Theory Spectrum* 33, no. 1 (2011): 37–58.

[26] Timothy L Jackson, 'The Tragic Reversed Recapitulation in the German Classical Tradition', *Journal of Music Theory* 40, no. 1 (1996): 61–111. On sonata theory's denial of the reversed recapitulation, see Paul Wingfield, 'Beyond "Norms and Deformations": Towards a Theory of Sonata Form as Reception History', *Music Analysis* 27 (2008): 137–77.

[27] Smith, *Expressive Forms in Brahms's Instrumental Music*.

while at the same time it stands apart in both structural organization and expressive content.'[28] Secondly, the work alludes to Mendelssohn, and here allusion serves an ironic purpose according to Brodbeck: 'To be sure, the chorale itself eventually recurs triumphantly … yet suddenly everything is lost … the work concludes in complete despair'.[29]

6.2.3 Narrative as an alternative approach to closure

The above discussion highlights both the difficulty of a theory of metrical closure, and the variety of narratives found within the music of Brahms. It implies that a straightforward theory of metrical closure is very difficult to imagine, or at least remains (ironically) an open problem; if accentual counterpoint is taken to be ubiquitous in some strength in all music, then metrical closure exists in all possible gradations.

While closure can therefore be a valuable lens on some occasions, then, this thesis proposes that it can also be productive to apply theories of narrative as an interpretative act to chart the expressive trajectories of Brahms's metrical developments. At the simplest level, if metre can be expressive (as indicated by the theories of metrical dissonance), and if Brahms takes care to construct it (as evidenced by the metrical complexity itself and the high degree of intentionality in Brahms's works generally), then it is justified to seek metrical narratives in Brahms's work.

But use of the term 'narrative' in readings of Brahms's works can connote a huge variety of approaches and a vagueness of meaning. This is particularly so in the rare explorations specifically focusing on rhythmic-metric structure and trajectory, despite McClelland's call that 'the full significance of rhythmic-metric narratives in tonal music has yet to be widely appreciated.'[30] Krebs uses 'metrical narrative' to refer only to global progressions between states of consonance and dissonance (of the form C–D, D–C, C–D–C, etc.), and uses of the term by McClelland, Malin and Cohn follow this same register.[31]

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[28] Ibid., 6.
[29] David Brodbeck, 'Medium and Meaning: New Aspects of the Chamber Music', in *The Cambridge Companion to Brahms*, ed. Michael Musgrave (Cambridge: Cambridge University Press, 1999), 122.
[30] McClelland, 'Metric Dissonance in Brahms's Piano Trio in C Minor, Op. 101', 3.
[31] Krebs, *Fantasy Pieces*, 84–85; McClelland, 'Metric Dissonance in Brahms's Piano Trio in C Minor, Op. 101', 3, fn. 6; Yonatan Malin, 'Metric Displacement Dissonance and Romantic Longing in the German Lied', *Music Analysis* 25, no. 3 (2006): 262–63; Cohn, 'Metric and Hypermetric Dissonance', 25–26.

The following analyses attempt a small refinement to this kind of approach, by combining metrical analysis with the theory of musical narrative developed by Byron Almén.[32] Almén's work has been part of a resurgence of analytical interest in narrative; for example, Seth Monahan claims it has 'freed projects like mine [the analysis of Mahler's symphonies] to invoke music's narrative qualities without hand-wringing or acrobatic justifications', and various authors have recently explored narrative in music composed after 1900.[33]

6.2.4 Almén's theory of narrative

The use of the concept of narrative to analyse music has followed a rocky path.[34] Almén outlines three main reasons for this: that critiques claiming that musical narrative is a limited or non-existent concept have generally remained unanswered, suggesting that there is insufficient foundation for research; that 'there is no universally-agreed-upon definition of what it [narrative] might actually be'; and that there has been 'no comprehensive attempt to map out the parameters of a *narrative* analytical method'.[35] But he also claims that many of these criticisms arise from an assumption that musical narrative will resemble literary narrative, and he solves (or bypasses) them by using James Jakób Liszka's concept of narrative as 'transvaluation' to help take the narrative archetypes back to 'pre-generic types',[36] thus proposing a model of musical narrative as a *sibling* to, rather than a *descendant* of, literary narrative, and thus not beholden to the same set of conditions as literary narrative.[37]

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[32] Byron Almén, 'Narrative Archetypes: A Critique, Theory, and Method of Narrative Analysis', *Journal of Music Theory* 47, no. 1 (2003): 1–39; Byron Almén, *A Theory of Musical Narrative* (Bloomington: Indiana University Press, 2008).

[33] Seth Monahan, *Mahler's Symphonic Sonatas* (New York: Oxford University Press, 2015); Michael L. Klein and Nicholas Reyland, eds., *Music and Narrative Since 1900* (Bloomington: Indiana University Press, 2013). Other examples include Michael L. Klein, 'Ironic Narrative, Ironic Reading', *Journal of Music Theory* 53, no. 1 (2009): 95–136; John Paul Ito, 'Spiritual Narratives in Beethoven's Quartet, Op. 132', *The Journal of Musicology* 30, no. 3 (2013): 330–68.

[34] As one preface puts it, 'When approaching musical narrative, the conventional place to start is with Jean-Jacques Nattiez's famous question, "Can one speak of narrativity in music?" Nattiez's equally famous answer was "no."' Seth Monahan points out that 'in some respects, the term "debate" misleads, since there was actually very little back-and-forth between opposing camps. Indeed, beyond a certain point one could barely speak of "camps" at all'; Nattiez and Abbate gave 'opening volleys' and then withdrew from the discussion, after which there was only a 'kind of siege mentality' until Almén's work as the first sustained retort in support of musical narrative. Klein and Reyland, *Music and Narrative Since 1900*, ix; Jean-Jacques Nattiez, 'Can One Speak of Narrativity in Music?', *Journal of the Royal Musical Association* 115, no. 2 (1990): 240–57; Carolyn Abbate, *Unsung Voices: Opera and Musical Narrative in the Nineteenth Century* (Princeton: Princeton University Press, 1991); Monahan, *Mahler's Symphonic Sonatas*, 63–64.

[35] Almén, 'Narrative Archetypes', 1–2.

[36] James Jakób Liszka, *The Semiotic of Myth: A Critical Study of the Symbol* (Bloomington: Indiana University Press, 1989).

[37] Almén, *A Theory of Musical Narrative*, 12–14.

Almén's definition of pre-generic narrative (as paraphrased by Agawu) insists that 'a narrative must embody an initial conflict, transgression, or opposition among elements; this produces a disequilibrium that becomes a source of dynamism for the unfolding process. Constituent elements are arranged in a hierarchy whose profile fluctuates in the course of enactment'.[38] A shorter description would be Monahans that Almén's narrative connotes 'meaningful change over time'.[39] Four 'irreducible factors – temporality, hierarchy, conflict, and the observer's perspective' are all that is necessary for narrative.[40]

Viewed on Almén's terms, there is no reason why metrical events cannot construct narrative. They unfold linearly in time, fulfilling his first criterion of temporality;[41] they can be construed as embodying hierarchy and conflict (perhaps most obviously through the lens of metrical dissonance); and they can be salient to an observer's perspective.

6.2.4.1 The narrative archetypes

Literary theory, in the form of Northrop Frye's four literary 'narrative archetypes' (romance, comedy, tragedy, and irony), provides Almén with what he proposes as the basic routes of all musical narrative (indeed, all narrative in any medium) (Table 6.1).[42] The four narrative archetypes form as pairs of values from two binary oppositions: defeat and victory, and order/hierarchy and transgression. Victory or defeat are achieved as transvaluations (changes in rank) of what is perceived, and sided with, as order or transgression. Thus his theory bypasses many of the problems that have in the past been used as attacks on the possibility of musical narrative, based as they are on the assumption that it must share features with literary narrative.

[38] Kofi Agawu, 'Review: *A Theory of Musical Narrative* by Byron Almén', *Notes* 66, no. 2 (2009): 275.
[39] Monahan, *Mahler's Symphonic Sonatas*, 67.
[40] Almén, *A Theory of Musical Narrative*, 40.
[41] Metre's ontology *as* temporality could lead one down some peculiar philosophical paths about the kinship between the three concepts.
[42] Northrop Frye, *Anatomy of Criticism: Four Essays* (Princeton: Princeton University Press, 1957).

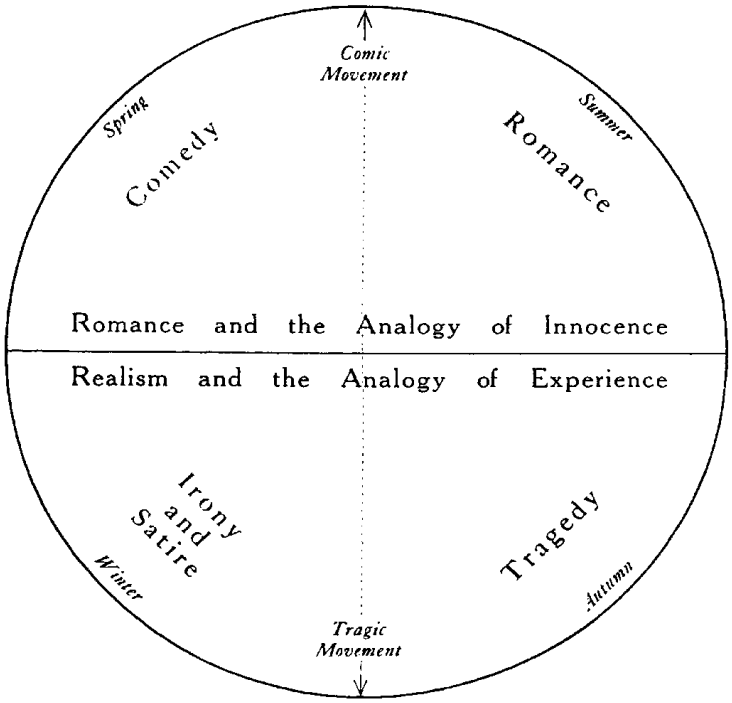

Table 6.1 Northrop Frye's narrative categories.[43]

The narrative archetypes manifest as the four combinations of the two binaries (order/transgression and victory/defeat). Romance narratives, the victory of order, occur when an order seen as favourable is challenged, but ultimately resists the challenge. A hero who ultimately defeats an enemy and returns to his pastoral home would be an example, as would a destined romantic couple who live happily ever after. Comic narratives, on the other hand, represent the victory of a favourable transgression against an undesirable order: a non-standard couple who make it 'against the odds', or an unlikely hero. Tragic narratives (the defeat of transgression) take these favoured transgressions and defeat them, often with a sense of predeterminism: Romeo and Juliet, transgressing against the cultural order. Ironic narratives (the defeat of order) are perhaps the strangest, narratives of 'denial and subversion' where a favourable hierarchy is defeated.[44] Tragic and comic narratives, then, are 'change-of-state narratives', requiring a 'definite positive or negative shift of rank', whereas romantic and ironic narratives may 'end up where they began'.[45]

[43] Almén, 'Narrative Archetypes', 14.
[44] Almén, *A Theory of Musical Narrative*, 168. These examples are crude, and each situation could probably be reframed to another archetype. Almén's formulations are more refined, for instance by using Frye's concept of narrative phases, where elements of different archetypes are combined (see 165–168).
[45] Almén and Robert S. Hatten, 'Narrative Engagement with Twentieth-Century Music: Possibilities and Limits', Chapter 3 of *Music and Narrative since 1900* (Bloomington: Indiana University Press, 2013), 84 fn. 14.

In particular, this thesis highlights tragic and ironic metrical narratives as being more prevalent than generally realised in Brahms's work. These narratives commonly manifest in dimensional counterpoint, superficial or immediate rhetoric being effaced to suggest a different expressive meaning. Thus a metrical perspective does not insist on hegemony, but is used only to elevate metre's status as a dimension capable of narrative, expression and failure. This conceptualisation of narrative potentially inhering in different musical parameters individually, or in the interaction between them, coheres with the understanding of Brahms's music as potentially making sense from different perspectives, and also rewarding reinterpretation and familiarity; as he put it, 'it is no fun to get a handful of earthworms straight away – one must find them one by one and with the maximum amount of effort.'[46]

6.2.4.2 Metrical agents

One issue in the use of narrative theory in metrical analysis is the attribution of agential and actantial levels. Almén uses the agential level to 'refer to the level of narrative analysis within which musical agents such as theme- or motive-actors are articulated and defined and their morphological, syntactic, and semantic features described',[47] and the actantial level as 'the level at which these units acquire their narrative roles or functions. Formally, this can be expressed in terms of markedness and rank values, whereby one unit takes value away from another unit or receives value from another unit'.[48] The agential level, then, is the level at which configurations are defined as agents; the actantial level is the level at which these agents play out value-laden actions.

There are various possible agential candidates in metrical discourse; metrical states, metrical dissonances, pulses, and instrumental voice could all theoretically be involved in creating metrical narrative. This thesis generally focuses on the potentialities of metrical states, and claims that moments of metrical complexity suggest their own involvement in narrative; they become marked and then undergo an act of rank transvaluation.[49] This focus complements the recent analytical discourse which has given agential priority to metrical

[46] Rij, *Brahms's Song Collections*, 10.
[47] Almén, *A Theory of Musical Narrative*, 229.
[48] Ibid.
[49] 'Moment' has a connotation which suggests the importance of points and thus 'form-as-shape' (*Form*) against 'form-as-process' (*Formung*). While disagreeing with this weighting in principle (and wishing to stress the importance of process), I also feel that the cognisance of music is based on the attempt to chunk temporal experience into discrete segments and link these. See, for example, Janet Schmalfeldt's work on form as process, most notably *In the Process of Becoming: Analytic and Philosophical Perspectives on Form in Early Nineteenth-Century Music* (New York: Oxford University Press, 2011).

dissonances. In each of the case studies in Chapter 7, metrical states are marked as agents with more rhetorical emphasis than is usually the case in common-practice music, suggesting the use of narrative analysis.

To Almén, the identification of which agents represent hierarchy and which transgression is simply a matter of identifying markedness: 'Determining markedness in the specific context of narrative interpretation is thus equivalent to *determining what the narrative transgression is* … we identify the marked narrative elements when we have identified the transgressive elements'.[50]

6.2.4.3 Markedness, rank and value

In order to trace narrative, then, Almén's theory first requires the identification of markedness and rank values to the musical discourse.

Apart from a brief discussion in section 2.10 above relating to the markedness opposition of duple and triple factors, ascription of markedness to metrical events has hitherto been mainly tacit in this thesis. Metrical dissonances, or instances of metrical complexity more generally, are marked; duple and triple organisation at low and middle levels are marked-unmarked mainly through context (one is assigned as the norm, the other is marked; MacDonald's call to turn metrical states paradigmatically into topoi – duple as normal and triple as exotic – is resisted);[51] at high levels triple organisation is marked and duple unmarked. These three tenets seem straightforward.

Ascribing *rank* to these oppositions is much more tricky. Indeed, rank may well be perceived as the stumbling block to applying narrative theory to metre. 'Marked features', according to Almén, 'may be of either higher or lower value to a culture than the unmarked features'; he gives the example of Hatten's work showing that both high and low stylistic registers are marked with respect to a middle-registered *galant* style in the Classical period, although one is of greater and one lesser value than the *galant*.[52] In Krebs's theory, simple metrical dissonances have a lower rank than the metrical consonance that they are defined in reference to. But metrical complexity in other guises, and the interactions between different metrical states, can be harder to rank. In the

[50] Almén, *A Theory of Musical Narrative*, 53. Original emphasis.
[51] See Chapter 1, footnote 48.
[52] Almén, *A Theory of Musical Narrative,* 49.

example of complex hemiola in Op. 78, for instance, the moment of complexity was clearly an expressive highpoint, framed as a climax and a telos.

This asks new questions of the concept of metrical balance, showing it as an important addition to metrical dissonance theory. Firstly this is because metrical balance suggests that a passage, while contextually dissonant, may not just have the simple lower rank value of a metrical dissonance, but may have a higher rank through being desirable in order to provide balance. Secondly, by suggesting that a tonic (metre or key) must be defined logically, it suggests that it is itself defined through reference, therefore that the tonic is itself a marked member of an opposition – something of a paradox.

The problem either does not arise or is bypassed in the examples below, where rank is assigned either by the normative associations of high-low profiles (stability/instability, consonance/dissonance, or simplicity/complexity), or through appeal to other musical parameters. The issue resurfaces in Chapter 7, where rank for metrical features is more difficult to assign.

6.2.4.4 Isotopies and readings

One part of Almén's methodology that will not be used is segmentation of music into isotopies. The identity of redundancy definitions between Brahms's aesthetic and Tarasti's 'isotopy' definition is serendipitous; an isotopy is 'A set of semantic categories whose redundancy guarantees the coherence of a sign-complex and makes possible the uniform reading of any text'.[53] Brahms's avoidance of redundancy and musical prose hinders the segmentation of his music into isotopies, even though, conversely, it also encourages narrative interpretation, with Almén describing his method as 'Schoenbergian, centering on a hermeneutic arrangement of motive and gesture into a meaningful temporal experience.'[54]

The use of narrative theory for music remains controversial;[55] Agawu, for example, gave cogent criticisms of Almén's theory in a review.[56] Nevertheless (as is true to a certain

[53] Almén, *A Theory of Musical Narrative*, 230.
[54] Almén, 'Narrative Archetypes', 21.
[55] For one of many introductions to the debate, see Part One of Klein and Reyland, *Music and Narrative Since 1900*.
[56] Kofi Agawu's main criticisms of Almén's theory are that it should include melodic processes and Schenkerian insights, and that the relationship between topic and narrative could be reevaluated ('The discussion … made me wonder whether topic theory does not already encompass narrative theory'): Agawu, 'Review: *A Theory of Musical Narrative* by Byron Almén', 277. Neither of these criticisms seems to critique the metatheory, nor to undermine its use in this thesis.

extent of the general discipline of music analysis) this controversy has spawned a benefit in the form of self-awareness.[57] Narrative theorists tend to realise that narrative readings *are* readings, and that narrative archetypes can even become ideological.[58] Almén says that 'there can be no *one* narrative that fits appropriately with a musical work. There may be more or less convincing narratives, but if connections cannot be causally determined, there can be no preferred narrative.'[59] Again, this awareness marries well with Brahms analysis, since Brahms's music can 'simultaneously make sense from a variety of perspectives, any one of which might reasonably be taken as central'.[60] Analyses, then, read the archetypes onto the pieces.[61] The acid test, for this author, must be whether they can offer a meaningful insight or clarify a pre-existing reaction to or observation about the music.

6.3 Metrical tragedy in Op. 94/v

A good case study for metre portraying a tragic narrative is the final song of Op. 94, 'Kein Haus, keine Heimat', because here a lack of metrical closure is allied with similar tonal, melodic, dynamic, and textual effects to create a strong expressive effect. The song, which is short enough to be reproduced in full in Example 6.2, depicts a man's suicidal despair and frustration with the world.[62]

Critics since Brahms's time have noted the expressive result: Billroth called Op. 94 Brahms's 'Winterreise', Platt 'a moving and convincing portrayal of [a] man's despair'.[63] Eric Sams interprets the very end as a final reversal of tragedy – 'the last long note and massive sustained major chord serve to disclose a real personality relishing its final defiance of fate' – but this is capitulating to a false need for resolution.[64]

The song, which describes alienation and despair, combines outcomes in various dimensions: the voice finishes on scale degree $\hat{5}$ rather than $\hat{1}$ as at the end of the first

[57] Indeed, Almén notes Hayden White's exploration in 1973 into the 'tendency of historians to consciously and unconsciously emplot historical events according to temporal narrative schema'. Almén, *A Theory of Musical Narrative*, ix.
[58] Klein, 'Ironic Narrative, Ironic Reading'.
[59] Almén, 'Narrative Archetypes', 7.
[60] Knapp, 'Utopian Agendas'.
[61] Almén, *A Theory of Musical Narrative*, 21. Michael Klein goes further, noting that narrative analysis is ideology driven.
[62] 'The text is drawn from Halm's narrative *In der Südsee*, where it is sung by the black hero who commits suicide in order to save his former mistress, a fickle young girl.' Platt, in Botstein, *The Compleat Brahms*, 281. Interestingly, Brahms sets only the second and third of three stanzas; the first positions the narrator drinking ('Meine Jacke ist ganz noch / und mein Glas noch voll Gin!'), which, perhaps, slightly detracts from his abstractly tragic nature.
[63] Heather Platt, in Botstein, *The Compleat Brahms*, 281.
[64] Eric Sams, *The Songs of Johannes Brahms* (New Haven: Yale University Press, 2000), 280.

stanza, on a plagal cadence, with a brittle tierce de Picardie. Metrically, displacement between left and right hands and emphasis on the third beat are both persistent throughout the song; at the end this develops into a peculiar displaced hemiola. This hemiola, in fact, explores the slippage between the definitions used here of the two types of displaced hemiola, disjointed and shifted. Hypermetre is strongly articulated in the final passage, as shown on Example 6.3. On the one hand the hemiola could be viewed as disjointed; Example 6.3 shows an interpretation where hypermetre continues but the piano plays on the off-beats of the hemiola. The clarity of hypermetre before the hemiola, combined with the normativity of hemiolas to lie across a hyperdownbeat followed by a hyperupbeat, make this interpretation initially persuasive. But retaining the parity of hypermetre in this situation becomes increasingly difficult with each of the final three bars; where bar 18 has the weight of projection, perceiving a weak hyperbeat on bar 19 belies accentuation in the voice and the piano, including the bottom of the bass arpeggiation. Hearing a strong hyperbeat on bar 20, the final bar, becomes even less plausible. Continuing to perceive the piano part on weak beats, then, leads one into increased doubt as the final bars continue.

But perceiving the hemiola as shifted – where the piano articulates the beginning of hemiolic beats, but where these do not begin with a hemiolic first beat on a notated downbeat – is no easier. Example 6.4 shows two different methods of hemiolic counting within this remit. Aside from the need to retrospectively reinterpret bar 17's third beat as the beginning of a hemiolic beat, either of these counting patterns requires the abandonment of hypermetre, and both result eventually in frustration, with the final piano chord articulating a second or third hemiolic beat with no subsequent resolution.

This, moment, then, can be viewed either as displaced in relation to the hypermetre or displaced by a beat – how to interpret this isn't helped by the hypermetric shift at the end of the first stanza – and either way, metrical dissonance does not resolve. Lack of final downbeat articulation is found in several Brahms works with negative subtexts, an example of how he communicates to the performer as much as to the listener, since these instances can be fundamentally notational. This song is particularly remarkable because the moment of metrical complexity – found near to the close of many Brahms works – bleeds over the end of the song. The tragic metrical narrative is created by a breakdown of metre arising from what should be a climax. To say that the song ends in metrical dissonance is an understatement; it ends after a moment of metrical complexity which has a heightened distance from consonance.

So while remarkable, 'Kein Haus' also shows the intensification of techniques Brahms had used throughout his career. A good previous example is Op. 3/v, 'In der Fremde' (also about alienation), where a motivic rhythm asserts hypermetric downbeats throughout the song. Hypermetric expansions occur frequently at the end of lines, communicating the poet's sense of alienation, as the harmony searches for other stable realms. Hypermetre and F♯ minor are reasserted with every new couplet. At the end, hypermetric uncertainty returns once more (bars 26 and 27 suggest a strong-weak pair), at the same time as cadential stability is thwarted, the melody ends on $\hat{5}$, displacement dissonance continues into the penultimate bar, and the tierce de Picardie gives a brittle major ending.[65]

The metrical narrative of tragedy in 'Kein Haus' arises from the development of the quaver displacement figure in the accompaniment, which is identified as the transgression. A considerable metrical *in*stability, this is nonetheless framed for most of the song on the edges of a larger stability (hypermetric regularity), correlating with the subject matter of a tragic hero struggling against the odds. This transgression, though, ultimately subsides, into what might either be seen as an unresolved metrical complexity or a total metrical instability. The tragedy is made more keen by the sense of forward motion engendered by the displacement figure; it is as if it drives itself off course.

Tragedy is arguably the simplest non-romantic narrative archetype to read into a metrical trajectory. It will be revisited in Chapter 7 during the analysis of Op. 51/1/i, and again in Chapter 8.

6.4 Oblique comedy in Op. 88/i

The first movement of the Op. 88 String Quintet has aroused little analytical attention; focus on Op. 88 tends to fall on the middle movement, with its generic fusion of slow movement and scherzo, and its historicist connection with a Sarabande and Gavotte written in Brahms's youth. This analysis builds on Michael Musgrave's (somewhat vague) comment that 'the broad and confident first 'allegro' – a movement of direct and relaxed mastery – can be seen as composed to accommodate both the other movements'.[66] How does the first movement create this tangible sense of being part of a larger plot? The movement seems to be unassuming, and its prime expressive moments are oblique.

[65] For a harmonic analysis of the movement, see Michael Baker, 'Transformation vs. Prolongation in Brahms's "In Der Fremde"', *College Music Symposium* 48 (2008): 69–82.
[66] Musgrave, *The Music of Brahms*, 203. He qualifies this with 'for the finale must surely also have been long on his mind', and is also aware of the historic resonance of the middle movement.

Op. 88/i offers a case study for the sonata form itself as a passive vehicle, a case study for metrical and specifically comic narrative, and one for a work-scale trajectory, whose conclusion will be investigated in the analysis of the third movement of Op. 88 in Chapter 7. The following analysis uses some terminology from sonata theory, namely P as primary theme, S as subordinate theme, and the concept of the essential expositional cadence (EEC) as the tonal telos of the exposition.[67]

6.4.1 P

The primary theme evokes a Schubertian pastoral (Example 6.5). A pure duple theme, P's metrical focus is generally on displacement dissonance, including some illuminating examples of the accentual diversity to be found in Brahms's mature music. The potential for D♩4-1 is encapsulated within the first bar, as the $\hat{5}$–$\hat{8}$–$\hat{7}$–$\hat{8}$ motion (first violin) delays melodic resolution to the last beat; this delay towards harmony notes is a continuous feature of the melody. At the same time, the gently rocking syncopations in the second viola part also create a hint of displacement dissonance. In the second bar dissonance begins to become more perceptible through the introduction of other accent types: the upbeat to bar 3 is harmonised with an unexpected C♯, and the bass is tied across the barline to create an agogic accent.

In bars 9–15, displacement dissonance increases as part of processes of fragmentation and liquidation. The dissonance undergoes diminution (to D♪ 4-1) and is intensified by dynamic accents; this diminished form is repeated across bars 13–15. In bar 15 a tightened version (D♪2-1) of the diminution is heard leading to the local climax, cadence, and return of the theme, which emerges to clarity at bar 16.[68]

Hypermetric instability also sets in across these bars; the repetition of the melodic quaver runs in bar 13, previously only found on hypermetrically weak bars, starts the destabilisation. This increases through the following bars, which lead to a reorientated hyperdownbeat on bar 16 with the return of the theme.

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[67] Hepokoski and Darcy, *Elements of Sonata Theory*.

[68] Across P as a whole, off-beat accents are explored as a motivic family of metrical dissonance. A tightened version at the crotchet level (D♩2-1) comes in the second part of TR (the first part of which, bars 24–33, diminishes a different part of the theme, the dotted motive): in bars 34–45 the D♩2-1 dissonance is so strong that many listeners will hear the barline as shifted, an effect that persists through to about bar 40. The added quaver displacement represents yet another tightening, creating D♪2-1.

The return to the prolonged tonic occurs on the third beat of bar 15, echoing third-beat arrival in bar 8. The fact that arrival occurs two beats *before* bar 16 is important. The resolution of tonal and metrical dissonance two beats before the reemergence of theme and hypermetre imbues the theme with a sense of homecoming which remains divorced from victory, and the theme itself thus keeps its pastoral connotation of stasis. The expressive moment in bar 15, created equally by metrical and tonal means, remains separate from the theme, which is beginning to be marked as an insufficient initial hierarchy, to be transvalued in favour of transgressive elements.[69]

6.4.2 S

The content of S is quite different to P (Example 6.6), having a larger focus on grouping rather than displacement dissonance. It is an example of a subordinate theme whose contrast to P is created through Type 1 artificial hemiola (a common pattern in Brahms's sonata forms). Slightly unusually, this is not introduced at the pulse level (which would be triplet quavers in 3-layers, [3♪322]), but one level further up; S's melody unfolds in triplet crotchets ([3♩(2)32]), thus creating a low-level MMDH pulse-level dissonance against the (duplet) quavers ([3♫(22)32] against [3♫(3)222]). Displacement dissonance is also present here, and it is another member of the Dx-1 family: D3♩-1, created through ties. This now creates a touch of bar-level hemiola, thus up a second level ([3♩(2)23]). The complete effect is a waltz allusion, with a characteristic hemiolic melody.[70]

This waltz topic is part of the work-scale trajectory; it will be returned to in the middle movement, as will P's characteristic dissonances and the conflict between A and C♯ as secondary tonal centres. It is also worth noting that the complexity of the pulse-level dissonance perceptually elevates the level of tactus to the half-bar, which receives the most combinatorial accent. It is this that gives the subordinate theme a sense of being 'slower' than the primary theme.[71]

Yet this metrical difference of S to P is short-lived. As Example 6.6 shows, [♪222] invades only four bars into S, with different thematic material and a different tonal focus (C♯), as if S is stifled – in thematic, tonal, and metric terms. This incursion takes eight bars before S 'has another go' at bar 58. But again S does not materialise as even an attempt at a well-

[69] Almén, *A Theory of Musical Narrative*, 189.
[70] As mentioned earlier, on hemiolic waltz melodies see McKee, 'Joseph Lanner, Johann Strauss Sr and "The Future of Rhythm"'.
[71] For an example of the converse, see Op. 78/i, where the primary theme keeps the half-bar as tactus and the subordinate theme moves to the crotchet, imparting a sense of acceleration.

formed theme, or metrical space, before the pure duple theme interrupts. What this does in the narrative of the movement as a whole is identify S – both theme *and metre* – as transgression.

Metrical climax occurs in bars 66–72 (Example 6.7), with a series of 4- and 6-beat patterns which, with added displacement in the bass (D♩x+1), disorient the listener. (Yet again, tonal and metrical processes are comparable – the sequence of parsimonious chords in these bars disturbs the sense of tonal centre somewhat.) This expressive moment within S-space nonetheless seems to relate neither to the key, theme, or metre, of S as it is identified at its onset.

6.4.3 EEC

The EEC occurs in the following bars (Example 6.8), and it also stands as a simultaneous motion of both metre and tonality, both reasserted after disorientation in the previous bars. Yet this reassertion does not seem to be marked as an expressive moment; after the metrical and tonal drama, it seems almost irrelevant, like an afterthought. It is separated from the tonal drama, the metrical drama, and all thematic work, placed under a non-altered and metrically consonant P, with normative texture and dynamic. It seems hard to argue that this moment contains what 'all of the preceding music' has been 'aiming' for[72] (sonata theory's conception of the EEC) in this downplayed cadence. The fact that it is brought about by P-material will also be pertinent later in a comic reading of the movement.

6.4.4 Commonalities between P and S

In both P and S, then, the key expressive moments are created metrically as much as harmonically, and in both cases are divorced from the theme itself.[73] In P, the moment also includes a key tonal process (tonic PAC), but in S the separation is taken even further, such that the EEC is divorced both from the subordinate theme and from the highpoint of the passage.

6.4.5 Transvaluation begins; triple pulse fulfilment; the recapitulatory boundary

Brahms's first movement sonata recapitulations typically repeat much of the expository material identically, but they also typically contain one or two moments of

[72] Hepokoski and Darcy, *Elements of Sonata Theory*, 120.
[73] By 'theme' I mean the pure theme as an intuitively identified agent; being Brahms, the material used to create these expressive moments could of course be traced back as developments of this material.

reinterpretation, often metrical; these can generally be found at the recapitulatory boundary or at the transition between primary and subordinate material. The first type – a reinterpretation at the recapitulatory boundary – occurs here. Further, as explored in Chapters 3 and 5, metrically complex moments, when initiatory, tend in Brahms's music to suggest themselves as the beginning of a process of explication, and this moment is also an example of this: specifically, when two states which are non-adjacent in a metrical space are used, they create the potential – and, it is hypothesised, expectation – for the intervening state. The 4/3 dissonance at the beginning of S, as an MMDH ([(3𝅗𝅥 3) 2 2] and [(3𝅗𝅥 2 2) 3]), does this, suggesting triplet quavers ([(3𝅗𝅥 2) 3 2]) as a possible pulse layer. Brahms grants this, but only gradually through the movement. Triplet quavers do not occur at all in the exposition. They are scattered throughout the development, however, always in direct dissonance with duplet quavers, and always as decorative figuration rather than prime melodic material (Example 6.9).

At the recapitulation boundary, triplet quavers assertively accompany P (Example 6.10). This alteration to the return of P is meaningful; it puts P into direct dissonance with triplet quavers for the first time, and thus a metrical aspect of S is integrated with P, at the same moment that displacement dissonance (seen in the bars preceding) is resolved. This is an example of Brahms moving from one metrical dissonance to another across the recapitulatory boundary – counterpoint – but more importantly, it is marked as a pivotal expressive moment in the movement, thematically (after a thwarted false reprise during the development), tonally (the only tonic cadence where cadential arrival is aligned with the theme onset), and metrically (the resolution of displacement dissonance, and the synthesis of duple and triple factors). An added metrical complexity is created by the ties in the second viola and cello part, creating overlaps of displaced triplet quavers through agogic accents and bowing accents. The combination of P and S material metrically transvalues them to a point of equal ranking, a stage in the larger process which will end with the victory of the transgressive element (the metre of S).

The triplet quavers continue through the restatement of P, disappearing only with the onset of TR. Here, the move out of triplet quavers and back into tonic metre, at bar 148, occurs as a move into a different key and another different metrical dissonance (D𝅗𝅥4-1), withholding metrical stability yet further. Unlike the triplet crotchets in S, these triplet

quavers allow the crotchet tactus to continue in this passage. While their appearance in the development was essentially unmarked, here they rise to a greater prominence.[74]

6.4.6 Close

The trends above – the primary theme as passive and the triplets as a differentiated agent – are encapsulated in the close (Example 6.11), an instance of one of Brahms's 'final twists' following a *rallentissement*-type wind-down, and the final stage in the metrical narrative. The final cadence, again 'downplayed' via a diminuendo, is drawn out by an oscillation across the C-F dyad, which focuses P's characteristic displacement dissonance. The oscillation remains out of phase with downbeats in a repeated syncopation until it is augmented. But even then the final F (bar 221) still awaits metrical resolution to downbeat when the 'final twist' intervenes. Bar 221 also has an uncertain hypermetric identity after the apparent strong and weak hyperbeats of bars 219 and 220.

After the exact (transposed) recapitulation of the subordinate theme area, the coda has not featured triplets at all until these final bars. This temporal distance enhances their resultant contrast to bar 221, also embodied in their upward motion, articulation, tempo, and melodic differentiation from the primary theme by featuring $\hat{3}$ as well as $\hat{7}$–$\hat{8}$ motion where the former cadence approached $\hat{1}$ only from $\hat{2}$ and $\hat{5}$.

The sudden triplet close is thus placed as stability in maximal opposition to a P-related *ralentissement* that exhibits metrical instability at all scales and communicates through various factors an effect of weakness. The initially flawed hierarchy is thus defeated in favour of the transgression, creating a comic narrative.

The above analysis asserts that the key expressive points in the first movement are all either created or accompanied by notable metrical devices, and conversely that what 'should' (either in terms of sonata theory or Brahms's norms) be the key points of expression (cadence and primary theme) are neutralised. Further, when the triple factor has the last word it brings to the forefront a conflict which was initially framed only as a juxtaposition.

The final twist of the first movement acts, perhaps, as a grand signifier. In its joy (maximally contrasted to the previous material) it suggests comedy: topic suggests narrative. A comic narrative fits the movement perfectly, both in terms of moment-by-

[74] The only other alteration in the recapitulation is the blurring of the end of P's compound period (which provided tonic cadence in the exposition, which is here removed) with transition material, around bar 151.

moment discourse (we can reinterpret the interruption of the secondary theme as comical), and in the most comprehensive, abstract sense of Almén's narrative archetype, where comedy is the victory of a transgression against order. The secondary theme becomes the transgression, and metre, representing the theme, becomes a key dimension in the characterisation of the transgression. The same narrative recurs in the second movement, except it is a different dimension (key) of the subordinate theme which will provide the most prominent dimension of the unexpected victory at the close.

Finally, the end of this movement exemplifies the proposed advantage of Almén's theory of narrative as a more fruitful way to read metrical trajectories than metrical dissonance or potential theories of metrical closure. Is metrical dissonance resolved at the close? In some sense it is, since the final two bars present metrical consonance. On the other hand, the lingering indirect grouping dissonance created by the triplet quavers is not resolved; neither is the disjunction of $\hat{1}$ from strong beats in bars 219–221 (or is it? Does the high F at the beginning of bar 223 resolve that previous dissonance? Or is bar 223's high F agentially bound to the triplet flourish?). A narrative perspective transcends these knotty problems and offers a reading of the ending which neither ignores nor solves them.

6.5 Irony

Irony is complex and ambiguous.[75] Like comedy, the quotidian usage of the term – saying one thing and meaning another – does not wholly align with its intellectual meaning, which has had 'multiple competing taxonomies that testify to its inherently slippery nature'.[76] Peter Smith considers that as a basic 'musical-technical manifestation', a simple rubric is that in irony 'the literal meaning appears at odds with, or even in opposition to, the apparent intended meaning';[77] this includes but is not limited to satire. But this represents just one of the many types of irony.[78] Just as irony itself is complex, so ironic

[75] Irony is a topic that has 'spawned an immense literature': Mark Evan Bonds, 'Haydn, Laurence Sterne, and the Origins of Musical Irony', *Journal of the American Musicological Society* 44, no. 1 (1991): 67, n. 23. As general studies Bonds points to Norman Knox, *The Word Irony and its Context, 1500–1755* (Durham, N.C.: Duke University Press, 1961); Douglas D. Muecke, *The Compass of Irony* (London: Methuen, 1969), *Irony* (London: Methuen, 1970), *Irony and the Ironic* (London: Methuen, 1982); Wayne C. Booth, *A Rhetoric of Irony* (Chicago: University of Chicago Press, 1974); Ingrid Strohschneider-Kohrs, *Die romantische Ironie in Theorie und Gestaltung*, 2nd ed. (Tübingen: Max Niemeyer, 1977).

[76] Mark Evan Bonds, 'Irony and Incomprehensibility: Beethoven's "Serioso" String Quartet in F Minor, Op. 95, and the Path to the Late Style', *Journal of the American Musicological Society* 70, no. 2 (2017): 298.

[77] Smith, 'Cadential Content and Cadential Function', 29.

[78] Claire Colebrook, for example, defines six types of irony: 'rhetorical, which says the opposite of what it means; Socratic, which questions received truths; romantic, which distances the author from the work; dramatic, which shows that the hero is blind to the consequences of her actions; existential, or endless irony;

narratives are also. For Almén, an ironic narrative is defined as 'the defeat of an order-imposing hierarchy by a transgression';[79] the listener sides with a primary hierarchy that is ultimately undermined in some way.[80] Ironic narratives typically involve unexpected turns, and ironic signifiers can often emerge only gradually across the course of the piece. Rather than relating just to the basic rhetorical definition of irony as meaning the opposite of what it says, then, irony in Almén's narrative sense widens to encompass almost any type of subversion or denial, and does not require specificity of meaning. Unlike tragedy, though (the defeat of transgression), the subversion in irony acts on an ordered state.

6.5.1 Irony in Brahms

The possibility of irony in music is commonly accepted.[81] Mark Evan Bonds suggests that Haydn was an early pioneer: by calling attention to formal conventions (through their manipulation) and making the artist's disposition perceptible, Haydn created an ironic distance between himself, the work, and the audience.[82] A comparison of Haydn with Brahms resonates on several levels: on the one hand, Heather Platt has argued that the meaning of the older composer to the younger was considerable but has been neglected,[83] while on the other, Brahms's own compositional practice can fit with Bonds's description of Haydn's, just two relevant and recent examples being explorations of Brahms's use of artifice and *Witz*.[84] Rey Longyear was perhaps the first to explore Beethoven, a better-known source of influence upon Brahms, as another early musical user of Romantic irony.[85]

The connection of irony with Brahms himself, as a person, is also common; both in his personality and his music, Brahms has been found to be contradictory, satirical, and unexpected. Perhaps the most famous ironic reading of Brahms's music is Rheinhold

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and postmodern, which questions the reality of structures, often through quotation'. *Irony* (New York: Routledge, 2004), paraphrased in Klein, 'Ironic Narrative, Ironic Reading', 100, n. 1.

[79] Almén, *A Theory of Musical Narrative*, 229.

[80] 'Depending on the emphasis … such a trajectory can gently expose the limitations of a hierarchy, sharply indict it, show it to be ineffectual or meaningless, or completely demolish it.' (Ibid., 169.)

[81] Perhaps the most common association of classical music with irony is in the case of Shostakovich, but other studies read irony into various composers, a recent example being Stephen Zank, *Irony and Sound: The Music of Maurice Ravel* (Rochester: University of Rochester Press, 2009).

[82] Bonds, 'Haydn, Laurence Sterne, and the Origins of Musical Irony'.

[83] Platt, 'Probing the Meaning of Brahms's Allusions to Haydn'.

[84] On artifice, see Rings, 'The Learned Self'. Schlegel's concept of *Witz*, 'the power that allows us to posit connections between markedly contrasting entities', is suggested by Inge van Rij to be the mechanism by which we search for connections between fragments, for coherence within contrast, and she shows how Brahms encouraged this tendency in the way that he constructed and arranged his song collections: see principally Rij, *Brahms's Song Collections*, 20–23. Quote at p.20, from John Daverio, *Nineteenth-Century Music and the German Romantic Ideology* (New York: Schirmer Books, 1993), 72.

[85] Rey M. Longyear, 'Beethoven and Romantic Irony', *The Musical Quarterly* 56, no. 4 (1970): 647–64.

Brinkmann's study of the Second Symphony; although irony is not explicitly explored, Brinkmann's hypothesis that the Symphony expresses melancholy is ironic in all but name.

Ironic readings, however, are ideologically loaded. As Michael Klein points out in a recent study of musical irony, 'I like the idea that Brahms would take an ironic view … I like these ideas because they imply that … Brahms explored a part of the ideological space around narrative that others avoided. But the unspoken ideology of that attraction, I confess as well, is an aesthetic of greatness'.[86]

The relationship between dialectic and irony in Brahms's work could be the topic of another thesis.[87] A comprehensive review of this literature is not appropriate here. But Brahms's own commitment to and recognition of the hidden meanings in his music can be supported at least in one quote from him. In a letter to Max Klinger, about the artist's *Brahms-Fantasy,* a set of 41 visual pieces (drawings, etchings and lithographs) based on songs by Brahms, the composer seems to admit freely the ironic content of his own music: 'I see the music, along with the lovely words – and then quite imperceptibly your wonderful drawings carry me further; looking at them, it seems as if the music resounded into the infinite and expressed all I could have said, more clearly than the music can but nevertheless *just as enigmatically and portentously*. At times I could envy you, that you with your pencil can be clearer; *at other times I feel pleased that I don't need to be so*'.[88]

With that, the analysis continues by examining some late Brahms songs, to show some examples of both metrical and non-metrical irony, and then attempts to link these into a reading of irony in the Op. 100 violin sonata.

6.5.2 'An die Stolze'. Op. 107/i – metrical irony

Irony can be found in several of Brahms's late songs. The most common musical manifestation, perhaps, is a song in a major key but with a negative subject.[89] One such song, 'An die Stolze', Op. 107/i, can also be used as an example of *metre* helping to project irony. The close of each stanza features a metrical device that shifts the barline in a way that only the performer is aware of: unexpected 3/4 reverse hemiolas occur as the

[86] Klein, 'Ironic Narrative, Ironic Reading', 133.
[87] Joseph C. Flay, 'The Dialectic of Irony and the Irony of Dialectic', *The Owl of Minerva* 25, no. 2 (1994): 209–14.
[88] Johannes Brahms to Max Klinger, 29 December 1893. Emphasis added. Styra Avins, *Johannes Brahms: Life and Letters* (Oxford: Oxford University Press, 1997), 710.
[89] This is not to say that such a situation is always ironic; in some situations it can represent a sorrow-to-comfort-type narrative.

voice sings the final word of each of the two stanzas (bars 28–30 [Example 6.12] and 58–60), shifting the perceived barline by half a bar in bar 29. When the second stanza starts half a bar earlier than expected this creates a slight jolt, in keeping with the plaintive nature of the text. The metrical disturbance at the end of each stanza creates irony by destabilising the seeming placidity of the setting; a destabilising twist suggests that the warm setting is not what it seems, and by doing so outside the stanza, and through a non-diagetic agent (the piano), it creates in two different ways the distance crucial to irony.

At the end the same shift is an effect that perhaps only the pianist realises, as there is no following stanza.[90] The metrical ending is at odds with the warm A major tonality, minimally disturbed by a piquant French sixth built on IV, and the melody ending inconclusively on $\hat{5}$, communicating a hint of the doubt that the narrator feels (whether their proud lover 'has a heart'). Furthermore, this doubt exists only in the piano part, perhaps suggesting pain which is felt only by some parties.

Irony and twists recur throughout Op. 107; 'An die Stolze' therefore acts as an interpretative signifier for the set. In the second song, the first stanza, in the minor mode, describes a cruel girl who throws a salamander into a fire; the second stanza turns to the parallel major to reveal that the salamander enjoys the fire just as the narrator enjoys 'hot love'. In the third, a perky birdsong topic hides a question about a female swallow being a recent bride to an older male. In the fourth, a naïve greeting to a catkin turns into a nostalgic remembrance of an old lover. Finally, the fifth song is the only explicitly sorrowful song of the set, as a spinning girl weeps. This final song reverses the usual direction of irony in the first stanzas; rather than a positive outlook hiding a negative message, the minor mode here is initially in opposition to the celebration of the other, betrothed spinning girls, and only later becomes apparent as signifying the sorrow of the narrator. On a larger scale, the song also reverses the direction of the usual sorrow-to-comfort trajectory, both within the song and across the set.

6.5.3 An ironic metrical narrative: Op. 105/i, 'Wie Melodien'

The metrical twist at the end of 'An die Stolze' has a low degree of ironic narrativity. Another late song, 'Wie Melodien zieht es mir', presents a more complex example of

[90] Brahms only sets the first two stanzas of the original four. The content of the third becomes more particular, specifying the object as a woman, and the fourth contains an appeal ('Ach denke, denke, was du tust'), and finally a wish for good favour and to die ('So laß' mich die Gunst nur empfangen / Und wolle doch mit mir, / Daß ich stracks sterbe hier.').

irony, but one which fits better with Almén's definition of such a narrative. The following analysis of it also explores further the idea of a local metrical rule. Example 6.14 presents a hypermetric reading of the opening bars of 'Wie Melodien'. This reading follows basic metrical preference rules: tonic harmony weighs more than non-tonic harmony, and root position sonorities more than inversions. When a bar is an 'echo' of a previous bar, the preference is for the first bar to be strong.

These rules can be applied consistently through the first eight bars. A corollary of applying them is that the bars with dotted rhythms in the voice consistently achieve a weak value. Applying *this* rule in bars 9–11, along with harmony and echo rules, suggests bar 11 as a second weak bar, a possibility which continues to fit with the other rules in the succeeding bars. Another feature of note is that the upward octave leap in the accompaniment is consistently found between the second and third quavers of the bar, acquiring a status of 'afterbeat pattern', or a retrospective indicator of downbeat status – a 'soft downbeat', but never a hypermetric identity, being used on both hyperupbeats and hyperdownbeats.[91]

The second stanza is hypermetrically identical to the first, with another expansion in bars 22–24. In the following interlude (bars 25–27) there is one more expansion, signalled by an expanded D minor harmony, and the lack of 'soft downbeat' quavers in the third hyperbeat (Example 6.15). The succeeding bars unfold unambiguously as the beginning of another stanza.

Thus far, while the song has not been hypermetrically regular, it has been consistent, and not ambiguous. Certain musical devices – the soft downbeat/afterbeat pattern, the dotted motive, and the minim thirds – have thus acquired metrical and/or hypermetrical values without internal contradictions.

These values are then exploited by Brahms in the third stanza, and it is this that creates the ironic metrical narrative. In bars 34–35, the soft downbeat quavers are used in fragmentation. Since the upward quavers suggest a downbeat the quaver *before* the first, they have a retrospective metrical effect, and their suggested downbeat is displaced against the bass notes, creating a fairly complex compression effect.

[91] 'Afterbeat pattern' is Rothstein's term (William Rothstein, *Phrase Rhythm in Tonal Music* (New York: Longman, 1989), 29–30.), used by Temperley: 'Rothstein's "afterbeat pattern" is not exactly equivalent to my "end-accented group," but in practice they are often the same'. (Temperley, 'End-Accented Phrases', 126.)

Bars 38–42, though, present no candidates for hyperdownbeat that do not break one or more of these rules. In bar 38, a root-position harmony suggests a possible strong beat, but the dotted motive and the minim thirds are also there, together for the first time. If one takes the dotted motive to suggest a weak beat, then 39 is suggested as a strong beat. This is contradicted by the thirds which continue into 39, and the continuation of B♭ as bass. The minim-crotchet vocal rhythm in bar 40 has previously always been on a strong hyperbeat, but this has always been accompanied by a relatively stable harmony which arrives on the downbeat, unlike here. Bar 41 presents a downward melodic figure unheard so far, giving little hint as to its hypermetric identity, and bar 42 initiates the cadential 6-4, which could be either a weak or a strong beat. The expanded word-setting also disturbs hypermetre, suggesting expansion towards a hyperdownbeat on bar 43.

In total, then, bars 38–42 present a stretch of five bars in which the 'rules' established for hypermetric interpretation for this song, previously consistent with each other, break down. While no listener is likely to interpret five weak hyperbeats in a row, any interpretation can be touched with doubt, as it will break a previously consistent rule. It is this rule-breaking – the defeat of order – that can be invoked to lead to an ironic reading, since irony 'organizes our thinking around contradictions'.[92] A further twist is that several of these rules themselves allowed distortions of norms: they were transgressions which became local orders. Of the different types of irony, this might be classified as an instance of Socratic irony, which 'questions received truths', or perhaps even postmodern irony, 'which questions the reality of structures, often through quotation'.[93]

One more metrical episode is found in the closing bars. Yet again, fragmentation of the soft downbeat motive occurs, and again with a displaced bassline. The downbeat of the penultimate bar is absent, even in 'soft form', so only retrospectively can a listener interpret the reverse hemiola which closes the song, with the second half of the reverse hemiola – the second 3/2 'bar' – accented through the harmony change to D major, the last soft downbeat motive, and an agogic accent in the bassline. The sense of trying to grab a downbeat once it has passed echoes beautifully the subject matter of the text, an ambiguous paean to 'it' – possibly love or song – which, 'when the word comes and catches it / and leads it before my eyes / It turns pale like a grey mist / and disappears like

[92] Klein, 'Ironic Narrative, Ironic Reading', 105.
[93] Ibid., 100, n. 1.

a breath'.[94] But the reverse hemiola also echoes the metrical irony of the previous bars. A reading of duple regularity from bar 36 – a regularisation of destabilisation – would fall down here as well.

Elizabet von Herzogenberg recognised the subversion of tonal closure in these final bars: '… the final cadence will not seem right. I have played it over and over until I got used to it and *felt* it as A major, but at first I never could work myself up to it. The A always seemed more like the dominant of D. Have you any more songs in your drawer, I wonder?'[95] She therefore recognised the sense of non-maximal closure, which extends to the metrical domain, and which Brahms uses to create anticipation for the following songs in the collection.

'Wie Melodien' presents a metrical narrative in which subversion is itself ultimately subverted, creating irony. Separately, it illustrates a concept of metrical irony close to Smith's 'musical-technical manifestation in which the literal meaning appears at odds with, or even in opposition to, the apparent intended meaning'; thus, in Smith's investigation, cadential progressions can be called ironic when they 'initiate rather than close a formal section', or 'create harmonic fluctuation and ambiguity rather than clarity of tonic definition'.[96] This concept of metrical irony can thus be found where a normative or local metrical rule is subverted to create metrical ambiguity.

6.5.4 Afterbeats and Op. 100/ii

Afterbeat patterns occur in several late works by Brahms, including Opp. 100/ii, 105/i, 107/i and 120/2/iii. Their use in 'Wie Melodien', though not the primary focus of the previous analysis, can be compared to that in the second movement of the Violin Sonata in A major, Op. 100, which can also be read as an ironic metrical narrative.

The concept of afterbeat pattern is that of a type of metrical orientation; afterbeat patterns perform a strong continuation function to a heard measure, such that the initiation (the missing downbeat) is inferred by the listener. Here William Caplin's notion of function is being appropriated to metrical schema. Certain accentual patterns, pitch patterns, and chord types, are typically associated with certain points in metrical hierarchies. A $\hat{5}$–$\hat{6}$–$\hat{7}$–$\hat{8}$

[94] 'Doch kommt das Wort und faßt es / Und führt es vor das Aug', / Wie Nebelgrau erblaßt es / Und schwindet wie ein Hauch'.
[95] Max Kalbeck, ed., *Johannes Brahms: The Herzogenberg Correspondence* (London: John Murray, 1909), 291.. Quoted in Rij, *Brahms's Song Collections*, 133.
[96] Smith, 'Cadential Content and Cadential Function', 29.

figure, for instance, typically performs an upbeat-downbeat function.[97] But such afterbeat patterns represent a slightly more subtle idea than 'end-weighted' patterns, or what John Paul Ito dubs the '2-3-4-1' schema (each number representing a beat),[98] because an afterbeat pattern need not lead directly to a downbeat on the hierarchical level of importance that is missing; it may be a '2-3-4-*5*-6-7-8' pattern, or a '2-3-*4*-5-6' pattern; the point of the concept of afterbeat is that the '1' is missing, not that the pattern leads to a downbeat; the strongest beat is *before* the pattern, it *is* missing.

Two intertextual allusions in the second movement act as possible signifiers for irony, and a moment of metrical complexity at the end creates a five-bar structure in a way that is comparable to the metrical complexity in 'Wie Melodien'.

The allusion which is the first signifier for irony refers outside Brahms's oeuvre. Heinrich von Herzogenberg noted the resemblance of the *scherzando* sections to the second movement of Grieg's Violin Sonata in G major, Op. 13 (Example 6.17 and Example 6.18), which Brahms and Rudolf von Beckerath had played in the sonata's first summer of drafting, 1883, and which, as Margaret Notley notes, shares metre, mode, harmony based on chords a third apart, the flattened seventh, and pitch contour. 'At first, I didn't really like it that this lovely F major countenance brought along a groom, a cheerfully melancholy Norwegian',[99] Herzogenberg remarked.[100] While this has nothing to do with metrical complexity, it is yet another example of irony within Op. 100, as a cheerful surface connotes melancholy.[101]

The second allusion is a connection with 'Klage', Op. 105/iii: both songs are in 3/4, and Van Rij notes that both oscillate between F major and D minor.[102] The plausibility of the connection is strengthened by the contemporaneous composition, the established connection of the sonata with other songs in Op. 105, and the specificity of key connections. Metrically, 'Klage' contains an ingenious hypermetric fold: The three stanzas

[97] Ito uses this idea, although not through Caplin, to construct his concept of metrical orientation; he founds it in cognitive-linguistic paradigms, but mentions that Berry (1976) also discusses metre in this way. Ito, 'Hypermetrical Schemas, Metrical Orientation, and Cognitive-Linguistic Paradigms'.
[98] Ibid., 71.
[99] *Brahms: Briefwechsel* 2:147; trans. Margaret Notley, 'Discourse and Allusion: The Chamber Music of Brahms', in *Nineteenth-Century Chamber Music*, ed. Stephen E. Hefling (New York: Schirmer, 1998), 263. For evidence of the summer's playing and of the sonata's drafting, see Notley, *Lateness and Brahms*, 43.
[100] A glance through Grieg's sonata also demonstrates by contrast the consistency of Brahms's writing in terms of pulse flow, notwithstanding the pulse layer issues in this movement.
[101] Ennis also notes the 'unashamed' borrowing. Ennis, 'Recomposition in the Music of Johannes Brahms', 162, n. 40.
[102] Rij, *Brahms's Song Collections*, 136.

are exactly repeated, but the stanza and closing section are seventeen bars in total, so there must be a hypermetric irregularity somewhere. Duple hypermetre is clear in the body of the stanza, so the irregularity must occur in the closing section, but there are no unequivocal candidates. Bar 9 is the last consistent hyperdownbeat, suggesting bar 11 as strong. Such an interpretation continues being plausible in terms of rhythmic grouping through the next few bars, but harmony starts to undermine it in terms of metric strength through harmonic inversions; this is the factor which eventually shifts the hypermetre, as a root-position tonic arrives at bar 16 and is echoed in bar 17, in the correct alignment for the repeat. This reading retrospectively aligns with the D minor arrival at bar 12, which at that point was interpreted as a weak hyperbeat.[103]

As in the middle movement of Op. 88, the second movement of Op. 100 is a fusion of slow and scherzo-type. It is a six-part alternation where the last (scherzo-type) episode is very brief; in narrative terms this alone could simply be read as a comic or ironic twist. Each of the four central parts begins in either D major or minor, with the outer two in F.

As in 'Wie Melodien', an afterbeat pattern is a significant metrical motive, as seen first in the opening bars (Example 6.19). This is involved in a moment of metrical complexity in the third and final *Andante* section. It is used in overlapped formation to create a reverse hemiola (bars 150–152); the piano semiquaver melody is also compressed into a reverse hemiola in bars 152–154; these two larger formations are themselves overlapped to create a remarkable five-bar structure (Example 6.20).

Thus the key moment of metrical complexity in this movement, which is also the expressive highpoint, is a five-bar phrase. This, in fact, recalls the metrical transgression of the first movement, where five-bar phrases are the most significant element of metrical instability. In the second movement, the complex five-bar phrase is followed by another phrase of the same length, and then a two-bar codetta before the final *Vivace* twist. This kind of move occurs in the first movement as well; the regularisation of the primary theme into four-bar structures occurs late in the movement, in the coda, but in the theme's final appearance it has a five-bar length again. In both movements, then, the five-bar structure returns just before a turning away.

[103] A similar device is also found in Op. 97/vi, 'Trennung' (published as the following song to 'Komm bald'), which also deals with the sad subject of heartbreak within a major setting.

What is being ironised here is the afterbeat function of the afterbeat motive; through repeated use at different points in the bar, it ceases to have a function of indicating downbeat, becoming rather another way of effacing metre and creating suspension towards a *future* downbeat. There are further ironic hints in the closing bars: in bars 155 and 156 the inversion of the motive *is* placed on strong beats, though with pitch and rhythmic content such that they emphasise second and fourth quavers; in bars 157 and 158 the upward leap is found in imitation between the piano and violin parts, in both weak-strong and strong-weak orientations; finally, in the closing bars, it is found in augmented form and displaced by a crotchet.

The slow sections of this movement, and 'Wie Melodien', thus outline an ironic metrical narrative in that the originally ordered way in which a 'transgressive' metrical motive creates metrical disturbance is itself disturbed; the order, already fragile, is defeated, and the motive in both cases ends without a clear metrical role. In Almén's words, they are ironic narratives because they are 'primarily destabilizing in character; that is, they are constructive mainly to the degree that they knock down that which is restrictive'.[104] In the slow movement, this is part of a stratified narrative in which the scherzo material will bring closure, itself within the stratified narrative of the whole work, thus following a parallel strategy to that noted by Wu in Op. 99, where a final twist does not bring normalisation, and so calls forth the following movements. In 'Wie Melodien', the song performs its function as leader within a song collection, acting as a grand signifier for the irony of the songs that will follow. In each of the three examples (Opp. 105/1, 100/ii and 99/i), the metrical devices create a sense of the work being a fragment, a vital part of the ironic.[105]

6.5.5 Multiple perspectives: Op. 100/i

This final section on irony focuses on a different facet of the sense of irony, that of multiple perspectives. As Bonds has explored, one of the ways in which irony was understood around the turn of the century (by writers such as Jean Paul, August Wilhelm Schlegel, Friedrich Schlegel, Ludwig Tieck and Adam Müller),[106] rather than as the

[104] Almén, *A Theory of Musical Narrative*, 176.
[105] Klein, 'Ironic Narrative, Ironic Reading', 105.
[106] Works by all these writers apart from Adam Müller were in Brahms's library, and Novalis and Jean Paul are particularly well-represented in Brahms's *Des jungen Kresislers Schatzkästlein*, his collection of literary sayings. Goethe, another great ironist, is also represented amply in the library and is the most-set poet in Brahms's song oeuvre. See Hoffman, *Die Bibliothek von Johannes Brahms*; Johannes Brahms, *Des Jungen Kreislers Schatzkästlein: Ausspruche von Dichtern, Philosophern Und Künstlern*, ed. Carl Krebs (Berlin: Deutsche Brahms-Gesellschaft, 1909); Agnes Eisenberger, *The Brahms Notebooks: The Little Treasure*

capacity to negate or subvert, was as an epistemological instrument which 'privileged neither the positive nor the negative but *insisted on the framework of both*.' Thus Shakespeare's irony is manifested in his 'tendency to juxtapose the tragic and the comic'[107] (a musical parallel being Schubert's 'tightened bow', and Brahms's Op. 100/ii as analysed above); this epistemological irony 'moves beyond the limitations of linear, deductive reasoning and beyond the premise that any one perspective might be privileged, much less "correct"'.[108] Irony in this sense is similar to ambiguity, in that through encouraging different perspectives, ambiguity can hold the potential to suggest one perspective where the interpreted meaning is ironic.

It is with this definition, of irony through the encouragement of the consideration of alternative perspectives, that a sense of irony can be seen in the metrical content of the first movement of Op. 100. The five-bar construction of the primary theme here (Example 6.21) might appear to be unproblematically Brahmsian; five-bar phrases are found in many of his works. What makes Brahms's use of the five-bar phrase different here, however, is how blunt it is; the fifth bar simply repeats the fourth, with violin joining in. In other works Brahms weaves the fifth bar into the centre of the phrase, as in the Op. 56 Haydn Variations (Example 6.22), or creates a sense of augmented bars, as in Op. 87/iv (a reverse hemiola; Example 6.23), or a more complex augmentation, as in Op. 118/iii (Example 6.24). In the course of this movement Brahms does indeed explore different metrical and hypermetrical interpretations of the 'fifth-bar problem', for example through hemiolas earlier in the phrase (bars 13–14) or overlapping hemiolas, in bars 18–20. But in the first manifestations, the five-bar phrase has none of that metrical ingenuity. The problem of hypermetric interpretation that it poses is thus a particular one; the sense of 'retake' creates the questioning of *why it is there* rather than *how to count it*. In an otherwise unquestionably sunny discourse, this creates the questioning of metaperspective, and this is what invokes the sense of irony. And, as noted above, the issue resurfaces at the end of the sonata movement, when the five-bar structure returns after what had appeared to be a late-stage regularisation of the theme.[109]

Chest of the Young Kreisler (New York: Pendragon, 2003); Virginia Hancock, 'Review: *The Brahms Notebooks: The Little Treasure Chest of the Young Kreisler. Quotations from Poets, Philosophers, and Artists Gathered by Johannes Brahms*', *Music and Letters* 86, no. 1 (2005): 149.

[107] Bonds, 'Irony and Incomprehensibility', 303.

[108] Ibid., 301–2. Emphasis added.

[109] McClelland notes the regularisation, but does not consider the final appearance to disrupt this, denying that bar 267 functions as a fifth bar by saying that it 'clearly serves as a written-out fermata: both piano and violin sustain throughout', and thus does not disturb what he interprets as the previous stabilisation of the

While this interpretation of Op. 100/i as ironic seems tenuous, it can be joined by intertextual factors. As well as preceding the movement investigated above, the first movement uses the melody of the elusive song 'Wie Melodien' as the thematic material of the subordinate material. While this song reference is commonly mentioned, it is less often acknowledged that the primary theme quotes another Brahms song: 'Komm bald', Op. 97/v (Example 6.25). 'Komm bald' is set to a text by Klaus Groth, who also wrote that of 'Wie Melodien'.[110] (The opening motive of 'Komm bald' is changed slightly in Op. 100/i to allude thirdly to Wagner's *Die Meistersinger*.[111]) 'Komm bald' creates no such five-bar structures, no added bars; to one listening to the sonata who also knows the song, the stuttering of the former creates just the same questioning of interpretation, if not intensified. Like 'An die Stolze', though, it is another song which pairs a tranquil major setting with a text which has melancholic undertones, capturing 'all the wistfulness of the lover longing for the return of the one who means more to him than everyone else'.[112]

Where Brahms *does* use such an additive construction, however, is in the fifth and final song of the Op. 105 collection, 'Verrat' (Example 6.26), in which a man sits in wait to murder his unfaithful partner's other lover. Here these repetitions, additions tacked on to the ends of phrases, create foreboding, the tension of repetition.

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five bar phrase. But a true fermata, as Danuta Mirka discusses, momentarily disturbs and suspends the listener's projection of the metrical grid. There is no reason to suppose that this happens in bar 267: both the features of the bar itself (phenomenal attacks on three out of six pulse locations, and a change in chordal inversion), and the following material (which can sometimes cause a retrospective reinterpretation after a fermata), support its interpretation as part of a five-bar structure in an unbroken metrical grid. Its hypermetric identity is another matter – it has the ambiguity of bar 5, but created with different accent types. But this is nothing new in the first movement – the hypermetric identities of the fifth bars have been unclear throughout; indeed, the familiarity of this interpretative problem to the listener by this point in the movement only adds to the probability that a listener will hear it as a fifth bar rather than as a fermata. McClelland, 'Brahms and the Principle of Destabilised Beginnings', 39; Mirka, *Metric Manipulations*. Mirka discusses general pauses and fermatas on pp. 101–122.

[110] Klaus Groth was a close and long-term friend of Brahms; their friendship is often forgotten behind the more famous names of Clara Schumann and Elizabet von Herzogenberg. For a full account in English, see Peter Russell, *Johannes Brahms and Klaus Groth: The Biography of a Friendship* (Aldershot: Ashgate, 2006). All Brahms's settings of Groth texts are notable.

[111] Van Rij cites this as one of a number of 'less obvious' connections some have made to the sonata movement, saying that it is 'sometimes thought to derive' from 'Komm bald' (p. 232–233, notes 62 and 63). However none of the other songs which she claims are less obviously connected (Opp. 71/5, 63/5, 106/4) share key, poet, and time signature, as 'Komm bald' does, or have such a close thematic similarity. On the *Meistersinger* allusion, see Notley, *Lateness and Brahms*, 42. Brahms had begun the sonata during the summer of 1883; Wagner had died in February of that year. In that summer Brahms also composed the Third Symphony, which refers to *Tannhäuser;* see Knapp, 'Utopian Agendas: Variation, Allusion, and Referential Meaning in Brahms's Symphonies'; David Brodbeck, 'Brahms, the Third Symphony, and the New German School', in *Brahms and His World*, ed. Walter Frisch (Princeton: Princeton University Press, 1990), 65–80.

[112] Russell, *Johannes Brahms and Klaus Groth*, 124.

The sonata, then – remember the possible allusions in the second movement as well – despite its sunny nature, sits in a web of works with elusive, ironic, or explicitly negative meanings, and its metrical connections to these enhance the questioning nature of this last sense of what the metrically ironic might mean. Just as Brahms himself was known often to say the exact opposite of what he really meant, so too can his most positive works suggest hidden depths.

6.5.6 Adorno, the Lied, humanity, and splendid resignation

Adorno offers yet another perspective on how to interpret such issues in Brahms's music. In one of the philosopher's occasional references to Brahms, he explores the problem of closure in final movements, citing 100/iii, Opp. 78/iii, and 101/iv.[113] He claims that these are examples of movements in which 'Brahms showed a splendid *resignation*: in principle, his best final movements go back to the *Lied*, as if music were returning to the land of childhood'.[114] (Resignation, but a of a more straightforwardly negative kind, characterises other late Brahms.[115])

Nicole Grimes has analysed the possible reasons behind this potentially confusing grouping (two of the movements are rondos, a different two are based on song, and a different two again begin in the minor mode). Her analysis is that in each of these movements the presentation of formal functions 'continually manipulates the form by deferring and destabilizing cadential structures, thereby frustrating the expectations put in place by earlier material'.[116] Drawing on some of the same analyses quoted here (McClelland and Smith), she shows how 'unfulfilled expectations and unresolved concerns linger in these finales, often confronting issues from earlier movements, so that a sense of grappling pervades each of them.' This is a standard Brahms-puzzle interpretation, but Grimes then goes further: 'if there is a questioning quality to these final movements, in each instance, Brahms seems to accept and be reconciled to the sense of loss or fate. Perhaps this is what Adorno referred

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[113] For a survey of Adorno's thoughts on Brahms, a translation of his short essay, and an exploration of the meaning of this quote, see Nicole Grimes, 'The Sense of an Ending: Adorno, Brahms and Music's Return to the Land of Childhood', in *Irish Musical Studies, Vol. 11*, ed. Gareth Cox and Julian Horton (Dublin: Four Courts Press, 2014), 106–26.

[114] Theodor W. Adorno, *Beethoven: The Philosophy of Music*, ed. Rolf Tiedemann, trans. Edmund Jephcott (Stanford: Stanford University Press, 1998), 74. As quoted in Grimes, 'The sense of an ending', 111.

[115] Margaret Notley notes that the ambiguity between B minor and D major in Op. 115 is one of a number of features that communicate resignation ('Discourse and Allusion', 274). The concept of resignation has other resonances: Max Reger wrote a piano piece, *Resignation*, in memory of Brahms, explored by Frisch ('The Brahms Fog') and Böggemann ('Being (like) Brahms', in *Brahms in the Home and the Concert Hall: Between Private and Public Performance*, ed. Hamilton and Loges (Cambridge: Cambridge University Press, 2014) 327–328).

[116] Grimes, 'The Sense of an Ending', 113.

to as Brahms' "splendid *resignation*".'[117] She also notes the possible concurrence of this with James Webster's view of Brahms's 'underlying ambivalence' towards the *ad astra per aspera* ending (of which Adorno was also disdainful), in favour of 'a heightened consciousness of one's humanity'.[118] Yet she questions Adorno's transplantation of his own worldview entirely onto Brahms's aesthetic; rather than cultural pessimism, despondency and a 'melancholy wish to escape this world',[119] Brahms, she argues, was more given to 'a Sophoclean acceptance of the suffering and conflict of humanity',[120] finding consolation *in harshness*. For another, contemporary Marxist perspective, Grimes draws attention to Ernst Bloch's reading of the *Requiem* as containing 'hope that remains hopeful, not only, but especially in the absence of fulfilment'.[121]

As Grimes puts it, 'where childhood is recalled, yet not recovered, there is a gradual realization for composer and listener alike that joy resides in that very recollection'.[122] (Bloch's philosophy is also touched on by Brinkmann, who explores his notion of the 'melancholy of fulfillment' as the 'secret keyword of the age'.[123]) Something similar can be seen to happen in "In der Fremde", the early song touched on above; Michael Baker considers that 'The end of this song is met with the recognition that the homeland has indeed been lost, or at least transformed into a foreign land', but, significantly, this transformation is signified by the tierce de Picardie, signalling a positive sense of resignation.[124] More abstractly, the 'grappling' without 'ad astra per aspera' leads to non-maximal resolution, the kind of endings without closure the thesis is trying to suggest are metrically frequent.

Roger Moseley reads the same thing in the first movement close of the revised Op. 8 Piano Trio: 'Rather than aiming at a synthesis, as did the juxtaposition of first and second subjects toward the end of the original first movement, their merging seems only to conjure up what once might have been'.[13] Adorno, Grimes and Moseley propose that Brahms felt true joy could only be found through pain; this is supported by his view of Schumann's Second Symphony (Brahms's favourite of the four): 'Such an Adagio only a

[117] Ibid., 120.
[118] Ibid.
[119] Ibid.
[120] Ibid., 121.
[121] Benjamin M Korstvedt, *Listening for Utopia in Ernst Bloch's Musical Philosophy* (Cambridge: Cambridge University Press, 2010), 198.
[122] Grimes, 'The Sense of an Ending', 123.
[123] Brinkmann, *Late Idyll*, 132.
[124] Baker, 'Transformation vs. Prolongation in Brahms's "In Der Fremde"', 81.

German can compose for only his deeply serious eye can still look forth full of love amidst great suffering'.[125]

Finally, such a perspective can add a nuance to the interpretation of Brahms's own Second Symphony. Brahms's famous letter to Lachner about the symphony says that his Op. 74 motet, *Warum ist das Licht gegeben*, 'casts the necessary shadow on the serene symphony'.[126] Where Brinkmann interprets this as essentially permitting a melancholy reading of the whole symphony, an alternative reading could be that the shadow is only 'necessary' in that true serenity should and must be won through suffering; this concords with the allusive quote of Op. 71/i at bar 502–5 of Op. 73/i.[127] (This allusion is as strong as that of the closing melody of 100/i to the close of 'An die Stolze'.)

6.6 Conclusion

The difficulty of theorising metrical closure lies in an uneasy relationship with the strength of those analytical approaches to rhythm and metre that recognise the ability to create tension, resolution, energy and propellant motion. While sidestepping the problem somewhat, a narrative approach to metre nevertheless has individual strengths: it allows for a variety of outcomes which collect into families (the archetypes) but do not become Procrustean templates; it can emerge from the restriction of analogies to tonal considerations; and it makes the analyst's role explicit, seeing narrative ascription as reading and relieving the burden of authority. The readings proposed here all stimulate thinking about possible alternative strategies to unity or return within the metrical dimension, and suggest that Brahms may have been more invested in these kinds of strategies than previously considered.

The latter part of the chapter has focused on irony, attempting to apply more abstract, philosophical ideas of irony to metre's expressive effect; this is not irony in the superficial sense of 'meaning the opposite', but rather, perhaps, trying to probe that ability of Brahms's music to create a sense of 'other', whether a Schubertian 'tightened bow', an Adornian 'splendid resignation', climax frustration through afterbeat manipulation, or the breakdown of local hypermetric rules.

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[125] Bozarth, in Botstein (ed.), *The Compleat Brahms*, 129.
[126] Brinkmann, *Late Idyll,* 128.
[127] The quote of Op. 71/i is discussed by Brinkmann on pp. 122–123. in his working copy of the score of Op. 73, Brahms inscribed 'Es liebt sich so lieblich im Lenze' under the woodwinds' altered statement of the main theme in bars 502–5. The song is to a text by Heine which has a negative twist; a maiden weaving wreaths for her future love eventually weeps and throws them in the river. Again, the works connected by allusion are in the same key.

Chapter 7 Directional metre

7.1 Introduction

This chapter proposes and explores the concept of *directional metre* in Brahms's music. Directional metre is a metrical analogue to the concept of directional tonality, where a work has different initial and final (tonal) tonics. Being a more established concept in theoretical literature, the chapter approaches the concept of directional metre through that of directional tonality. Yet directional metre, like directional tonality, is a problematic concept, and application of the term itself is exploratory. The chapter proposes that the possible expressive readings of directional tonality (and thus directional metre) are limited. Works by Brahms are identified that conclude in a different time signature than that in which they begin, and this prompts examination of a number of case studies to show how metrical strategies might manifest as expressive and narrative trajectories in each of the possible arrangements of different metres.

7.1.1 Analogy and practice

As explored in the previous chapters, both analogical pitch-metre thinking and Brahms's actual practice suggest that a certain metre typically gains the status of tonic within a work.[1] Furthermore, Brahms typically takes significant steps to establish this tonic as the centre of a balanced metrical space. But if the concept of tonic metre is salient, then the conclusion of a work in a different metre than its tonic represents a challenging situation.[2] If listeners feel a sense of tonic metre, what expressive or aesthetic effect does the transformation of this entail? What might Brahms's motivations be for such scenarios? Do they represent the expression of an aesthetic he was unable to articulate in the pitch dimension? Or do they simply challenge the notion of tonic metre? The consideration of these instances allows an oeuvre-wide consideration (from Op. 1 to Op. 120) of the possible expressive effects of and motivations for such a scenario.

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[1] Krebs calls this the 'primary metrical consonance' or 'primary metrical layer'; though he does not explore the concept of tonic metre in depth, the concept of some kind of background 'governing' entity analogous to tonic, to which all metrical activity in a piece is related, is confirmed by his remarks on pages 82 and 83. David Lewin and Scott Murphy are explicit in their use of the term tonic; Lewin, 'On Harmony and Meter in Brahms's Op. 76, No. 8'; Murphy, 'On Metre in the Rondo of Brahms's Op. 25'.

[2] Brahms writes very few slow introductions, another possible case where a work would end in a different metre to that in which it began; I believe the only examples to be Opp. 34/iv, 68/i, and 68/iv. Of these examples, only the introduction to the last movement of Op. 34 is in a different notated metre to the body of the movement. In both movements of Op. 68 the body of the movement continues in the same notated metre, with a designated tempo change. However it is interesting that both of the last movements – of Opp. 34 and 68 – are also instances of directional metre, notwithstanding the slow introduction.

7.1.2 The repercussions of metrical tonicity

Despite the quantity of work on the concept of tonic metre in Brahms, no writers acknowledge the aesthetic issues involved in directional metre. Lewin, whose idea it was to define tonic metres by some of the same logic as that used to define tonic keys, does not consider any movement-scale or work-scale trajectories of tonicity.[3] Murphy's extensive consideration of metric tonicity, both specifically in relation to Brahms's Op. 25 Rondo and generally across Brahms's oeuvre, does not consider the possibility of changing or challenging tonics (despite mentioning Op. 88/iii, an example of directional metre, as a distinctive example of metrical tonic-centrality).[4] Cohn's interpretation of 'Von ewiger Liebe' involves him noting that the song finishes in a non-tonic (or rather, metrically dissonant) state, but he only comments on the expressive implications of this within the song, not on the larger aesthetic implications of a loss of tonic stability within an analogical consideration of pitch and metre.[5]

McClelland is the only author who acknowledges the potential significance of directional metre, in his investigation of Brahms's scherzo-type movements:

> As I have pointed out on several occasions, none of Brahms's scherzo-type movements begin and end with different pitch centers or conclude with a non-tonic harmony, but a few movements end either in a different meter or with incomplete resolution of metric dissonance. Finding ways to reduce finality without denying tonal closure became important to Brahms's forging of multi-movement works, especially in the second half of his output when individual movements tend to decrease slightly in length. One should not lose sight of the stylistic distance traversed from Haydn, Mozart, and Beethoven to Brahms: ending a scherzo-type movement in a different meter than its initial one is a major development – it is definitely more common than directional tonality but not inherently less remarkable.[6]

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[3] Lewin, 'On Harmony and Meter in Brahms's Op. 76, No. 8'.

[4] This distinctiveness is found in the fact that the lowest level the triple factor reaches (quaver) is four times lower than its level (minim) in the rhetorical tonic metre (which Murphy identifies as 3/2), a status it shares with Op. 120/1/i and 122/x, rather than the norm in which logical tonics are identified by the use of triple factors at one level either side.

[5] For an illuminating and substantial analysis of the song, including of tonal and phrasal structure and how the latter at the ending may be seen to grow out of certain of the song's earlier distinctive irregularities, see Jonathan Dunsby, 'A Love Song: Brahms's "Von Ewiger Liebe"', in *Making Words Sing* (Cambridge: Cambridge University Press, 2004), 33–56.

[6] McClelland, *Brahms and the Scherzo*, 296.

Yet in a specific case study McClelland still capitulates to the ideology of unification. His discussion of the scherzo of Op. 34, an example of a movement which ends in a different time signature than that in which it begins, notes the 'significant aspect' of the juxtaposition of 2/4 and 6/8 metres in the movement. He goes on to consider the issue of closure in the (6/8) codetta, his view being that 'the codetta provides thematic integration and breaks down the oppositional relationship that had existed between the 2/4 and 6/8 elements'.[7] However, he does not explicitly address the issue that a codetta in a non-tonic metre might limit, or suggest the erosion of, closure.

Yet, in turn, is this the only possible corollary of such a situation? Need a change of time signature always connote a lack of finality, even to a thinker sympathetic to the idea of metric tonicity? To attempt an answer to such a question, the discussion turns to directional tonality, a concept which has been explored far more in the analytical literature. Importing thinking from such literature holds its own dangers for two main reasons: it is far from clear that metrical tonicity holds the same sort of gravitational pull and expressive connotations as does pitch tonicity; such theoretical logic hinges on the strength of analogical thinking; and even the literature on directional tonality is somewhat nebulous. Nevertheless, in this case it is proposed that thinking about directional tonality can offer a useful heuristic for the expressive trajectories of directional metre in at least some works by Brahms.

7.1.3 Directional tonality: structural possibilities

The general definition of directional tonality is intuitive: a work begins and ends in different keys.[8] How can this operate, though, in a more nuanced understanding of tonal processes? In analysis, Schenkerians have generally 'not been deterred',[9] giving most such superficially directional processes a monotonal explanation whereby the opening tonic is subsumed in a higher-level auxiliary cadence.[10] However, Harald Krebs investigates instances where this interpretation would be 'absurd'[11] and Boyd Pomeroy points out that

[7] Ibid., 66.
[8] A full survey of this field is beyond the scope of this chapter, but one good summary is Boyd Pomeroy's, of both the canon and the state of academic literature in 2004, which included work by Harald Krebs, Robert Morgan, Deborah Stein, Jim Samson, and Carl Schachter. Boyd Pomeroy, 'Tales of Two Tonics: Directional Tonality in Debussy's Orchestral Music', *Music Theory Spectrum* 26, no. 1 (2004): 87–118. And on Schenker's concept of the auxiliary cadence, see Poundie Burstein, 'Unraveling Schenker's Concept of the Auxiliary Cadence', *Music Theory Spectrum* 27, no. 2 (2005): 159–86.
[9] Krebs, 'Tonal and Formal Dualism in Chopin's Scherzo, Op. 31', 48.
[10] Pomeroy, 'Tales of Two Tonics', 88–89.
[11] See Harald Krebs, 'Alternatives to Monotonality in Early Nineteenth-Century Music', *Journal of Music Theory* 25, no. 1 (1981): 1–16.

the dualism can be 'ultimately irreducible at the highest level';[12] Deborah Stein seems to hold only these 'irreducible' cases in her definition of directional tonality.[13] The 'ultimate effect' for her must be twofold: 'first, the original tonality loses its identity as a tonal focus in deference to the second tonality; and second, the piece is heard as beginning and ending in two different keys';[14] i.e. rather than the 'auxiliary cadence' interpretation, in which the first key is perceived as never having been properly established, in true directional tonality both keys must be established as tonics, yet at the same time the first key must defer to the second. Peter Smith agrees, distinguishing between *tonal pairing* ('in which two tonics intertwine throughout a movement or movements but in which the pairing develops within a framework that is nevertheless traceable to a Schenkerian Ursatz'), instances of *double-tonic complexes* ('more intense manifestations—specialized instances of tonal pairing, as it were—in which traditional monotonality recedes in favor of a decentered harmonic rhetoric whose main tonic may remain ambiguous for considerable stretches if, indeed, the notion of a single, overriding tonic is still operative') and *directional tonality* ('perhaps the most specific concept of the three, further delimited by its reference to pieces that begin in one key and end in another').[15] To qualify as directional tonality, then, both tonics must in turn be 'adequately defined' and confirmed.[16]

However, there remains a tacit conceptual problem within such accounts of directional tonality. Stein claims that in true directional tonality there must be 'a coexistence of two *equally weighted* tonal centres'.[17] Yet how can this occur, when one tonal centre must open the piece and another must bring closure? While the first tonal centre must be confirmed (in Stein's criteria, through clear harmonic progressions, authentic cadences, and sufficient duration),[18] by definition it cannot reach closure; if it did, the piece would be finished, or rather could be considered as two linked pieces, in two keys. The second key, on the other hand, *must* bring closure (to count as a tonal piece), but cannot have initiated the structure. Therefore, any claim that the two centres are 'equally weighted'

[12] Pomeroy, 'Tales of Two Tonics', 88–89.
[13] Stein, *Hugo Wolf's Lieder and Extensions of Tonality*.
[14] Ibid., 143.
[15] Peter H. Smith, 'Tonal Pairing and Monotonality in Instrumental Forms of Beethoven, Schubert, Schumann, and Brahms', *Music Theory Spectrum* 35, no. 1 (2013): 79. These concepts relating to nineteenth-century tonality are chiefly ascribed to Robert Bailey, particularly in 'An Analytical Study of the Sketches and Drafts' in *Richard Wagner: Prelude and Transfiguration from Tristan and Isolde* (New York: Norton), 113–146, and 'The Structure of the Ring and Its Evolution', *19th-Century Music* 1, no. 1 (1977), 48–61, though also in unpublished lectures.
[16] Stein, *Hugo Wolf's Lieder and Extensions of Tonality*, 143.
[17] Ibid., 145. Emphasis added.
[18] Ibid., 144.

holds only if one believes that *equal weighting* can still occur even through *different roles*, namely initiation and closure. The two keys cannot both have complete structures; it would seem therefore that true directional tonality remains an unrealisable ideal, for the more that the paired tonics are each confirmed, the more they assert their independence. All authors on directional tonality wrestle with the contradiction between concepts of tonic: on the one hand a tonic entity which has governing influence across a static temporal span (both prospectively and retrospectively), and on the other hand a dynamic temporal span where the governing entity can only be temporally instant, with no influence in the past or future.

In most situations, however, one or other of the tonics will outweigh the other, and this leads to only two possible narrative arcs, or hermeneutic readings: success or failure. If the second key is taken to be the overall, true tonic, subordinating the first, then the piece traverses a transcendence, transformation, conquest, emergence, or some other success story (though this victory may be of a minor key or other rhetorically negative topos). On the other hand, if the first key is taken to be the true tonic, then the move into the second key must represent collapse, defeat, tragedy, or some variation thereof – as Krebs says of such interpretations of directional tonality, 'the work is regarded as in some sense incomplete.' [19] What other readings are possible? The two keys cannot both be victors; if they are, by definition we are dealing with two separate pieces. (Arguably there is a potential 'double failure' trajectory in which neither key is established as a tonic.)

A final distinction should be drawn between directional tonality and a non-tonic or dissonant close: instances which may look like directional tonality but where in reality the identity of the tonic is *not* threatened, despite a last-minute deviation. In metre, a closing hemiola might be an example of the latter: the initial tonic metre is still felt as tonic, and the hemiola creates a final disturbance. This, indeed, can even act to confirm the tonic, as has been discussed already.

Again, such theories must remain heuristic, and they are not rigorous; Robert Morgan points out that concepts such as directional, progressive or interlocking tonality 'appear to offer something more fixed and theoretically substantial than is in fact the case … one

[19] Krebs, 'Tonal and Formal Dualism in Chopin's Scherzo, Op. 31', 48.

distorting lens is substituted for another.'[20] Even within the tonal dimension, such works represent border cases, deformations of tonal norms, and so by definition cannot be adequately explained by theories of tonality. In considerations of metre, this is translated as and compounded by the absence of voice-leading structures or any kind of similarly rigorous method of metrical analysis. Yet again, the answer can only be self-reflection, and the admission that readings are provisional and personal.

7.1.4 Directional metre

As case studies, this chapter explores the worth of analogy in transferring these ideas to the metrical domain by looking at the movements in Brahms's works that end in a different *notated* metre, as indicated by time signature, than that in which they begin. Considering only those situations indicated by notated time signatures restricts the investigation to a subset of directional metre, termed notationally directional metre (NDM). It is theoretically possible for directional metre to occur within the same time signature, in situations where the real metre departs from the notated metre (though NDM is probably the large majority). On the other hand, Brahms's use of time signatures differs from that of both contemporary and past composers, and this investigation allows, along with Chapter 5, some superficial foray into understanding of this compositional aspect.[21]

Changes of time signature between the beginning and end of a work are more common in Brahms's oeuvre than changes of key signature. While seen potentially as damaging to the strength of the consonance-dissonance analogy between pitch and metre, this could rather be taken as an example of how directional metre was used more freely than its tonal counterpart, towards expressive ends that may still parallel tonal practice; the norms and

[20] Robert P Morgan, '"Are There Two Tonal Practices in Nineteenth-Century Music?" Review: The Second Practice of Nineteenth-Century Tonality, Ed. Kinderman and Krebs', *Journal of Music Theory* 43, no. 1 (1999): 137.

[21] One of the few studies of Brahms's use of the time signature has been published very recently. Wing Lau investigates time signature changes (terming them Notated Meter Changes, NMCs) more generally (not just those which lead to directional metre), and investigating their appearances in Brahms's Lieder. She defines three (non-exclusive) types of NMC: 'the brief appearance of a new meter', 'different meters for different sections corresponding to different affects', and 'a quick and regular alternation between triple and duple or quadruple meters' (usually with a *style hongrois* flavour) (section [2]). Expressively, Lau claims 'Brahms's NMCs … are not merely cosmetic details; rather … they often have far-reaching expressive implications' (section [1]). Wing Lau, 'Composing Declamation: Notated Meter Changes in Brahms's Lieder', *Music Theory Online* 21, no. 2 (2015). End-to-end time signature difference due to Lau's third type of NMC is not considered as an instance of directional metre in this context. I believe the only examples are the Variations on a Hungarian Theme, Op. 21/ii, the song 'Agnes', Op. 59/v, and 'Das Mädchen' for choir, Op. 93a/ii (which is also arranged as a solo song, Op. 95/i).

deformations of metre and tonality need not be at the same stage at a given point in time for a metaphor between them to hold.[22]

7.2 The study

7.2.1 Statistical occurrence of notationally directional metre

A survey of Brahms's works Opp. 1–122 reveals 52 instances of notationally directional metre, as shown in Table 7.1. Interestingly, drawing the analogy between directional tonality and metre seems to result in more than coincidence: one example of directional *metre* occurs in the same work as an example of directional *tonality* – the Op. 88 String Quintet – and in another case *both* occur within the same movement: the slow movement of the Third Piano Sonata, Op. 5.[23]

Opus	Work	Movement	Total movements
Op. 1	Piano sonata	4	4
Op. 5	Piano sonata	2	5
Op. 9	Schumann variations	-	-
Op. 10	Ballades	4	4
Op. 14	Lieder und Romanzen	4	8
Op. 22	*Marienlieder*	3	7
Op. 23	Variations on a theme by Robert Schumann	-	-
Op. 29	Two Motets	1	2
Op. 29	Two Motets	2	2
Op. 33	*Romanzen aus L. Tiecks Magelone*	3	15
Op, 33	*Romanzen aus L. Tiecks Magelone*	6	15
Op. 34	Piano quintet	3	4
Op. 34	Piano quintet	4	4
Op. 43	Vier Gesänge	1	4
Op. 44	Zwölf Lieder und Romanzen	11	12
Op. 45	*Ein Deutsches Requiem*	2	7
Op. 45	*Ein Deutsches Requiem*	3	7

[22] The two appendices to Hepokoski and Darcy's *Elements of Sonata Theory* are a thorough introduction to this system of thinking.

[23] Not counting parallel mode-switches, examples of directional tonality in Brahms's music are Opp. 5/ii, 17/i, 31/i, 88/ii. This rather superficial survey is based on key signatures and closing harmonies, and does not take into account the considerable number of pieces with initially avoid the tonic or suggest another one, or those in which relative major and minor modes are in conflict as tonic status.

Op. 45	*Ein Deutsches Requiem*	6	7
Op. 47	Fünf Lieder	2	5
Op. 48	Sieben Lieder	7	7
Op. 50	*Rinaldo*	1	2
Op. 50	*Rinaldo*	2	2
Op. 51/1	String quartet	1	4
Op. 55	*Triumphlied*	2	3
Op. 56	'Haydn' variations	-	-
Op. 57	Lieder und Gesänge	8	8
Op. 58	Lieder und Gesänge	5	8
Op. 62	Sieben lieder für gemischten Chor	1	7
Op. 66	Five duets	4	5
Op. 68	First symphony	4	4
Op. 72	Fünf Gesänge	3	5
Op. 75	Four ballades	2	4
Op. 80	Academic Festival Overture	-	-
Op. 85	Sechs Lieder	3	6
Op. 86	Sechs Lieder	6	6
Op. 87	Piano trio	2	4
Op. 88	String quintet	3	3
Op. 92	Quartets (with piano)	4	4
Op. 93a	Lieder und Romanzen	5	6
Op. 93a	Lieder und Romanzen	6	6
Op. 94	Fünf Lieder	3	5
Op. 95	Sieben Lieder	3	7
Op. 100	Violin sonata	2	3
Op. 101	Piano trio	3	4
Op. 105	Fünf Lieder	4	5
Op. 109	Festival and Commemorative Sayings	1	3
Op. 110	Three Motets	3	3
Op. 115	Clarinet quintet	3	4
Op. 115	Clarinet quintet	4	4
Op. 120/2	Clarinet sonata	3	3
Op. 121	Vier ernste Gesänge	1	4
Op. 121	Vier ernste Gesänge	4	4

Table 7.1 Movements or works by Brahms, Opp. 1–122, which end in a different notated metre to that in which they begin.[24]

The table lists 52 instances. 34 are texted, eighteen are not.

Six of the instances are variations. This represents roughly a third of Brahms's seventeen variations sets or movements.[25] Of the seven independent variation sets that Brahms wrote, three (Opp. 9, 23, and 56) end in a different notated metre to the beginning, while the other four (Opp. 21/i, 21/ii, 24, 35) return or remain. Of the ten variation movements, three (Opp. 87, 115, and 120/2) are notationally directional, while seven (Opp. 1, 2, 18, 36, 67, 98, 111) return or remain in their initial time signature.

Eighteen of the instances are 'song' – one or two singers and piano. One is an instance of a song/choral hybrid (quartet with piano). Five are piano solo, and all these come from relatively early in Brahms's career (the last being the Op. 23 Variations). Nine are choral, six accompanied by orchestra. Ten are found in chamber music. Only two are solely orchestral (Opp. 68 and 80). The Op. 56 Variations exist in both chamber and orchestral versions.

Text often provides the motivation for Brahms's metrical manipulations, and it would seem, since two thirds of the instances of NDM are song, that this includes directional metre. There are elements of Brahms's metrical manipulations in song which are common to many composers within the long nineteenth century; there are also ways in which Brahms is unique in the metrical style of his song settings.[26] But what about when there is no text? There are eighteen such instances, shown in Table 7.2.

[24] Opus titles are given in German either when Brahms gave them a non-generic title or when the generic title cannot be translated into English unambiguously and without losing any nuance. In the case of vocal music, I do not feel it has been conclusively disproved that Brahms differentiated between ascriptions such as *Lieder*, *Gesänge* and *Romanzen*.

[25] A total of seventeen includes the Passacaglia from the Fourth Symphony.

[26] For case studies of various Romantic composers see Malin, *Songs in Motion*. See also Rij, *Brahms's Song Collections*.

Work	From	To
Op. 1 (Piano Sonata), 4/4	9/8	6/8
Op. 5 (Piano Sonata), 2/5	2/4	C
Op. 9 (Schumann Variations)	2/4	6/4
Op. 10 (Ballades), 4/4	3/4	6/4
Op. 23 (Schumann Variations)	2/4	C
Op. 34 (Piano Quintet), 3/4	6/8	2/4
Op. 34 (Piano Quintet), 4/4	/C (intro), then 2/4	6/8
Op. 51/1 (String Quartet), 1/4	3/2	/C
Op. 56 ('Haydn' Variations)	2/4	/C
Op. 68 (First Symphony), 4/4	C	/C
Op. 80 (Academic Festival Overture)	/C	3/4
Op. 87 (Second Piano Trio), 2/4	2/4	6/8
Op. 88 (First String Quintet), 3/3	3/2	9/8
Op. 100 (Second Violin Sonata), 2/3	2/4	3/4
Op. 101 (Third Piano Trio), 3/4	3/4-2/4	9/8
Op. 115 (Clarinet Quintet), 3/4	C	2/4
Op. 115 (Clarinet Quintet), 4/4	2/4	6/8
Op. 120/2 (Second Clarinet Sonata), 3/3	6/8	2/4

Table 7.2 Non-texted works which end in a different notated metre to that in which than they begin.

There are examples here of notationally directional metre in almost every instrumental genre Brahms wrote in, although perhaps notable in their absence are the late piano pieces. The generic groups most represented are final movements and variations (Opp. 1, 34, 68, 88, 115, 120/2; Opp. 9, 23, 56, 87, 115, 120/2). There are two instances of scherzo-type movements (Opp. 34, 115), two of slow movements (Opp. 5, 87), and two of fusions of the two (Opp. 100, 101). There is only one instance of a first movement (Op. 51/1). That leaves Op. 10/iv (the last of the set of 'Ballades' for solo piano) and Op. 80 (the Academic Festival Overture).

In only five cases does the final time signature appear more than once in the movement (Opp. 1, 10, 34, 100, 101). In terms of movement layout with respect to time signature, there is a preference for the final (or only) metrical modulation to take place at the coda boundary. What to make of this preference for codas is difficult. On the one hand such changes might appear superficially to reduce the metrical unity of a piece, but on the other

hand such changes can increase the necessity for a coda to justify itself as a section rather than a fragment; either way, they invoke this issue. (Brahms's treatment of codas remains a somewhat neglected area of analysis, even though McClelland notes 'the importance of codas' as a stylistic change across Brahms's oeuvre.)[27] In discussion of the location of modal reversal in Viennese minor-mode symphonies, Matthew Riley claims that conventional sonata-form movements will turn to major for the whole of the recapitulation, only in a coda after the recapitulation proper, or partway through the recapitulation, typically at the return of the subordinate theme.[28] Brahms's preference for notationally directional metre typically echoes the second of these choices, then. Further, Riley notes that moments of modal switch are typically 'rhetorically heightened'; one effect of this is that 'the moment of thematic reprise at the start of the recapitulation sometimes faces a challenge to its status as the dramatic crux of the second half of the movement, especially, as often happens in Haydn, if it has been rendered ambiguous or problematic in some way.'[29] So NDM can be another example of the Brahmsian dissolution of dramatic highpoint, of telos, rather into an expressive field.

