**University of Southampton**

Faculty of Arts and Humanities

Music Department

# The Persistence of Eighteenth-Century Conventions in the Music of Isaac Albéniz

by

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## Abstract

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Isaac Albéniz (1860-1909) is typically assigned a peripheral position in Western music historiography, and described as one of the nationalist composers of the late nineteenth century, emphasizing his use of Spanish folklore as a source of compositional inspiration. This dissertation, on the contrary, studies the persistence of eighteenth-century conventions in the music of Albéniz and their interaction with well-known "Spanish-style" elements of his music. These conventions range from aspects of the reception of Albéniz's music whose intellectual fundations were laid in the French Enlightenment, to melodic, harmonic, and contrapuntal patterns associated with the Galant style and Classical patterns of phrase structure and formal organization: specific theme-types (the sentence and the period), techniques of development like the pre-core/core, and sonata form. In other words, this dissertation addresses questions about the reception of Albéniz's music, and, more fundamentally, studies compositional techniques, formal and tonal characteristics of his music, his relationship to the classical tradition, and sheds light on slippery concepts like innovation and originality in Albéniz's music. In so doing, this thesis presents the very first comprehensive analytical study of Albéniz's oeuvre, and emphasises the fundamental role of eighteenth-century formulas in the conformation of his musical language, studying as well their interaction with stereotypical notions of Albéniz's *españolismo*.

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## Declaration of Authorship

Print name: Alberto Martín Entrialgo

Title of thesis: The Persistence of Eighteenth-Century Conventions in the Music of Isaac Albéniz

I declare that this thesis and the work presented in it are my own and has been generated by me as the result of my own original research.

I confirm that:

1. This work was done wholly or mainly while in candidature for a research degree at this University;
2. Where any part of this thesis has previously been submitted for a degree or any other qualification at this University or any other institution, this has been clearly stated;
3. Where I have consulted the published work of others, this is always clearly attributed;
4. Where I have quoted from the work of others, the source is always given. With the exception of such quotations, this thesis is entirely my own work;
5. I have acknowledged all main sources of help;
6. Where the thesis is based on work done by myself jointly with others, I have made clear exactly what was done by others and what I have contributed myself;
7. Parts of this work have been published as:
   - "Albéniz, Malats, *Iberia* and the ultimate *españolismo*." *Diagonal: An Ibero-American Music Review* 5, no. 1 (2020): 1–21.
   - "Isaac Albéniz as a Galant Composer". *Newsletter of the Society for Music Analysis* (January, 2021): 11–23.
   - "On the Road to *Iberia*: Sonata Form and *Españolismo* in 'Asturies' from *Espagne (Souvenirs)* by Isaac Albéniz." *Music Theory and Analysis*, 9.1 (2022).

Signed:

Date: 13/11/2022

## Abbreviations

Bar(s): b. and bb.

MMB: Museu Municipal de la Música, Barcelona

**Analytical Terms**

b.i.: Basic Idea

c.i.: Contrasting Idea

c.b.i.: Compound Basic Idea

c.d.s.: Compound Developmental Sentence

d.s.: Developmental Sentence

C.P.: Compound Period

MT: Main Theme

ST: Subordinate theme

IT: Interior Theme

M.P: Modulating Prinner

PT: Phrygian Tetrachord

AC: Authentic Cadence

PAC: Perfect Authentic Cadence

IAC: Imperfect Authentic Cadence

HC: Half Cadence

"HC": Reinterpreted Half Cadence

DC: Deceptive Cadence

PHC: Phrygian Cadence

ECP: Expanded Cadential Progression

S on D: Standing on the Dominant

MC: Medial Caesura

EEC: Essential Expositional Closure

ESC: Essential Sonata Closure

**Scale Degrees**

In the text and in the musical examples, the bass tones are indicated with black numbers in a white circle (①⑤⑥), whereas for the top voice white numbers in a black circle (❸ ❺ ❶) are employed. For references to scale degrees more in general the format ^2 is used.

## Acknowledgements

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## Introduction

"The ideal formula in art should be variety within logic"[1]

Isaac Albéniz

When Albéniz wrote these words, he was about to compose his most acclaimed work: a collection of twelve piano pieces originally titled *Espagne,* but which was ultimately named *Iberia.*[2] At that time, he was already a celebrated and mature composer, and saw himself far away from that young pianist who wrote improvisatory and simple salon pieces in the early 1880s. It had been a long road, from his studies in Leipzig and Brussels to his professorship at the Schola Cantorum in Paris; a long road that involved much effort and study. He was now developing a more intellectual approach to composition, best captured by his compositional motto "variety within logic", and he developed certain disregard for those who have not done the same, as his critiques of Mascagni show:

> In all of it [*Cavalleria rusticana*] one sees nothing more than an excellent nature, but one that study has not developed. It would be futile work to search through the entire score for any didactic detail of interest: in a word, the workmanship is as minimal as can be.[3]

The irony here is that the same arguments were often used against Albéniz himself, as we will see in detail in Chapter 1, and many would still think of him as the charming composer who wrote unpretentious piano miniatures in "Spanish style", some of which made it into popular culture

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[1] "La fórmula ideal en arte, debiera ser: variedad dentro de la lógica". (Isaac Albéniz, Niza 20 de abril de 1904). Albéniz wrote these words in his personal diary. The manuscript is preserved in the Museu Municipal de la Música, Barcelona (MMB). The diary was reprinted by Enrique Franco in 1990 as Isaac Albéniz*, Impresiones y diarios de Viaje*, ed. Enrique Franco (Madrid: Fundación Isaac Albéniz, 1990). Henceforth, unless otherwise indicated, all translations are my own.

[2] For a more detailed examination of the different titles of the individual pieces and the collection see Jacinto Torres Mulas, *Catálogo sistemático descriptivo de las obras musicales de Isaac Albéniz* (Madrid: Instituto de Bibliografía Musical, 2001), 411. A more detailed consideration appears in Torres, *Iberia, de Isaac Albéniz, al través de sus manuscritos* (Madrid: Emec, 1998), 20–26.

[3] "En toda ella no se ve más que una naturaleza excelente, pero que el estudio no ha desarrollado; no se trata de buscar en toda la partitura un detalle didáctico que interese, fuera trabajo inútil, en una palabra, la mano de obra es lo más mínima que dares pueda". Entry on his journal on June 3. Franco, 1990, 50. Translated in Walter A. Clark, *Isaac Albéniz: Portrait of a Romantic* (New York: Oxford University Press, 1999), 167.

through guitar arrangements. Fewer would know that he was also a prolific opera composer, and author of several songs, orchestral pieces, piano sonatas and suites *anciennes*. In other words, he was the author of multiple pieces written in traditional genres of Western music; genres like the sonata and the suite, which emerged and were consolidated in the eighteenth century. Albéniz's fascination with the music of the eighteenth century began with his career as a concert pianist, and he often included eighteenth-century works in his recitals. As normal as this might seem for conservatoire-trained pianists today, this was "rather unusual at the time, especially in Spain".[4] Antonio Guerra y Alarcón's 1886 biography offers us a list of the compositions he had performed by then, including works by Bach (Chromatic Fantasy, Italian Concerto, English Suite, and ten diverse pieces), Händel (two suites, prelude and fugue, gavotte, and allemande), Scarlatti (twelve works, including sonatas, toccatas, capriccios, and pastorals), Rameau (two suites for harpsichord), Couperin (ten pieces for harpsichord), Haydn (four sonatas and a prelude and fugue), Mozart (three concertos, a fantasy, five sonatas, and three minuets), and Beethoven (two concertos, six sonatas, a fantasy, two collections of bagatelles).[5]

Several years earlier, while he was studying in Brussels, Albéniz won (tied with Arthur de Greed) the piano competition of Louis Brassin's class in 1879. Aside from sight-reading a piano work and preparing a piece chosen by the jury at 15 days' notice, the competition demanded a high level of musicianship.[6] The contestants were required to sight-read an orchestral score, realize a figured-bass, and transpose at sight the accompaniment of a vocal or instrumental work. Moreover, the participants performed two works of their own choice. Together with Chopin's *Variations brillantes*, Albéniz performed a "capriccioso" by Scarlatti. This proclivity to perform eighteenth-century pieces soon found expression in his own compositions. Some of his initial efforts as a composer included suites with gavottes, a sarabande, a chaconne, minuets, a pavane, as well as his many piano sonatas. All of these follow the traditional forms associated with their respective genres: either binary or sonata forms respectively. More generally, these pieces reflect some of the aesthetic preferences that we tend to associate with the Classical period: repetition, symmetrical phrasing,

[4] Walter A. Clark, "Variety within Logic: Classicism in the Works of Isaac Albéniz", *Diagonal: An Ibero-American Music Review* 1, no. 1 (2015): 109. Retrieved from https://escholarship.org/uc/item/4q54v67g.
[5] Antonio Guerra y Alarcón, *Isaac Albéniz: Notas crítico-biográficas de tan eminente pianista* (Madrid: Escuela Tipográfica del Hospicio, 1886). Reprinted by Enrique Franco and Fundación Isaac Albéniz (Madrid: Turner, 1990), 38.
[6] Clark, *Isaac Albéniz*, 38–39.

harmonic simplicity, clear articulation, and thin texture. Clark provides a table with all Albéniz's eighteenth-century style compositions, which I reproduce in Table 0.1.