One speculative yet intriguing observation is that none of these movements modulates to a natural hemiola or reverse hemiola relation (some are artificial hemiola relations at a pulse level).[30] Thus, in a mapping analogy which takes hemiola and reverse hemiola as dominant and subdominant, they are never metres that are modulated to, just as dominant and subdominant are very rarely keys that are modulated to in directional tonality. Instead, modulations to metres which are in fact related by 'toggle' (e.g. [222] to [223]) could be equated to the phenomenon of tonal pairing, which rarely takes place between keys related by fifths, but does tend to take place between keys related in other ways – most often by thirds.[31]

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[27] McClelland, *Brahms and the Scherzo*, 297. There is a significant amount of literature on Beethoven's codas; if the directional metre study could be repeated on Beethoven's works it would be interesting to see whether he follows similar practice. See Joseph Kerman, 'Notes on Beethoven's Codas', in *Beethoven Studies, Vol. 3* (Cambridge: Cambridge University Press, 1982), 141–60; Robert G. Hopkins, 'When a Coda Is More than a Coda: Reflections on Beethoven', in *Explorations in Music, the Arts, and Ideas: Essays in Honor of Leonard B. Meyer*, ed. Eugene Namour and Ruth A. Solie (New York: Pendragon, 1988), 393–410.

[28] Riley, *The Viennese Minor-Key Symphony in the Age of Haydn and Mozart*, 203.

[29] Ibid., 203–4.

[30] The closest is Op. 88/3 – with quaver as pulse, it modulates from [2 2 3] to [3 3], which could be seen as a hemiola and a toggle relation. (The term 'toggle' is used by Murphy, though not explicitly defined, in Murphy, 'Metric Cubes'.) The difficulty of relating these two metres is compounded by the tempo change.

[31] See Peter H. Smith, 'The Drama of Tonal Pairing in Chamber Music of Schumann and Brahms', in *Expressive Intersections in Brahms* ed. Platt and Smith, 252–90. While commonly associated with Schumann, Smith claims that not much attention has been paid to Brahms's 'engagement with tonal pairing

7.2.2 Narrative archetypes and directional trajectories

How can we read situations of NDM? The discussion of directional tonality above suggests four possible trajectories of metrical tonic possible within works with NDM; these trajectories are listed in Table 7.3. Because the possible arrangements of two tonics, either or both of which might be established or not, exceed four, these are a subset of the theoretical possibilities, but they seem the intuitively likely ones to manifest.[32]

Trajectory of tonic establishment	Narrative archetype	Examples
A->A: Non-displaced tonic	Romance	Opp. 72/iii
A->~~B~~: Directional metre failure	Tragedy	Op. 51/1/i
~~A~~->B: 'Auxiliary cadence'	Comedy	Op. 1/iv and Op. 88/iii
A->B: Directional metre 'proper'	Irony?	Op. 120/2/iii (and Op. 100/ii)

Table 7.3 Possible trajectories of directional metre.

Table 7.3 also suggests parallels of these trajectories with Almén's narrative archetypes; this is not to suggest that pieces with one perceived metrical tonic trajectory will always be perceived as having the parallel narrative archetype, but rather that, taken abstractly, the arrangements of governing entities in these pairs of paradigms are comparable. In a romantic narrative, for example, the (governing) order eventually resists, overcomes or subsumes the challenge of the transgression to remain the governing entity; in the parallel tonic trajectory, 'non-displaced tonic', a (governing) tonic, like the order in the narrative, remains the governing entity at the end of the perceived trajectory. A piece with a tonic

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and how this engagement might relate to Schumann's practice of tonal dialectics.' (253) In terms of key choices, according to Pomeroy examples of directional tonality typically take the form of an ascending third-related progression. Four 'celebrated' examples occur in Chopin's piano music (Op. 31 Scherzo, Sonata no. 2, Op. 38 Ballade, and Op. 49 Fantasy, along with several songs by Schubert and a few by Wolf, and the first acts of Wagner's *Tristan* and *Siegfried* (and later to occur in Mahler's works). Descending third sequences occur less often, again in Schubert and Wolf (and again later in Mahler), along with the 'curious' and 'isolated' precedent of Haydn's 'Farewell' Symphony, No. 45, which in moving from A major to F♯ major is one of the few third-related shifts to preserve mode. Fifth-based shifts occur later, in Nielsen, with a few precedents in Wolf, and stepwise progressions occur in Wagner and Strauss. See Boyd Pomeroy, 'Tales of Two Tonics', particularly 88–89. On non-monotonality in several Schubert songs, see Krebs, 'Alternatives to Monotonality in Early Nineteenth-Century Music'. On Wolf, see Stein, *Hugo Wolf's Lieder and Extensions of Tonality*.

[32] The full set of such possibilities would, I believe, be mappable on a Greimasian semiotic square, which usually yields ten options, but this will include those that start with B or ~~B~~. See Marvin Katilius-Boydstun, 'The Semiotics of A. J. Greimas: An Introduction', *Lituanus* 36, no. 3 (1990); Fredric Jameson, 'Foreword to A. J. Greimas' On Meaning: Selected Writings in Semiotic Theory', in *The Ideologies of Theory* (New York: Verso, 2008), 516–33. Jameson (pp. 524–25) lists the ten options. Following Michael Klein's use of the square to investigate narrative in music since 1900, Rebecca Thumpston has recently used it to map possibilities of agency in twentieth-century cello music: Michael L. Klein, 'Musical Story', in *Music and Narrative since 1900*, ed. Klein and Reyland, 3–28; Rebecca Mary Thumpston, 'Agency in Twentieth-Century British Cello Music' (Keele University, 2015).

trajectory of non-displaced tonic will not necessarily present overall as a romance narrative, but the tonic trajectory in isolation is comparable.

In a reading of non-displaced metrical tonic, a last-minute change of time signature, such as a written-out ritardando or hemiola, may reduce closure but without competing for tonic status. In such cases, the departure from tonic metre is either notational but not real[33] – not changing the projection of tonic metre once the final chord is reached – or does not make significant inroads into the stability of the tonic, in the same manner that a Picardy third may neither change the feeling of minor nor particularly challenge it. This is relatively common within Brahms's songs, which in several cases close with a few bars of another time signature in a form of written-out rallentando (notwithstanding the problems with this ascription, as with the concept of Ritandando-Bewegung and Mirka's conception of hemiola),[34] and less so within his instrumental music, where changes of time signature are more metrically profound events.

A short analysis of Op. 72/iii shows an example of this. Metrical narrativity is at a fairly low degree across the piece; tempo and pulse layer may be unclear – by the logic of this thesis, tonic is partly unconfirmed – but tactus cardinality is retained across the notated time signature change.

In directional metre failure, a move away from the tonic metre effaces the first tonic but does not result in a second tonic metre being subsequently asserted. The case study for this, Op. 51/1/i, is remarkable for its semantic richness both in metre and in other dimensions (lack of cadential closure, the intertextual connotations of C minor, and other metrical events in the coda), leading to a reading of a tragic narrative.

In an 'auxiliary cadence' reading, apparent directional metre may be interpreted as a move from non-tonic to tonic. This parallels, as noted above, the common readings of directional *tonality* within literature of a Schenkerian leaning. The first case study (Op. 1/iv) is interesting because the interaction between dimensions (tonality, theme and metre) is not straightforward. The second case study (Op. 88/iii) is notable for its unstable rhetoric within the body of the movement (and therefore the 'initial tonic' metre), and for

[33] The distinction between notational and real metres is borrowed from Caplin's *Classical Form* (see 35). See also Caplin's note 5 on p. 263 for some exploration into the difference between real metre, when R is a multiple of N (e.g. R = 2N), and hypermetre; this distinction, and thus the concept of hypermetre itself, is more deeply explored in Love, 'Historical Hypermetrical Hearing'.
[34] See sections 2.21 and 2.23.1.2.

its relationship with the rest of the work (and indeed historical connections with other works by Brahms), which can productively be brought into play with a metrical reading.

In directional metre 'proper', two asserted tonics exist, in the analogical equivalent of the stricter definitions of directional tonality. As discussed above, though, this has aspects of being an unrealisable ideal, thus the tentative ascription of irony as a possible narrative archetype. In narrative terms the ironic archetype represents the defeat of an order-imposing hierarchy; yet the definition of directional metre 'proper' suggests rather one order-imposing hierarchy being replaced, but not defeated, by another, also stable, order-imposing hierarchy: this is a narrative not covered in the four archetypes, but the challenge of identity involved certainly equals irony. Perhaps it is better to say that the full range of non-romantic archetypes (tragedy, comedy and irony) are available in this situation, or at least the range of ironic *phases* (tragic to comic); this supports the ascription of irony, since the theoretical situation exhibits the difficult 'slippage of the fourth term'.[35]

One way in which this might manifest is illustrated by the fusion movement in the Op. 100 violin sonata, the interleaved slow movement and scherzo-type movement investigated in Chapter 6. This shows a stratified narrative; the progress of each movement-type seems to be momentarily halted in each switch to the other type (though there are also complex connections between the strata, as explored by Peter Smith).[36] When the final slow-movement episode yields – without closure – to the ending bars, in the scherzo vein, a sense of non-closure then results. This stratified narrative contrasts, however, with the movement to be explored in this chapter, the final movement of the Op. 120/2 Clarinet Sonata, which rather shows an 'iterative' structure; rather than interleaved stratification, there is a 'rewriting' effect. This movement also exhibits interesting dimensional counterpoint, as the interaction between closure and repetition in different dimensions also tends towards the separate structures necessary for directional metre. Both of these movements are in highly sectional forms (slow/scherzo-type fusion and variation), which are conducive to the multiple closures necessary in directional metre proper.

7.2.3 Background and material narratives, and 'work'

How can we decide how heavily such metrical tonics are asserted, defined and confirmed? While the concepts outlined in Part 1 of the thesis offer some apparatus, they

[35] See Klein, 'Ironic Narrative, Ironic Reading', 131–32; Jameson, *The Ideologies of Theory*, 526–31.
[36] Smith, 'Harmonic Cross-Reference'.

can be enriched through the preceding discussion of narrative. One aspect that McClelland and Almén both underemphasise is the fact that narrative, when construed as meaningful change over time, extends into a potentially endless hierarchical complex of potential narratives, occurring at any and all possible scales and in any significant parameter. For while 'meaningful change over time' can occur across a whole piece, it can also occur within a subsection of the piece. This is in a sense what we mean when we talk of any tension-resolution model – that the tension represents a transgression, and the resolution represents the restoration of order. These micronarratives need not nest, and need not follow the same trajectory. Indeed, frustration at one moment to increase resolution at a later moment is an axiomatic trope within music appreciation; translating this into an ironic or tragic micronarrative contributing towards a larger romantic metanarrative, for instance, is simply an exchange of terms.

Taken to its logical extreme, of course, this thinking frustrates any productive discussion, as the zooming in towards micro-narratives descends *ad absurdum*. What might be more productive is the focus on the interplay (counterpoint) between different scales of narrative within a single parameter, and specifically the rough separation of what are here termed background narratives and material narratives. Background narratives are those narratives which reflect global parametric states, while material narratives relate to the more immediate, moment-by-moment development of material. As an example, in the pitch dimension a background narrative might follow the tonal design of a piece, noting large-scale key relationships and states, while a material narrative might chart the different presentations of thematic material. This distinction wakens us to the interrelation between narratives and the embeddedness of narratives. In a typical sonata-form structure, for instance, the background narrative of key typically plays out a romantic narrative, as the transgression of the subordinate key is brought into line with the order of the primary key.[37] But this romantic tonal (background) narrative, while typical, still allows a wide variety of thematic narratives; the primary theme may not return in stable form (tragic/ironic), or it may return in a transformed guise (comedy), to name but two possibilities.

In the rhythmic-metric domain, and particularly in the subset of pieces in question (those that exhibit NDM), this distinction shows the narrowness of McClelland's definition of

[37] For the sake of the point, this conflates key scheme and tonal structure rather crudely – two strands which could theoretically outline separate narratives.

rhythmic-metric narrative, because his concept of rhythmic-metric narrative as being where 'the opening material undergoes transformation, and the relationship of the initial music to its subsequent versions creates a musical narrative' focuses only on those narratives which might be termed material narratives.[38] The background metre, meanwhile, is itself backgrounded. While rhythmic-metric material narratives inevitably interact with their background counterparts, they also have a degree of independence. The distinction between the two will be borne in mind in the following analyses.

More generally, the notion of 'work', as part of a material narrative, in asserting tonic status – a background narrative – is key to these analyses. 'Work' is here meant as the development of metrical features, typically the creation and resolution of metrical dissonance. Within mixed metres, work tends to manifest as assertion of metrical balance – the exploration of a metrical space within which the tonic metre resides centrally. In Op. 120/2/iii, however, the goal metre is pure duple, and thus this kind of work is less available – but this movement is read to assert the tonic status of its destination metre through a different, hypermetrical work. Work, narrative and tonicity are all used here as faces of the same concept – the concept that musical events experienced as expressive create the sense of an entity becoming, and ultimately an accompanying inertia; the entity comes to govern, or at least have gravitational pull, through its own becoming.[39]

7.3 Analysis

7.3.1 Non-displaced tonic

In the first category of NDM, a change in time signature does not result in an initial tonic being displaced. In Op. 72/iii, this is because the final notational metre is unrepresentative of the heard metre, which remains in the original tonic, and because there is no effort to establish a competing metre.

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[38] McClelland, *Brahms and the Scherzo*, 6.

[39] This idea overlaps with, though is not equivalent with, Janet Schmalfeldt's celebrated 'form as the process of becoming', a philosophical concept rooted in what she calls the 'Beethoven-Hegelian tradition', represented most forcefully by Carl Dahlhaus and Theodor Adorno. Schmalfeldt's work revolves around two ideas: that form is process, and that this process, the 'becoming', can be transformational. What I am trying to grasp, instead, is the idea that within the main parameters of music – probably including form, though principally tonality, and, I suggest, metre – a sense of a governing identity (the 'tonic') arises through process; tonic statement is insufficient to define tonic, but rather process, or 'work' – related development of and diversion from the tonic – is what simultaneously defines the tonic and creates tonic inertia. Another, very different sense of tonic, as 'home', is explored by Schmalfeldt in her Chapter 9, and by analysts including Nicholas Marston. See Schmalfeldt, *In the Process of Becoming: Analytic and Philosophical Perspectives on Form in Early Nineteenth-Century Music*; Nicholas Marston, '"The Sense of an Ending": Goal-Directedness in Beethoven's Music', in *The Cambridge Companion to Beethoven* (Cambridge University Press, 2000), 84–101; Nicholas Marston, 'Schubert's Homecoming', *Journal of the Royal Musical Association* 125, no. 2 (2000): 248–70.

7.3.1.1 'O kühler Wald', Op. 72/iii

The shift of notated metre in 'O kühler Wald', Op. 72/iii, occurs only in the last three bars of the song (Example 7.1).

The notational change from triple to duple metre, though, has little effect on the perceived metrical stability of the close, nor on the tonic status of triple metre. This is due to several factors.

The tonic status of triple metre (in minims) has been set up throughout the song. 'Departure and return' effects aid this, caused both by the hemiola in bars 8–9 and by the brief suspension of the crotchet pulse in bars 12–13 (both shown in Example 7.2).

The first ¢ bar resonates with both of these moments, which is the reason it does not feel out of place; with the dotted rhythm and the chromatic motion it recalls the hemiola, while the lack of crotchet pulse, instead moving to minim motion, recalls the moment of stillness from bars 12 and 13.

Importantly, the notated cut time is not portrayed as a stable metrical state. The upward chromatic motion of the voice creates a feeling of transition at the same time that the cessation of motion creates a moment of stasis. The resumption of crotchets in the piano part in bar 24, on the other hand, by repeating the material of the opening (Example 7.3), recommunicates the latter's metrical stability; thus the heard (triple) metre resumes with a downbeat on the second notated beat of bar 24. Interpreting this second beat as a downbeat is strongly signalled by the harmonic progression of the piano part; the cadential strength of the two harmonies in bar 23, even though displaced, still signals an impending downbeat.

While these effects link the ¢ bars into the global discourse of the song, these bars are also linked to their local context through their metrically dissonant content, whose displacement continues the displacement of the preceding bar, bar 22, in an augmented form.

While texture and metre might appear to be highly discontinuous between bars 22 and 23, then, there is more continuity than meets the eye; metrically, the displacement dissonance links the two bars while their exact content is linked to other metrical moments in the song. At the same time, the disruption of texture serves to suspend, rather than conflict with, the previous tonic metre.

The repetition of the bass arpeggiation from the opening of the song, as well as giving the close a cyclic quality, also references the *hypermetric* stability of the opening, which starts on a hyperupbeat. The hypermetric closure afforded by closing on a hyperdownbeat is heightened by the brief hypermetric instability of bars 23–24 – the only instability at this level in the whole song. The close also resolves the displacement dissonance of bars 22 and 23 – in a neat trick, the displaced chords of bar 22 melt into the heard downbeat (the second beat of bar 23), becoming consonant without seeming to have shifted. So the notated metre is not a complete phantom, but is cleverly woven into the heard metre.

The mixture of metrical stability and effacement creates a parallel to the soft nature of pitch closure, which, while unambiguous, is effaced slightly by the melodic move upwards to $\hat{3}$ rather than downwards, and by the caesura between V and I, the latter only arriving initially in second inversion.

All in all, the close of this song communicates, rather than a challenge to the tonic metre, a brief suspension of it before a final return. The song shows the complicated relationship between notated and heard metre, and how Brahms can manipulate musical motion to create contrast within coherence.

7.3.2 'Auxiliary cadence' – Op 1/iv; Op. 88/iii

7.3.2.1 Op. 1

Instances of NDM occur across Brahms's oeuvre, all the way from Op. 1 to Op. 120. In the final movement of the First Piano Sonata, 9/8 metre at the beginning eventually yields to 6/8 metre in the coda. This change accompanies a performance direction of acceleration (from *Allegro con fuoco* at the beginning to *Presto non troppo ed agitato*) and the movement concludes in a triumphal mood.[40]

This finale features a large variety of metrical motives, the mapping of which is the main thread of the following analysis. However, while rich in metrical complexity the

[40] The fact that the final move to 6/8 occurs at the coda boundary anticipates Brahms's later practice; this occurs in Opp. 34/iii, 34/iv, 51/1/i, 68/iv, 88/iii, and 101/iii. In the second movement of Op. 5, a change (to 3/4) *does* occur at the coda boundary, but there is also a final change in the last few bars to another metre, bringing back the theme, but in the key of the coda (this is also directional tonality). In the last movement of the Clarinet Quintet it is more debatable whether or not to ascribe the cyclical reprise with the label of coda. In Opp. 87/ii and 120/2/iii, the final change takes place for the final variation and the coda, possibly a fairly common procedure in variation movements. Conversely, directional metre in Op. 115/iii is linked to the *absence* of a coda, as the abridged 'scherzo' opening material – whose incomplete return is tied up with the expressive narrative of the work – returns within the time signature of the trio section. (See McClelland, *Brahms and the Scherzo*, 280–86.)

movement exhibits a low level of accentual counterpoint, and also a low level of development of metrical devices throughout the movement. These properties invoke the distinction between background and material narratives outlined above. They make reading a metrical narrative difficult, as does the relationship between the material of the coda, where 6/8 displaces 9/8, and the rest of the movement. Dimensional counterpoint is one way of looking at this, and leads to a somewhat tentative, qualified suggestion of a comic narrative.

7.3.2.1.1 Metrical variety

The movement falls into a clear five-part rondo form with coda (Table 7.4). There is a tonal overlap from B to A', which begins in G major, and then an intrusion of material from C into A''.

A			B	A'	C	A''	Coda
1			42	87	107	173	228
C			G	V/C -> V/A	Am	Various	C
9/8			9/8	9/8	6/8	Mix -> 9/8	6/8
a	*b*	*a'*					
1	13(ii)	26					

Table 7.4 Op. 1/iv, form.

The refrain is cast in small ternary form, with the *a* section repeated. Within the first section there are four distinct and distinctive metrical dissonances. Each of these motives is repeated immediately after its first statement, and the 14-bar section containing them is itself repeated (in a repeat which is generally observed in performance), so a listener hears each dissonant motive four times within the first thirty seconds or so of performance. They are marked in Example 7.4.

M1 is the quaver displacement dissonance, D♪9-1, heard twice within the first four bars. As a metrically unstable theme, and furthermore a destabilised transformation of the first movement's main theme, it represents an early example of a Brahmsian destabilised beginning. M2 is heard in bars 5–8, and could be seen as either a hemiola (3 x 6/8) in which the third beat is less strongly articulated than the first two, or as a D♩.3-1 displacement (single displacement dissonances on the last beats of bars 5 and 7). M3 is heard in bars 9 and 10 and can also be viewed in different ways: as a small internal hemiola (3/4) followed by a displacement (D♪3+1); or as an altered 4/4 bar (with the third beat lengthened); or thirdly as an intensification of the quaver-level displacement of M1. Finally, M4 closes the A section; it is a D♩.3+1 dissonance combined with D♪3-1, followed

immediately by a version (black) which resolves the former and marks the barline. In addition to all these four dissonances is the subtle dissonance which occurs with the movement of the pitch motive E–A between beats 2–3 and beats 1–2, as seen first in the opening two bars.

While metrical complexity and dissonance are at a high level here, note that accentual counterpoint is relatively sparse. Each of the four dissonances in Example 7.4 is created through the clustering of several accent types. M1, for example, is created through contour, density and dynamic accents, while M2 also uses parallelism, agogic accents and harmonic accents. In each of the four dissonances, all voices and accent-types are either combined in creating the dissonance, or promote the primary consonance.

The contrasting middle of the small ternary begins with eight bars of metrical consonance (as can be seen in the last few bars of Example 7.4). Yet at its close, bars 22–25, it also contains metrical dissonance – a new one (M5), D♪ 3-1, a tightened version of M1 (Example 7.5).

In the *a'* section, M1, M2, M3 and M4 all occur again in succession in bars 26–41. Apart from an added instance of M1, metrically speaking they return exactly, with no development or reordering. This is where Brahms's early metrical practice really shows itself as different to his late practice, both in its use of many diverse, striking dissonances, as described above, and in their lack of development and variation.

The first subordinate theme, B, in G major, contains yet another distinctive metrical dissonance, M6, starting from bar 42 (Example 7.6). By this point there has been such variety of metrical dissonances in the movement that one could theoretically start relating any newly stated ones to previous ones. In this case, M6 could be seen as a combination of the beat-scale displacement of M4 (D♩.3+1, here D♩.2+1) with the hemiola of M2, to create a disjointed hemiola. In opposition to this view, the differing rhythms, stable harmonies, legato and homophonic texture seem to impact on the metrical qualities, creating a dissonance which seems new and unrelated.

The potential of this disjointed hemiola to disorient metre *is* exploited for a second in bar 44, where a held chord and lack of downbeat momentarily suspends metrical perception. This is transient, and the music returns to the notated consonance in bar 46,

with, as with M1–5, an instant and undeveloped repeat of the dissonance starting in bar 46.

The second refrain, A' (starting at bar 87 – Example 7.7), features the return and some development of M1 into M1' – a repetition with slight tightening, which is then 'corrected' with an 'extra' beat in bar 88. Again there is repetition of characteristic dissonance, and again this is exact, with M1' coming four times in a row. Yet even this development turns out to be transitory; an original version of M1 returns in 95–98, followed by M2, twice, then M3, twice, and then M4, twice.

In the second subordinate theme, C (beginning in bar 107 – Example 7.8), there is a notated change to 6/8, which will be the coda (and final) metre, for a rhythmic idea which is consonant and seems not clearly derived from previous material (although again one could theoretically do so; it is reminiscent of bar 45).

Partway through the C section, 9/8 metre suddenly returns, with new melodic-motivic material which is still metrically consonant. Then, starting at bar 132, a totally new dissonance (M7) appears in the form of duplet crotchets in reverse hemiola (artificial) against triplet quavers (Example 7.9).

A move back into 6/8 at bar 139 really ignites the sense of a conflict between the two notated metres – 6/8 has not just been a momentary site of stability but continues to exert force on the movement. Switches between the two metres continue into A'': the intrusion of C (and 6/8) at bar 175, after a clear reopening of A-space, suggests that C 'has more to say'.

After four intrusions of 6/8 within the first few bars of A'' (Example 7.10), 9/8 seems to shake off the attempts of 6/8 to take over, and the A'' section proceeds with its characteristic procession of M2–4 (bars 193–200). As in the opening refrain, it is in a small ternary form, with M5 appearing in the contrasting middle (bars 210–12), and M1 reopening the recapitulation. The close of this refrain, though, returns to the duplet crotchets, M7, which were introduced in the C section.

The coda's treatment of metrical dissonance is interesting (Example 7.11). It contains yet another level of displacement in bars 228–231; D♩·2-1 (M8) is created by density, dynamic and contour accents, and compounded by relatively weak resolutions onto the barline (similar in some ways to M2). Duplet crotchets (M7) return once again as a closing figure,

and participate in a 4/3 dissonance (or MMDH) twice at cadential dominants (M9) (these moments, and MMDH, are also explored in Chapter 5). The duplet crotchets in these relate to M7, but there has not been hemiola at the crotchet level (3/4) thus far (M2 is hemiola at a different level, and M3 is not strictly a hemiola).

These metrical dissonances create excitement and variety throughout the movement. Nonetheless there is little metrical ambiguity, and little metrical development – both of which usually come about, in Brahms's later music, through accentual counterpoint.

7.3.2.1.2 Conclusion – drama and narrative

The movement is rich in metrical complexity. However, the above analysis has explored how this metrical complexity is created without high levels of accentual counterpoint; accent-types are generally grouped rather than separated. There may be alternative ways to interpret the metrical complexity in terms of which states are being deformed, but there is no doubt where the accents lie, because the different accent types are so aligned. There is a remarkable amount of metrical complexity, but little ambiguity.

Metrical complexity and metrical dissonance are thus vital parts of the drama of the movement. However, drama does not necessarily equal narrative, because for narrative to occur, dramatic events must be perceived as related (Monahan's conception of narrative as 'meaningful change over time'). Frisch points to the displaced hemiola in the B section (the first G major episode) as an example of the conflict between 6/8 and 9/8 which is 'central to the movement as a whole … Although far from subtle, Brahms's manipulation of metre is thus an integral part of the design of the Op. 1 finale. The metrical 'compression' of the coda is made to seem logical, to grow out of what has preceded.'[41] While not using such terms, then, Frisch notes the obvious background narrative of time signatures and refines it towards a reading which includes material aspects.

But there are two problems with drawing a convincing metrical narrative across this movement. The first is that the lack of metrical development, as outlined in the first part of the analysis, makes it hard to draw a narrative in the normal Brahmsian *Grundgestalt* tradition, or what is here termed a material narrative. The different metrical devices appear

[41] Frisch, 'The Shifting Bar Line', 141. Frisch's argument is that bars 42–45 can be heard as three 12/8 bars, but that the consequent in bar 46–50 'fails to conform to that pattern, for it contains an 'extra' six beats: the cadence to D is delayed until the downbeat of bar 50 (and the harmony is sustained for five more beats). With this downbeat the notated metre is restored'. However, I find hearing in 12/8 plausibly engaging, if not automatic (as an alternative to my displaced hemiola ascription) with a return to 9/8 starting on the barline of bar 50.

in generally strict rotational orders, and the lack of metrical reinterpretation further characterises them as static decorations rather than motives.

The second problem is the confusion that arises when trying to identify order and transgression between the two metres, which results from dimensional counterpoint. Metre is set up as a transgressive agent that is associated with key and theme transgressions. The dichotomy between 6/8 and 9/8 is emphasised in the A'' section (Example 7.11), where the alternation between metres has a strong sense of conflict, again paired with thematic conflict. A curious moment occurs at the opening of the coda, however, where the medial quality of bar 228, with the suggestion of a tonicisation of A minor, suggests a continuation of the transgressive stratum from earlier; the coda beginning suggests the resumption of 6/8 rather than transformation of 9/8 into 6/8. This is arguably strengthened by the imperfect authentic cadence into bar 228, suggesting a close of the 9/8 material before the resumption of the 6/8 material. (This is also one of the few moments of interesting accentual counterpoint, as the weak textural resolution onto the barlines interacts with the harmonic resolutions.) While it might originally be framed as a stratum, though, the 6/8 coda quickly slips into conventional closing discourse and back into C major, thus a suggestion of 6/8 as a *transformation* of 9/8 at odds with its previous characterisation as a competing agent.

But, in turn, while metrical devices are used to good effect to guide rising energy in the coda (the A minor passages with displacement, cadential complex hemiolas and the hypermetric expansions), these do not clearly relate to the metrical effects earlier in the movement, impoverishing the 'transformation interpretation'. At the close of the movement, a consonant version of M1 is used in the final flourishes (bars 282–288), but this is the only hint of a material narrative. There is no use, for instance, of M2 and M3 in the second half of the final reprise or in the coda, despite these dissonances having gained closural connotations.

Along with the fact that the theme material and key associated with 6/8 is gone, this makes it difficult to draw a convincing narrative, or even a convincing set of narratives, which identifies (or identify) the different dimensional agents with order and transgression. The coda 6/8 seems a 'different 6/8' to the previous one. Thus, while the formal design displays a clear 9/8 – 6/8 comic narrative, this is relatively superficial, at odds with the inconsistent multi-dimensional narrative, and not supported by a material narrative.

7.3.2.2 Op. 88/iii

The final movement of the Op. 88 String Quintet, though heading towards a similarly positive rhetorical outcome to the Op. 1 sonata, creates a different situation in the ways that different parameters, and different scales of metre, interact. The following must be an insufficient analysis of a motivically rich movement, which also shows complex counterpoint (in the traditional sense of the word), and formally a mix of fugue and sonata form.

In terms of the theory of the thesis, the analysis circles around several areas: hypermetre; metrical complexity and tonic centrality; accentual counterpoint; and issues of narrative, particularly as they relate to form and inter-movement connections.

7.3.2.2.1 Hypermetre

Hypermetre is a key tool for metrical drama in this movement. Once again, as in the Requiem, hypermetric stability is withheld and used as a closural device.

A hypermetric problem is stated at the opening: how do the staccato chords relate to the following quaver-based theme (Example 7.12)? Though the passage has an outwardly regular structure falling into four-bar groups, the strong hyperdownbeat implications of both these thematic elements continue to rub against each other – the conflict is heightened by the end of the subject (bars 4 and 8) which projects upbeat status, thereby blocking the staccato chords from simply gaining their own hyperupbeat status over the first paragraph.

The tension between the metrical roles of these two motives is created by accentual means. The staccato chords present themselves as hypermetrically strong through virtual agogic accents, textural accents and density accents. But the conventional, as opposed to characteristic, nature of the chords, with no melodic contour or rhythmic interest, retrospectively suggests them as upbeat when they are followed by what is clearly a melodic line at the end of the bar.[42] The gestural quality of this quaver line, along with its V-I harmonic implication, creates suggestion of hyperdownbeat through different accent types than the staccato chords. At the same time, like the staccato chords it too has no

[42] The distinction between conventional material ('melodic and rhythmic confiurations widely used in the style and thus potentially interchangeable from piece to piece') and characteristic material ('melodic and rhythmic configurations used to define a theme as unique') comes from Caplin, *Classical Form*, 253–54.

rhythmic interest to it; both motivic elements, then, are bereft of such interest, aiding the conflict between them since neither is ideal as a hypermetric anchor.

This motivic conflict is used to heighten tension before the second reprise of the theme at bar 23 (Example 7.13). From bar 16 there is a short passage of metrical complexity; the triadic crotchet figure from the end of the countersubject is fragmented and creates a sort of hemiola. But this hemiola is transient: its beginning is obscured by the connection of the motive to the preceding material, as it is created through the afterbeat quality of the triadic figure. And the hemiola's end merges into another stage of fragmentation in bar 18 which momentarily reasserts 3/2 – but this is done through the contour accent within the triadic figure, obviating the afterbeat quality and also meaning that when the figure returns in hemiola, in bar 19, its displacement is all the more prominent (and meanwhile, bar 18 also contains displacement at the crotchet level). All this leads to an augmented version of the staccato chord motive which is only recognised after it has started, and further draws out the feel of hypermetric upbeat – but still without specifying the hypermetric role of this motive. This passage draws together accentual-contrapuntal use of contour accents, harmonic implication and changing metrical roles, creating an effect of forward motion and effaced downbeats.

Whereas in the primary group a surface-level hypermetric contest is laid over a more deeply-regular grouping structure, at the opening of the secondary group hypermetre seems more regular (Example 7.14). This is complemented by some low-level metrical dissonance – a grouping dissonance between quavers and triplet crotchets, and the soft sarabande emphasis on the second minim beats, which echoes the similar effect of the staccato chords (and both, of course, echo the sarabande sections of the central movement).

But two hypermetric shifts occur in the second half of the section (Example 7.15), and unlike the complex, seamless nature of the hypermetrically-interesting patch in the primary theme, these are relatively blunt, effected by one-bar repetition. Any uncertainty as to whether they extend hypermetre is clarified in the following bars, which in each case (46–47 and 53–54) present a pair grouped by the parallelism of the melodic arpeggio figure and the slight dissonance caused by its repositioning within the second bar. In the second instance (bars 53–54), however, the hyperdownbeat of bar 53 is obscured slightly by a hemiola created by pairs of crotchets, which have upbeat status from their use across the

barline in bars 50–51 and 51–52. Added to this is a crotchet-level displacement dissonance caused by the syncopations in the inner parts.

Hypermetre in the development is much harder to parse satisfactorily. At the beginning, the forward motion created by the metrical dissonance at the end of the exposition is not channelled towards a large downbeat, adding to the seamlessness of the formal transition. Motivic saturation is pervasive in the development; the short passage in Example 7.16 shows the running quavers of the primary theme and the triplet crotchets of the secondary theme, as well as the staccato chords seeming to outline a hemiola in bars 62–63, though one whose final beat dissolves. Elsewhere there are several instances of the three upward upbeat quavers from the primary theme, often in successive bars. The development thus makes reference to the hypermetric issues of the exposition, but without significantly altering or narrativizing the conflict between the two primary motives.

It is in the coda, once the time signature change to 9/8 has occurred, that the hypermetric narrative seems to reach a conclusion. The staccato chords are placed in an inner voice, within a passage which is hypermetrically stable (Example 7.17), resolving their disruptive role at the opening. The hypermetric regularity of the coda creates a sense of resolution which counteracts the unusual disturbance created by the change of time signature.

However, in a final twist, the staccato chords recur at the very close of the movement in a displaced and hemiolic form (Example 7.18). There is a hint of hypermetric ambiguity in these final bars, since the continuation of the hemiolic rhythm created by the staccato chords at first suggests that bar 183 is part of the continuing hemiola. It is perhaps only with familiarity that the hypermetric interpretation of bar 183 as a hyperdownbeat becomes strongest, meaning that the work also finishes on a hyperdownbeat.

This final slight disturbance of a global instability-to-stability progression of hypermetre, which is itself counterpointed with the directional metre narrative, is yet another instance of a familiar Brahmsian narrative. Hypermetre articulates form roughly (the different situations in the different sections), but also blurs it (the lack of large hyperdownbeat at the beginning of the development). Hypermetric stability helps to counteract the change of time signature, but a final twist in the tail refers back to the narrative issues of the movement.

7.3.2.2.2 Tonic centrality

Near the end of Chapter 5, it was noted that an unusual metrical complexity has a suggestive and formal role in this movement. The two notable grouping features in the body of the movement – the triplet crotchets of the subordinate theme and the 3-layer groupings of quavers (as seen for example in bars 60–61 of Example 7.16) – can both be examined within an interrogation of metrical balance, which relates to the metrical shift of the coda.

The rhetorical tonic metre, 3/2, is [𝅗𝅥223] (or [𝅗𝅥2232] if duple hypermetre is seen as the implied norm). However, of its adjacent metres, the reverse hemiola relation, [𝅗𝅥232] (6/4), is not even hinted at throughout the body of the movement; the hemiola relation, [𝅗𝅥2223] (3/1), is suggested in passages such as bars 17–20 and 46–47, and used more strongly in a few passages such as bars 93–94. There is not a conventional situation of metrical balance, then. Instead, the other metre which contains only one triple factor is that created by the duplet quaver 3-layers. The higher grouping of this metre is harder to assign, as can be seen in Example 5.55, but there is a hint of quadruple grouping suggested by the E–F♯ movement in bar 139 and the F♯–G movement of bar 140, which would result in [𝅗𝅥3222] (though the low-level triple grouping bows somewhat to the quadruple background). While the weighting created by the triple factor of the quaver 3-layer being four times faster rather than two pulls the logical tonic slightly off-centre, there is nevertheless a metrical space with one metre either side of the rhetorical tonic – and Murphy notes this as conventional.[43]

However, bringing the triplet crotchet metre into consideration complicates things. The shared pulse between all the metres is the triplet semiquaver; so the tonic, for instance, is [3𝅗𝅥(3)2232] while the triplet crotchet metre is [3𝅗𝅥(22)33(2)]. There is no obvious logical tonic suggested by considering the four metres used in the body of the movement *in toto*: [3𝅗𝅥 (3)2232], [3𝅗𝅥 (3)2223], [3𝅗𝅥 (22)33(2)] and [3𝅗𝅥(3)322(2)] (3/2, 3/1 hemiola, triplet crotchets, and quaver 3-layer). This is in part since the use of two triple factors (which are but implicit in three of the four metres) obviates alignment in a linear metrical space. However, while not theoretically rigorous, the four metres do still seem relatively balanced, while it also seems intuitive that taking the extra triplet factor of the triplet crotchets in conjunction with the 'quick triple' metre suggested by the duple quaver 3-

[43] As noted earlier, Murphy lists this as one of three cases from relatively late in Brahms's career where the faster triple factor is four times that of the rhetorical tonic metre. Murphy, 'On Metre in the Rondo of Brahms's Op. 25', 343.

layers makes the modulation to 9/8 for the closing section seem logical. The modulation thus seems both transformative – as it shifts to an unexpectedly fast, pure triple metre – and aesthetically satisfying at the same time; or, alternatively, one could say that it leaves such an interpretation open to the perceiver, as one in a set of interpretations of a complex situation which cannot be resolved.

Another question is whether the coda metre establishes itself as a new tonic metre. In his investigation of metrical balance, and while he does mention the unusually-balanced situation of the body of the movement, Murphy does not consider this question. He also does not address the problem of how metrical balance can occur within a metrical space that has more than one triple factor. But, in fact, balance within the coda is quite easy to demonstrate. The 9/8 metre is [3. 3**32**] (acknowledging duple hypermetre); the closing hemiolas create [3. 3**23**].[44] How can balance be created on the other side? The only other metrical state suggestion in the coda is created by the duplet quavers in bars 149 and 151. These invoke a triplet semiquaver micropulse; the 9/8 metre is therefore [3.(**2**)**3**32] and the duplet quavers are [3.(**3**)**2**32]. In addition to this centring, of course, the theme, previously 'a rambling, rhythmically unfocused fugal subject',[45] is condensed into a streamlined form; the impression is that *this* is what the theme was trying to be all along.

This is without considering the issue of proportional tempos between the body of the movement and the coda, but rather recognises that conceiving of metrical structures as hierarchical complexes can, on some occasions at least, allow sufficient comparison regardless of tempo; the transformation from a complex which has a higher-order triple pulse to one which has two low-level triple factors is independent of how specific tempos relate.

7.3.2.2.3 Accentual counterpoint

The main metrical narratives of the movement have been explored above: hypermetric conflict, and the transition between metrical states. Accentual counterpoint plays a part in the first, but not really the second. Otherwise, places where it is a potentially richer descriptor than metrical dissonance in the movement are limited to a few moments, mainly based around formal boundaries.

[44] Bars 163–171 also have several moments of hemiolic suggestion.
[45] Margaret Notley in Botstein, *The Compleat Brahms*, 137.

One such instance is shown in Example 7.19, at the end of the development. To take one accent-type: contour accents – the peak of each melodic cell in the violin part – flow into and out of phase with the heard metre, which itself flows between notated and displaced. In bars 91–92, the highest notes anticipate the heard and notated downbeats (at the end of bars 91 and 92); in bars 93–94 they anticipate hemiolic beats, taking part in the hemiola through parallelism. In bar 95, though, they move into phase with the slurred pairs and with the rhythm of the other upper parts. In bar 96 the bass joins, such that all parts are now in phase with the contour accents and with the heard metre, but this is a dissonant metrical layer, displaced a quaver from the beat. This remains uneasy, though, since in the first violin the root of the chord, C, is reached on notated minim beats. Finally, after the pause, the contour accents shift one last time, with the B♭ on the final crotchet beat of bar 97 resolving the D♪2-1 dissonance but effacing very slightly the resolution to the downbeat of bar 98 and the beginning of the recapitulation. Once again, attention to the effect and interplay of individual accent types begins to approach an understanding of the complexity of the metric situation that Brahms creates in moments like this, while simultaneously highlighting the depth of that same complexity.

In the coda, the perspective of metrical dissonance is sufficient to appreciate the metrical events present. Most notable amongst these are the various accentuations on second beats in groups of three, both at the quaver pulse level and at the higher beat level. At the lower level, the accentuations at the beginning of the coda (Example 7.17) are direct dissonances with the notated groups, but Example 7.20 shows a point in the middle of the coda where all voices join and the heard metre is likely to shift. At the higher level, Example 7.17 again shows light second-beat accentuations at the beginning of the coda, and Example 7.21 shows the intensified version of this leading into the final thematic reprise; arguably the closing hemiola is a manipulation of this same dissonance.

7.3.2.2.4 Metrical narrative and inter-movement considerations

The introduction to this section mentioned that this movement creates a different situation to Op. 1 in the ways that different parameters and different scales of metre interact. In Op. 1, the metre that will eventually close the movement is introduced in the body of the form, as a transgression synchronised with characteristic tonal and thematic elements. While the final change to this metre is mainly associated with tonic key and individual metrical events (complicating the narrative reading), at least at the beginning these transgressive elements in different parameters are synchronised.

In the last movement of Op. 88, there is no earlier notated metrical change to hint at the eventual transformative narrative. As a kind of breakthrough narrative, it is sudden rather than emergent. Like the first movement, this metrical narrative relates to the comic narrative archetype, where a transgression achieves victory, while the apparently transgressive metre is also framed here as a plausible metrical tonic. Other connections between the movements are also pertinent to the eventual narrative.

The role of A major as a secondary key in all three movements has been noted by several authors (and this key is the goal of the directional tonality of the second). Temporally direct pitch linkage is found at both movement intersections: the circling between F and C at the end of the first movement is immediately linked to the opening of the second (which traverses the enharmonic equivalents E♯ and B♯), and the third opens in the same register as the end of the second, with bass A reinterpreted, from closing tonic to third of a first-inversion chord. At the same time, the sudden triplet quaver flourish at the end of the first, associated with the onward-flow feeling at the recapitulatory boundary, creates an energetic rise into the second movement, which however seems to open in a different stratum, such that the joyful close of the first forms a bridge to the similar opening of the third – a common strategy.

The similarity of subordinate theme material across the movements is not just tonal (Example 7.22). All cast in A major, the second movement's *Allegretto vivace* melody recalls the first movement's waltz allusion through the $\hat{3}$–$\hat{4}$ melodic focus, but just as perceptible are the ties creating a hemiolic melody. The third movement's A major theme also has metrical links to the first: the triplet crotchets against duplet quavers create a low-level MMDH at the same time as a larger hemiola is drawn (by the second violin) – both features also found in the first movement.

In the last movement, despite the lack of earlier metrical change to anticipate the final shift, the coda also makes itself felt as a satisfying goal to both the movement and the whole work in other ways. Most notably, and strangely unnoticed in the literature, is that the distinct rhythms in the second half of the coda, albeit a transformed version of the main theme, are a clear reference to a gigue, and a gigue is traditionally the last movement of a dance suite. The second movement, one of Brahms's generic fusions, is based on a

Sarabande and Gavotte which Brahms wrote in his youth and returned to several times.[46] So where Brahms has already made plentiful reference throughout Op. 88 to sarabande and gavotte topics, the appearance of gigue at the end – banishing the awkward learned style – creates a satisfying ending to three layers of temporal narrative: across the piece; across Brahms's past; and across the wider musical past. This is therefore another aspect of a comic reading, with in each case a transgression claiming victory over a flawed order.

As well as topic, the tonal narrative of the second movement is comparable to the metrical narrative of the third. Moving from an opening C♯ minor/major to A major,[47] the former's close is a moment that Margaret Notley describes as conveying 'a psychological drama unprecedented in instrumental music, a thinking subject seeming to choose a key and the associations it has accumulated in the course of a movement'.[48] Notley argues elsewhere that a simple key reading of the second movement effaces its meaning; it is not enough that A major succeeds, but that the key of the *scherzando* section does.[49] As in the first and last movement, then, there is an unexpected turn towards, or triumph of, subordinate material which connotes the comical. At the same time, this represents a different kind of dialogue with the past; as Kevin Korsyn puts it, 'directional tonality creates a new tonal future within a stratified discourse in which the authority of the past is invoked and contested'.[50]

The directional metrical structure of the last movement, moving towards triple-factor domination, repeats in intensified form the metrical narrative of the first movement, but also the directional tonal narrative of the second movement.[51] On the one hand the links between the three movements are varied; on the other, integration is strong across the work; in a third sense, the three movements enact parallel narratives of comedy. That

[46] Brahms's lifelong obsession with these youthful Baroque dances has been exhaustively explored by Robert Pascall; see Robert Pascall, *Brahms Beyond Mastery: His Sarabande and Gavotte, and Its Recompositions*, RMA Monographs (Ashgate, 2013).
[47] The possibility of a hexatonic narrative across this work is highly intriguing; C♯ and A stand either side of the tonic F in its hexatonic region, with C♯ minor as F major's hexatonic pole.
[48] Notley, *Lateness and Brahms*, 3.
[49] 'the formalist observation about the eventual triumph of A major, that that key plays an important role in both the first movement and the Finale, explains little … What matters above all is that *the key of the scherzandos should prevail*' (original emphasis). Notley in Botstein (ed.), *The Compleat Brahms*, 135–36.
[50] Kevin Korsyn, 'Directional Tonality and Intertextuality: Brahms's Quintet Op. 88 and Chopin's Ballade Op. 38', in *The Second Practice of Nineteenth-Century Tonality*, ed. William Kinderman and Harald Krebs (Lincoln: University of Nebraska Press, 1996), 45.
[51] Other instances of directional tonality in Brahms are Opp. 5/ii, 31/i, 50/i, 54, 110/i, and debatably 17/i and 70/iv. Several works have an off-tonic opening, some pair relative majors and minors throughout, and a few close on the dominant. For an intertextual exploration of Op. 88, see Korsyn, 'Directional Tonality and Intertextuality'.

motivic transformation is part of this movement's connection to the others is no new observation; that metric and hypermetric instability plays a role is more novel, as is that the gigue connotations of the coda create a sense both of completion across the work and of a multi-layered historicist dialogue. Directional metre allows Brahms to mirror in intensified form the narratives of the first two movements; a subtle historicist dialogue becomes more explicit across the work, as does a triumph of jocular subordinate material.

A passage from Byron Almén shows what the three movements have in common:

> The comic narrative structure involves a transvaluation in which transgressive elements successfully challenge and overturn an initial hierarchy, thus imparting a rough "low-high" temporal profile to the rank value of those elements. The dynamics of this structure itself suggest certain corollary features that may or may not contribute to the resultant narrative design. In order to make the transgressive element acceptable to the reader or listener, the initial hierarchy is generally presented as flawed, limiting, or overly rigid. By contrast, then, the critical feature of the transgressive element is its adaptability, by means of which it is able to achieve its higher status. Comic narratives thus frequently inscribe a rejection of arbitrary limits…[52]

Between the three movements, all of these features are expressed. Furthermore, the three movements each display a different one of Almén's comic *discursive strategies*: epiphany, emergence, and synthesis.[53] The first movement's epiphany occurs right at the close, once the 'flawed, limiting, or overly rigid' primary theme has wound itself into an impasse of displacement dissonance. The second movement's emergence tracks an increasingly ranked A major. The third movement synthesises, finally framing the upward $\hat{5}$–$\hat{8}$ motion within compound triple metre. All represent the victory of a transgression against a somehow limited order, but in order to recognise this we must accept metre as an equal dimension to theme and tonality. Indeed, in the end metre is superior to tonality for Brahms's goal. For while directional tonality can enable the comic narrative in the middle movement, in the final movement this would surely disturb a unity perceived as necessary; only directional metre can prove able to effect the synthetic comedy.

[52] Almén, *A Theory of Musical Narrative*, 188–89.
[53] Ibid., 188.

7.3.2.2.5 Comedy and Adorno

As a final point, this perspective on the quintet illuminates remarks made by Adorno and relayed by Notley, on the theme-form relationship in the first movement.

> [Adorno] directly asserts "the incompatibility of the sculptural song melody Romanticism sought as the symbol of subjectivism with the 'Classical,' Beethovenian idea of unified form." He then compares "the break between the theme and the immediate consequences drawn from it" at the beginning of Brahms's F Major String Quintet with the problem of continuation in many twelve-tone works following the row's initial presentation. Ultimately he claims that the "inconsistency between the theme and what happens to it" represents "the middle-class concept of the individual stand[ing] in perennial opposition to the totality of the social process." More blatantly than elsewhere, Adorno ties Brahmsian themes to middle-class individualism and finds the composer's approach in the quintet problematic and, implicitly, typical.
>
> With respect to the F Major String Quintet, Adorno's observation of a "break" is accurate. For the opening, Brahms revived the closed, tripartite thematic type he had used much earlier in the G Major String Sextet's first movement, among others. Although he does attempt a link in the quintet movement by repeating the first theme's final motive (m. 31) as the transition theme's initial motive (m. 32), the effect is awkward because of the first theme's self-sufficiency. Yet the theme is also anomalous in Brahms's music at that point: Adorno's characteristic disregard for stylistic development within the composer's oeuvre is particularly apparent here. The opening themes (or thematic groups) in the slightly earlier C Major Piano Trio and slightly later Third Symphony differ markedly from that in the quintet. Adorno weakens his argument by choosing a first movement that is atypical of the later Brahms and taking it out of stylistic context.[54]

Adorno finds the movement problematic (and 'most critics seem to regard it with cold admiration rather than love'[55]); the best Notley can do is claim it is atypical. The above analysis suggests it *is* typical, or at least explicable: Brahms uses theme and form as tacit vehicles for narrative and expression (normative), but here he intensifies the distance

[54] Notley, *Lateness and Brahms*, 87–88. Quoting from Theodor Adorno, *Philosophie der neuen Musik* (Frankfurt am Main: Surkamp Verlag, 1976), 73–74, n. 23. I find Notley's bar citations in this quote odd; bars 31 and 32 do not appear respectively closural and initial.
[55] MacDonald, *The Master Musicians: Brahms*, 285.

between theme and form (e.g. EEC), and eventual transgression, to suit the narrative. Moreover, a wider perspective on the piece, added to the lens of narrative, corrects Adorno's identification of the *main theme* with the middle-class individual; just as likely is that instead we come over the course of the piece to recognise the *transgression* – the dancer (from waltz to gigue) – as the individual, who triumphs.

7.3.3 Directional metre as failure – Op. 51/1/i

The first movement of Brahms's First String Quartet provides an example of directional metre, from triple to duple, constituting a narrative of loss; the change from 3/2 to 2/2 (𝅗𝅥) in the coda is accompanied by a rhetorically tragic outcome, but the metrical *processes* in the movement can also be interpreted as a tragic narrative, in line with the earlier distinction between background and material narratives. It stands as the only instance in Brahms's oeuvre of the *opening* movement of a multi-movement cycle ending in a different notated metre than it starts. If, as is generally agreed, 'the specter [sic] of Beethoven, in fact, hovers explicitly over Brahms's own string quartets, serving as the focal *point of orientation* just as he did for Brahms with respect to the symphony,'[56] then the idea of Beethoven as a 'point of orientation' can also be used here in reverse; Brahms *turns away* from Beethoven, in an example of misreading.

It is well known that the quartet had a long gestation largely due to the prestige accorded to this genre by the predecessors Brahms revered;[57] as Korsyn puts it, 'he clearly approached the genre with an anxious awareness of its heritage'.[58] Key is no less significant than genre, with C minor having exactly the same forebears (principally the first Viennese School), but specific expressive connotations: the key is most famously associated with iconic fate-related works by Beethoven, but also significant in the works of Haydn, Mozart, and Schubert,[59] becoming a touchstone for tragic expression, and a key that

[56] Klaus Kropfinger in Botstein (ed.), *The Compleat Brahms*, 122. Emphasis added.
[57] On the genesis and analytical reception of the Op. 51 quartets, see Michael Musgrave and Robert Pascall, 'The String Quartets Op. 51 No. 1 in C Minor and No. 2 in A Minor: A Preface', in *Brahms 2: Biographical, Documentary and Analytical Studies*, ed. Michael Musgrave (Cambridge: Cambridge University Press, 1987), 137–44.
[58] Korsyn, 'Brahms Research and Aesthetic Ideology', 94.
[59] For one example among many on Beethoven, see Michael C. Tusa, 'Beethoven's 'C-Minor Mood': Some Thoughts on the Structural Implications of Key Choice', in *Beethoven Forum* 2, ed. Lewis Lockwood and James Webster (Lincoln: University of Nebraska Press, 1993), 1–27. On Haydn, see Jessica Waldoff, 'Does Haydn Have a "C-Minor Mood"?', in *Engaging Haydn: Culture, Context, and Criticism*, ed. Mary Hunter and Richard Will (Cambridge: Cambridge University Press, 2012), 158–87. Smith cites Haydn's C minor *London* Symphony, no. 95, Mozart's C minor Piano Concerto, K. 491, and Schubert's *Quartettsatz* (Smith, *Expressive Forms*, 10). Waldoff (186) points out one of the several problematic aspects of the concept of 'C-minor mood': that 'to whatever extent we might expect C-minor works to signal a recognizable mood, we

Webster considers Brahms to have found particularly challenging.[60] Within Brahms's oeuvre, the quartet resonates because of its key with his first symphony and third piano quartet; all three works were long in development, were finished in the early to mid-1870s, and explore tragic affects. Some have also proposed a more specific Beethovenian intertextual resonance in the string quartet.[61]

This analysis argues that the movement strives across its entirety to break into both the major key and 2/2 metre simultaneously, but that when this is eventually achieved it is then reinterpreted rhetorically as a failure: tonally C major is suggested as turning out to be nothing more than the dominant of F minor, and metrically 2/2 is not the site of stability that it has been promised as throughout the movement but rather the site of a kind of impotence.[62] Hermeneutically, one interpretation of this is that Brahms subverts and effaces the burdensome C minor-to-major trope inherited from Beethoven, stating his achievement and progression beyond the latter, both in terms of this very specific tonal 'problem' and more generally in terms of the troublesome genre of the string quartet. The fact that this occurs in the first movement simultaneously compresses Beethoven's trajectory (and achievement) into one movement, states that there must be somewhere further to go (minor to major is not the end), and creates the problem that the other movements will have to solve. Brahms sets up an ambivalence: 2/2 and major are both set up as sites which are yearned for but unstable.

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also expect these works to stand out as exceptional, even astonishing, and we tend to measure them (as in Beethoven's case) in terms of their originality.'

[60] Webster, 'The *Alto Rhapsody*'.

[61] The movement, according to Allen Forte and Roger Graybill, refers to Beethoven's *Pathetique* sonata, Op. 13. (score here). This connection is found exemplified most clearly in the first three notes of the main theme, in the choice of first subordinate key (E♭ minor) and in that of the second movement (A♭ major). Other connections may seem more specious since more rooted in Brahmsian style – the constant melodic use of a diminished seventh can be found in the Beethoven both in the chord of that type in the first bar and at the end of the recitative, before the Allegro begins. In a very Brahmsian fashion, the oscillating quavers of Beethoven's *Allegro* section can be found rearranged to create metrical complexity across the transition and subordinate theme group. (Beethoven does create the occasional moment of metrical dissonance with this figuration, for example bars 163-179.) Other cited similarities seem less convincing, for example Forte's claim that his motive 'beta bar prime' (the ascending three notes of a C minor triad) plays a prominent role in both first movements. Allen Forte, 'Motivic Design and Structural Levels in the First Movement of Brahms's String Quartet in C Minor', *Musical Quarterly* 69, no. 4 (1983): 472; Roger Graybill, 'Brahms's Three-Key Expositions: Their Place within the Classical Tradition' (Yale, 1983).

[62] For other analyses of this movement, see Forte, 'Motivic Design and Structural Levels in the First Movement of Brahms's String Quartet in C Minor'; Smith, 'Brahms and Motivic 6/3 Chords'; Friedhelm Krummacher, 'Reception and Analysis: On the Brahms Quartets, Op. 51, Nos. 1 and 2', *19th-Century Music* 18, no. 1 (1994): 24–45.

The movement is mostly in 3/2: a rare metre in itself, and this is the first time Brahms had used it for the main metre in a nontexted work.[63] It is worth noting that while theoretically three bars of 2/2 are in hemiola with two bars of 3/2, this is not how the two metres typically interact in this movement. Suggestions of 2/2 metre can arise starting on any beat and last for any duration, although admittedly some of the most striking are full hemiola cycles. This brings into play the idea also proposed in discussion of Op. 88, that a movement may foreshadow its eventual transformation into another metre without explicitly changing into it as does the last movement of Op. 1.

The conceptual relationship between a metrical consonance/dissonance model and a generally contrapuntal lens is relevant in this movement: 2/2 suggestion in this movement frequently arises in complementarity against a backdrop of 3/2, and the analogy of dissonance does not always seem appropriate. However, as in Op. 1, *accentual* counterpoint is rarely necessary as a conceptual lens beyond metrical dissonance.

7.3.3.1 Order and transgression, metre and key

An in-depth harmonic analysis would be needed to consider the interaction of tonal suggestion and metrical suggestion properly; the following merely offers a few points where the two dichotomies, between major and minor and between triple and duple metre, seem particularly evident.

Starting at the end of the exposition (Example 7.23) shows the proposed dimensional agents in stark opposition. As the first violin's solo winds down, it increasingly emphasises 2/2 through harmony and parallel grouping as it simultaneously opens out into E♭ major.[64] This, though, is challenged by the ominous return of the primary theme, minor harmony, and 3/2 metre, in the cello. The dialogue between the two 'teams' is obvious in bars 74–82 (first time). In the first-time repeat bar, the lyrical second theme (and 2/2) yield to the minor key in the moment before the reprise.

Hemiola, or at least duple metre, is associated with major or climactic harmonies from the beginning (Example 7.24). The two act rhetorically as a disruptive force in the first phrase; 2/2 grouping on A♭ major (as ♭VI) in bars 5–6 leads to the two fermatas in bars 8 and 10. These long notes with no articulated layers can reasonably be expected to challenge any

[63] The only previous use of 3/2 in nontexted music is in Op. 8/1, where it creates artificial hemiolas in the exposition which (in the revised version of Op. 8) are not repeated in the development or recapitulation.
[64] While this creates in some sense a 3/1 hemiola, in fact these 2/2 bars are paired (70.3 and 71.2, 72.1 and 72.3) so there is also the faint effect of a hemiola at twice that scale (three bars of two semibreves).

listener's ability for metric projection; the effect is compounded by their internal upbeat/downbeat ambiguity created by harmony and the agogic accents of the long notes. So from bar 11 there is a sense that the music is trying for a new start on a different tack; a new tonal centre (F minor, with subdominant emphasis), a lyrical theme, and a slightly more polyphonic texture. Metrically this passage restarts in the 3/2 metre of the opening, and notably there is a suggestion of a new pulse layer (triplet crotchets), a common Brahmsian device for contrasting formal areas. But this theme too seems to falter, and yet again this is soon after the suggestion of 2/2 through rhythmic grouping, in bars 19–21, paired again with major harmony.[65]

Major harmony and 2/2 metre are paired together for the third and most marked time in bars 37–40 (Example 7.25). Both emerge in the subordinate theme, and both are stronger in bars 39–40 than in 37–38. The crescendo is aligned with the flat-side-major patch in this circle of fifths progression, and the diminuendo in bar 40 starts at the same time as the V6-4/B♭m (a minor harmony) is reached; the music has a palpable sense of retreating.

A key passage is bars 53–61 (Example 7.26). The harmony moves to B♭ major as V/E♭; the expectation is for a PAC in E♭ (as relative major). Between bars 54 and 56 there seems to be an effort towards a culminating hemiola, which seems to fail at the moment the music harmonically falters, falling toward the minor mode: the third beat of bar 55. The second attempt at the hemiola, in bars 58–60, is metrically more complex, with added displacement, and harmonically a more striking circle of fifths progression, leading even more clearly towards E♭ major.[66] But this too falters, falling out of the sequence both metrically back to 3/2 and harmonically onto F minor as ii of E♭ major; this is followed by the closing passage noted above.

It is worth noting that C major is not hinted at in the exposition as a possible tonal destination for the movement. Equally, neither is there a particularly strong indication that something unique in Brahms's oeuvre will happen metrically in the shape of a notated modulation to 2/2, despite instances of 2/2 in the exposition often being disruptive. Rather, the expectation (if any) is that such destabilising elements might be stabilised in some way in the recapitulation and/or coda. Instead they take over.

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[65] Musgrave points out a harmonic ambiguity here: Schoenberg hears the unharmonised F sharps (bars 20 and 21) as the dominant of B minor. My point holds regardless, although the points of alignment between 2/2 metre and major/dominant harmony change.

[66] It is hard to analyse where the perceived strong and weak beats come in these bars. There are several possible readings, but the grouping does strongly suggest 2/2, in whichever alignment.

At the beginning of the development, the four players are wrenched out of their previous teams, beginning with an A minor chord outlined in interlocking 2/2 in the second-time bars, and then again in bars 92–93 (in counterpoint, or direct dissonance, with triple metre in the cello). At the same time, the (albeit remote) possibility of C major as a destination becomes possible with the key signature change. Neither is followed through; the next thirty bars of the development are populated by minor harmonies and 3/2. The A major harmony which ends the development, though, is ushered in by four bars of hemiola (125–128), first on dissonant harmony and then on an E major seventh harmony (127).

In the recapitulation, the harmonic alterations that Brahms makes do not shake the frequent association of 2/2 with major harmonies. What is important, though, is that for the first time 2/2 and C major become paired, in the reprise of the circle of fifths passage, now bars 199–201.

As in Op. 1 and Op. 88 (and in both the notationally directional movements of Op. 34, for another example), the modulation to the final metre occurs at the coda boundary. Yet the expressive rhetoric here is different from each of the movements explored above. Diminished harmonies, displacement dissonance, a ghostly detached texture, and the *crescendo ed agitato* direction are all at odds with the triumphal endings of Op. 1 and Op. 88. While duple metre has been associated with major harmonies throughout this movement, the moment when the two are reached is reinterpreted as tragic. What makes the coda a site of instability? This could be examined under four headings: form, theme, harmony, and metre.

Formally, Brahms sets up the coda as a 'necessary space' through the lack of closure in the final bars of the recapitulation (Example 7.27). Here there are three cadential approaches in a row; each of the first two (215 and 219), seemingly in C major, are then seemingly undone in the tonic bars by the major-to-minor shifts and restart of the main theme (bars 216 and 220). The third time (bar 223), the lyrical descent is in C minor, and this leads to the coda, but without $\hat{1}$ being reached. The coda space, therefore, still contains the expectation of a confirmatory PAC, in one or other modality. It denies this: the closest is bar 244 (the only instance of a bass V–I motion apart from the penultimate bar), where upper-voice resolution is delayed to the half-bar, at the same time as the tonic is destabilised by the addition of a seventh.

Moving to the thematic sense of instability in the coda, there is uneasy fragmentation of the main theme, which seems to lead to functional ambiguity – it is certainly never cadential, and seems also neither initiatory, but rather medial or developmental, with a stretto quality. At the same time, the opening of the coda features *extension* of one of the rhythmic ideas from the subordinate theme, which creates a slightly wandering quality. In terms of phrase structure the coda is very loosely-knit, containing several redundant repetitions of four-bar sub-phrases and no clear sentential or periodic constructions.

Harmonically, the coda's methods are both non-confirmatory in C major and suggestive of C major as dominant to F minor. This is encapsulated in the first two bars (224–225) but also found across the coda, for example in the general flat-side emphasis, frequent C pedals which become suggestive of a dominant, and the chord progressions between bars 244 and 251.

Metrically, there is displacement at both the crotchet and minim level, and the coda never reaches metrical consonance; the accents in the middle of the closing bars (Example 7.28) create displacement dissonance, and this continues to the end, moving into the bass part in the penultimate bar and thus undercutting the metrical finality of the final chord. There is also a final, metrical twist in the shape of the Ritardando-Bewegung, in bars 253 to the close. As discussed previously (2.23.1.2), this metrical device has something of an inherent paradox, since it signals deceleration on one level of the metrical hierarchy at the same time as another level remains constant.

Rather than transcendent, the C minor-to-major move in the coda is presented in all dimensions as a failure. The major close is reminiscent (or rather prescient) of that of the C minor Piano Quartet, Op. 60, which Peter Smith has investigated as brittle, as part of his extensive analysis in the light of the well-known connections of the Quartet with Werther.[67] As a tricky example of Ritardando-Bewegung, the idea of metrical brittleness seems to capture some of the effect of the very final bars as well, as deceleration on different scales (pulse and bass) leads one to the final chord as a trick of displacement.

One of the fascinating things about this conflict between metres and keys is that it cuts across the sonata form, resurfacing in both primary and subordinate theme material, regardless of key area and across the formal areas. While metrical and harmonic processes are often paired in the way noted above (major with 2/2), this is still compelling

[67] Smith, *Expressive Forms in Brahms's Instrumental Music*.

dimensional counterpoint in the way metre interacts with form all the way up to the scale of movement and work.

In this movement, then, directional metre is part of a narrative of failure. In terms of the narrative archetypes it is a tragic narrative, since a favoured transgression (duple metre, suggested as favourable through its use in climactic progressions) is defeated. This failure is signalled rhetorically by many parameters in the coda; 2/2 itself continues, but the associations of the other parameters (including metrical aspects such as the Ritardando-Bewegung and displacement dissonance) creates the sense of failure, most notably a failure to achieve cadential climax. As in Op. 34, though, this narrative is also part of a work-level trajectory; indeed, Op. 51/1 is one of the most tightly linked of Brahms's multi-movement sets, with the opening of the fourth movement following on from the end of the first almost seamlessly. Between them, Musgrave has noted the 'overt means of unification and a scaling of the inner movements which strongly suggest overall conception rather than the uniting of discrete movements.'[68]

7.3.3.2 Misreading

As mentioned, this movement can be read as hermeneutically in dialogue with Beethoven. The tragic reinterpretation of the C minor-to-major trope within the first movement both leaves the work open for necessary completion, and states Brahms's advance on Beethoven.

In the finale of Brahms's First Symphony, Mark Evan Bonds theorises that the Ode to Joy allusion is not simply an homage to Beethoven, but a subtler example of Bloomian misreading: by referring to Beethoven but then negating the Joy theme in the ensuing discourse of the work, Brahms overcomes Beethoven by acknowledging him and then following his own path.[69]

There is a possibility here, then, that Brahms conducts another kind of misreading, of the minor-to-major trope itself. After the mode-switch, the coda struggles to recapitulate primary material in the tonic major. The coda in the end features no satisfactory cadences, only a sort of aimless circling around, with modal mixture continually destabilising the major mode, and C major continually acting as dominant to F minor. The end seems to peter out.

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[68] Musgrave, *The Music of Brahms*, 111.
[69] Bonds, 'The Ideology of Genre'.

Brahms shows the C minor-to-major paradigm, then, as empty. Similarly, despite the hints of hemiola across the movement promising duple metre as transcendence, the grass turns out not to be greener on the other side metrically either. But by doing this within the first movement he grants himself the possibility to move onwards across the rest of the work – the last movement will pick up in medias res with primary material from the first movement, and in 𝅗𝅥, and with the pivotal diminished seventh harmony now poised to close into C – a C that will remain resolutely minor.[70]

One argument against this would be that Brahms is not following a Beethovenian precedent, which is itself exceptional, but another. Riley's investigation into modal reversal in Viennese minor-mode symphonies shows that 'Neither Mozart nor Beethoven favors an "escape" from minor *within* a sonata-form movement (there are of course examples at the level of the whole multi-movement cycle such as Mozart's String Quintet, K. 516, and Beethoven's Fifth and Ninth Symphonies).'[71] Haydn, on the other hand, is more representative of his time (including composers such as Vaňhal and Dittersdorf) in transforming to the major mode and remaining there (in Haydn's later symphonies, this tends to happen during the recapitulation). A second aspect of Riley's argument is that Beethoven is exceptional *and influential* 'to a modern listener's retrospective interpretation of the late eighteenth-century pieces as shallow. The modal switch is achieved without much toil; it is, as it were, unearned.'[72] Against this second backdrop, however (Haydn and the *Kleinmeister*), Brahms's strategy in Op. 51/1 is still remarkable. He may follow the trend of changing to major for the last section, but the rhetoric is still one of emptiness, even if the 'sonata form as labor' trope is negated. Op. 51/1 is also remarkable in comparison to these other composers in that the finale is minor despite the first movement switch to major; in Riley's corpus only Haydn's Symphony No. 26 in D minor

[70] The movement has been noted by various scholars. Hepokoski and Darcy include it on their 'roster' of nineteenth-century 'Type 2' sonata movements. Robert Pascall ('more satisfactorily', according to Paul Wingfield; p.158) classifies it as exhibiting a 'sonata form with conflated response' form, one of nine such forms in Brahms's oeuvre.[70] Paul Wingfield's review of EOST also cites a(nother) historical precedent, Schumann's Fourth Symphony, in which all four movements are 'characterised by structural incompleteness' (the first having no genuine recapitulation) and the fourth movement acts 'as a large-scale recapitulation to the first movement' (p.159–160).[70] Wingfield, 'Beyond 'Norms and Deformations''; Robert Pascall, 'Some Special Uses of Sonata Form by Brahms', *Soundings* 4 (1974): 58–63.

[71] Riley, *The Viennese Minor-Key Symphony in the Age of Haydn and Mozart*, 205. Emphasis added.

[72] Ibid. On the issue of 'sonata form as labor', Riley points to Scott Burnham, 'The Second Nature of Sonata Form', in *Music Theory and Natural Order from the Renaissance to the Early Twentieth Century*, ed. Suzannah Clark and Alexander Rehding (Cambridge: Cambridge University Press, 2001), 136–41.

follows this pattern, against the norm that 'if the first movement of a symphony turns from minor to major, the finale normally begins in major and remains there'.[73]

7.3.3.3 Accentual counterpoint

The hemiolas at the end of the exposition – the first passage examined above, Example 7.23 – show a subtle division of accent-types. Grouping and articulation help accent the hemiolas as marked by the slurred groups (e.g. the first and third beats of bar 70), but the second internal beats of each hemiolic beat (particularly from the first and third beats of bar 71) seem increasingly weighted, with contour accents reinforced by local V-I progressions, and arpeggiations seeming relatively stronger than double neighbour-note circlings.

One of the most pervasive metrical aspects of the movement occurs at a very low level – the abundant use of quaver pairs in *abba* formations (and occasionally *abbccd*…). These figurations play subtly with several aspects of metrical structure: harmony, in the metrical weight of dissonance versus resolution according to MPRs 6 and 7 (2.6), and sometimes in situations where both notes create a plausible harmonic sonority; parallelism, since the pairs by constantly switching never achieve a clear metrical role and so frustrate the creation of parallelism; and implied agogic accents, since the repeated notes between the pairs create virtual longer notes and thus a subtle syncopation effect. But all this is without the pairs creating strong metrical dissonance.

Otherwise the metrical aspects of the movement are generally explicable with the terminology of metrical dissonance. Hypermetre is also remarkably regular throughout the movement; the passage at the end of the exposition pulls against a background structure of regularity slightly, and there are a few expansions at normative locations (the end of the expository second-time bar, and bar 126 leading to the climax of the development), but there are no areas of true ambiguity, with most of the movement instead falling into clear duple hypermetre.

7.3.3.4 Conclusion: diachronic narratives

The deployment of metrical narrative in this movement stands between the works explored so far – Op. 1 and Op. 88 – in the relationship between its background and material narratives. It is less sectional than the blunt background narrative of Op. 1, where the final time signature is explicitly introduced and isolated earlier in the movement; instead, suggestions of 2/2 crop up throughout the musical discourse. On the other hand,

[73] Riley, *The Viennese Minor-Key Symphony in the Age of Haydn and Mozart*, 204.

the material narrative of Op. 88 continues in that movement's coda with satisfying development of several of the metrical issues from the movement, whereas in Op. 51/1, once the coda is reached and the fragmented theme is introduced, there is little development of its metrical content. Like Op. 1, the coda instead focuses on what feels like a distinct metrical dissonance new to the coda: the *sforzando* chords on the half-bars between bar 244 and the end. Like Op. 88, though, the background narrative is but a smaller episode in a much larger, work-level narrative; in both cases this grants some hermeneutic purchase, through historicism in the case of Op. 88 and through a wider intertextual web in the case of Op. 51/1. However, whereas in Op. 88 this hermeneutic exercise can reach some kind of conclusion, in Op. 51/1 the final movement – though clearly continuing the narrative of the first – grants little hermeneutic illumination with respect to the conflicts of the first in any dimension, motivic, harmonic, or metric.

What can be said is that in this movement a tragic affect is connected not only with tragic aspects of structure but also with aspects of metre. The sense of loss in the coda is palpable, and this is matched by a metrical shift which is remarkable even within the oeuvre-wide subset of such remarkable shifts. This is not the only analysis of the quartet to claim it as exceptional within Brahms's complex practice of dialectical synthesis. Responding to David Lewin's analysis of the quartet's historicist aspects, where Lewin sees Brahms synthesising Beethovenian and Mozartean phrasal discourse, Korsyn claims that 'Brahms does not merely juxtapose two historical modes, opposing Mozart and Beethoven; he also interrogates each mode to bring it into conflict with itself. Rather than resolving historical contradictions, Brahms introduces them.'[74]

7.3.4 Aspects of true directional metre – Op. 120/2/iii

7.3.4.1 Introduction

In true directional metre, two tonic metres are each firmly established across a movement. In the chapter introduction this concept was problematised; how can two tonics act as such within a single piece, including the articulation of initiation and conclusion, without the piece dissolving into two complete but separate structures? In the example given here, from the end of Brahms's career – Op. 120/2/iii – the rhetorical effect is again mostly like the 'auxiliary cadence' interpretation, in that the piece appears to reach a positive outcome which 'overcomes' the preceding atmosphere. But aspects of the situation more closely approach directional metre than the two previous examples of auxiliary cadence, because,

[74] Korsyn, 'Brahms Research and Aesthetic Ideology', 97.

while perhaps not creating two complete structures, the movement plays with repetition, closure and 'work' in different dimensions, including metre, to create a complex structure.

Specifically, the last section of the movement, encompassing the final variation and coda, contains the most engaging metrical work of the movement, which arguably suffices as a complete metrical narrative. While ambiguity is abundant at both metric and hypermetric scales, the subtlety with which it is employed at the latter is the focus of the analysis, positing that hypermetric work establishes the final metre as a plausible tonic. This kind of hypermetric work is not present in the rest of the movement, and neither is the musical motive – the closing gesture of the theme – whose hypermetric role is in question. Tonal closure, on the other hand, is found just before the beginning of the final variation. However, the 'problem' of repetition in variation structures is also present; of all the variations, the final one most accurately reprises the voice-leading structure of the theme, while the penultimate variation is the least loyal to this structure. So despite the closure of a tonal narrative and the opening of a metrical one, acting as structural separators, this voice-structure reiteration acts to bind the structures together nonetheless.

This is one of three movements from the end of Brahms's career that exhibit notationally directional metre; the other two are the third and fourth movements of the Clarinet Quintet. In both the quintet movements, directional metre is not so much teleological as nostalgic; in the third movement, the trio section concludes with a highly abridged return of 'Menuetto' (*Andantino*) material, but framed within the trio's time signature, creating a sense of backward-looking through incompleteness.[75] In the final movement, the transformation of time signature also brings back earlier material, but here from the opening *movement*. Though the tropes of memory are far more subtle in the sonata than the explicit cyclic nature of the quintet, all three movements share the property that NDM is part of complex narratives and structures.

As well as NDM, of course, the movement also shares an aesthetically notable property with the last movement of the Clarinet Quintet in its theme-and-variations structure. The aesthetic issues associated with writing variations (as well as analysing them) have been much discussed, both generally and in relation to Brahms.[76] It is not novel to point out

[75] McClelland considers that 'the move back to the *Andantino*'s slower rhythms and major mode is satisfying – even magical – but has a sense of fragility, a reverie soon shattered by the finale's *forte espressivo* plunge into its tragic B-minor theme and variations'. McClelland, *Brahms and the Scherzo*, 286.

[76] Nicholas Marston, 'Analysing Variations : The Finale of Beethoven's String Quartet Op. 74', *Music Analysis* 8, no. 3 (1989): 303–24; Elaine R. Sisman, 'Brahms and the Variation Canon', *19th-Century Music*

that the final movement of 120/2 manages, like several other Brahmsian variation sets, to synthesise contrasting tendencies,[77] but this particular combination in metre of a directional progression with one of unification has not been noted before.

The theory around both metrical narrative and directional metre is problematic to apply in this situation. The analysis concludes with some discussion of whether either or both theoretical lenses have offered fruitful insight into the movement.

7.3.4.2 Analysis

The movement is a set of variations (form in Table 7.5) and contains only one change of time signature, moving from a pastoral 6/8 (*Andante con moto*) to 2/4. As in so many variation sets, the first three variations employ successively diminishing note values as pulse layers, towards demisemiquavers in the third, then the fourth returns to the quaver as pulse layer before the abrupt change in the fifth variation.

Section	Theme bars 1–14	Var. 1 bars 15–28	Var. 2 bars 29–42	Var. 3 bars 42–56	Var. 4 bars 57–70	Var. 5 bars 71–97	Coda bars 98–153
Key	E♭ major					E♭ minor	E♭ major
Tempo	Andante con moto					Allegro	Più tranquillo
Metre	6/8					2/4	2/4

Table 7.5 Op. 120/2/iii, form.

Rather than looking at how the exploration of mixed metrical spaces creates tonicity within the 6/8 section, this analysis looks at the 2/4 section – the final variation and coda – and uses the more general idea that metrical *work* can create both narrative and a sense of tonic, suggesting that this occurs in this final section. Through the hypermetric manipulation of a significant motive, which has remained unstable through the movement, towards a stable orientation, the final variation and coda create a sense both of tonicity and of closure in the metrical dimension.

The theme is highly unusual in that it contains no perfect cadences in the tonic.[78] Peter Foster examines the intricacies of this theme, including invertible counterpoint, and the 'harmonic pun' of being able to harmonise the closing figure (Example 7.29) with a

14, no. 2 (1990): 132–53; Littlewood, *The Variations of Johannes Brahms*; Victor Luithlen, 'Studie Zu Johannes Brahms' Werken in Variationenform', *Studien Zur Musikwissenchaft* 14 (1927): 286–320.

[77] Musgrave, for example, has also noted how the coda 'unites [the movement's] two characters – the reflective and the impassioned'. Musgrave, *The Music of Brahms*, 255.

[78] Foster also notes this, suggesting that it may be unique in the variation oeuvres of Brahms as well as Beethoven. Foster, 'Brahms, Schenker, and the Rules of Composition', 212.

perfect cadence in the dominant or a plagal cadence in the tonic.[79] He suggests that the rarity of a lack of tonic PAC is softened by the context of three movements on the same tonic, which 'reduces the need for a strong articulation of the tonic, and arguably necessitates a more elliptical treatment, for the sake of tonal variety.'[80] Further, Littlewood notes that the I-i-I scheme of the movement reflects that of the sonata as a whole.[81] Littlewood also creates a twofold connection to late Beethoven: the movement plan of his Op. 109 (sonata-form first movement, stormy middle movement, slow variation finale), and the formal plan of the Arietta from Op. 111.[82]

As noted above, the notated metre changes from 6/8 to 2/4 for the fifth, final variation and coda. This fifth (minor) variation stands in clear contrast to the rest, in mode, tempo, dynamic range and metre; Littlewood says that 'the principal deviation from the theme's characteristics occurs in the *final* variation, leaving the return to the "coda"',[83] and Musgrave concurs, saying that 'In its passionate reinterpretation of the model, this [final] variation, which lacks the normal repeats, stands at the most distant point of [the] structure'.[84] But Foster's Schenkerian perspective on the movement refines this view. Analysis of the elegant construction of the theme leads Foster to an interpretation that the first four variations 'successively correct and resolve the tonal "flaws" in the structure of the theme, attaining complete tonal clarification and closure in bar 70' (the end of the fourth variation).[85] However, according to Foster the fourth variation also simultaneously contains elements of ambivalence; it 'resists identification with the theme' and 'negates the theme's characteristics' through its subtle changes of harmonic path, such that its strong tonal closure and clarification is at the cost of contrast. The fifth variation, on the other hand, reprises the melody and voice-leading structure of the theme almost unaltered, thus serving a certain function of reprise at the same time as a reawakening of instability. At the same time, modally 'the development of the minor elements of the theme [in the first and third variations] leads to the minor-key variation, which in turn necessitates the formal coda in the major'.[86] There is thus a certain dimensional counterpoint in play – the fourth variation clarifies the tonal problems of the theme, and creates harmonic closure, but in

[79] Ibid., 214.
[80] Ibid., 213.
[81] Littlewood, *The Variations of Johannes Brahms*, 219.
[82] Ibid.
[83] Ibid.
[84] Musgrave, *The Music of Brahms*, 255.
[85] Foster, 'Brahms, Schenker, and the Rules of Composition', 243.
[86] Ibid.

the process becomes ambivalent, while the fifth variation changes parameters but creates the strictest sense of reprise for the background structure. Nevertheless, none of the three authors comment on the structure or function of the coda, which will be one of the concerns of the analysis below.

A final aspect of directional structure worth noting in this movement is the play with a breakthrough deformation trope (or a fusion trope, from another perspective): by beginning *Andante con moto* as the third movement of the Sonata it suggests a slow inner movement; just as the gigue suggestion at the end of Op. 88/iii closes a spectral dance suite, here the *Allegro* final section does the same for a background four-movement structure.

7.3.4.3 The closing gesture and hypermetric transformation

The metrical content of the incipit is the impetus for most of the movement in its progression through a fairly unremarkable set of metres. But the last five notes of the theme hold the key to the final variation and coda. The first four variations exhibit hypermetric stability, perfect cadences at their end, and the *absence* of the closing motive. This is no coincidence; the problem of how to turn the closing figure into a gesture of closure fit for a final movement is what occupies the final variation and coda, and metre and hypermetre are key to this process, as the identity of this motive in both senses is transformed. The motive having been absent from the body of the variations, the transformation towards this identity takes place across the fifth variation and coda.

As well as containing no perfect cadence in the tonic, metrically the theme also finishes on the weak second beat of the 6/8 bar (Example 7.29 again). The closing motive occurs three times within the theme, each time in the same metrical arrangement. The bass leap of a fourth each time, however, along with the hairpins, create a light displacement dissonance; this feature is to be intensified later in the movement. Nevertheless the weak beat status of the final note is not in question, softened also by the suspensions in the first two instances; this weak close contributes to the gentle atmosphere of the theme.

Yet by the end of the movement, the metrical profile of this motive has been transformed. Example 7.30 shows the final bars with two possible hypermetric readings. Reading A seems the only plausible one; while reading B keeps the first lower beat of the motive on a strong hyperbeat, it does this in spite of the lack of textural accent, also assigning a strong beat status to a parallel repetition of melodic-motivic material (bar 150 repeating bar 149),

and it falls apart in the last three bars, assigning weak beat status to the first, forte, long, tonic chord, but strong beat status to its short repetition, occurring in an inner register in all three lines. Reading A follows the textural accents, the parallelism of the piano part in bars 149 and 150, and the weighting of all aspects of the final bars. It seems perfectly plausible, perhaps likely, that many listeners will *start* this example in reading B, but few are likely to end it without having transferred to reading A.

The added iteration to the chain of melodic rising sixths means that, even perceiving in reading A throughout, the lower note of the rising motive can retain strong beat status – in bar 149 – as well as the final note, in 151 – Brahms manages to have his cake and eat it.[87] In the following analysis, the term End Alignment (EA) refers to reading A, assuming it intersubjective to claim this as the final hypermetric alignment of the motive, where the final note is a strong beat and/or a strong hyperbeat. This is reached from Initial Alignment (or IA), where the final note falls on a weak beat of the bar, as it does in the first fourteen bars of the movement. This is the transformation – from initiatory to concluding – which represents the metrical work of the final variation and coda.

The metrical conflict which accompanies this transformation in the final section is at odds with the hypermetric stability of the body of the movement. While each of the variations exhibits metrical variety and some metrical dissonance, in the first three this is created mainly through varying note durations and displacement dissonances at low levels. The fourth variation (Example 7.31 and Example 7.32), on the other hand, has a consistent disjointed hemiola figuration. While this variation is an interesting example of accentual counterpoint,[88] more salient for the narrative of the closing figure is that, like all the first four variations, it closes melodically on the fifth, weakest quaver of the bar, as can be seen in Example 7.32, creating weak metrical closure, but here this is accompanied by a much higher level of metrical ambiguity.

The fifth variation (Example 7.33), though, comes 'with a bang' and a much more comprehensive metrical reinterpretation of the theme (in contrast, in turn, to its strict

[87] This ending also hypermetrically echoes that of Op. 120/1, where in the final movement the primary thematic cell – the three repeated-note hammerblows – are always hypermetrically strong-weak with the sole exception of their last appearance, a remarkable last-moment reinterpretation.

[88] This disjointed hemiola is most disorientating on the first and third bars; though the non-displaced layer is technically in the bass (in the clarinet part), it does not create stability; rather, the piano part, intensifying the displacement inherent in the thematic incipit (which throughout the movement teeters on the brink of being perceived as shifted), is likely to be heard as the non-displaced layer against which the clarinet is in imitation. Density accents here outweigh the harmonic weight of the bass part, perceiving whose metrical stability would usually have preference.

adherence to the theme's voice-leading structure). This exhibits a strong D♩2-1 dissonance, almost to the point of shifting the perceived metre. However it also sets up a duple hypermetre that is at first stable at the level of parity between hyperdownbeat and hyperupbeat, regardless of whether these hyperbeats are shifted by crotchets or not. Whether a listener hears the first barline where it is notated or a beat earlier, they will hear it as a hyperdownbeat.

But the displacement dissonance is then itself disturbed by the appearance of the closing motive in bars 76–78. Both the interaction with the preceding displacement dissonance, and the motive's relative metrical stretching compared to the rest of the theme – it appears in crotchets – mark it as important.

For the first time, the last note of the motive appears on a notated downbeat. The figuration repetition between bars 75 and 76, as well as the repeat of harmony across the barline into 77, suggest the possibility that this (78) may be a hyperdownbeat as well, which would shift to End Alignment (EA) immediately, but this is retrospectively discarded by the following bars, which exhibit consistent parallelism in one-bar pairs. (In a subtly different reading, the ***sf*** markings on bar 75 prepare for the return of the motive by correcting the displacement dissonance early. This has the effect of lessening the metric disorientation in bars 76 and 77, and consequently lessening the suggestion of hypermetric return reorientation at 78. This, though, would in turn be challenged by the accent on bar 83.)

Something similar happens at the end of the next phrase, at bars 84–86 (Example 7.34). Here the motive is more prominent, and the fact that the preceding bars were a metrical paraphrase of the opening bars makes this on the one hand a less disorientating moment, still supporting IA. On the other hand, the motion from i-V over the barline to bar 86 makes this bar feel more likely to be a hyperdownbeat than the ♭vi-V of previously. The bars immediately following continue this, supporting EA through a pair of iterations which lead towards G♭ major. So it is possible that some listeners will have switched to EA by this point; if they have, though, this in turn will be challenged before the end of the movement.

Whether one is listening in IA or EA, the grouping dissonance in bars 90–91 (Example 7.35) seems bound to suspend metric and hypermetric projection. This moment represents the intensification of the suggestion of reverse hemiola found in bar 11 of the theme. The

following bars then contain aspects that support each of the four possible arrangements of hypermetre (odd-strong, even-strong, and the crotchet-displaced versions of these), but arguably strongest is the one which places a hyperdownbeat on bar 93, or the displaced version of this the beat before. This keeps parallelism between the two one-bar groups in the natural form strong-weak, and puts local tonic harmony (or its applied dominant) as strong against subdominant harmony (or its applied dominant). When the motive returns in bars 94–97, continuing the reading supports IA.

The transition back to E♭ major at bar 98 begins the coda (Example 7.36). Yet again, accent-types are in conflict, so suggesting an exact moment when a listener might transition between hypermetric alignments is impossible. Analytically, bar 98 seems a strong contender; the moment of modulation to tonic major is likely to be felt as a hyperdownbeat. This is also the first time the motive has moved towards the tonic, whether minor or major, since the theme. The metrical change to triplet quavers in the clarinet part also suggests a strong beat on 98 (a new event accent). Nevertheless, a listener with strong inertia may continue to read it in IA – and perhaps ironically (given the eventual shift), one who is used to Brahms's metrical tricks, where surface irregularity hides background regularity, is more likely to do so.

In the following bars until the end of the movement, Brahms uses various tricks in order continually to construct and undermine perception of hypermetre. First note in Example 7.36 the use of the opening motive (in the fifth variation version) in bars 102–104 and bars 111–114. This has previously been used in pairs of the form strong-weak, so if reinterpretation to EA has happened already, the two would be in conflict. The following bars, 105–106, continue to 'rule in favour' of the opening motive being hypermetrically strong (and correspondingly of IA: hyperdownbeats on 103 and 105) with a prolongational progression, again in a one-bar pair (and this expanded tonicization of V echoes that in the theme). Yet this is immediately followed by a pair of closing-motive statements that conflict yet again (107–109 and 109-111). If one has stayed in IA, and followed the parallelism of the opening motive and the prolongational progression, then this is the statement of the closing motive which will challenge that most strongly, and either the one in which the transformation to EA will happen or the one in which EA at bar 98 with the change to major is reinforced. But, yet again, this is challenged, this time by the return of the opening motive in bars 111–114. Meanwhile, mid-bar, bar 107 contains the only harmonic succession that could possibly be a cadential arrival (an elided PAC) in the coda;

bass $\hat{5}$-$\hat{1}$ motions are rare, and despite the separation of these harmonies (it is difficult to call them a progression, hence 'succession') they gain prominence due to this cadential scarcity. During a passage in which displacement between bar and half-bar is absent (contrasting with most of the fifth variation) but in which hypermetric orientation is contested, this adds an extra moment of confusion, intensifying ambiguity and enabling seemingly endless rehearings.

A period of hypermetric stability is found between bars 115–129. Retrospectively this supports the hypermetric transformation of the closing motive to EA in its preceding statement (107–111), but this also entails the reorientation of the opening motive. But we are not out of the woods yet. The arrival of the diminished seventh and its prolongation through bars 130–135 pits contour accents against agogic accents to blur hypermetre, ending on a held chord (134) that suggests a fermata. Then bars 135–143 feature a patch of quaver-level displacement dissonance, a (displaced) one-bar pair, and a repeat of the strong 3-layer grouping dissonance, all blurring metre and hypermetre yet again. These bars defy any stable metrical reading. In one reading among many, diminished seventh harmonies can take a strong role in manipulating hypermetre, creating an almost triple hypermetre through several expansions, with hyperdownbeats on 136, 139, 141, 144 and 147. At the speed of the coda, these triple hypermeasures recall the slow triple metre of the theme in augmentation. The same kind of telescoping effect is found is found in the final bars; as well as the relatively diminished (piano right-hand, 148–149) and augmented (clarinet, 148–151) versions of the closing motive being heard simultaneously, the metrical profile of the E♭ bass arpeggiation in bar 148 seems to be echoed in augmentation by the octaves of 149–150, and then is truly echoed in augmentation by the clarinet in bars 151–152 (Example 7.30).

What seems both preferable and likely is a flexible reading which acknowledges the strong and weak points of hypermetric articulation, allowing certain patches, such as the diminished seventh chord, the potential to suspend hypermetre.[89]

Regardless of which reading might materialise to a particular listener in a particular hearing, there is no doubt that Brahms's hypermetric style is very different here to that in

[89] For another movement which plays with the possibility of varied metric placement of a motive, see the Scherzo of Op. 101, and McClelland's discussion of it (202–16), in which he claims 'as listeners, we never give up on periodic meter, nor do we come to accept varied metric placement of the movement's primary motivic idea'. McClelland, *Brahms and the Scherzo*, 202.

the final movement of Op. 1. This has two distinct aspects. Firstly, hypermetric instability in Op. 120/2 is created and sustained over much longer passages. Secondly, Brahms is able not just to manipulate hypermetre to expressive ends, but to find motives, harmonies and metric dissonances which can play with hypermetre, and to create structures with them which utilise ambiguity. As listeners we are rewarded by exploring the different possible readings, none of which is 'correct' because all of which contain conflicts between the metrical profiles of the successive appearances of particular motives, which themselves contain metrical dissonance or accentual conflicts.

7.3.4.4 Conclusion? Narrative vs directional metre

The metrical journey of the closing motive, particularly in the coda, is in many ways a paradigmatic example of accentual counterpoint: different accent-types and readings are pitted against one another across a dynamic canvas, creating an irreducible complexity.

Yet, can either Almén's theory of musical narrative, or the loose theories of directional metre explored in this chapter, offer a productive handle on this complexity? In terms of Almén's theory, it is not clear what represents order and transgression in the metrical narrative of this movement. One reading could see the inability of the theme to reach satisfactory tonal closure as a problem, a flawed hierarchy which is overcome by the positive transgression of the change of metre and rhetoric, in a comic narrative. But this theme also has something of the idyllic or pastoral about it, which might be sided with; the eventual defeat of this order might be seen as an ironic narrative.

Then the analysis above has posited that the final variation and coda represent a self-contained metrical narrative. The sense of the fifth variation as reprise, engendered by both its structural similarity to the theme and the strong tonal closure immediately beforehand, suggests it as 'rewriting' the theme (and it starts with a feeling of initiatory function), and as it takes up the narrative of the forgotten closing motive it immediately creates an order-transgression relationship in metre between the majority of the discourse and the striking closing motive. The metrical journey of this motive through different configurations and levels of stability animates the final variation and coda, and links the whole 2/4 section together. That the closing motive eventually does form a satisfying conclusion to the movement suggests a comic narrative (transgression has victory).

But it would seem odd if the movement as a whole did not also have a metrical narrative, and it is not obvious what that would be. What metrically animates the first four

variations, other than a progression through a fairly typical variety of metrical states? Can these constitute narrative if narrative is '*meaningful* change over time', since these changes, so normative, do not seem expressive?

One metrical conflict which does sustain over all the variations is that over the metrical status of the upbeat. From the opening, this metrical profile exhibits tension; the rhythmic profile (dotted rhythm leading to longer notes) and the lower bass notes support the notated barlines, while the unchanging B♭ and the upper harmony lightly suggest shifted metre, in a situation similar to that which David Lewin investigates in the E minor Intermezzo.[90] The following variations all explore this tension to a greater or lesser degree, and one aspect which ties the fourth and fifth variations together is that they both capitalise on the displacement strongly, the fourth as part of the displaced hemiola figuration, and the fifth as part of a turbulent trajectory of displacement dissonance. Example 7.37 shows part of the closing passage of the movement, where this upbeat displacement is highly intensified, particularly in the subphrases which start at the two marked points. It is arguably resolved after the extreme disorientation of bars 141 and 142; from this point, the location of the barline itself is never in question again, metrical interest remaining only on the hypermetric level. This in a sense is a romance narrative, since the destabilisation caused by the upbeat tension at the beginning and throughout the movement has been eliminated in favour of the original barline. This reading, essentially one of return, captures despite its simplicity the sense that the metrical stability at the end does relate back to the subtle metrical tension in the very first notes of the piece, despite the transformations that have taken place in the expanse between.

In terms of directional metre, which metre or metres gain tonic status in this movement? The progression through different states in the first four variations suggests a typical Brahmsian exploration of a metrical space in which the rhetorical tonic is centred. But, as in the third movement of the Op. 88 Quintet, this is not obviously the case. Table 7.6 lists their metrical states; the pulse layer of the theme could be argued to be either quaver or semiquaver. Because of the successively diminished pulse layers of the next three variations, the implicit, shared micropulse is very small, a triplet hemidemisemiquaver. Trying to relate the fifth variation and coda to these is impossible, due both to the problem of proportional tempos and the uneven rhythmic reshaping of the theme.

[90] Lewin, 'Brahms, His Past and Modes of Music Theory'.

Nonetheless, the diminution of the fifth variation continues the trend for diminishing pulse layers.

	Metrical state	Comparable state
Theme	♪3 2 2 / 𝅘𝅥𝅯2 3 2 2	(3𝅘𝅥𝅯3 2 2) 3 2 2
Var 1	𝅘𝅥𝅯2 3 2 2	(3𝅘𝅥𝅯3 2) 2 3 2 2
Var 2	3𝅘𝅥𝅯3 3 2 2	(3𝅘𝅥𝅯2 2) 3 3 2 2
Var 3	𝅘𝅥𝅰2 2 3 2 2	(3𝅘𝅥𝅰3) 2 2 3 2 2
Var 4	♪2 3 2	(3𝅘𝅥𝅰3 2 2) 2 3 2

Table 7.6 The metrical states of the theme and first four variations; the third column compares them using the shared micropulse.

What the table does usefully show is that, while the fourth variation eventually creates the typical variety on the 'hemiola side', none of the first three variations changes the location of the triple factor from the quaver grouping level. The typical act of logically centring a tonic metre would occur by moving this to both sides of its initial state; the reverse hemiola relation (dotted quavers) does not occur. As in the Quintet, variation is created on one side by hemiola, and on the other by pulse layer changes, but this does not follow Murphy's theory of how a tonic metre becomes logically asserted.

In turn, the pure duple status of the final metre problematises its assertion as a tonic in this theory, thus the suggestion that the hypermetric interest of the final variation and coda stands in for the exploration of a metrical space as a way of asserting tonic status. Both pieces of theoretical ground, though, remain shaky. The problem remains: how best should we conceive of the journey from one notated metre to a different one in a single movement by Brahms?

7.4 Conclusion

The aim of the chapter was to use the question of directional metre as a heuristic, and to explore the expressive and structural characteristics of Brahms's instances of notationally directional metre. It started with McClelland's claim that 'ending a scherzo-type movement [extended here to any movement] in a different meter than its initial one is a major development – it is definitely more common than directional tonality but not inherently less remarkable',[91] and tried to use the theories explored so far in the thesis to probe some of these remarkable instances.

Reflection on the theoretical mix itself will resurface in the thesis conclusion; in terms of the immediate outcomes of the current chapter, arguably most useful were the concepts of

[91] McClelland, *Brahms and the Scherzo*, 296.

metrical 'work' and dimensional counterpoint, particularly as employed in the analyses of Opp. 1/iv and 120/2/iii. In both cases, they offered theoretically supported readings of *how* directional metre functions in the movements. In Op. 1, despite the metrical variety in both the movement as a whole and the coda, the lack of metrical work in the coda and the dimensional relationships between sections suggest the reading of the coda as an appendix, also despite the reuse of thematic material. In Op.120/2, Brahms can be seen to create a solution to the 'variation problem', creating metrical work which justifies the time signature change, solves a problem inherent in the theme, and connects the final variation and coda into a self-contained narrative.

The setup in the Op. 51/1 quartet is more expressive and yet less structurally complex; metrical features within the coda can be used to read a sense of expressive failure in similar ways to the other movements (principally including the Ritardando-Bewegung and metrical dissonance at the close), but more pertinent was the interaction between a tangible tonal and intertextual narrative (the progression from C minor to major), and a metrical narrative (triple to duple) which gains expressive connotations through its articulation in tandem with other dimensions of the movement; the metrical conflict between triple and duple becomes a way of experiencing the movement. But the final transformation to duple belies the sense of yearning that hemiolas have held through the movement; attention to this aspect creates the tragic metrical narrative. The opposite could be said of Op. 120/2, where some sort of transformation arguably had to take place to turn the end of the theme into a plausible gesture of conclusion for the movement and the whole sonata, but where the exact form of the transformation was probably one of several possibilities which could have achieved this. Thus directional metre in the latter was a *vehicle* for a narrative, rather than the creating agent of such a narrative.

The previous section concluded with a question: How best should we conceive of the journey from one notated metre to a different one in a single movement by Brahms? This chapter, then, has offered a huge range of possible answers, some sitting as different scenarios within a shared spectrum and some rather reframing the question itself. The use of narrative theory did not in general provide much deep insight, but it did illustrate that instances of NDM can express and/or accompany the full range of narrative archetypes. They can also accompany the range of resolution of metrical dissonance. As Peter Smith has noted, the resolution of tonal and metric dissonance from the main discourse of the

movement can necessitate a fundamental recomposition,[92] and directional metre thus becomes one of Brahms's solutions to the problem of the role of a coda in a movement. It can also solve the problem of how a final movement can conclude a work; the Op. 88 Quintet was a particularly interesting instance of this, where the gigue transformation in the last movement's coda closes a multi-layered historicist narrative across the work, and simultaneously creates a metrical narrative of comic transformation which parallels that in other movements.

In very few of these situations does Brahms suggest a specific relationship between the tempos of the body of the movement and the close. In Opp. 88/iii and 120/2/iii, the two time signatures share neither numerator nor denominator, and the accompanying change in musical material, melodic-motivic and textural, does not allow any direct equivalence. In the other three cases – Opp. 72/iii, 1/iv and 51/1/i – the two time signatures share a metrical level, the denominator, suggesting some potential continuity. However, experience suggests that performers take a range of liberty with these tempos in all three cases. This is admittedly encouraged in two of the cases – the quartet and the sonata – by performance directions in the score (which in both cases include the word *agitato*).[93] Still, the shared material potentiates a continuity which is typically broken; this heightens the temporal rupture created by NDM, the distance between the two metres, indicating that NDM itself is taken by performers as an invitation to change tempo.

Given this typical scenario of metrical difference, the perceiving musician (performer, listener or score-studier) is drawn to the relationship between metrical states to make sense of instances of NDM. Unlike theories of proportional tempos, which whether right or wrong are dictatorial, depending on and actuated by specific performances only, these latter relationships can hold in all possible performances. The use of metrical state terminology can thus be employed in an attempt to answer questions of tonicity, specifically in the exploration of Murphy's theory of metrical balance. This worked to some extent in the analysis of Op. 88/iii, where it illuminated a stronger connection between metres than may be initially apparent. In Op. 51/1/i the shift from mixed metre to pure duple negated this kind of metrical balance, but this supported the reading of a tragic narrative, feeding into the rhetorical sense of malaise in the coda. In Op. 120/2/iii, on the other hand, a similar shift towards duple seems to be justified through the concept

[92] Smith, 'Brahms and the Shifting Barline', 218.
[93] In Op. 51/1/i: *crescendo ed agitato*. In Op. 1/iv: *Presto non troppo ed agitato.*

of metrical 'work'; the last section creates a metrical narrative through hypermetric reorientation of the closing motive, suggesting the duple metre as a second tonic.

This latter situation seems to have some potential as an interpretative approach to Brahmsian metrical complexity. The notion of metrical work needs to be refined, but there is something about the metrical complexity of the final section of Op. 120/2/iii which, as that complexity increases, increasingly sets it apart as a separate entity – call it section, narrative, or tonic quality. As an abstract outlook this encompasses both expressive and narrative aspects of models of metrical dissonance and of metrical states. Nevertheless, it falls on two counts. One is its generality, perhaps widened to the detriment of any profundity. The second is the underlying ideological issue: that such a view comes back at root to ascribing quality to Brahms's music purely for having been shown to display those hackneyed properties of Austro-Germanic Romantic supposed genius: organicism, unity. The aim of the thesis was to show that Brahms could think unlike this, and that his use of metre shows him doing so. How to do this, then to show why his music is so endlessly fascinating, and yet thirdly to do so without falling into the ideological trap, remains the problem.

Chapter 8 'Concise yet expansive': The tragic metrical narrative of the Op. 101 Piano Trio

8.1 Introduction

This chapter analyses metrical process across a whole movement. It has two aims: to investigate metre using narrative theory in a movement with clear tragic signifiers; and to theorise a metrical effect which characterises this movement.

The case study is the first movement of the Piano Trio in C minor, Op. 101. The shortest first movement in all of Brahms's chamber music, this movement is typically described in terms of strength or power. This analysis takes as its catalyst the dichotomy between ascriptions of concision and a feeling of great size, for instance as 'amazingly concentrated'.[1] William Caplin's concept of expansion is used as a springboard to investigate some of the metrical qualities of the movement, suggesting how an effect coined 'expansiveness' might be created metrically. This effect is of the same family as the hypermetric suspension seen in the last movement of the Requiem in Chapter 4; arising from subtle accentual counterpoint, it creates a remarkable forward motion, in an extreme example of the lack of structural downbeats noted in Brahms's music by Epstein.

But other senses of expansiveness than a Caplinian one are also key to the expressive qualities of the movement, which are interpreted as drawing a tragic narrative, due to the role of expansiveness in a thwarting of closure. The movement thus draws together the main threads of the thesis.

8.1.1 Form

The remarkable form of this movement has been commented on by many. Two formal features principally single it out as unusual. The first is its concision, in terms of total length and a lack of repeated material; generally about seven minutes in performance, it is 'relentlessly powerful'.[2] The second feature relates to its development and recapitulation: the former starts with tonic-based material from the beginning of the exposition (bars 81–

[1] Richard Specht, *Johannes Brahms*, ed. Eric Blom (trans) (Glasgow: Robert Maclehose and Co., 1930), 322. Other ascriptions include: 'One of Brahms's most powerful creations' (Donald Francis Tovey, *The Main Stream of Music and Other Essays* (Cleveland: The World Publishing Company, 1964), 263); 'Compact', 'tightly and concisely argued' yet 'magnificent' ('VRS'; http://vanrecital.com/2013/09/program-notes-sitkovetsky-trio/); 'a great intensity' and an 'overwhelming effect' (Kelly Dean Hansen, http://kellydeanhansen.com/opus101.html).
[2] Todd Crow, *The Compleat Brahms*, ed. Botstein, 112.

86), but the latter lacks this incipit material, beginning its correspondence to the exposition at the fifth bar (as bar 134). Robert Pascall labels this an example of 'sonata with displaced development', as the recapitulation resumes at the point at which the development interrupted the primary theme.[3]

At its other sonata-form junctures it is typical. A (formally) unambiguous, lyrical S starts after a clear TR and MC (here III:HC). Tonic major transposition of S in the recapitulation is achieved (bars 150ff), seemingly without struggle. Apart from the beginning of the recapitulation, other formal boundaries are well signposted: the coda and the development are led into identically, after caesuras (bars 81 and 192).[4]

8.1.2 Metrical expansiveness[5]

For the epithet 'expansive' to carry any weight as the catalyst for the following analysis, some definition of terms is necessary. The foundational concept used here is William Caplin's definition of expansion: 'an internal lengthening of the constituent members of a formal function'.[6] However, this defines the *result,* or *effect,* of expansiveness, rather than

[3] Pascall, 'Some Special Uses of Sonata Form by Brahms'. It is perhaps not obvious from this quote, but his implication is that the recapitulation begins in the developmental, second rotation, before the development proper interrupts it. Sonata Theory allows for the possibility of this reading in its 'Expanded Type 1 Sonata-Rondo Mixture' (see *Elements,* 409–412; Hepokoski also argues this specifically for Brahms in 'Beethoven reception: the symphonic tradition', *The Cambridge History of Nineteenth-Century Music* (ed. Samson) (Cambridge: CUP, 2014), 452); to Hepokoski and Darcy the Type 1 plan of 'sonata without development' is altered by a development space that 'billows out' within the second, recapitulatory, rotation. However, I would argue that keeping true to Sonata Theory's foundational axioms, this reading is implausible: it is a normative procedure for Brahms to begin a developmental rotation with P in the tonic, so there is no reason for any listener familiar with any Brahms to conceive of this as a recapitulation. One then simply perceives the recapitulatory rotation as having the first few bars of P 'overwritten' – with a concurrent realisation that this is balanced by having heard them earlier, adding to the concision and forward sweep of the movement. However, contributing to the strength of Pascall's interpretation is the fact that, as he points out, 'the second theme of the first subject (treated of in the development) is omitted from the recapitulation at a later stage' (p. 59). Timothy Jackson provides a third possible reading of the movement, as having a 'partially reversed recapitulation' ('The Tragic Reversed Recapitulation', 63). There are plenty of precedents for starting the development with P; Benedict Taylor cites, in the process of exploring Mendelssohn's Op. 12 quartet, Haydn's Hob. 51 quartet and Beethoven's first Razumovsky quartet, Op. 59/1; Taylor points out that 'by Mendelssohn's standards, such a return [a real exposition repeat] without any transition would have been surprisingly unsubtle for a real exposition repeat.' Benedict Taylor, 'Cyclic Form and Musical Memory in Mendelssohn's String Quartet in E-Flat Major, Op. 12', in *Mendelssohn Perspectives*, ed. Nicole Grimes and Angela R. Mace (Aldershot: Ashgate, 2012), 251.

[4] Bars 80 and 192 signal these boundaries with energetic upbeat chords after wind-downs.

[5] Issues of time and temporality are intentionally evaded in this analysis, although it is probable that the concept of expansiveness could profitably be coupled with recent work on musical time, an example being Anne M. Hyland, 'In Search of Liberated Time, or Schubert's Quartet in G Major, D. 887: Once More Between Sonata and Variation', *Music Theory Spectrum* 38, no. 1 (2016): 85–108.

[6] Caplin, *Classical Form*, 254. This analysis does not explore other conceptions of expansion. A different approach might start with an article by Karl Braunschweig's article on Bach: Braunschweig sketches 'a rhetorical basis for phrase expansion by exploring several distinct compositional means by which Bach achieves a *sense* of phrase expansion without simply extending the measure count of the phrase' (Karl Braunschweig, 'Rhetorical Types of Phrase Expansion in the Music of J. S. Bach', *Intégral*, 18–19 (2005), 71–111). He reviews three historical approaches to phrase expansion: Koch's linguistically based notion of an

how it is achieved through manipulation of musical material. Caplin's examples of expansion do not all feature augmentation; it is clear that, for him, expansion can be created through other musical means. (It is also restricted to temporality at the levels of functional expression, whereas the definition of expansiveness below seeks to be applicable at all levels.) Nevertheless, with the adjective 'internal' it captures a key aspect of expansion and expansiveness: *music feels expansive when it communicates that a temporal span of an expected length is still continuing beyond that length through internal amplification*.

To Caplin, this opposes expansion to *extension*, which is 'the addition of extra units of similar material in order to stretch out a formal function in time'.[7] In extension (for Caplin) there is the *repetition* of a unit or function, rather than its expansion.[8]

In some sense, though, the two collapse into one another, given flexibility of scale and intensity. Extension is what goes on 'objectively', or from a higher-level perspective, whereas expansion occurs from the perspective within, and can be felt with variable strength. Thus the conception suggested here is that expansion is more accurately thought of as a subcategory of extension, or operating in a spectrum within extension. The result of expansion will be extension, but extension need not feel expansive.

The suggestion is that music has the quality of metrical expansiveness when it engenders the perception that expansion is taking place, and more specifically that a particular kind of expansiveness is created metrically by the *expanded projection of one or more levels of the metrical grid.*

Metrical expansiveness is thus one expression of John Paul Ito's concept of *metrical orientation*, the concept of hearing in terms of a specific metrical grid.[9] This also resonates with Caplin's conception that functions express temporality;[10] here the idea is that musical

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expanded phrase 'clarifying' or 'embellishing' the basic sense of utterance of the phrase; Prout's view of expansions as always deviating from an eight-bar norm; and Schenker's notion of expansions as being based on 'metric prototypes' – linear progressions or voice-leading patterns which carry a metric weight, 'interacting with surface periodicity to create foreground rhythm' (p. 76). He then proposes three 'rhetorical types of expansion', each in its own domain: motivic repetition, harmonic prolongation, and dissonance expansion; and he suggests that the latter might be the most effective (p. 83).

[7] Caplin, *Classical Form*, 254.

[8] The most useful pages are 54-55, where Caplin gives an example of a period which he believes displays extension in the antecedent and expansion in the consequent.

[9] Ito, 'Hypermetrical Schemas, Metrical Orientation, and Cognitive-Linguistic Paradigms'.

[10] For an exploration of this aspect of Caplin's thinking, see his contributions to William E. Caplin, James Hepokoski, and James Webster, *Musical Form, Forms, and* Formenlehre, ed. Pieter Bergé (Leuven: Leuven University Press, 2009).

material can express its typical role within a metrical grid. This concept is notable because in most metrical theory, orientation is either absent (the analysis is concerned with a post facto reading of the score) or orientation is based entirely on projection (in the case of metrical dissonance); in the former, an understanding of metrical structure is formed once listening has taken place; in the latter, it is the projected continuation of an established structure. Considering metrical orientation as an unfolding, present process signalled by material, albeit interacting with projection, is somewhat novel.

What is the effect of expansion, or expansiveness, on a listener? The sense of internal amplification results in a feeling of approaching a known point but being held back from it, of increased potential energy. In some way it feels like a slowing down, but one with a reactionary forward force. And this sense of retardation, of course, is in conflict with the unerring advance of 'real time', or 'clock time', just as musical expansion, and metrical expansiveness, can be created simultaneous by the normal continuation of other metrical layers. What is remarkable in Brahms's music is when the pace of different threads of time diverges.[11]

An example can be found by revisiting the 'Immer leiser' example from Chapter 4, which shows metrical expansiveness as part of accentual counterpoint. While metre and hypermetre are often uncertain in this song, in the bars preceding Example 8.1 (repeating the second part of Example 4.3) metre is consistent enough up to the level of the bar to enable projection. In bar 23, the bass and treble lines, syncopation in the voice part, and dominant harmony (V/C♯), all work not just to suppress the expected downbeat after the second minim, but also to create the sense of upbeat – a 'stronger' upbeat than the second beat. While the process is objectively an example of extension (the bar has been extended), its experience is more saliently understood as expansion. Musical features enable the TSC to be heard and understood; the listener expands their metrical grid by adding one more minim, and feels expansiveness during that third minim. This expansion is not merely understood retrospectively but bodily, during the process. The use of a motive or musical device understood or labelled as upbeat (here dominant harmony) is one of the strongest ways of creating this effect.[12] Once again, this is not to say that dominant harmony alone

[11] Again, the work of Anne Hyland on time in Schubert is relevant. This paragraph demonstrates how, as she puts it, 'Musical time and space do not, however, make methodologically easy bedfellows.' She also explores the difference between 'clock time' and 'musical time' (given countless different terms by musicologists), a distinction whose description often falls back on spatial metaphor. Hyland, 'A Dialogue with Deformation', 111.

[12] This resonates with Schenker's notion of 'metric prototypes' being used in expansion – see note 6.

projects upbeat status – it is its combination with other parameters, accent-types, which achieves this.

At the same time as this, Brahms expands metre in a different way – the vocal part, with its minim F♯, suggests 6/4 metre, and thus that the duple minims have been expanded to dotted minims in a pair.

Not *all* levels of the metrical grid are suspended during this moment; the listener is given no reason to stop projecting crotchets, and the minim beat is also sustained by the continuing 'oom-pah' figuration. This qualifies the above definitional phrase, 'one or more levels of the metrical grid', and illustrates the paradoxical divergence between different metrical layers and senses of time.

Taking the opposite perspective, however, perhaps all extensions can still be seen as types of expansion, but on a different scale. Since an extension shares some formal zone with that which it extends, a sense of that formal zone expanding still takes place. However the level perceived as expanding – the 'clock that carries on ticking' – can be one or more hierarchical levels higher than the unit of the extension; since it is therefore likely to be outside the window of perception, and since our formal clocks are quite flexible anyway, the resultant feeling of expansiveness can be less visceral than in the case of a strong or 'internally felt' expansion. An example occurs at the end of the *b* section of P in Op. 101/i (Example 8.2). Cadential function is expressed in the arrival at bar 20, and bars 20 and 21 extend rather than expand the tonic prolongation before the return of P at bar 22. However, this is felt only retrospectively; these bars do not arouse a sense that any level of metrical grid should be expanded during their unfolding. Only afterwards, once the true reprise has begun, is the listener's sense of formal proportions altered, recognising an expanded *b*.

The first part of the following analysis is organised around a set of passages in the first movement of Op. 101, each exhibiting the above notion of metrical expansiveness, the first type of expansiveness to be explored in this movement: the signalling of expanded upbeat projection.

Throughout Brahms's music, and indeed throughout this thesis, it is obvious that Brahms manipulates rhythm and metre at all levels of a temporal hierarchy, from sub-pulse to hypermetre and up to formal structure. What is remarkable about the first movement of

the Third Piano Trio is the extent to which manipulation of all of these different levels is present in one movement and also contributes towards the same effect. Through the effect of larger proportions, created at all different scales, the movement creates, metrically, its sense of huge size despite actual concision.

8.2 Dimensional expansiveness: five moments

8.2.1 Development (pre-core)

A simple example of expansion is found in the pre-core section of the development (Example 8.3). Starting at bar 91, two-bar hypermetre is set up clearly by harmonic grouping: two bars on the same harmony (91–92) are therefore grouped strong-weak; the next two pairs of bars, although subtly different harmonies, are also grouped strong-weak because of continuation and the piano chords. Then there is an extra bar (97). Technically this is the extension of the phrase by a bar. But the content of the extra bar makes it feel like an expansion, because the continuation of harmony is heard in the F♯ and D♯; the listener counts it as a third, weak beat in an expanded hyperbar, not as a strong beat. It is its musical content as upbeat that makes it feel expansive.[13]

8.2.2 Opening

The opening phrase is remarkable. Hypermetre is in play from the beginning, as the opening suggests the possibility of bars 1–2 as a huge hypermetrical upbeat to bar 3, where harmonic broadening and motivic work take place. The phrase (Example 8.4) then gives a different construction of expansion to that examined above, as the expansion, here of the dominant harmony, is achieved by a *breakdown* of metrical structure. This starts at bars 4 and 5 with an initial repetition of unharmonised downbeats, creating a hypermetric ambiguity such that metre lacks clearly differentiated flow. The destabilisation then continues with simple metrical dissonances – syncopations that efface downbeats. But the fragmentation breaks through the different layers of the metrical hierarchy, leading ever smaller note values to be questioned – there is a continuous layering of upbeats which diminish in duration but increase in intensity, creating a forward thrust, through harmony and the breakdown of metre, such that the impending downbeat where harmony will be resolved and instruments will synchronise is felt ever more strongly. This is not just the normal tension and release model of metrical dissonance – in which dissonance always

[13] At the same time there is an element of contraction at a higher scale: the chromatic voice-leading of the violin line suggests the possibility of an eight-bar phrase structure, starting on bar 91, which is cut short one bar early. This does not discount the sensation of expansion, but shows a multivalence at different scales of perception.

holds a natural impulse towards resolution – but one in which the downbeat feels ever imminent.

In some sense the experience of this moment requires a knowledge of form and phrase structure. Bars 5–11 deform their expected role as the second half of the first phrase in such a way that at any other point in the piece such a moment would probably be interpreted as a directionless vortex of metrical dissolution, but given the dominant harmony and location so near the beginning, the listener continues to hold the phrase's status as an opening P gambit.[14]

As in the example above from the transition, the phrase simultaneously suggests a different interpretation – if the opening two bars are taken as hyperupbeat (3 and 4) to bar 3, then bars 3–6 and 7–10 parse regularly as two four-bar hyperbars, leading to bar 11 as downbeat. Whether this peculiar regularity can be salient is another question.

8.2.3 Beginning of S

The most remarkable example of multi-levelled expansiveness happens between TR and the beginning of S: the hyperdownbeat at the onset of S is repeatedly delayed through different upbeat devices at different scales.

Dominant lock is achieved and the transition signalled at bar 26, before eight bars of transition material are built around a two-bar repeating note motive, as seen in the strings from the beginning of Example 8.5 (bar 26). The subsumption of this motive in bar 35 occurs simultaneously with the third presentation of the sighing melody (first heard in the cello in bars 30–31), in the piano, and as part of the fullest texture of TR yet. The imminence of the medial caesura is signalled by the three-fold presentation of this motive, the tessitural extremes, and then the diminished chords, syncopations, and dynamics, all suggesting a peak of energy such that the caesura will arrive after a strong downbeat and hyperdownbeat at the impending bar 36, with the resolution onto dominant and the resolution of syncopation.

Instead there is a series of expansions, all at different levels of the metrical hierarchy. The expansion of bar 35 through a time signature change creates the first expansive

[14] In its formal position and disruptive effect on phrase discourse, the moment is comparable to that near the beginning of the Second Symphony, Op. 73 (bars 23–31), of which Walter Frisch says, 'This gesture, whereby the movement has come to a halt after barely a minute, is probably unprecedented in the symphonic literature before Brahms'. (Walter Frisch, *Brahms: The Four Symphonies* (New Haven: Yale University Press, 2003), 69.)

manipulation, adding an extra crotchet which has unequivocal upbeat status due to harmonic continuation and syncopation. Then the arrival of the downbeat of bar 36 is unproblematic, as a hyperdownbeat and expected medial caesura onset. But the temporal experience of the caesura is itself extended by first one, then a second, appendix to the dominant chord, in the hemiola outlined in bars 36–37. The understanding that the downbeat of bar 36 is the last phenomenon before the MC is manipulated; the hemiola broadens the sense of MC itself. Further, due to its bare rhythmic profile this hemiola only becomes perceivable in its completed unfolding; the perception of upbeat occurs in the last beat of bar 36, but not the perception of hemiola, which only occurs in the third hemiolic beat in bar 37. Each of these chords thus has upbeat status, at a continually expanding scale, and the scale of experienced expansiveness therefore continues to increase throughout these bars.

The process is not over. Having been extended by a resultant two-bar hyperbar, the hyperdownbeat of the subordinate theme is finally delayed once more by bar 38, which has strong qualities of anacrusis and hypermetric upbeat in its instrumentation, pitch contour, harmonic implications, and lack of quaver pulse.[15] The feeling of two consecutive *hyper*upbeats in bars 37 and 38 is a first in this process.

8.2.4 The descent hemiola

There are two melodic-motivic constructions of 3/2 hemiola in this movement, termed for convenience the 'ascent hemiola' and the 'descent hemiola'. Example 8.6 shows the first instance of each; the descent hemiola in the *b* section of P, and the ascent hemiola in the expanded MC. Both take part in processes of expansion.

The participation of the ascent hemiola in an expansive process was investigated above; it uses rhythm (through agogic accents) and harmony (through prolongation) to create expansion just before the subordinate theme. The descent hemiola, as first seen in bars 18–19 (Example 8.7), has elements of contraction, in terms of motivic fragmentation and harmonic rhythm. It is a disjointed hemiola (through crotchet-level imitation in the different parts). It capitalises on its internal displacement to take part in hypermetric ambiguity and manipulation, in interactions with the transitional material that immediately precedes it in its appearances across the movement. It appears four times: once in the

[15] There is a tendency to hear unaccompanied melodic lines as gestural upbeats. See Levy, 'Texture as a Sign in Classic and Early Romantic Music'; McClelland, 'Extended Upbeats'.

exposition, and three times in the coda (in the recapitulation it is replaced by the second metrical balancing point, discussed below); bars 18–19, 206–207, 213–214, and 221–222.

In its first appearance (bars 18–19 in Example 8.7), the descent hemiola seems to establish a strong-weak hypermetric identity, though this is perhaps understood only in retrospect (after the cadence to bar 20). As such it confirms an even-strong, or beginning-accented, hypermetric reading of the previous bars. But this reading, supported by agogic accents and harmonic grouping, lies in potential tension with an odd-strong or end-accented reading which some listeners may ascribe, supported by the G major arrival at bar 11 and the local cadence-like prolongations towards bars 13 and 15. By this second reading, the disjointed hemiola uses its displacement to enact a hypermetric reorientation, and also creates an expansion.

The tension between these two hypermetric readings is increased in the hemiola's first coda appearance (Example 8.8). Two ascent hemiolas in bars 195–198 (immediately before the example) impart hyperdownbeat status to bar 199 which must be immediately challenged if a beginning-accented reading of the non-hemiola material is preferred (putting a hyperdownbeat on bar 200), but if an end-accented reading of the non-hemiola material is used (with hyperdownbeats on 199 and 201) then the descent hemiola in bars 206–207 again necessitates a reorientation and creates an expansion (otherwise the hemiola would pass over a hyperdownbeat *and* the theme arrive on a hyperupbeat).

Regardless of which reading is preferable (both seem compelling), and in both locations in the examples above, the hemiola is strongly profiled as hyperupbeat to a hyperdownbeat on its completion (bar 20 and bar 208). This commonality is itself manipulated in the next appearance a few bars later (Example 8.9), where an extra bar of upbeat material (communicated by rhythmic and harmonic prolongation), bar 215, precedes the final thematic reprise in bar 216, creating an expansion regardless of which hypermetric reading is used. This passage also contradicts the previous phasic identity between the hemiola and the agogic accents (left-hand, bars 200; 202; 204; 212).

The fourth appearance of the descent hemiola takes part in several instances of expansion in the close.

8.2.5 The close

Expansion and expansiveness continue right to the close of the piece, with the magnification of a number of metrical manipulations seen in the rest of the movement (Example 8.10).

A constructed expansion unlike any seen previously, a hypermetric reverse hemiola, is seen in bars 220–225. The same construction as seen in Example 8.9 (the previous appearance of the hemiola) allows the descent hemiola to create a three-bar stretch in bars 220–222. Then there is hypermetric uncertainty to the following bar due to the precedent of Example 8.9, such that automatic hyperdownbeat status is not granted to bar 223, which further drags out upbeat status to create a matching three-bar stretch.

Following this, the music winds down to its close through successive augmentation of the primary theme motive. First the triplet quaver pulse is augmented to duplet quavers in bars 226 and 227, then these two bars are augmented to four in bars 228–231. The expected close would not include bar 233, as bar 232 continues the 'dotted' rhythm of the preceding bars on tonic harmony and at *piano* dynamic, suggesting the oscillations have finally ceased. The final surprise of bar 233 – a *forte* chord on the second beat – as before reinterprets bar 232 as the first bar of what has been called the descent hemiola. Further aspects of this close will be examined below.

But these final bars also represent a final augmentation of the dotted note motive – from minim-crotchet to semibreve-minim – and thus a final expansion. To put this another way, the minim-crotchet expectation in bar 232 is squashed with a hemiola which itself represents a minim-crotchet augmentation.

8.3 Metrical balance – two recapitulatory alterations

How does the close of the movement, in an extreme example of expansion, feel like a loss of tonic metre? In other words, has the tonic metre been asserted as such enough to be abandoned? Here Murphy's principle of metrical balance can be used, for, despite continuous metrical fluidity, Brahms does establish the metrical norm, both in terms of metrical cardinality and expansiveness (or lack thereof). In other words, Brahms does include both logical metrical balance and instances of *compression*, as balancing states against which the expansion acts, and ultimately wins. Moreover, both these balancing aspects are found in typical locations for such balancing points – the recapitulatory transition and subordinate theme. In Brahms's later sonata movements, he typically uses

these locations to emphasise or manifest metrical states hitherto unfocused in the movement, creating both variety and logical balance. The effect here is like the compression of springs before the final instances of expansion in the coda.

8.3.1 First metrical balancing point

The first is found in bars 139–144 (Example 8.11), in the first part of the recapitulatory transition, just before the four bars of expansiveness are repeated (35–38 as 147–150), in exact transposition to lead towards tonic major. Whereas in the rest of the movement metrical manipulation has consisted of suggesting extra upbeats, here the compressed imitation of the three-crotchet motive suggests successive hyperdownbeats, alternating between strings and piano on each of these six bars. The hyperdownbeat status of this *motive* has already been asserted between bars 26 and 32. The hypermetric orientation of the phrase, however, is more equivocal, as was that of bars 9–10 to which it corresponds; due to its limited melodic-motivic content (repeated pitches), bar 140 is not heavily weighted.

While the predominant hypermetric effect in these bars is of compression, there is also an element of expansion here: after the last statement of the repeated-note motive, bar 145 is heard as a hyperupbeat in all voices, meaning a repeated hyperupbeat in the piano part (bars 144 and 145), before the tonic major statement of S in the following bars.

8.3.2 Second metrical balancing point

The second point, like the first, occurs in the subordinate theme recapitulation (Example 8.12), and, as in the first and third movements of Op. 100, shortly before the tonic recapitulation of important material. Bars 162–163 contain a subtle alteration to the expositional design of S, which creates a focused version of a non-tonic metrical state which has been hinted at previously in the movement. They present 6/8 – reverse hemiola to the tonic 3/4. This is soon followed by the tonic major recapitulation of the triumphant part of S.

The moment also acts (wittily?) as an acknowledgement of the hypermetric ambivalence of the upward motive, as it takes part in both strong-beat and weak-beat articulation. Its identity in this sense will have work-scale significance, and it is to be explored further when it reappears in the coda.

8.4 Generous expansiveness and effacement

The above discussion shows several tangible moments where the music viscerally expands, tantalising the listener with a greater tension (through metrical and/or harmonic dissonance), but also creating a sense of greater proportions. The instances of compression show this expansion working against a balanced logical norm. This expansion also occurs with a subtle awareness of appropriate formal location; a hypothetical swap – for example, of the dominant-harmony whirlwind at the opening with the devices that create the delayal of the subordinate theme – would result in a situation where neither construction and neither location would have the same effect.

But is this all that expansiveness is? To use a human metaphor, being an expansive person is not just about dimension. As well as size, expansiveness can connote generosity.[16] The movement also contains this gratification, and thus a different sense of expansiveness. In its formal layout it grants all normative rhetorical expectations: a tormented, virtuosic main theme, with some dominant harmony; a broadly melodious subordinate theme, with a climactic second statement. Later in the movement, the recapitulation will put this subordinate theme back into the tonic, granting the educated sonata listener another norm.

But there are some interesting features involved in the precise metrical layout of several of these moments. The following analysis demonstrates that each of these moments of gratification, several of which are metrically expansive, are subtly undermined, sustaining onward thrust but eventually leading to the tragic outcome. In both these senses accentual counterpoint becomes a productive lens, connoting both effacement and continuation through manipulation of accent-types.

8.4.1 Opening

After the expansion of the opening phrase, when the dominant itself is finally reached, at bar 11, it is not synchronised. The strong string chord comes a beat before the strong piano chord, but the piano has also minimally anticipated the string chord, with its arrival on G and bass accent right at the end of bar 10. The result is a continued momentum: while this gesture is masterful, it is also subtly effaced in its metrical weight, and even as

[16] The *OED* reads: '1a. Tending or adapted to expand in volume, to spread over a larger surface, or fill a larger space; having the capacity to expand or develop to larger dimensions; dilatable. Said both of material and immaterial objects. 1b. Of persons, their affections, utterances, etc.: Freely going out, effusive, open'. "expansive, adj.", *OED Online*, June 2017, Oxford University Press. (accessed September 27, 2017).

the listener realises its importance, projection towards an impending stronger beat is already taking place.

8.4.2 False reprise

Something slightly different occurs at the reprise of the main theme later in the exposition, in the moment explored in section 8.1.2. Again the passage preceding the reprise at bar 20 has an onward momentum, created by fragmentation and the descent hemiola, as explored above. It predicts a hyperdownbeat at bar 20 with a reprise of the theme, which seems to happen – bars 20 and 21 are interpreted as a decorated reprise. But then at bar 22 there is a far more exact reprise that invokes re-evaluation of the previous bars as a false reprise – the real one is completely unexpected, and thus its structural impact reduced. Here the counterpoint occurs between a variety of minor accent-types: there is a registral elision as the top octave passes from strings to piano, twice (bars 19–22); the disjuncture of pulse values between bars 19–20 creates contrast (the false reprise), then continuity between 21–22 (the true reprise). The false reprise also features a subtle low-level metrical dissonance in the shape of the triplet figurations in bars 20 and 21, contrasting with the direction of this triplet quaver shape in the theme proper. Finally, the true reprise, just as at the opening of the piece, has a subtle lack of pulse flow in each second beat, creating contrast with the flowing version from bar 26.

8.4.3 S – upbeat motive

Another example of effacement is found in the failure of the multi-levelled expansion of the bars preceding S to a climax; Brahms carefully manages the opening of S to continue forward motion. At the onset of S, after all the expansion that has led up to it, the lack of piano downbeat articulation effaces its phenomenal weight, which does not match with that projected towards it. As in the Requiem's final movement, this slight effacement creates an onward-leading effect – 'planing along on broad wings'; 'there is no relaxation from the ardent, driven quality of the music'.[17] Adding to a sense of forward motion is the theme's strength, perhaps slightly more martial than the normative expectation of a lyrical, 'redemptive' theme-type.

8.4.4 EEC

Another kind of effacement happens at the move into the climactic second statement of S, where there is a subtle hypermetric tension. There are three possible hypermetric readings

[17] Specht, *Johannes Brahms*, 322; Todd Crow in Botstein, *The Compleat Brahms*, 112.

to be outlined, as shown in Example 8.13. The problem is that the E♭ arrival at bar 54 is definitely heard as a hypermetric downbeat, but one that cannot lie in any flawless hypermetric reading with the preceding sixteen bars.

In what seems the most probable reading, the upward figure in bar 38 is heard as an anacrusis, or a hypermetric upbeat. This creates four-bar structures such that the E♭ arrival on bar 54 becomes the *fourth* beat of a hypermeasure: an upbeat, coming a moment too soon. Note that this reading is enhanced by the motivic connection to the primary theme, where the upward figure is always an upbeat, albeit on a smaller level. This reading, oddly, continues to be plausible through the following bars, as the two bars of A♭ harmony (bars 55 and 56) can be taken as strong-weak. This reinforces the basic sense of the passage, which is that bar 54 and the following bars begin a consequent which will lead to strong EEC (this proposed one having been deferred by continuation of S material, as discussed above). In this reading, the E♭ arrival is undermined by not coinciding with a projected hypermetric downbeat.

The second reading is a variation of the first: the upward motive carries upbeat status through most of the passage, but then bars 50–53 are all heard as repeating upbeats. This would be a tremendous example of expansiveness, but it does not seem plausible: bar 51 might conceivably be heard as a second upbeat, but bar 52 does not have any of the features seen before as necessary to continue to expand: it would definitely be a downbeat due to the agogic and harmonic accents. This reading, too, would lead to non-maximal weight on bar 54, as the return to hypermetric stability would come two bars earlier: the tension created by the expansion in bars 50–51 would give 52 weight which would not be imparted to 54.

The third possible reading is that the upward figure is not heard as an upbeat but as a downbeat. This creates four four-bar hyperbars before the E♭ arrival, which would land on a hyperdownbeat, in accordance with its cadential weight. But this too would include an effacement, because the E♭ and neighbour-note figure would have attained weak-beat status in the preceding melody. The experience of the moment would then entail either reinterpreting the cadential arrival as a weak beat – thus effacing its structural weight – or

realising the misinterpretation of the hypermetric layout of the theme, leading back into the regress of the first two readings.[18]

This, of course, is not meant to suggest that a listener goes through this thought process consciously; neither is this a moment of outright metrical confusion. But this kind of thinking does seem to shine some light on a subtle aspect of this moment. The notion of analytical ambiguity is a controversial one, but while the impossibility of hearing multiple readings simultaneously may be theoretically true, it seems arbitrary – it is the fact of questioning one's interpretation, even if momentarily, that is an undeniable reality, and that is what Brahms does so cleverly, to suppress the downbeat quality of bar 54 which is so strong phenomenally.

8.4.5 Close

The final hemiola close also contains an instance of downbeat effacement. The surprise chord on the second beat of bar 233 has a greater accent than the final chord, in terms of density, tessitura (in both directions) and dynamic. The final chord becomes ineffectual in comparison.

The dynamic acts as a metrical dissonance, but also as a rhetorical dissonance against the proposed *ralentissement* ending. The moment resonates with the close of a song written in the same summer, 'Verrat', Op. 105/v (mentioned earlier for its five-bar structures and their resonance with Op. 100), where an apparently *piano* close is shattered by an unexpectedly *fortissimo* final chord.

The circularity of the non-functional harmony, the foreground metrical and dynamic dissonances, the ongoing augmentation which creates the former, and the collapse back into minor mode after the seemingly redeeming major-mode recapitulation, all act to inhibit closure in these final bars. At the same time they represent a family of procedures which has characterised the movement. The close is the last, combined, example of the same things viewed throughout the movement: suggestion of bigger and bigger dimensions, but at the same time a deliverance of normatively satisfying, resolving material in such a way that it is, paradoxically, undermined.

[18] This is David Brodbeck's reading, but he does not satisfactorily explain why the anacrusis figure could be interpreted as downbeat, or explore the ramifications of the reorientation at the cadence. Brodbeck, 'Medium and Meaning', 107.

8.5 Accentual counterpoint and pulse figurations

The subtlety with which Brahms manipulates metre, as explored in Part 1 of the thesis, can also be seen in this movement, including the use and manipulation of pulse figurations and contour accents that was explored particularly in Chapter 5. In Brahms's use of two small, rhythmically-undifferentiated pulse shapes it is possible to see how he exploits contour accents for different metrical ends.

The first figure is the three-note upward triadic movement, as first seen in bar 8 (Example 8.14). Here its predominant effect is as an afterbeat figuration, coming after the syncopation and an absent downbeat. As it is fragmented and repeated through bars 9–10, however, its inherent potential for being metrically end-weighted, with an accent on the highest note, comes to the fore. This potential is also used in a variation of the shape in bars 30–31; in bar 30, the highest notes land on crotchet beats, then in bar 31 it creates a G4/3 hemiola in the kind of fulfilment of metrical potential seen in Section 5.3.3.1.

It is its afterbeat identity, back in its triadic state, though, which connects its use in both P and S, and which imparts the unconscious feeling of familiarity to S (Example 8.15). The afterbeat quality is significant in two ways: firstly because it takes part in the effacement of metrical weight and onward motion characteristic of S (see Section 8.2.3), and secondly because it is manipulated in bars 41 and 45 by 'piling it up' to create a displaced reverse hemiola; again, the kind of fulfilment of figuration potential that was explored in Chapter 5, and again manipulating the subtle tension between metrical weighting of the individual pulses and local rules for interpretation; this creates a small effacement of the downbeats of bars 42 and 46 through the local rule of 'top note weak'.

A comparable set of manipulations are performed on the other shape to be investigated, the 4-note shape with semitonal resolution followed by two triadic leaps downwards (Example 8.16).[19] In the opening bars this establishes a metrical profile with first and fourth notes on strong beats (at a low level). In bars 5-10 it appears both in a fragmented, 3-note form (strings), which keeps the original metrical profile by having an associated afterbeat status, and (in bars 6 and 7 in the piano) in a form which includes syncopation. But the articulation – slurring the second and third notes of each triplet – and the continuity of G as the first note, providing no differentiated harmonic accent, creates an increasing D3♪

[19] The kinship between the motives is of course obvious, and most apparent in the piano part between bars 7 and 8; nevertheless, the fact that they participate in distinct (albeit related) metrical manipulations related to their individual pitch direction and cardinality warrants distinction in examination.

3+1 dissonance in the strings in these bars. The interaction between different forms of this shape in bars 20–26 (Example 8.17), travelling between melodic and accompanimental roles, is also interesting; the linkage created by the shared D3+1 dissonance is in counterpoint both with these changing roles and with the changing strength of the dissonance; the changing first notes from bar 26 onwards create harmonic accents which counterweigh the contour dissonance. Like the first shape, its potential to create complex hemiola through 'piling up' is exploited, in bars 110–113 (Example 8.18).

Notable in particular is the interaction between both motives, in different metrical positions and in conjunction with several other accent-types, in bars 5–10. They also come together in bars 73–79 (Example 8.19) to create an effect of full displacement at the end of the exposition. As in the case of expansiveness at the end of the transition, metrical events are used here to mark an otherwise unmarked formal location.

The inherent potential for contour accents to create dissonance, displacement and complex hemiola is thus exploited in the case of both these shapes. Both are used to play with afterbeat status, with hemiolic fulfilment and with creating both dissonance and full displacement. The movement thus shows its time of composition in the latter part of Brahms's career.

8.6 Narrative problems

Metrical events in this movement are clearly significant; even a naïve listener will have some sense of distorted time within a few bars. From the start and at almost all formal boundaries, metrical complexity is in play. Whether the narrative theory used in this thesis can have a clarifying and illuminating effect is another question. How does the expansiveness of the movement, posited here as its key group of temporal features, relate to hierarchy and transgression, to expression, and to a narrative?

The movement obviously displays tragic topics. Topics are separate from narratives, but interdependent with them since topics act as signifiers which suggest a narrative interpretation. And as suggested by tragic topics, a tragic narrative can be read into the movement. For Almén, a tragic narrative is defined as the defeat of a transgression by an order-imposing hierarchy. To read a tragic narrative we must side with a transgression that we recognise as doomed to failure, defeated by an order (that can in its loosest configuration be 'fate').

A tragic narrative in the *tonal* dimension, to digress briefly, would be straightforward and relatively traditional to read. The key of C minor, or the minor mode more generally, would be the order (indeed, a general signifier for a tragic interpretation), against which the transgression is embodied by E♭ major, or possibly the major mode more generally. The traditional tonal polarity model of sonata form plays out: the subordinate theme offers the vision of a major-mode transcendence, first in E♭ (exposition) and then in C major (recapitulation), but the movement nonetheless collapses back to the minor, in which it closes (without cadential achievement in either mode), with a *ralentissement* close. The outcome is given extra poignancy by the return of the defeated, major, transgressive protagonist in the final circling between C minor and E♭ major harmonies in the final bars (a thwarted expectation for the non-diatonic harmony within the theme and the downward nature of the melody to be transformed into a stable closing version), and by the Brahmsian touch that the whole battle is summed up in the harmonies of the first two bars. No doubt there are many more features one could involve in such a tonal narration.

Metrical narrative does not have such a straightforward design. Unlike Op. 88/i, where metrical states correlated to some extent with keys, with structural design *and* with rhetoric, in this movement there is not such a superficial unfolding. As a broad generalisation, one could say that the primary theme group and other areas dominated by the minor mode are also dominated by metrical instability, and that the subordinate theme group is less so. But this seems inappropriate, not least because of the metrical interest that *is* found in the secondary theme. It also flattens out the peculiar details of the metrical interest in the primary theme group; notable amongst these, for instance, is that expansive gestures are found both at the beginning of P – a foregrounded, or strategically marked location – and in the transition, usually an unmarked formal location. Finally it does not account for the peculiar effects of metrical manipulation in this piece – what has been characterised as expansiveness. The preceding tonal observations, surely salient in the experience of the piece, complicate agential ascription to metre; does the expansion arise as a part of a generally troubled P, or as a 'reaction' to an intrusive E♭ harmony in bar 2? In a sense, the problem is that there are too many marked elements interacting in this movement, including both functional and non-functional harmony, metrical expansion, phrase expansion and tragic topoi in various dimensions.

Perhaps the crux of the problem is that the theory (theories) unfolded so far in this thesis cannot account for the precise *markedness value*, or *agential role*, or simply meaning, of

the expansive tendencies of this movement. As discussed in Section 6.2.4.3, theories of metrical dissonance tend to ascribe a normatively low rank to dissonance – we expect dissonance to resolve, ranking consonance over dissonance. Then the thesis has ascribed rank to metrical states according to context. But expansiveness in this movement does not have such a clear role, particularly in its metrical manifestations. Brahms strategically manipulates metre – that much is clear, and expressively salient to the listener. But what is the desired outcome? Does a listener side with expansion – desiring what? – or with a metrical stability? The metrical manipulations of the movement often seem to feature expansiveness as a device that increases yearning, withholding and heightening energy, or desire, for a strong downbeat. Yet the end of the movement exhibits metrical expansiveness in an extreme form correlated with effacement of tonal closure through both tonal and metrical means (avoidance of cadence, and the accentual counterpoint of the final bars).

The unusual situation is also found in this movement where a triple pulse layer is marked in itself, even though at the beginning of the movement it is (by default) presented as normative. (So this contradicts the normal situation, as explored in Section 6.2.4.3, where a pulse layer is only marked in relation to the rhetorical tonic.) A triple pulse within a triple tactus (as marked in the time signature, and becoming obvious to a listener in the first bar) is not normatively associated with the tragic topoi that the movement so clearly expresses from the beginning. A triple pulse within a triple beat would be associated with a gigue, perhaps, but not with a minor-mode, stormy opening like this. So both the theme as initially presented and its expansion are both marked.

Another reason that narrative is an interesting lens on metre in this movement is that there is a sense that the movement *does* achieve some kind of metrical *stop*, in that the very end of the movement is clearly signalled, and the metrical grid is closed off at this point. On the other hand, the metrically transgressive aspects of this movement – the many manifestations of expansion – do not *resolve* in any clear sense.

Instead, it is worth returning to David Epstein's twin statements on counterpoint and effacement: that 'structural downbeats – those big moments of full release – are rare in Brahms'; and that 'Tension means energy unresolved, and unresolved energy ultimately means forward motion'.[20] The Requiem analysis in Chapter 4 showed an example of a

[20] Epstein, 'Brahms and the Mechanisms of Motion', 198.

withholding of strong downbeats to create forward motion, but such downbeats were eventually granted. In this movement, such downbeats are even more strongly anticipated, through expansiveness. The above analysis suggests that the effacement of anticipated downbeats keeps forward motion throughout the piece, but ultimately the same thing at the end (the undermining of the last chord by the surprise hemiola chord) limits closure. In this reading, it is the will to expand which turns out to be the downfall of the movement, and some of the very elements which are used to create expansion throughout the movement – the two types of hemiola and augmentation – are assembled at the end, creating a passage of the greatest expansion, but one which, like other moments in this movement, is undermined at the last second, by that premature fortissimo chord.

If the movement is seen as collapsing towards expansiveness, this tends interpretation towards not the tragic archetype but the *ironic* – the defeat of hierarchy. Almén's discussion of mixed archetypes, or 'archetypal subtypes', can be employed here, to see the progression as *tragic irony*, the 'disintegration or an overturning of the initial hierarchy, leaving nothing or something of lesser value in its place',[21] or at its extreme, 'in which an initial hierarchy is all but overwhelmed at its very inception'.[22] Just beyond tragic irony on Frye's 'wheel' of archetypes is *ironic tragedy*, which to Frye features a non-ideal hero, 'directionless, ignorant, or less than ideal'; in music, Almén suggests it manifests where the transgression 'is confused, fragmentary, or less valued within the interpretive frame'.[23]

This movement exhibits some mix of tragedy and irony in its metrical narrative, because Brahms manages to set up such a complex network of marked but ambiguously ranked metrical agents. The effect of expansive passages to create yearning is at odds with the feeling of collapse at the end, but at the same time expansiveness is not set against any clearly more desirable metrical hierarchy. The main theme, in its non-functional harmonic progression, does not provide this; neither does the subordinate theme, which through its metrical effacement, hypermetric ambiguity and failure to achieve cadence is framed as fleeting, an elusive transcendence.

8.7 Conclusion: Expansion, tragedy and multi-movement connections

The chapter started by considering the tricky relationship between extension and expansion, recognising that expansion connotes something experiential, and can thus be

[21] Almén, *A Theory of Musical Narrative*, 168.
[22] Ibid., 183.
[23] Frye, *Anatomy of Criticism*, 222–23; Almén, *A Theory of Musical Narrative*, 167.

related to the expressive effects of metre. The most emotive creator of metrical expansiveness is continued upbeat status. Conversely, the suppression of the downbeat, while not always causing expansion, does contribute to a lessening of resolution of the tension created by expansion, creating onward flow. The same is true of metrical dissonance and pulse flow, such as at the end of the exposition and recapitulation. All create moments of tangible expansion, where the sensed temporal dimensions are increased; remarkably, this occurs on almost all levels of the metrical hierarchy, from beat and bar to hyperbar and form.

On the other hand, the movement is not simply about expanding everything – which might result in tedium. Brahms balances a consistent and multi-levelled sense of metrical expansiveness with other factors which create both a feeling of forward velocity and a knowledge of formal progression. It is generously expansive through its gratification of the listener thematically, harmonically and tonally, in moments which nonetheless cunningly avoid the pitfalls of potential closure, constantly undermined and effaced in different ways.

A final, third type of expansiveness is created by the several formal ambiguities of the movement, including the overall sonata layout. At moments such as the onset of the recapitulation, the recognition of having 'missed something' invites the thinking listener to look back; at moments such as the deferred EEC, they are invited to look forward. Considering the dimensions of the movement both retrospectively and prospectively is an experience which creates a sense of scale. A perspectival expansiveness is thus created in part by retrospective realisation of initiation, where the listener realises they have in fact entered the next zone (whether metric, hypermetric, phrase, or formal). The most obvious instance of this is the recapitulation, recognised as being in progress after its start.

In discussing the effect of this, it would be appropriate to revisit McClelland's theory of the effect of metrical ambiguity to create a kind of 'potential energy' (see Section 4.3.3). With the Requiem, this movement stands as another example of Brahms's accentual counterpoint creating just such an energy gain; but whereas in the Requiem the effect was of a kind of suspension, here it is the expansiveness that many commentators note – and yet again, metrical analysis can yield intersubjective justification for these attributions.

As a contribution to Brahmsian theory, noticing the several types of 'early arrival' in this movement brings a new perspective on some instances of Brahms's linkage technique. When a gesture of conclusion is repeated as one of initiation, it does not just create a

simple associative link between the two juxtaposed formal areas. As well, the metrical status of the second gesture – normatively hyperdownbeat – is effaced through its lack of primacy in the parallel structure, decreasing the inertia of section initiation and thus increasing onward flow; this is an under-recognised factor of Brahms's musical prose. Beyond the seemingly exhaustive dichotomy of both connection and contrast, linkage technique is thus also a tool of effacement and flow – of parametric counterpoint.

Finally, while the effects of metre in this movement can be buttressed by a wealth of analytical observation, the exact narrative trajectory is harder to theorise. The suggestion given here is that this is because the expansive aspects of this movement have an unclear rank value; furthermore, these are placed in dialogue with non-expansive elements with an equally unclear value, representing stability but also clustered with tragic topics. Some mix of the tragic and ironic archetypes is therefore at work. As always, the value of such seemingly esoteric ascriptions lies in whether they can illuminate listening experience; in this case, the suggestion is that using both narrative theory and metrical theory can begin to account for the unique mix of power, size, compression, yearning, confusion and loss which characterises this movement.

Chapter 9 Conclusion

Exploring how Brahmsian metre works is no easy task. The strategy adopted in this thesis has been to explore multiple simultaneous approaches as theoretical lenses, playing them off against each other in the search for insight. Methodological pluralism comes at the cost of rigour, but it was attempted in the belief that music analysis is meaningful if it delivers insight, and that sometimes insight is best achieved through conceptual novelty and diversity.

Recent theories of metre, particularly those employed in analysis of works of the eighteenth and nineteenth century, have granted this insight by conceptualising metre in fresh ways, albeit sometimes historically reconstructed. Foremost among these in the reach of its application has been the analogy of consonance and dissonance. Metrical dissonance has been shown as a powerfully expressive feature of music across an extensive historical range, and particularly in the music of Brahms; furthermore, it has been shown to have been utilised by several composers, again including Brahms, in dimensional counterpoint with phrase and form, pitch and tonality.

Yet metrical dissonance, though a powerful theory, does not do full justice to Brahms's metrical complexity. The flexibility and ambiguity of his material and the expressive sweep of his formal structures are in part due to subtler metrical processes than are captured by the concept of dissonance. As two examples, his ability to avoid large hypermetrical and structural downbeats was shown in the last movement of the Op. 45 Requiem and the first movement of the Op. 101 Piano Trio. The thesis proposed accentual counterpoint as an alternative, though complementary, concept to metrical dissonance. The deftness with which Brahms handles musical material includes the ability to manoeuvre individual metrical accent-types, and this is necessary for the creation of so many simultaneous layers of motion within musical textures of relatively few voices. Brahms's commitment to counterpoint, and his own exhortation to use it 'as a lens', further support the use of counterpoint as a meta-concept to guide analysis even in non-voice-leading contexts. Accentual counterpoint is meant as a malleable concept which sublimates metrical dissonance as well as several other ways of looking at metrical phenomena; these can remain more pertinent and incisive depending on the situation. After offering case studies for accentual counterpoint in Chapter 4 (including the Requiem), Chapter 5 traced a few

aspects of the development towards this ability, the chapter's telos being the complex hemiola in the first movement of the Op. 78 Violin Sonata. The increasing use of pulse figurations to create metre across his oeuvre, the metrical complexity of 'Während des Regens', Op. 58/ii, and the idea of Op. 78/i as this kind of intertextual telos for metrical development, were the significantly novel arguments of this chapter.

Chapters 6–8 attempted to enlarge the scale of analysis, exploring ways of reading Brahmsian metre and its effects over whole movements. Narrative theory seemed to offer a way out of the impasse created by the paradox offered in the introduction: metrical complexity creates tension yet lacks a clear analogue to voice-leading closure. While metrical dissonance offers a powerful analytical lens on rhythm and metre in common-practice music, Brahms's complex use of rhythm and metre across larger temporal spans seems too subtle to be satisfactorily explained by saying simply that progressions between consonant and dissonant states can equal resolution or not.

Particular focus was expended on the non-romantic narrative archetypes: comedy, tragedy and irony; these offer a set of alternatives to the 'resolution-return-repeat' narrative of the romance archetype. The comic narrative, in which a transgression overcomes an order, is a useful schema for those narratives of transformation that do not necessarily entail failure, but might involve resolution or closure without unity. The tragic narrative, in which a transgression fails, is a useful schema with which to highlight instances of non-resolution, non-closure or collapse. The ironic narrative, in which order breaks down, is no more than a first step into a far more difficult conceptual terrain, in which the meaning or expressive value of Brahms's music is more complex than positivist analysis can glean. This is not irony in the quotidian linguistic sense of 'meaning the opposite', but rather irony in the sense of questioning norms, provoking engagement and suggesting pluralist epistemology.

Nevertheless, the analyses of the thesis struggled to adapt narrative theory to metrical design beyond informality; they did not adhere to the semiotic formalism of, for example, Almén, Tarasti and Micznik. This was in part due to the difficulty of ascribing agential and actantial roles to metre; as a non-independent dimension, metre struggles to delineate clearly the roles of hierarchy and transgression, firstly without recourse to other musical elements, a route of interpretation that quickly slips towards clichéd topical association, and secondly in that Brahms's later music in particular shows such metrical

ambiguity, here investigated as accentual counterpoint, that simply binary ascriptions cannot capture the listening experience.

Narrative theory was joined in Chapter 7 by directional metre, as two possible organisational heuristics. An exploratory theory in itself, directional metre led back to questions of metrical tonicity. The case studies for directional metre raised more questions than they answered, but demonstrated how such a web of analytical concepts might be used to explicate both one's experience of metre moment-by-moment and across large spans, and also how Brahms might have plausibly used metre to create remarkable structural strategies.

Along with a search for insight through novel perspectives, one of the guiding principles of the thesis was to sustain complexity, believing, with Joseph Dubiel, that 'the best understanding clearly lies not in the simplest explanation of the data, but in the most complex interpretation of them'.[24] This rubs against the analytical project that uses theory as a tool of simplification. But to apprehend both Brahms's music and the experience of it, complexity should not be reduced. This holds at all scales, from metrically complex moments to metrical narratives.

Complexity is not always good, however. One of the main weaknesses of the thesis was the plurality of theory employed. These theories include those of metrical relationships, accentual counterpoint, narrative and directional metre. Using such a mélange of theories runs many risks; most glaring among these shortfalls, particularly seen in Chapter 7, is a sort of hermeneutic shortcircuiting, where the outcome of the application of one speculative theory is buttressed either by another equally speculative theory or by an appeal to superficial musical rhetoric. Nevertheless, adequately to explain Brahmsian metre – its structural constitution, its expressive effect and its narrative trajectories – requires a theoretical toolkit of unusual breadth, and it is hoped that the thesis offers a plausible attempt at such an apparatus.

[24] Dubiel, 'Contradictory Criteria in a Work of Brahms', 82.

Glossary of terms

Each entry reflects the working definition of the term as used in the thesis. Unless otherwise stated, the definitions should be assumed to be quotations or close paraphrases from the work cited. Where a term is invented or significantly refined in the thesis, there may follow a reference to discussion within the thesis.

Accentual counterpoint. The interaction between the different accent-types which create and affect metre.

Actantial level. The level of narrative analysis within which musical agents interact – the level at which these units acquire their narrative roles or functions. Formally, this can be expressed in terms of markedness and rank values, whereby one unit takes value away from another unit or receives value from another unit.

Almén 2008 (229) from Liszka 1989

Adjacency. Metric levels can be adjacent, but so can levels of hemiolic conflict, which occur between metric levels.

5.2.4.1

Agential level. The level of narrative analysis within which musical agents such as theme- or motive-actors are articulated and defined and their morphological, syntactic, and semantic features described.

Almén 2008 (229), from Liszka 1989

Ambiguity. A situation where two or more readings are plausibly signalled. This differs from vagueness, where there is insufficient information to conclusively support a reading. A situation may therefore be ambiguous, or vague, or both, or neither.

3.1.1, and Chapter 3 note 16

Ambiguity principle. The typicality that where a song, movement, or work begins with some form of musical ambiguity or confusion, over time the ambiguity is resolved with appropriate clarification.

Stein 1995 (5–6)

Antinomy (metric). When two metres exist in an antithetical or contradictory way, as opposed to colloquy.

Kurth 1999

Artificial Hemiola. Hemiolic relationships created by altering a normative pulse complex, either by invoking a new micropulse (**Type 1**) or by using a subset of pulses of a non-integral factor (**Type 2**). As opposed to natural hemiola.

2.23 (33)

Augmentation (of dissonance). The progression from a relatively low-level to a higher-level version of a particular dissonance. As opposed to diminution.

Krebs 1999 (253)

Colloquy (metric). When two metres exist in a complementary or discursive way, as opposed to antimony.

Kurth 1999

Comic narrative. One of the four narrative archetypes, defined as the victory of a transgression over an order-imposing hierarchy, and logically expressed as the combination 'victory + transgression'.

Almén 2008 (229), from Frye 1957 and Liszka 1989

Compound dissonance. Dissonance produced by the combination of more than two conflicting interpretive layers.

Krebs 1999 (253)

Concluding function. Any number of functions at various hierarchical levels that express the temporal quality of 'ending'.

Caplin 1998 (254)

Diminution (of dissonance). The progression from a relatively high-level to a lower-level version of a given dissonance. As opposed to augmentation.

Krebs 1999 (253)

Direct dissonance. Dissonance resulting from superposition of layers of motion.

Krebs 1999 (253)

Disjointed hemiola. A hemiola combined with displacement such that each hemiolic beat contains internal displacement dissonance.

2.22

Displaced hemiola. A hemiola combined with displacement dissonance; this can be of two types: **shifted** and **disjointed**.

2.22

Displacement dissonance. Dissonance between metrical layers that share cardinality but differ in accent placement.

2.12

Dissolving consequent. The apparent consequent to a grand antecedent that dissolves into a transition.

Hepokoski and Darcy 2006 (45)

Double hemiola. A situation containing hemiolic relationships at two different levels. This thesis does not use Cohn's restriction that these levels must be adjacent.

Cohn 1992 ('Mozart') (13)

Embedded grouping dissonance. A complex grouping dissonance in which one grouping dissonance is nested within another whose common durational unit is larger, with a causal relationship in which the non-congruence of the lower-level dissonance's cycle generates the larger dissonance.

Butler 2005 (228)

Expansion. An internal lengthening of the constituent members of a formal function. This thesis also uses it as a term relevant to hypermetre. c.f. *extension*.

Caplin 1998 (254)

Extension. The addition of extra units of similar material in order to stretch out a formal function in time. This thesis also uses it as a term relevant to hypermetre, in the manner of a 'retake'. c.f. *expansion.*

Caplin 1998 (254), Krebs 2005 (22)

Formal function. The specific role played by a particular musical passage in the formal organization of the work. It generally expresses a temporal sense of beginning, middle, end, before-the-beginning, or after-the-end. More specifically, it can express a wide variety of formal characteristics and relationships.

Caplin 1998 (254–5)

Grand antecedent. A lengthy, multimodular antecedent that constitutes the first extended limb of P (the main theme).

Hepokoski and Darcy 2006 (45)

Grouping dissonance. The association of metrical layers whose cardinalities are not multiples/factors of each other.

Krebs 1999 (254)

Hemiola. Hemiola in this thesis is taken to occur when 3-layers and 2-layers interact; in terms of direction, specifically when a [23] layer conflicts with a normative [32] layer (see *reverse hemiola*).

2.16

Indirect dissonance. Dissonance resulting from the juxtaposition rather than superposition of layers of motion.

Krebs 1999 (254)

Initiating function. Any number of functions at various hierarchical levels that express the temporal quality of "beginning".

Caplin 1998 (255)

Intensification. The process of rendering a particular dissonance more clearly perceptible, or of rendering dissonance in general more clearly perceptible across a given musical passage.

Krebs 1999 (253)

Ironic narrative. One of the four narrative archetypes, defined as the defeat of an order-imposing hierarchy by a transgression, and logically expressed as the combination 'defeat + order'.

Almén 2008 (229–230), from Fry 1957 and Liszka 1989

Isotopy. A set of semantic categories whose redundancy guarantees the coherence of a sign-complex and makes possible the uniform reading of any text.

Almén 2008 (230), from Tarasti 1994 (304)

Loosening. A process which acts on displacement dissonance, denoting multiplication of the cardinality by an integral factor, with preservation of the displacement index. As opposed to tightening.

Krebs 1999 (104–8; 254)

Low-low double hemiola. A double hemiola which contains two levels of hemiolic conflict which are both occurring at a micropulse layer, as divisions of the pulse.

5.2.4.2.2

Markedness. The asymmetrical valuation of an opposition. Marked entities have a greater (relative) specificity of meaning than do unmarked entities. Marked entities also have a narrower distribution, which means that they tend to occur in fewer contexts, and thus (usually) less often than their unmarked opposites.

Hatten 1994 (291–292) and Almén 2008 (230)

Medial function. Any number of functions at various hierarchical levels that express the temporal quality of "being-in-the-middle".

Caplin 1998 (255)

Metrical balance. The concept that in mixed metres, the use of metrical states with a triple factor either side of that in the tonic metre acts to logically *affirm* tonic metre.

3.2.3.1 (47)

Metrical Preference Rule (MPR) 1 (Parallelism). Where two or more groups or parts of groups can be construed as parallel, they preferably receive parallel metrical structure.

Lerdahl and Jackendoff 1983 (75).

MPR2 (Strong Beat Early). Weakly prefer a metrical structure in which the strongest beat in a group appears relatively early in the group. This rule is stronger at higher metrical levels (Temperley).

Lerdahl and Jackendoff 1983 (76).

MPR6 (Bass). Prefer a metrically stable bass.

Lerdahl and Jackendoff 1983 (88).

MPR7 (Cadence). Strongly prefer a metrical structure in which cadences are metrically stable; that is, strongly avoid violations of local preferences rules within cadences.

Lerdahl and Jackendoff 1983 (88).

Metrical state. The characterisation of a span as a set of successive pulse groupings.

2.5 (13)

Missing middle double hemiola (MMDH). A complex hemiola where the two 'outer' states of an adjacent double hemiola ([3 2 2] and [2 2 3]), are present, without the central one.

Mixed metrical state. A metrical state which contains ratios of both 2 and 3 at different levels of grouping/division. (c.f. Gotham's use of the term, denoting *layers* which contain multiple prime constituents, for example 5/8 metre.)

Cohn 1992 ('Dramatization')

Moment of Metrical Complexity (MMC). A moment of acute metrical difference to the consonant primary metre, often formed from more than one different metrical dissonances or metrical states. In mature Brahms it is almost invariably part (usually initiatory or culminatory) of a metrical narrative of its own explication.

Narrative. Meaningful change over time; the transvaluation of culturally meaningful differences through a sequence of action.

Monahan 2015 (67); Almén 2008 (230), from Liszka 1989

Narrative phase. Subcategories representing the varieties of archetypal structures according to various constituent features.

Almén 2008 (230), from Frye 1957 (177)

N-layer. A metrical layer of cardinality n, not to be confused with a tuplet.

Notationally directional metre (NDM). Where a musical span ends in a different notated metre by time signature than that in which it begins.

7.1.4

Paragraph. A section of music of medium size, beginning after one concluding function and stretching until the next. It typically expresses the functions initiating–medial–concluding in that order. A paragraph may be a theme, a transition, a developmental 'core', the A section of a minuet, or some other type.

Riley 2014 (268)

Parallelism. The repetition of a group or segment at the musical surface. This includes literal repetition as well as sequential repetition. Parallelism of patterns presupposes their metrical parallelism.

Mirka 2009 (137)

Parallel interpretation. The interpretation of a pattern oscillating between two values which groups them as (ab)(ab)(ab). As opposed to switchback.

Cohn 1992 ('Dramatization')

Preparation. Allusion within primarily consonant passages to dissonances that will be fully established later.

Krebs 1999 (254)

Proportional dissonance. When two or more voices are constructed of identical material but sound in divergent meters, as in a mensuration canon.

Auerbach 2008 (278)

Pulse flow. A situation where the pulse layer is fully articulated across a span which is equal to or greater in length than a single iteration of the metrical state (which usually spans a maximum of two or three bars).

Pulse layer. The most quickly moving pervasive series of pulses in a given work or section.

Krebs 1999 (254)

Pure duple/triple. A metrical state whose pulses are successively grouped only in 2s (pure duple) or 3s (pure triple).

Cohn 1992a (194)

Rank. The relative value of the distinctive features of a semantic unit in relation to other units within the signifying system.

Almén 2008 (230), paraphrasing Liszka 1989 (68–70)

Reverse hemiola. A hemiolic relation from a normative [23] layer to a [32] layer.

2.17 (28)

Ritardando-Bewegung. The incremental augmentation of pulse values to create a deceleration effect, noted as slightly paradoxical in 2.23.1.2.

Krehahn 1998

Romance narrative. One of the four narrative archetypes; defined as the victory of an order-imposing hierarchy over its transgression, and logically expressed as the combination 'victory + order'.

Almén 2008 (231), from Frye 1957 and Liszka 1989

Rotation. A principle of large-scale recurrence by means of the recycling of a referential thematic pattern established as an ordered succession at the outset of a piece. It underpins a variety of forms that are conventionally distinguished, such as theme and variations, strophic songs, strophic variation, rondos, ostinato-grounded pieces, but also movements conventionally described as in 'sonata form'.

Hepokoski and Darcy, paraphrased Riley 2014 (269)

Shifted hemiola. A hemiola combined with displacement such that the onset and whole hemiola is shifted from its normative start on a hyperdownbeat.

2.22

Subliminal dissonance. Dissonance formed by the interaction of at least one explicitly stated interpretive layer and at least one conflicting layer that is only implied (by the context and by the notation). The implied interpretive layer within such dissonances is generally the primary metrical layer.

Krebs 1999 (255)

Switchback interpretation. The interpretation of a pattern oscillating between two values which groups them as (aba)(bab). As opposed to parallel.

Cohn 1992 ('Dramatization')

Tightening. A process which acts on displacement dissonance, denoting division of the cardinality by an integral factor, with preservation of the displacement index. As opposed to loosening.

Krebs 1999 (104–8; 255)

Tragic narrative. One of the four narrative archetypes, defined as the defeat of a transgression by an order-imposing hierarchy, and logically expressed as the combination 'defeat + transgression'.

Almén 2008 (231), from Frye 1957 and Liszka 1989

Transvaluation. A rule-like semiosis which revaluates the perceived, imagined, or conceived markedness and rank relations of a referent as delimited by the rank and markedness relations of the system of its signans and the teleology of the sign user.

Almén 2008 (231), from Liszka 1989 (71)

Tuplet. A tuplet is a note value of which n are needed to create the next largest note value (e.g. three triplet quavers create one crotchet). This should not be confused with a '3-layer' (or more generally n-layer), which is a term of metrical grouping.

5.2.1

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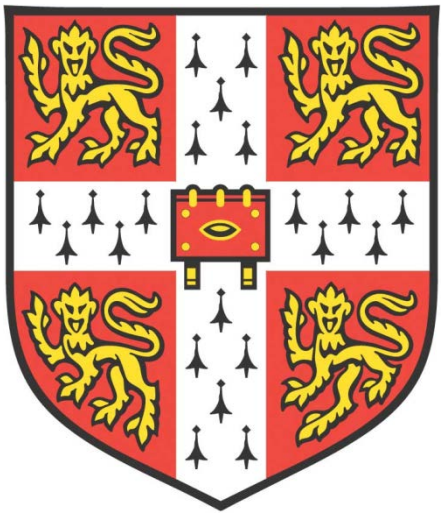
Accentual counterpoint and metrical narrative in the music of Brahms



William Thomas Bosworth

Supplementary Volume

Musical Examples

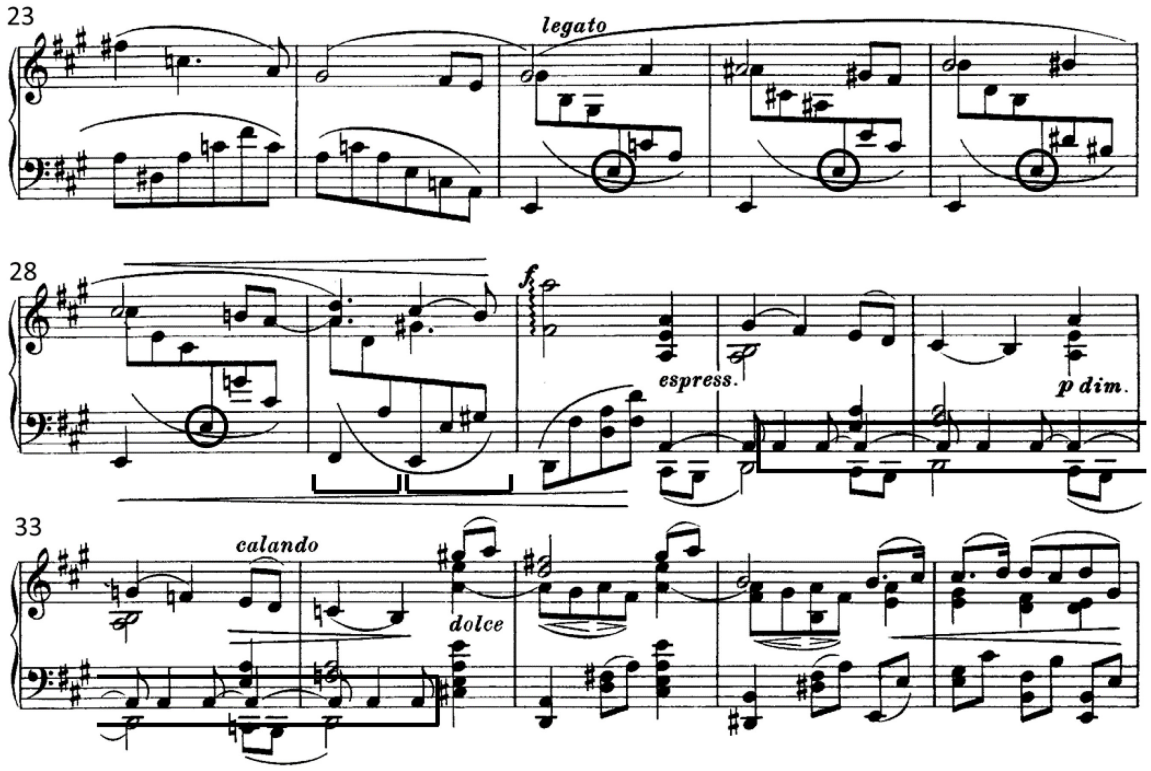
Song Texts and Translations

Appendix

Musical examples

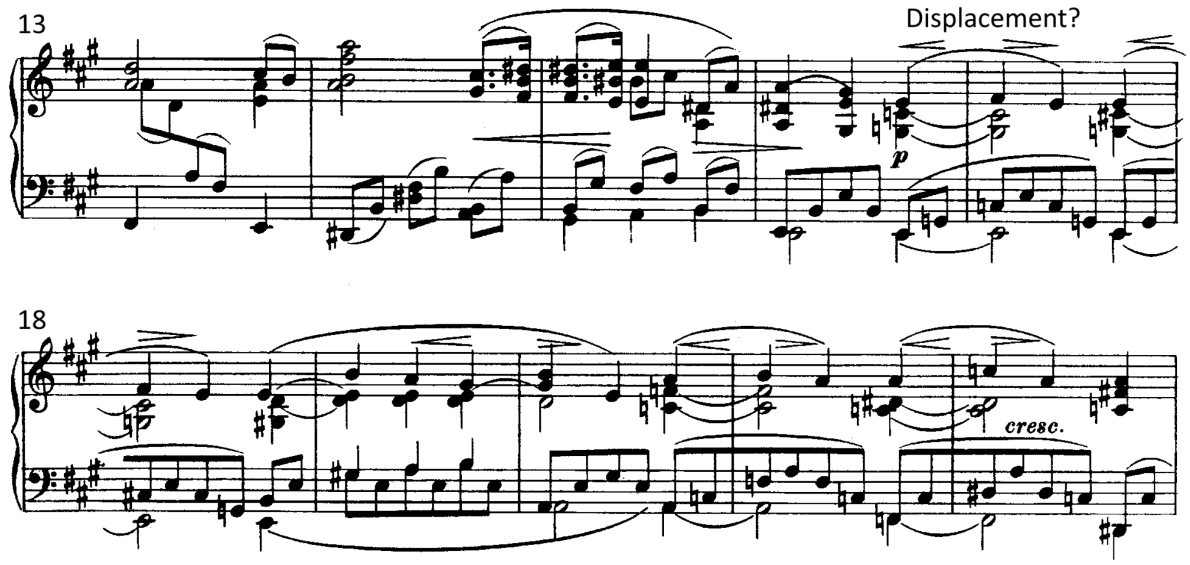
Where not attributed, all examples are by Brahms. Where not specified, all examples are taken from the 1926–1927 *Sämtliche Werke* edition by Breitkopf & Härtel, Leipzig, edited by Eusebius Mandyczewski and Hans Gál.[1]

Chapter 1 Introduction

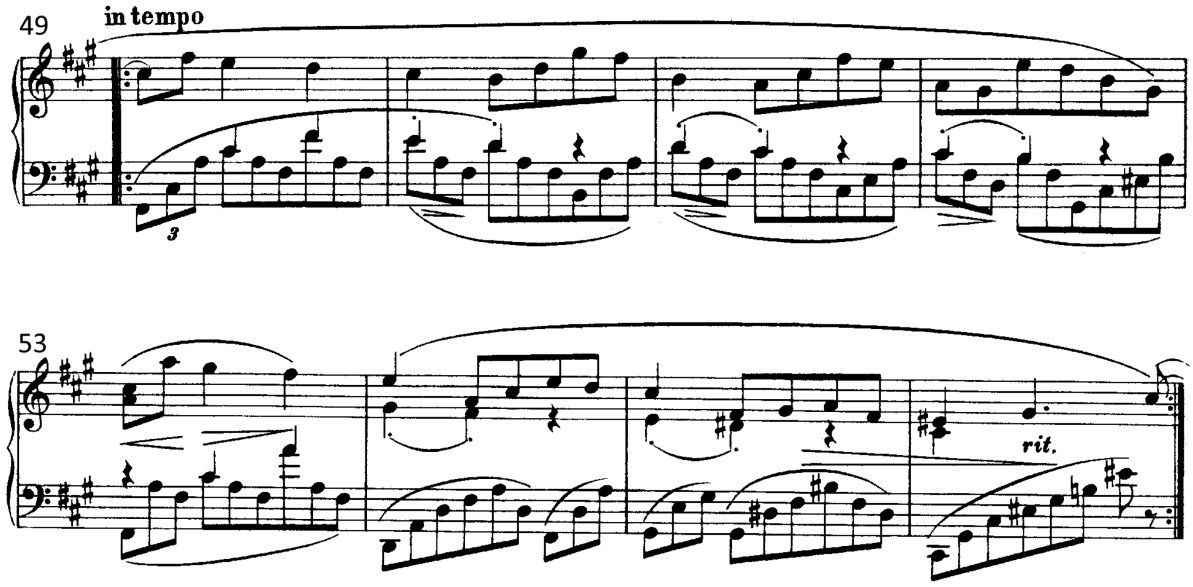


Example 1.1 Intermezzo in A major, Op. 118/ii, bars 23–37.

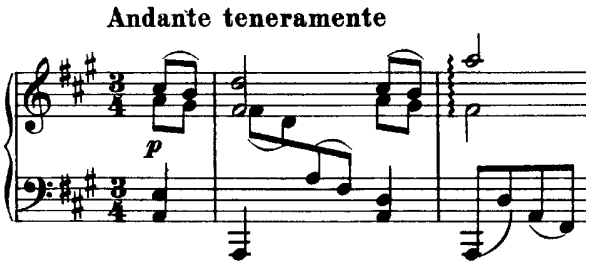
[1] For some discussion of the production and limitations of this edition, see Donald M. McCorkle and Margit L. McCorkle, 'Five Fundamental Obstacles in Brahms Source Research', *Acta Musicologica* 48, no. 2 (1976): 260–65.



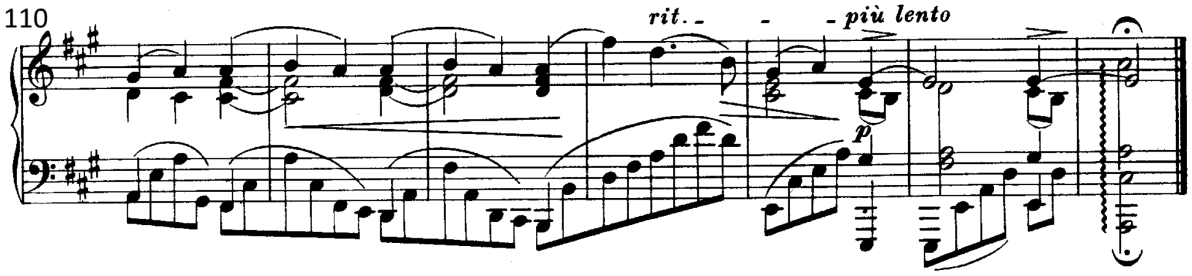
Example 1.2 Op. 118/ii, bars 13–22.



Example 1.3 Op. 118/ii, bars 49–56.

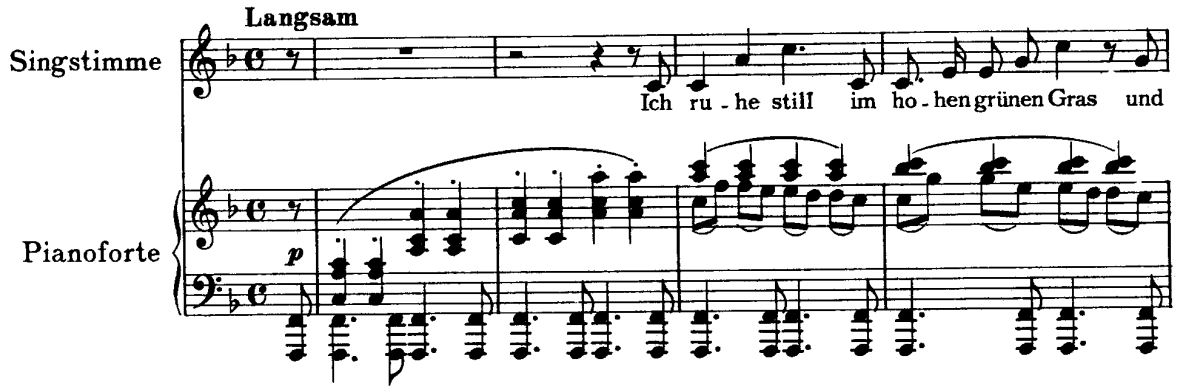


Example 1.4 Op. 118/ii, opening.

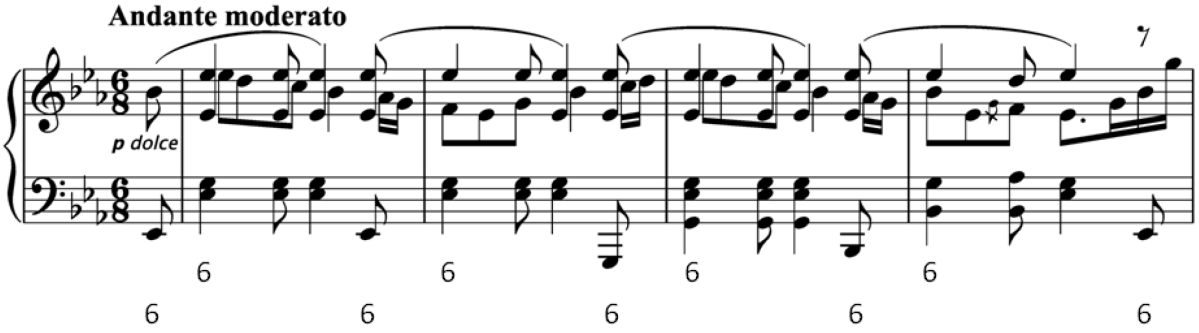


Example 1.5 Op. 118/ii, bars 110–116 (end).

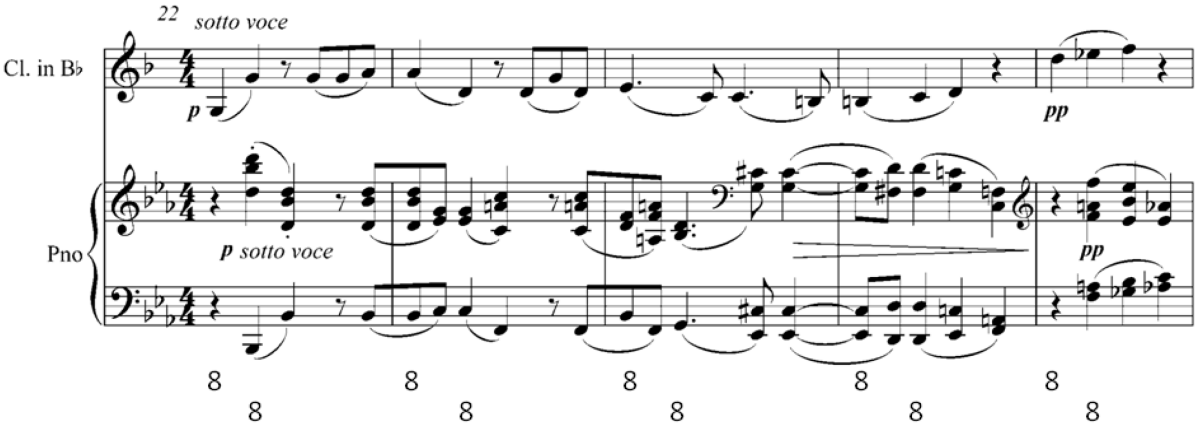
Chapter 2 Theories of metre



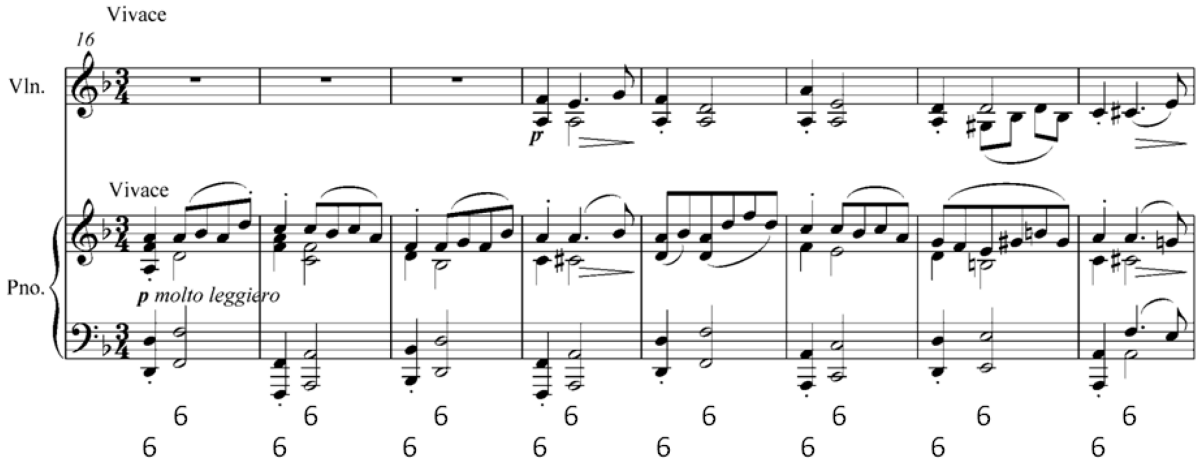
Example 2.1 'Feldeinsamkeit', Op. 86/ii, bars 1–4.



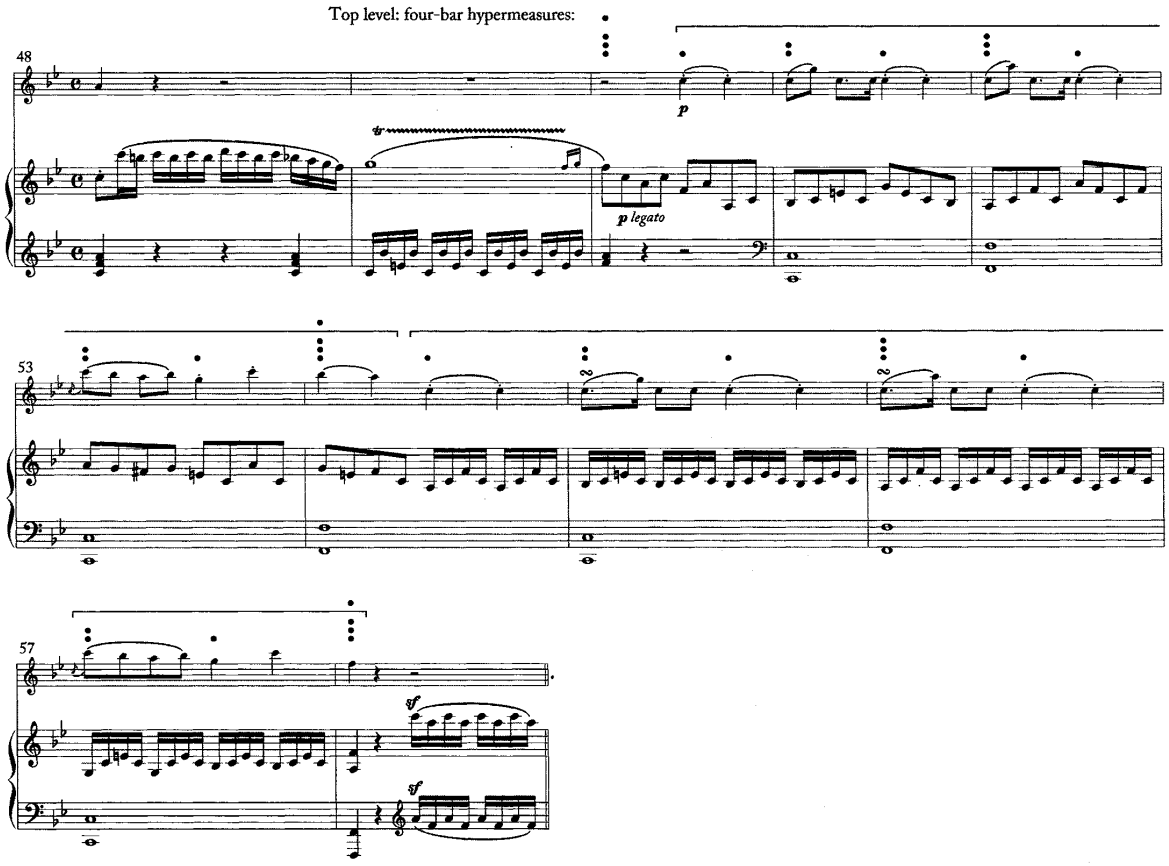
Example 2.2 Op. 117/i, bars 1–4.



Example 2.3 Complete displacement in Op. 120/2/i, 22–26.

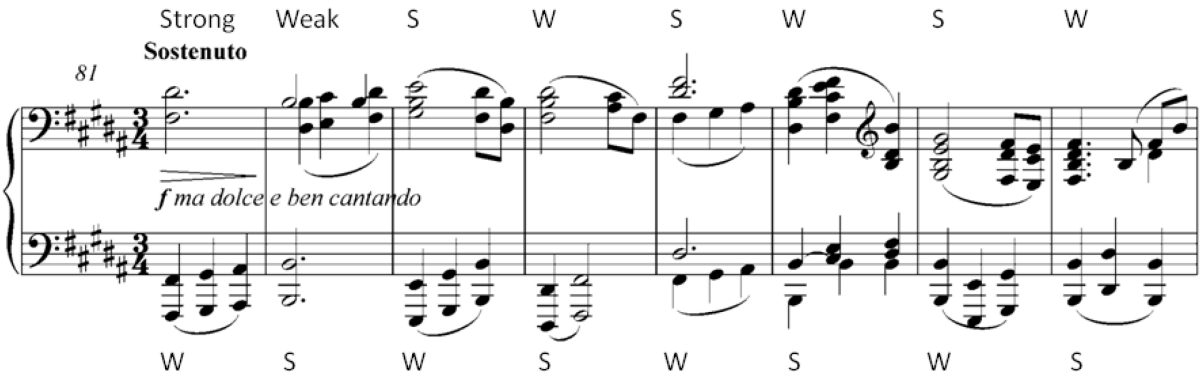


Example 2.4 Op. 100/ii, bars 16–23.

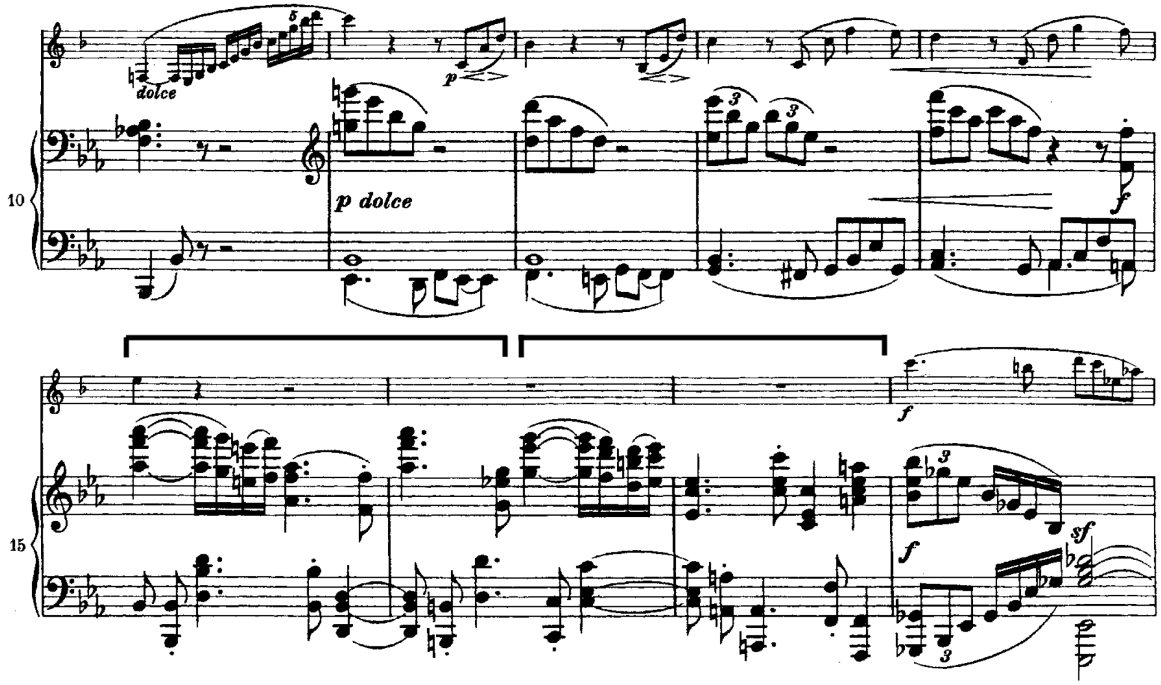


Example 2.5 Mozart, K454/I, bars 48–58, with Ng's hypermetric reading.[2]

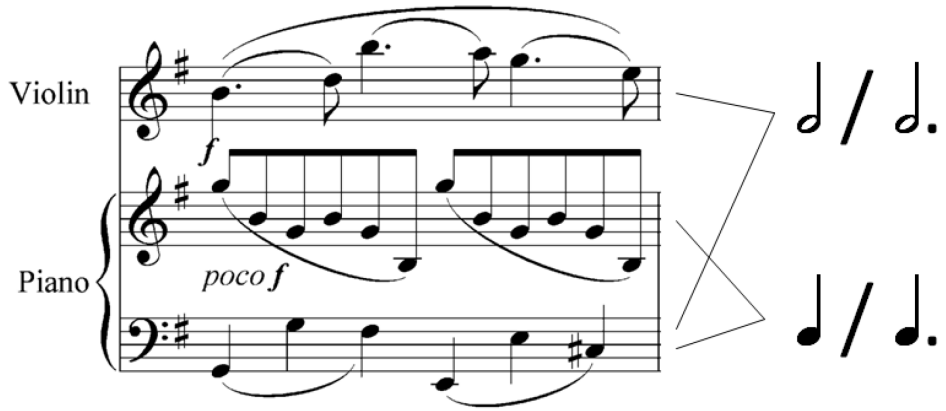
[2] Ng, 'Phrase Rhythm as Form', 53.



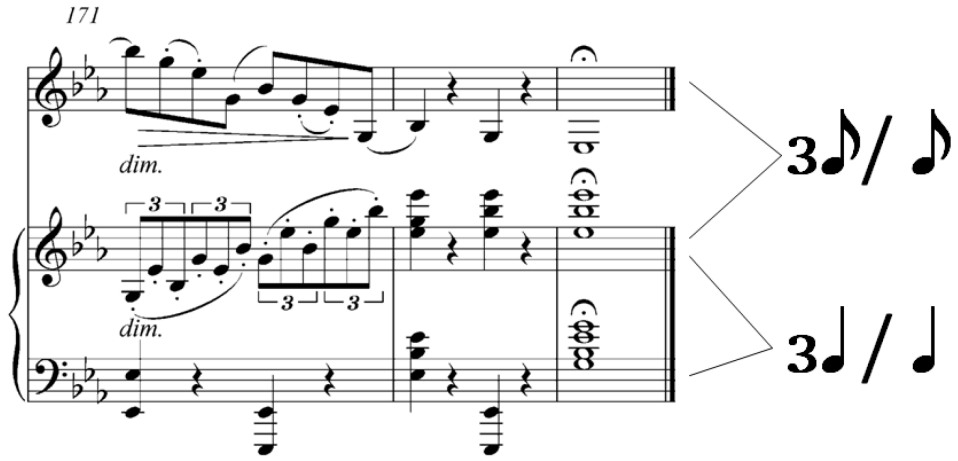
Example 2.6 Op. 120/2/ii, 81–88 (piano part).



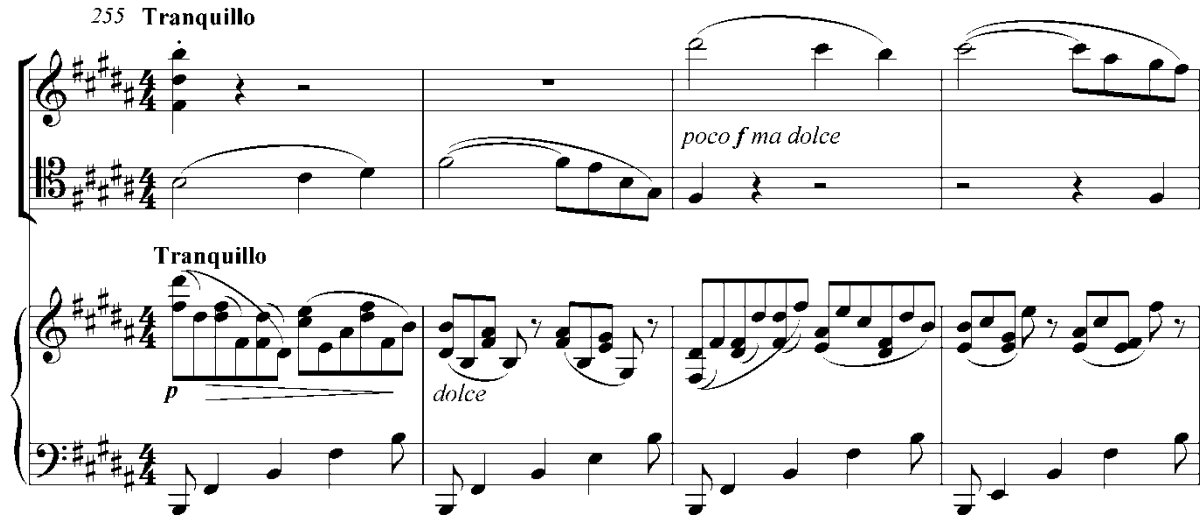
Example 2.7 Op. 120/2/i, bars 10–18, with a reverse hemiola in bars 15–17.