| Title | Remarks |
|---|---|
| Menuet (T. 73) | In Dix Pièces en un recueil, Paris, Leduc, 1922. |
| "Minuetto a Sylvia", Doce piezas características | Madrid, Romero, 1889. |
| Siete estudios en los tonos naturales mayores, Op. 65 (T. 67) | Madrid, Romero, 1886. |
| Sonata No. 1 (T. 57) | Only the Scherzo is extant. Barcelona, Guardia, 1884 |
| Sonata No.2 (T. 65) | Lost. |
| Sonata no.3 (T. 69): 1. Allegretto, 2. Andante, 3. Allegro assai. | Madrid, Romero, 1887. |
| Sonata No. 4 (T. 75): 1. Allegro, 2. Scherzino (Allegro), 3. Minuetto (Andantino), 4. Rondó (Allegro). | Madrid, Romero, 1887. |
| Sonata No. 5 (T. 85): 1. Allegro non troppo, 2. "Minuetto del gallo" (Allegro assai), 3. "Rêverie" (Andante), 4. Allegro. | Madrid, Romero, 1887. |
| Sonata No. 6 (T. 88) | Lost. |
| Sonata No. 7 (T. 89) | Only the Minuetto is extant. Madrid, Unión Musical Española, 1962. |
| Suite ancienne No. 1 (T. 62): Gavota, 2. Minuetto. | Madrid, Romero, 1886. |
| Suite ancienne No. 2 (T. 66): 1. Sarabande, 2. Chacone. | Madrid, Romero, 1886. |
| Suite ancienne No. 3 (T. 76): 1. Minuetto, 2. Gavota. | Madrid, Romero, 1887. |

Table 0.1: Clark's list of Albéniz's "eighteenth-century style" compositions. Clark, "Variety within Logic", 110-111.

While Albéniz's use of Spanish musical folklore has been widely acknowledged, his compositional relationship with the eighteenth century has not been systematically studied, even though both

Introduction

Jacinto Torres and Clark have pointed out the strong classical foundations of Albéniz's style.[7] Clark, both in his 1999 biography and in a more recent article has given several arguments that support this claim.[8] First, he points out Albéniz's "rational" attitude towards religion: an attitude directly indebted to Enlightenment thought and which greatly contrasts with that of "his Romantic idol Liszt". Second, he clarifies Albéniz's relationship with nationalism: although Albéniz extensively used Spanish folk music in his compositions, his connection with this material was closer to eighteenth-century conceptions of folk music than to nineteenth-century national reinterpretations of folklore. In the sense that his use of folklore was detached from political meaning, and came closer to the Classical conception of folklore as "the expression of people who lived close to nature and who were the authentic representatives of traditional culture".[9] Albéniz participated in the dominant, *noventayochista* ideology of his time:[10] he was often critical, if not bitter, with his own country, its culture and policies, and, in that sense, would hardly qualify as a political nationalist. Finally, Clark also pointed out Albéniz's "predilection for eighteenth-century genres and forms", as well as the vast eighteenth-century repertoire that he constantly performed as a concert pianist. As a composer, Albéniz's piano sonatas and suites *anciennes* "demonstrate that there was a strong classical streak in Albéniz's musical personality", given their absence of "empty virtuosic display or harmonic ambiguities", their homophonic, two-handed style with a "clear delineation between melody and accompaniment", and the avoidance of an orchestral treatment of the piano and extreme registers.[11] Albéniz's classicism was also manifested in his carefully constructed formal frameworks, his predilection for sonata form, and in his own compositional motto: "variety within logic".

Against a traditional somewhat simplistic encapsulation of Albéniz as a "musical nationalist" in Western music historiography, Clark and Torres, the two most authoritative voices in Albéniz scholarship, paved the way for more comprehensive approaches to Albéniz's music that seek to

[7] Jacinto Torres Mulas, "La inspiración clásica de Isaac Albéniz", liner notes for *Isaac Albéniz: Sonatas para piano n 3, 4, 5. L'Automme*, Albert Guinovart, piano, Harmonia Mundi CD HMI 987007, 1994, 5; reissued 2003 (HMA 1957007). English translation by Christine Losty. And Clark, "Variety within Logic".
[8] Clark, *Isaac Albéniz*, and "Variety within Logic".
[9] Clark, "Variety within Logic", 107.
[10] The term *noventayochista* refers to the so-called *generación del 98:* a group of intellectuals who shared a particular critical attitude to the political regime, and sought to identify and resolve the "essential problems" of the country after the Spanish-American War of 1898.
[11] Clark, *Isaac Albéniz*, 63.