Example 2.8 A paradigmatic example of double hemiola (Op. 78/i, 235).[3]

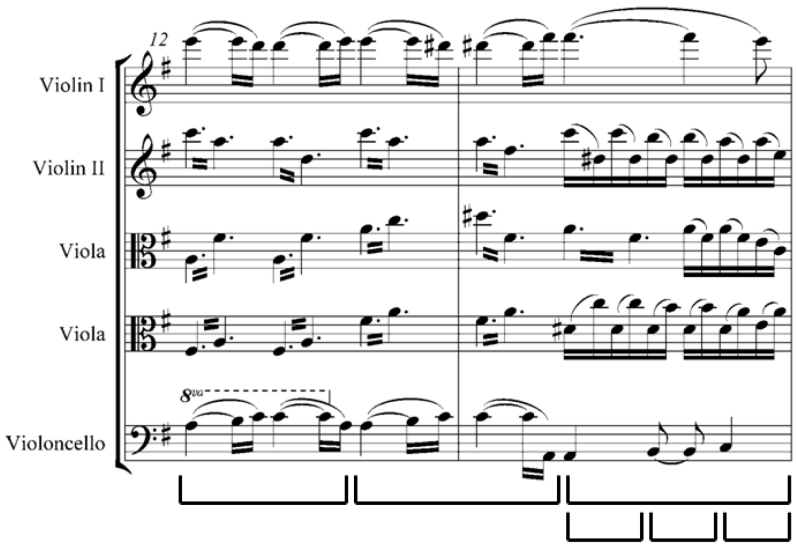


Example 2.9 Op. 120/2/i, 171–173.

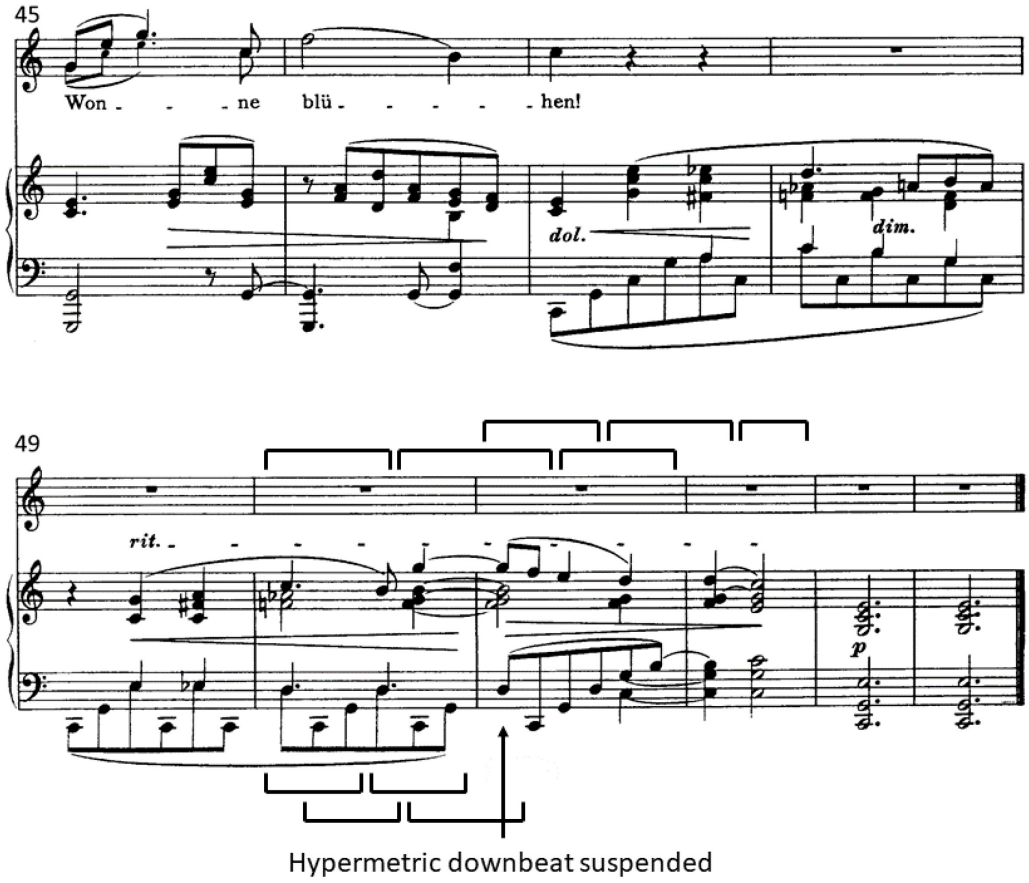


Example 2.10 Op. 8/i (1889 version), 255–258. An example of indirect double hemiola (same levels as Example 2.9).

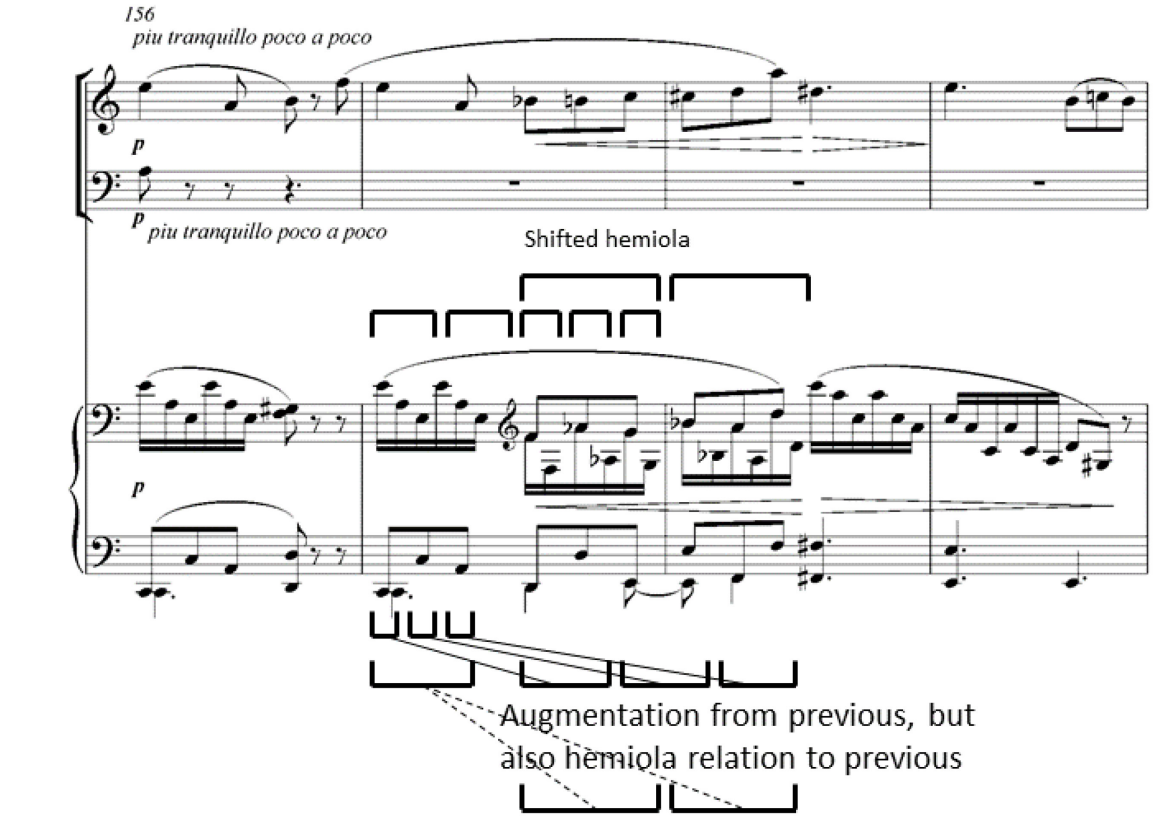
[3] Noted by Cohn ('Complex Hemiolas', 304–7) and Peter Smith (New Perspectives on Brahms's Linkage Technique', *Intégral*, 21 (2007), 120–7).



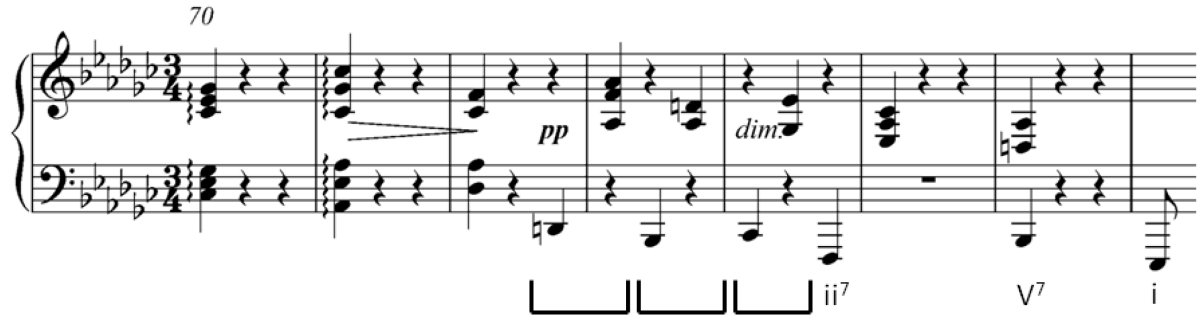
Example 2.11 Op. 111/i, bars 12–13.



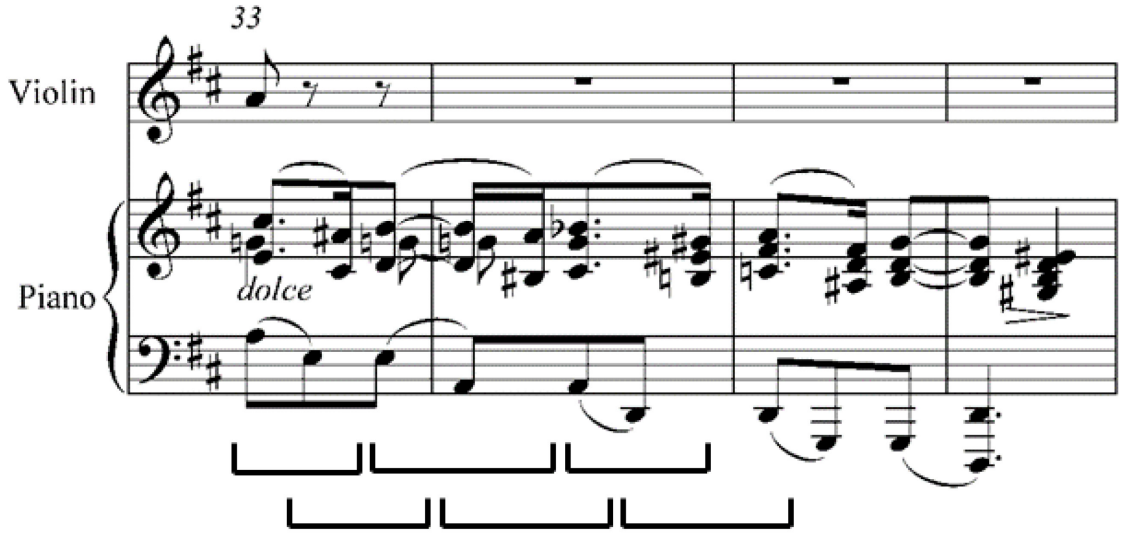
Example 2.12 'Minnelied', Op. 71/v, bars 45–54.



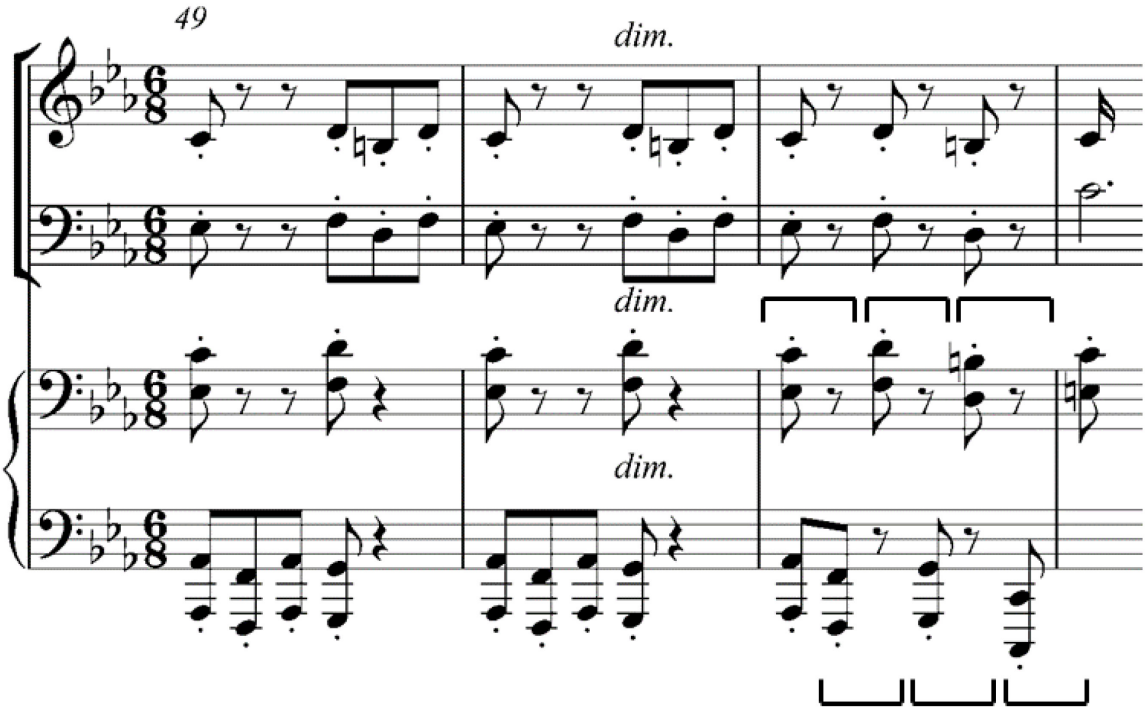
Example 2.13 A shifted hemiola in Op. 87/ii, bars 156–159.



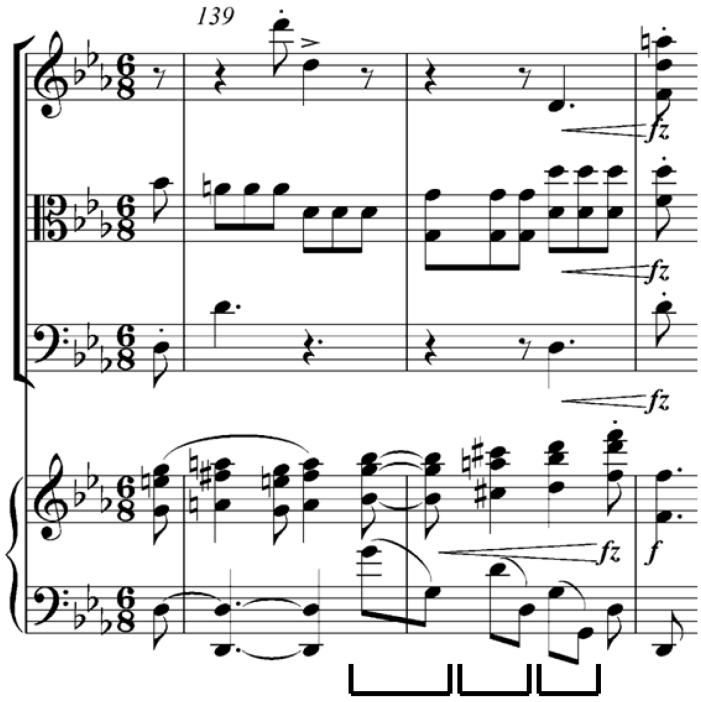
Example 2.14 Op. 120/2/ii, 71–76 (piano part).



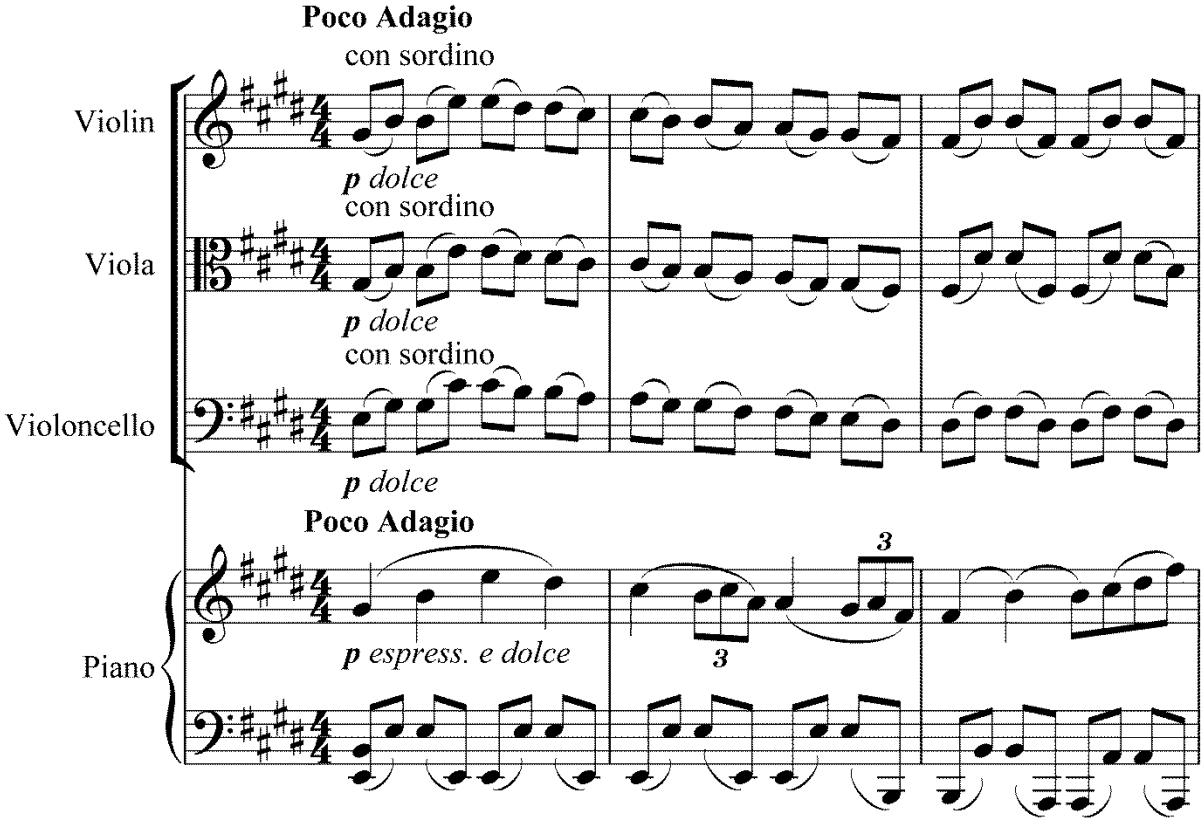
Example 2.15 Op. 108/ii, 33–36.



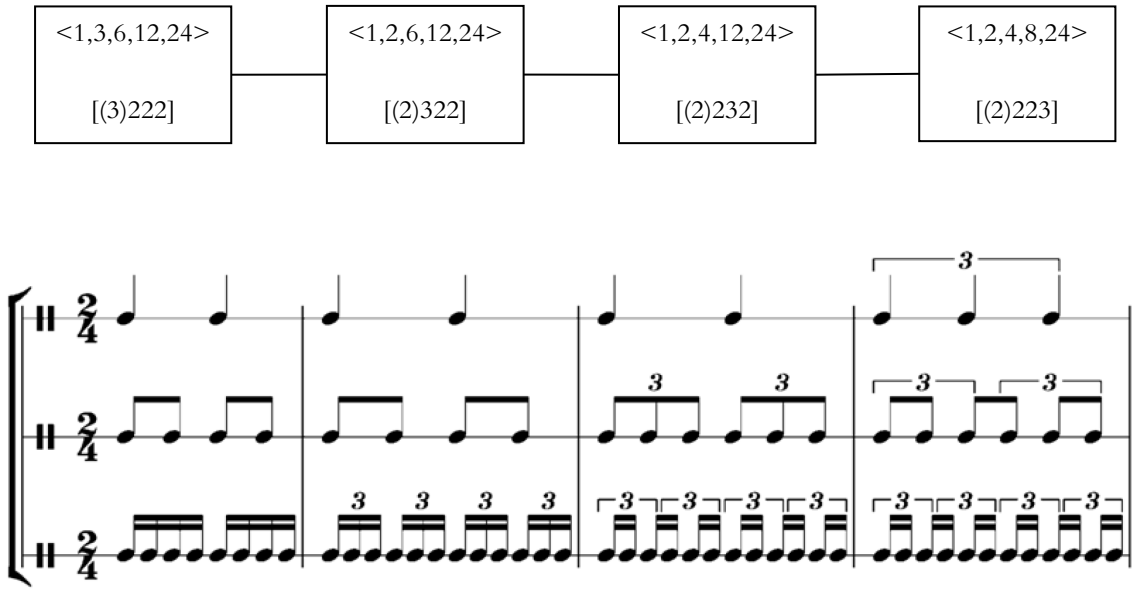
Example 2.16 Op. 87/iii, 49–51.



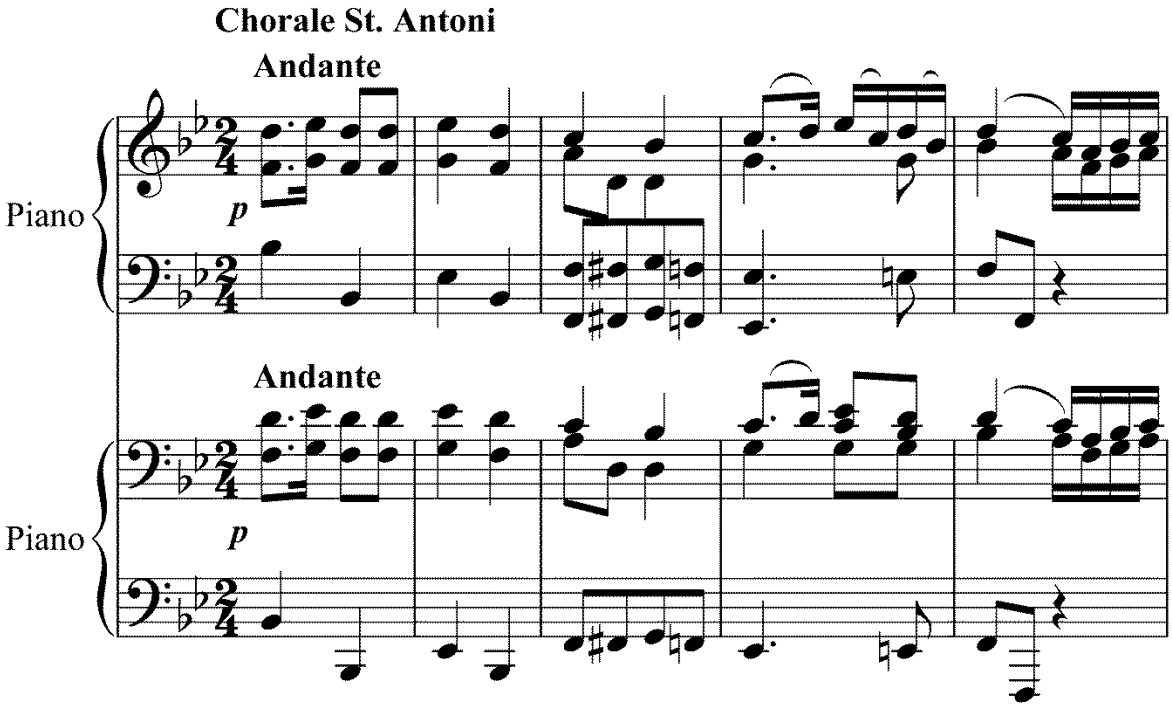
Example 2.17 Op. 60/ii, 139–140.



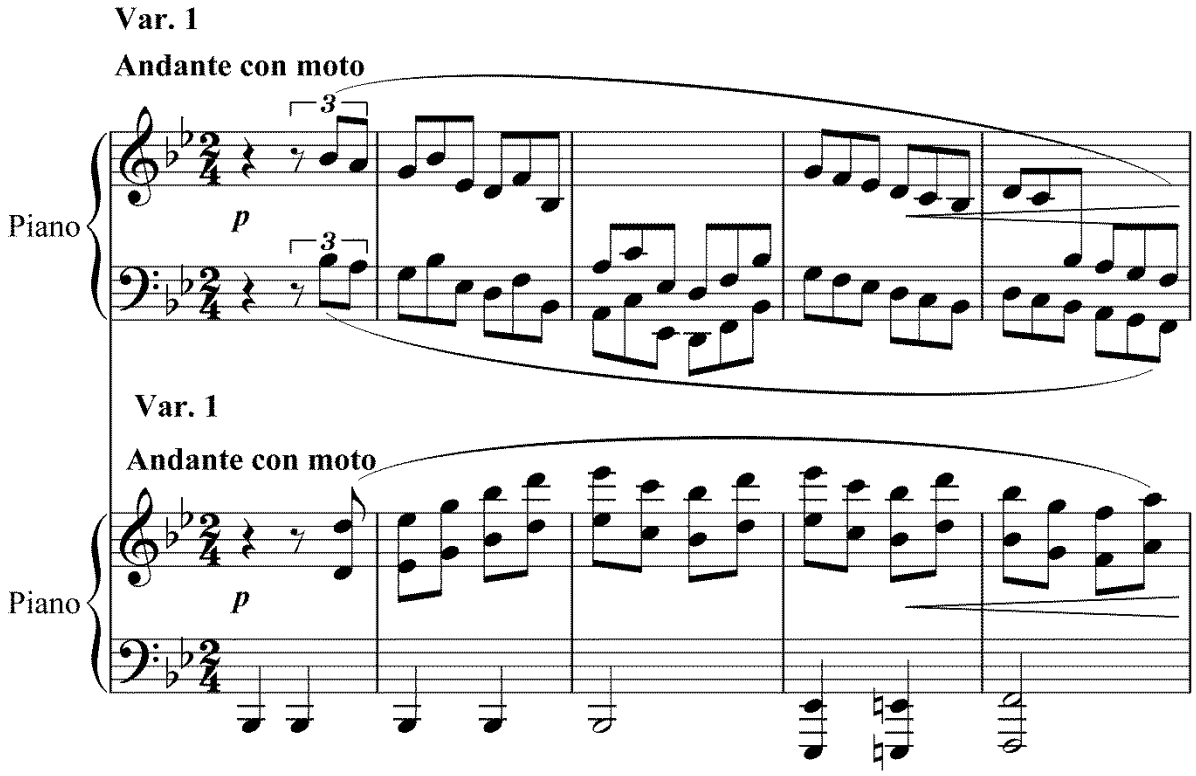
Example 2.18 Op. 26/ii, bars 1–3, showing Type 1 artificial hemiola.



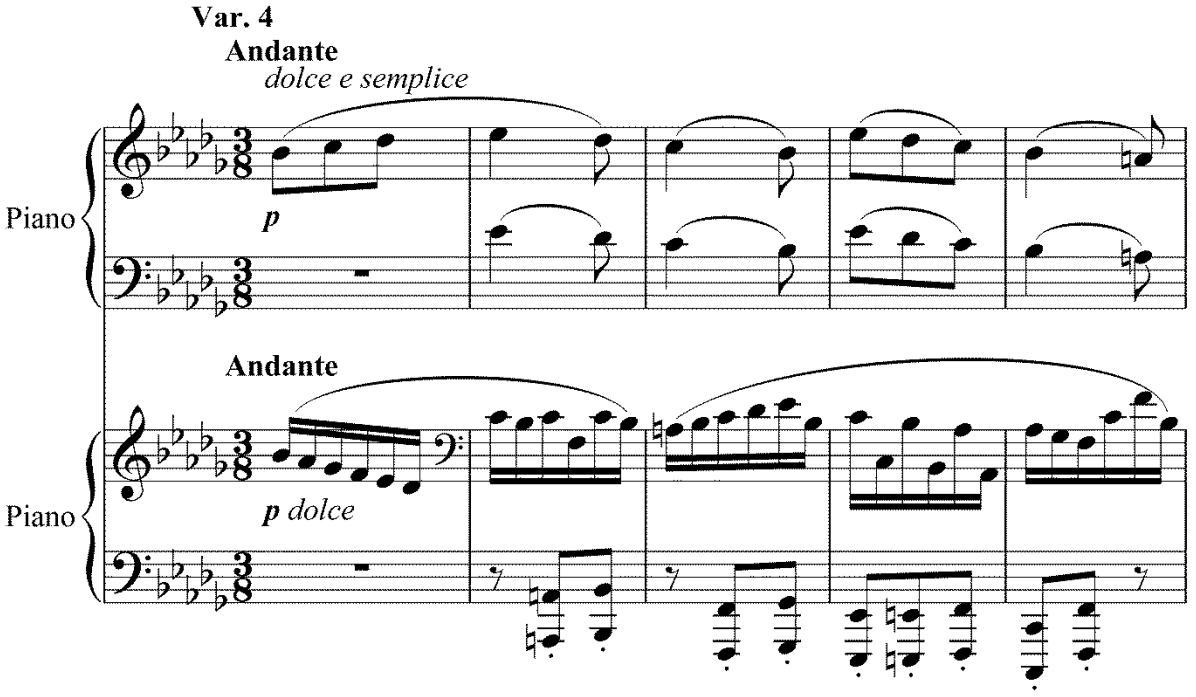
Example 2.19 Possible states in a 4-level metric space with one triple factor, in numeric form and as contrived bars.



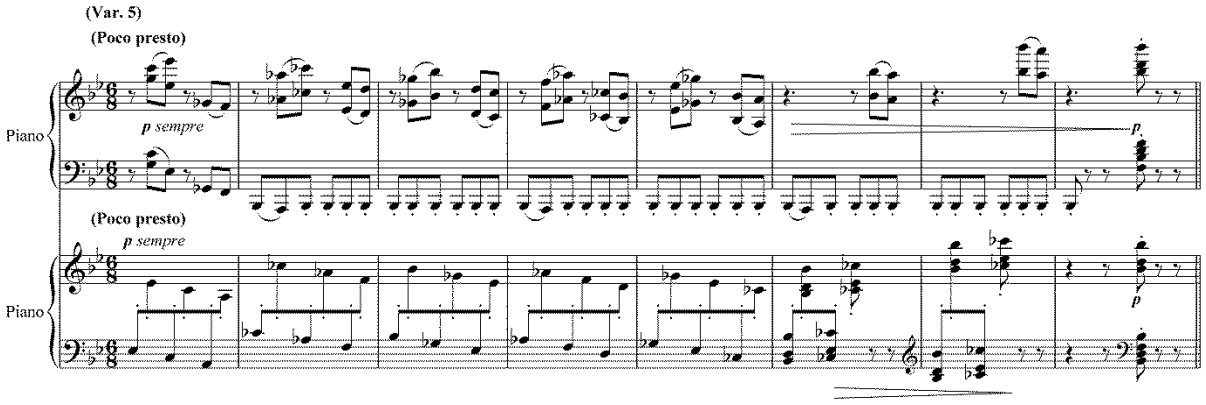
Example 2.20 Op. 56b, theme, 1–5. The theme is metrically a pure duple complex (up to the level of phrase structure, where there are one-bar extensions, disabling duple hypermetre).



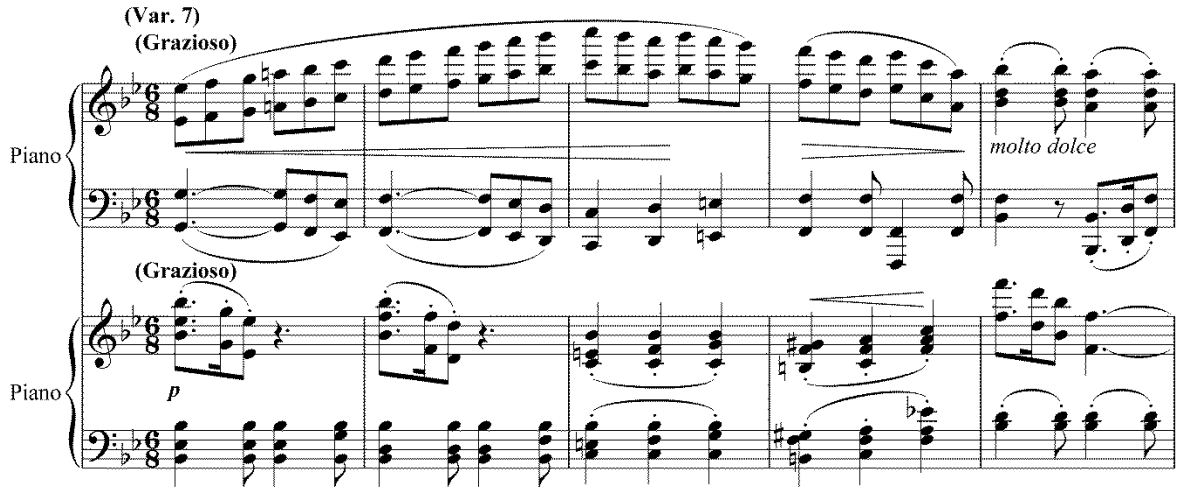
Example 2.21 Op. 56b, Variation 1, 1–5. A Type 1 artificial hemiola is introduced – triplet quavers, near the bottom of the metrical complex.



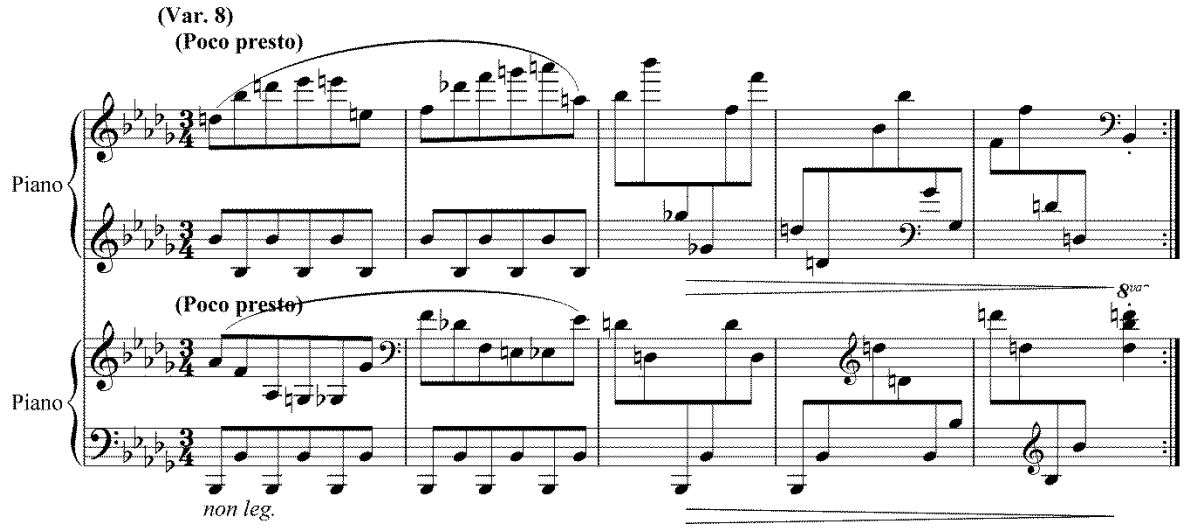
Example 2.22 Op. 56b, Variation 4, 1–5. The artificially induced triple factor rises through the metrical complex, as the time signature changes to 3/8.



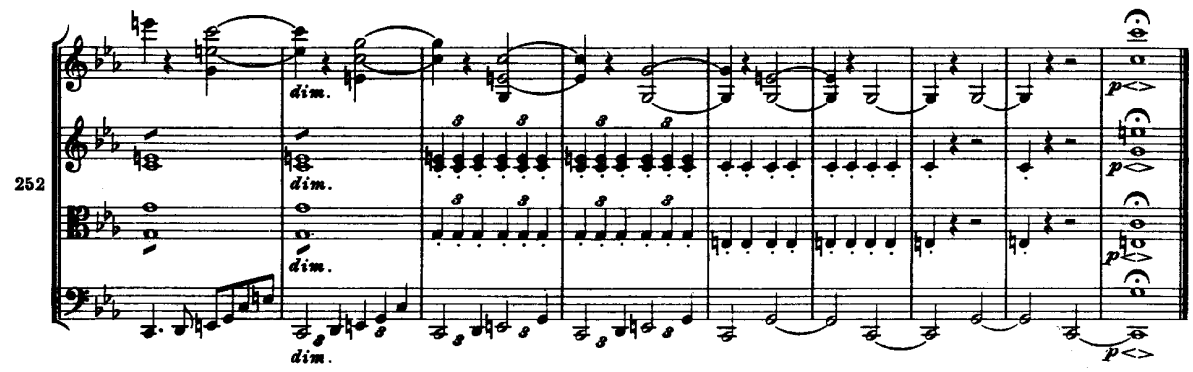
Example 2.23 Op. 56b, Variation 5, 32–39. The triple factor rises again in the 3/4 groupings in the second piano part.



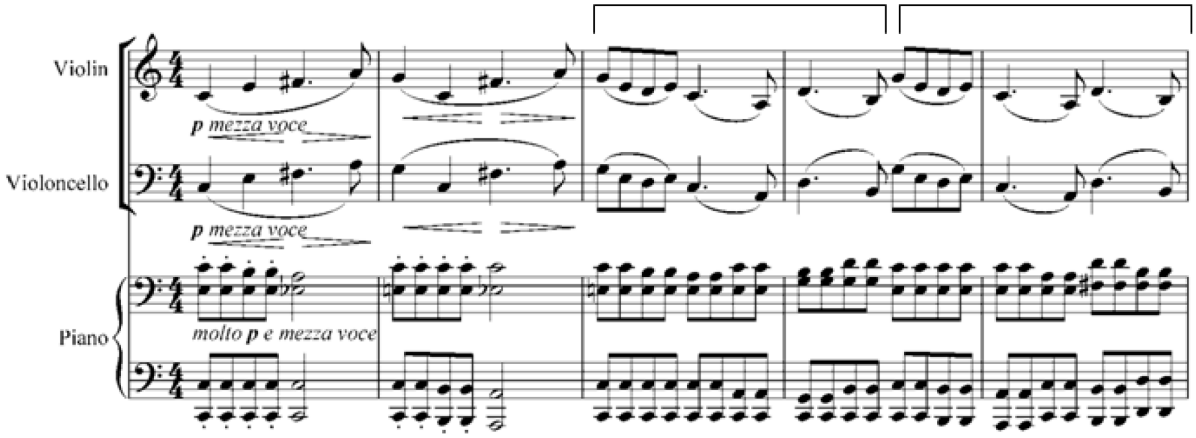
Example 2.24 Op. 56b, Variation 7, 1–5. Dissonance between 3/4 and 6/8 continues, now at a slower tempo.



Example 2.25 Op. 56b, Variation 8, 35–39. The triple factor rises once more, as the final bars of this variation project 3/2 metre.

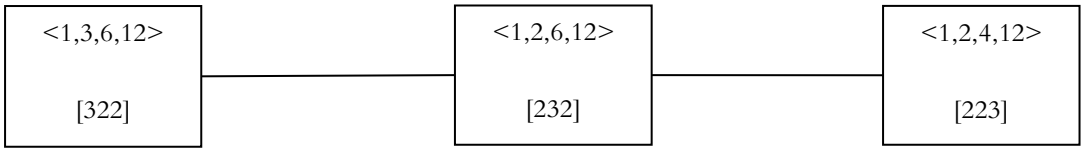


Example 2.26 Op. 51/1/i, bars 252–end, showing Krehahn's Ritardando-Bewegung.

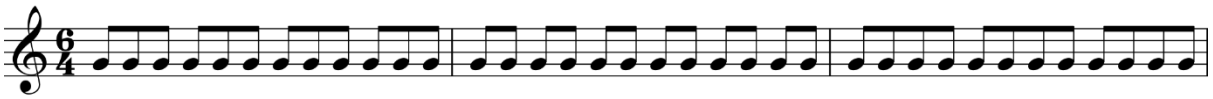


Example 2.27 Op. 87/iv, bars 1–5.

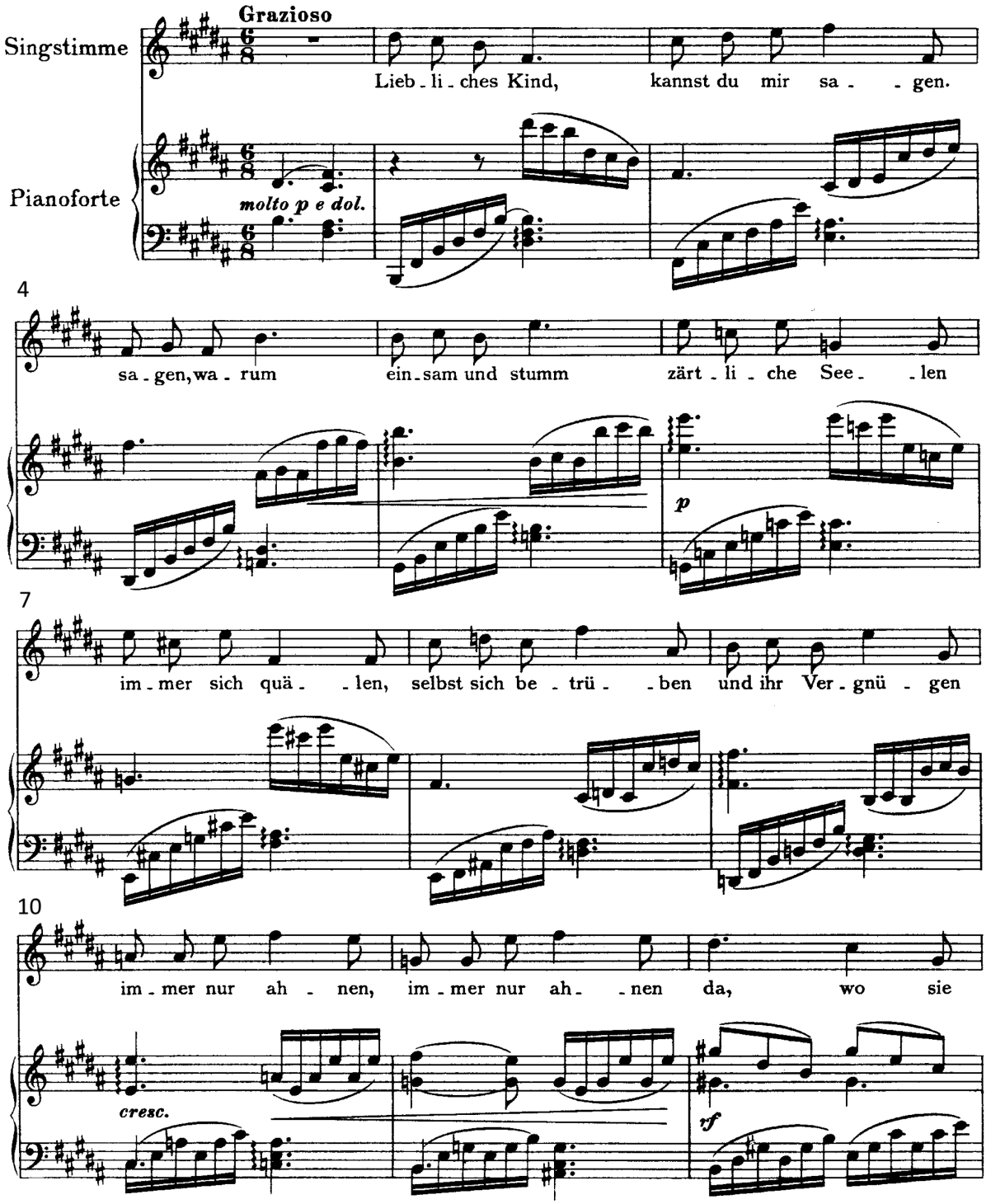
Chapter 3 Brahms and metre



Example 3.1 Possible states in a 3-level Type 2 metric space with one triple factor, in numeric form.



Example 3.2 Example 3.1 as contrived bars.


Grazioso
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Pianoforte
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Lieb - li - ches Kind, kannst du mir sa - - gen.
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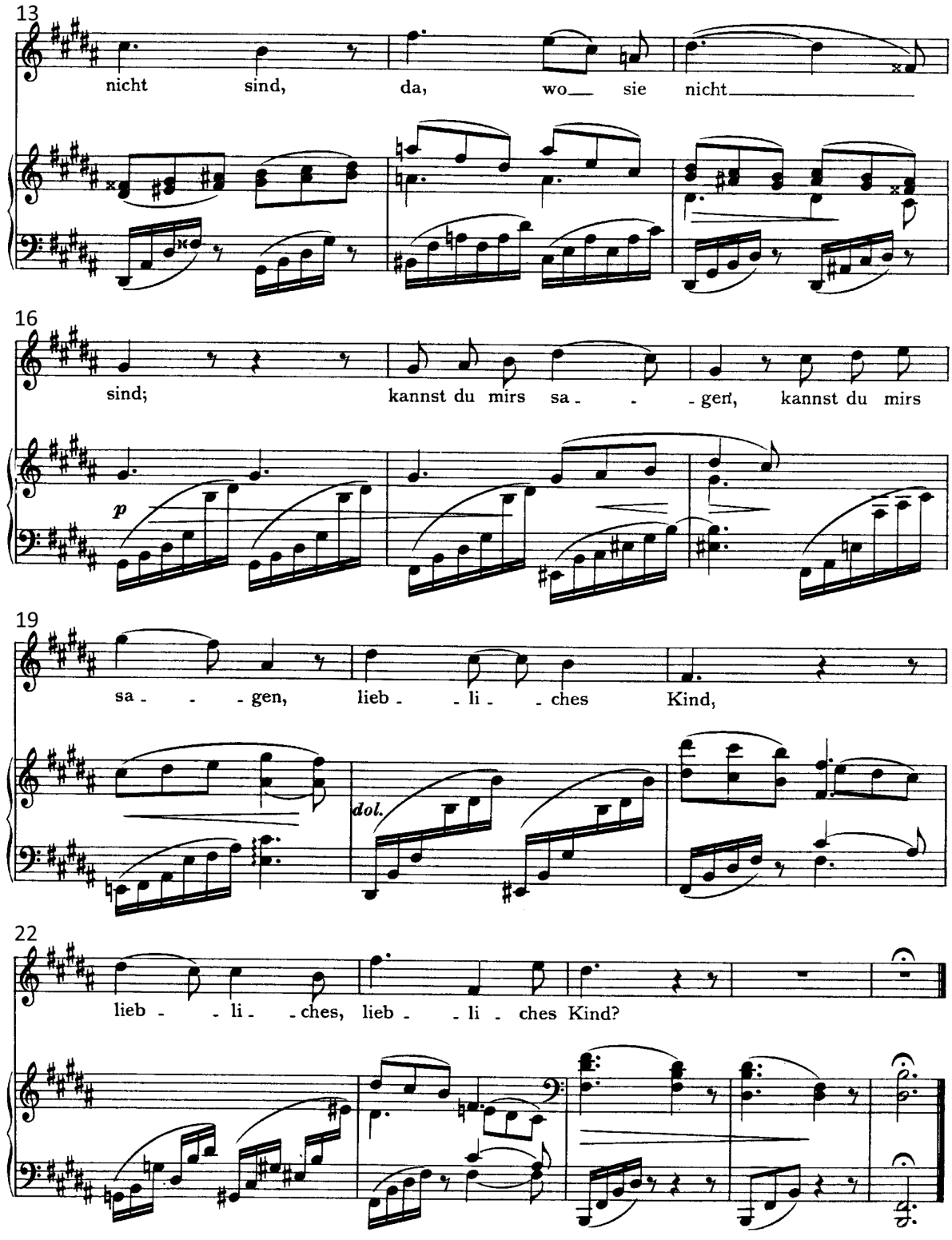
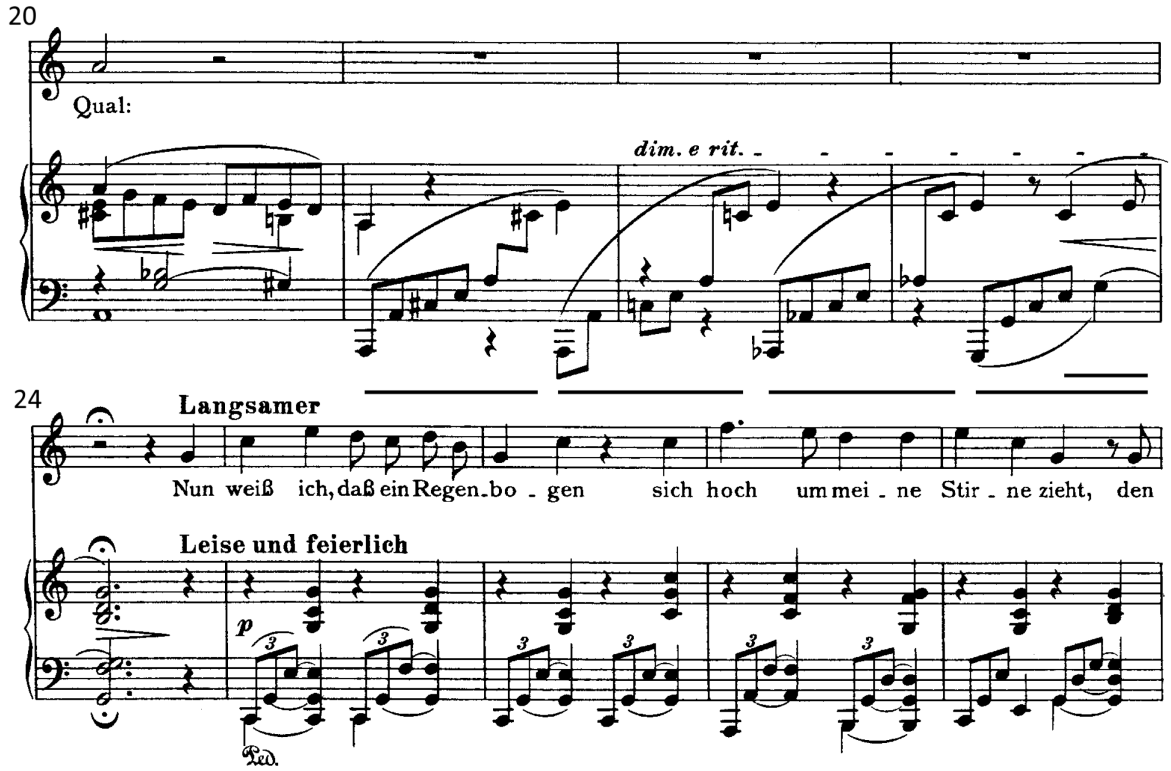
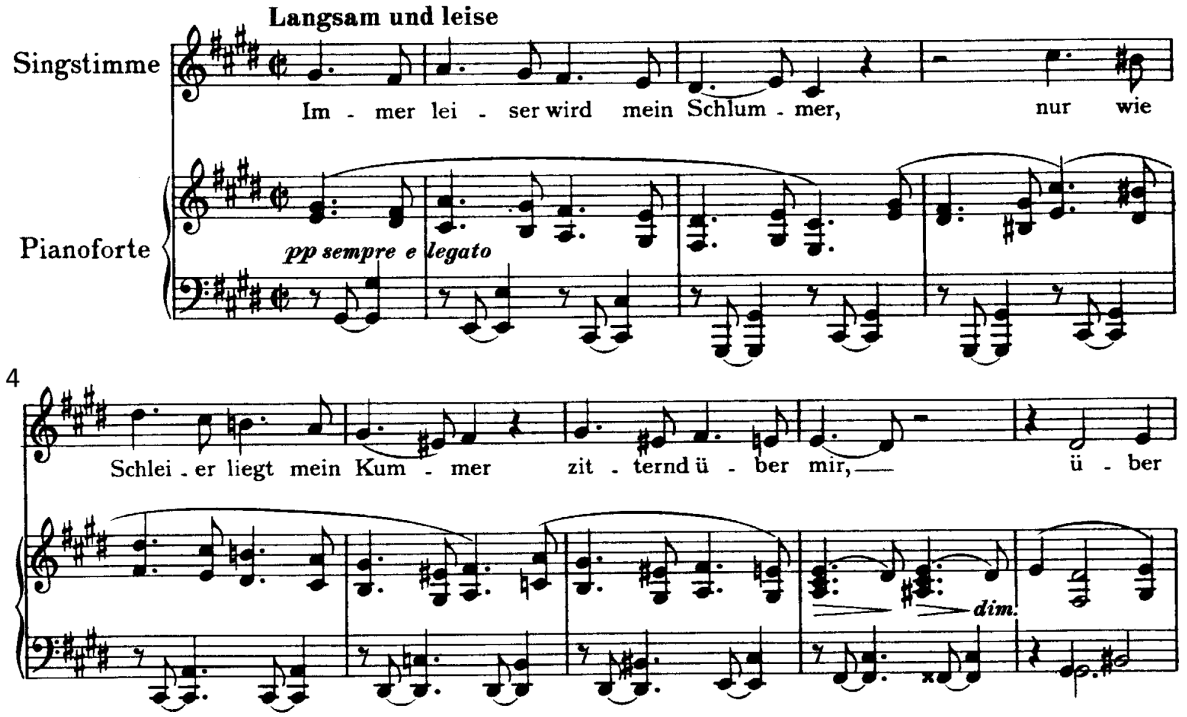


Example 3.3 Serenade, Op. 70/iii.

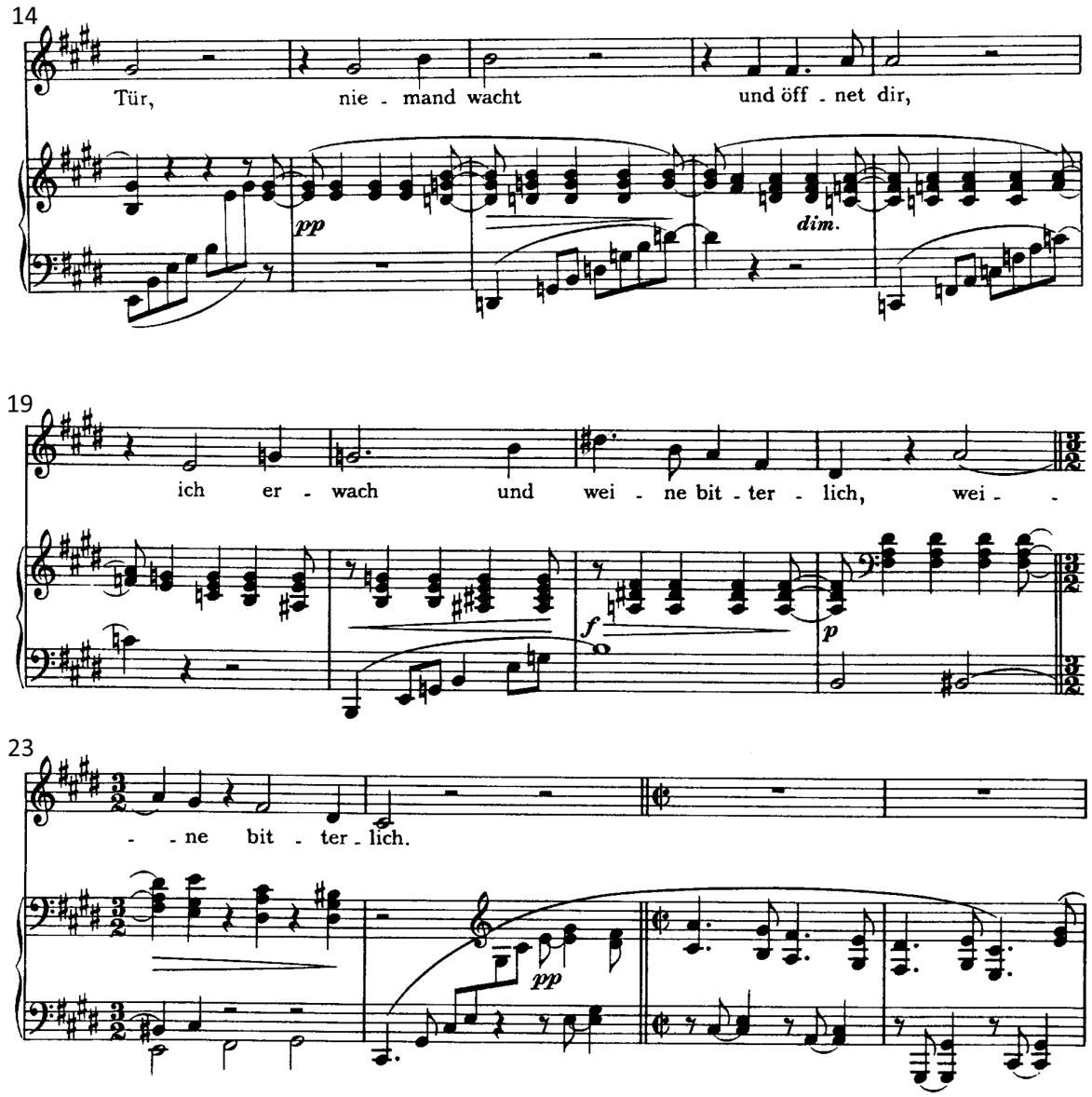
Chapter 4 Case studies for accentual counterpoint



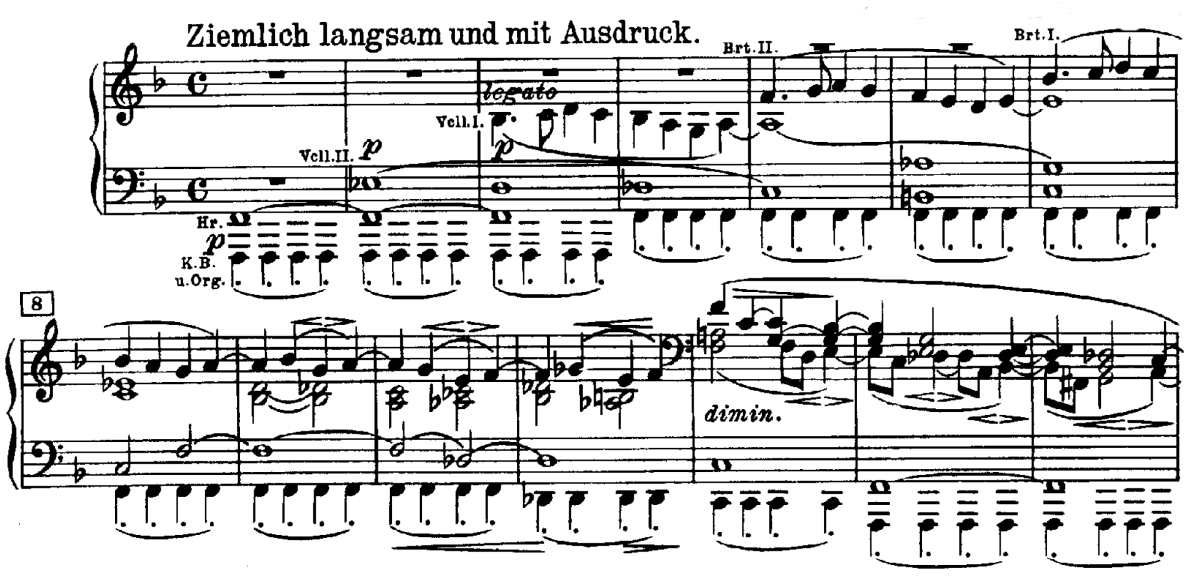
Example 4.1 Op. 70/iv, 'Abendregen', bars 20–28.



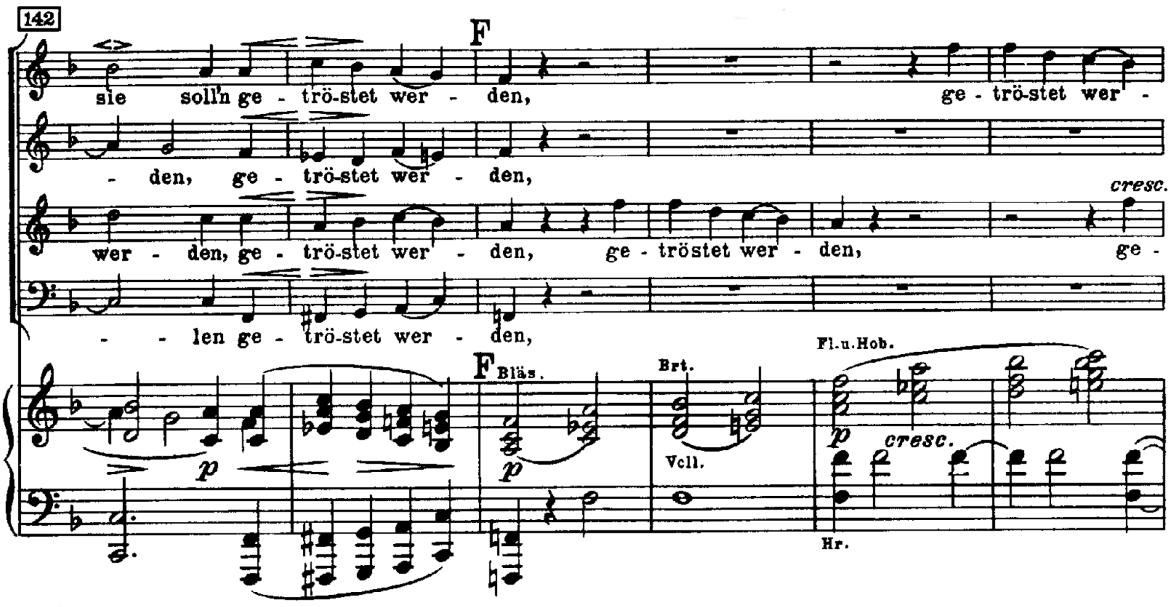
Example 4.2 'Immer leiser', Op. 105/ii, bars 1–8.



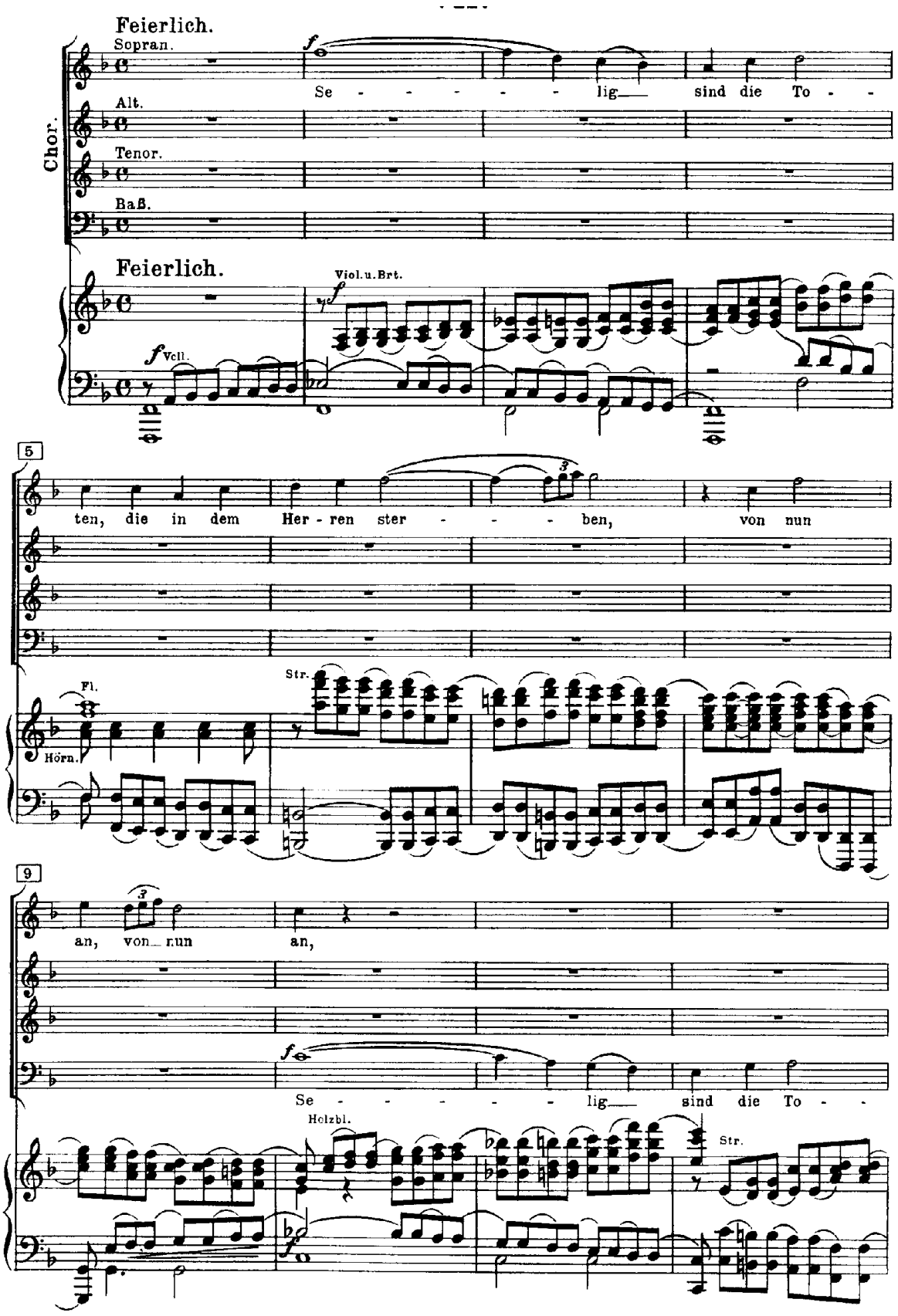
Example 4.3 'Immer leiser', Op. 105/ii, bars 14–26.



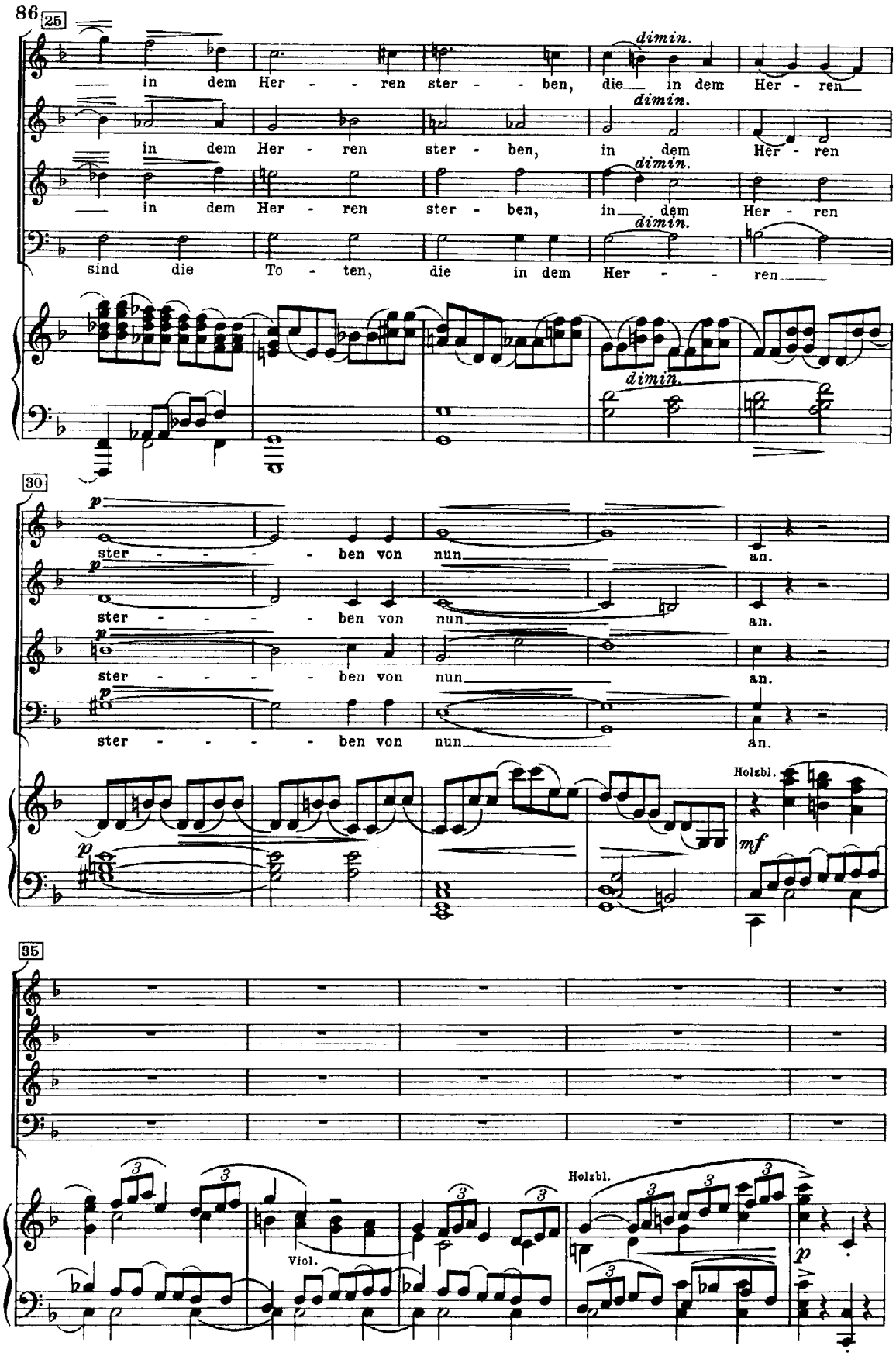
Example 4.4 Op. 45/i, bars 1–14.



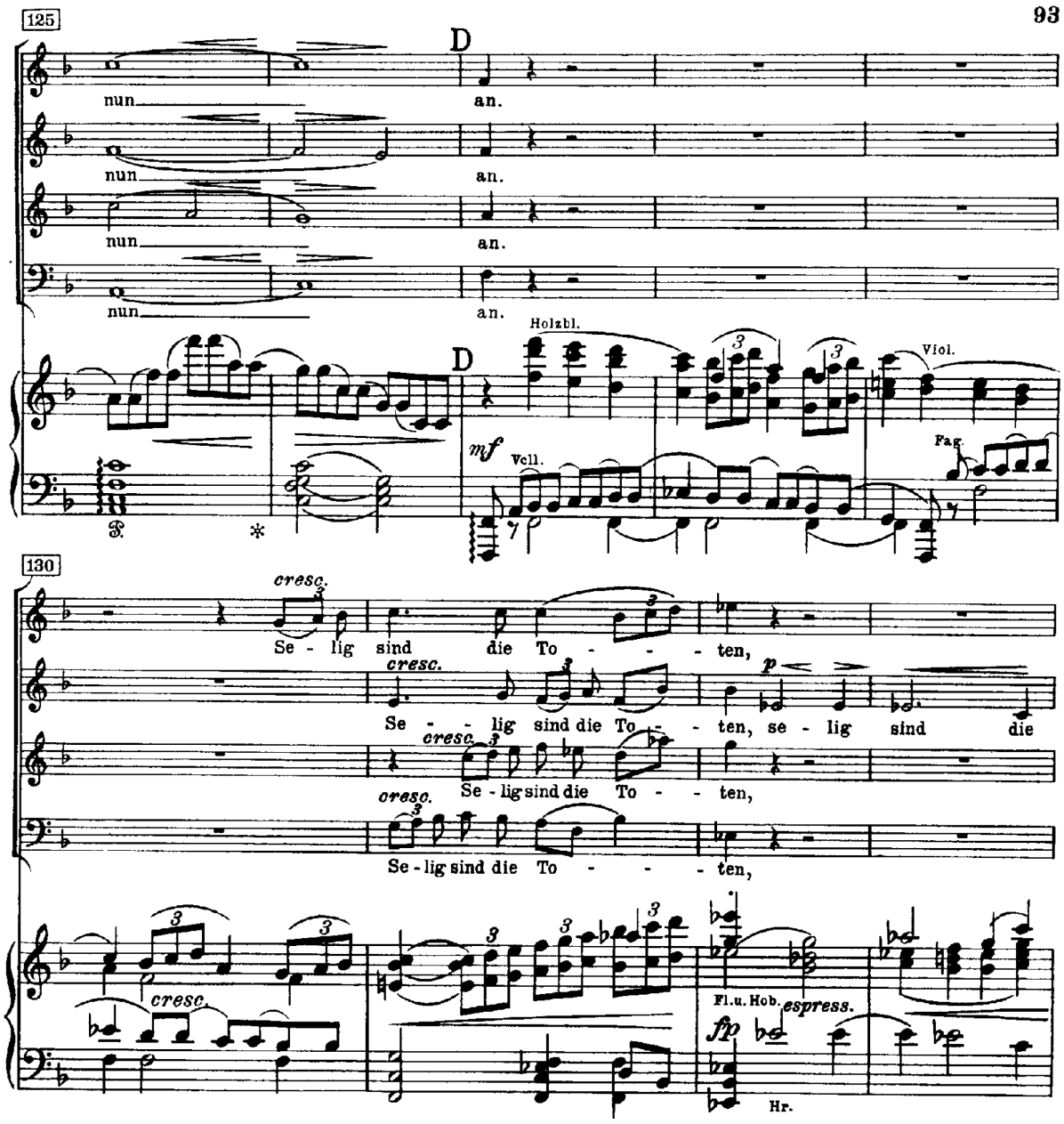
Example 4.5 Op. 45/i, bars 142–147, the opening of the coda.



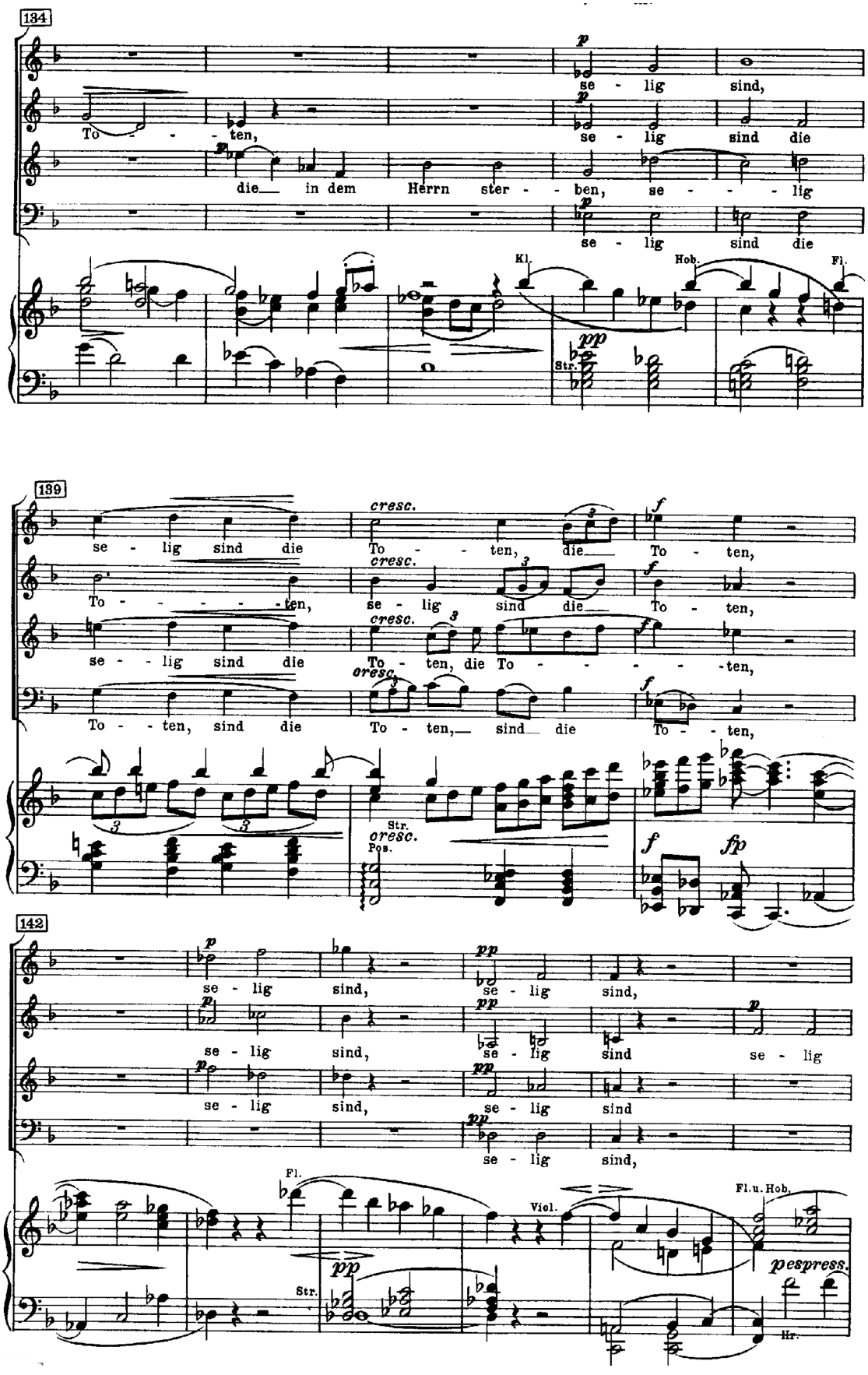
Example 4.6 Op. 45/vii, bars 1–12.



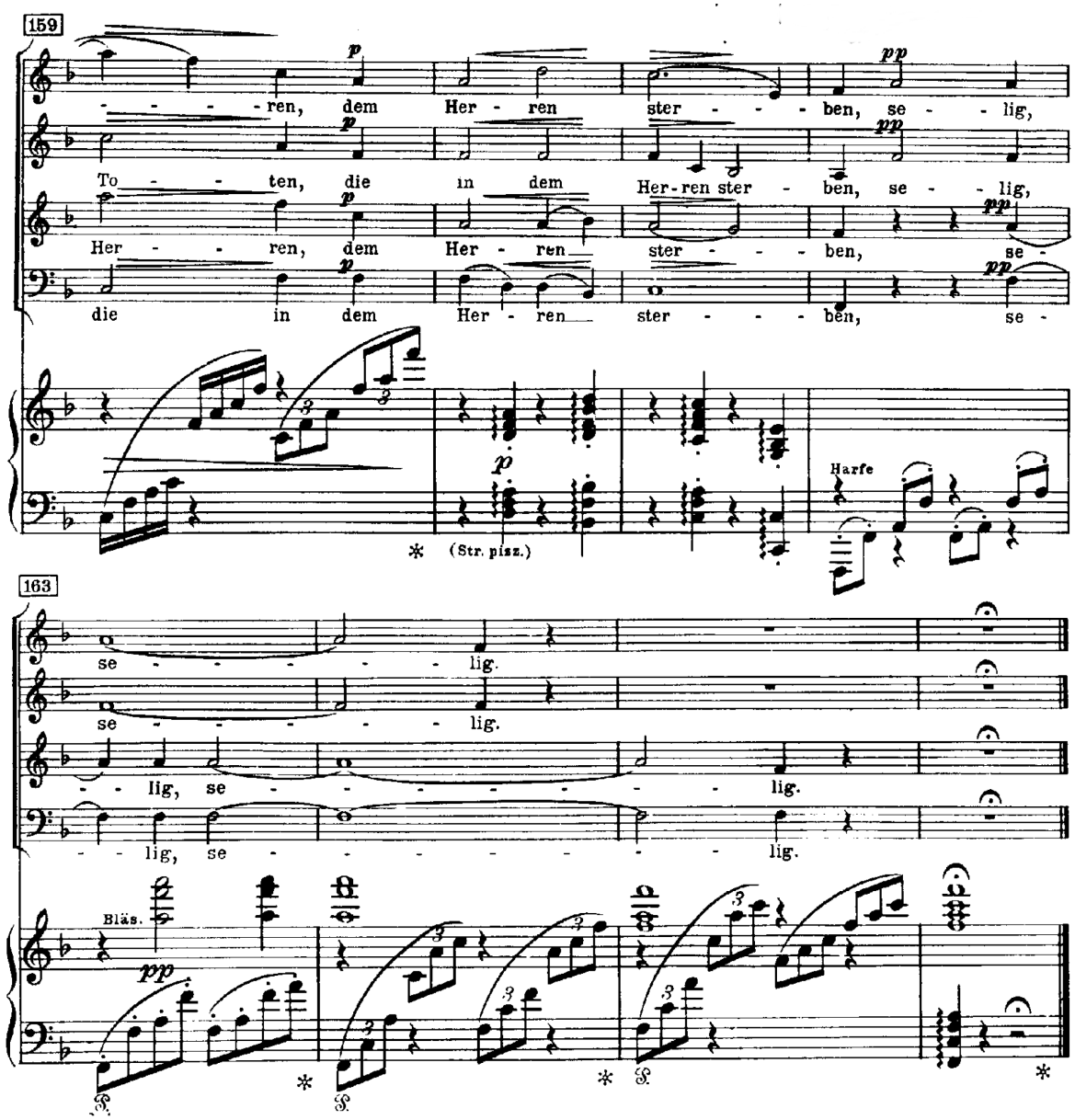
Example 4.7 Op. 45/vii, bars 25–39.



Example 4.8 Op. 45/vii, bars 125–133, showing cadential motion into the coda.

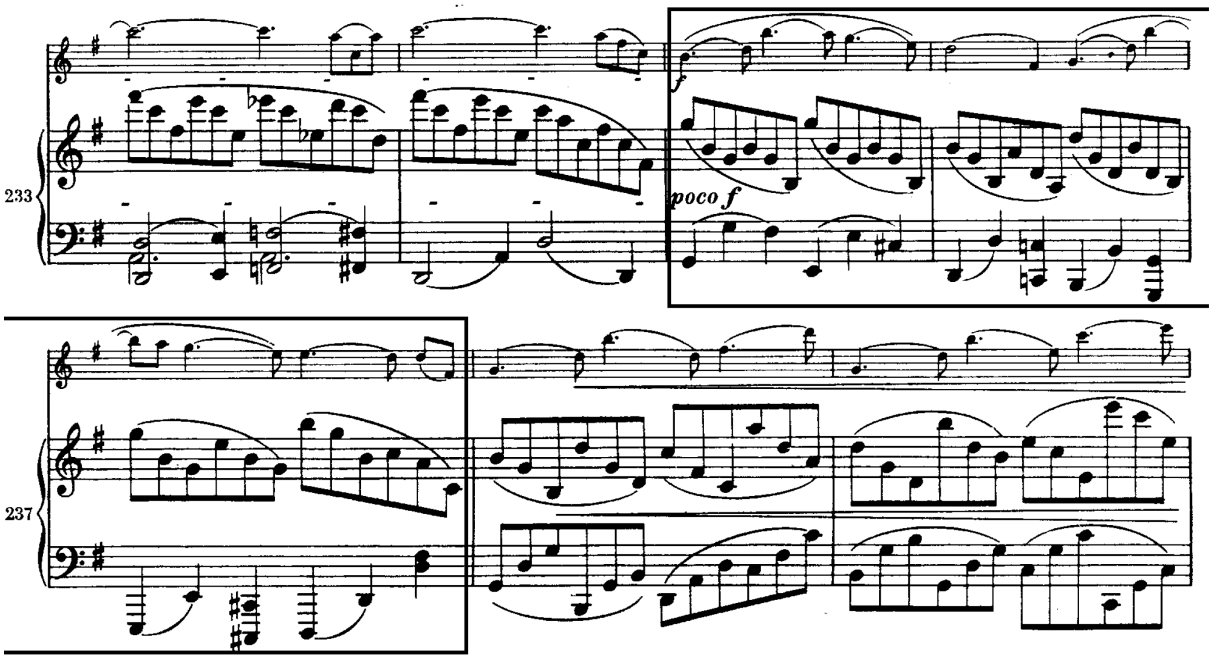


Example 4.9 Op. 45/vii, bars 134–147.

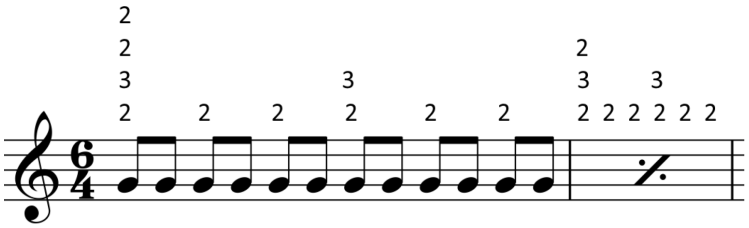


Example 4.10 Op. 45/vii, bars 159–close.

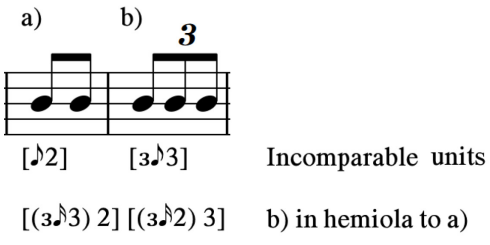
Chapter 5 Op. 78 reconsidered: Brahms's route to complexity



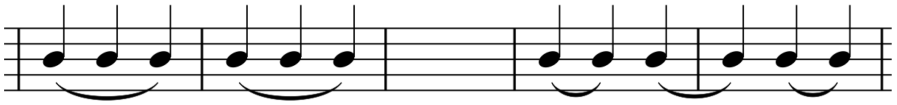
Example 5.1 Op. 78/i, bars 233–239.



Example 5.2 An example of a metric state. The grouping figures on the left are read upwards, giving the state [♪2322].



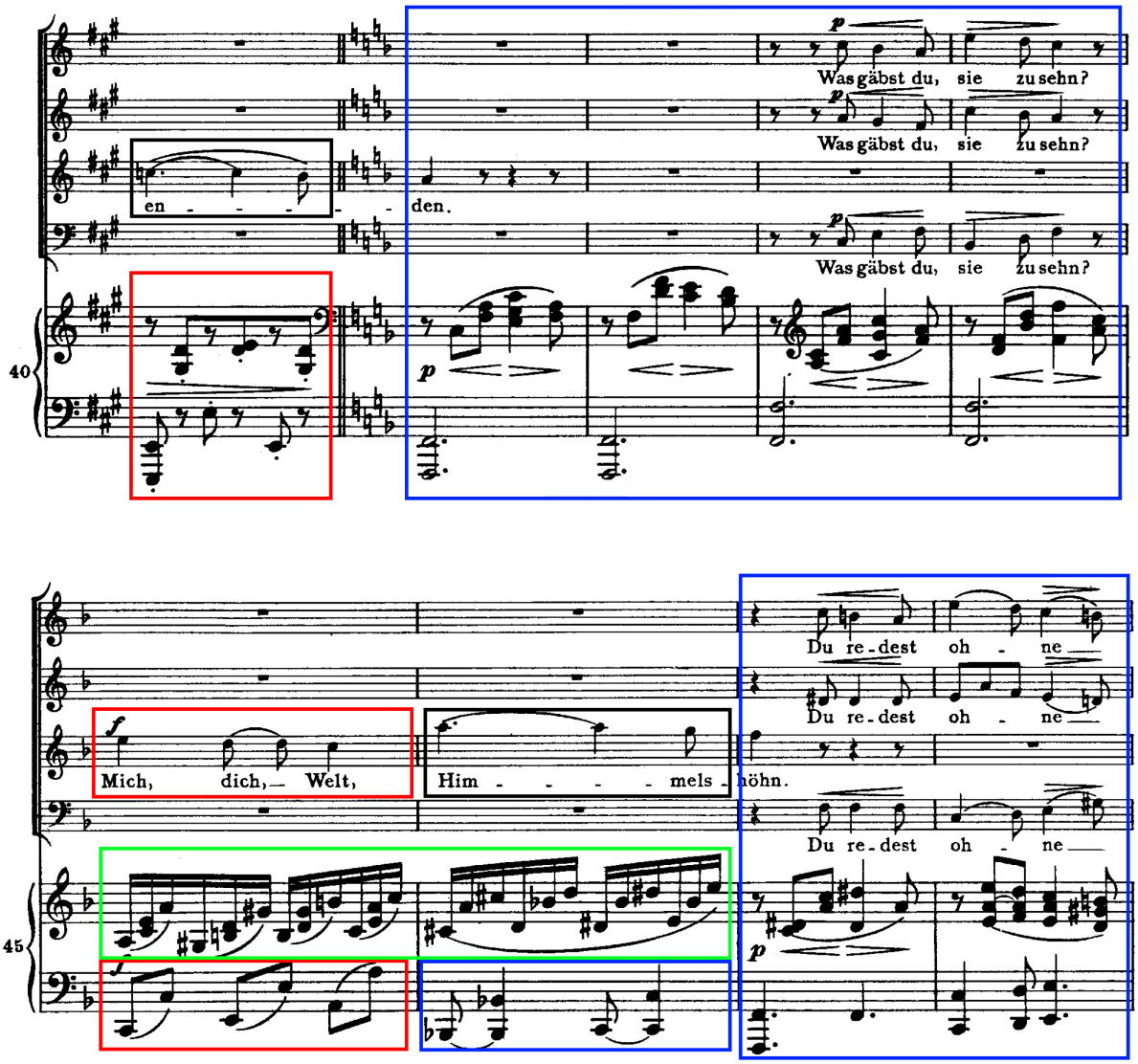
Example 5.3 A demonstration of Type 1 artificial hemiola and the ability to relate metrical states through the invocation of micropulses.



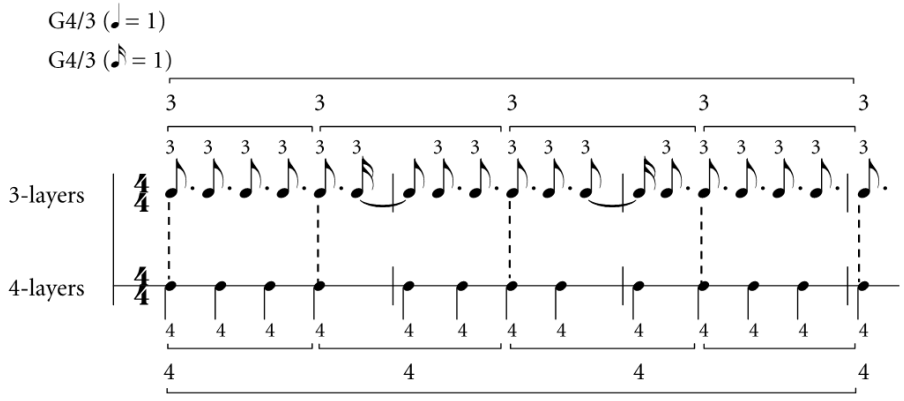
[♩ 3 2] = [(3𝅘𝅥𝅯 3 2) 3 2]

[♩ 2 3] = [(3𝅘𝅥𝅯 3 2) 2 3]

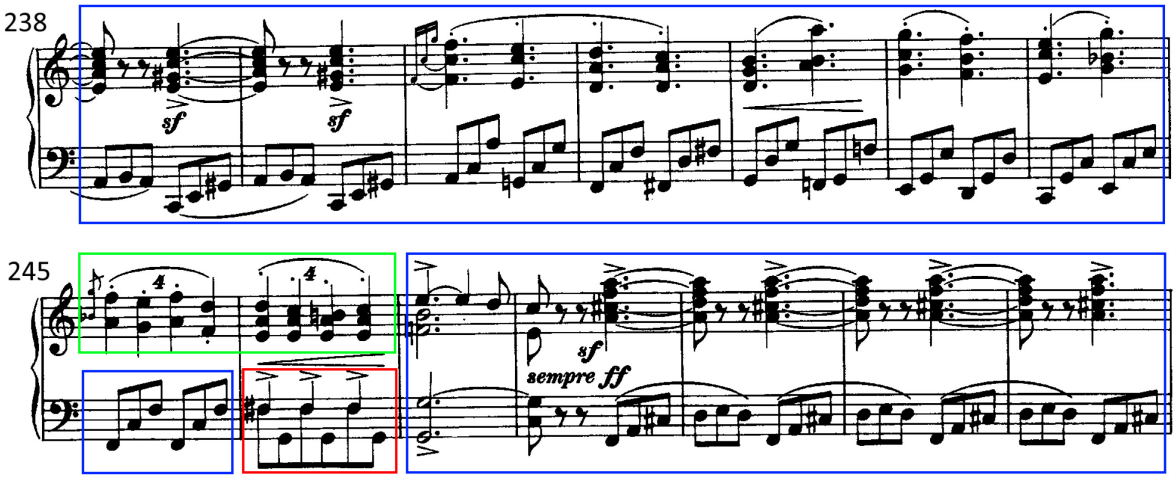
Example 5.4 A second, higher-level hemiola relationship.



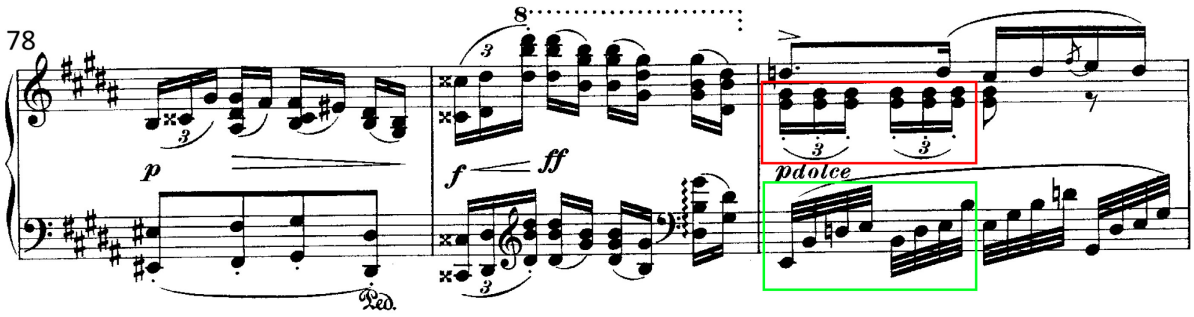
Example 5.5 Op. 64/iii, bars 40–48.



Example 5.6 Butler's example of Embedded Grouping Dissonance.[4]

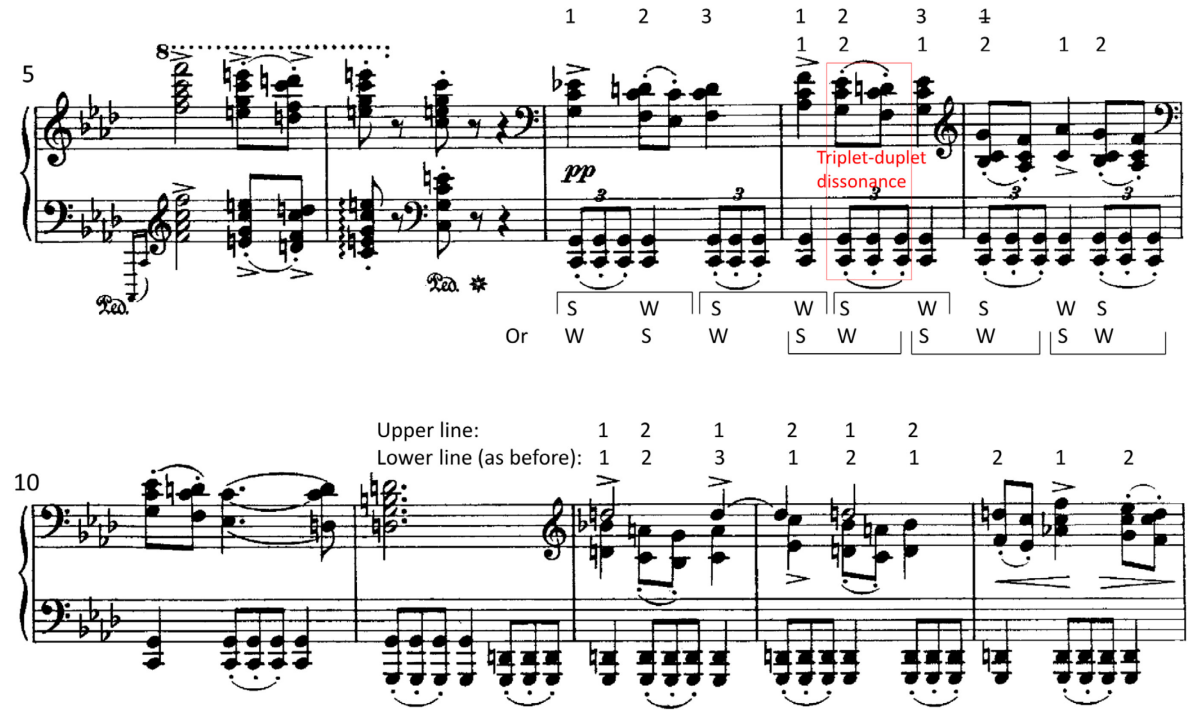


Example 5.7 Op. 1/iv, bars 238–251, including a double hemiola (MMDH) in bar 246.

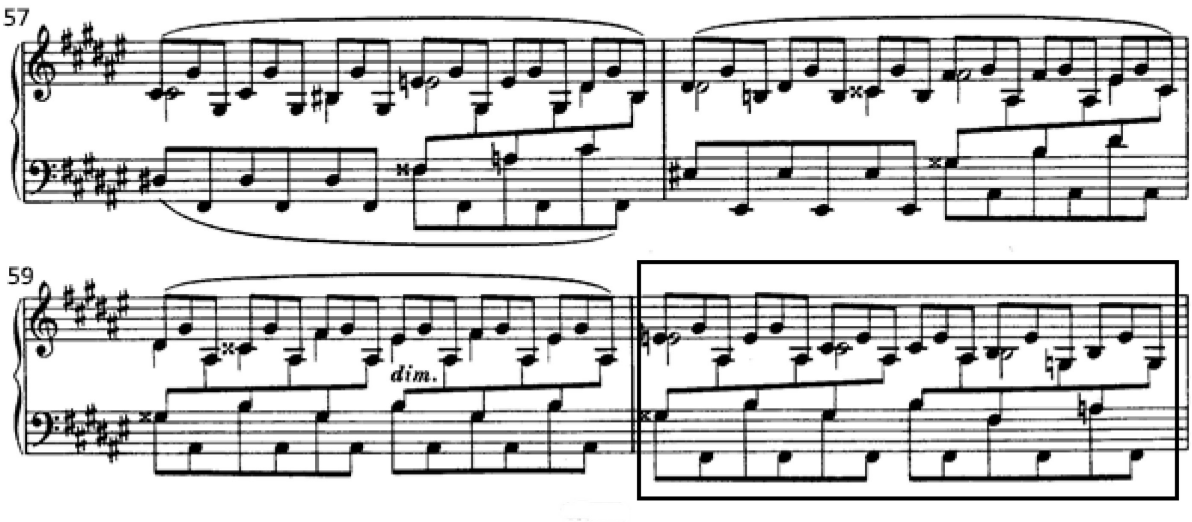


Example 5.8 Op. 2/ii, bars 78–80, showing MMDH in the first beat of 80.

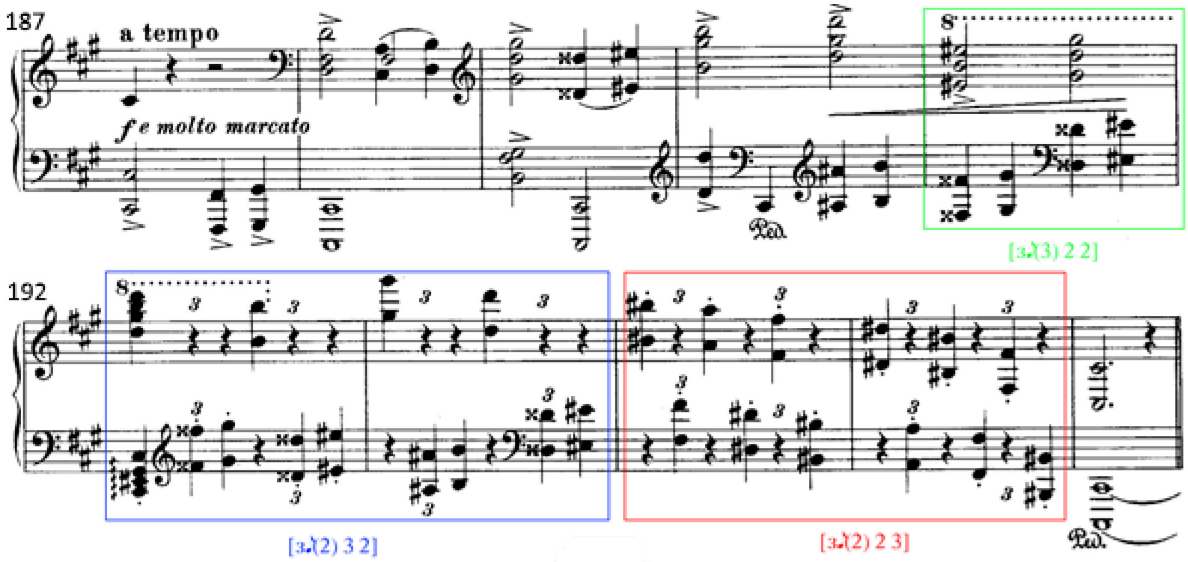
[4] Butler, 'Hearing Kaleidoscopes', 229.



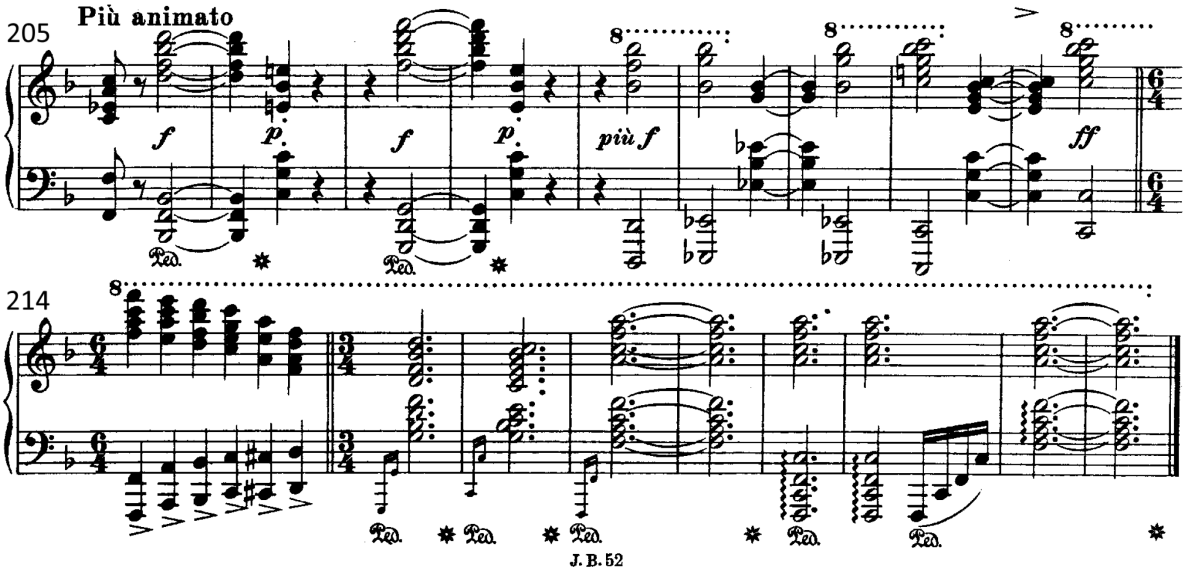
Example 5.9 Op. 5/i, bars 5–14, with two levels of hemiola from bar 7.



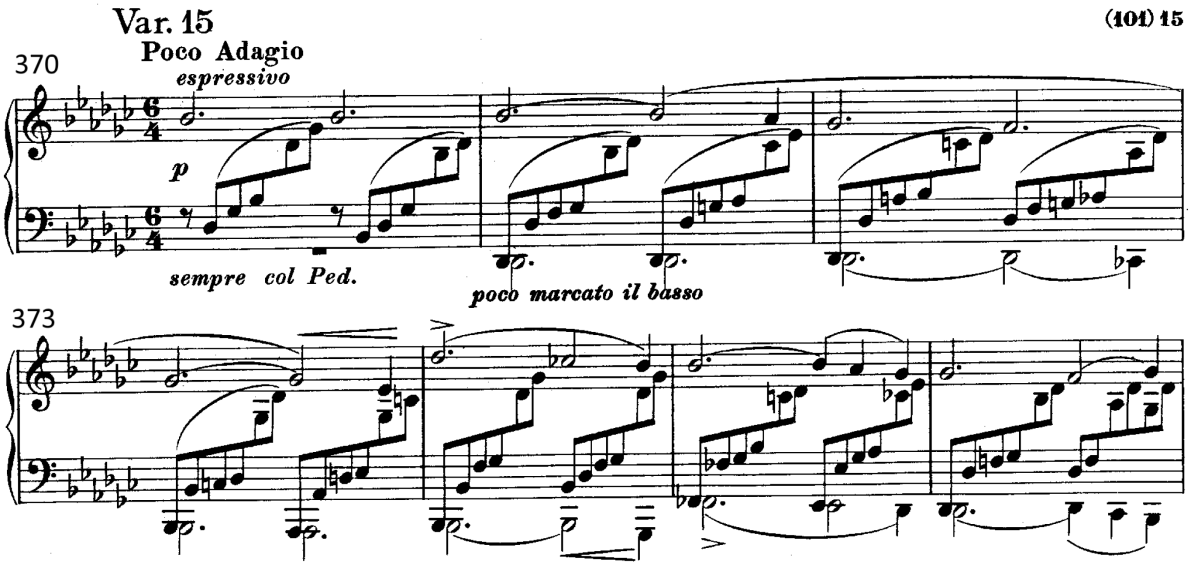
Example 5.10 Op. 10/iv, bars 57–60. Bar 60 shows double hemiola: 6/4 indirectly against 3/2, and triplet quavers directly against duplets.



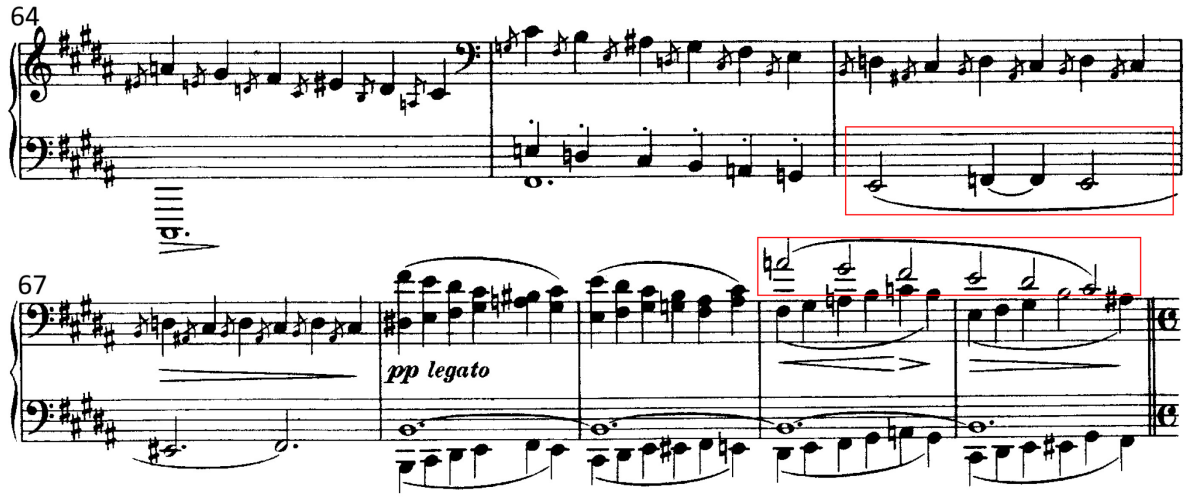
Example 5.11 Op. 2/iv, bars 187–196.



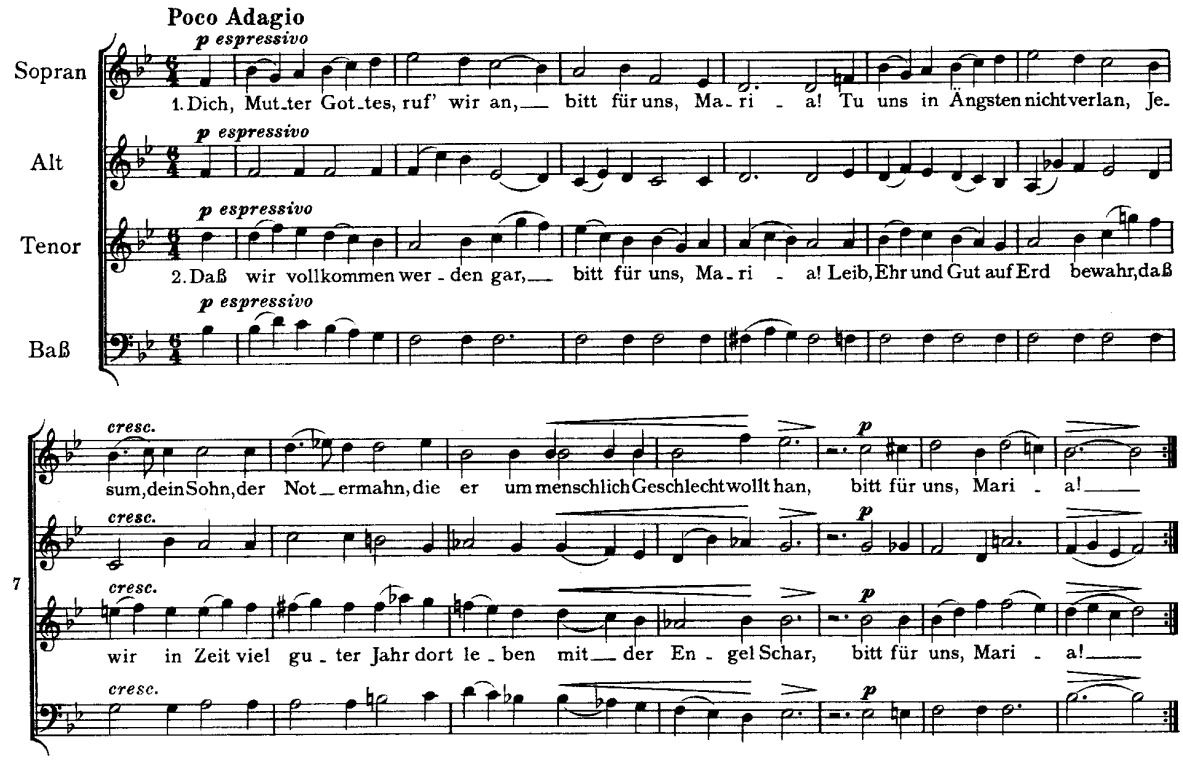
Example 5.12 Op. 5/i, bars 205–end, including the 6/4 bar near the end.



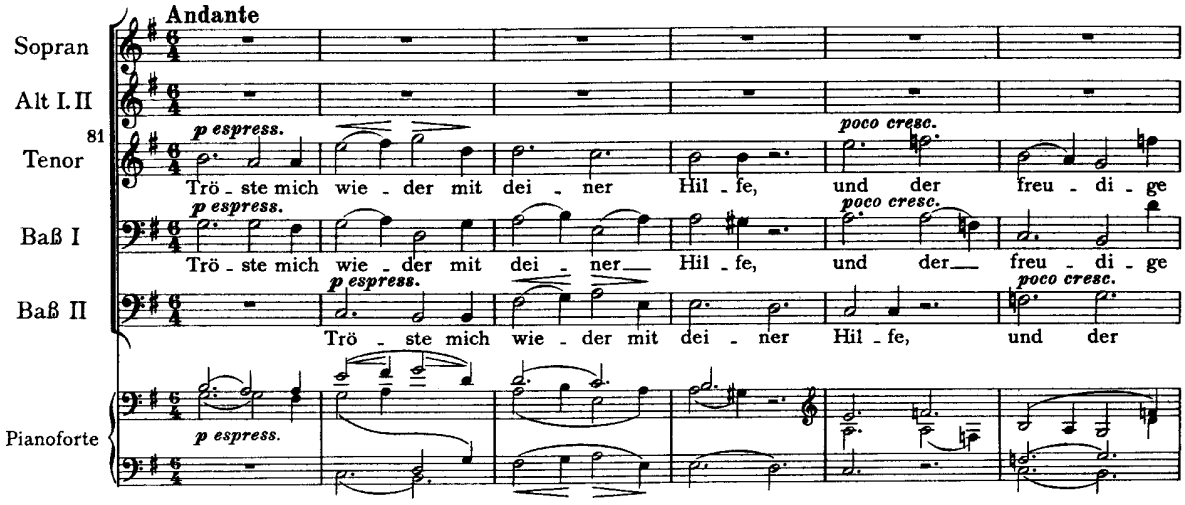
Example 5.13 Op. 9, bars 370–376, opening of 15th variation.



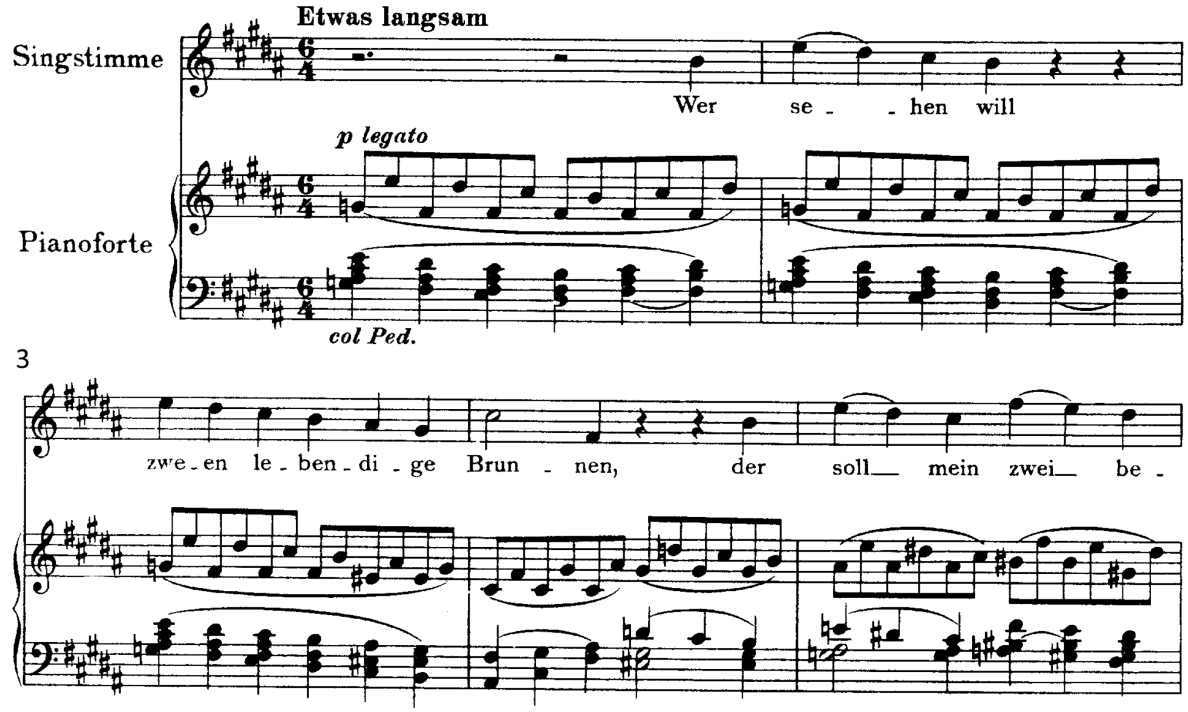
Example 5.14 Op. 10/ii, bars 64–71.



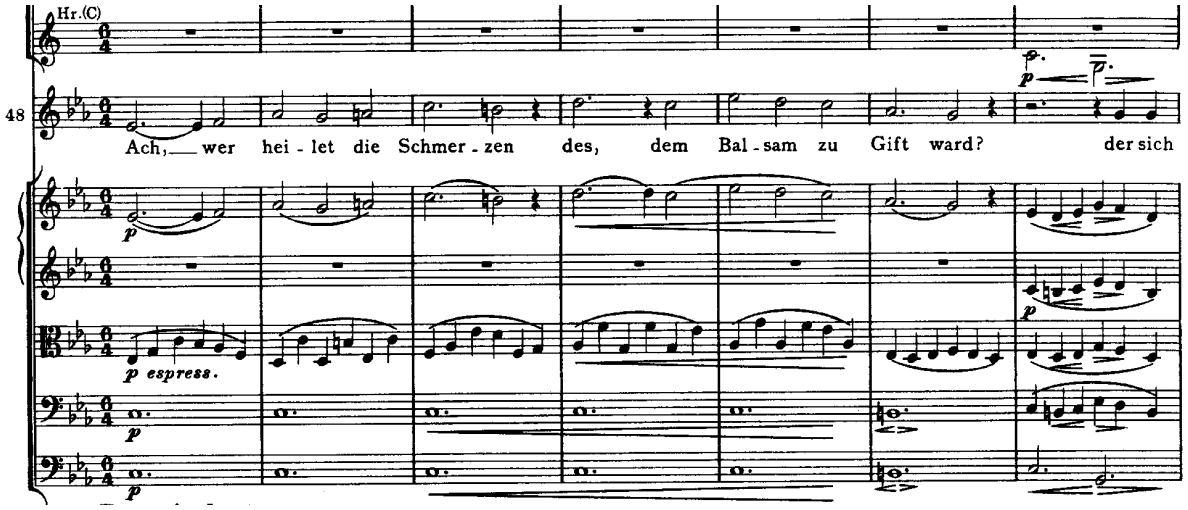
Example 5.15 Op. 22/v, bars 1–13.



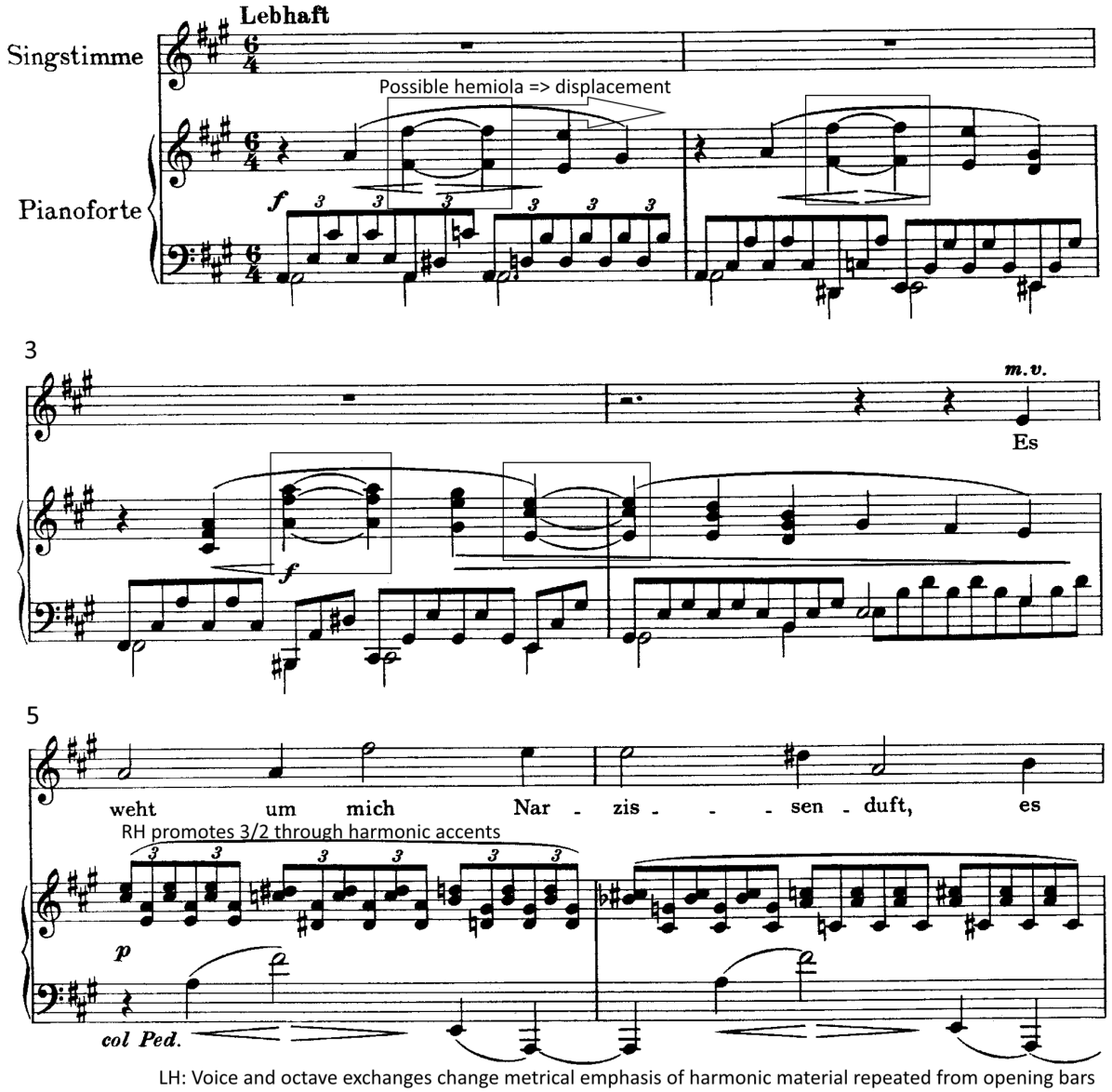
Example 5.16 Op. 29/ii, bars 81–86.



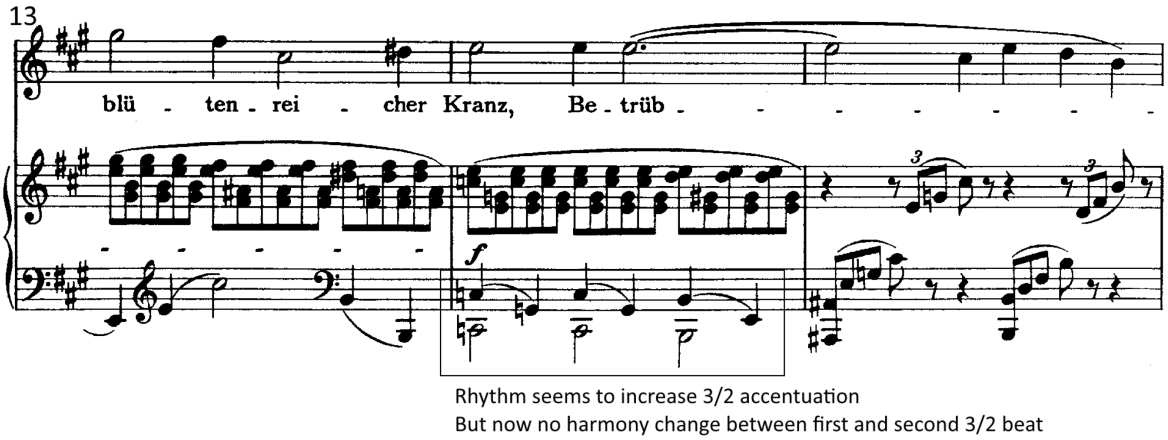
Example 5.17 Op. 48/iii ('Liebesklage des Mädchens'), bars 1–5.



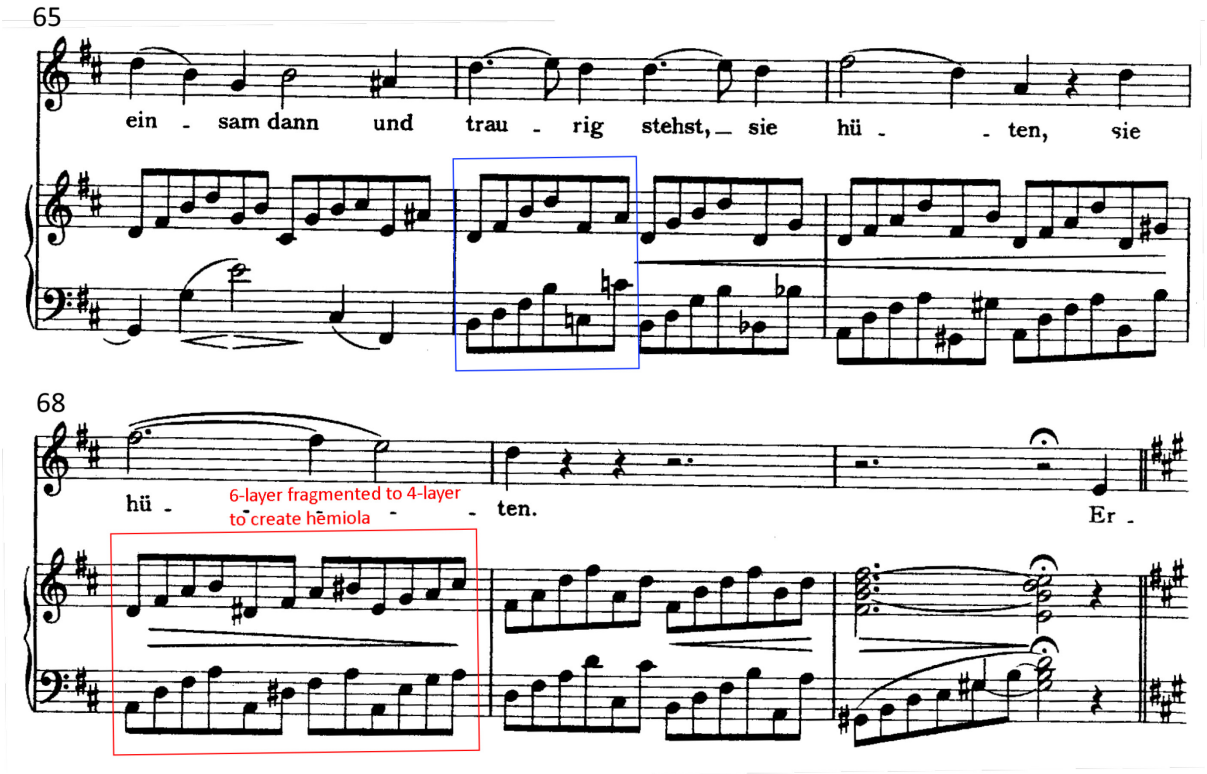
Example 5.18 Op. 53, bars 48–54 (the wind section is tacit).



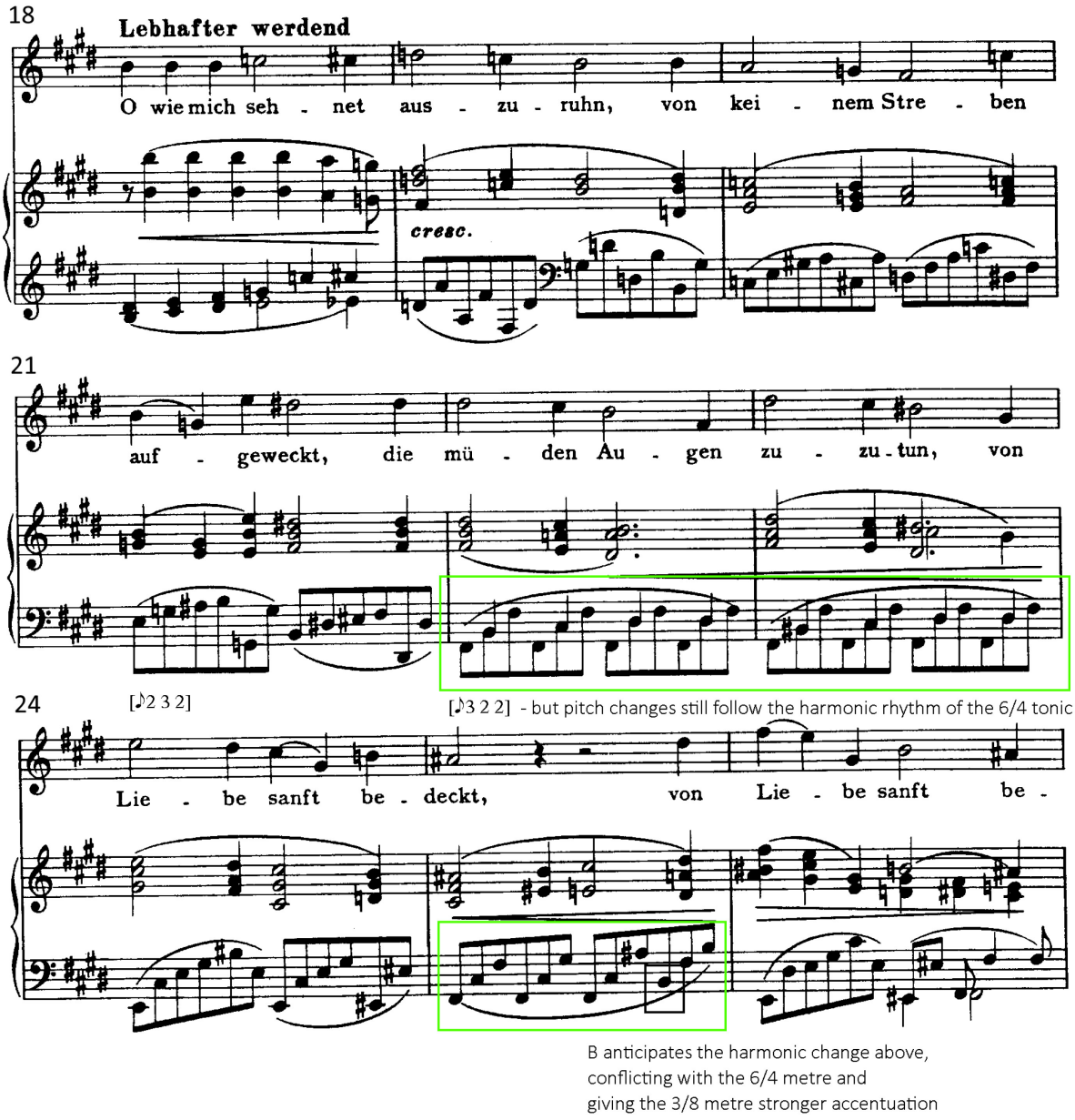
Example 5.19 Op. 63/i ('Frühlingstrost'), bars 1–6.



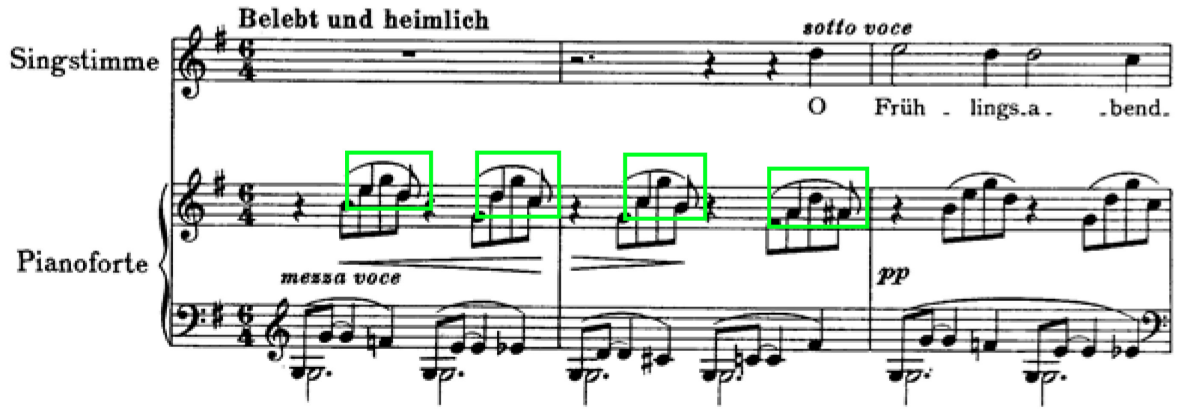
Example 5.20 Op. 63/i, bars 13–15.



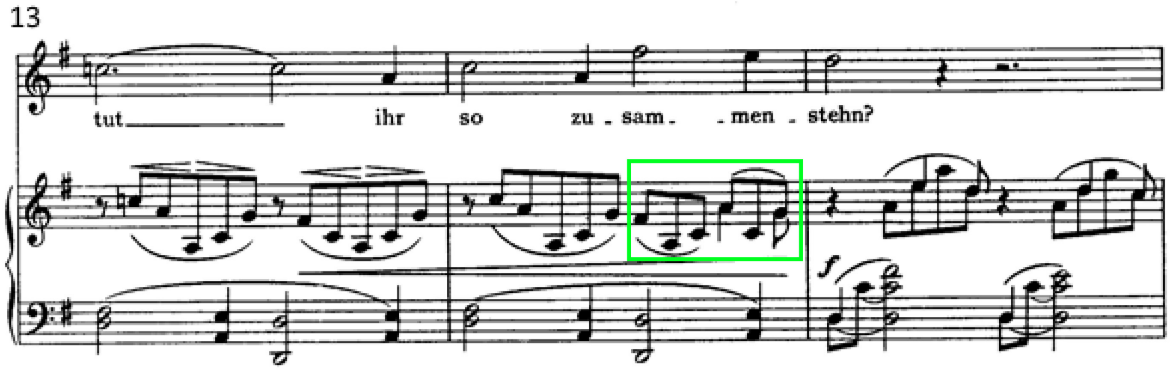
Example 5.21 Op. 63/i, bars 65–70.



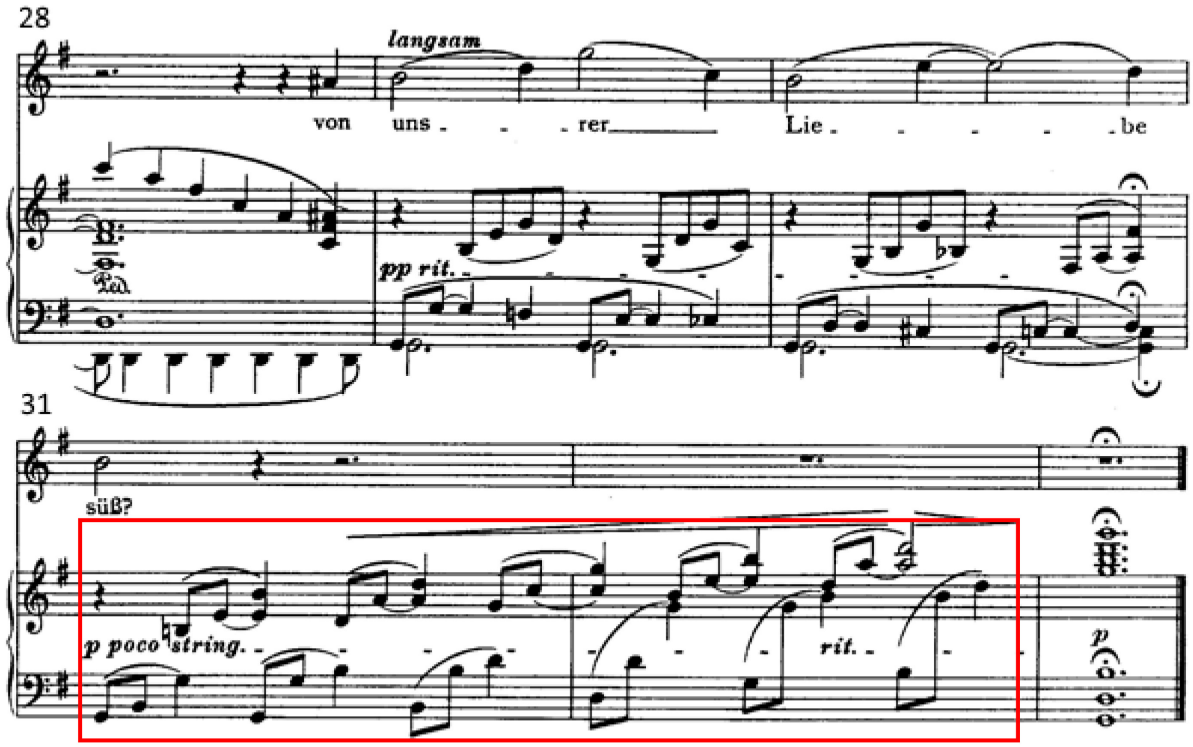
Example 5.22 Op. 63/viii, bars 18–23.



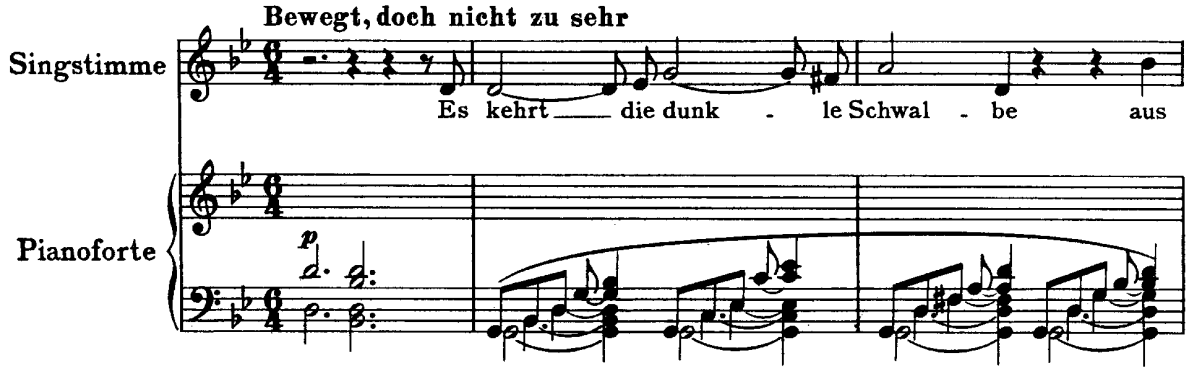
Example 5.23 Op. 71/iii, opening (bars 1–3).



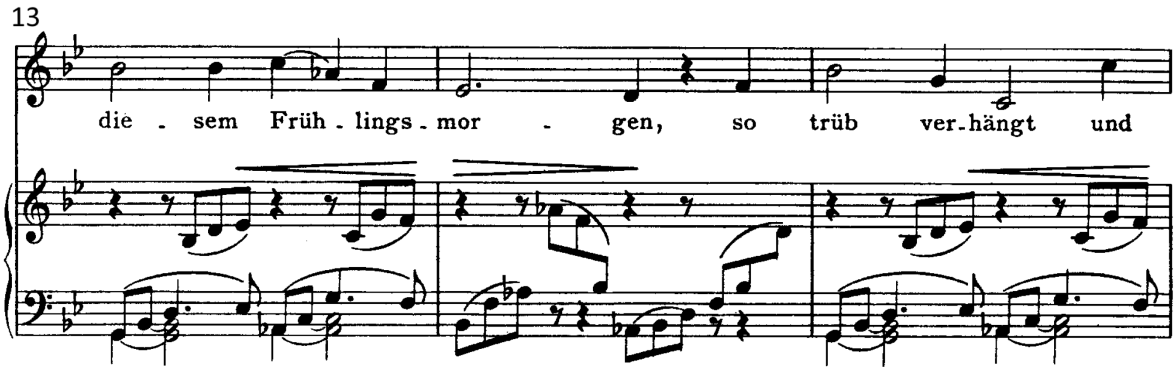
Example 5.24 Op. 71/iii, bar 13–15.



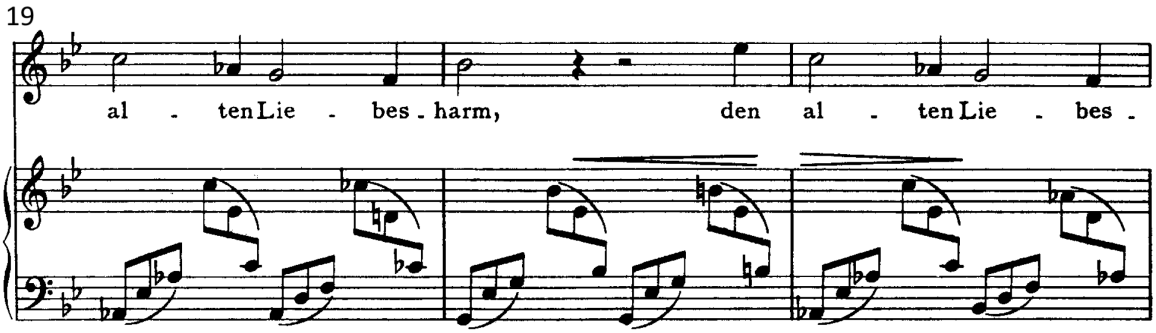
Example 5.25 Op. 71/iii, bars 28–end.



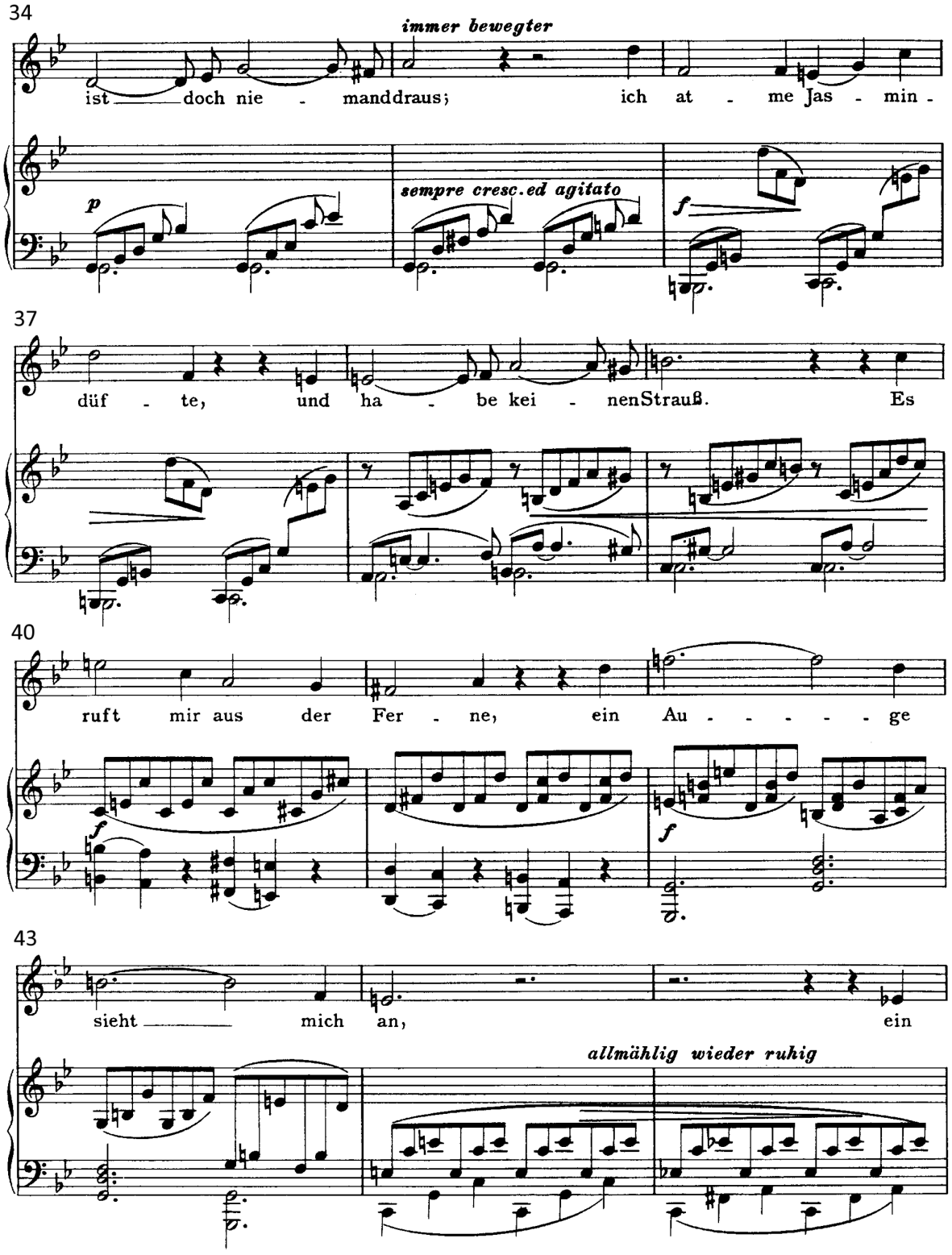
Example 5.26 Op. 72/i, 'Alte Liebe', bars 1–3.



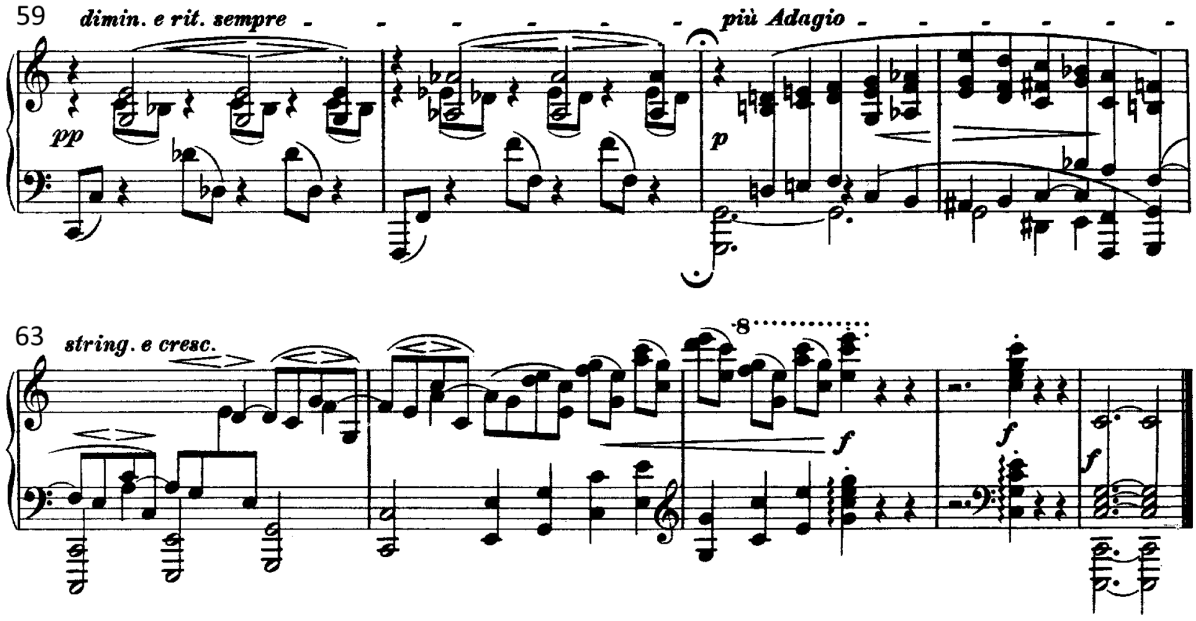
Example 5.27 Op. 72/i, bars 13–15.



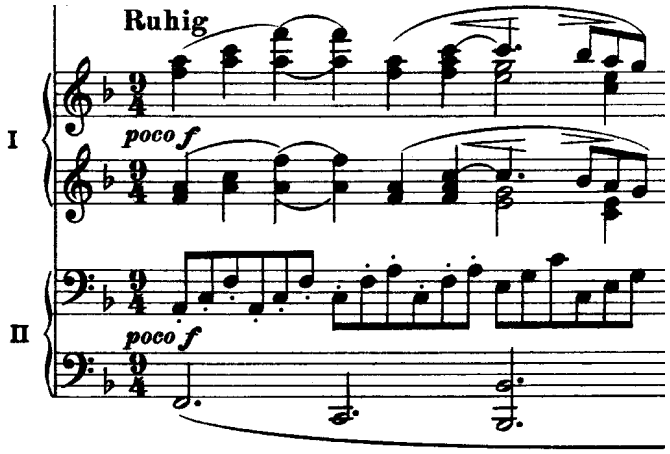
Example 5.28 Op. 72/i, bars 19–21.



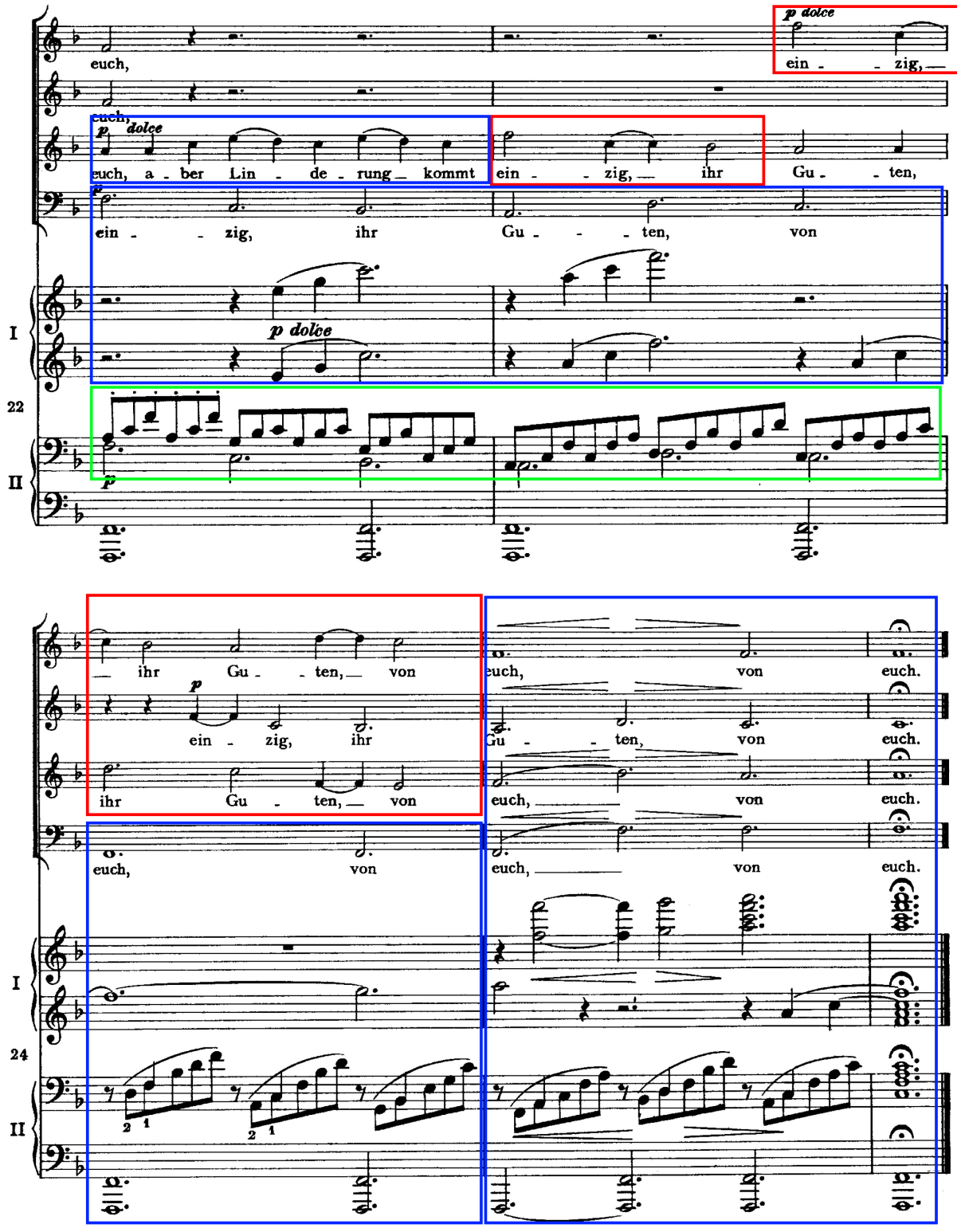
Example 5.29 Op. 72/i, bars 34–45.



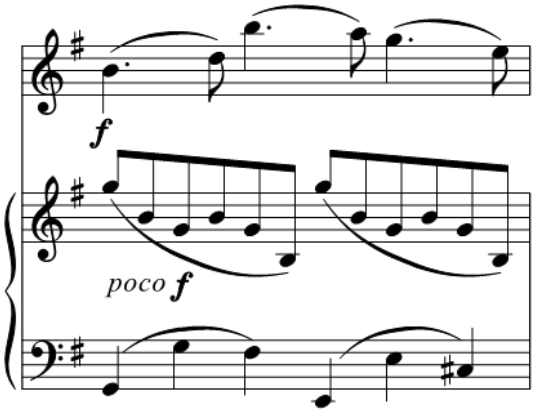
Example 5.30 Op. 76/viii, bars 59–end.



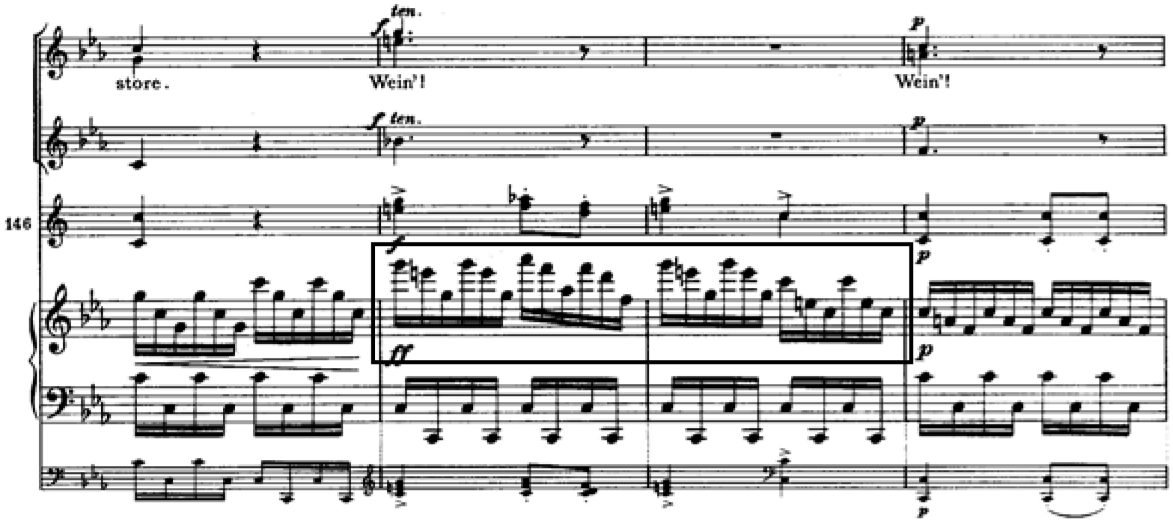
Example 5.31 Op. 65/xv ('Zum Schluß'), opening.



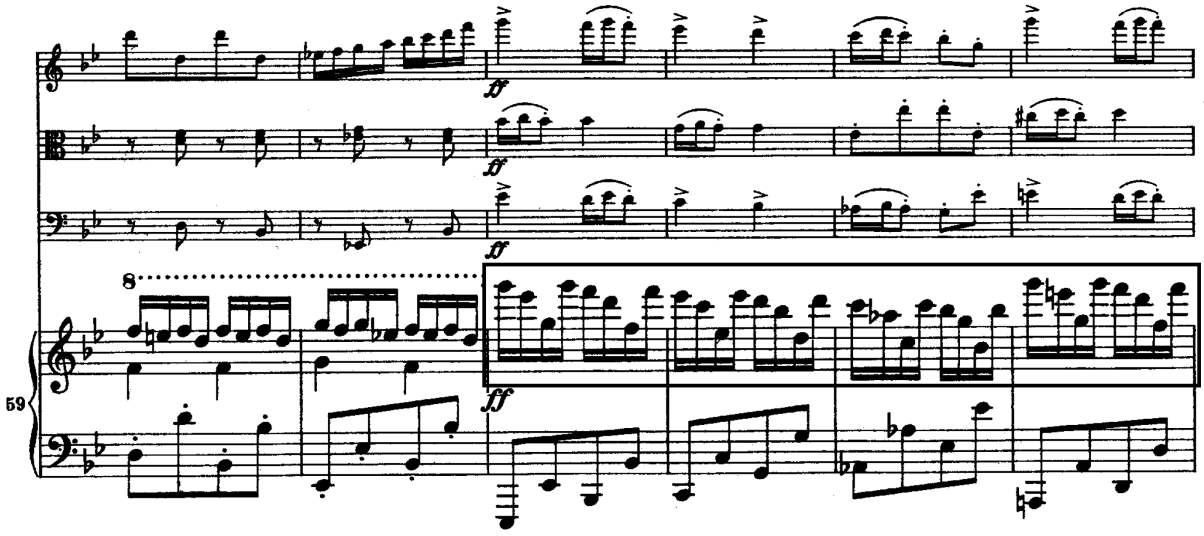
Example 5.32 Op. 65/xv, bars 22–end.



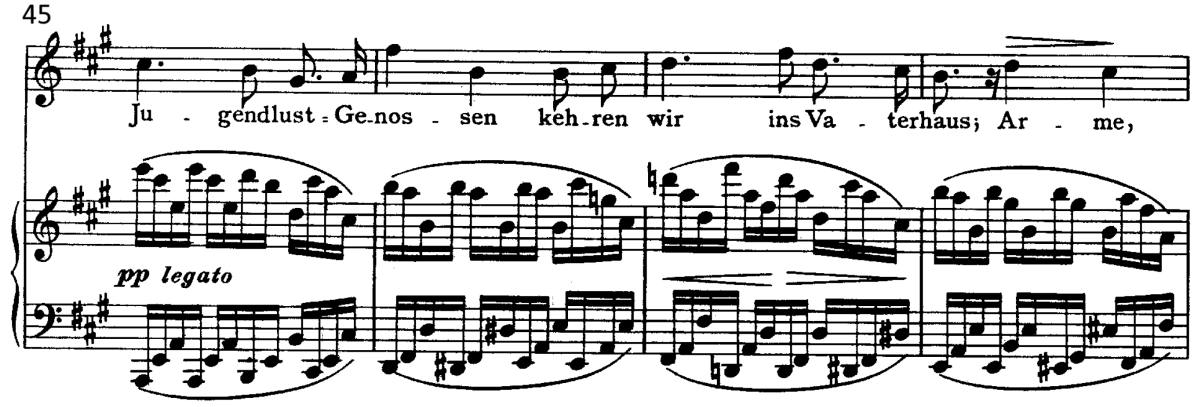
Example 5.33 Op. 78/i, bar 235.



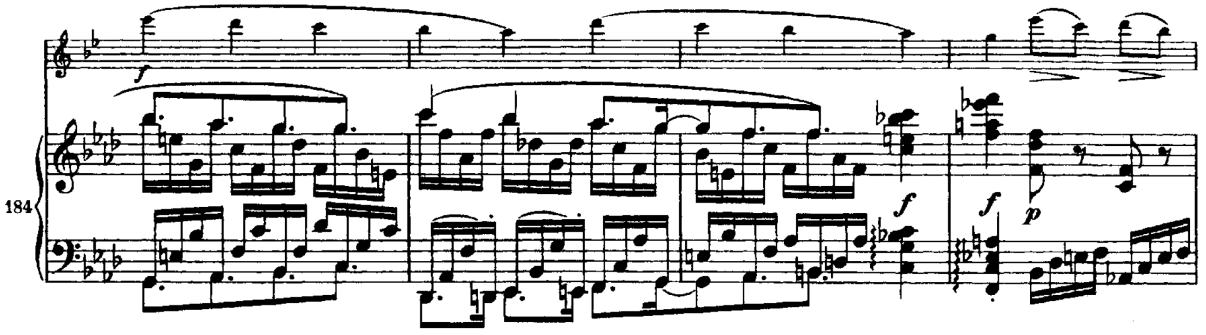
Example 5.34 Op. 17/iv, bars 146–149.



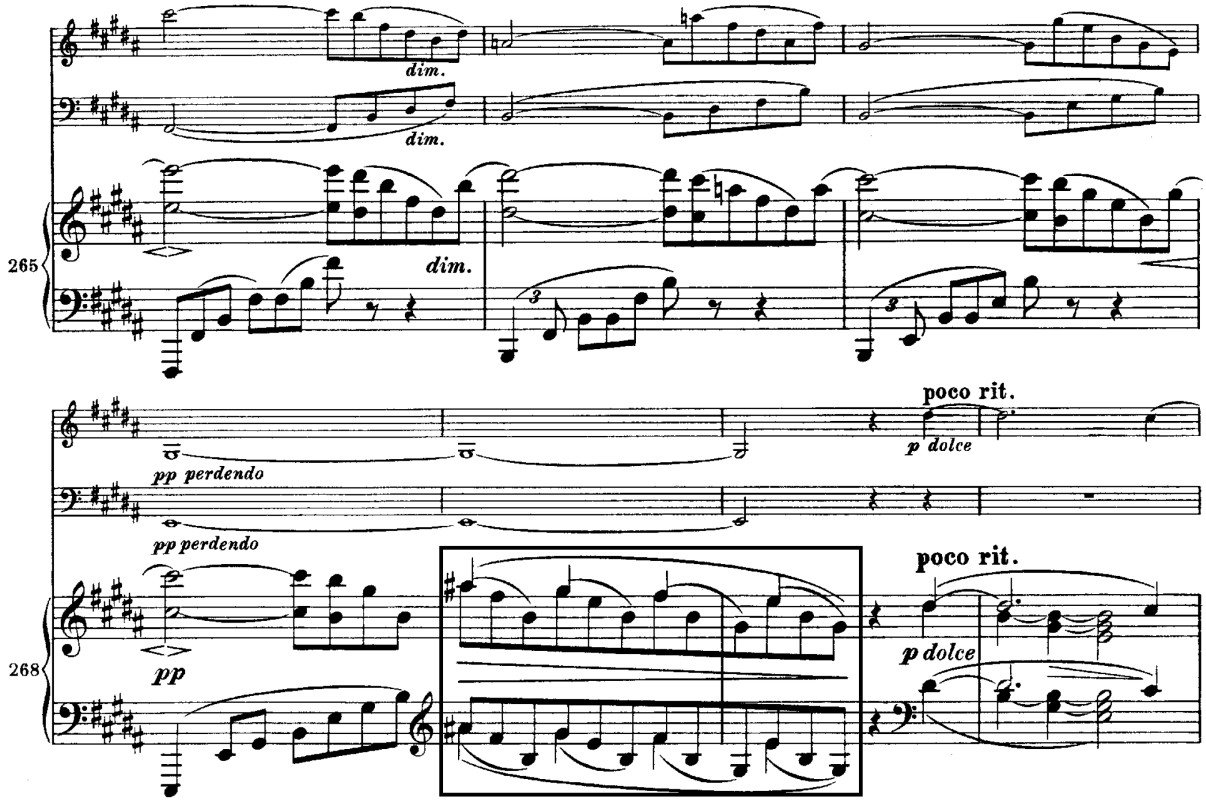
Example 5.35 Op. 25/iv, 59–64, showing a 4-note version of the distinctive 3-layer shape.



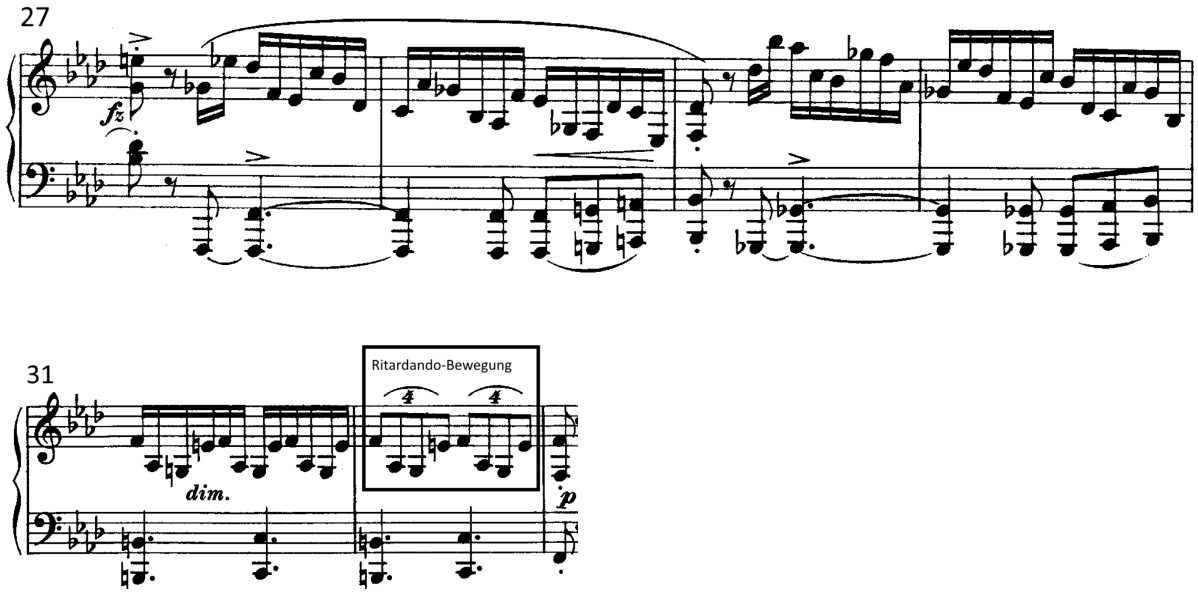
Example 5.36 Op. 49/v, bars 45–48, showing the 3-layer creating a complex hemiola within a quadruple environment.



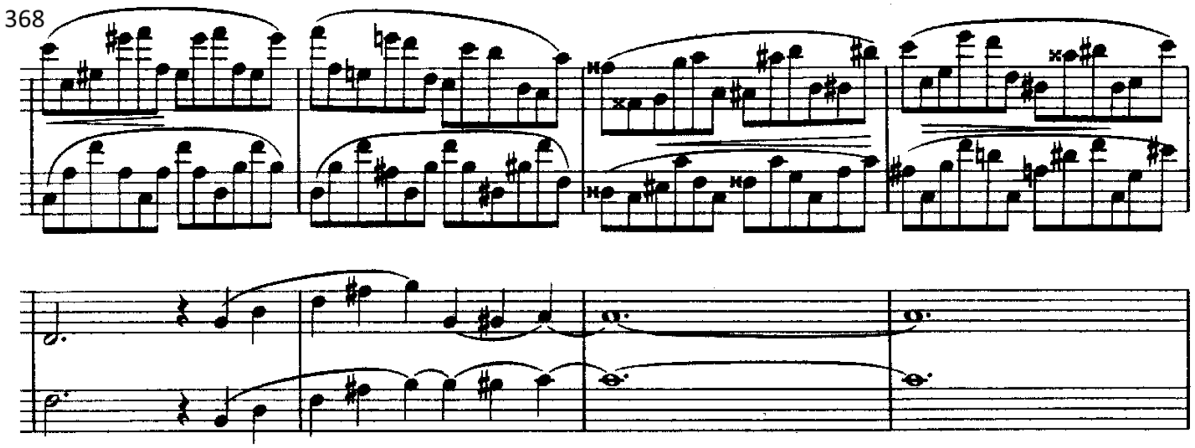
Example 5.37 Op. 120/1/i, bars 184–187.



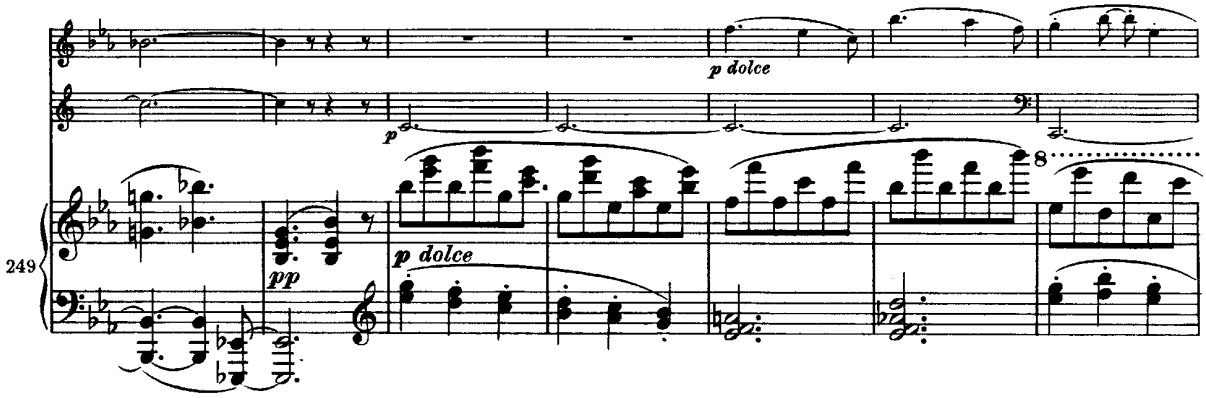
Example 5.38 Op. 8/i, bars 265–271.



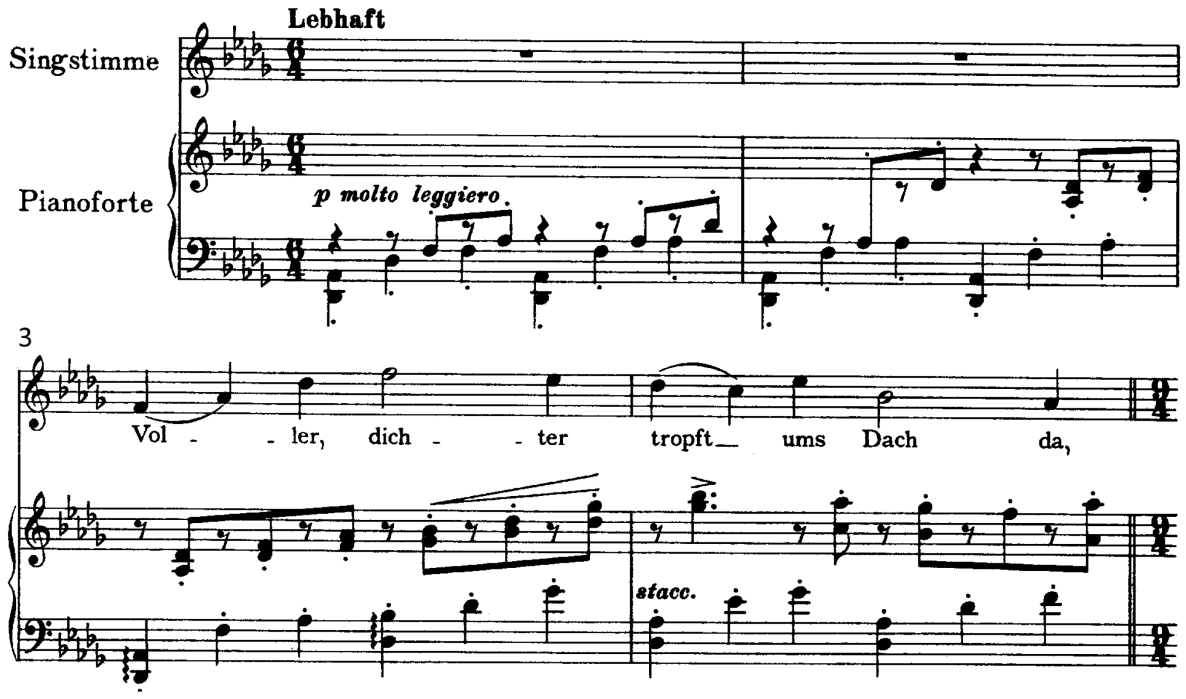
Example 5.39 Op. 5/v, bars 27–32.



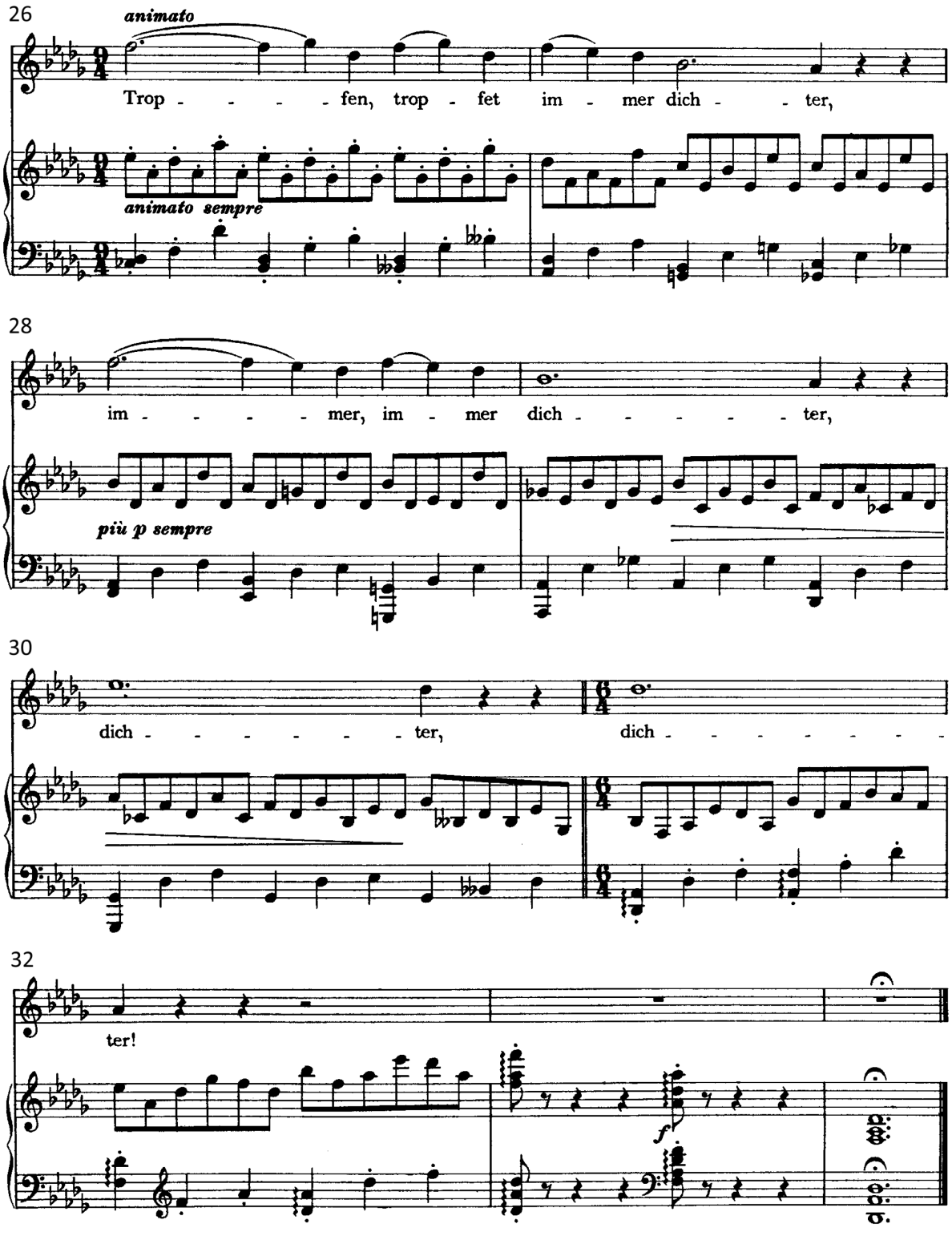
Example 5.40 Op. 15/i, bars 368–371.



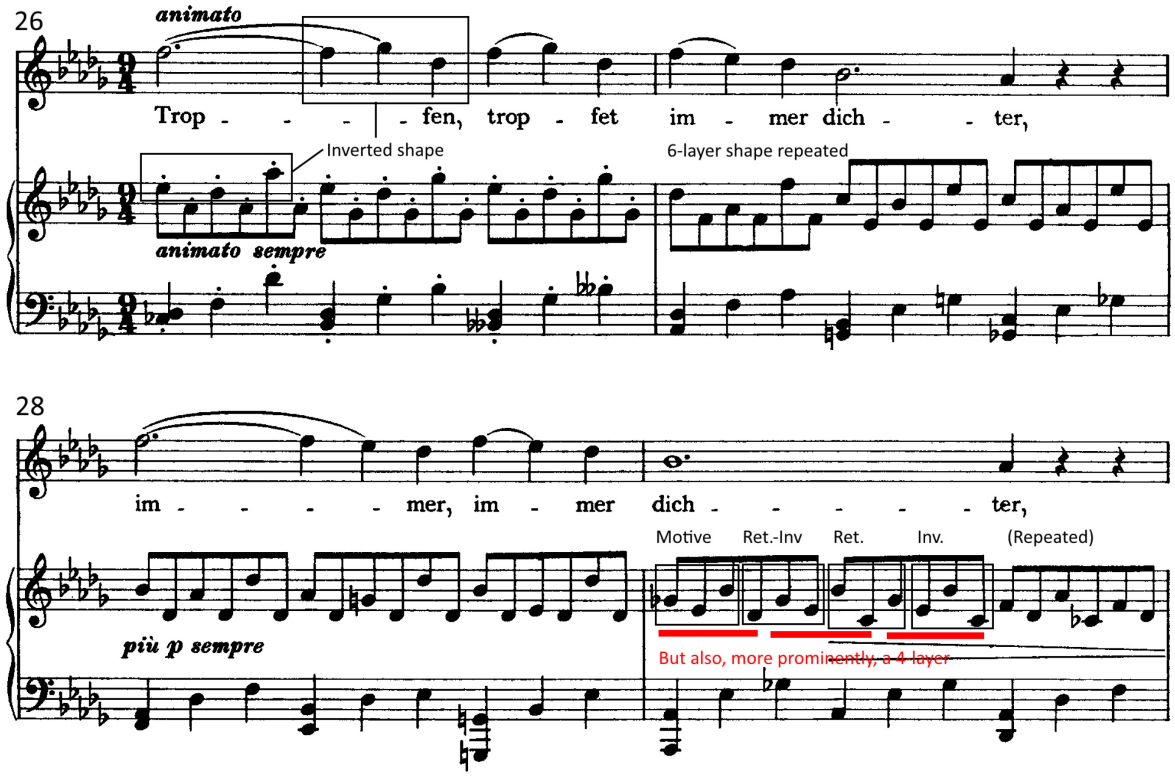
Example 5.41 Op. 40/iv, bars 249–255.



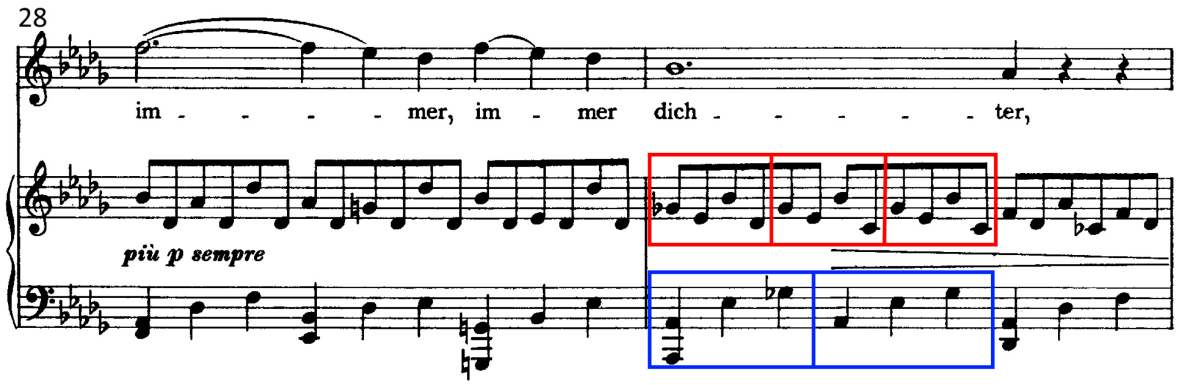
Example 5.42 Op. 58/ii ('Während des Regens'), bars 1–4.



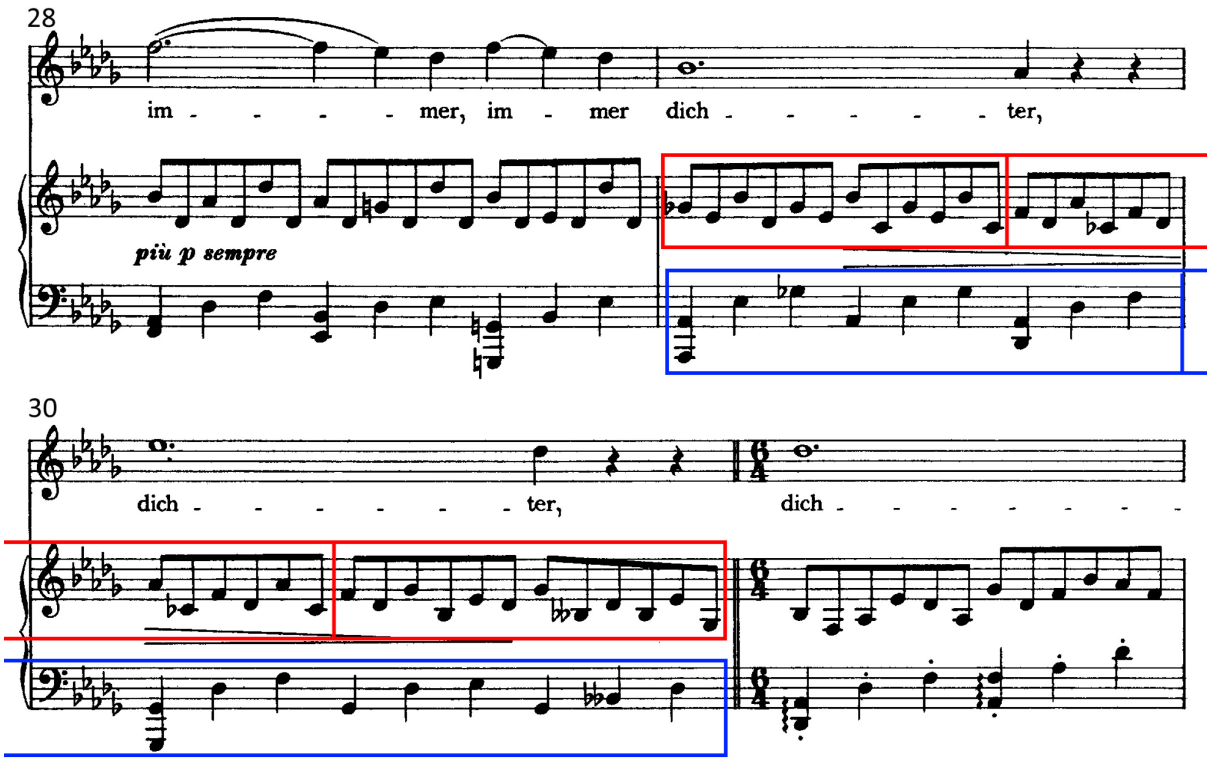
Example 5.43 Op. 58/ii, bars 26–end.



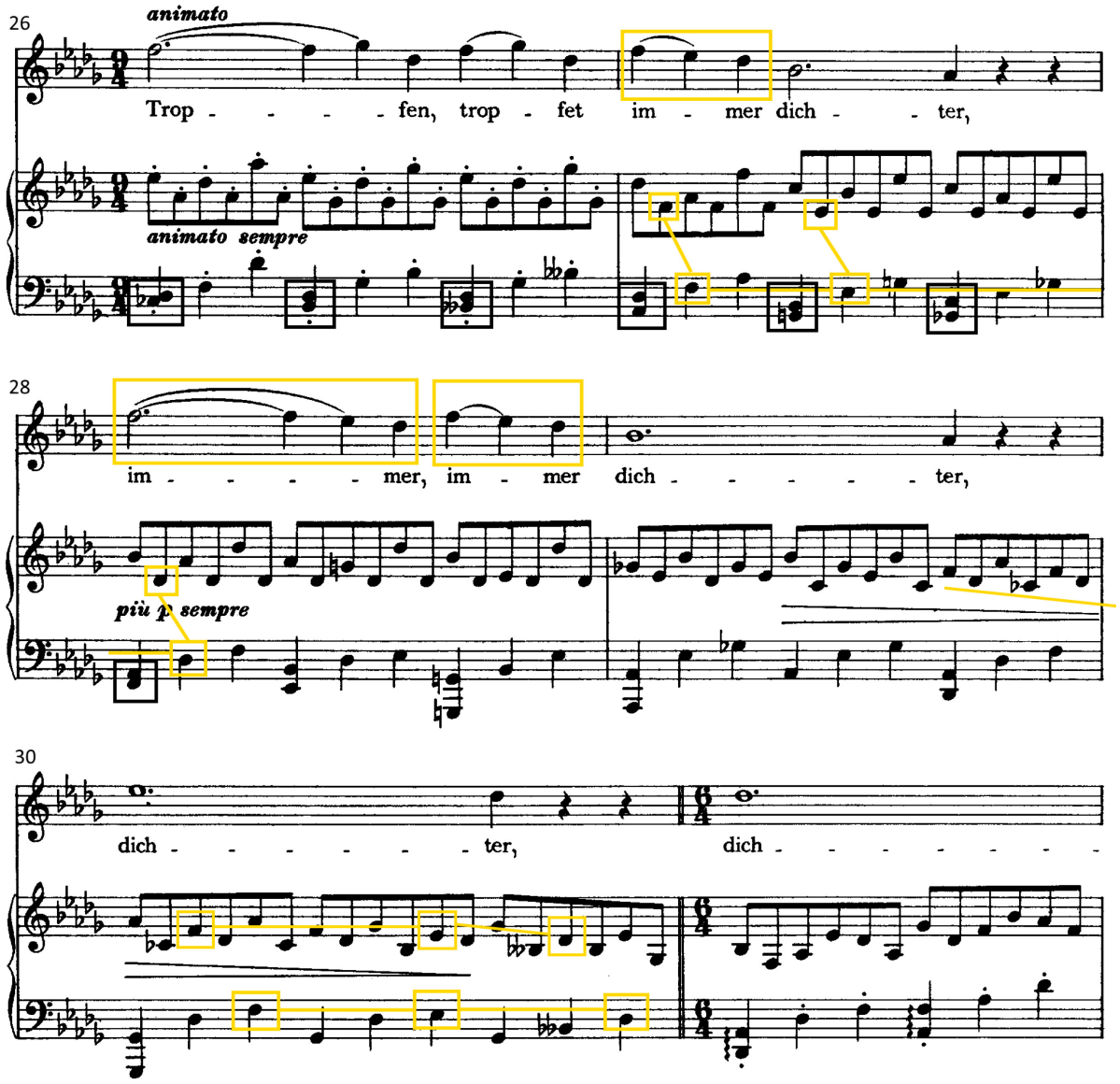
Example 5.44 Op. 58/ii, bars 26–29.



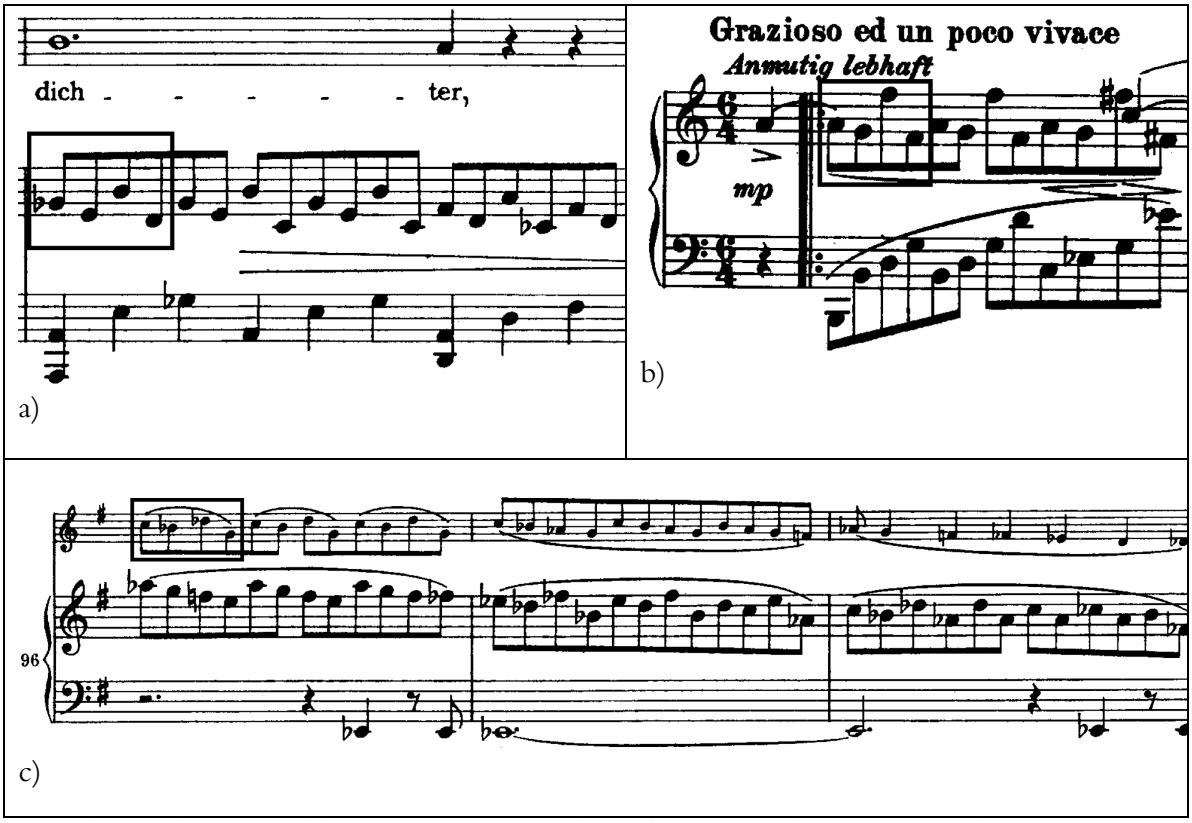
Example 5.45 Op. 58/ii, bars 28–9.



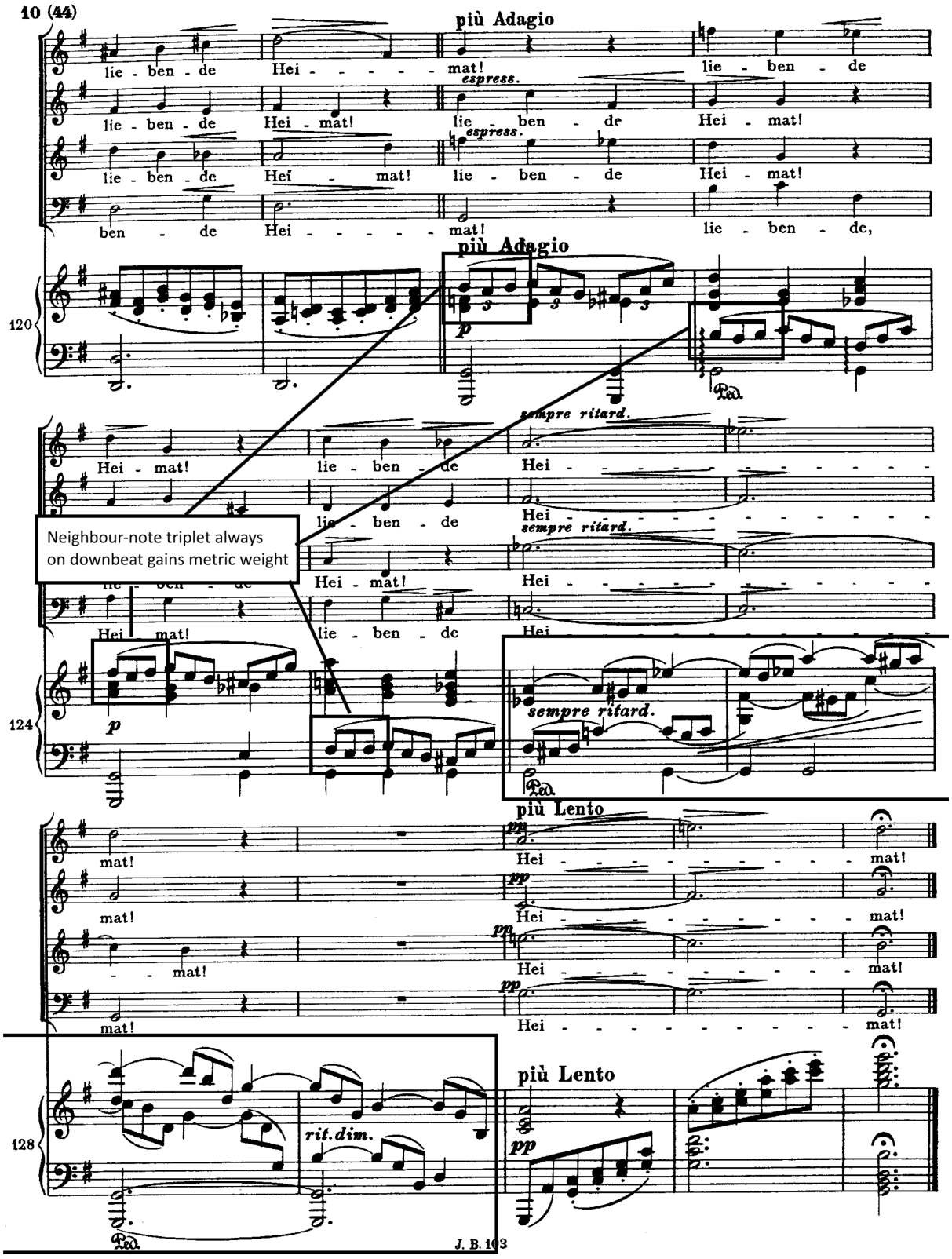
Example 5.46 Op. 58/ii, bars 28–31.



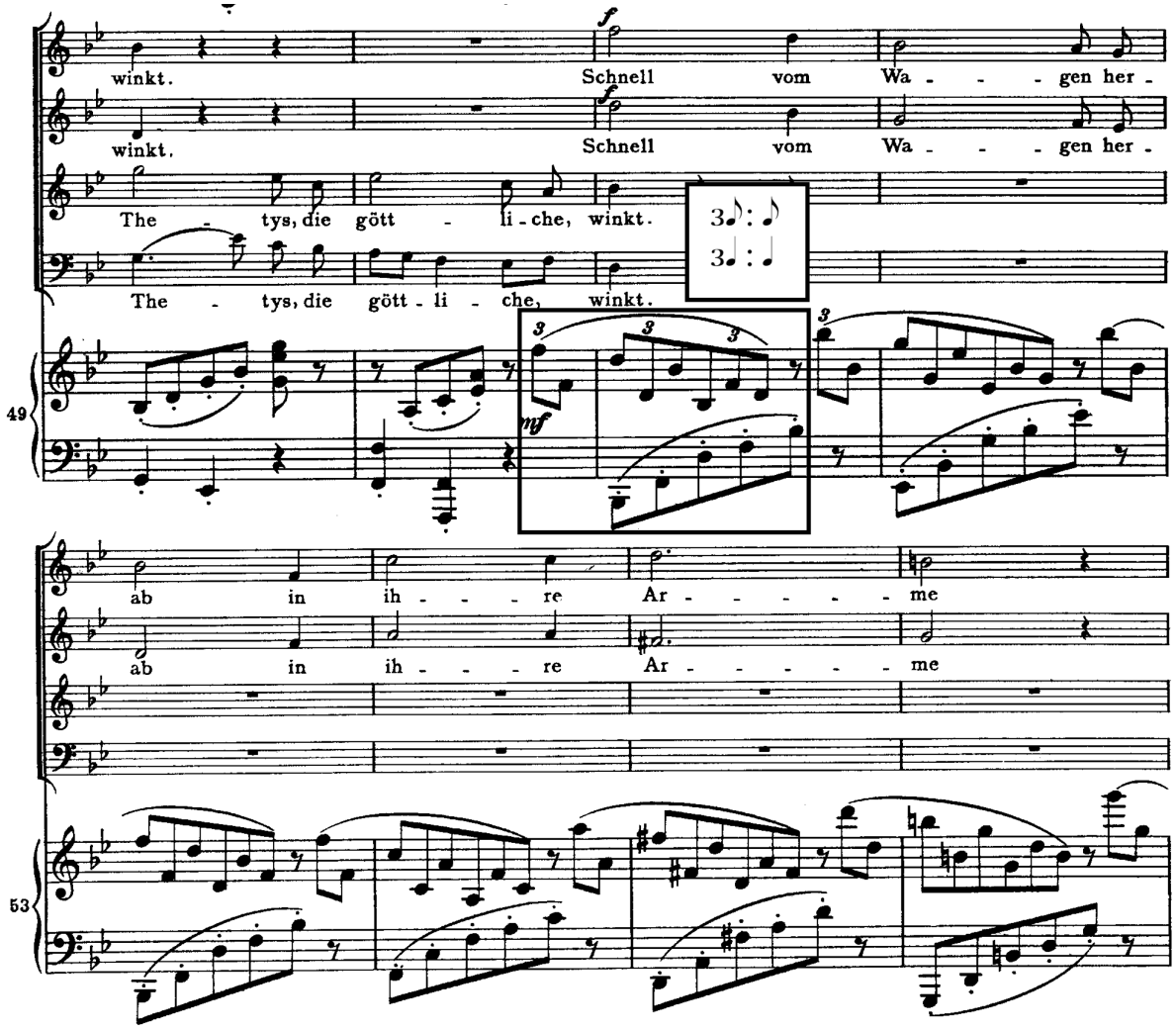
Example 5.47 Op. 58/ii, bars 26–31.



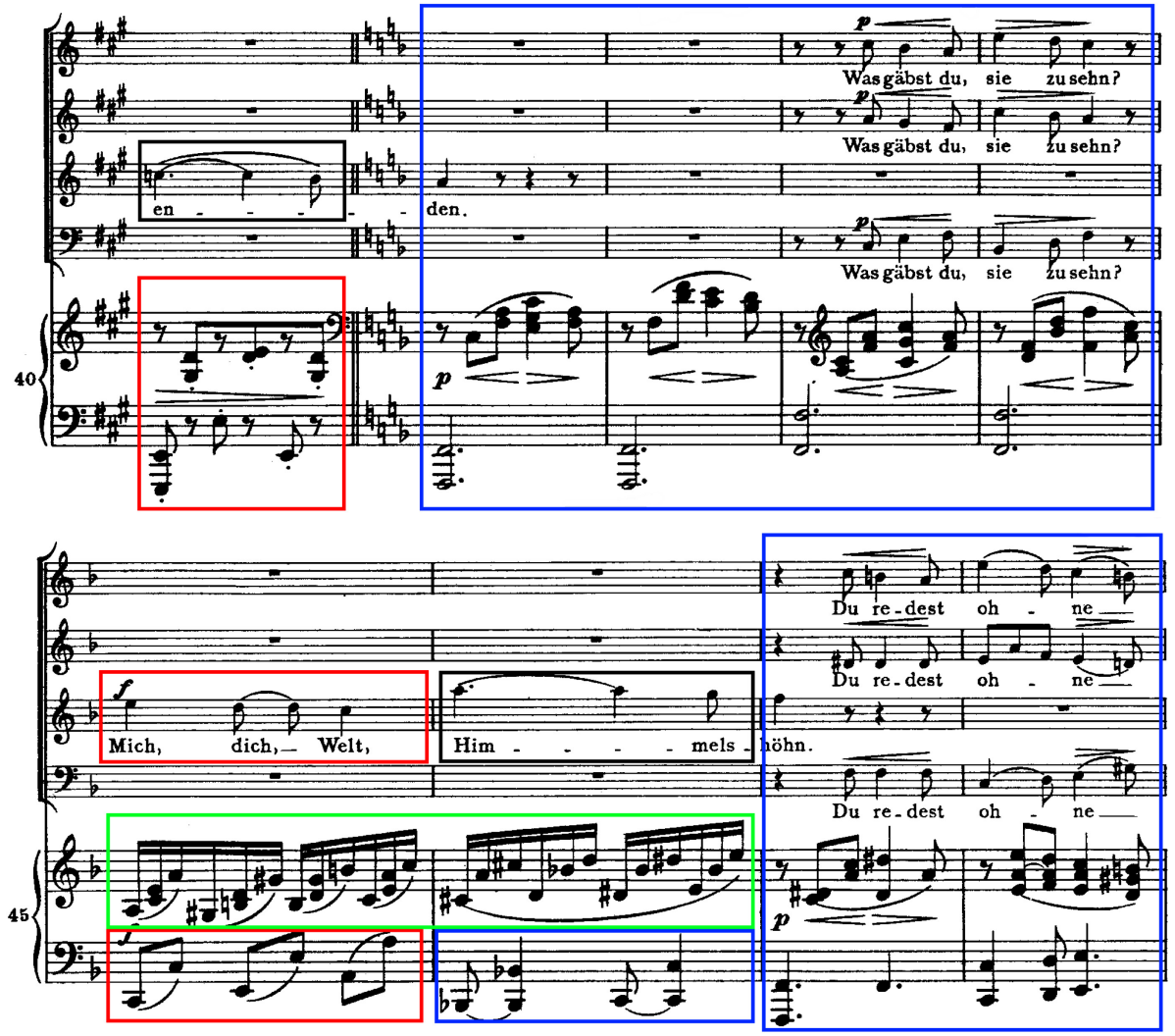
Example 5.48 Shared metrical figurations in a) Op. 58/ii, bar 29; b) Op. 76/viii, bar 1; c) Op. 78/i, bars 96–98.



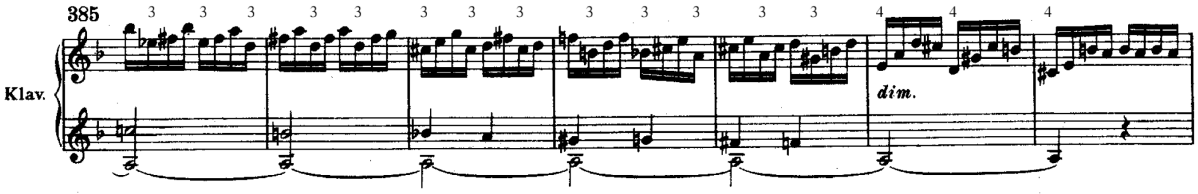
Example 5.49 Op. 64/i, 'An die Heimat', bars 120–end.



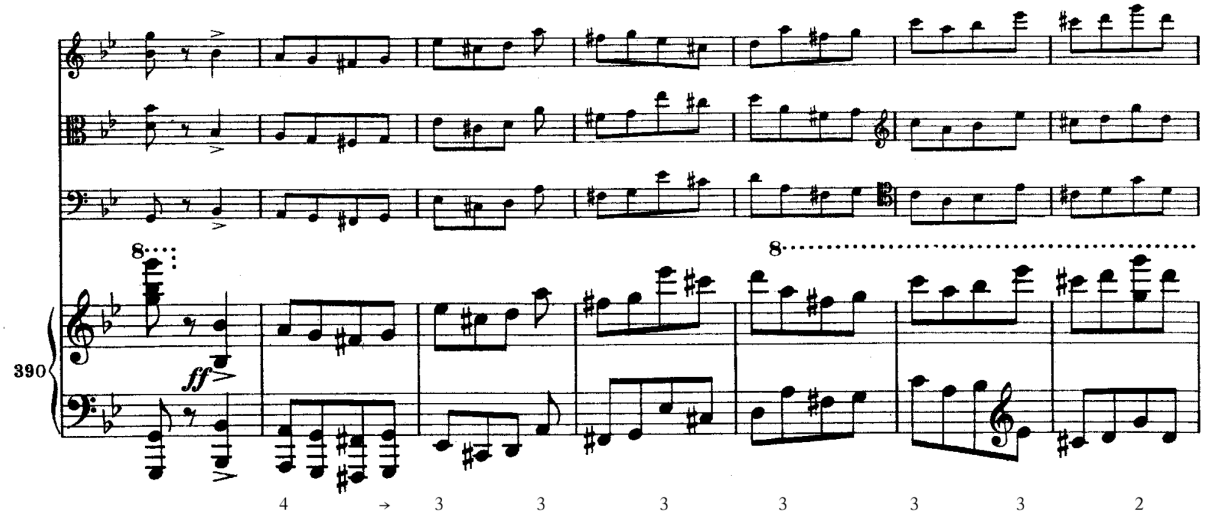
Example 5.50 Op. 64/ii, 'Der Abend', bars 49–56.



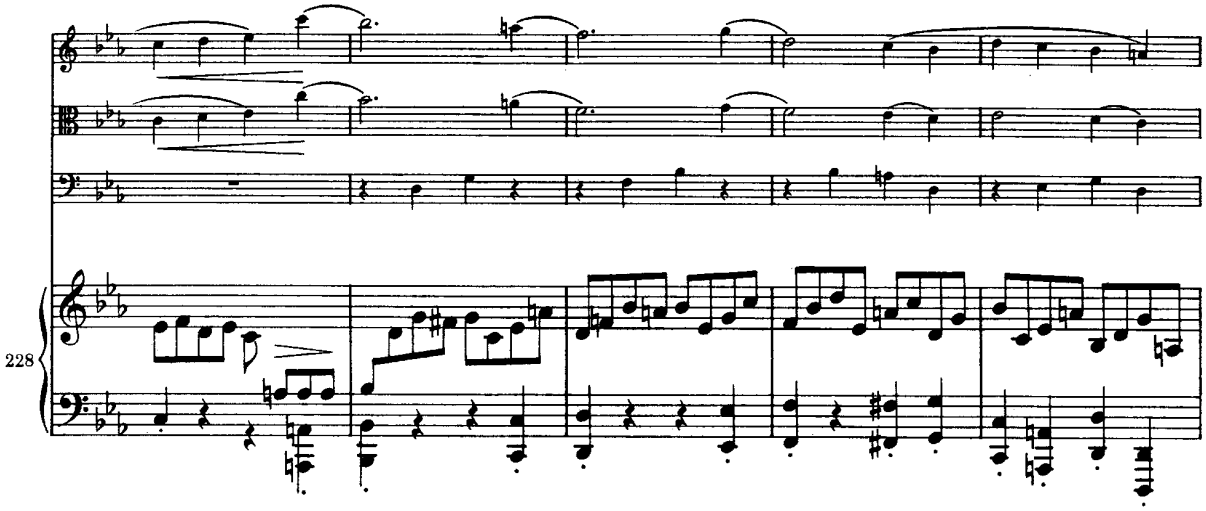
Example 5.51 Op. 64/iii ('Fragen'), bars 40–48, including a MMDH at bar 45.



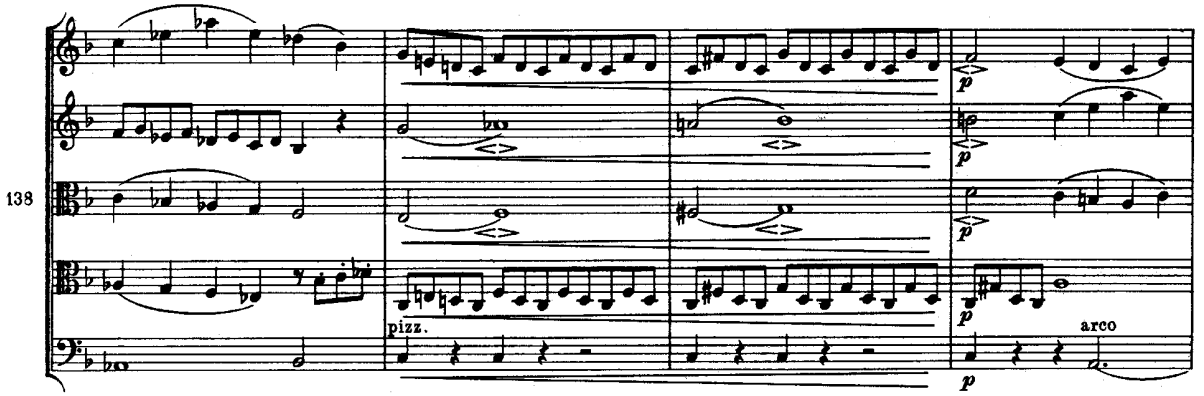
Example 5.52 Op. 15/iii, 385–389.



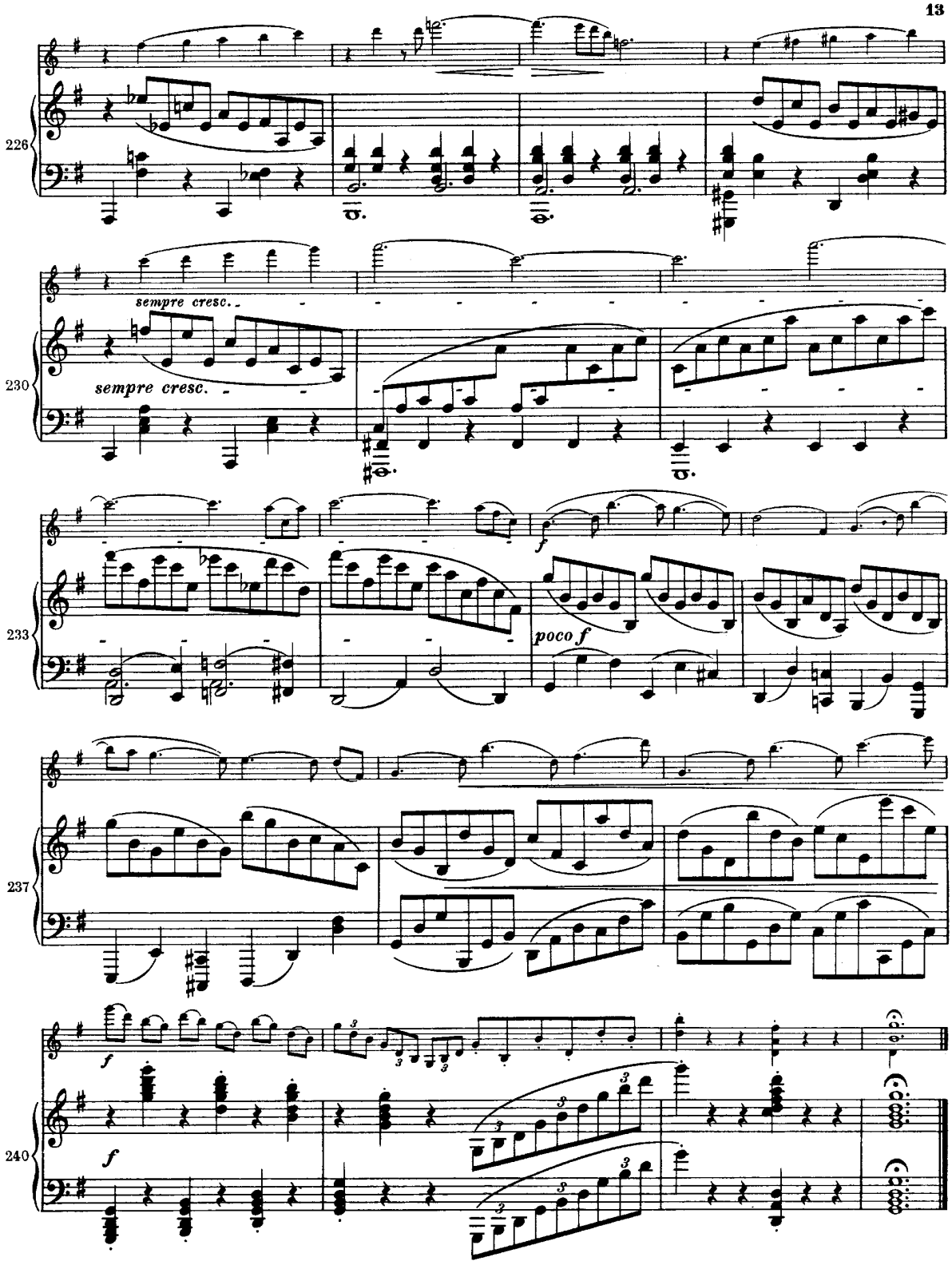
Example 5.53 Op. 25/iv, bars 390–296.



Example 5.54 Op. 60/iv, 228–232.

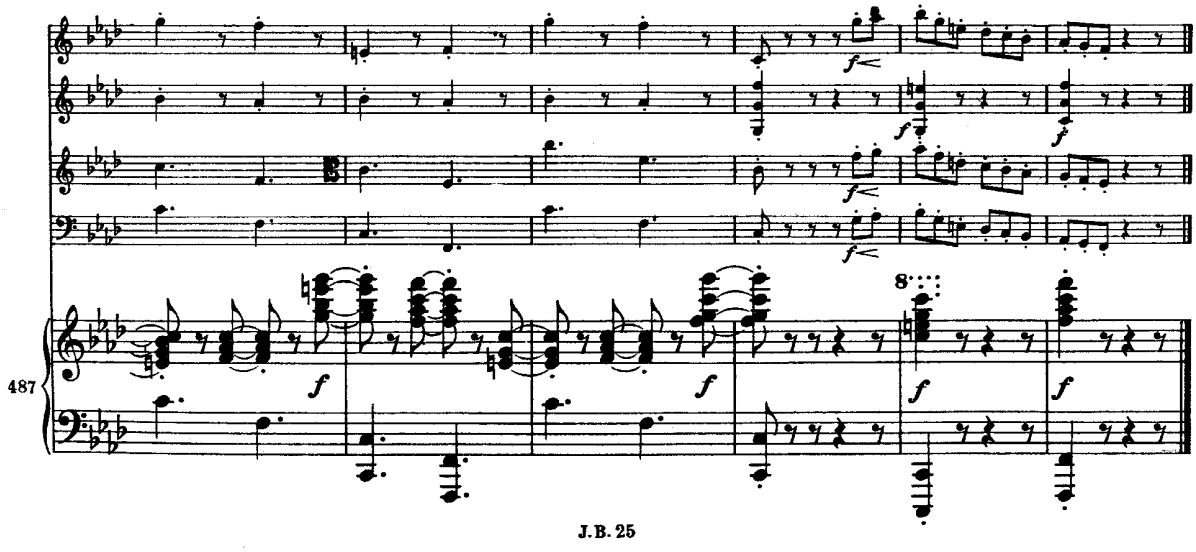


Example 5.55 Op. 88/iii, bars 138–141, with a 3-layer starting at bar 139 and adding a second triple factor to the metre.

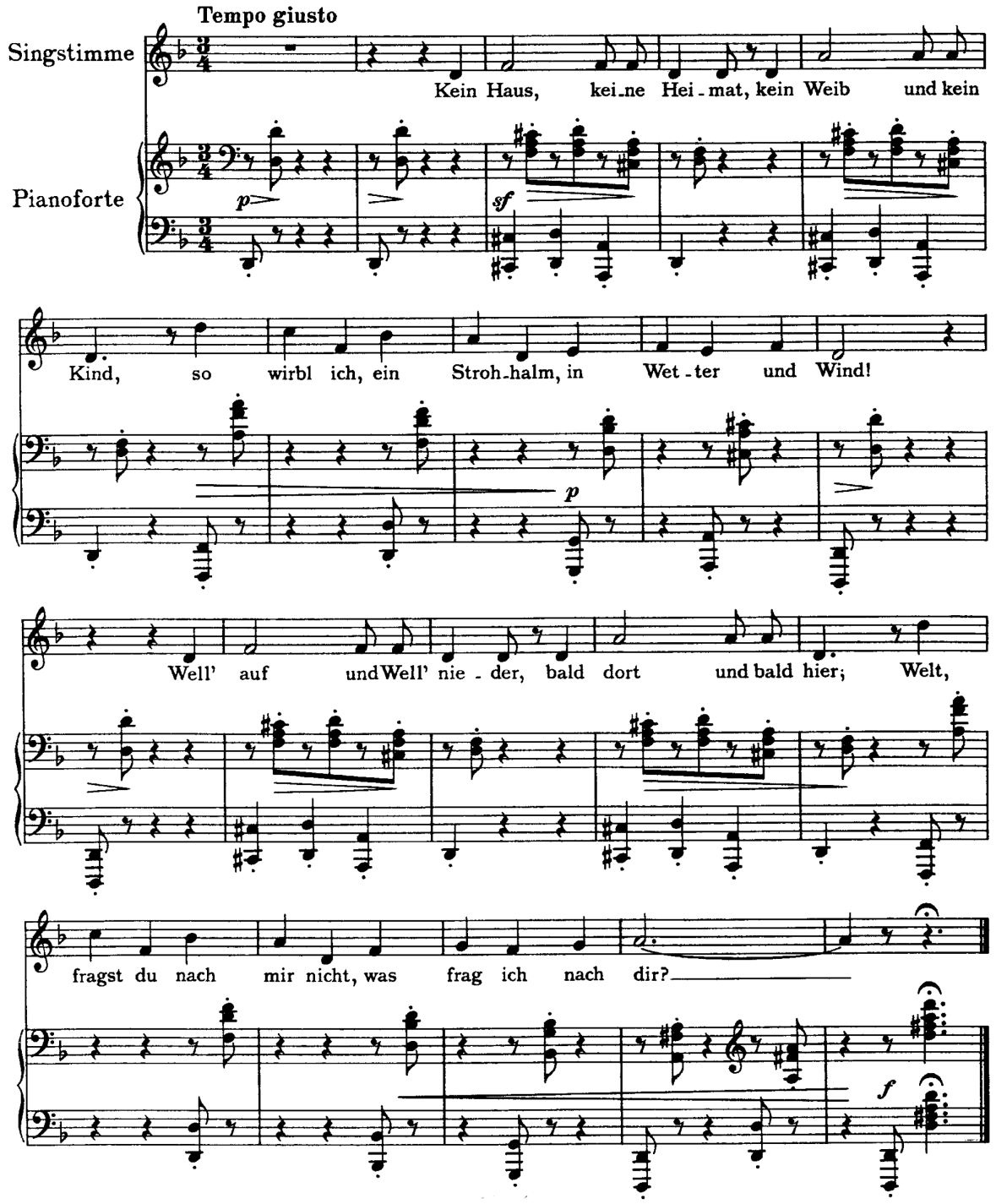


Example 5.56 Op. 78/i, bars 226–end.

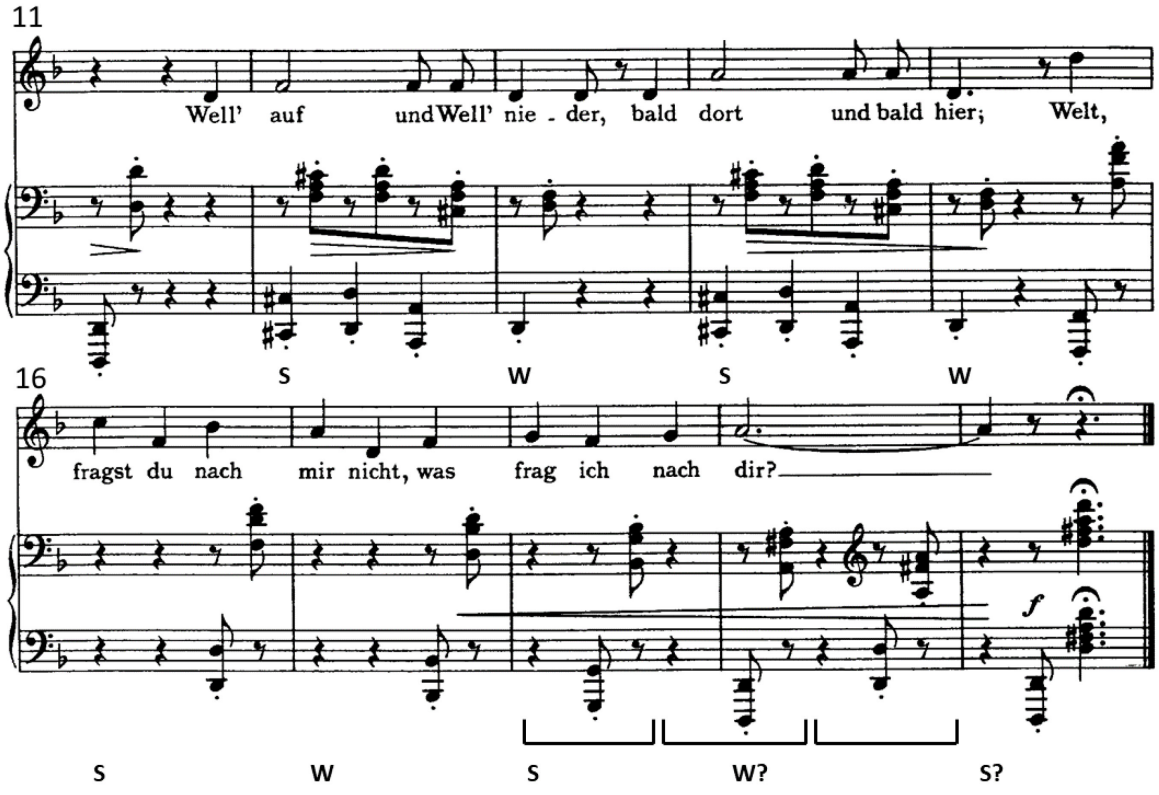
Chapter 6 Metrical narrative and narrative diversity



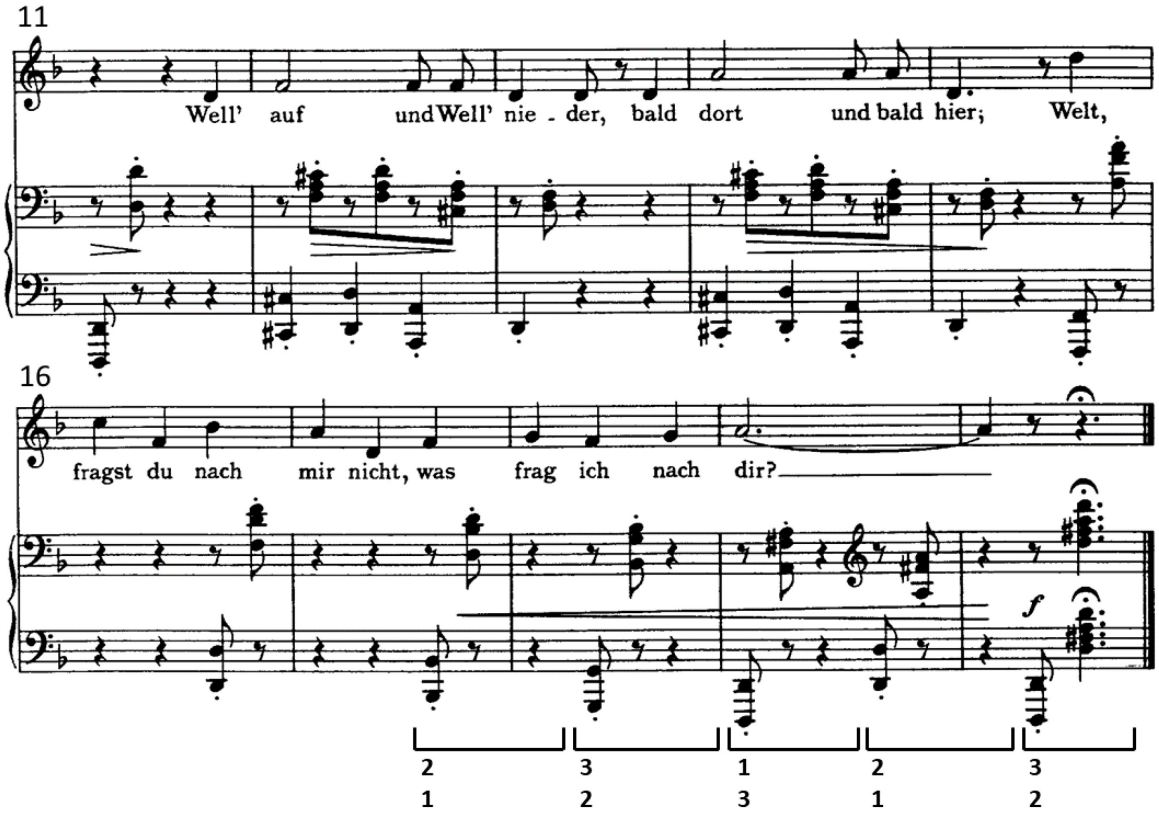
Example 6.1 Op. 34/iv, bars 487–492 (time signature 6/8).



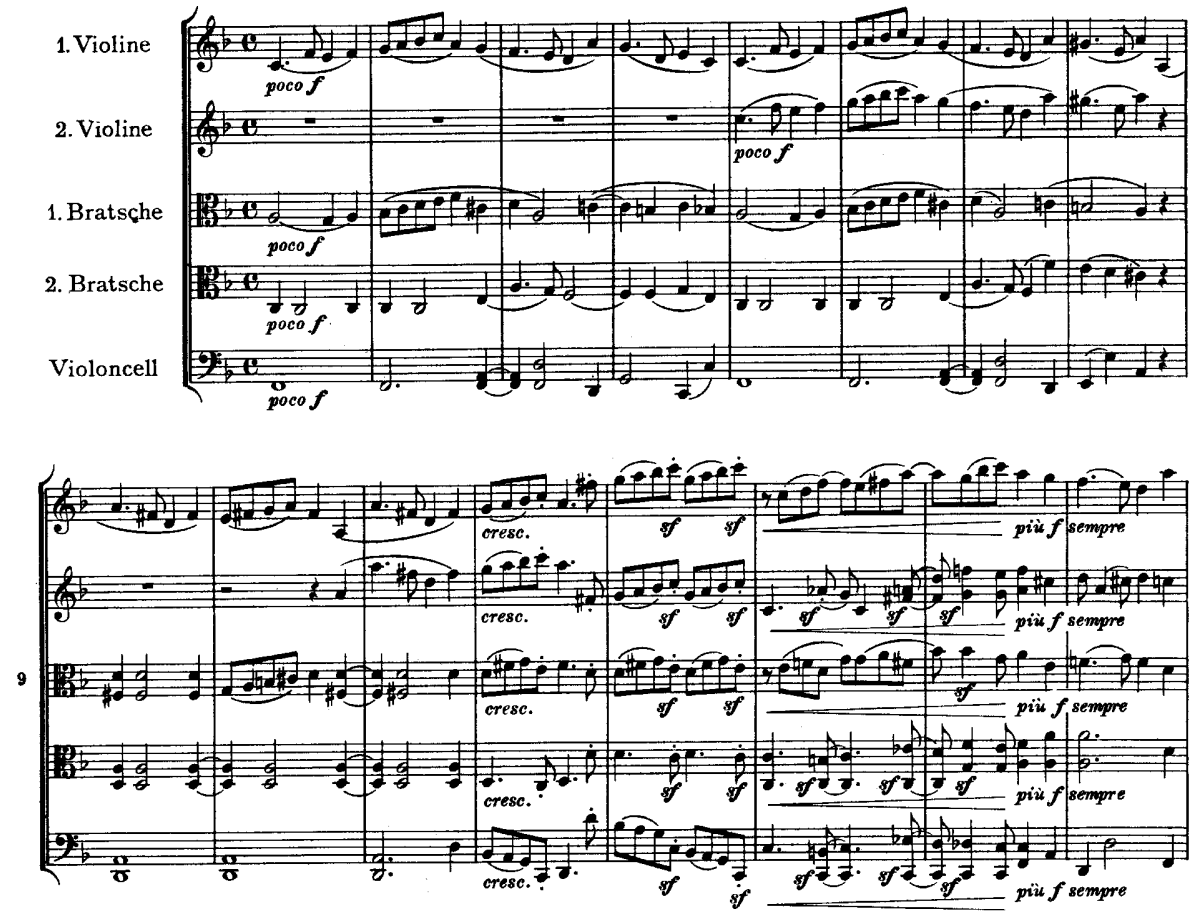
Example 6.2 Op. 94/v, 'Kein Haus, keine Heimat'.



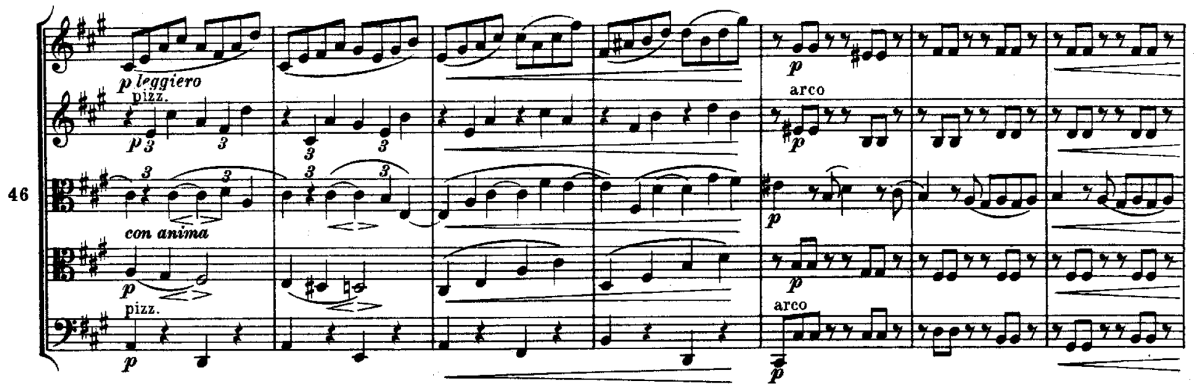
Example 6.3 Bars 11–20, showing a disjointed hemiola interpretation which attempts to conserve hypermetre.



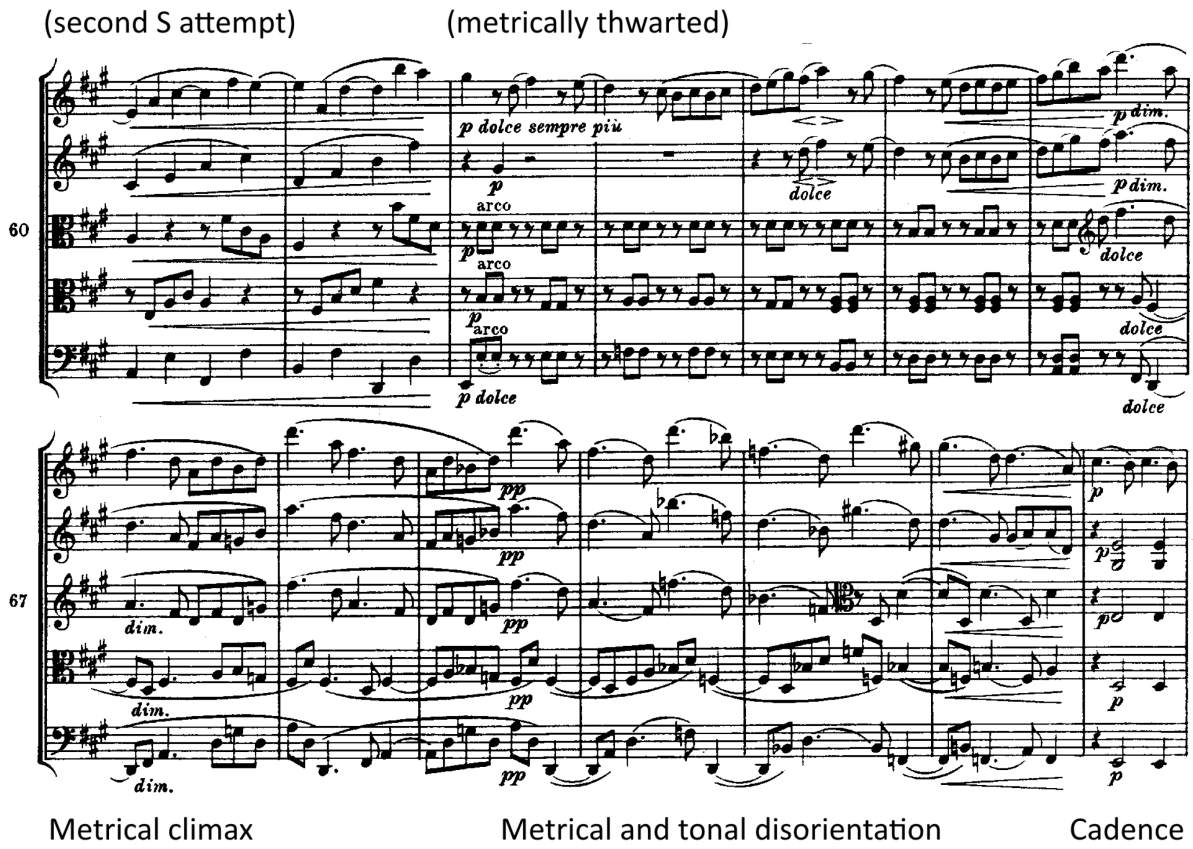
Example 6.4 Bars 11–20, showing two shifted hemiola interpretations which disregard hypermetre.



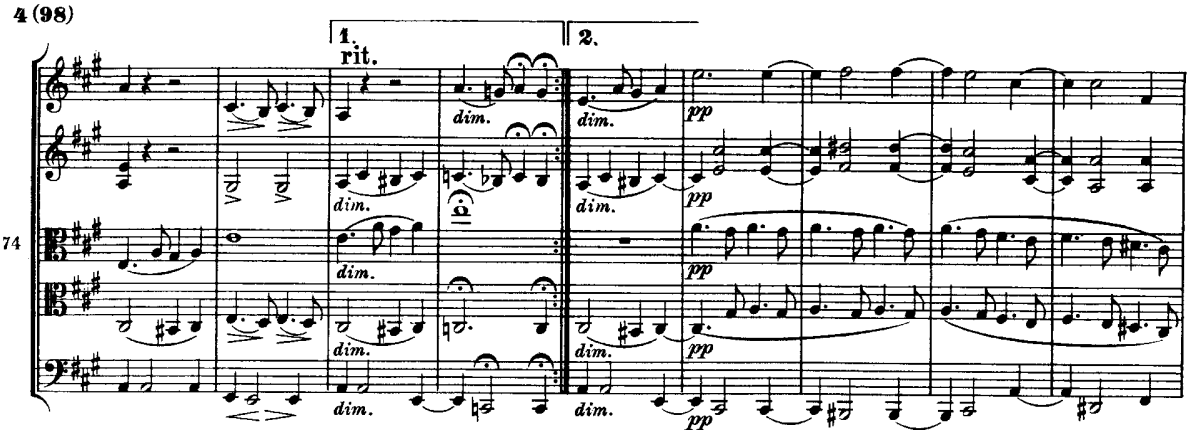
Example 6.5 Op. 88/i, bars 1–16.



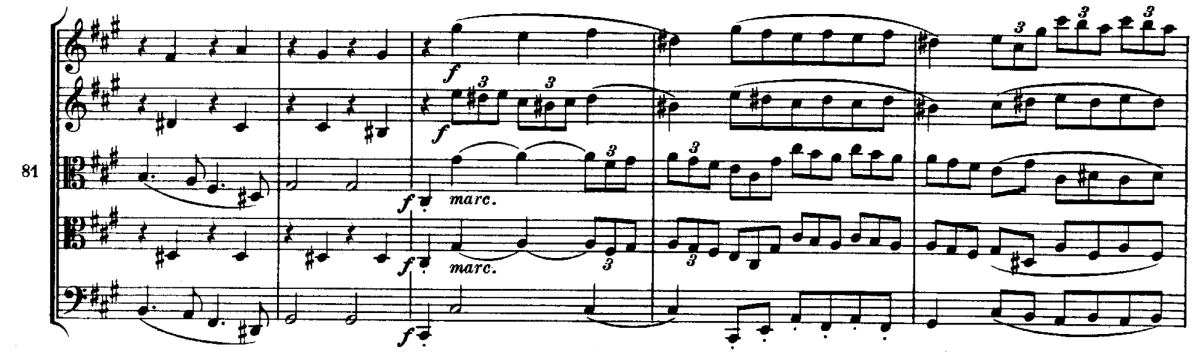
Example 6.6 Op. 88/i, bars 46–52 (time signature C).



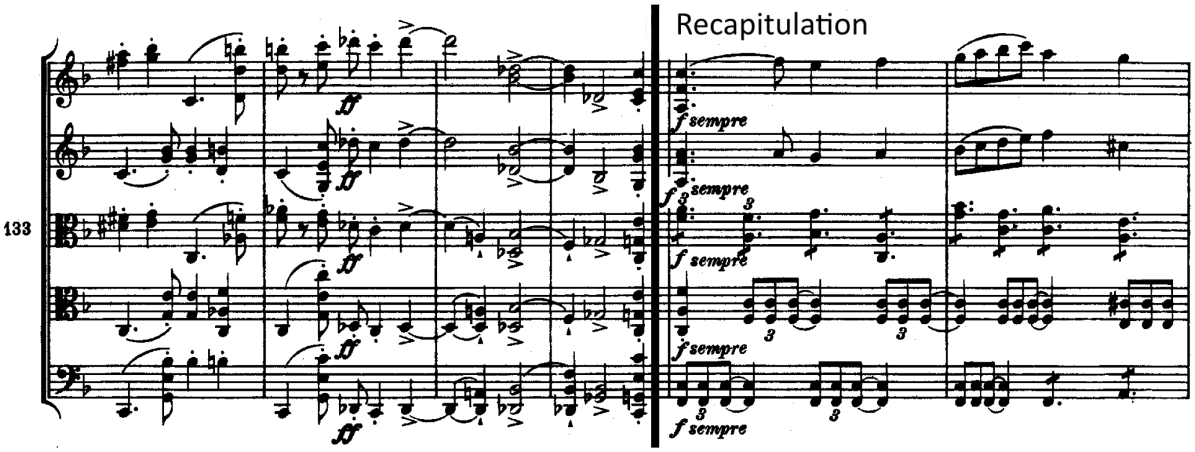
Example 6.7: Op. 88/i, bars 60–73 (time signature C).



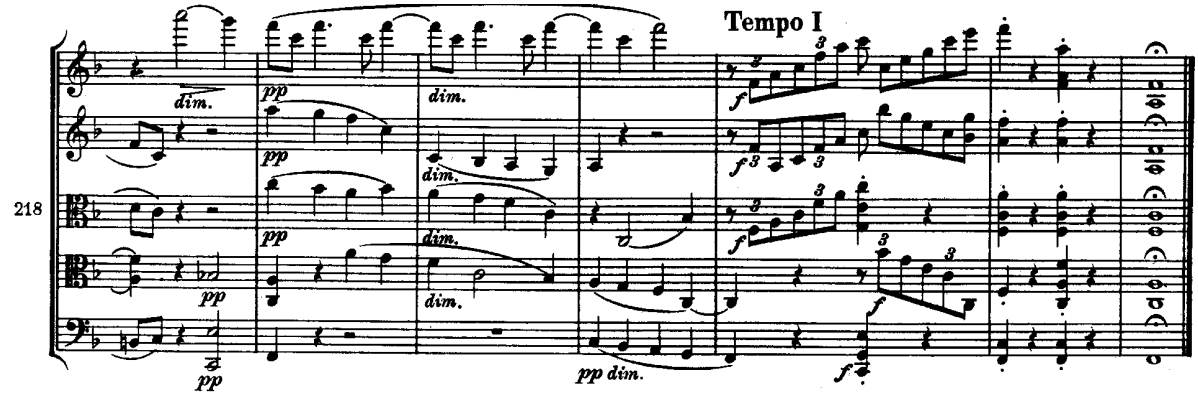
Example 6.8 Op. 88/i, bars 74–80, including downplayed EEC (time signature C).



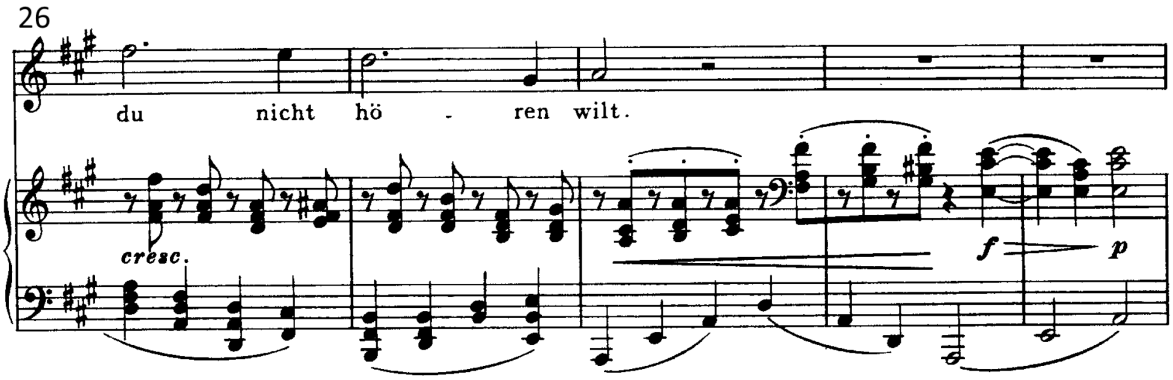
Example 6.9 Bars 81–85, showing triplet quavers in the development (time signature C).



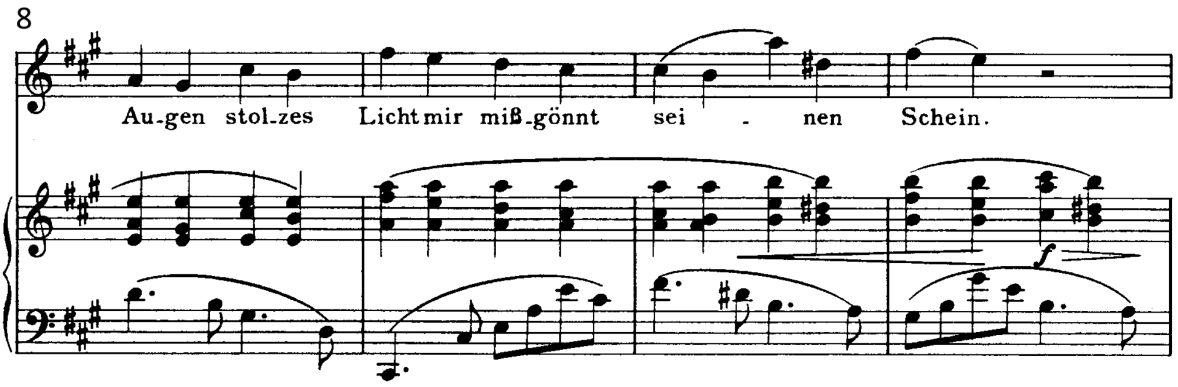
Example 6.10 Bars 133–138 (time signature C).



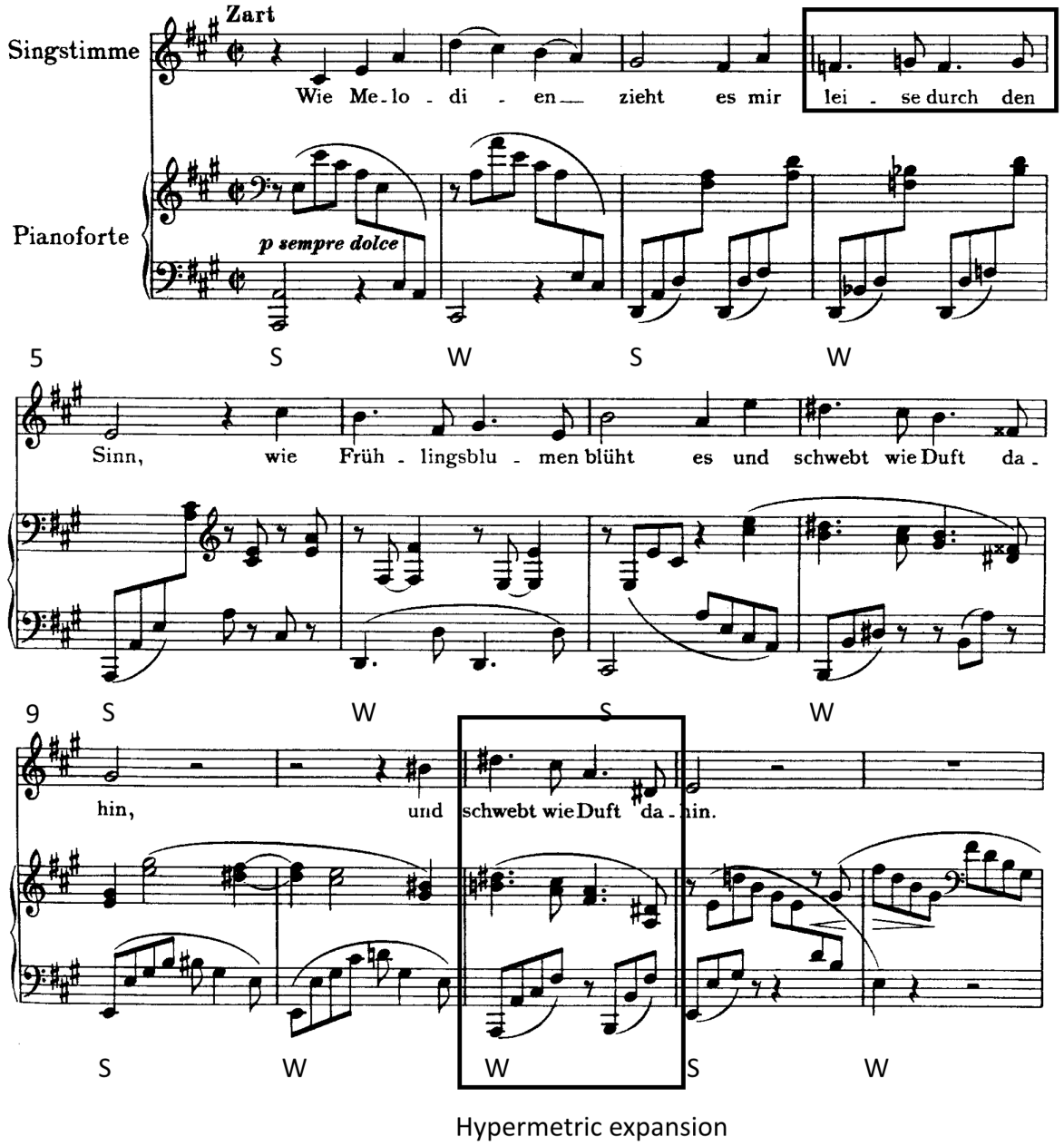
Example 6.11 Op. 88/i, bars 218–224 (time signature C).



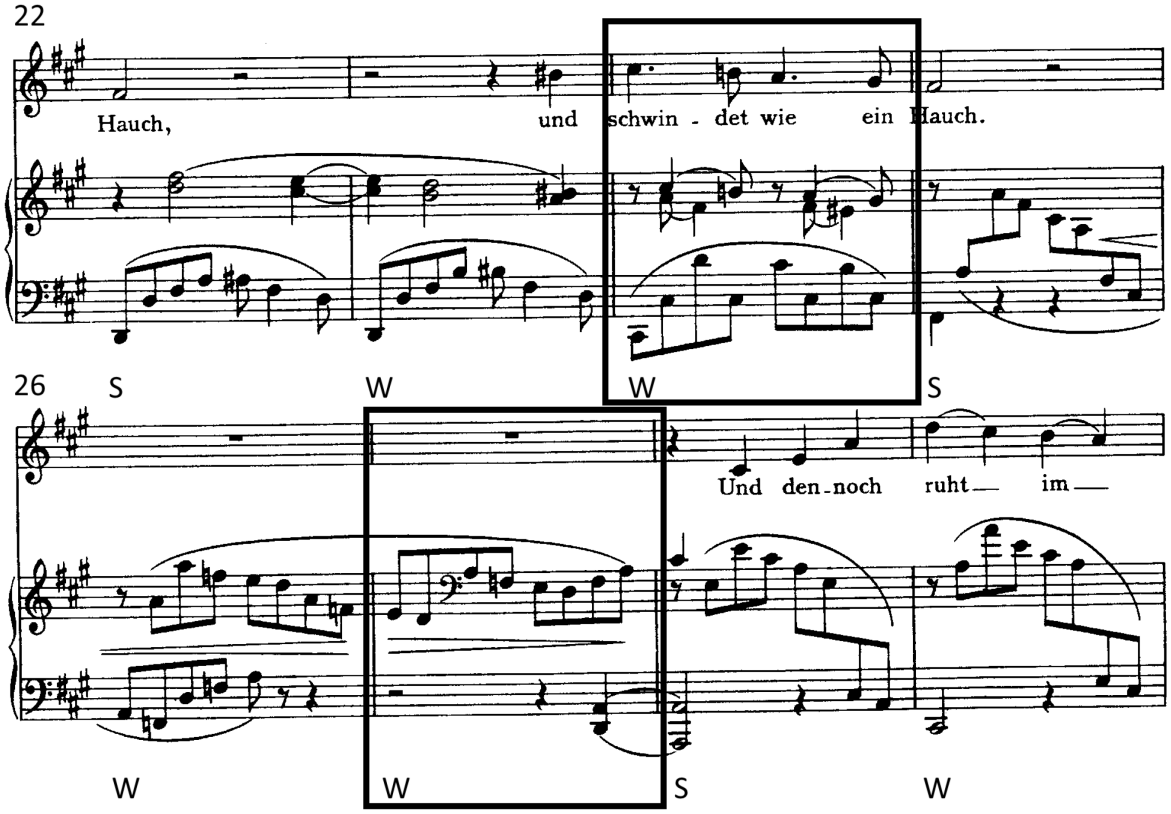
Example 6.12 'An die Stolze', Op. 107/i, bars 26–30 (time signature C).



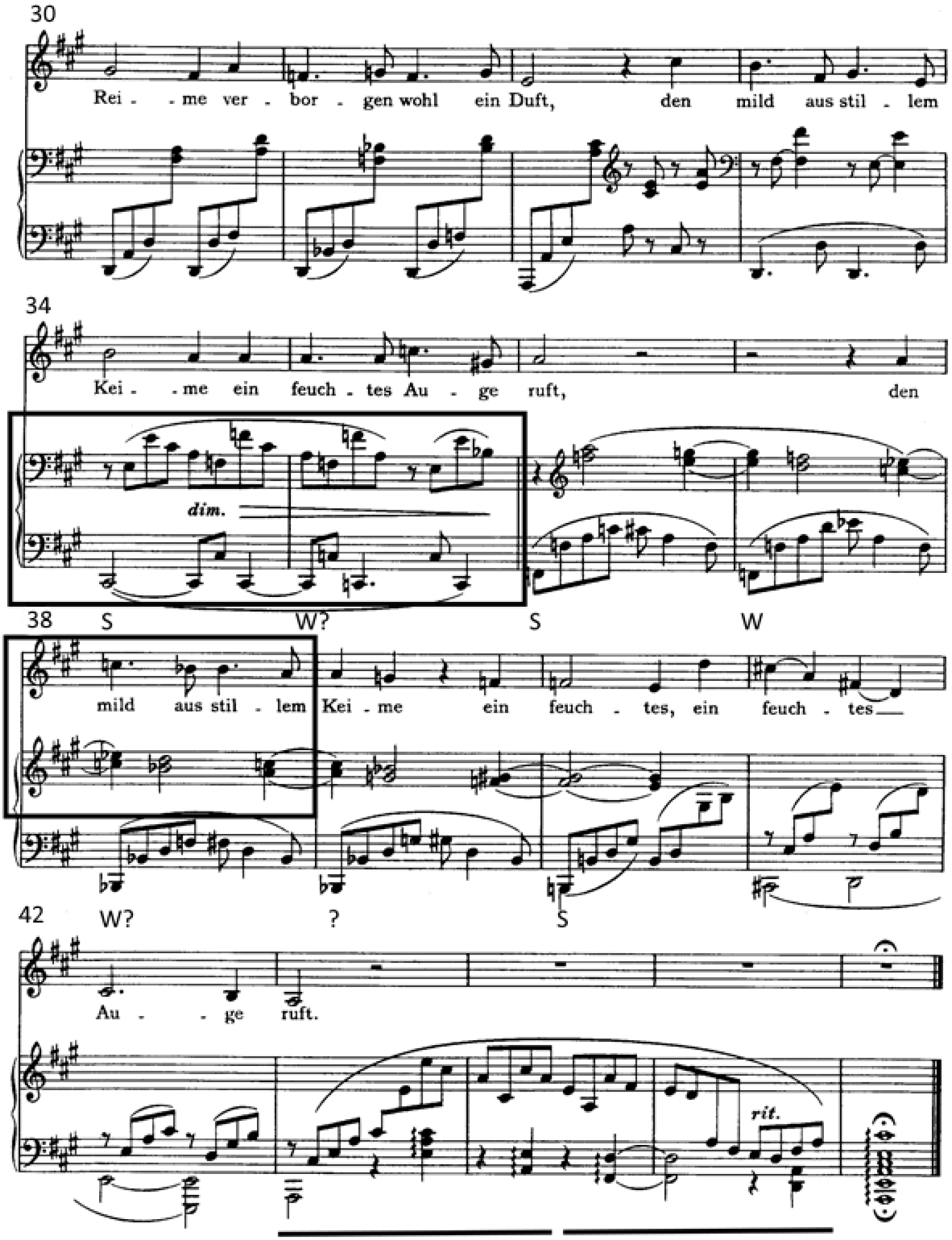
Example 6.13 'An die Stolze', Op. 107/i, bars 8–11 (time signature C).



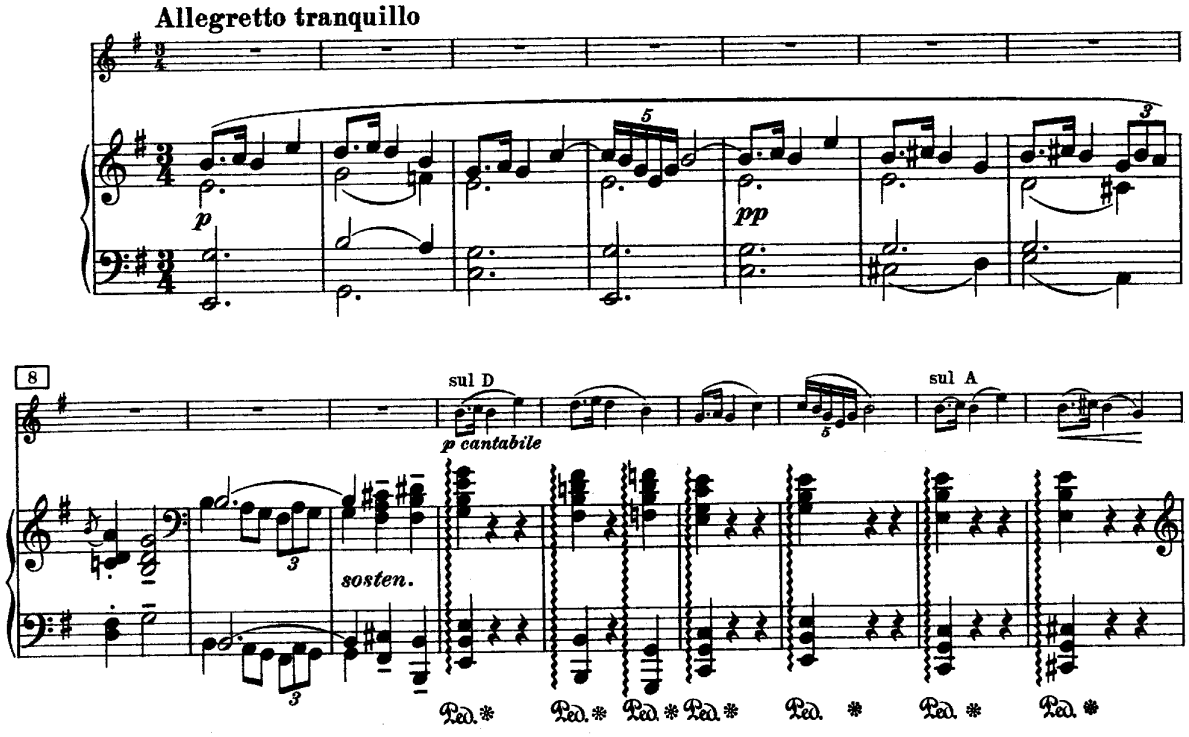
Example 6.14 Op. 105/i, 'Wie Melodien', bars 1–13.



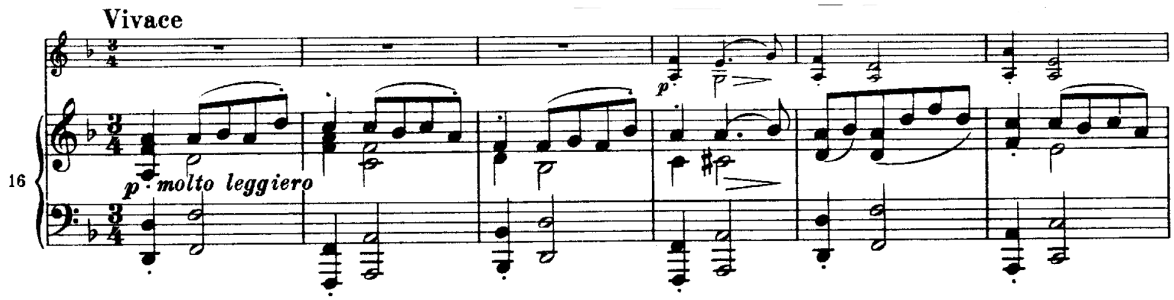
Example 6.15 'Wie Melodien', bars 22–28 (time signature ¢).



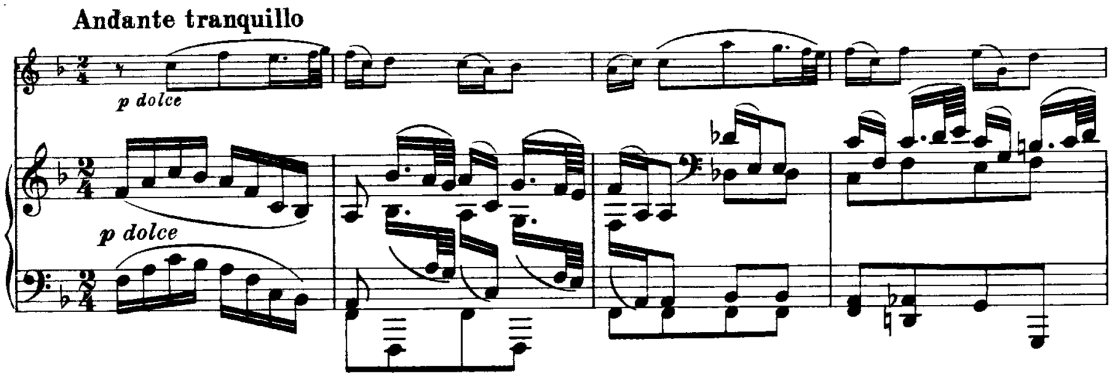
Example 6.16 Op. 105/i, 'Wie Melodien, bars 30–46 (time signature ¢).



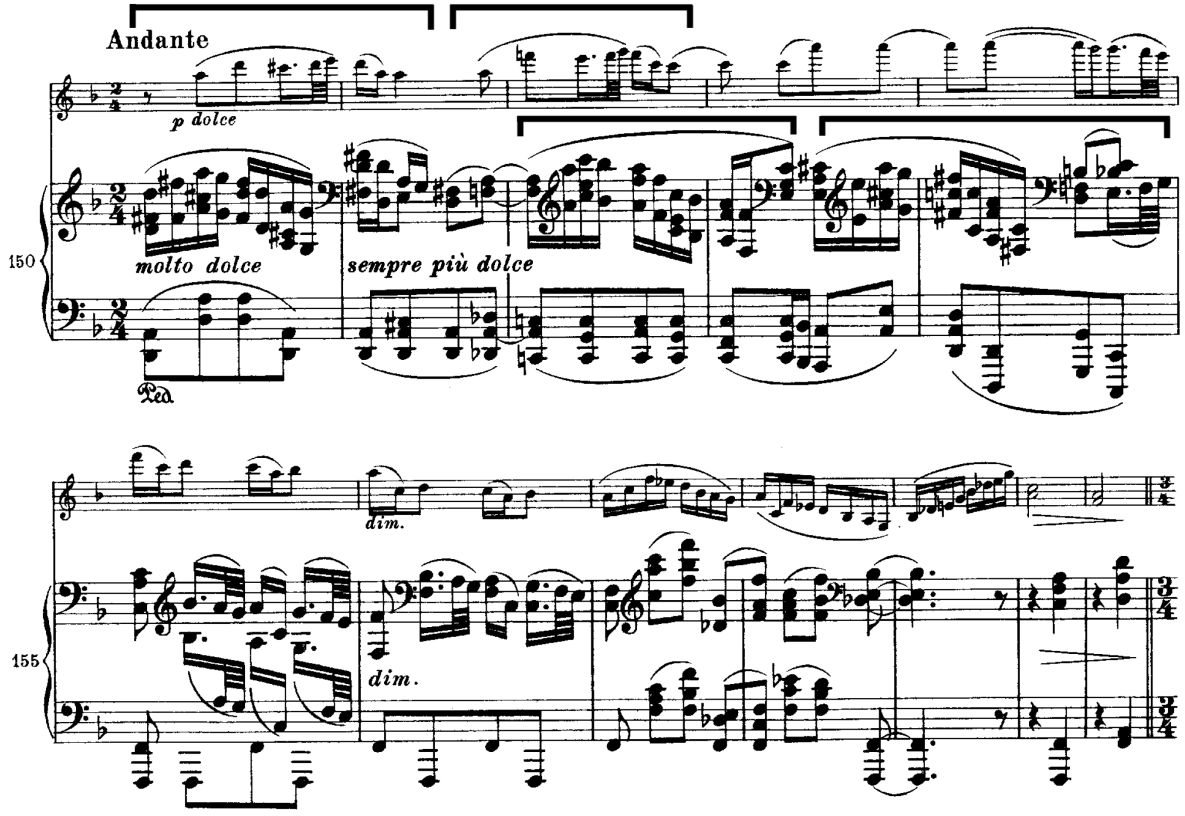
Example 6.17 Grieg, Violin Sonata in G major, Op. 13, second movement, bars 1–16.



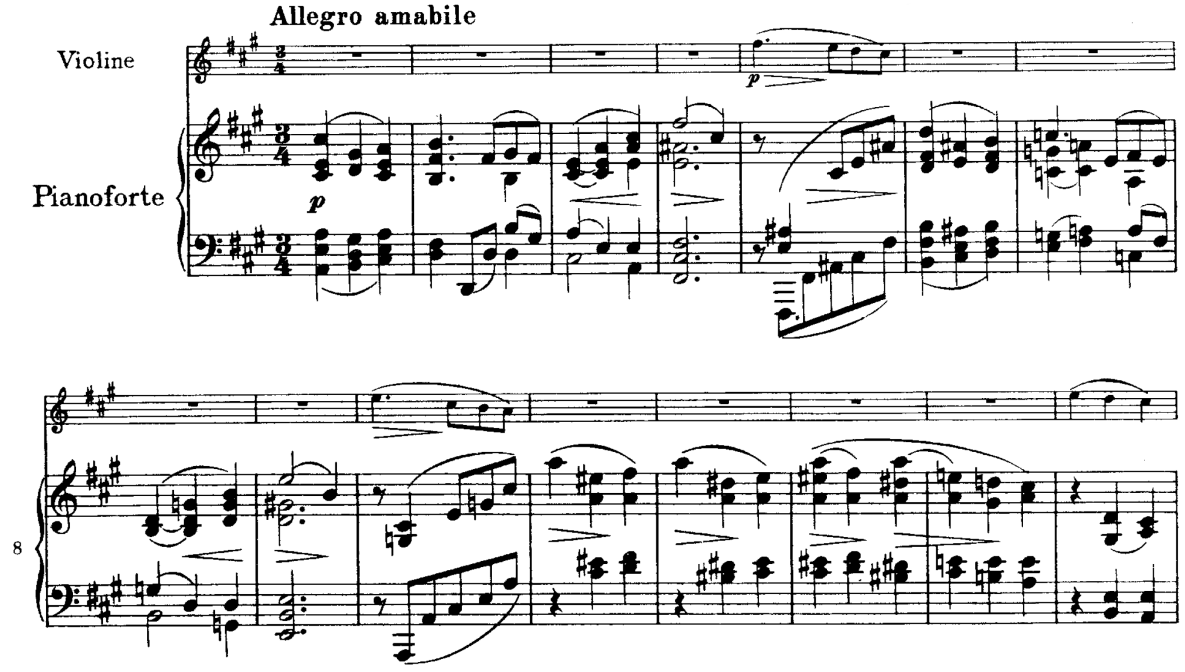
Example 6.18 Op. 100/ii, bars 16–21.



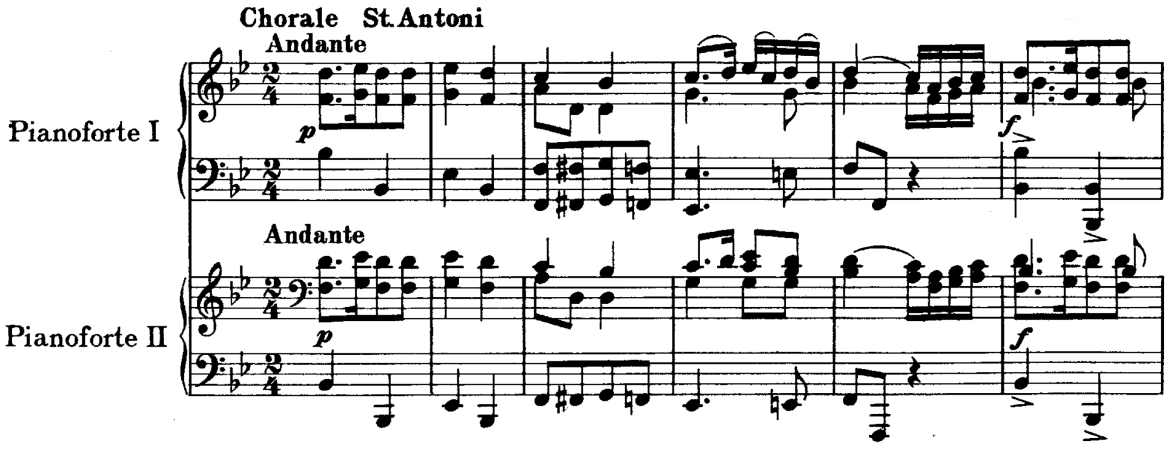
Example 6.19 Op. 100/ii, bars 1–4.



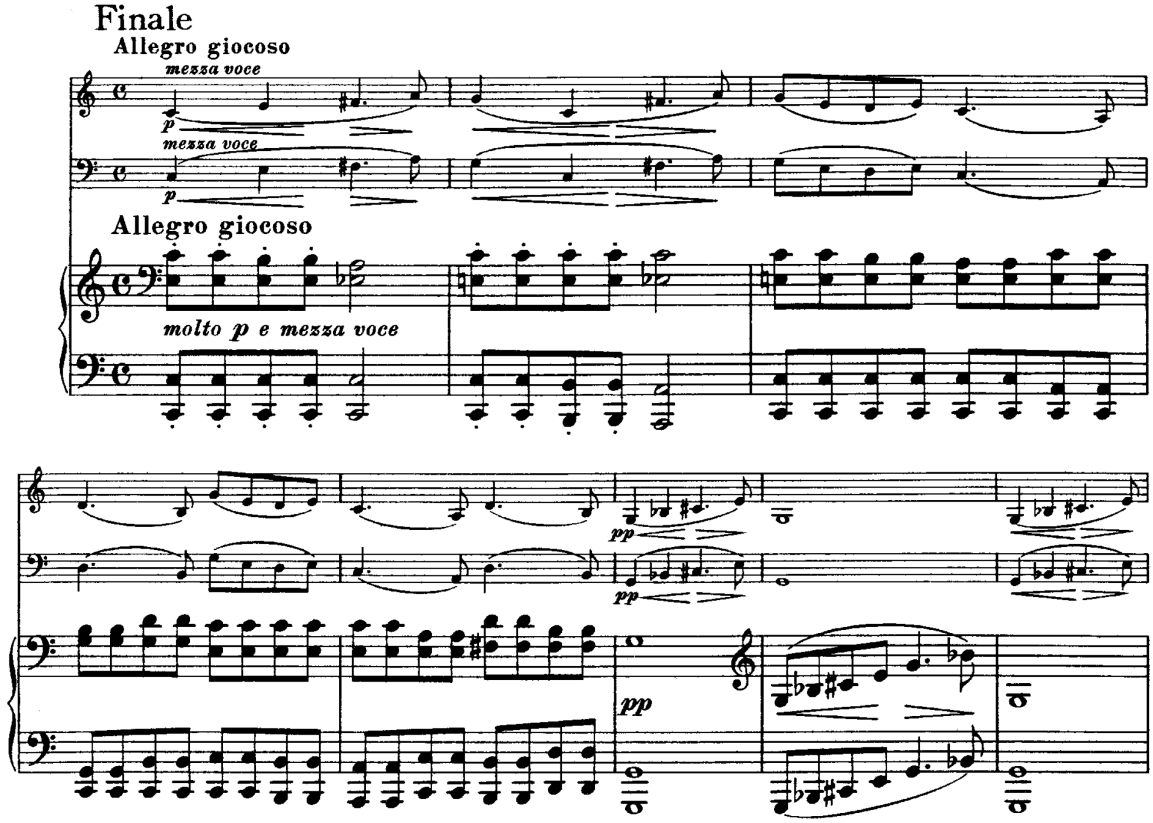
Example 6.20 Op. 100/ii, bars 150–154.



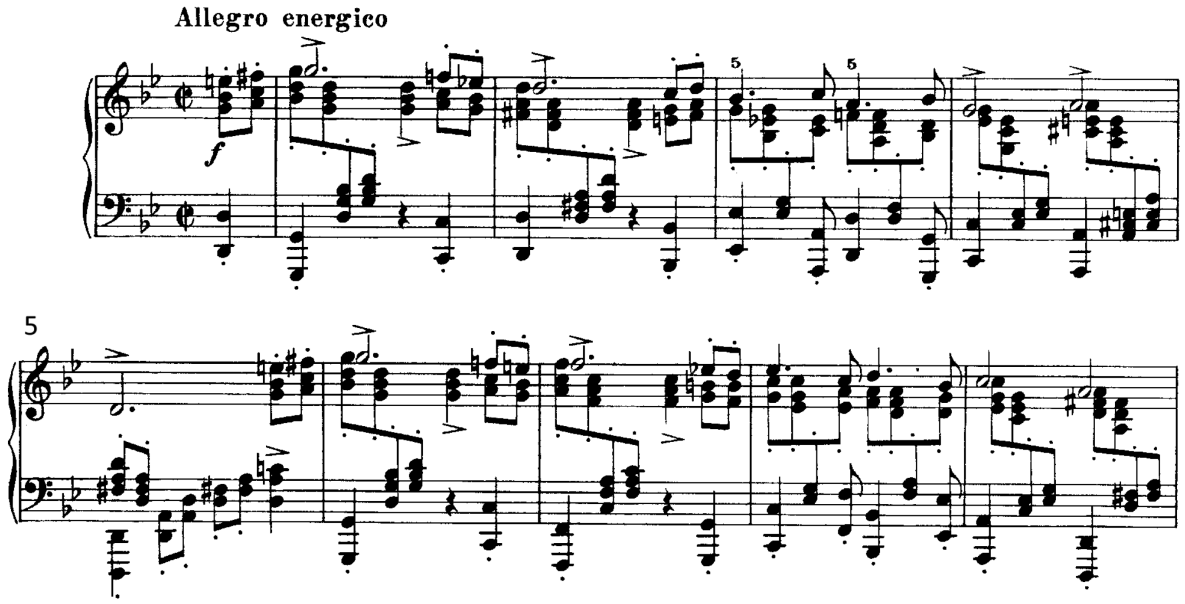
Example 6.21 Op. 100/i, bars 1–15.



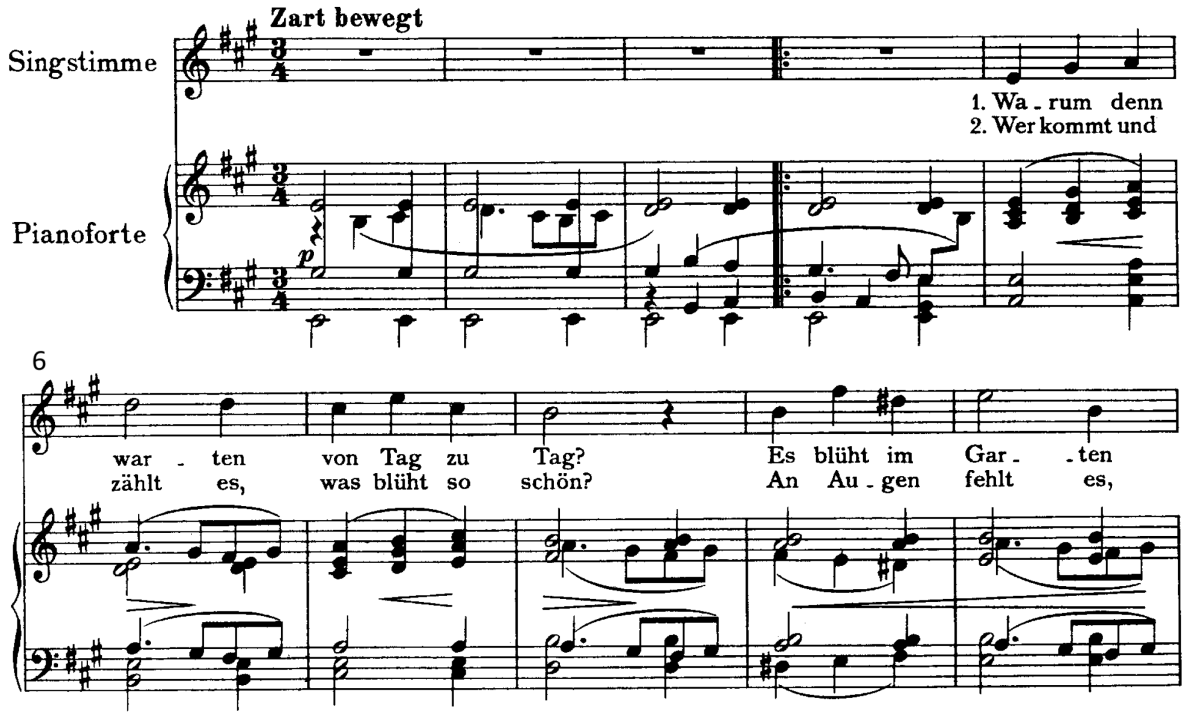
Example 6.22 Op. 56b Variations, bars 1–6.



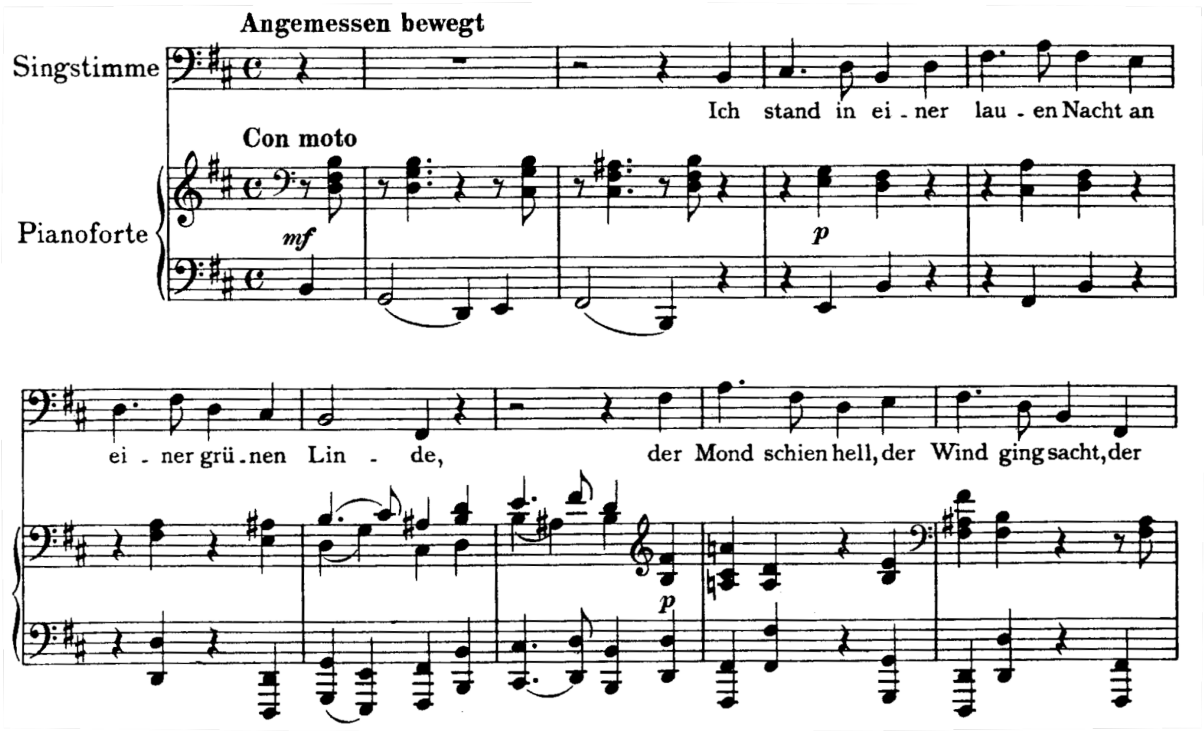
Example 6.23 Op. 87/iv, bars 1–8.



Example 6.24 Op. 118/iii, bars 1–9.

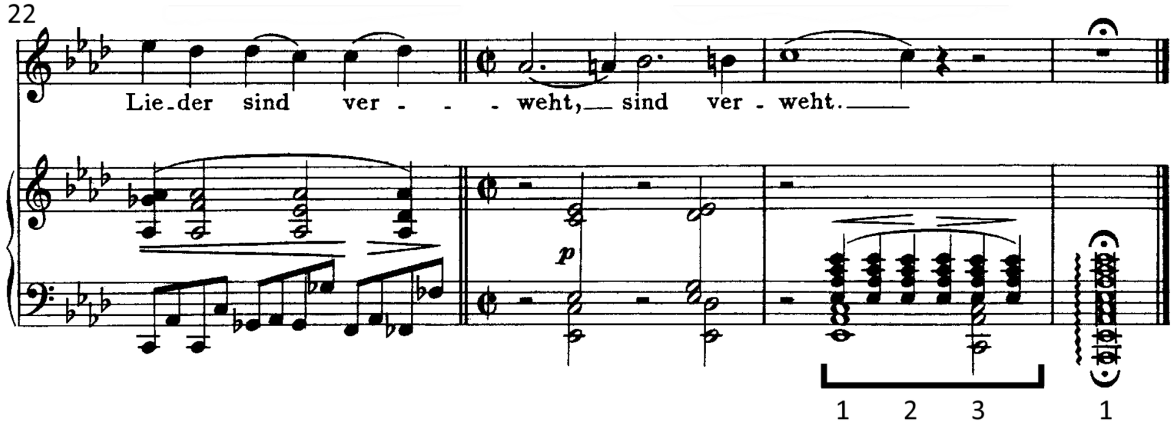


Example 6.25 'Komm bald', Op. 97/v, bars 1–10.

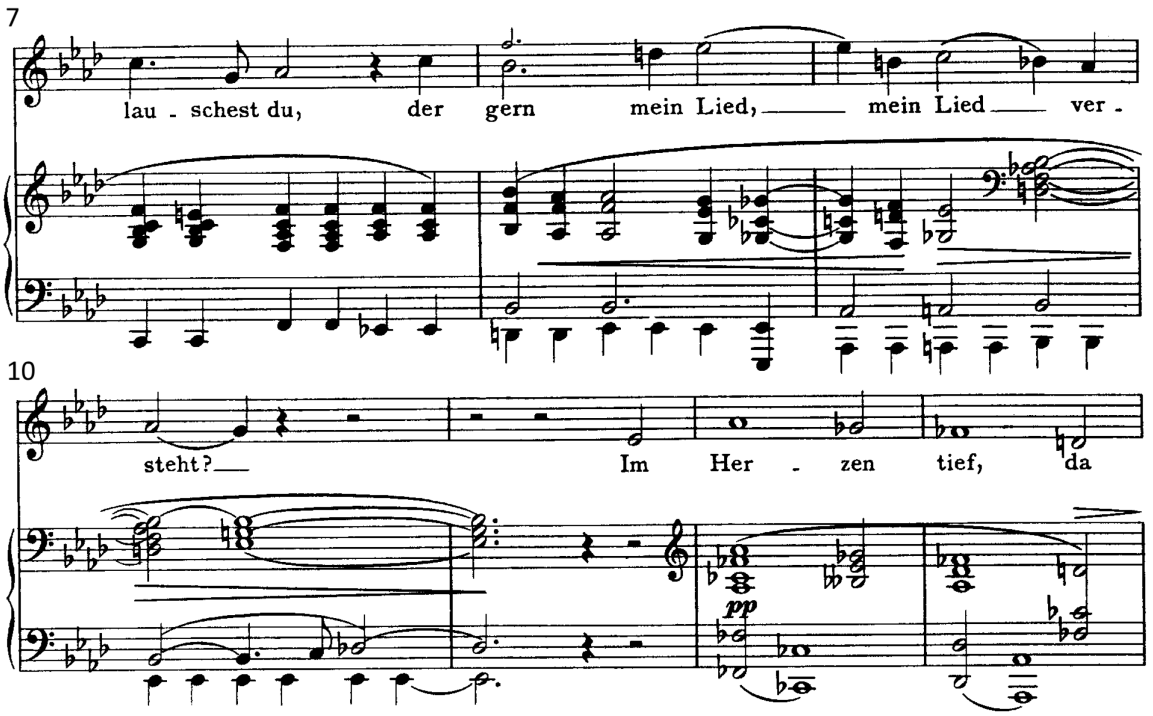


Example 6.26 'Verrat', Op. 105/v, bars 1–9.

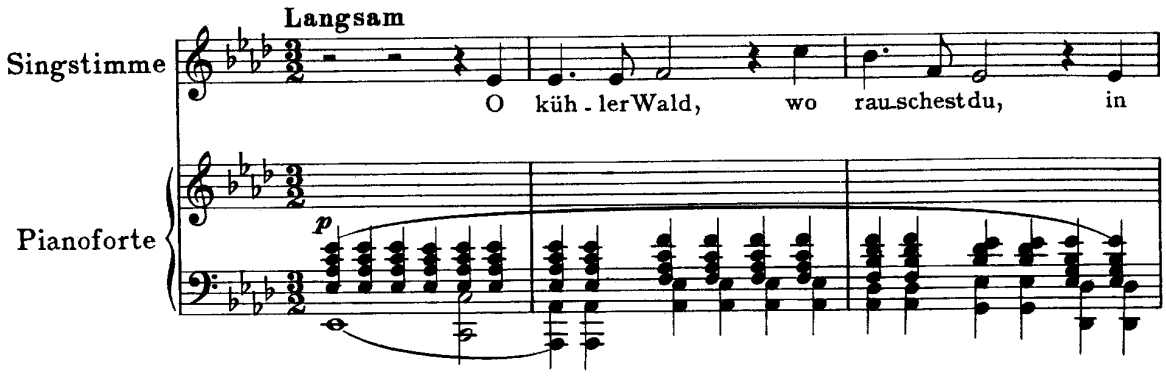
Chapter 7 Directional metre



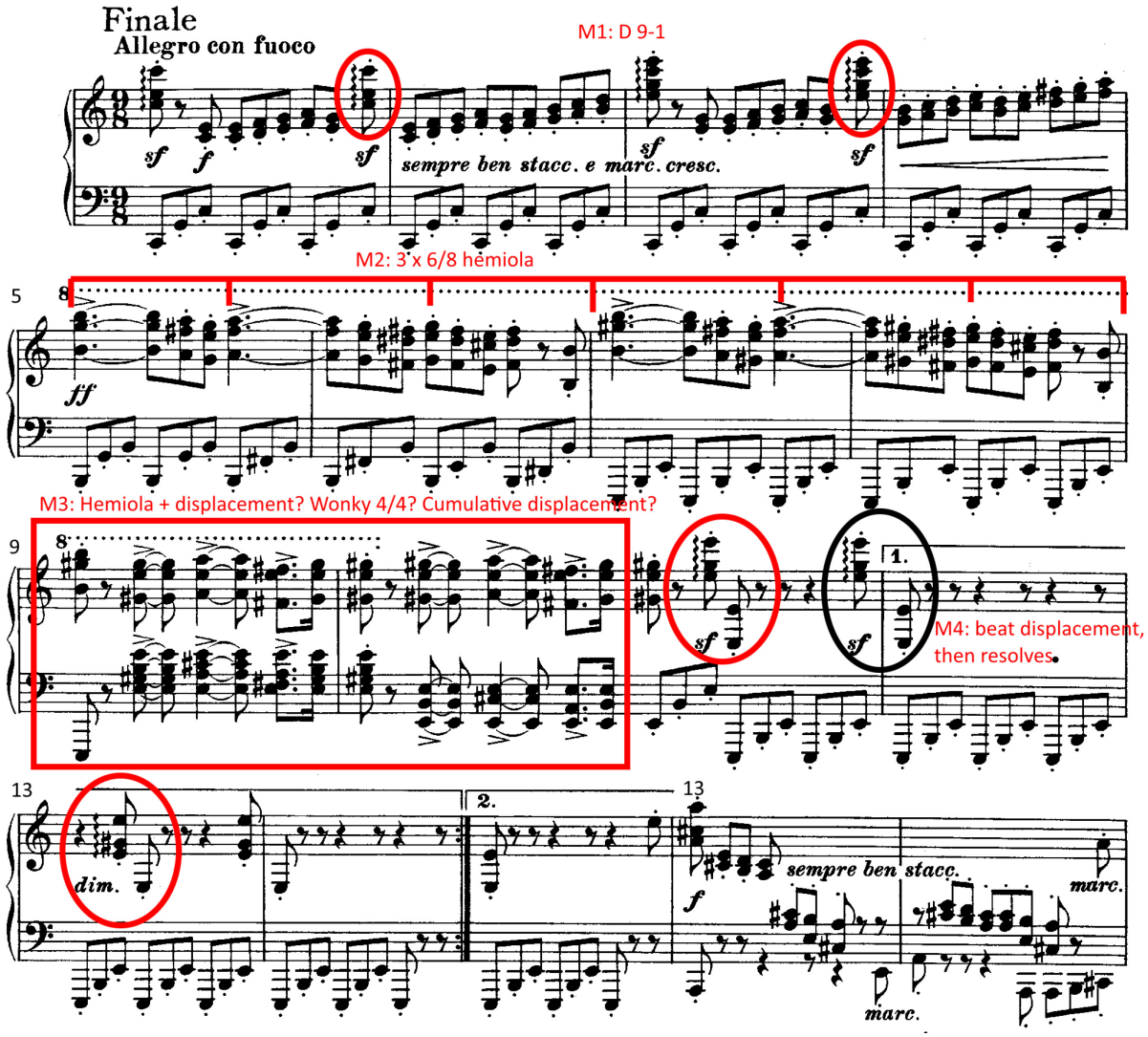
Example 7.1 'O kühler Wald', Op. 72/v, bars 22–25.



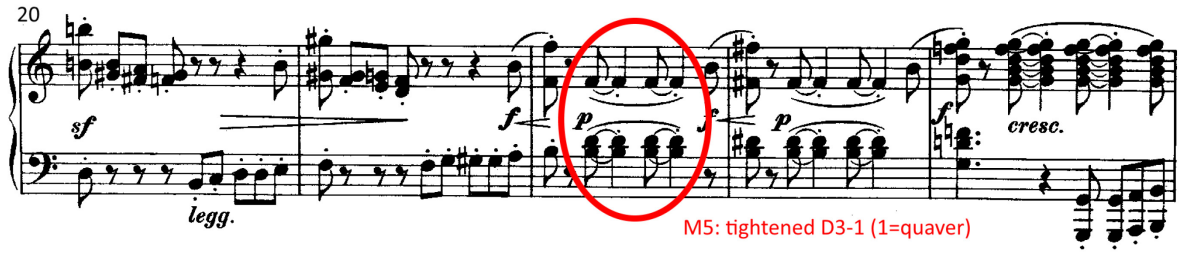
Example 7.2 Bars 7–13.



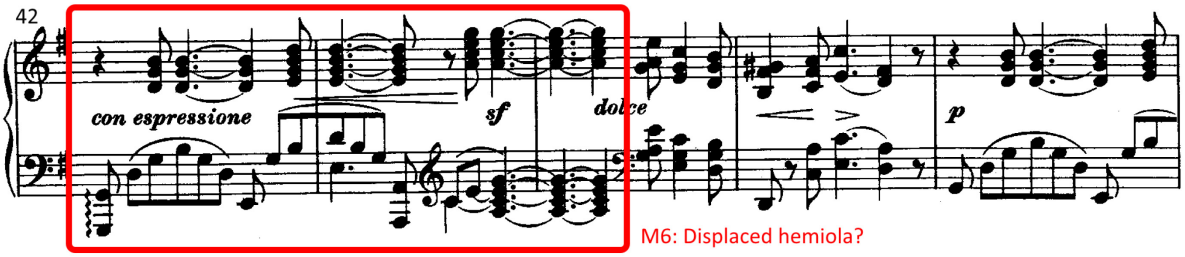
Example 7.3 Opening, bars 1–3.



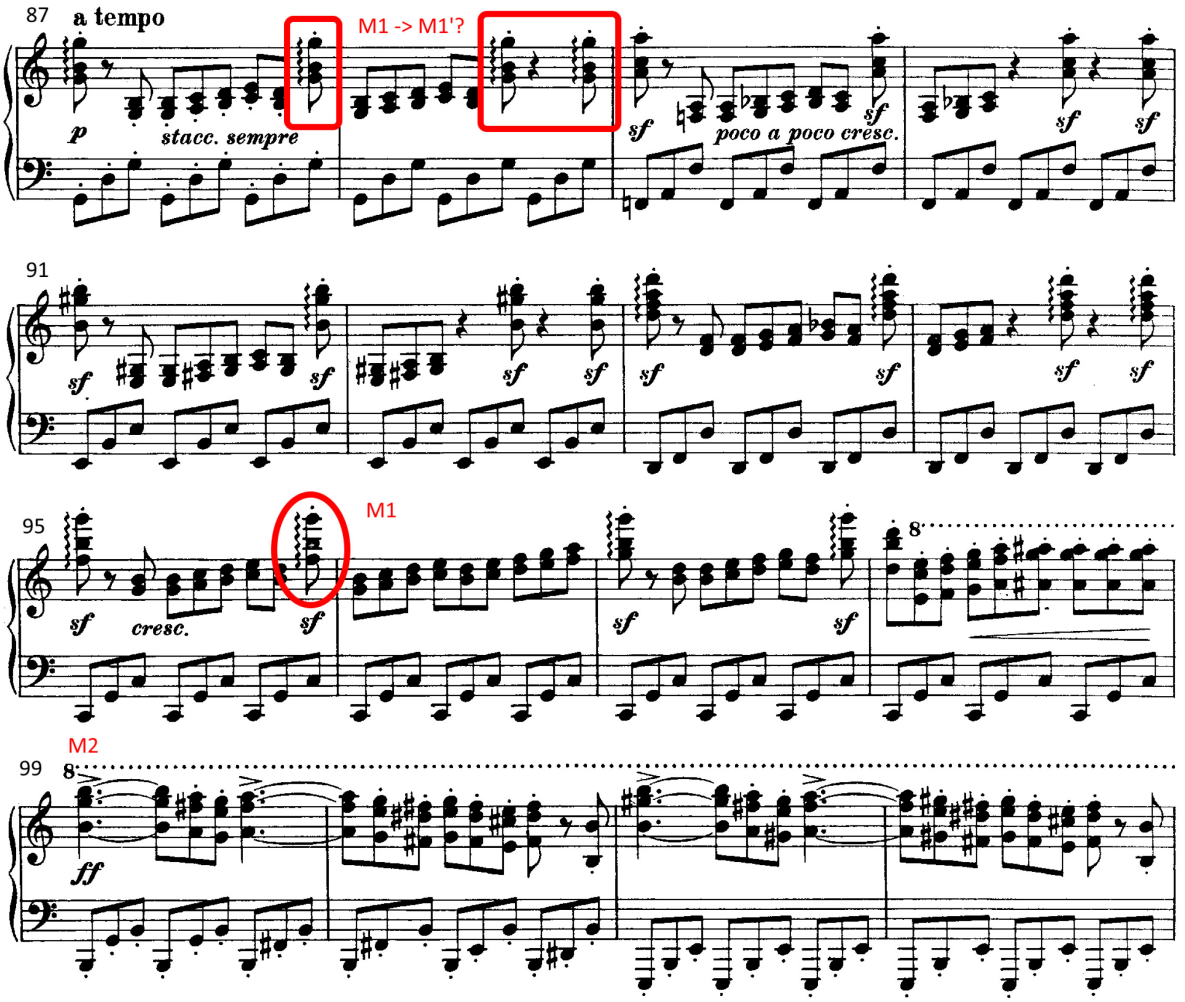
Example 7.4 Op. 1/iv, bars 1–14, showing M1–4 dissonances.



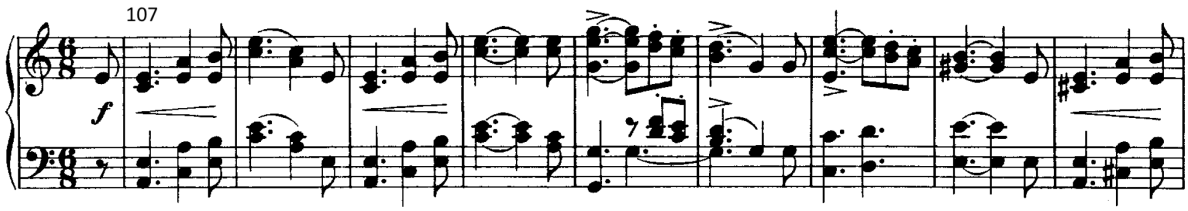
Example 7.5 Op. 1/iv, bars 20–24, showing M5.



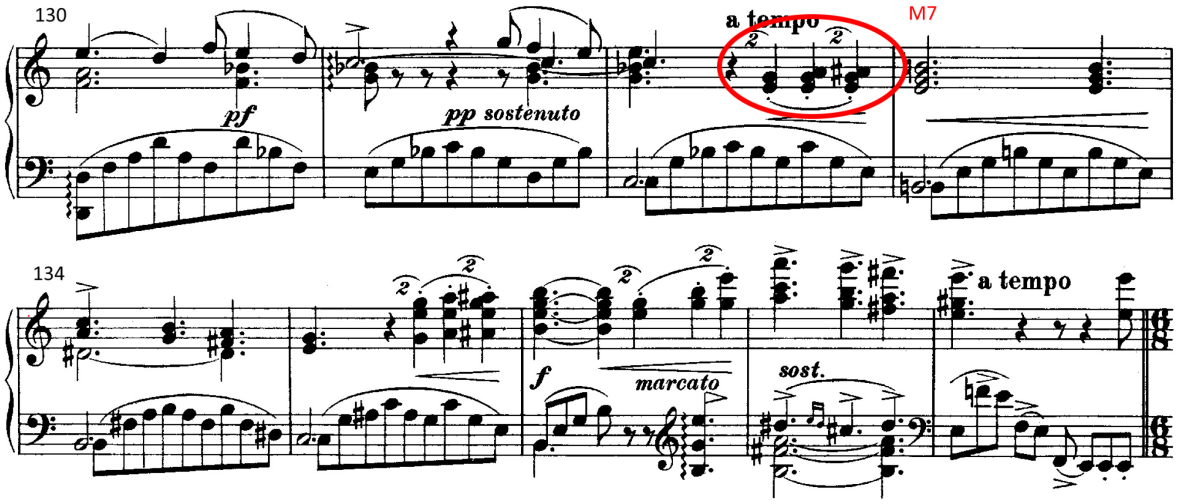
Example 7.6 Op. 1/iv, bars 42–46, showing M6.



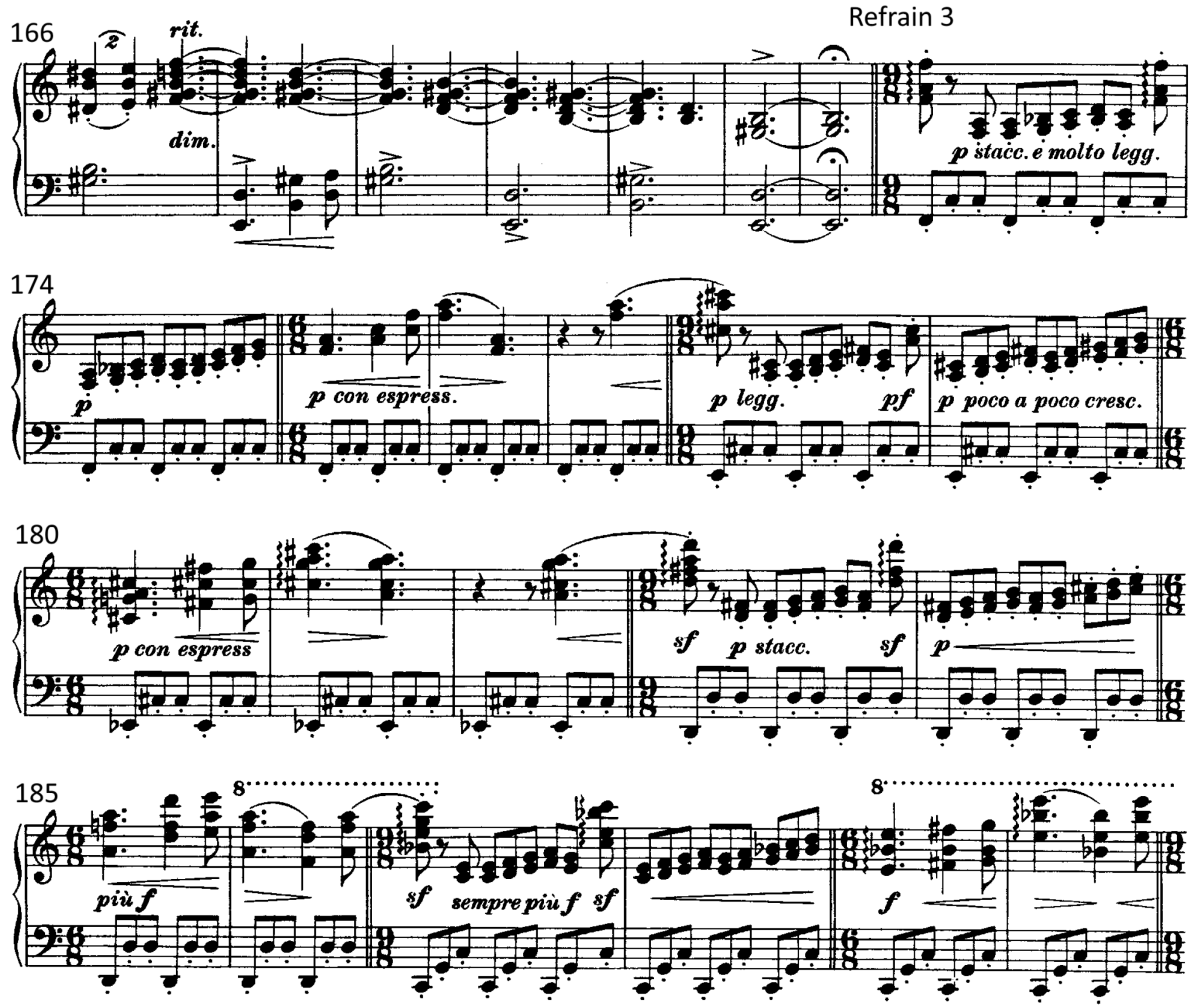
Example 7.7 Bars 87–102, showing M1' as related to M1, and the normal M2–5 sequence beginning in bar 99.



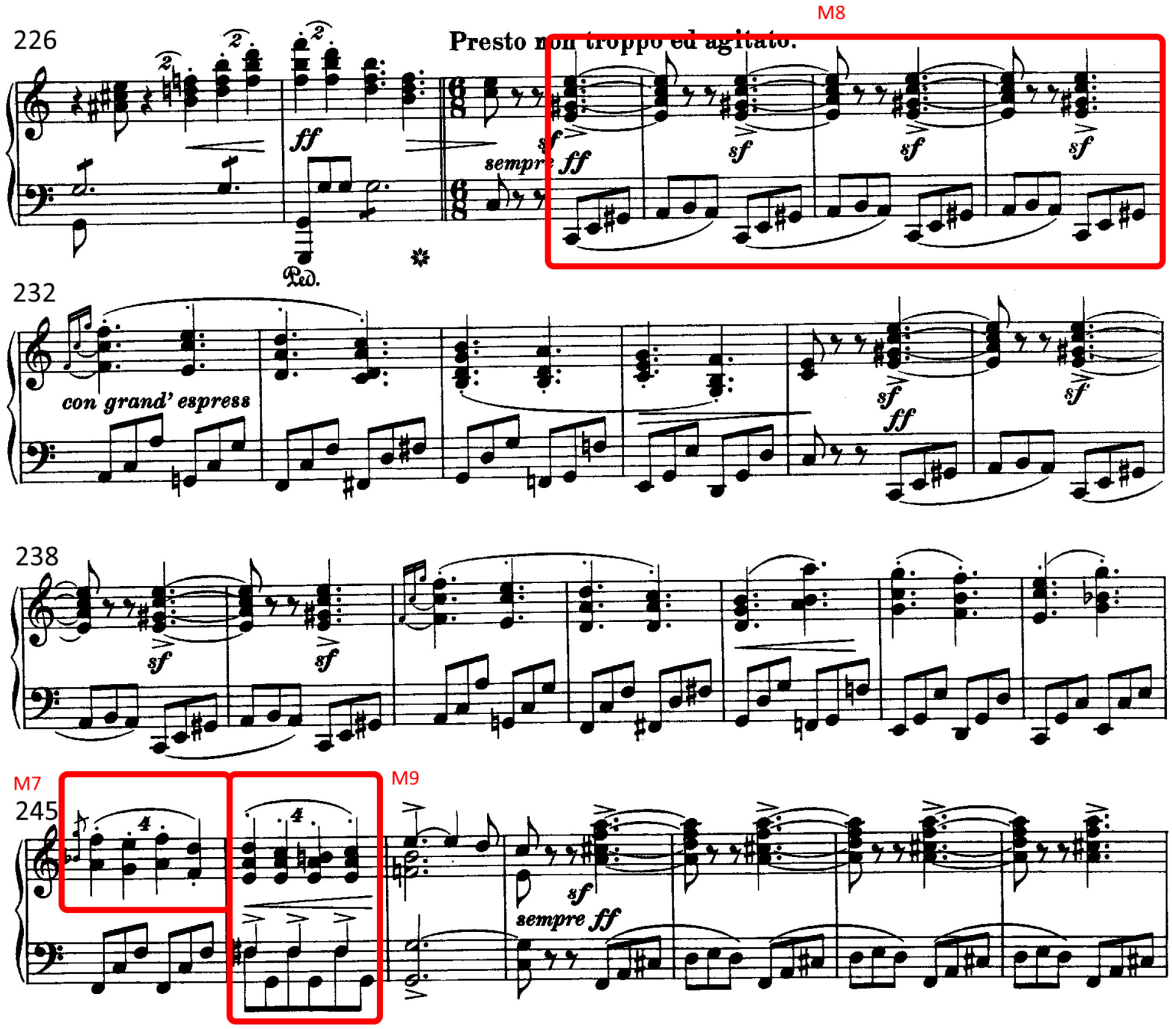
Example 7.8 Bars 107–115: the metrically consonant start of the C section.



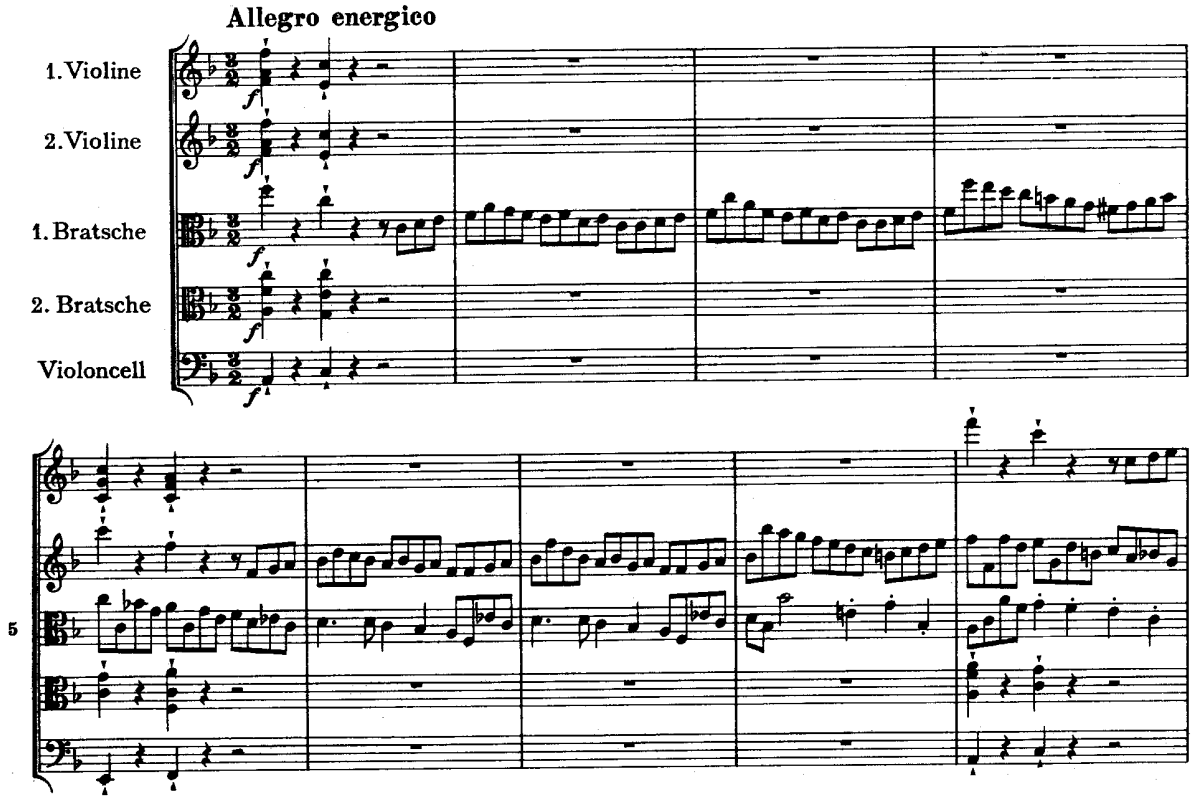
Example 7.9 Bars 130–138, in the middle of the C section, introducing a new dissonance, M7.



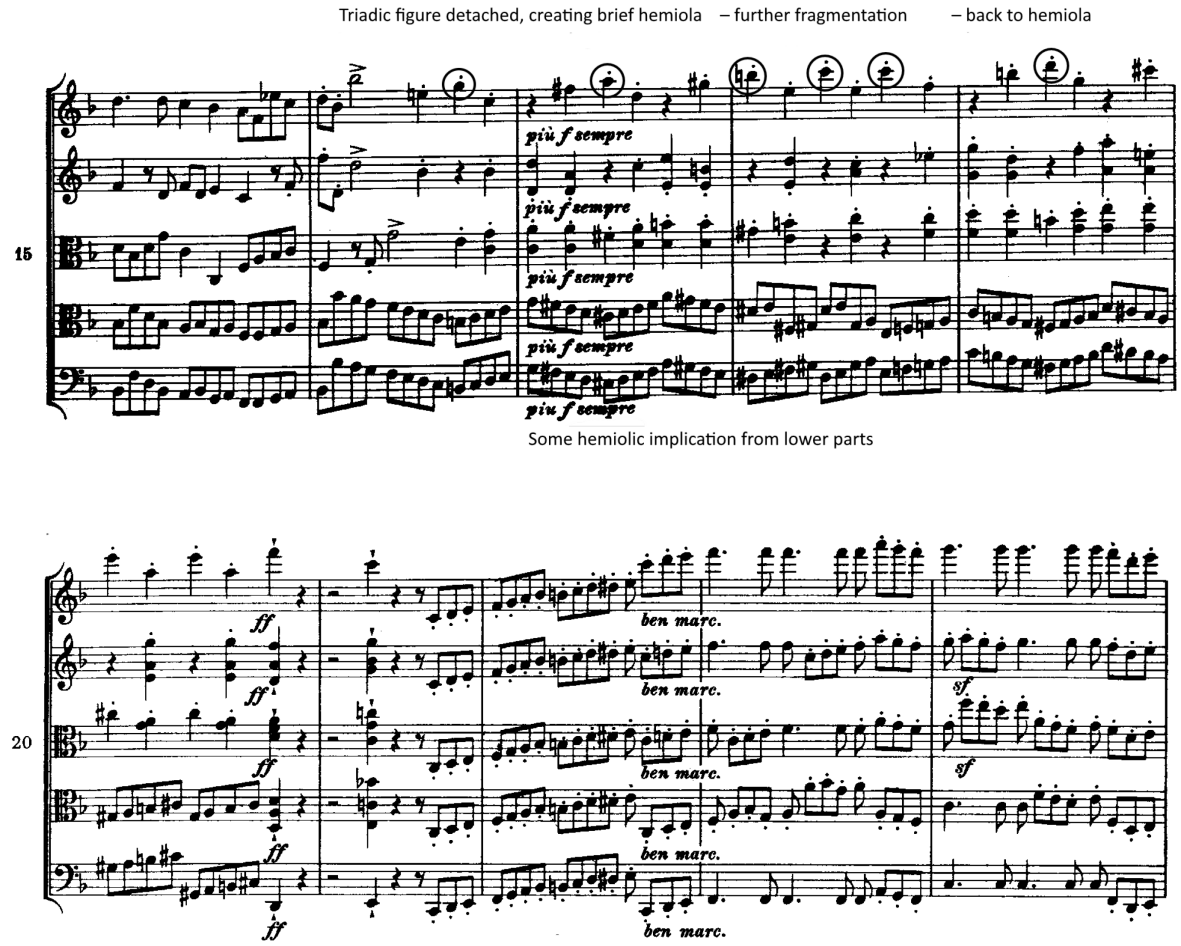
Example 7.10 Bars 166–190, the third refrain, showing conflict between the two notated metres.



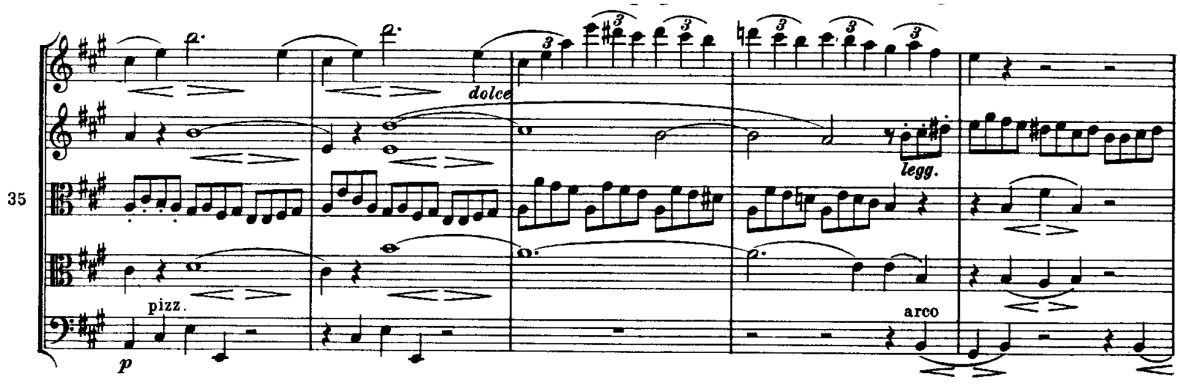
Example 7.11 Bars 226–251, the opening two phrases of the coda.



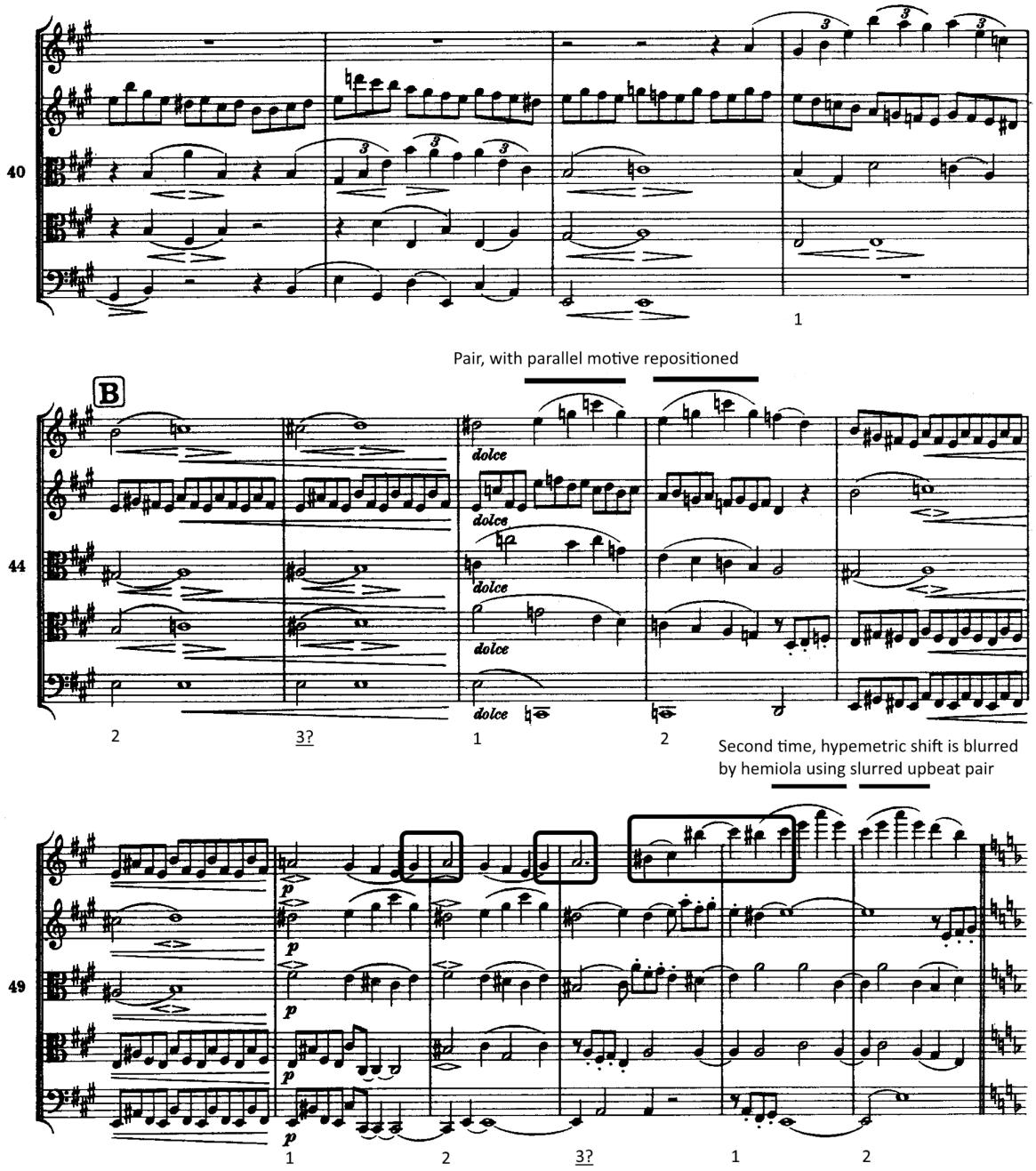
Example 7.12 Op. 88/iii, bars 1–9.



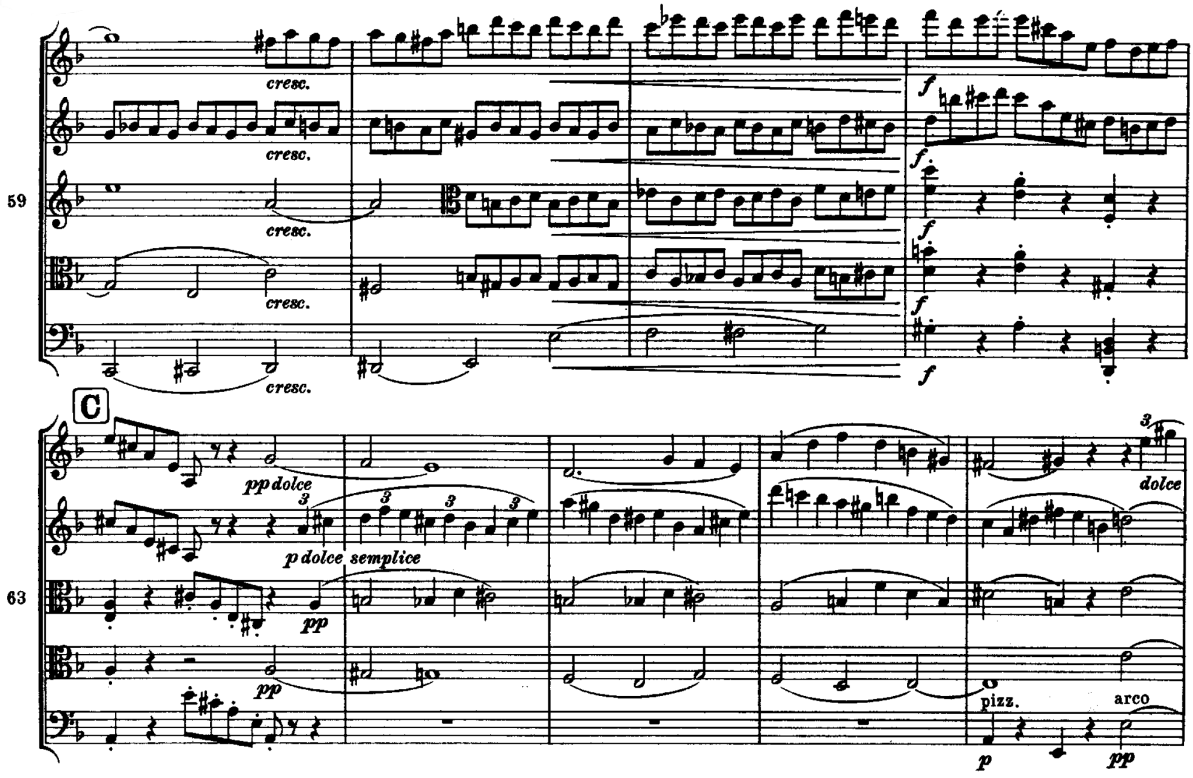
Example 7.13 Bars 15–24, leading to the second reprise.



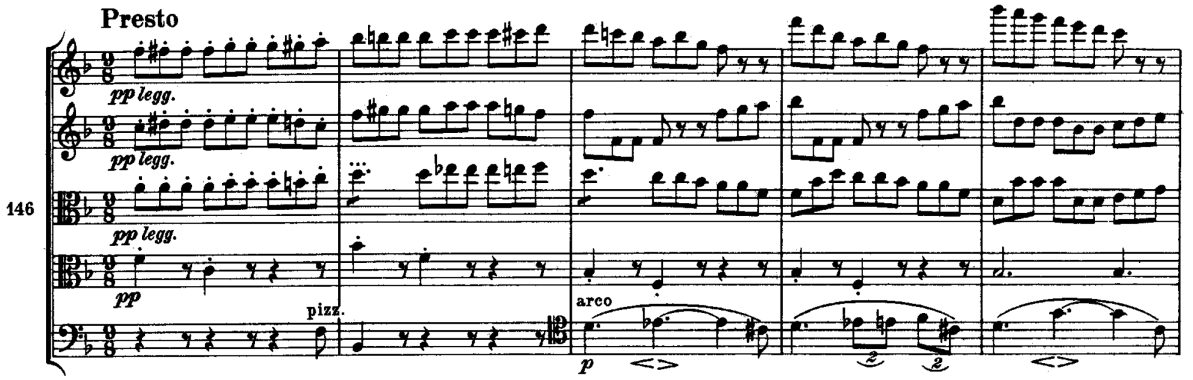
Example 7.14 Bars 35–39.



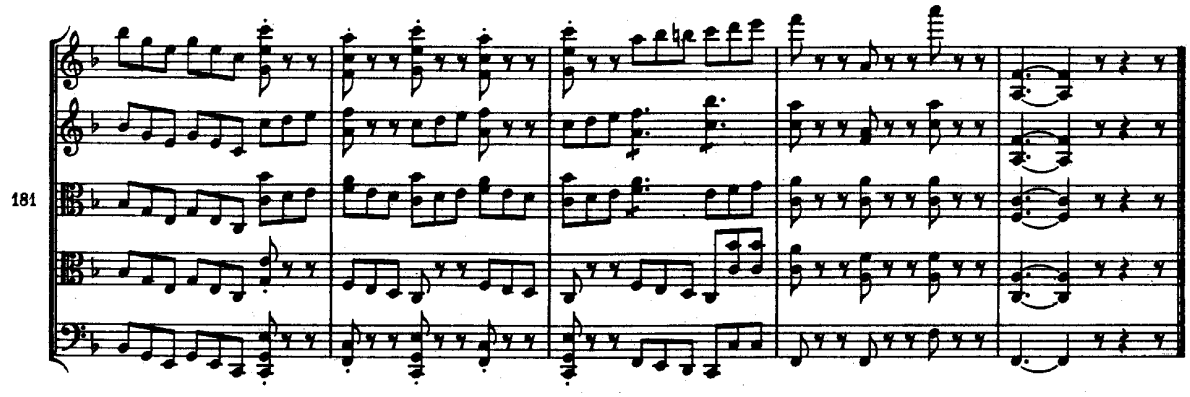
Example 7.15 Bars 40–54, showing two hypermetric expansions, and hypermetre reasserted by the dissonances in the following bars.



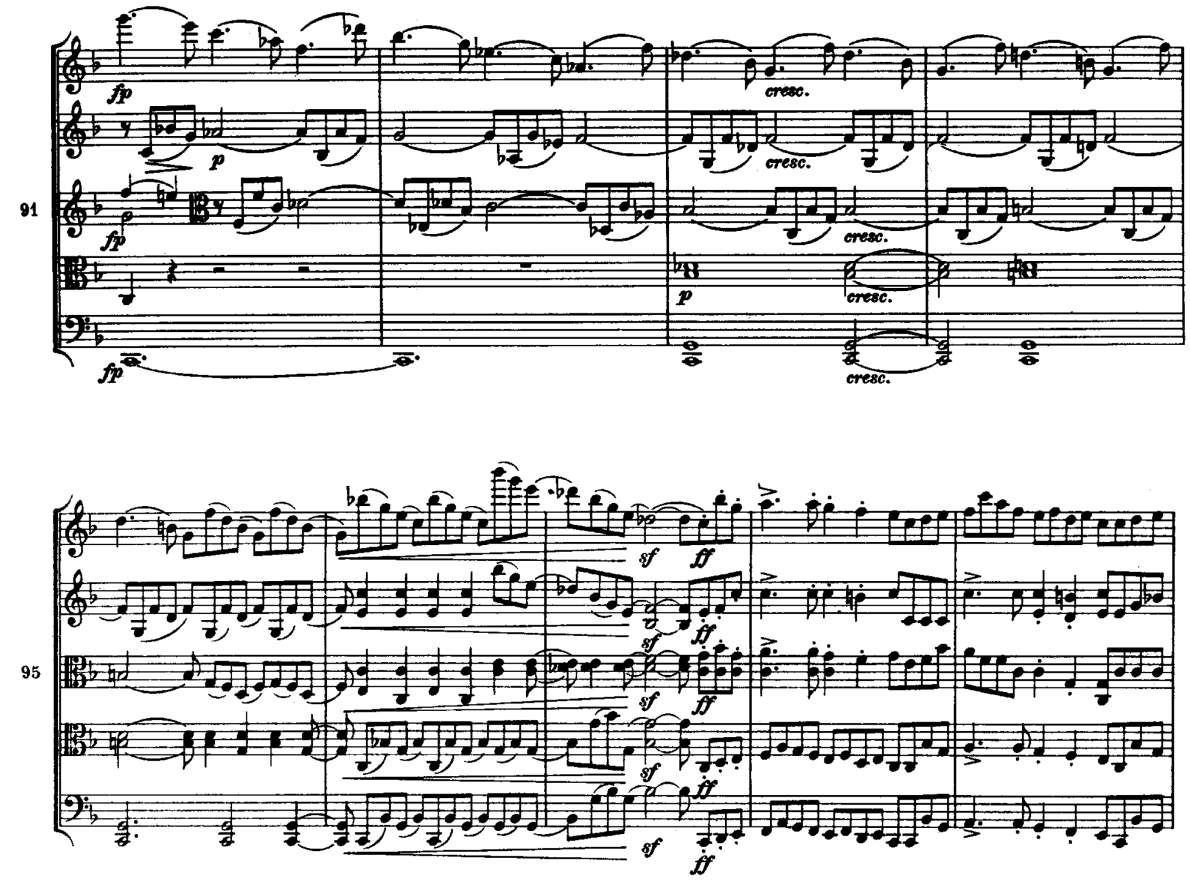
Example 7.16 Bars 59–67, in the development.



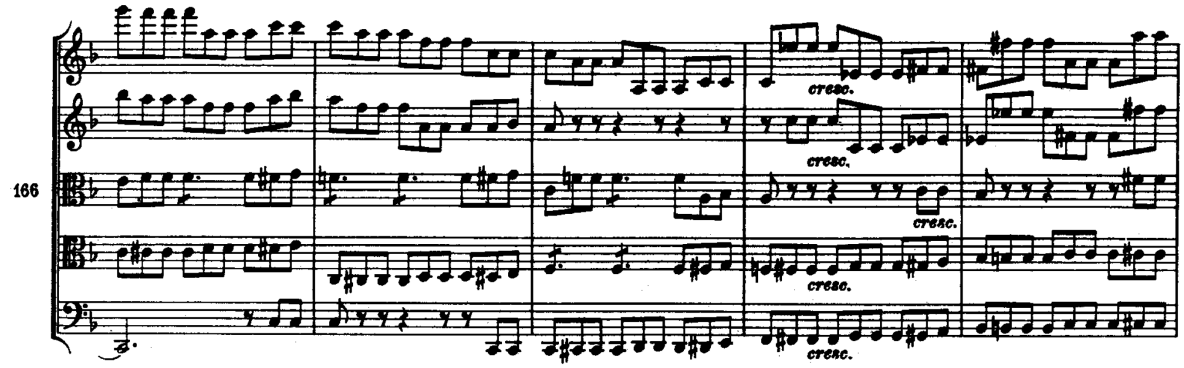
Example 7.17 Bars 146–150, at the opening of the coda.



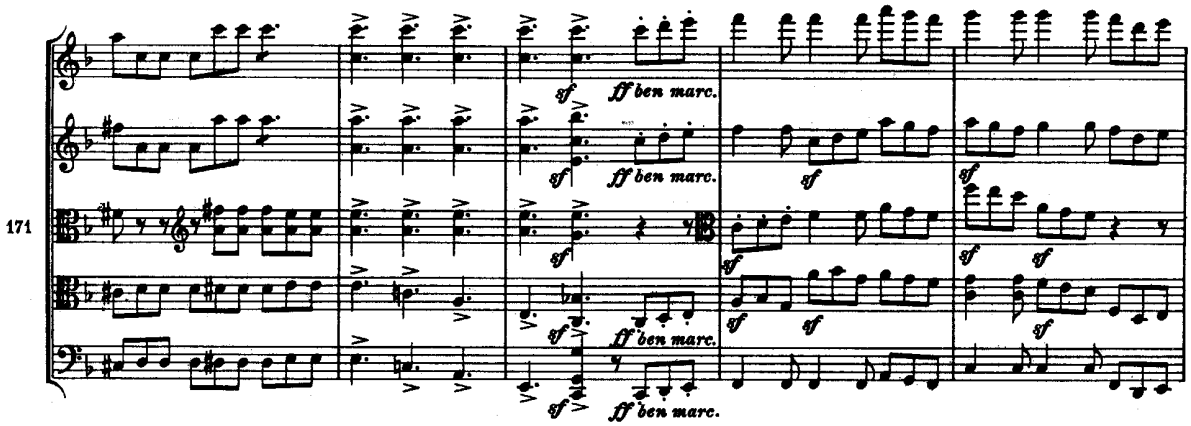
Example 7.18 Bars 181–end.



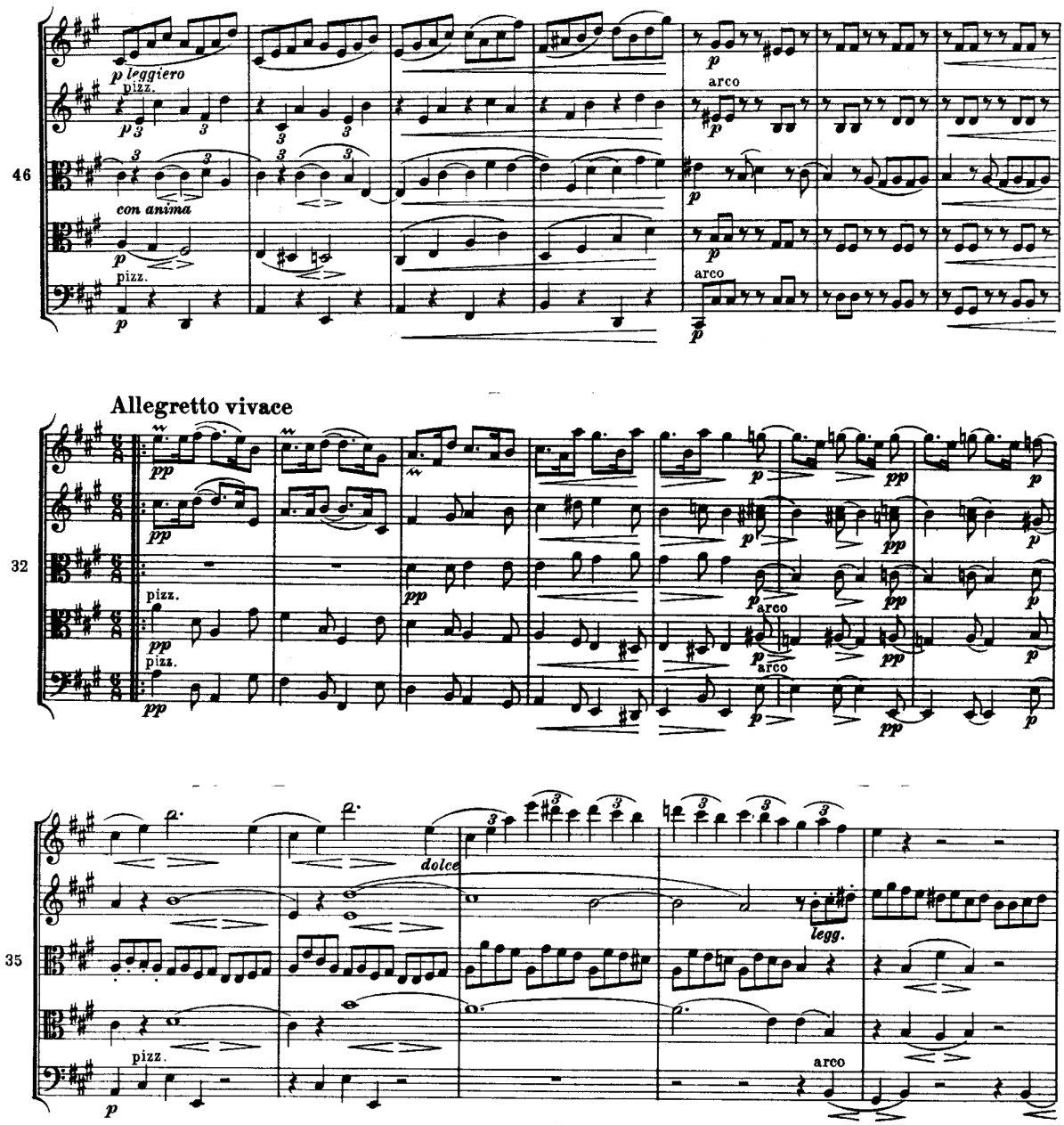
Example 7.19 Bars 91–99, with the recapitulation starting at bar 98.



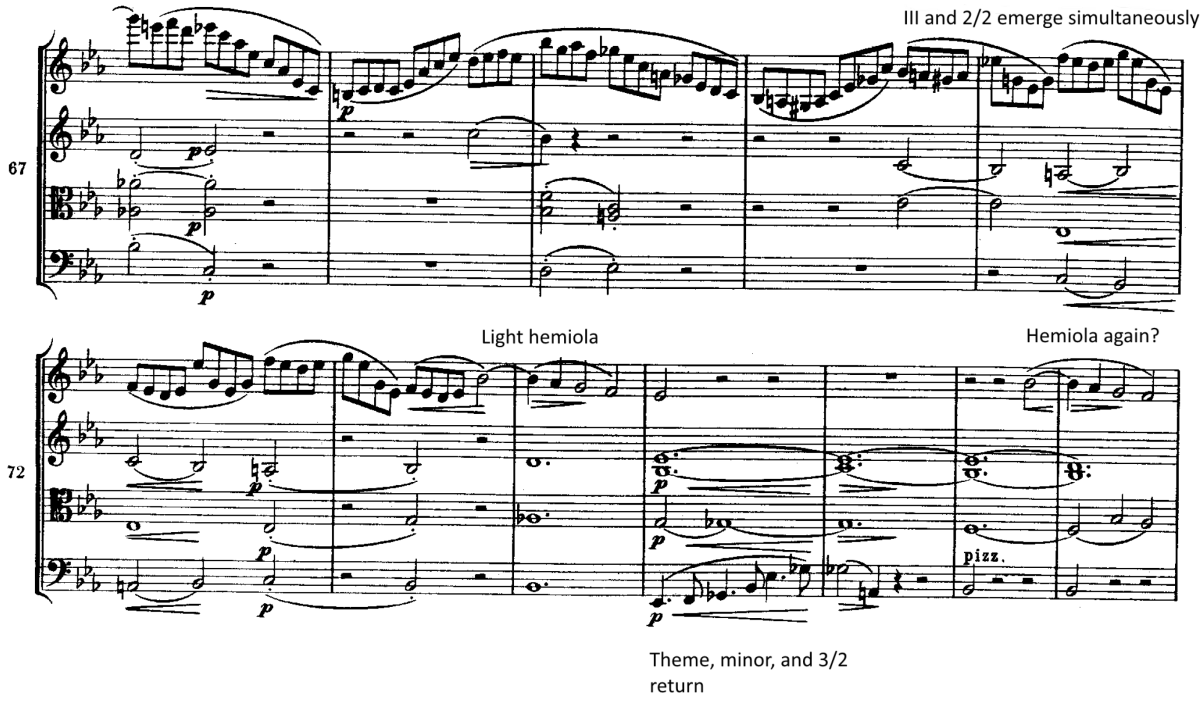
Example 7.20 Bars 166–170, in the middle of the coda.



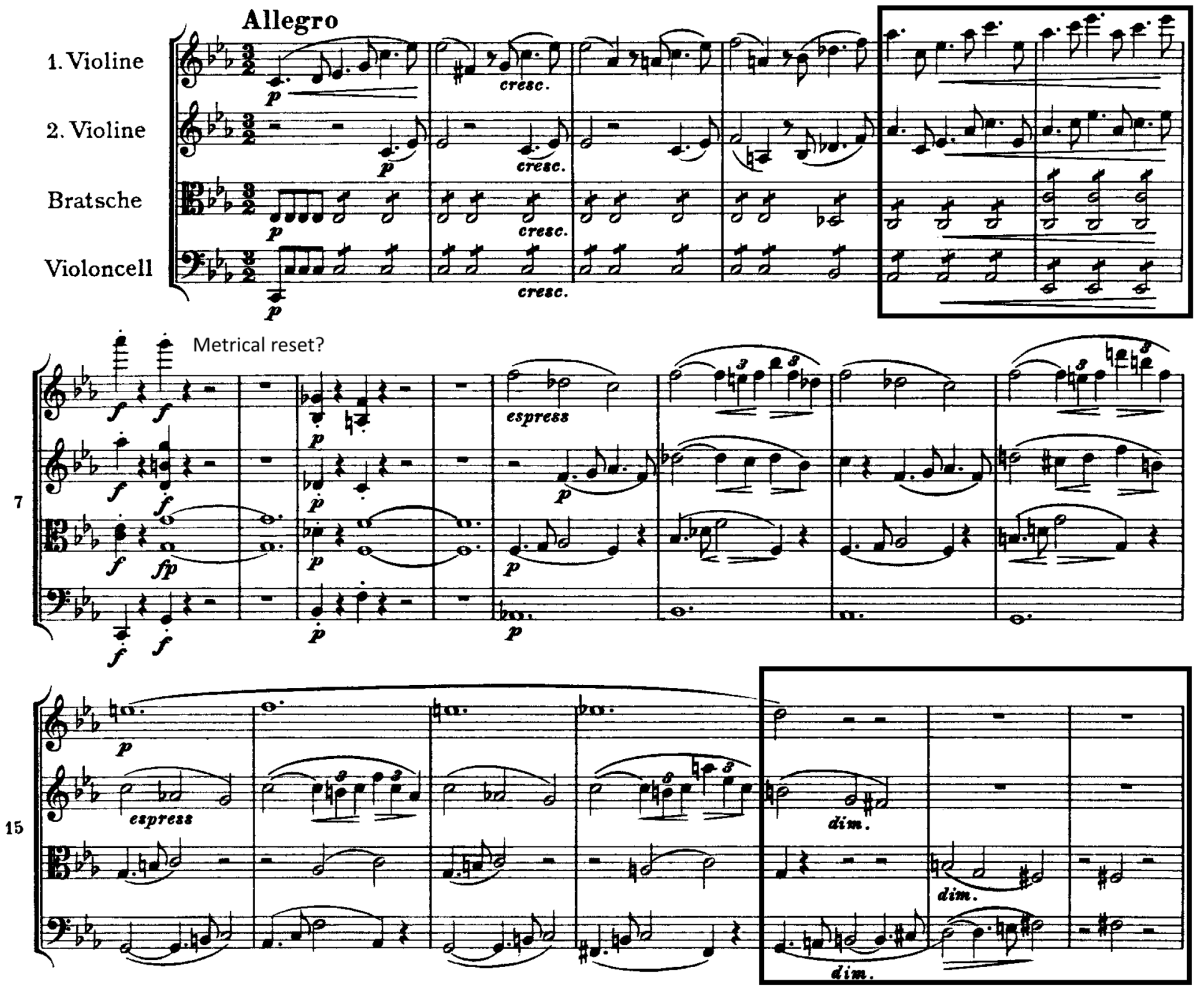
Example 7.21 Bars 171–175, leading into the final thematic reprise.



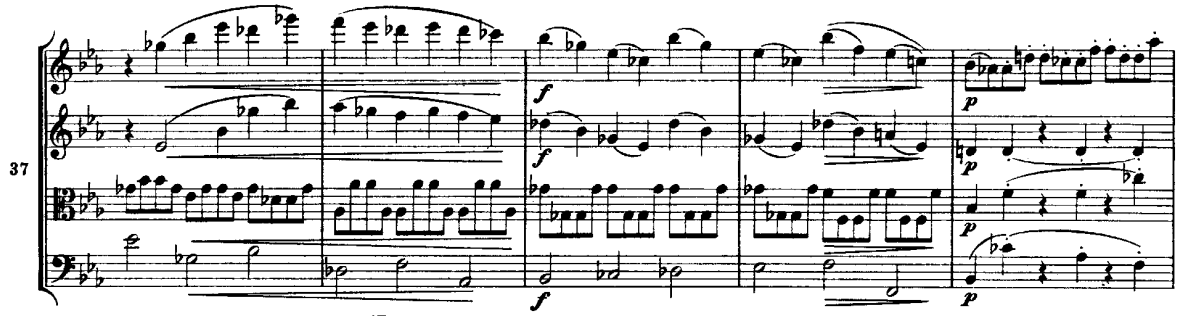
Example 7.22 Op. 88, subordinate or secondary material from each of the three movements.



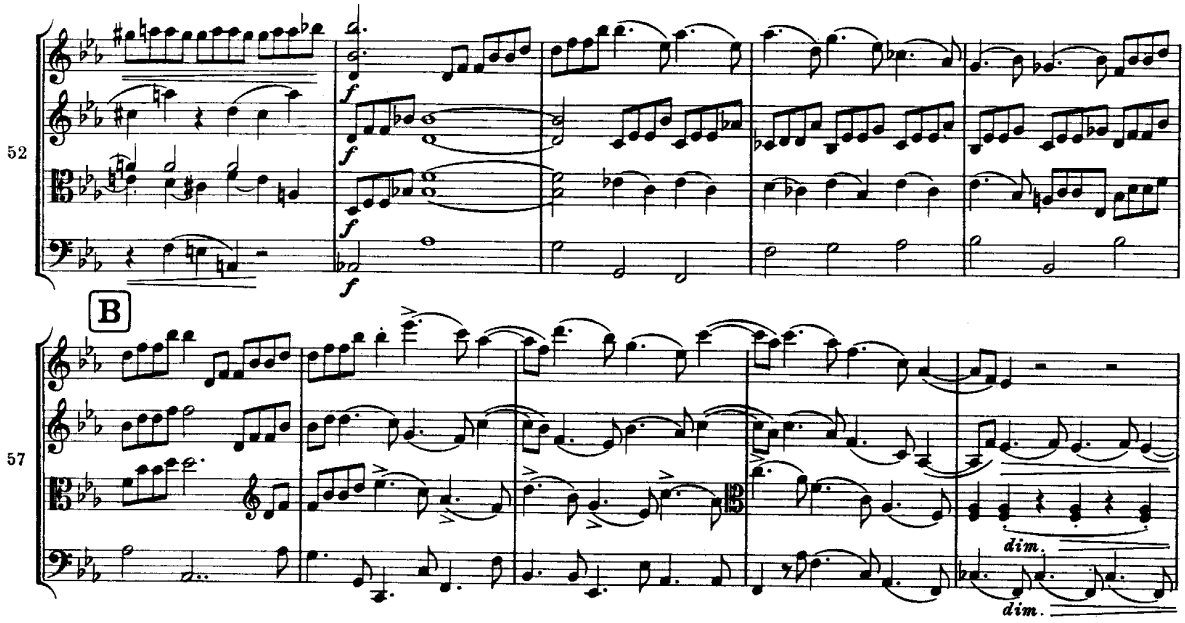
Example 7.23 Op. 51/1/i, bars 67–78, at the end of the exposition.



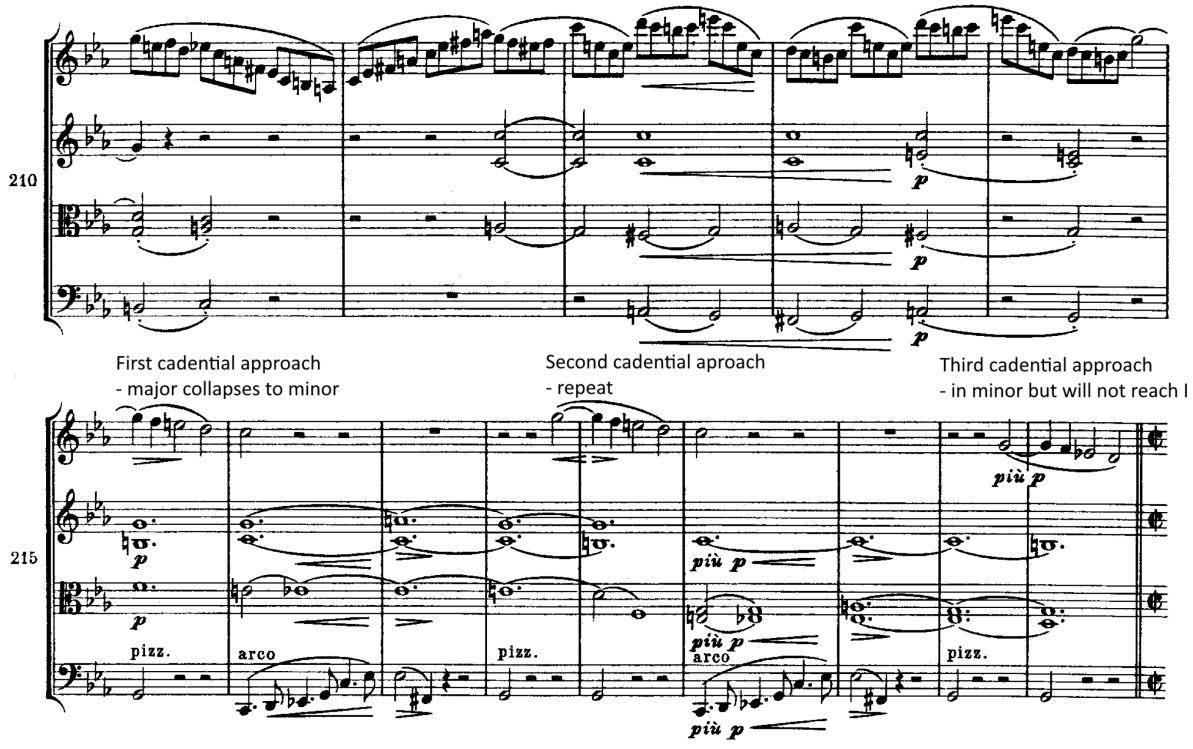
Example 7.24 Bars 1–21, showing the first two instances of pairing.



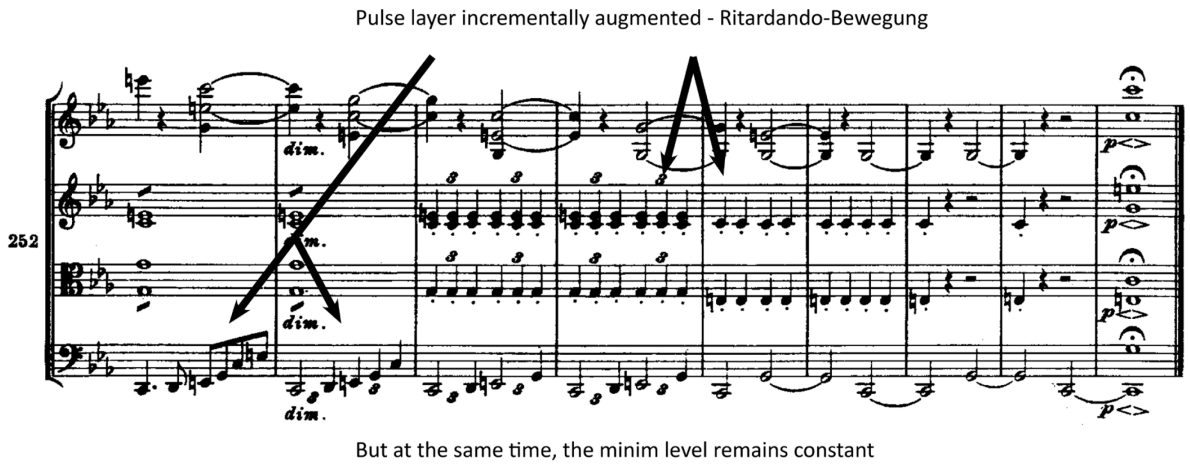
Example 7.25 Bars 37–41.



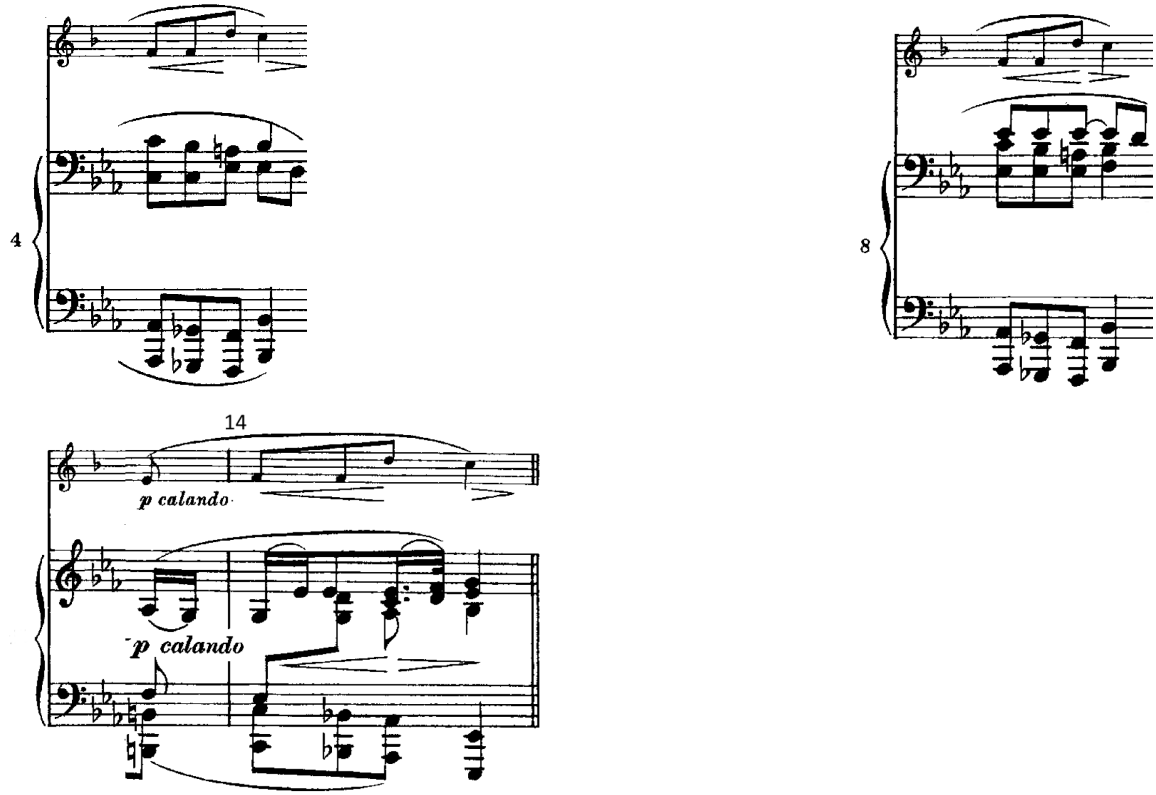
Example 7.26 Bars 53–61, showing two attempts at a culminating hemiola in E♭ major.



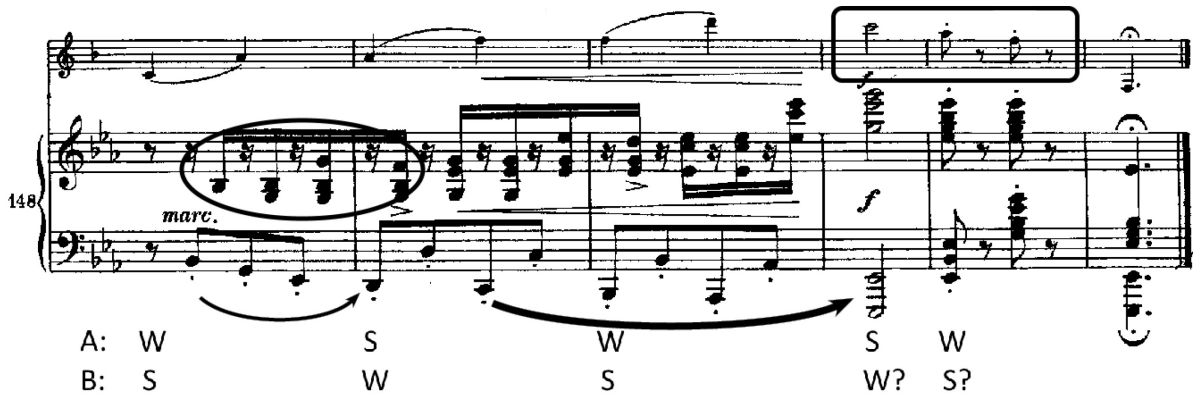
Example 7.27 Bars 210–223, at the end of the recapitulation.



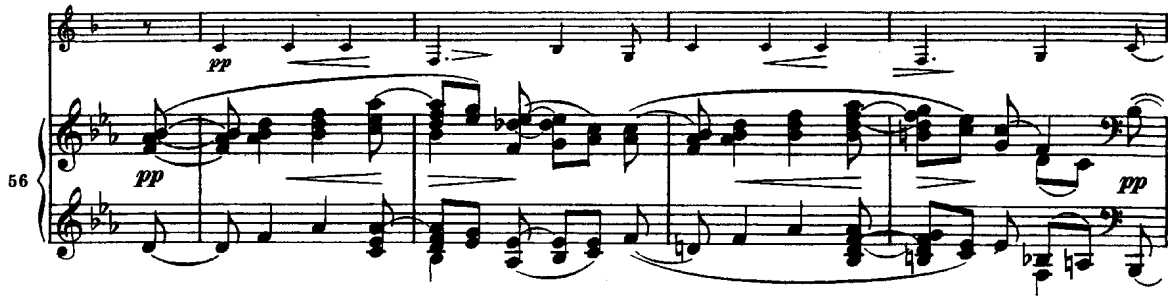
Example 7.28 Op. 51/1/i, bars 252–end.



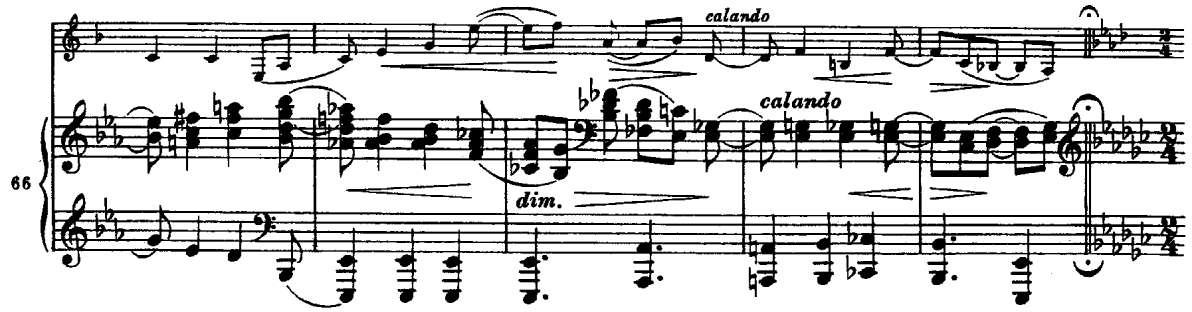
Example 7.29 Op. 120/2/iii, bars 4, 8 and 14.



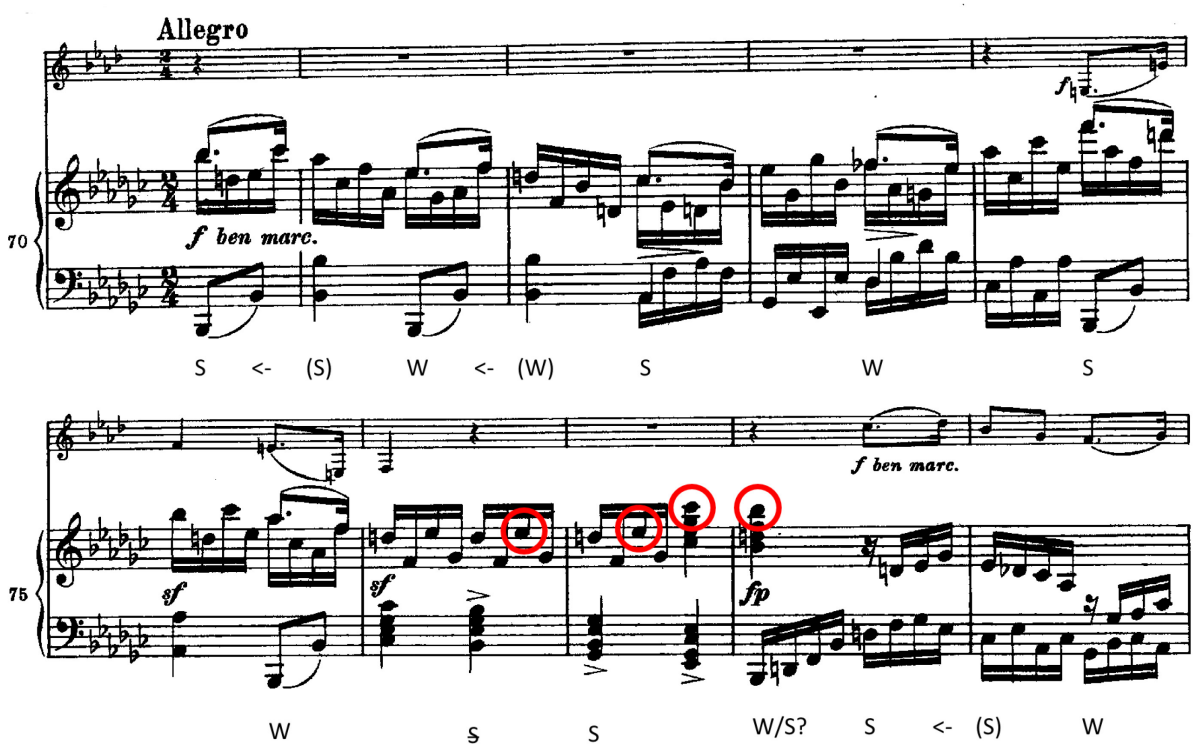
Example 7.30 Bars 148–153, the close of the movement.



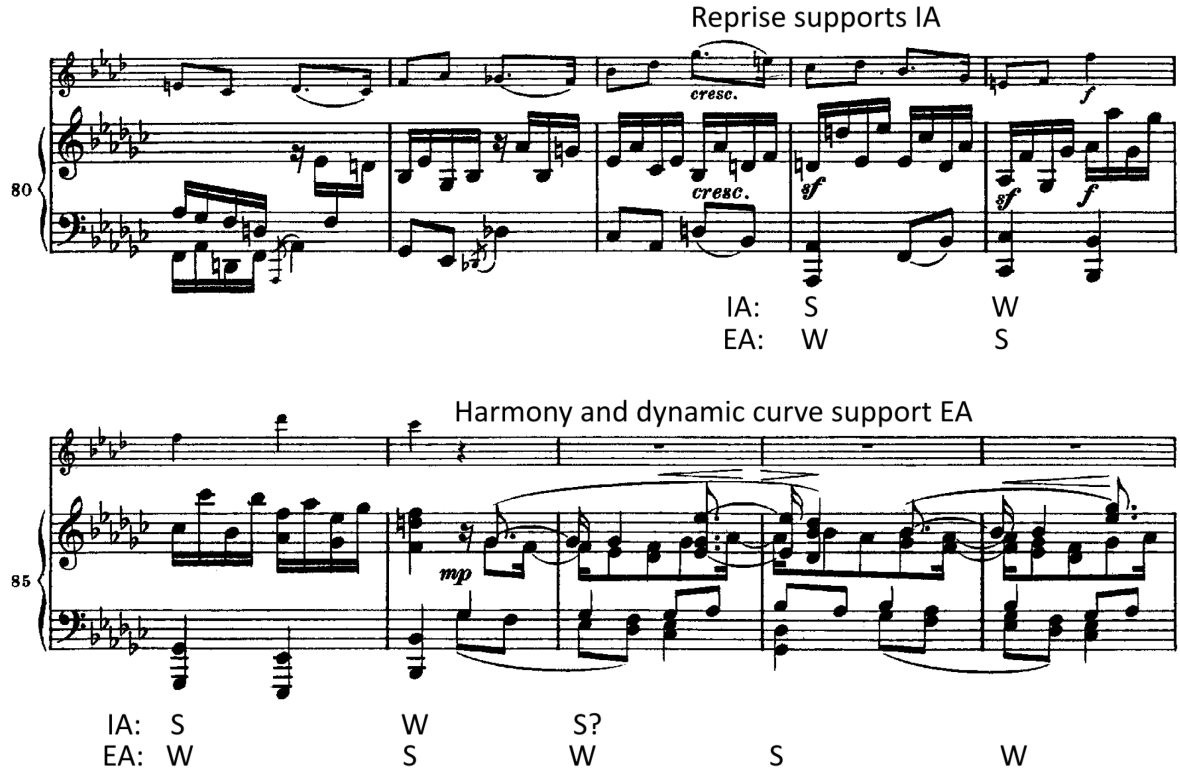
Example 7.31 Bars 56–59, the opening of the fourth variation.



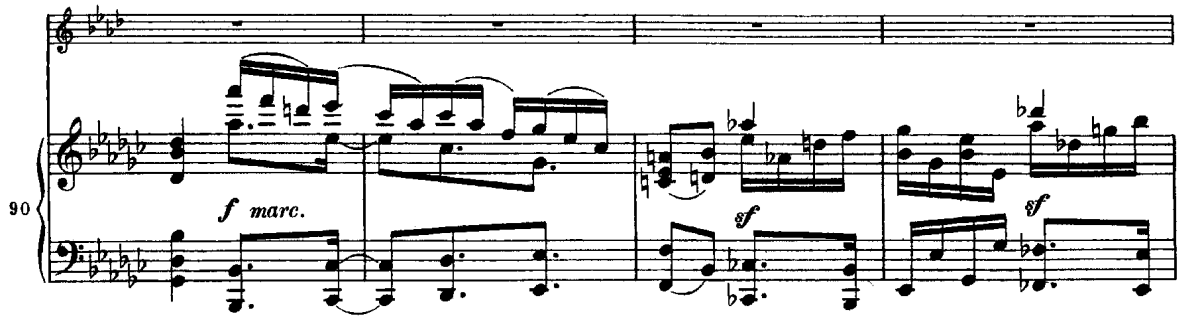
Example 7.32 Bars 66–70, the end of the fourth variation.



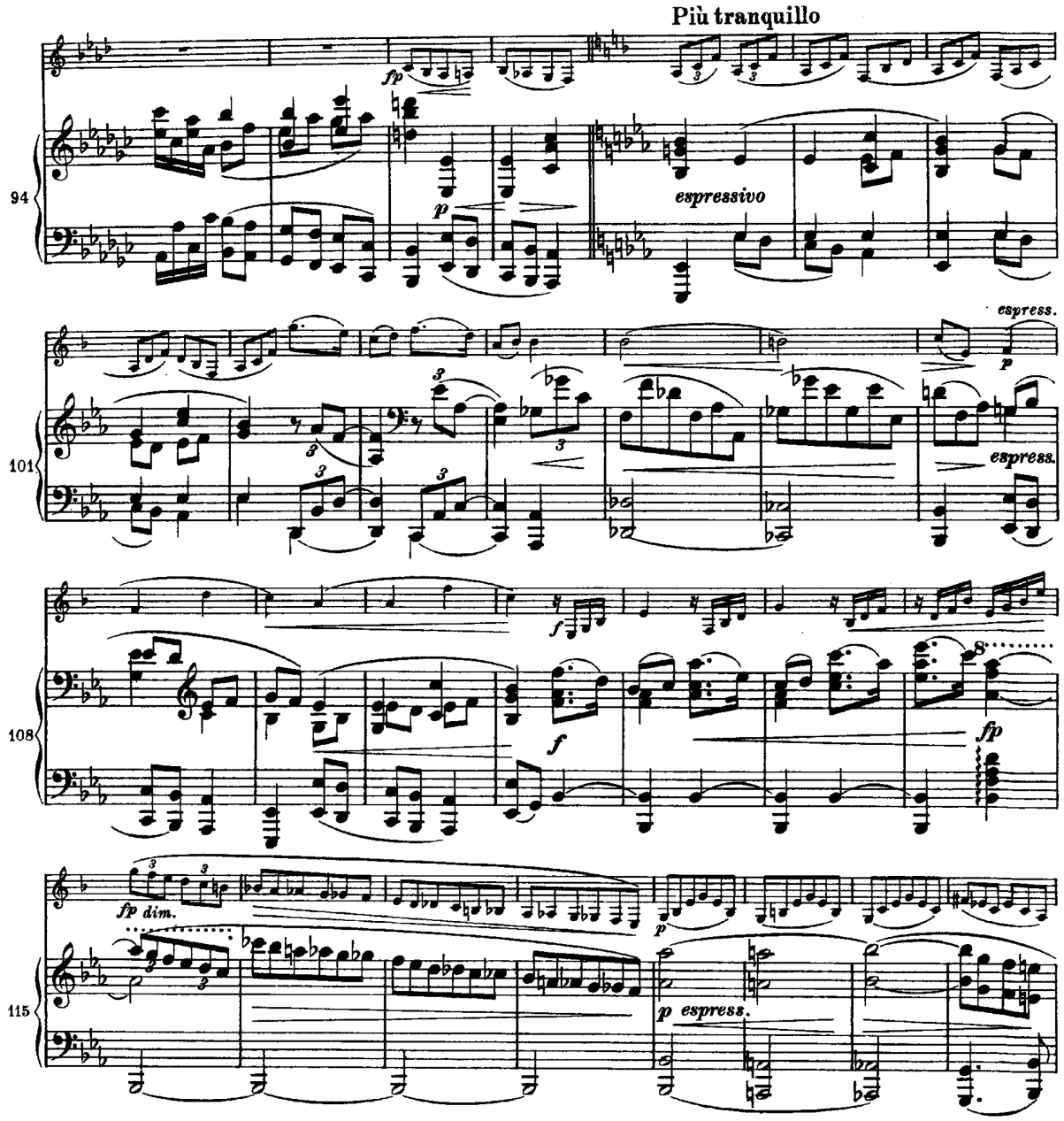
Example 7.33 Bars 70–79, the beginning of the fifth variation.



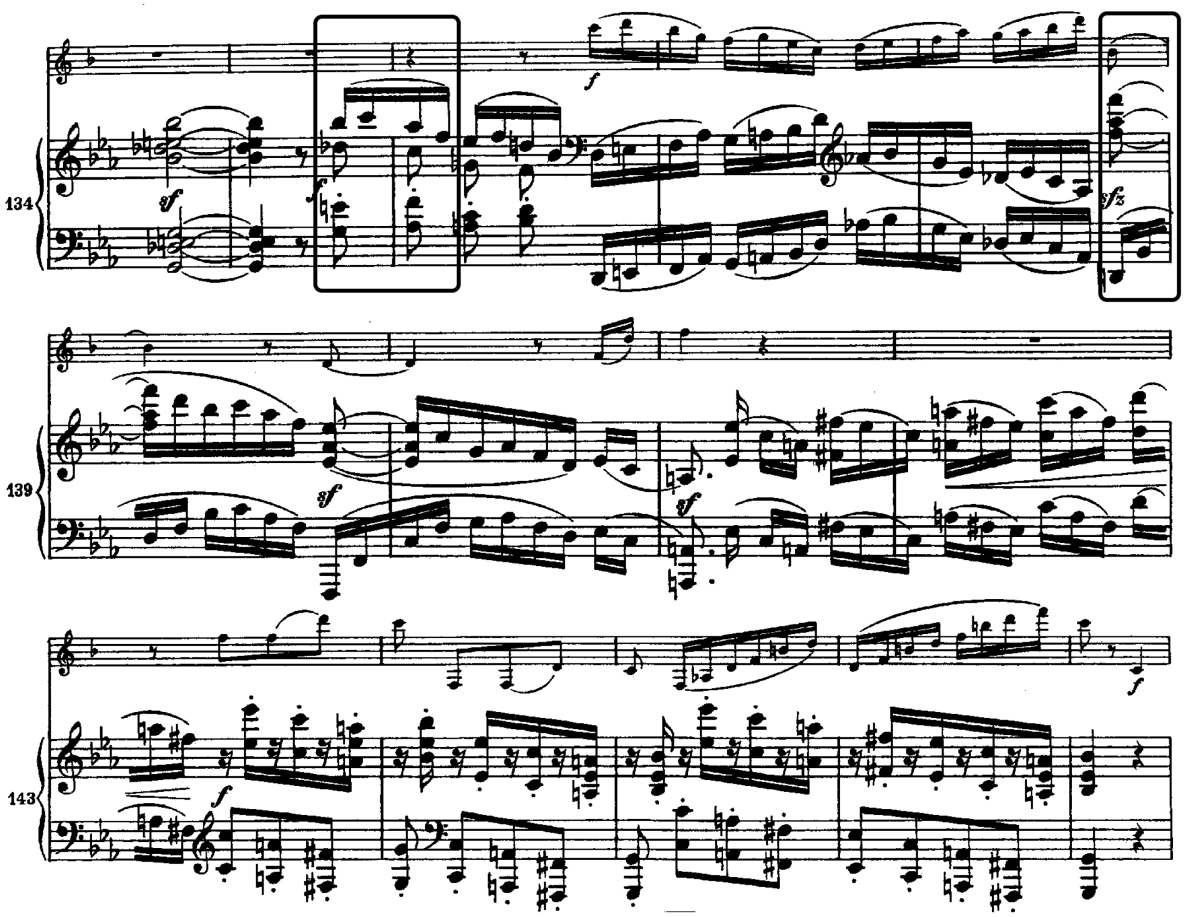
Example 7.34 Bars 80–89, with suggestions of hypermetric reorientation.



Example 7.35 Bars 90–93, likely to suspend hypermetre.

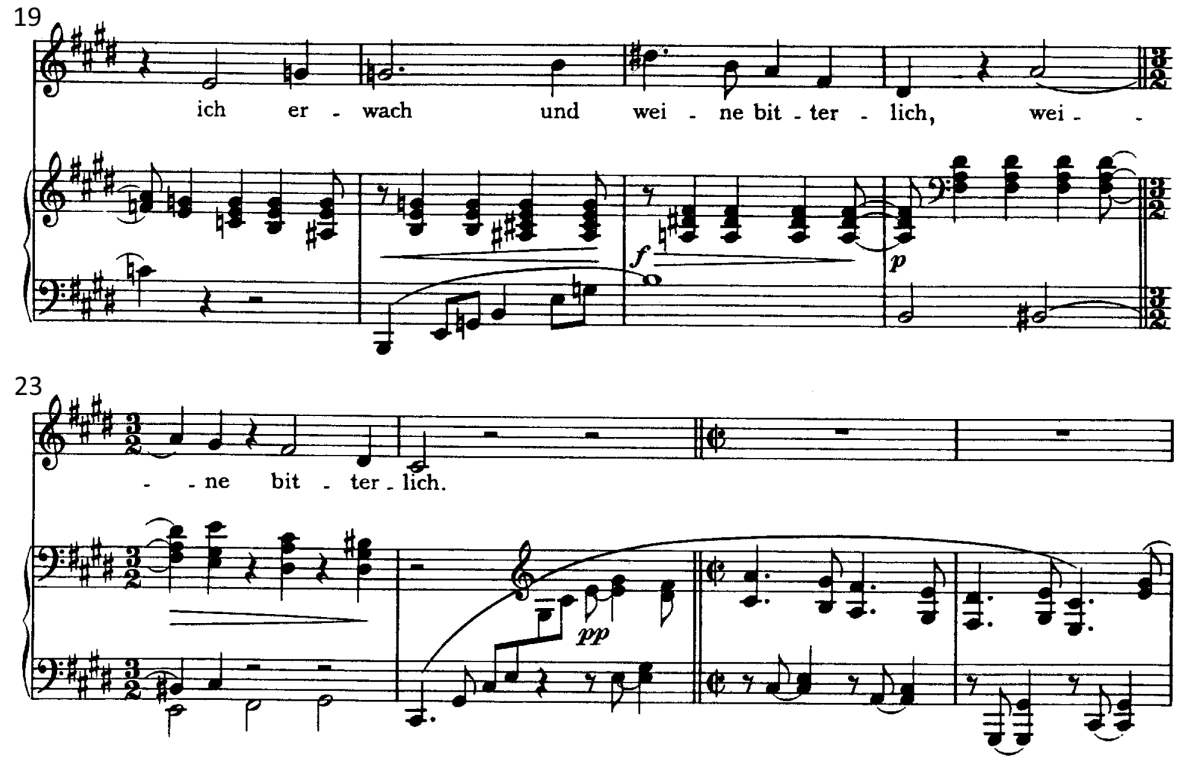


Example 7.36 Bars 94–122. The coda begins at bar 98, and several patches of hypermetric instability and probable reorientation follow.

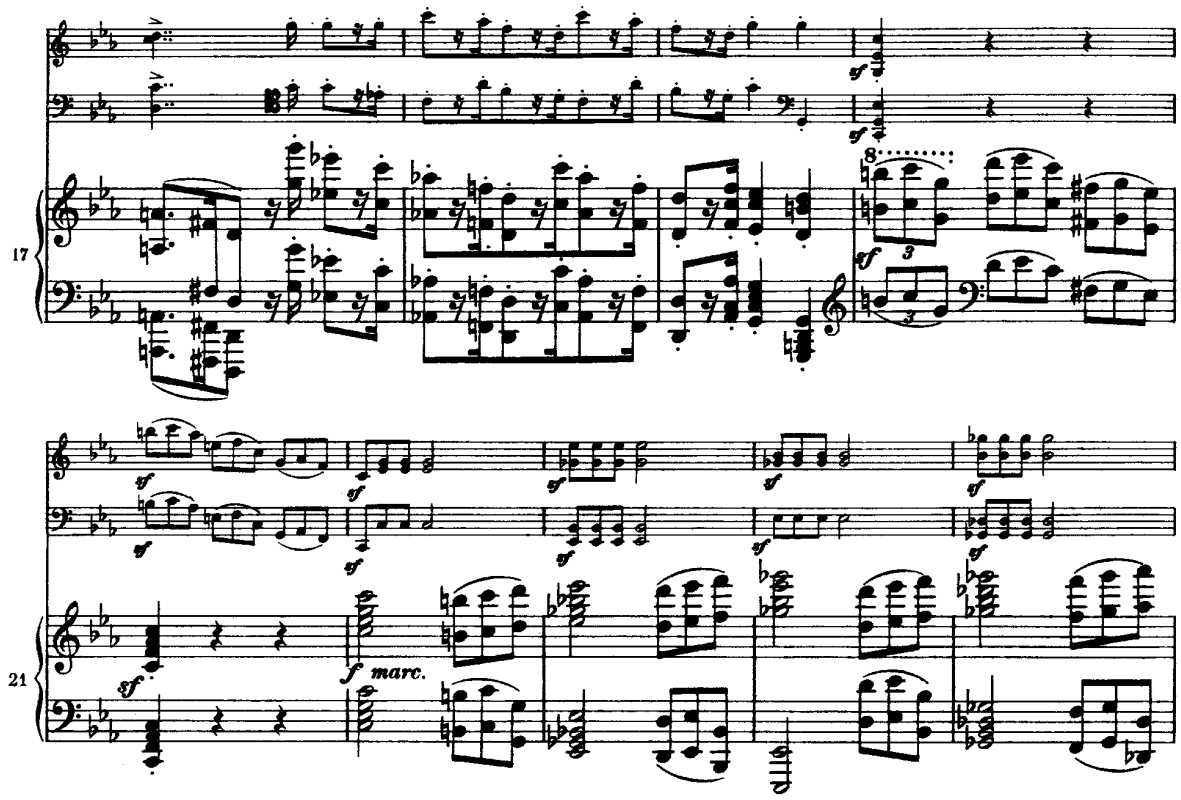


Example 7.37 Bars 134–147, a part of the closing passage where the upbeat displacement is intensified.

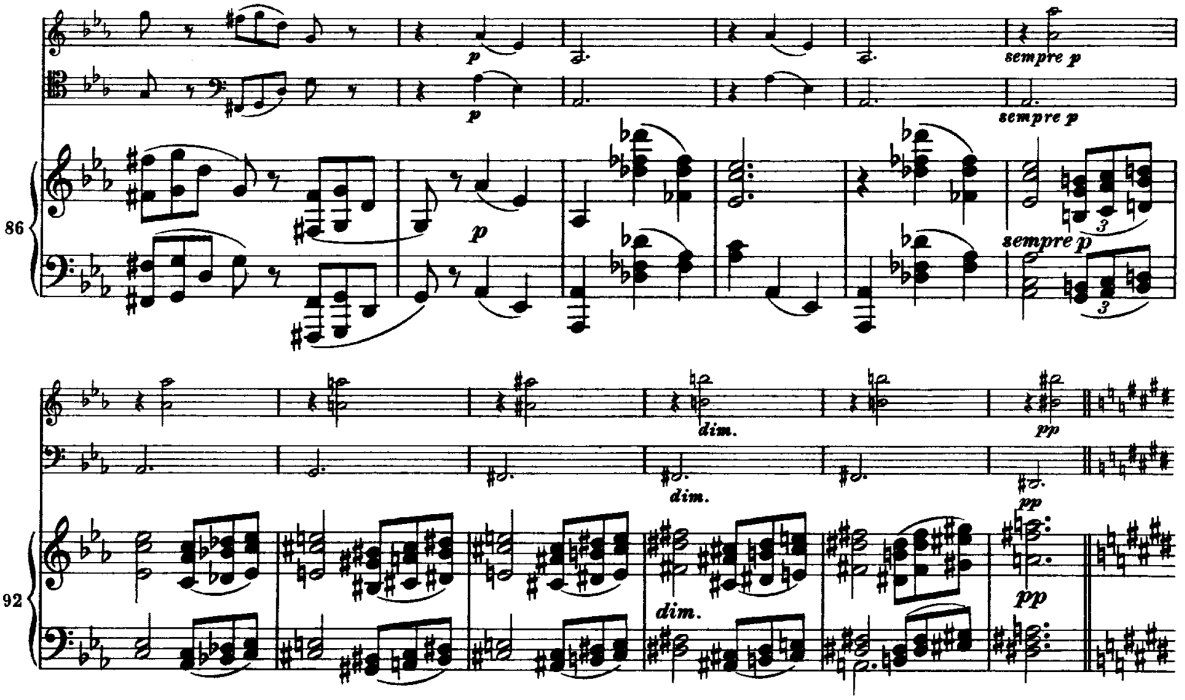
Chapter 8 'Concise yet expansive': The tragic metrical narrative of the Op. 101 Piano Trio

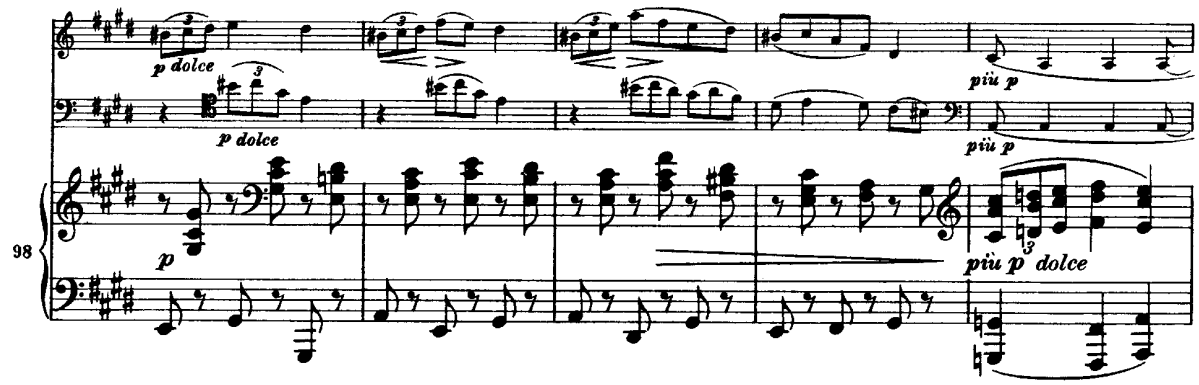


Example 8.1 Op. 105/ii, 'Immer leiser', bars 19–26 (time signature starts ¢).

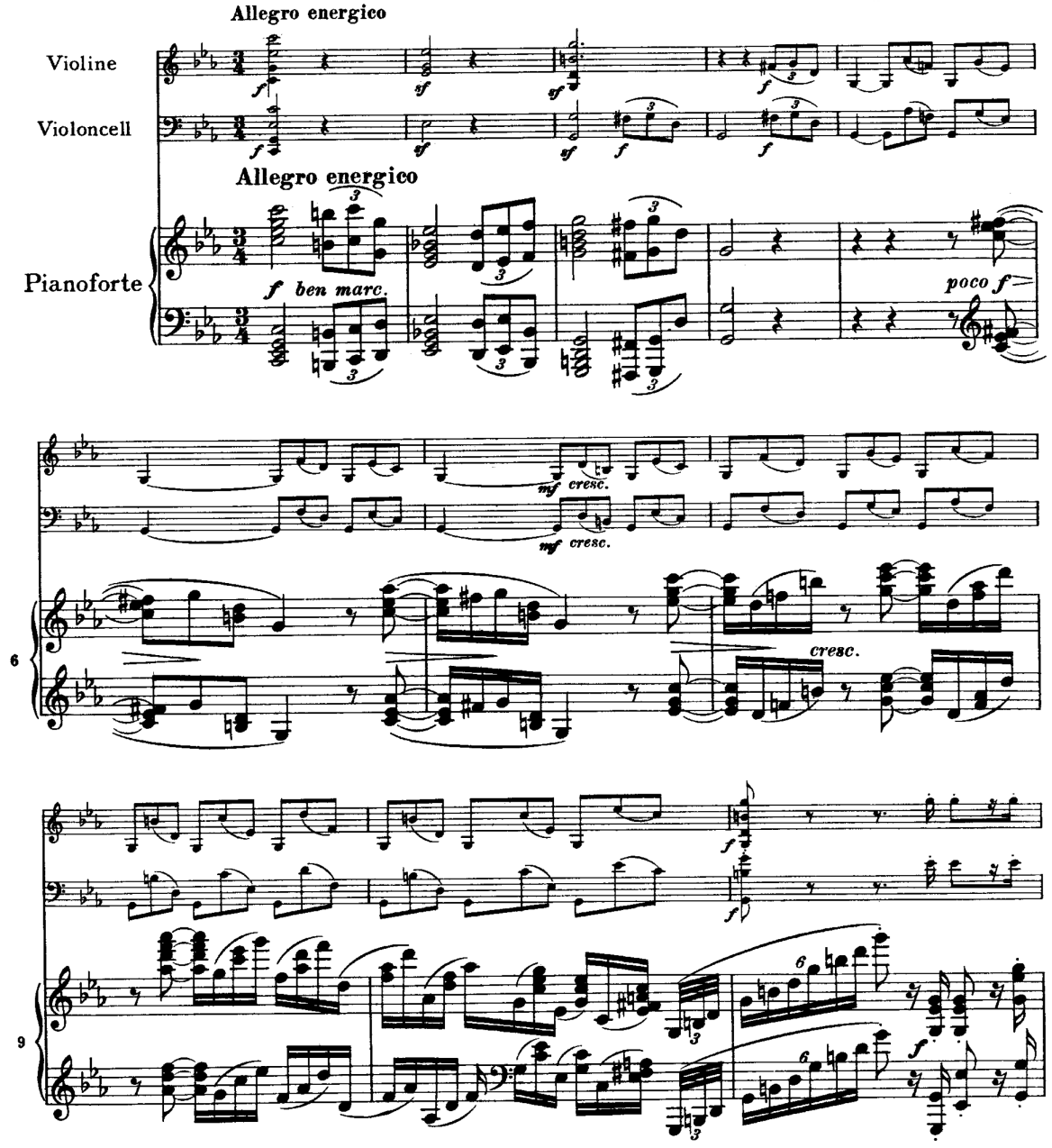


Example 8.2 Op. 101/i, bars 17–25, with a false reprise at bar 20 and a true reprise at bar 22 (time signature 3/4).

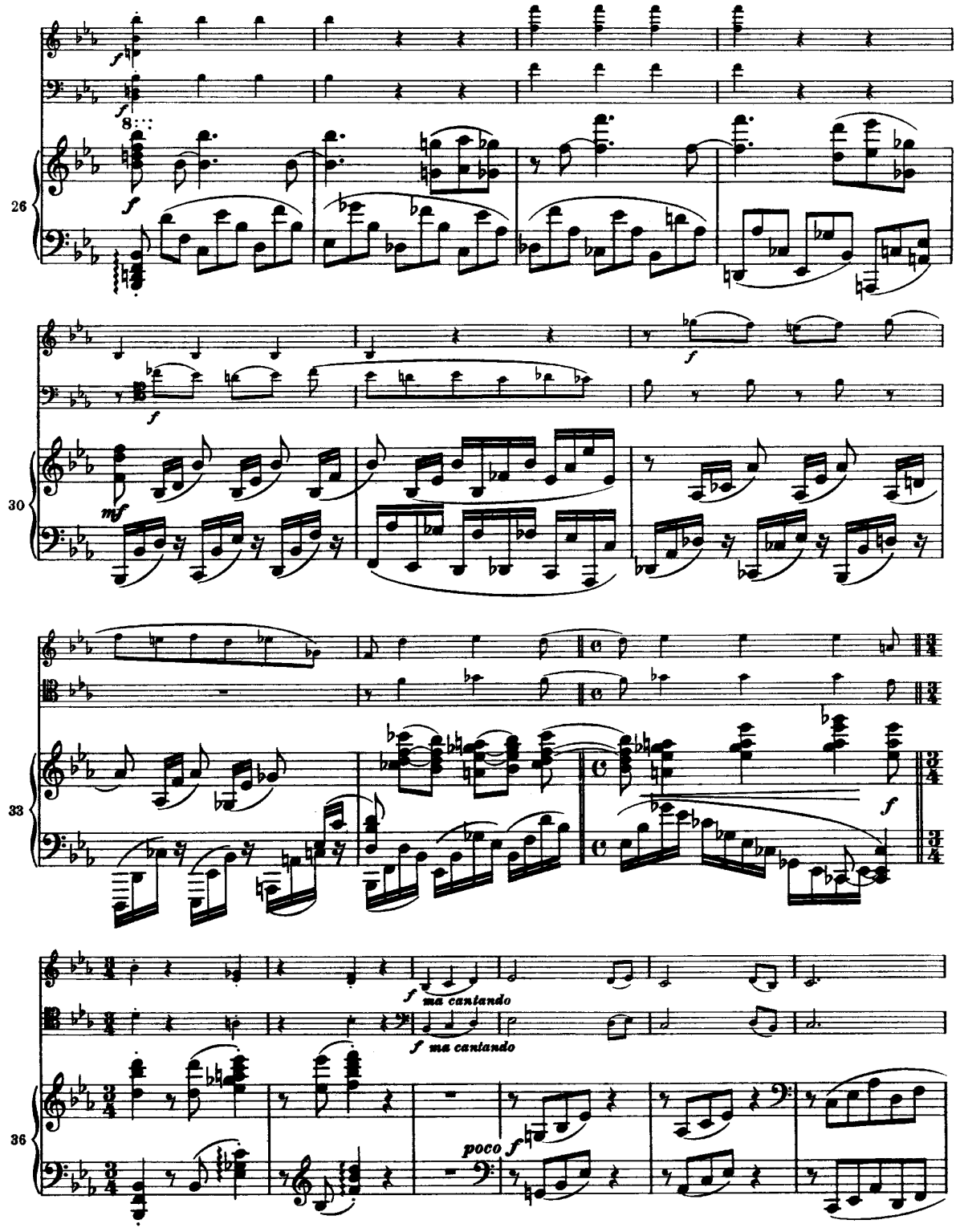




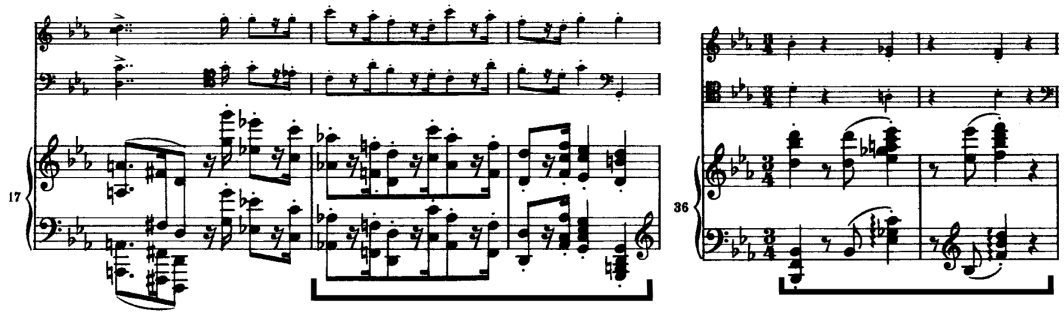
Example 8.3 Op. 101/i, bars 86–97 (time signature 3/4).



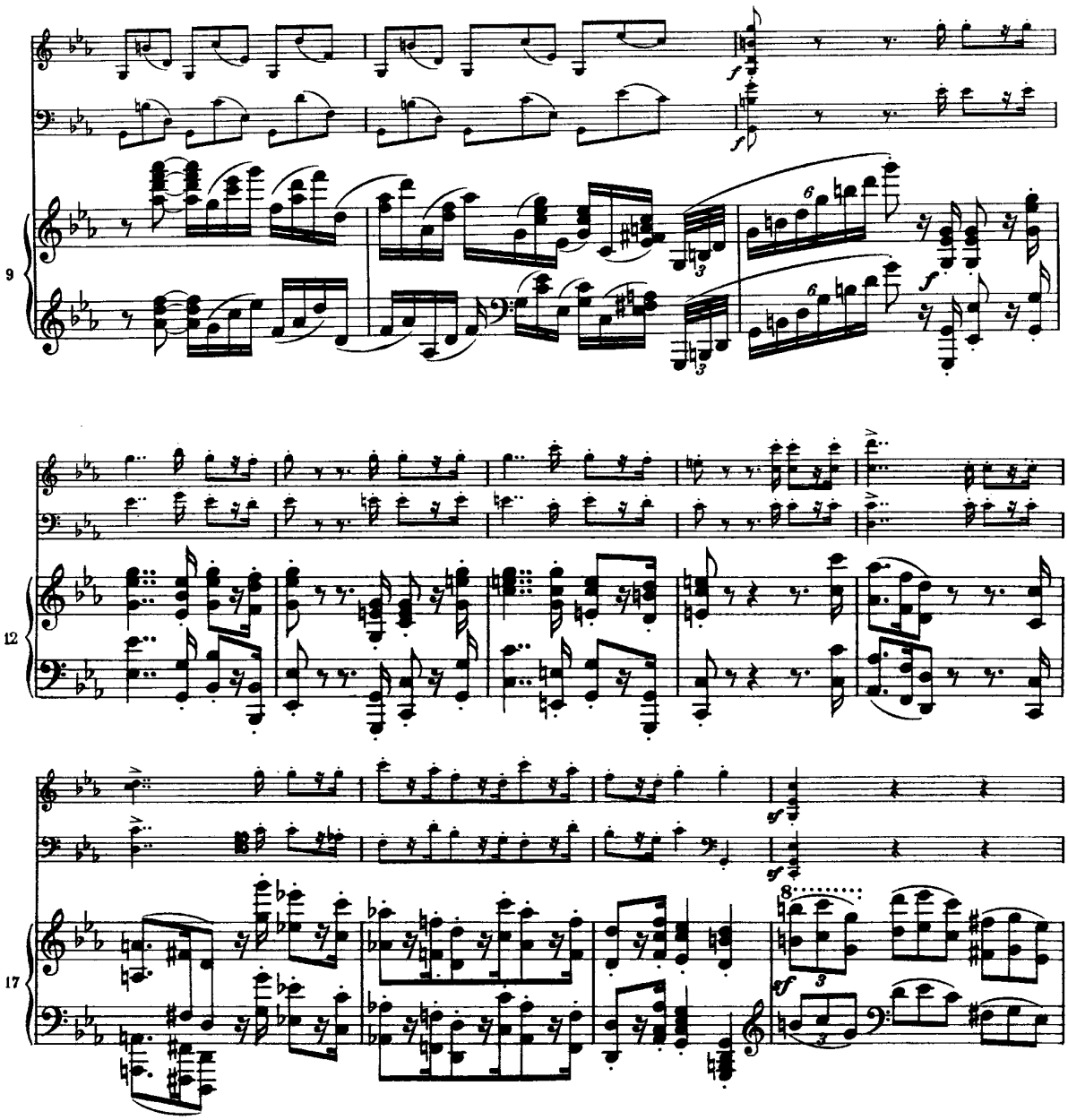
Example 8.4 Op. 101/i, bars 1–11.



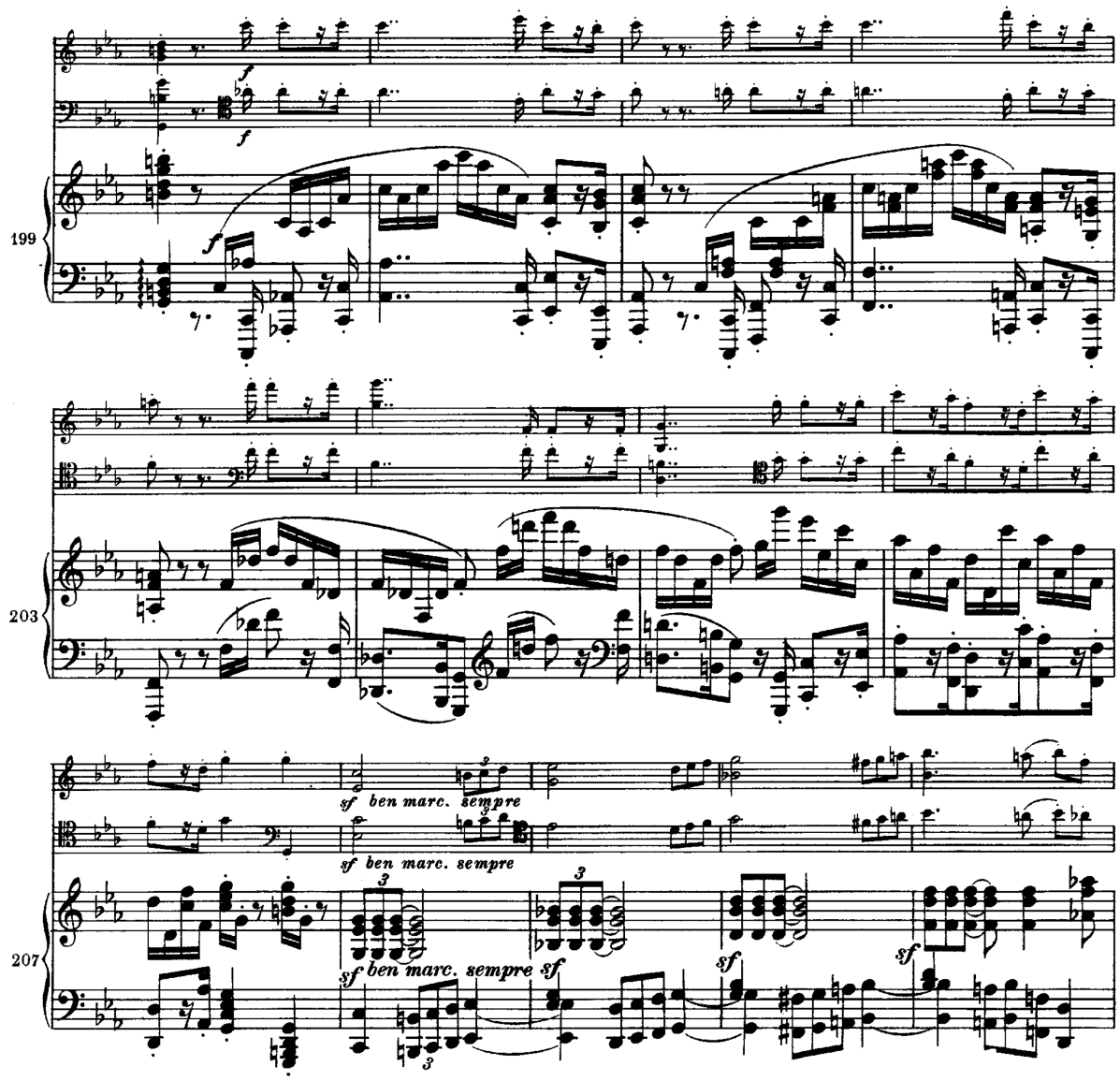
Example 8.5 Op. 101/i, bars 26–41.



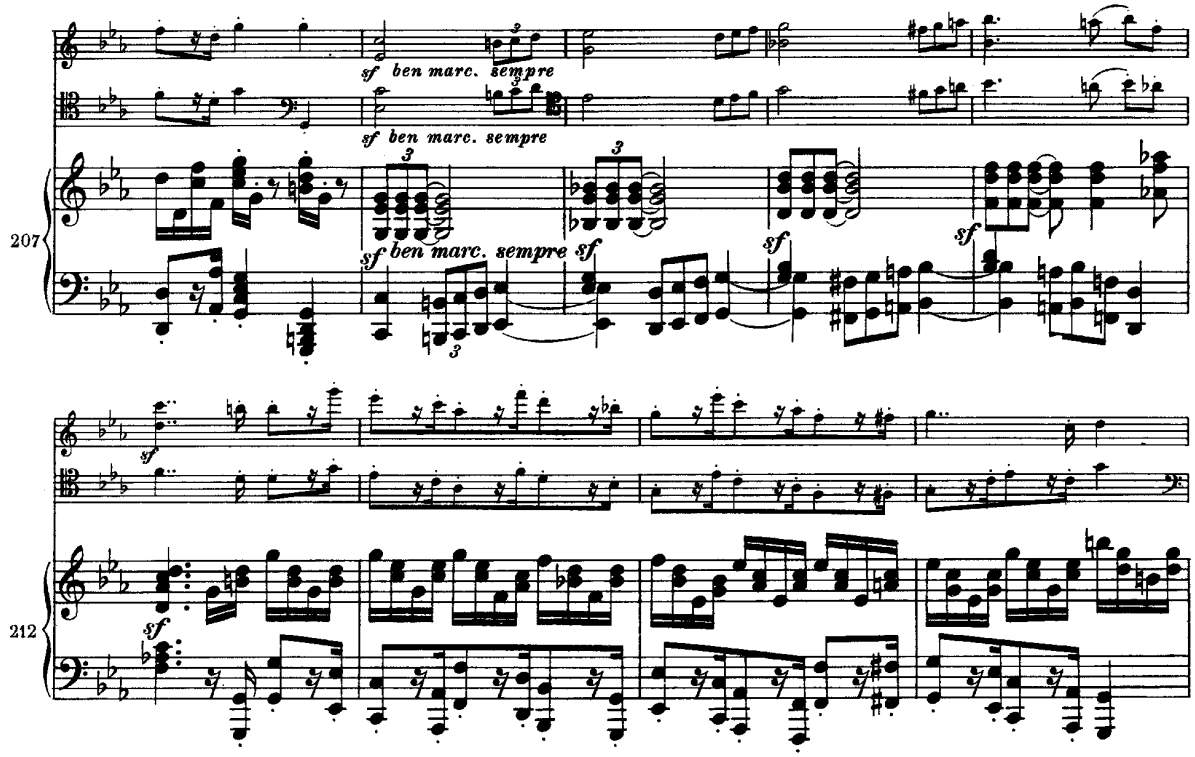
Example 8.6 Bars 17–19 and 36–37, the first appearances of the two main hemiolas within the movement ('descent' and 'ascent').



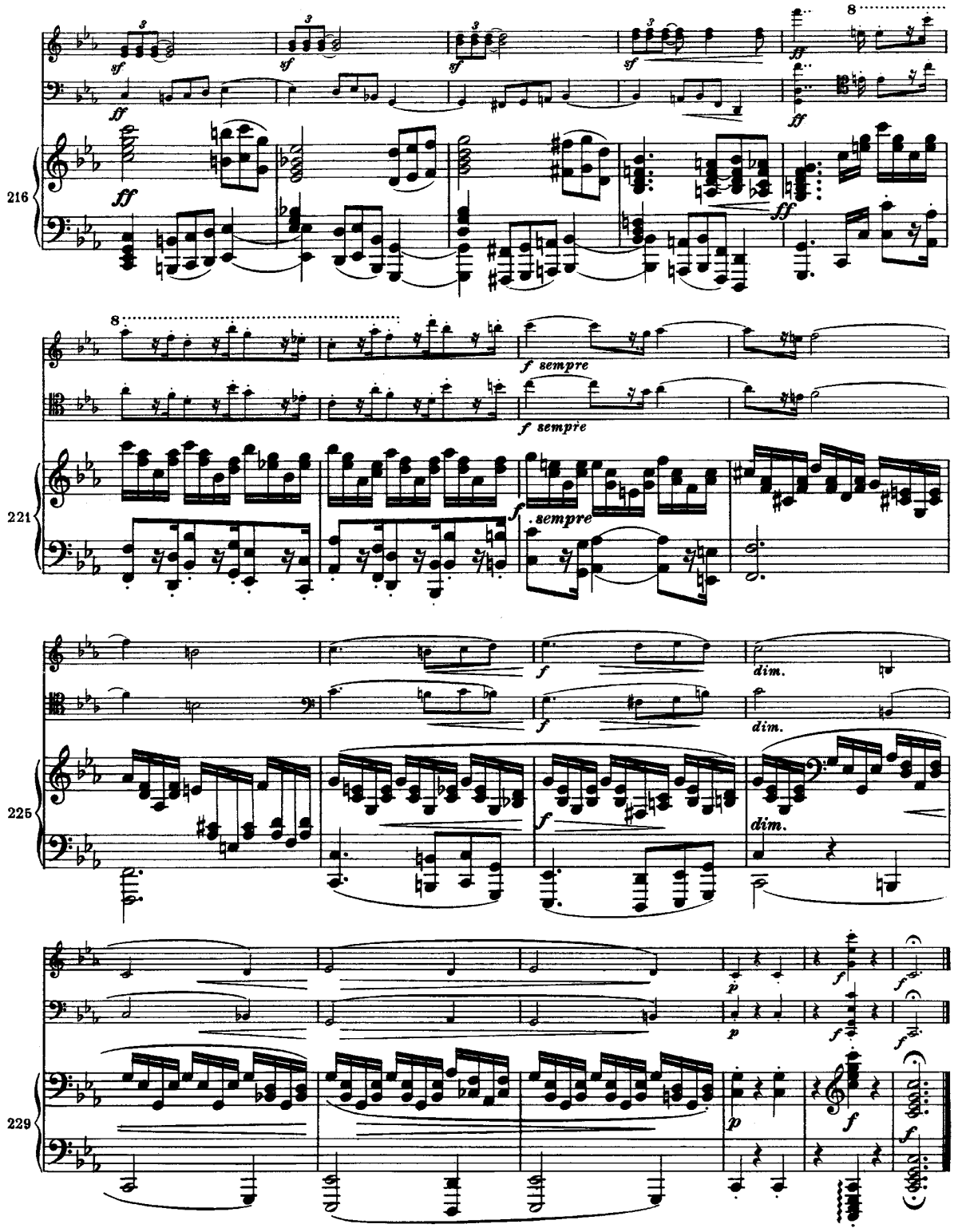
Example 8.7 Op. 101/i, bars 9–20, showing the first appearance of the descent hemiola in bars 18–19.



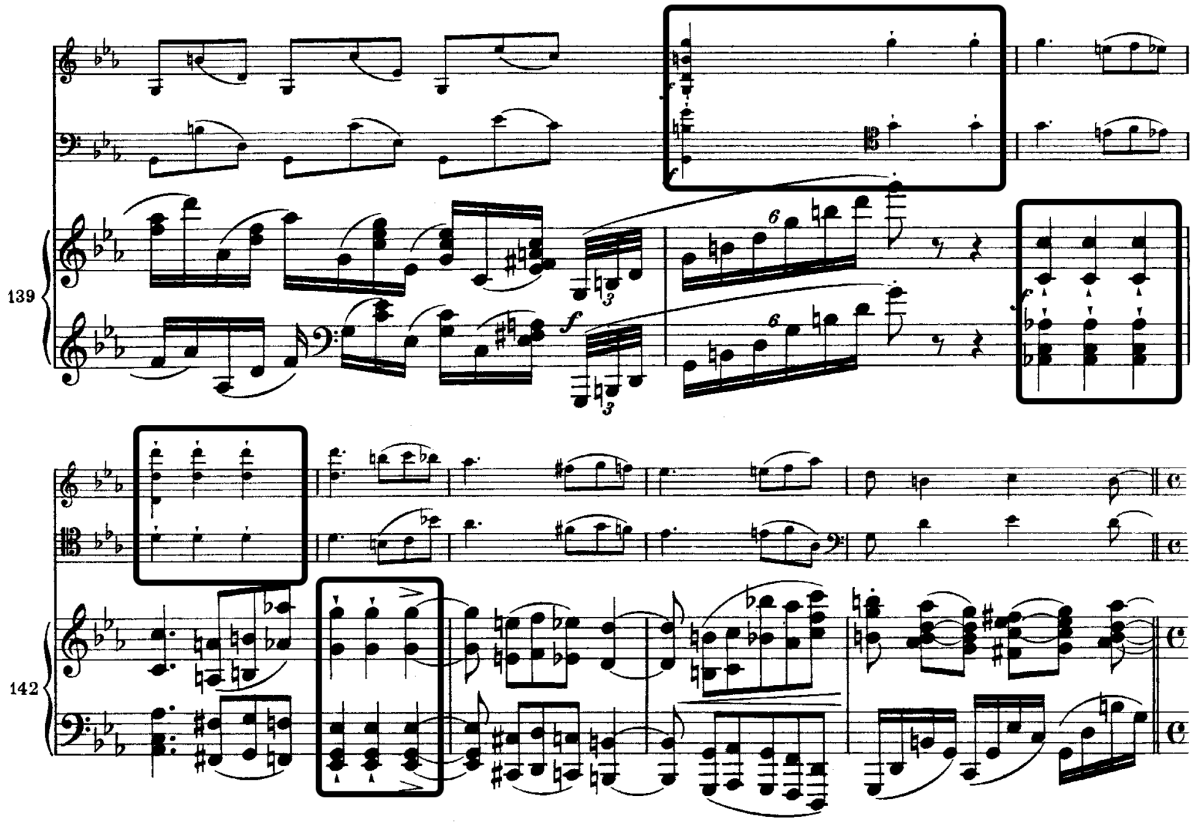
Example 8.8 Bars 199–211.



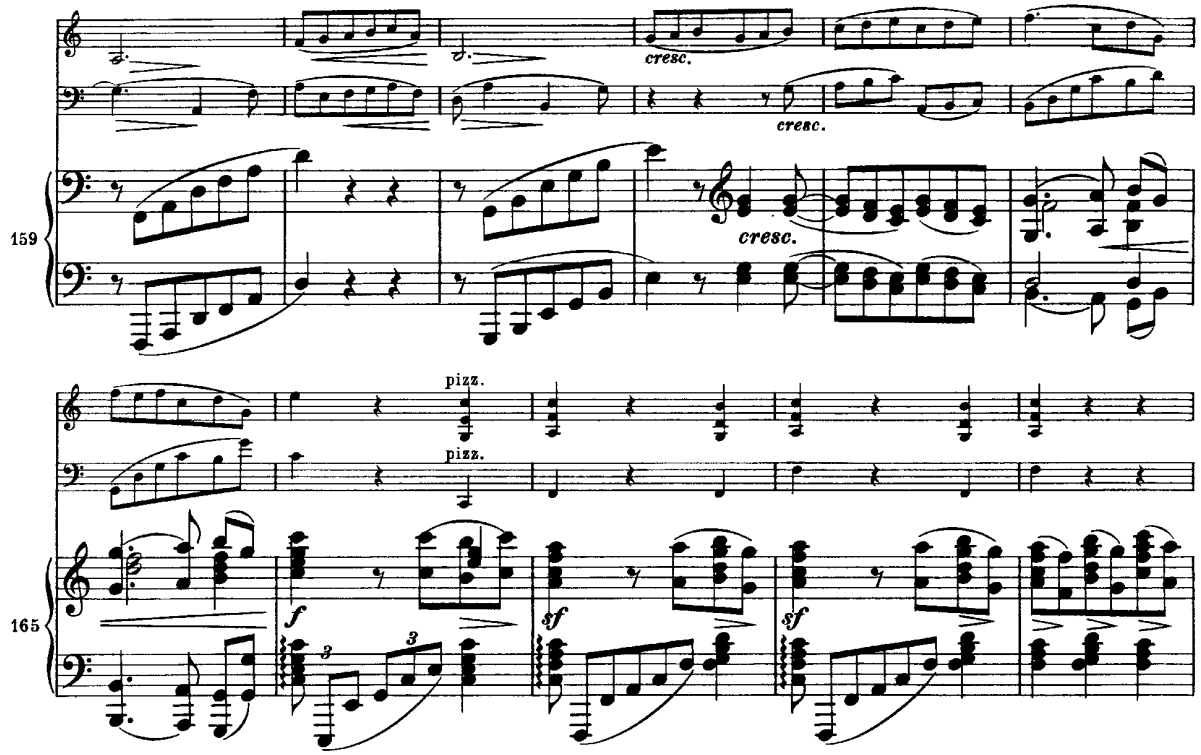
Example 8.9 Bars 207–215 (time signature 3/4).



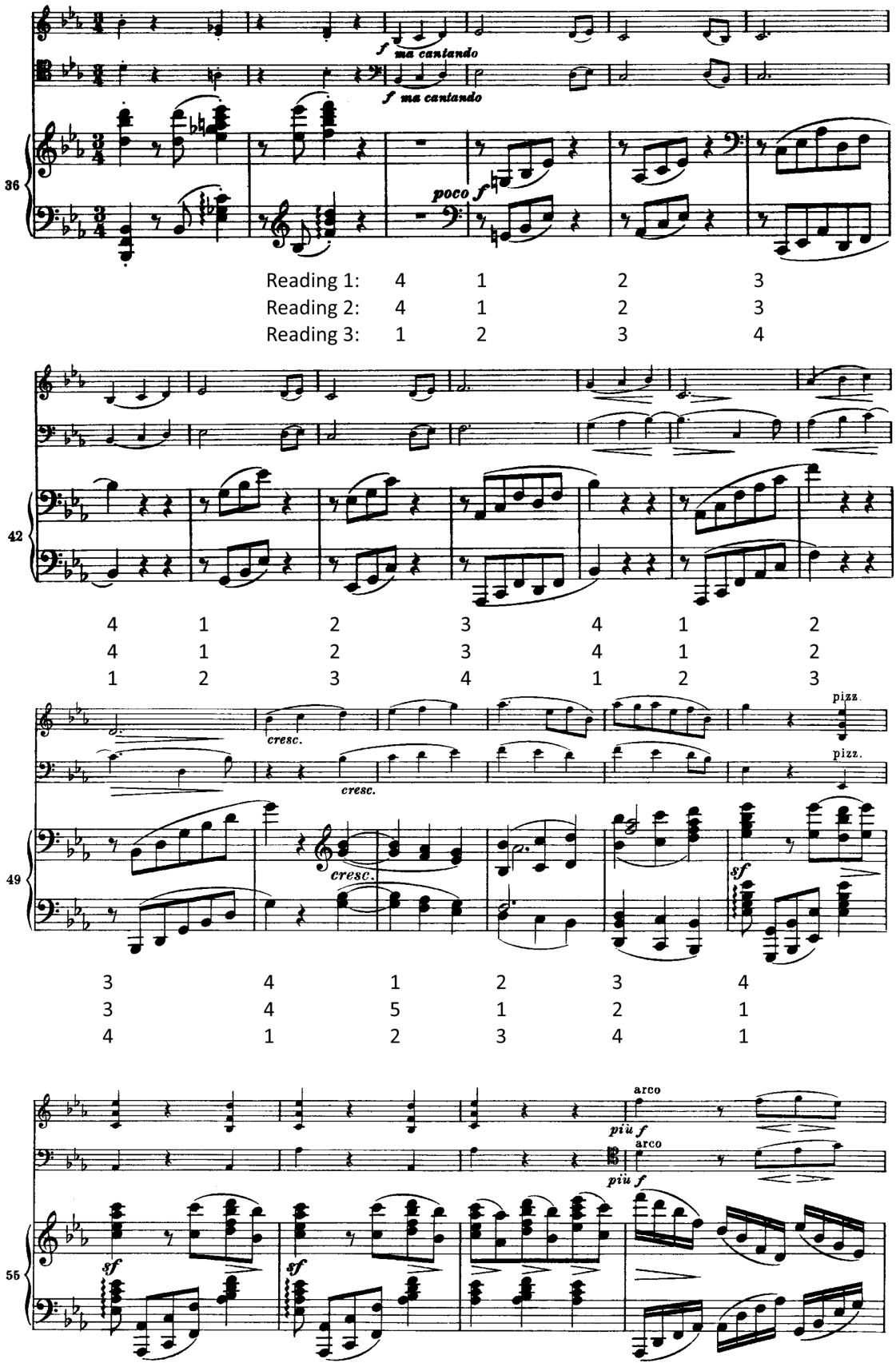
Example 8.10 Bars 216–234 (end) (time signature 3/4).



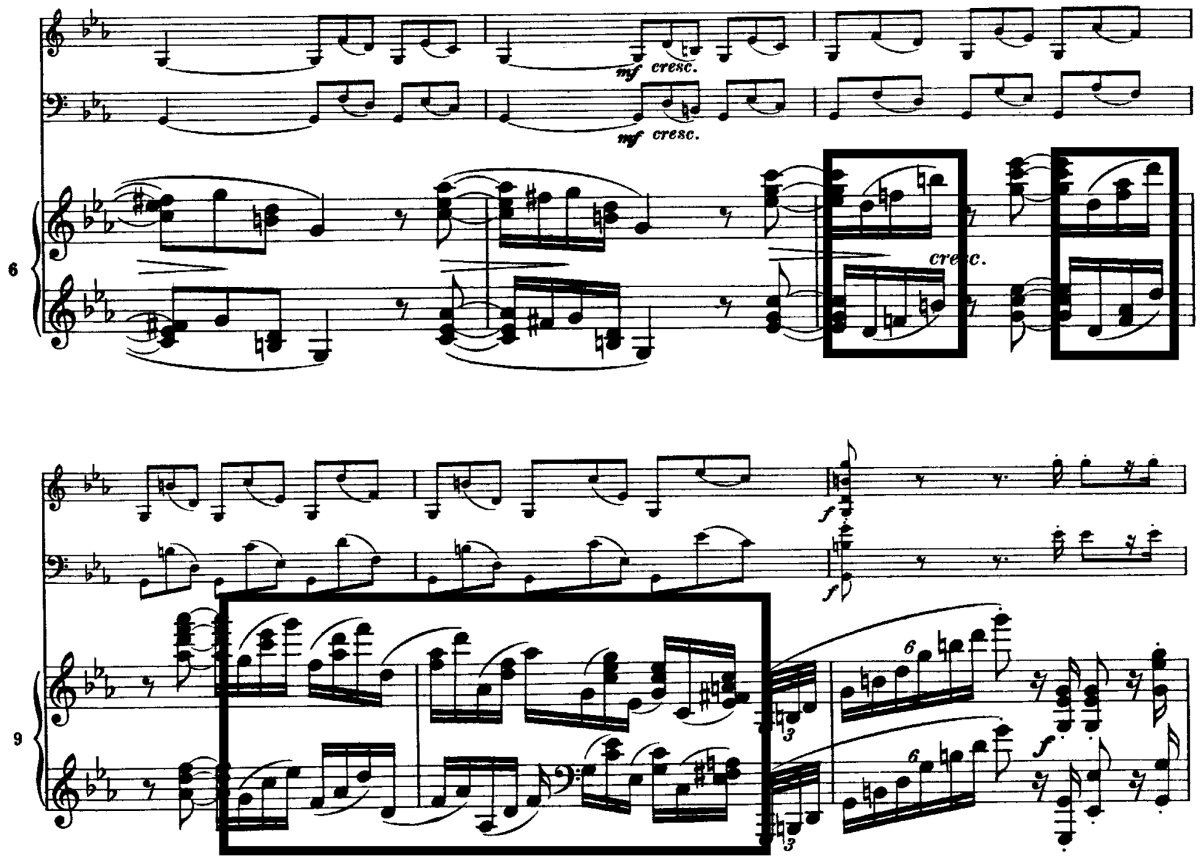
Example 8.11 Bars 139–146 (time signature 3/4).



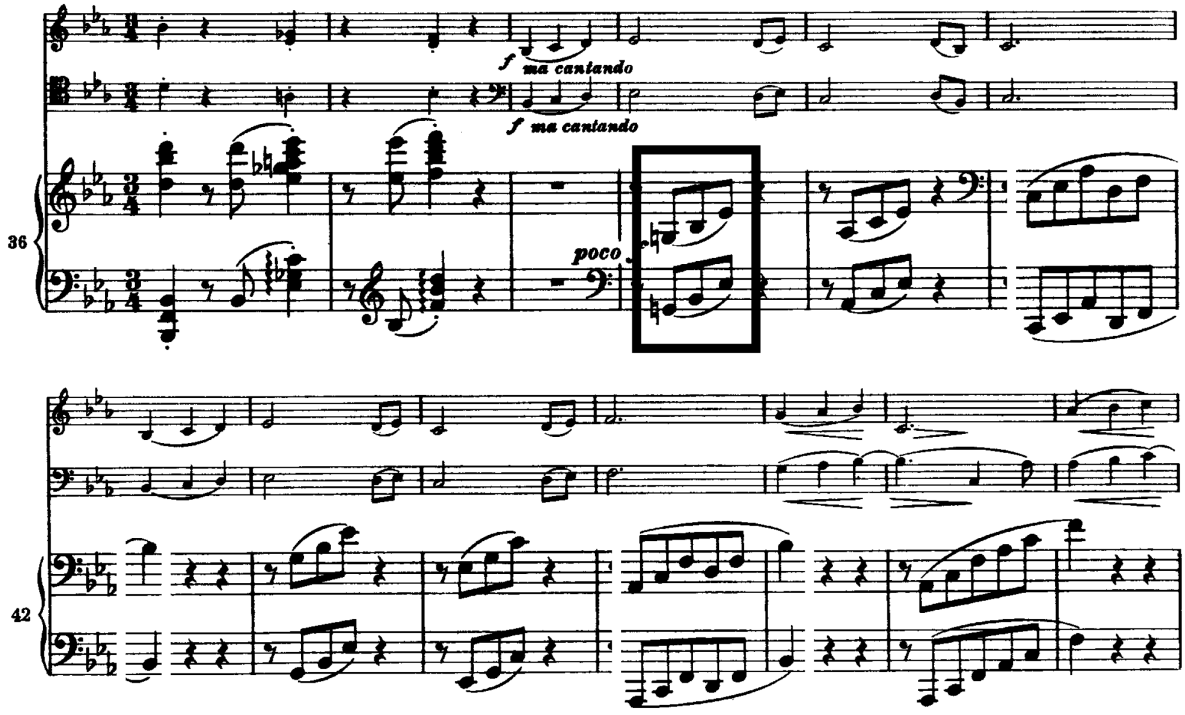
Example 8.12 Bars 159–169 (time signature 3/4).



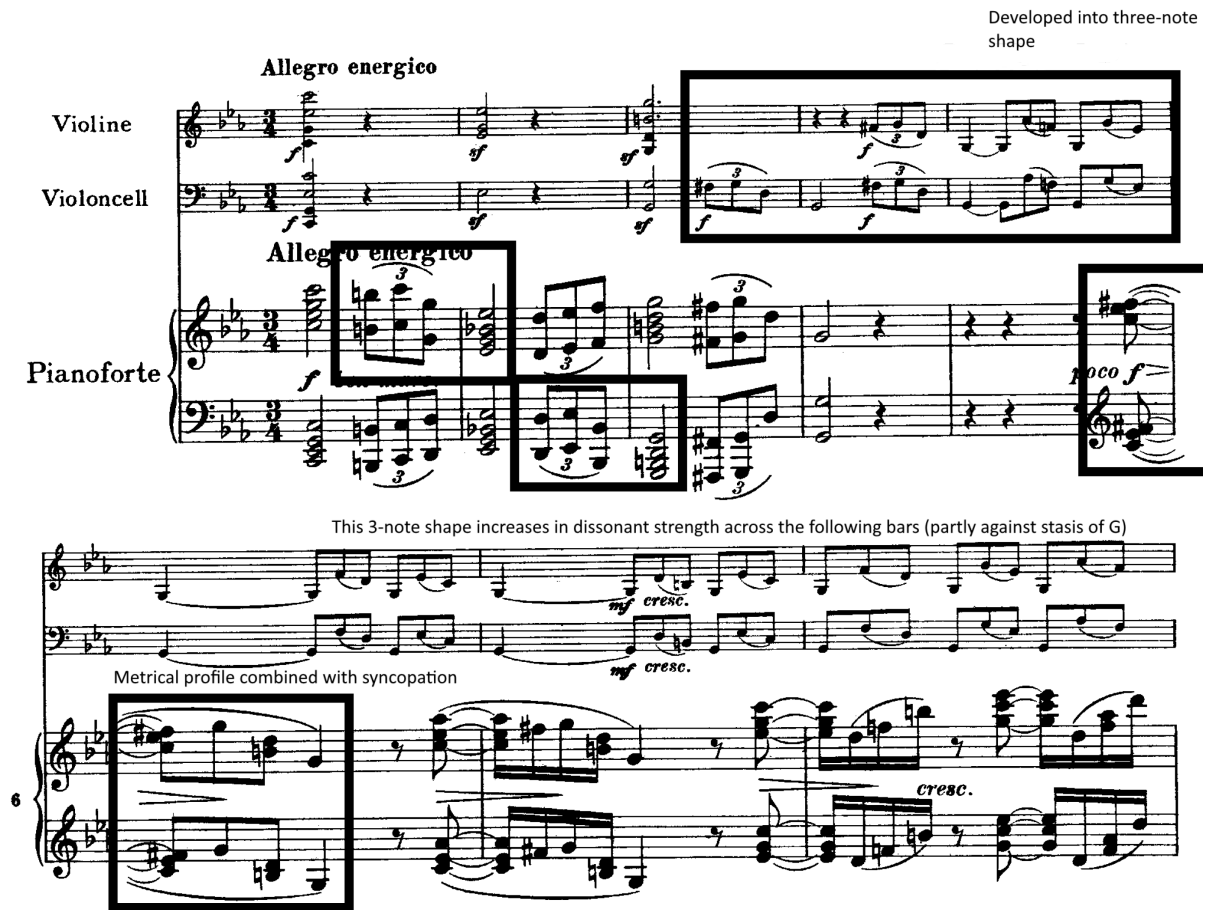
Example 8.13 Bars 36–58 (time signature 3/4).



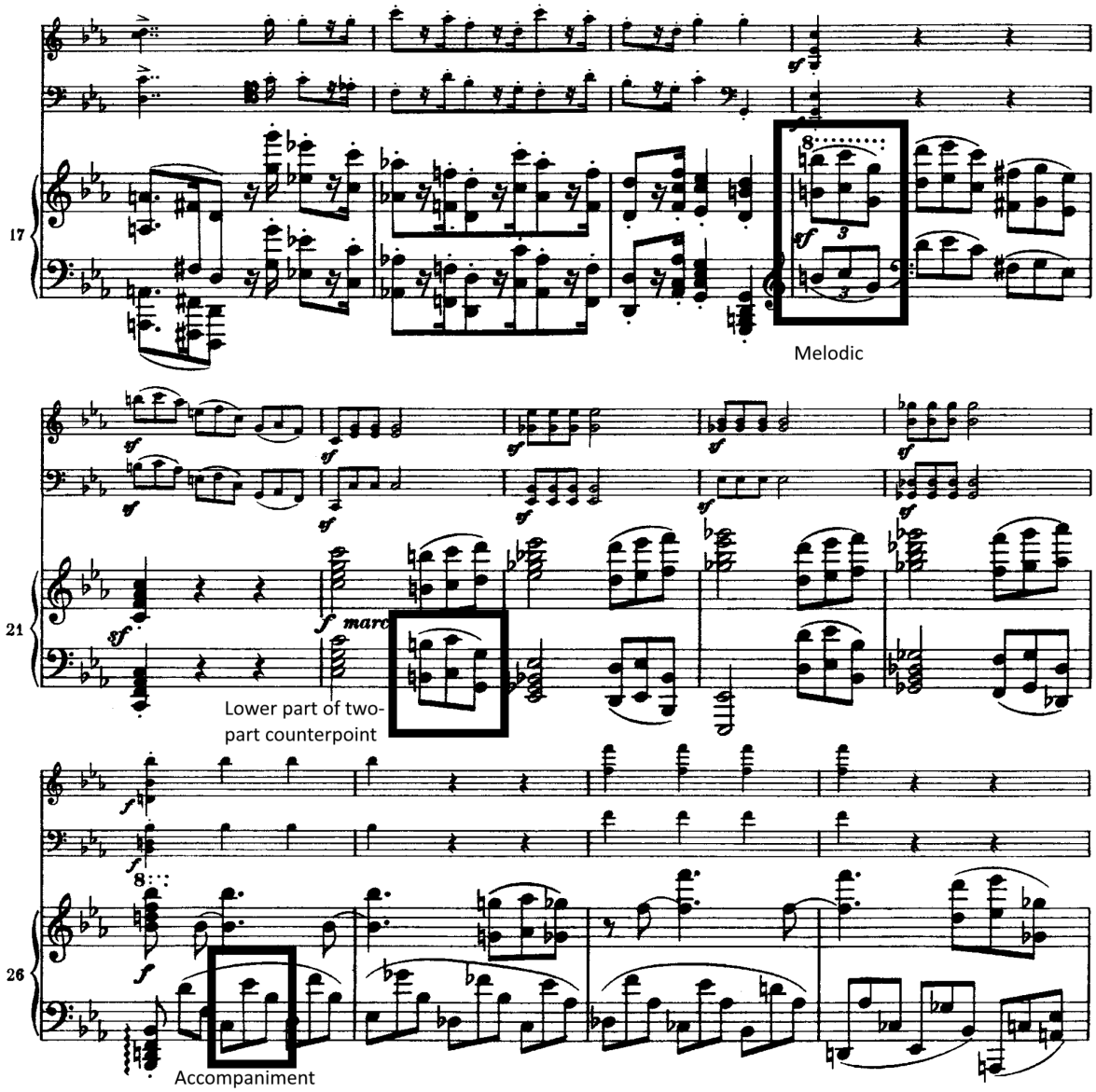
Example 8.14 Bars 6–11, showing the upward three-note shape and associated contour accents in fragmentation (time signature 3/4).



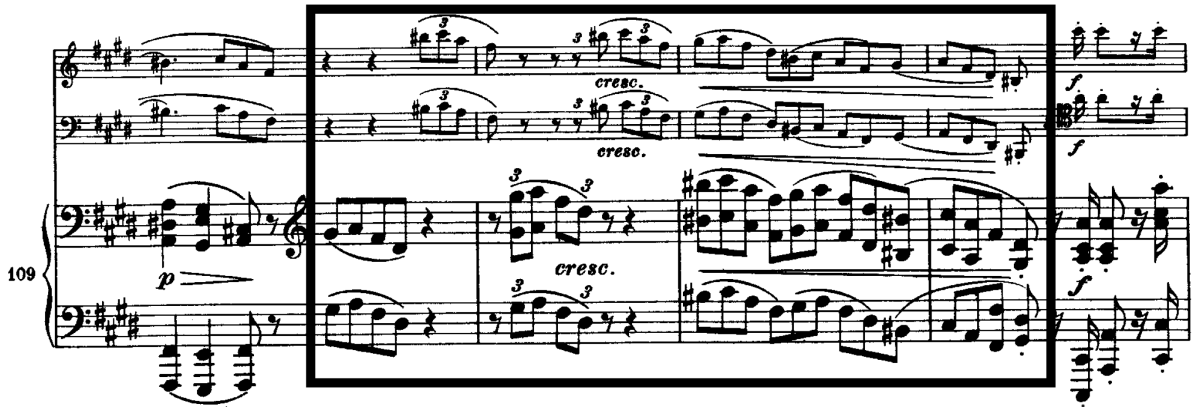
Example 8.15 Bars 36–48, showing the upward shape creating linkage from the primary theme.



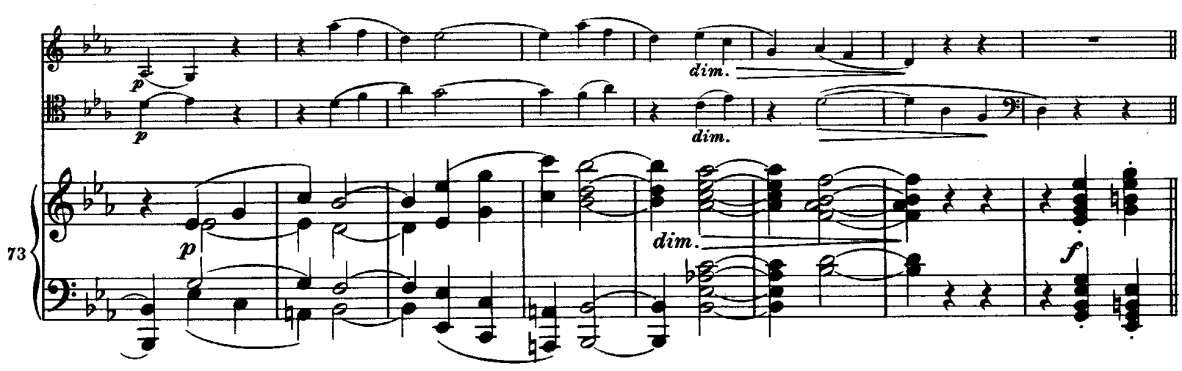
Example 8.16 Bars 1–8, showing fragmentation and dissonance change of the downward shape.



Example 8.17 Bars 17–29, showing the downward shape providing linkage through metrical dissonance, in changing roles.



Example 8.18 Bars 109–113; Brahms exploits the shape's potential for complex grouping dissonance.



Example 8.19 Bars 73–80; the two directions together creating full crotchet displacement (possibly subliminal dissonance).

Song texts and translations

The table is ordered by opus number. All translations (with minor amendments) are by Emily Ezust (who holds the copyright), and are hosted at the LiederNet Archive: *http://www.lieder.net*

'Während des Regens', Op. 58/ii

Voller, dichter tropft um's Dach da,
Tropfen süßer Regengüsse;
Meines Liebchens holde Küsse,
Mehren sich, je mehr ihr tropfet!
Tropft ihr, darf ich sie umfassen,
Laßt ihr's, will sie mich entlassen,
Himmel, werde nur nicht lichter,
Tropfen, tropfet immer dichter!

Drip more fully, more heavily on that roof there,
You drops of sweet rainshowers!
My darling's tender kisses
Increase the more you drip!
As you drip, I am permitted to embrace her;
If you stop, she'll leave me.
Sky, do not become lighter,
Drops, drip even more heavily!

'Frühlingstrost', Op. 63/i

Es weht um mich Narzissenduft
Es spricht zu mir die Frühlingsluft:
Geliebter,
Erwach im roten Morgenglanz,
Dein harrt ein blütenreicher Kranz,
Betrübter!

The fragrance of narcissus wafts about me;
It speaks to me, the spring air:
Beloved,
Awaken in the red glow of morning;
Awaiting you is a wreath rich in blossoms,
Sad man!

Nur mußt du kämpfen drum und tun
Und länger nicht in Träumen ruhn;
Laß schwinden!
Komm, Lieber, komm aufs Feld hinaus,
Du wirst im grünen Blätterhaus
Ihn finden.

Only you must struggle for it, and act,
And no longer repose in dreams;
Let them fade!
Come, my love, come out to the field,
In the green house of leaves
You will find it.

Wir sind dir alle wohlgesinnt,
Du armes, liebebanges Kind,
Wir Düfte;
Warst immer treu uns Spielgesell,
Drum dienen willig dir und schnell
Die Lüfte.

We are all well-disposed toward you,
You poor, love-timid child,
We fragrances;
You were always a true playmate to us,
And for that we serve you willingly and quickly,
We fragrances.

Zur Liebsten tragen wir dein Ach
Und kränzen ihr das Schlafgemach
Mit Blüten.
Wir wollen, wenn du von ihr gehst
Und einsam dann und traurig stehst,
Sie hüten.

To your beloved we carry your "Alas!",
And we wreathe her bedroom
With blossoms.
We will, when you go from her
And stand alone, then, and mournful,
Watch over her.

Erwach im morgenroten Glanz,
Schon harret dein der Myrtenkranz,
Geliebter!
Der Frühling kündet gute Mär',
Und nun kein Ach, kein Weinen mehr,
Betrübter!

Awaken in the morning-red glow;
Already awaits your myrtle wreath,
Beloved!
Spring announces good tidings,
And now no "Alas!", no more weeping,
Sad man!

'Junge Lieder: II', Op. 63/vi

Wenn um den Hollunder der Abendwind kost
Und der Falter um den Jasminenstrauch,
Dann kos' ich mit meinem Liebchen auch
Auf der Steinbank schattig und weich bemoost.

Und wenn vom Dorfe die Glocke erschallt
Und der Lerche jubelndes Abendgebet,
Dann schweigen wir auch, und die Seele zergeht
Vor der Liebe heiliger Gottesgewalt.

Und blickt dann vom Himmel der Sterne Schar
Und das Glühwürmchen in der Lilie Schoß,
Dann lasse ich sie aus den Armen los
Und küsse ihr scheidend das Augenpaar.

When the evening wind caresses the elder tree
And the moth the jasmine branch,
Then I caress my sweetheart as well,
On the stone bench, shadowy and soft with moss.

And when the bells resound from the village
And the lark's jubilant evening prayer,
Then we fall silent and our souls dissolve
From Love's sacred, divine power.

And then from the heavens gaze a host of stars,
And the glow-worms appear in the lily's lap;
Then I let my arms fall,
And kiss her two eyes as we part.

'Heimweh: II', Op. 63/viii

O wüßt ich doch den Weg zurück,
Den lieben Weg zum Kinderland!
O warum sucht' ich nach dem Glück
Und ließ der Mutter Hand?

O wie mich sehnet auszuruhn,
Von keinem Streben aufgeweckt,
Die müden Augen zuzutun,
Von Liebe sanft bedeckt!

Und nichts zu forschen, nichts zu spähn,
Und nur zu träumen leicht und lind;
Der Zeiten Wandel nicht zu sehn,
Zum zweiten Mal ein Kind!

O zeig mir doch den Weg zurück,
Den lieben Weg zum Kinderland!
Vergebens such ich nach dem Glück,
Ringsum ist öder Strand!

Oh, if I only knew the road back,
The dear road to childhood's land!
Oh, why did I search for happiness
And leave my mother's hand?

Oh, how I long to be at rest,
Not to be awakened by anything,
To shut my weary eyes,
With love gently surrounding!

And nothing to search for, nothing to beware of,
Only dreams, sweet and mild;
Not to notice the changes of time,
To be once more a child!

Oh, do show me the road back,
The dear road to childhood's land!
In vain I search for happiness,
Around me naught but deserted beach and sand!

'An die Heimat', Op. 64/i

Heimat!
Wunderbar tönendes Wort!
Wie auf befiederten Schwingen
Ziehst du mein Herz zu dir fort,
Jubelnd, als müßt' ich den Gruß
Jeglicher Seele dir bringen,
Trag' ich zu dir meinen Fuß,
Freundliche Heimat!

Heimat!
Bei dem sanftklingenden Ton
Wecken mich alte Gesänge,
Die in der Ferne mich flohn;
Rufen mir freudenvoll zu
Heimatlich lockende Klänge:
Du nur allein bist die Ruh',
Schützende Heimat!

Heimat!
Gib mir den Frieden zurück,
Den ich im Weiten verloren,
Gib mir dein blühendes Glück!
Unter den Bäumen am Bach,
Wo ich vor Zeiten geboren,
Gib mir ein schützendes Dach,
Liebende Heimat!

Homeland!
Wonderful-sounding word!
How on feathery wings
you draw my heart toward you,
Rejoicing, as if the greeting
of every soul I must bring you.
I turn my steps to you,
welcoming homeland!

Homeland!
With that gentle-sounding note
old songs awaken in me
which have flown far away from me;
they call me, full of joy,
to alluring sounds of home.
Only you are peace,
sheltering homeland!

Homeland!
Give me back the peace
that I have lost in the distance,
give me your thriving happiness!
Beneath the trees by the brook,
where I was born long ago,
Give me a sheltering roof,
dear homeland!

'Der Abend', Op. 64/ii

Senke, strahlender Gott, die Fluren dürsten
Nach erquickendem Tau, der Mensch verschmachtet,
Matter ziehen die Rosse,
Senke den Wagen hinab!

Siehe, wer aus des Meers krystallner Woge
Lieblich lächelnd dir winkt! Erkennt dein Herz sie?
Rascher fliegen die Rosse.
Thetys, die göttliche, winkt.

Schnell vom Wagen herab in ihre Arme
Springt der Führer, den Zaum ergreift Kupido,
Stille halten die Rosse,
Trinken die kühlende Flut.

An dem Himmel herauf mit leisen Schritten
Kommt die duftende Nacht; ihr folgt die süße
Liebe. Ruhet und liebet!
Phöbus, der Liebende, ruht.

Sink, beaming God; the meadows thirst
for refreshing dew, Man is listless,
the horses are pulling more slowly:
the chariot descends.[1]

Look who beckons from the sea's crystal waves,
smiling warmly! Does your heart know her?
The horses fly more quickly.
Thetis, the divine, is beckoning.

Quickly from the chariot and into her arms
springs the driver. Cupid grasps the reins.
The horses come silently to a halt
and drink from the cool waters.

In the sky above, with a soft step,
comes the fragrant night; she is followed by sweet
Love. Rest and love!
Phoebus, the amorous, rests.

'Fragen', Op. 64/iii

"Mein liebes Herz, was ist dir?"
"Ich bin verliebt, das ist mir."
"Wie ist dir denn zumut'?"
"Ich brenn' in Höllenglut."
"Erquicket dich kein Schlummer?"
"Den litte Qual und Kummer?"
"Gelingt kein Widerstand?"
"Wie doch bei solchem Brand?"
"Ich hoffe, Zeit wird's wenden."
"Es wird's der Tod nur enden."
"Was gäbst du, sie zu sehn?"
"Mich, dich, Welt, Himmelshöh'n."
"Du redest ohne Sinn."
"Weil ich in Liebe bin."
"Du mußt vernünftig sein."
"Das heißt, so kalt wie Stein."
"Du wirst zugrunde gehen!"
"Ach, möcht' es bald geschehen!"

"My dear heart, what is wrong with you?"
"I am in love, that's what is wrong with me."
"How then do you feel?"
"I burn in hellish fire."
"Does sleep not refresh you?"
"Tormented by pain and anguish?"
"Resistance does not work?"
"How can it with such fire?"
"I hope that time will turn it away."
"It will only end with death."
"What would you give to see her?"
"Me, you, the world, the heights of heaven."
"You speak without sense."
"Because I am in love."
"You must be sensible."
"That means: as cold as stone."
"But you will be destroyed!"
"Ah, may it come to pass soon!"

'Serenade', Op. 70/iii

Liebliches Kind,
Kannst du mir sagen,
Sagen warum
Einsam und stumm
Zärtliche Seelen
Immer sich quälen,
Selbst sich betrüben,
Und ihr Vergnügen
Immer nur ahnen,
Da wo sie nicht sind?
Kannst du mir's sagen,
Liebliches Kind?

Lovely child,
Can you tell me,
Tell me why,
alone and mute,
Tender souls
Always torture themselves,
Why they make themselves gloomy,
And why they seem to suspect
that their pleasures
will be where they are not;
Can you not tell me this,
Lovely child?

'Abendregen', Op. 70/iv

Langsam und schimmernd fiel ein Regen,
In den die Abendsonne schien;
Der Wandrer schritt auf engen Wegen
Mit düstrer Seele drunter hin.

Er sah die großen Tropfen blinken
Im Fallen durch den goldnen Strahl;
Er fühlt' es kühl aufs Haupt ihm sinken
Und sprach mit schauernd süßer Qual:

Nun weiß ich, daß ein Regenbogen
Sich hoch um meine Stirne zieht,
Den auf dem Pfad, den ich gezogen,
Die heitre Ferne spielen sieht.

Und die mir hier am nächsten stehen,
Und wer mich scharf zu kennen meint,
Sie können selber doch nicht sehen,
Wie er versöhnend ob mir scheint.

So wird, wenn andre Tage kommen,
Die sonnig auf dies Heute sehn,
Ob meinem fernen, bleichen Namen
Der Ehre Regenbogen stehn.

Slowly and resplendently fell a rainshower
Through which the evening sun shone:
Beneath it, the wanderer walked on narrow paths
With a gloomy soul.

He saw the large drops flashing
In their descent through the golden rays;
They felt cool on his head as they tumbled down
And he spoke with quivering, sweet agony:

Now I know that a rainbow
Stretches high above my brow
On the path that I've taken,
And from a great distance it can be seen playing.

And those who stand here nearby,
And think they know me so deeply,
They nevertheless cannot see
How it shines about me so propitiously.

So it will be that when other days come
And look back sunnily on this day today,
Above my distant, faded name
A rainbow of glory will stand.

'Geheimnis', Op. 71/iii

O Frühlingsabenddämmerung!
O laues, lindes Weh'n,
Ihr Blütenbäume, sprecht, was tut
ihr so zusammensteh'n?

Vertraut ihr das Geheimnis euch
Von uns'rer Liebe süß?
Was flüstert ihr ein ander zu
Von uns'rer Liebe süß?

O spring's evening twilight!
O mild, gently breezes,
You blossoming trees, speak – what are you doing,
standing so close together?

Do you confide to one another
the secret of our sweet love?
What do you whisper to one another
about our sweet love?

'Minnelied', Op. 71/v

Holder klingt der Vogelsang,
Wann die Engelreine,
Die mein Jünglingsherz bezwang,
Wandelt durch die Haine.

Röther blühen Thal und Au,
Grüner wird der Wasen,
Wo die Finger meiner Frau
Maienblumen lasen.

Ohne sie ist alles todt,
Welk sind Blüt' und Kräuter;
Und kein Frühlingsabendroth
Dünkt mir schön und heiter.

Traute, minnigliche Frau,
Wollest nimmer fliehen;
Daß mein Herz, gleich dieser Au,
Mög' in Wonne blühen!

Delightfully sound the birdsongs
when the pure angel
who conquered my young heart
wanders through the wood.

Redder bloom the valleys and meadows,
Greener becomes the grass
where the fingers of my lady
Are picking little mayflowers.

Without her, everything is dead.
Blossoms and herbs are wilted;
and no spring sunset
would seem to me as fair and fine.

Darling, lovely woman,
Never wish to flee;
that my heart, as well as this meadow,
might bloom in joy!

'Alte Liebe', Op. 72/i

Es kehrt die dunkle Schwalbe
Aus fernem Land zurück,
Die frommen Störche kehren
Und bringen neues Glück.

An diesem Frühlingsmorgen,
So trüb' verhängt und warm,
Ist mir, als fänd' ich wieder
Den alten Liebesharm.

Es ist als ob mich leise
Wer auf die Schulter schlug,
Als ob ich säuseln hörte,
Wie einer Taube Flug.

Es klopft an meine Türe,
Und ist doch niemand draus;
Ich atme Jasmindüfte,
Und habe keinen Strauß.

Es ruft mir aus der Ferne,
Ein Auge sieht mich an,
Ein alter Traum erfaßt mich
Und führt mich seine Bahn.

Dark swallows are returning
From a distant land;
The docile storks are returning
And delivering new happiness.

On this spring morning,
So darkly dull and warm,
It seems to me I've found again
The grief of old love.

It is as if somebody
Tapped me gently on the shoulder,
As if I heard a rustling sound,
Like the flight of a dove.

At my door comes a knocking sound,
And yet no one is out there;
I'm breathing in the scent of jasmine
And have no bouquet.

Someone calls to me from far away,
An eye watches me,
An old dream catches me
And drives me down its path.

'O kühler Wald', Op. 72/iii

O kühler Wald,
Wo rauschest du,
In dem mein Liebchen geht?
O Widerhall,
Wo lauschest du,
Der gern mein Lied versteht?

Im Herzen tief,
Da rauscht der Wald,
In dem mein Liebchen geht,
In Schmerzen schlief
Der Widerhall,
Die Lieder sind verweht.

O cool forest,
Where do you rustle,
O forest in which my darling walks?
O echo,
Where do you listen,
O echo that understands my song so well?

Deep in my heart,
There rustles the forest
In which my darling walks;
In pain sleeps
the echo;
The songs have dispersed.

'Kein Haus, keine Heimat', Op. 94/v

Kein Haus, keine Heimat,
Kein Weib und kein Kind,
So wirbl' ich, ein Strohhalm,
In Wetter und Wind!

Well' auf und Well' nieder,
Bald dort und bald hier;
Welt, fragst du nach mir nicht,
Was frag' ich nach dir?

No house, no homeland,
No wife and no child,
So I whirl, like a piece of straw,
in rain and wind!

Ebb and flow,
soon there and soon here;
World, if you do not ask after me,
why should I ask after you?

'Komm bald', Op. 97/v

Warum denn warten von Tag zu Tag?
Es blüht im Garten, was blühen mag.
Wer kommt und zählt es, was blüht so schön?
An Augen fehlt es, es anzuseh'n.

Die meinen wandern vom Strauch zum Baum;
mir scheint, auch andern wär's wie ein Traum.
Und von den Lieben, die mir getreu
und mir geblieben, wär'st du dabei!

Why, then, wait from day to day?
The garden blooms when it wants to bloom.
Who comes to count it, that blooms so fair?
No pair of eyes would be able to see everything.

My own eyes wander from bush to tree;
it seems to me that others would think it a dream.
And of those lovers, who are true to me
and love me, I wish you were among them!

'Wie Melodien zieht es mir', Op. 105/i

Wie Melodien zieht es
Mir leise durch den Sinn,
Wie Frühlingsblumen blüht es,
Und schwebt wie Duft dahin.

Doch kommt das Wort und faßt es
Und führt es vor das Aug',
Wie Nebelgrau erblaßt es
Und schwindet wie ein Hauch.

Und dennoch ruht im Reime
Verborgen wohl ein Duft,
Den mild aus stillem Keime
Ein feuchtes Auge ruft.

It moves like a melody,
Gently through my mind;
It blossoms like spring flowers
And wafts away like fragrance.

But when it is captured in words,
And placed before my eyes,
It turns pale like a grey mist
And disappears like a breath.

And yet, remaining in my rhymes
There hides still a fragrance,
Which mildly from the quiet bud
My moist eyes call forth.

'Immer leiser wird mein Schlummer', Op. 105/ii

Immer leiser wird mein Schlummer,
Nur wie Schleier liegt mein Kummer
Zitternd über mir.
Oft im Traume hör' ich dich
Rufen drauß vor meiner Tür:
Niemand wacht und öffnet dir,
Ich erwach' und weine bitterlich.

Ja, ich werde sterben müssen,
Eine Andre wirst du küssen,
Wenn ich bleich und kalt.
Eh die Maienlüfte wehn,
Eh die Drossel singt im Wald:
Willst du mich noch einmal sehn,
Komm, o komme bald!

My slumber grows ever more peaceful;
and only like a thin veil now does my anxiety
lie trembling upon me.
Often in my dreams I hear you
calling outside my door;
no one is awake to let you in,
and I wake up and weep bitterly.

Yes, I will have to die;
another will you kiss,
when I am pale and cold.
Before the May breezes blow,
before the thrush sings in the forest:
if you wish to see me once more,
come, o come soon!

'Klage', Op. 105/iii

Feins Liebchen, trau du nicht,
Daß er dein Herz nicht bricht!
Schön Worte will er geben,
Es kostet dein jung Leben,
Glaubs sicherlich, glaubs sicherlich!

Ich werde nimmer froh,
Denn mir ging es also:
Die Blätter vom Baum gefallen
Mit den schönen Worten allen,
Ist Winterzeit, ist Winterzeit!

Es ist jetzt Winterzeit,
Die Vögelein sind weit,
Die mir im Lenz gesungen,
Mein Herz ist mir gesprungen
Vor Liebesleid, vor Liebesleid

My fine darling, trust not
that he will not break your heart!
Fair words will he speak,
but they will cost you your young life;
Believe it as the truth!

I will never delight again,
for that is what happened to me too:
the leaves have fallen from the tree
together with all the pretty words.
It is wintertime, wintertime!

It is now wintertime,
the birds are far away,
those birds that sang to me in Spring.
My heart has broken
from love's pain, from love's pain.

'Verrat', Op. 105/v

Ich stand in einer lauen Nacht
An einer grünen Linde,
Der Mond schien hell, der Wind ging sacht,
Der Gießbach floß geschwinde.

Die Linde stand vor Liebchens Haus,
Die Türe hört' ich knarren.
Mein Schatz ließ sacht ein Mannsbild raus:
»Laß morgen mich nicht harren;

Laß mich nicht harren, süßer Mann,
Wie hab' ich dich so gerne!
Ans Fenster klopfe leise an,
Mein Schatz ist in der Ferne!«

Laß ab vom Druck und Kuß, Feinslieb,
Du Schöner im Sammetkleide,
Nun spute dich, du feiner Dieb,
Ein Mann harrt auf der Heide.

Der Mond scheint hell, der Rasen grün
Ist gut zu unserm Begegnen,
Du trägst ein Schwert und nickst so kühn,
Dein' Liebschaft will ich segnen! -

Und als erschien der lichte Tag,
Was fand er auf der Heide?
Ein Toter in dem Blumen lag
Zu einer Falschen Leide.

I stood, one warm night,
by a green linden-tree;
the moon shone brightly, the wind blew gently,
the torrent flowed swiftly.

The linden-tree stood before my darling's house,
and I heard the door creak.
My sweetheart quietly let out a man's form:
"Tomorrow don't keep me waiting;

don't keep me waiting, sweet man,
how I love you!
Knock gently on the window,
for my sweetheart is far away!"

Cease your hugging and kissing, dear,
and you, you handsome lad in velvet,
you fine thief, make haste now,
for a man is waiting for you on the heath.

The moon shines brightly, the green grass
is just right for our encounter.
You wear a sword and nod so audaciously;
Come, let me bless your wooing! -

And when the light of day appeared,
what did it find on the heath?
A dead man lay in the flowers
to the grief of a false woman.

'An die Stolze', Op. 107/i

Und gleichwohl kann ich anders nicht,
Ich muß ihr günstig sein,
Obgleich der Augen stolzes Licht
Mir mißgönnt seinen Schein.
Ich will, ich soll, ich soll, ich muß dich lieben,
Dadurch wir beid' uns nur betrüben,
Weil mein Wunsch doch nicht gilt
Und du nicht hören wilt.

Wie manchen Tag, wie manche Nacht,
Wie manche liebe Zeit
Hab' ich mit Klagen durschgebracht,
Und du verlachst mein Leid!
Du weißt, du hörst, du hörst, du siehst die Schmerzen,
Und nimmst der' keinen doch zu Herzen,
So daß ich zweifle fast,
Ob du ein Herze hast.

Nevertheless, I can do nothing else:
I must be well-disposed to her,
even if her eyes' proud light
begrudges me their shine.
I will, I should, I should, I must love you;
therefore, we both will be unhappy,
for my wish is in vain,
and you do not wish to hear it.

How many days, how many nights,
how much lovely time
have I spent in lamentation,
and you laugh at my grief!
You know, you hear, you hear and see my pain,
and take none of it to heart,
so that I am tempted to doubt
whether you even have a heart.

Appendix Cohn's examples of the ingredients for double hemiola

As noted in the body of Chapter 5, several of the works that Richard Cohn cites as examples of the three symmetrical partitions of a 12-unit span are problematic. While the exaggeration of the claim that such examples 'abound' can be taken as rhetorical licence, many of Cohn's citations simply do not do what he says they do. He implies that each of these examples at some point 'partitions' a 12-unit span as [223], [232], and [322], creating hemiolic relationships (if indirect) at two adjacent levels; in Krebs's terminology, this requires the creation of a 3-layer, a 4-layer and a 6-layer. But in many of the pieces he quotes, the existence of at least one of these layers of these is very difficult to argue, or the three different groupings do not arise as partitions of the same 12-unit span. It is surprising that Murphy cites Cohn's complete list of examples in his examination of logical and rhetorical metric tonics without critiquing Cohn's fundamental identifications.[1]

Cohn's citations have several problems in common. The first problem is accent-types. Across the thesis, while accentual counterpoint has been a focus, it has nonetheless not been denied that there are different strengths of phenomenal accent. Harmonic and dynamic accents are the strongest: a harmony change or surprisingly loud note against the consonant layer nearly always causes a perceivable metrical dissonance. Agogic accents are generally slightly weaker, and pitch or contour accents are variable depending on the specifics of the situation. Accents through articulation (such as slurring) are generally weak, and also very susceptible to interpretative variation.

Krebs's axiom is that layers must have some kind of accentuation to be perceptible *as* layers. But to argue, as Cohn does, that the 12-unit span has been *partitioned* in a certain grouping requires more than just the incidental occurrence of one of the weakest accent types. Since all music deviates in some way from paradigmatic schemata (often giving life to accentual counterpoint), such tiny metrical dissonances do not necessarily register to the listener as implying a partition.

The second main problem is repetition, or rather the lack of it. When dealing only with the weak accent-types, a non-consonant event that happens only once within a

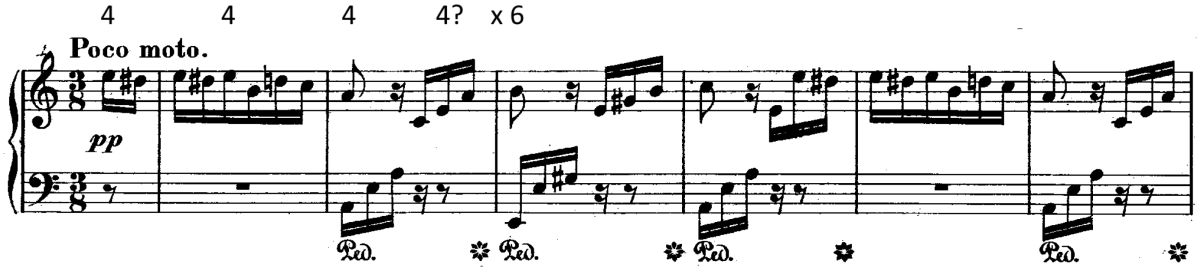
[1] Murphy, 'On Metre in the Rondo of Brahms's Op. 25', 343.

surrounding metrical consonance is subsumed both at a neutral level by the surrounding music and at an esthesic level by the listener's metrical processor.

Finally, in Cohn's examples there are often two possibilities as to the unit or pulse level, which compounds the difficulty of interpreting what Cohn is suggesting.

Beethoven, *Für Elise,* WoO 59

A case study which demonstrates some of these points, while admittedly containing plausible accentuation of the three different necessary metres, is Cohn's first citation, the opening of *Für Elise* (Example (Appendix) 1). The pulse layer is the semiquaver and the 6-layer is the primary consonance.



Example (Appendix) 1 Beethoven, Bagatelle No. 5 in A minor, WoO 59 ('Für Elise'), bars 1–6.

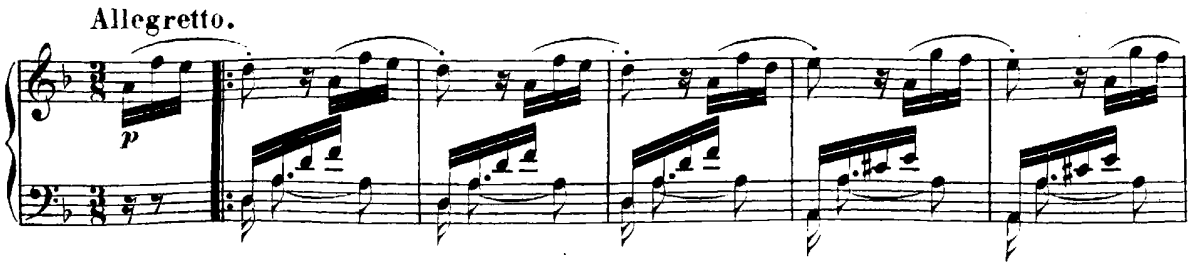
This opening *is* metrically interesting, as it plays with what Mirka calls the 'primacy effect' to briefly suggest a metrical layer where the anacrusis is the start of a hemiolic beat.[2] (This is, ironically, often unintentionally exaggerated by an amateur player.) As the example shows, though, this reading is comprehensively denied by the beginning of bar 3, where the primary consonance has become consistently outlined by grouping, harmony and contour accents in the bass. Nevertheless, the suggestion of hemiola between semiquaver 4- and 6-layers does recur several times throughout the piece. The layer which is more difficult to justify as perceptible is the 3-layer. The only ways to support it are by seeing the B in bar 1 as a contour accent, or by reading the semiquaver grouping passing between hands as indicating some kind of accentuation. Both of these accents are fairly weak (though, again, likely to be unintentionally exaggerated by an amateur). The second point is, interestingly, undermined in the second version of *Für Elise*, in which the left-hand arpeggiations are shifted by a semiquaver. Nonetheless, the metrical 'rocking' between

[2] Mirka, *Metric Manipulations*, 35–39. Mirka's 'primacy effect' is another term for Lerdahl and Jackendoff's Metrical Preference Rule 2 – 'prefer strong beat early'.

hemiola and reverse hemiola is palpable, and, while this is notably corrected by the lyrical and stable middle section of the work (in an example of metrical features being involved in formal articulation), it remains as a remarkable feature of the work, not the 'quite common' feature that Cohn suggests.

Beethoven, 'Tempest' Sonata, Op. 31 No. 2, final movement

The finale of the 'Tempest' sonata, Cohn's second example, is very similar to *Für Elise*. A 6-layer is the norm, and 4-layers are used several times later in the piece, but 3-layers are more problematic to claim; while the beaming of the right hand at the beginning may look like it suggests 3-layers, the fourth semiquaver of each bar is always perceived as a weak upbeat to the fifth, which is far more accentuated through contour accents and occasionally harmonic accents. One could even argue that in performance neither of these are the case, but that the piece is simply felt 'in one', with no internal grouping.



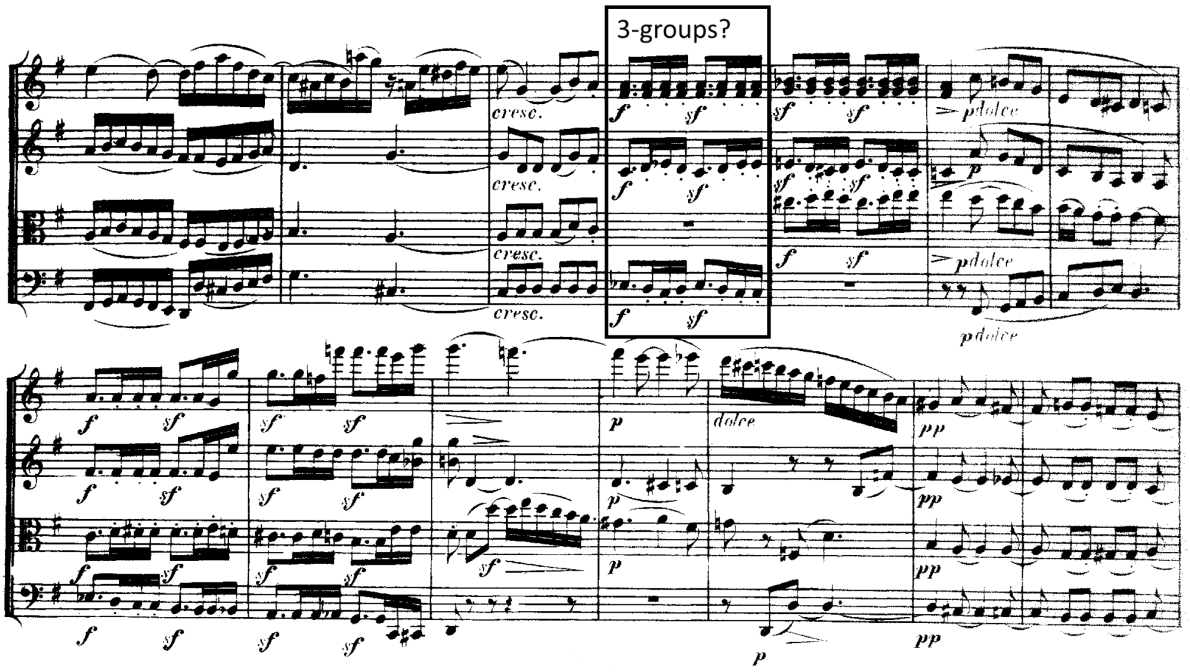
Example (Appendix) 2 Beethoven, Piano Sonata No. 17, Op. 31 No. 2 ('The Tempest'), third movement, bars 1–5.

Beethoven, 'Appassionata' Sonata, Op. 57, first movement

In the first movement of the 'Appassionata' sonata, the time signature is 12/8, so unusually the tonic layer is [♪322] and the other two layers needed would be [232] (three crotchets, repeated to create 6/4) and [223] (three minim beats). This is different from many of the examples examined in the thesis, where the tonic layer tends to be [232], thus requiring a hemiola and a reverse hemiola to make double hemiola hypothetically possible. Unfortunately, like many of the above examples, Cohn exaggerates the possibility of double hemiola – while there are several examples of [232], usually in the stormy outbursts, [223] never occurs. (One might consider the possibility of semiquaver as pulse, giving normative layer [232] and requiring 3/4 and 3/16 to potentiate double hemiola. Apart from the inconsistency of pulse articulation in this case, and the very high speed, 3/16 also never occurs.)

Beethoven, 'Razumovsky' String Quartet, Op. 59 No. 2, first movement

In the first movement of the 'Razumovsky' String Quartet in E minor (Op. 59/2) the time signature is 6/8, and at a fast tempo. There are again two arguable possibilities for the pulse layer – semiquaver or quaver – but the quaver is the more consistently articulated. Taking quaver as pulse, the primary consonance is [322], and there is significant use of hemiola (3/4), giving [232]. But there is no use of the hemiola level above this, 3/2 [223]. Considering the possibility of semiquaver as pulse does not solve the problem but merely relocate it; the two states above become [232] and [223], but there are no notable examples of 3/16. Considering Cohn's previous examples, though, this is his more likely choice of pulse, as there are several instances of beamed groups of three semiquavers, such as in Example (Appendix) 3. But there is no *accentuation* to create any sort of sense of 3-grouping in these instances; the fourth semiquaver in each group is just heard as an upbeat to the fifth, reinforced in this particular example by the voice exchange between second violin and cello.

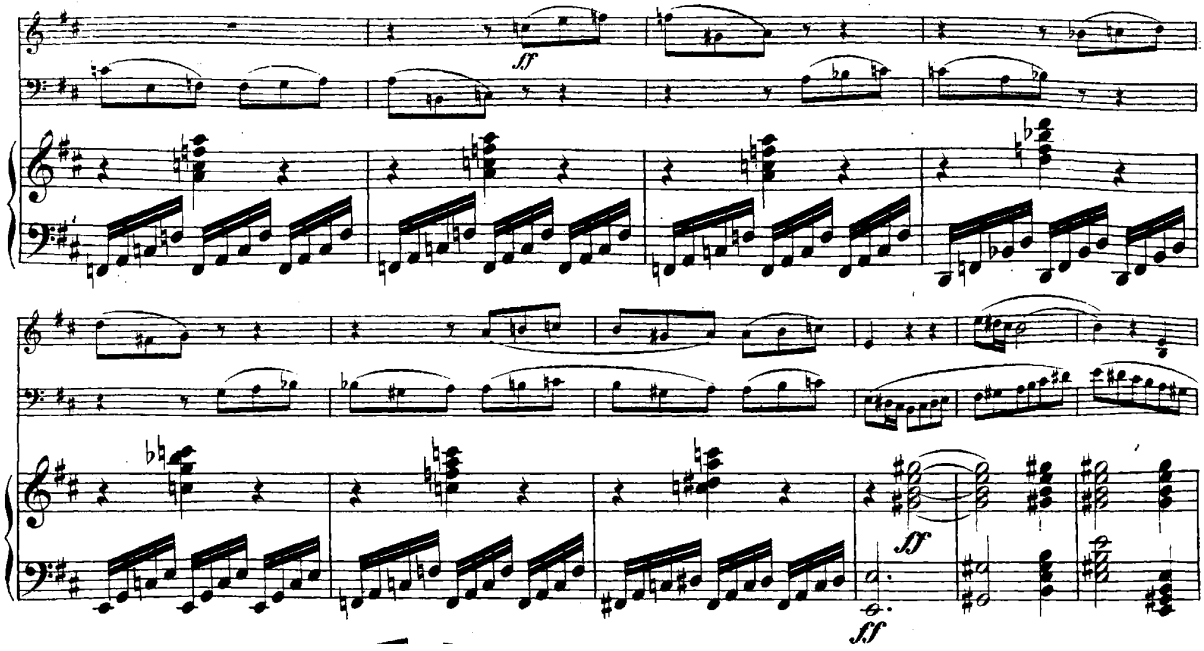


Example (Appendix) 3 Beethoven, String Quartet No. 8, Op. 59 No. 2 in E minor, first movement, bars 46–59.

Beethoven, 'Ghost' Piano Trio, Op. 70 No. 1, first movement

The first movement of the 'Ghost' offers yet another similar situation, although admittedly here the accentuation creating [322] is minimally stronger than in the 'Razumovsky' movement. The movement is in 3/4. It does use semiquavers and triplet quavers, but these are inconsistent and never grouped against 3/4, so presumably Cohn's base unit is the

duplet quaver (so 3/4 is [232]). There are a few 3/2 hemiolas near the opening of the movement [223], most clearly in bars 19–20 (even the opening bars could be argued to have a hemiolic quality). 3/8, again, is the debatable organisation. As in *Für Elise,* it is accented by only by weak accent types – here the repetition of 3-layer articulation through slurs, for example in bars 28–34 (Example (Appendix) 4). However, listening to most performances shows that the fourth quaver of each bar is not given any particular accentuation. This is, admittedly, a rare appeal to specific performance practices as differentiators of metre, which the method of analysis in this thesis otherwise tries to avoid. One could imagine a performance, inspired by certain approaches to phrasing, where this would be accentuated more, and this would create the required ingredients for double hemiola. But in most performances the slur-change between the third and fourth quaver is rather usually taken as a 'breath', before the fourth quaver acts as an upbeat to the fifth. The piano chords on the second crotchet of the bar further serve to 'hide' the fourth quaver. There is never any harmonic change on the fourth quaver, nor is it ever given any different or additional phenomenal accent, even in the passage of intensive, fragmented use at bars 127–139; indeed, these bars heavily stress the 3/4 metre through use of the semiquaver 'leads' to crotchet beats.

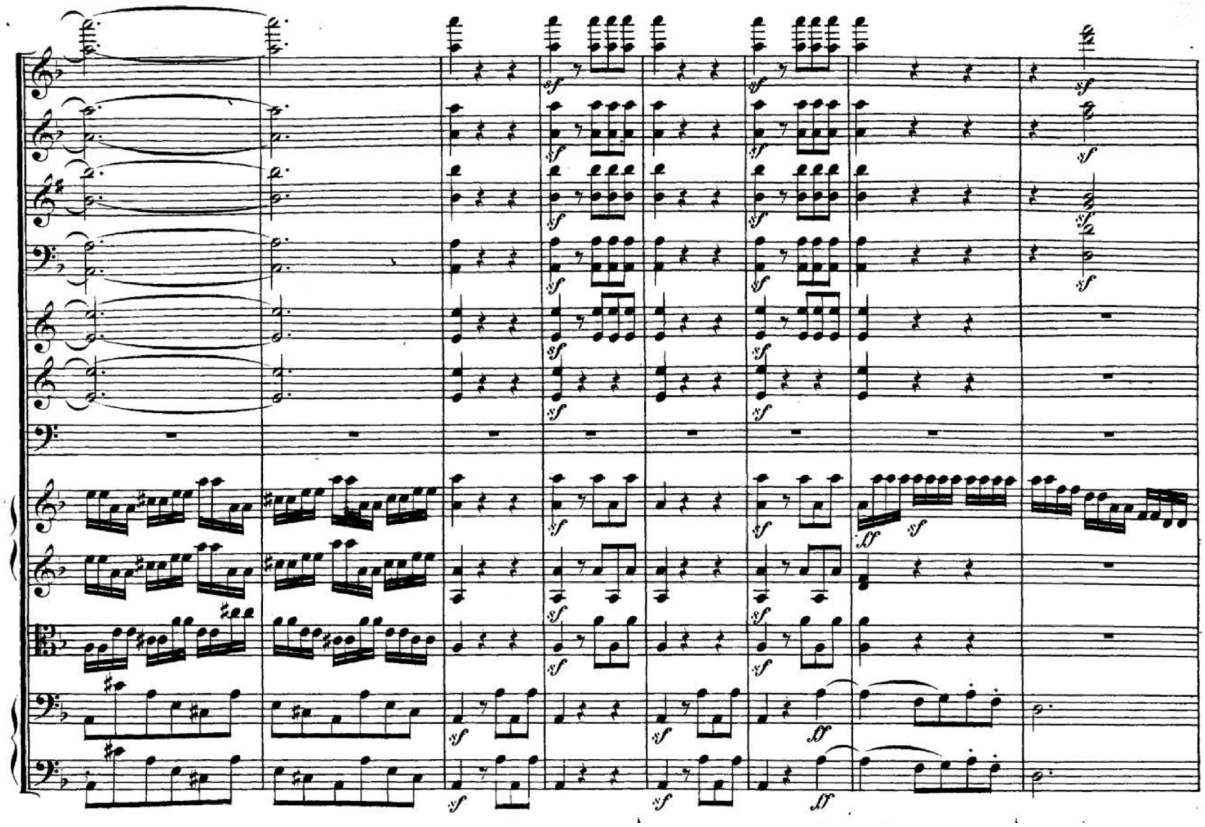


Example (Appendix) 4 Beethoven, Piano Trio in D major, Op. 70 No. 1 ('Ghost'), first movement, bars 28–37.

Beethoven, Symphony No. 8, Op. 93, first movement

The first movement of the Eighth Symphony follows almost exactly the same pattern as the 'Ghost' trio. The movement is in 3/4, and there are several 3/2 hemiolas. But here

there is no use of 3/8 grouping. What Cohn is presumably interpreting as 3/8 is the huge number of bars containing a crotchet, a quaver rest, and three quavers – most often in the famous oscillating octave figuration, an example of which is shown in Example (Appendix) 5. In some ways like the 'Ghost', this may appear on the page to indicate a 6/8 grouping, but in fact never does so – the fourth quaver is always an upbeat to the fifth and the quavers are always interpreted in parallel formation. Only in a radical reading where the quaver rests were argued as a group delimiter would the fourth quaver in the bar receive a grouping accent.



Example (Appendix) 5 Beethoven, Symphony No. 8 in F major, Op. 93, first movement, bars 138–145.

Beethoven, Symphony No. 9, Op. 125, second movement

The Scherzo of the Ninth Symphony is a different situation. While this is of course a temporally fascinating movement, the obvious interest is mainly at a hypermetric level, between triple hypermetre [33] in the *Ritmo di tre battute* sections, duple hypermetre [32] in the *Ritmo di quattro battute* sections, and pure duple metre [22] in the trio, as has been explored in depth by Cohn.[3]

[3] Cohn, 'Dramatization'.

When it comes to looking at 12-unit spans, though, only one of these hypermetric schema results in a twelve-bar span (the triple hypermetre), so the bar would not appear to be Cohn's unit. The pulse layer in the Scherzo section, obviously, is the crotchet. But this also only results in one 12-unit span, in the duple hypermetre sections of the Scherzo; the triple hypermetre sections outline 9-, or 18-unit spans, and the pure duple metre of the Trio outlines 16-unit spans.

However, the movement does exhibit the ingredients for double hemiola, but in an unlikely way. The argument for this rests on two tenets. The first is that the ♩. ♪♩ motif has a hint of reverse hemiola (6/8) about it; due to the speed at which it is played, the quaver often seems to blur into the following crotchet on the same note, and repetition seems to exacerbate this.

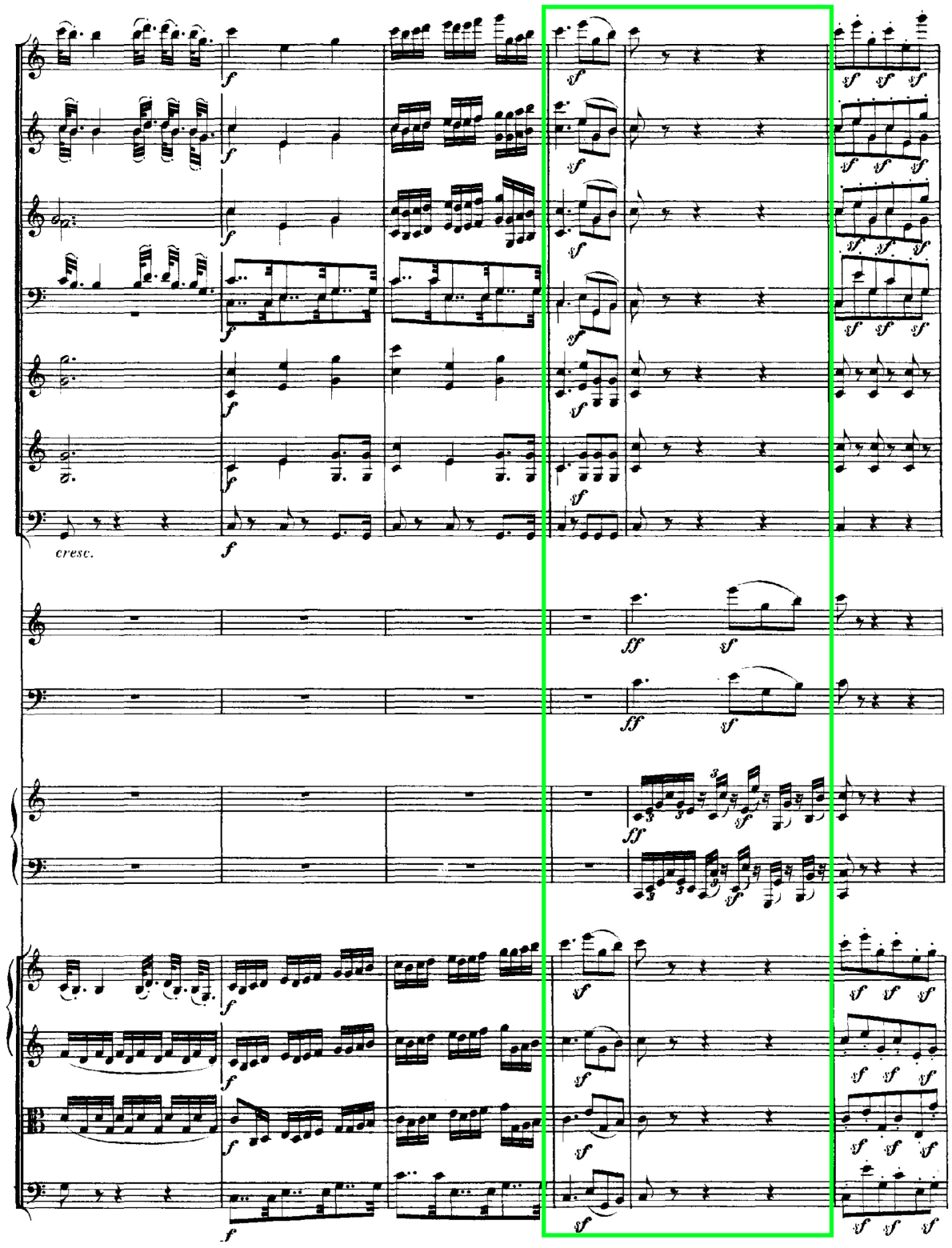
This provides reverse hemiola to the tonic 3/4 metre. There are no 3/2 hemiolas in the movement to provide the expected requisite balancing metre, unfortunately. However, the metronome mark for the move into the duple trio is marked to keep the bar at the same tempo (𝅝 =116); this contradicts earlier editions where it was marked as 𝅗𝅥 =116, a result of an erroneous letter thought to be from Beethoven which turned out to be written by his nephew Karl.[4] Many performances and recordings still follow the 𝅗𝅥 =116 tempo, which does seem less frenzied for the Trio's melodic material than 𝅝 =116, and also has some continuity with the Scherzo section, as the resulting crotchets at the beginning of the Trio equal the previous dotted crotchet, so the opening octaves echo the octaves of the ♩. ♪♩ motif exactly. However, following Beethoven's correct 𝅝 =116 marking, and thus double the tempo than most performances, the relationship here does indeed constitute a double hemiola transition: 4 crotchets in the Trio equal three crotchets in the Scherzo, and it has been noted several times above that any 4-against-3 can be viewed as two levels of hemiola different. This is different to most examples of double hemiola, however, in that both dissonant layers (against the consonant 3/4) are on the reverse hemiola side: if the ♩. ♪♩ motif is accepted as creating a sense of 6/8 then this is in reverse hemiola to 3/4, and then the Trio metre divides each of these 3/8 submeasures into two.

Beethoven, Triple Concerto, Op. 56, third movement

Only two of the Beethoven examples given by Cohn really seem to project 3-, 4-, and 6-layers at the same unit level, and both of these still come with a 'caveat' for at least one of

[4] See Clive Brown, 'Historical Performance, Metronome Marks and Tempo in Beethoven's Symphonies', *Early Music*, 19/2 (May 1991), 247–258.

the two non-consonant groupings. In the *Rondo alla Polacca* finale of Beethoven's Triple Concerto the unit is the quaver, and the time signature is 3/4 ([♪ 232]). 3/2 hemiolas occur three times (bars 72–73, 112–115, and 159–164), along with one instance (bars 41–42) that seems to project the first two beats of a hemiola but then denies this. There is only one instance where a 12-quaver span is grouped into two bars of 6/8: bars 56–57 (Example (Appendix) 6), however this can also be heard as a D♪-1 anticipation of the third beat, and also of the displaced hemiola in the subsequent bars. Later, at bars 459 and 461, the 6/8-type bars return again, but this time separated by a bar of clear 3/4, so not dividing a single 12-unit span.

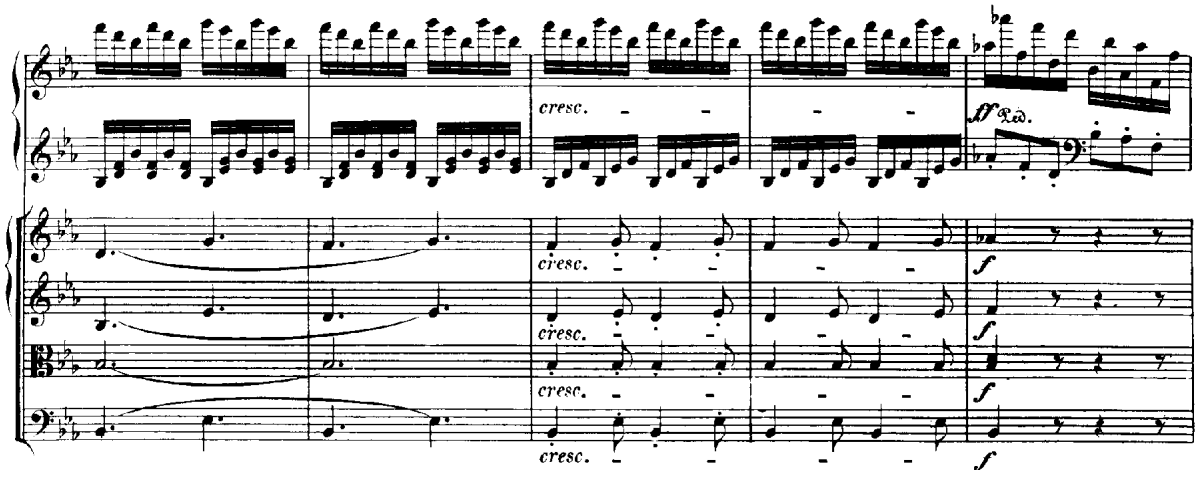


Example (Appendix) 6 Beethoven, Concerto for Violin, Cello and Piano in C Major, Op. 56, third movement, bars 53–58, showing 6/8 grouping (green) in bars 56 and 57.

Beethoven, 'Emperor' Concerto, Op. 73, third movement

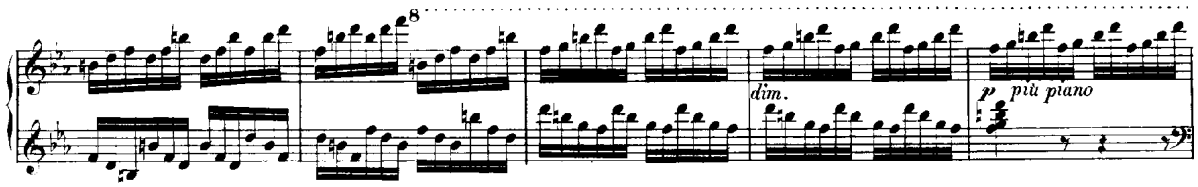
The 'Emperor' Concerto finale is the only Beethoven example offered by Cohn which irrefutably uses all the possibilities of dividing a 12-unit span. The key signature is 6/8, and

with a semiquaver unit, the primary consonance is [232]. At several points the soloist outlines [322] (12/16), as shown in Example (Appendix) 7.



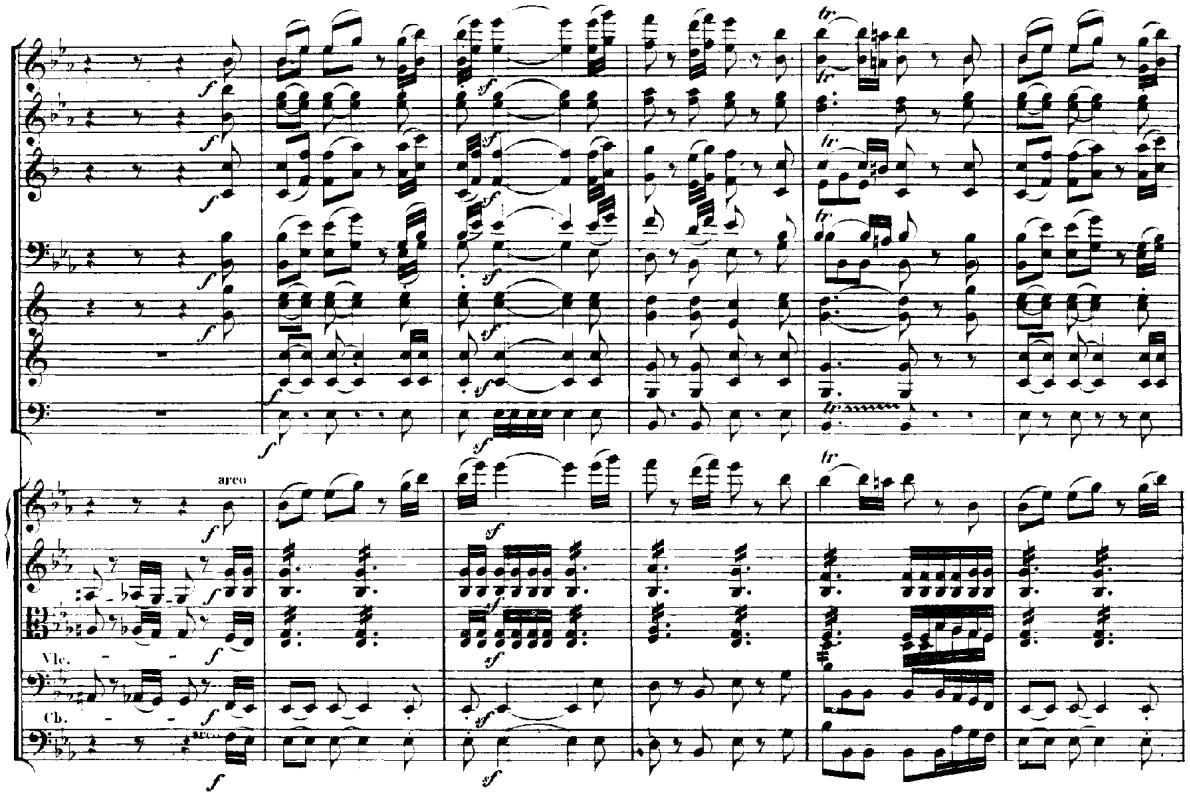
Example (Appendix) 7 Beethoven, Piano Concerto No. 5 in Eb Major, Op. 73 ('Emperor'), third movement, bars 82–86.

And in one solo cadenza passage the piano follows this in quick succession with [223], or 3/4 (Example (Appendix) 8). Note that, as with the metrically unusual moments in Brahms's First Piano Concerto, it is in a cadenza, and is indirect; layers are not juxtaposed.



Example (Appendix) 8 Beethoven, Piano Concerto No. 5 in Eb Major, Op. 73 ('Emperor'), third movement, bars 132–136, showing 3/4 grouping at bars 134 and 135.

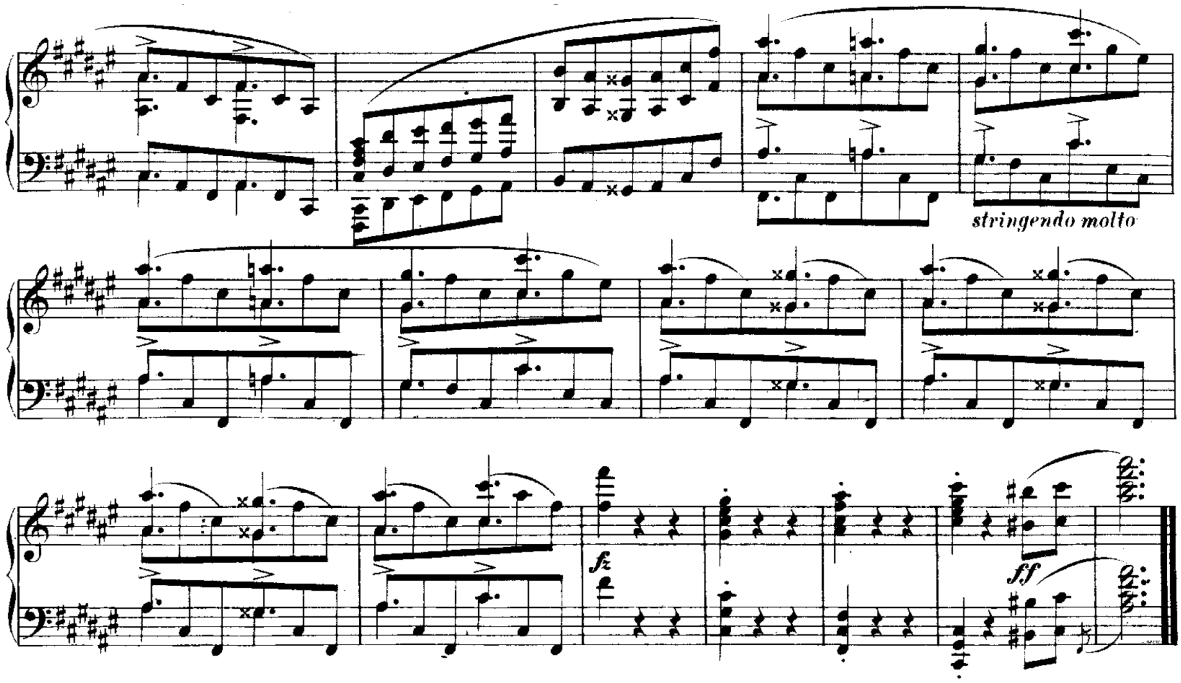
There is also an argument that the main theme motive of this movement suggests the first two beats of a 3/4 hemiola (Example (Appendix) 9), but the third hemiolic beat of this is always denied.



Example (Appendix) 9 Beethoven, Piano Concerto No. 5 in Eb Major, Op. 73 ('Emperor'), third movement, bars 16–21, showing how the suggestion of hemiola (for instance at bar 17) is always denied at the third hemiolic beat.

Schumann, Piano Sonata Op. 11, fourth movement

Of the two Schumann examples that Cohn cites, one does contain all three groupings of the 12-quaver span: the final movement of his Piano Sonata Op. 11, finale. The last grouping (6/8) arrives only on the last page (Example (Appendix) 10), providing a neat example of 'Murphy's law', as the rhetorical tonic becomes logical tonic.

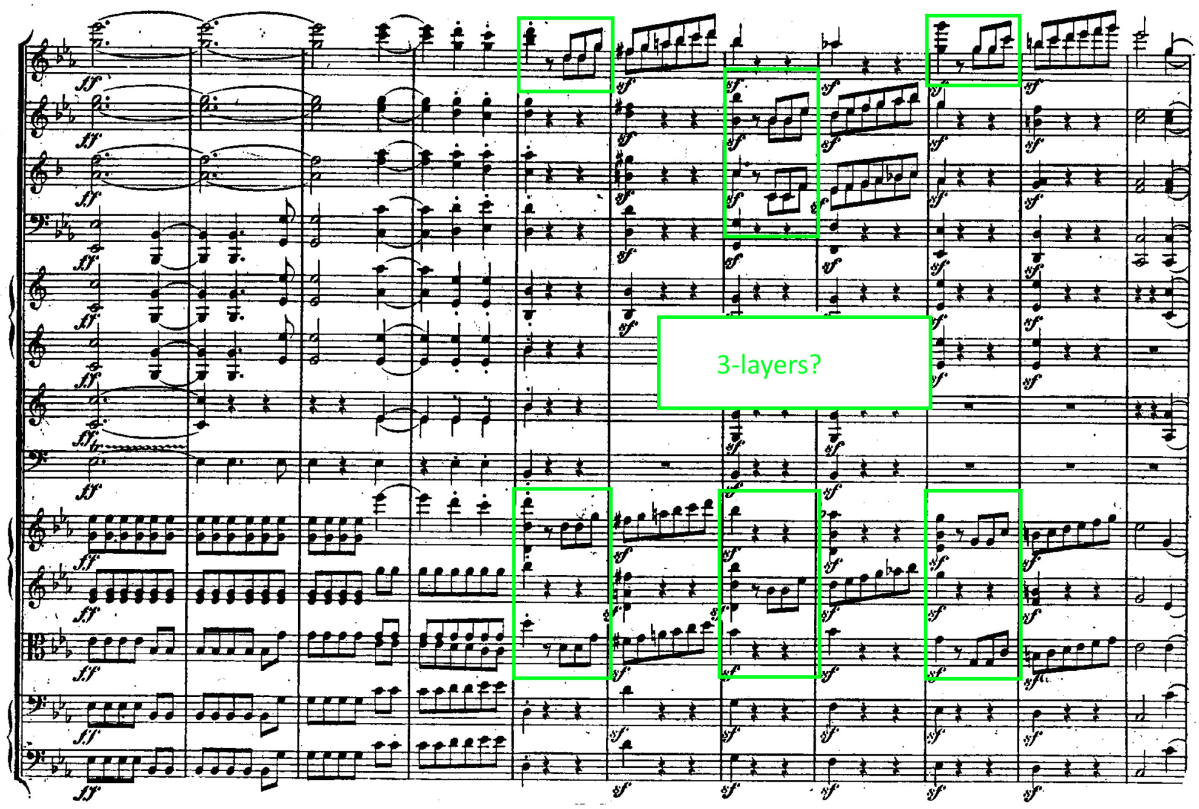


Example (Appendix) 10 Schumann, Piano Sonata Op. 11, final movement, bars 448–end.

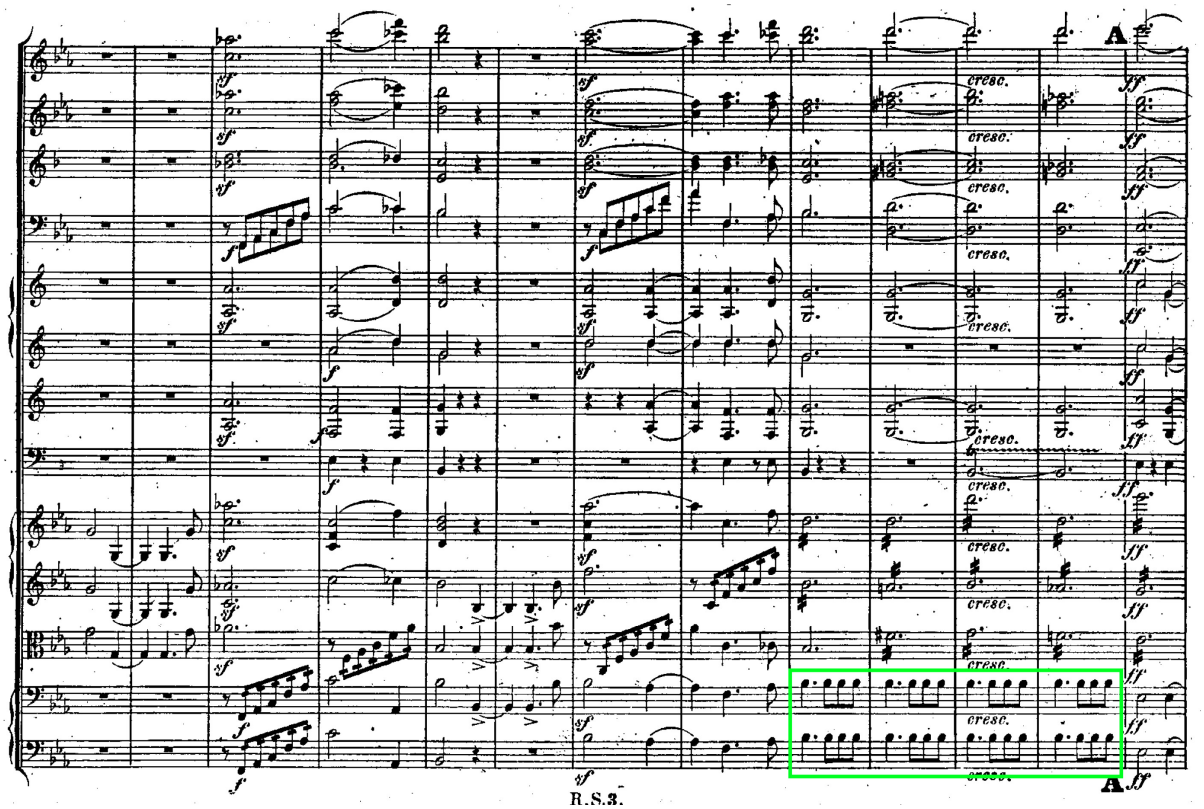
Schumann, Symphony No. 3, Op. 97, first movement

However, the first movement of Schumann's Third Symphony (Op. 97) does not seem to fill the required criteria. It is in 3/4 and opens with a hemiolic theme (the similarity to the opening of Brahms's Third is marked); with quaver as unit it is therefore easy to find [232] and [223]. But yet again the third metre, [322], is elusive. Krebs mentions this movement as well as Cohn, claiming that there are 'allusions to a 3-layer' at bars 25, 27, and 29 (Example (Appendix) 11), and then a 'clearer emergence' of it at bars 53–56, the boundary between first theme and transition (Example (Appendix) 12). [5]

[5] Krebs, *Fantasy Pieces*, 239.



Example (Appendix) 11 Schumann, Symphony No. 3 in E flat major, Op. 97, first movement, bars 21–31, highlighting what Krebs considers 'allusions' to 3-layers.



Example (Appendix) 12 Schumann, Symphony No. 3 in E flat major, Op. 97, first movement, bars 45–57, showing what Krebs considers a 'clearer emergence' of 3-layers.

Unfortunately these interpretations require hearing a dotted crotchet followed by three quavers as a 3-layer without any other accentuation (not even contour, the quavers generally being on the same note as the dotted crotchet). In the second example, the supposed 3-layers follow a 3/2 hemiola, making it even less likely that a listener will re-entrain to 6/8 metre. Nowhere else in the movement is 6/8 metre articulated with more accentuation than these two examples. Given Schumann's ability and style of metrical manipulation, if he wanted to project 6/8 he would have done so far more clearly, even if it was as a dissonant metre.