unveil his classical preferences. Classical, as they understood it, refers to a term applied "more generally to the entire eighteenth century, including the Baroque, especially the compositional techniques and dance forms of that period".[12] Whereas these scholars brought to light the documentary evidence that supported their claims, their arguments are mostly ideological and historical. My thesis, on the contrary, seeks to provide the analytical evidence that shows the relevance of eighteenth-century conventions in Albéniz's compositional language. I will study the use of certain harmonic, melodic, and contrapuntal formulas, as well as phrase structure and formal models originated, developed, and associated mostly with eighteenth-century music, and will argue that these were still fundamental in this repertoire. Only by pointing out their significance in this music can we begin to answer questions about Albéniz's style and his place within Western music history. For the remainder of this introduction, I will set out the current state of Albéniz scholarship and critically examine the specifically analytical literature, outline some of the reasons that explain the practical absence of theoretical and analytical literature in Albéniz scholarship, and situate my research within this context.

## The Current State of Albéniz Research

Isaac Albéniz has occupied a uniquely exalted position in Spanish music historiography. His name often appears together with Enrique Granados and Manuel de Falla as the three most important Spanish composers of the late-nineteenth and early-twentieth centuries. Albéniz was one of the primary figures of the so-called "Spanish musical renaissance", a term popularized, if not coined, by Henri Collet in his entry on Spanish Music of the 1920 *Encyclopédie de la Musique*.[13] General Spanish music history books usually devote an entire chapter to the composer.[14] However, in

[12] Clark, "Variety within Logic", 106. In this thesis, and as a general guideline, I preferred to stick with the more general term "eighteenth century". I reserve the term "Classical" (with capital "C") for the narrower meaning it has in Western music history since at least the 1830's, i.e. the music of the mid/late eighteenth century whose main representatives are Haydn, Mozart, and Beethoven. Nonetheless, very occasionally I also use the term "classical" (with lowercase "c") in a more general sense to refer to European art music of the eighteenth and nineteenth centuries.

[13] Henri Collet, "Espagne/Le xix Siècle. Deuxième Partie : La renaissance musicale" in *Encyclopédie de la musique et dictionnaire du Conservatoire*, ed. Albert Lavignac and Lionel de la Laurencie, vol. 4 (Paris : Delagrave, 1920), 2470–2484.

[14] See for instance, Gilbert Chase, *The Music of Spain* (New York: Dover, 1959 [1941]), 150–65. Ann Livermore, *Historia de la música española*. Translated from English to Spanish by Isabel Rocha (Barcelona: Barral, 1974). Carlos Gómez Amat, *Historia de la música española*, *siglo XIX* (Madrid: Alianza, 1984), 305–18. Teresa Cascudo, "Perspectivas modernistas del fin de siglo", in *Historia de la música en España e Hispanoamérica,* Vol.5 *La música en España en el siglo xix* ed. Juan José Carreras (Madrid: Fondo de Cultura Económica, 2018), 678–88.

general Western music history books, he only appears in fleeting mentions as one of those nineteenth-century peripheral, nationalist composers.[15] In 2001, Jacinto Torres summarized the state of Albéniz's research as follows:

> Paradoxically Albéniz is, together with Falla, the Spanish musician about whom most has been written. Yet, except for an extremely small number of serious contributions, ignorance of many sources and idleness or incompetence of their disentanglement is frequently either covered with mere (more or less literary) rhetoric, or otherwise with pure exercises of fantasy and fiction that give a deformed image of the man and his work.[16]

Since the publication of Antonio Guerra y Alarcón's first biography in 1886, when Albéniz was 26 years old,[17] numerous monographs were devoted to the life and works of the composer. After Albéniz's death in 1909, and aside from a few biographical references in articles by Albéniz's contemporaries,[18] the first biography was Henri Collet's 1926 *Albéniz et Granados.* Collet's work became a fundamental reference for future biographers of the composer. Several Spanish-language studies appeared shortly after: Emilio Fornet's in 1927 and Antonio de las Heras's in 1940.[19] In 1948, Victor Ruiz Albéniz (Albéniz's nephew) published another biography relying on his first-hand testimony of his uncle's life. In 1950, Michel Raux Deledicque wrote a "novelistic" account of Albéniz's life as captioned in the title of his book *Albéniz, su vida inquieta y ardorosa* (Albéniz, his restless and burning life). Yet, in Clark's assessment, "the most noteworthy biographical efforts since Collet have come from two other Frenchmen, Gabriel Laplane and André Gauthier".[20] Laplane

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[15] For instance, in Donald Grout, Claude Palisca*, A History of Western Music,* 5th edition (New York; London, Norton, 1996), 676.

[16] "Paradójicamente, Albéniz es—junto con Falla—el músico español sobre el que más se ha escrito, pero salvo por un puñado reducidísimo de aportaciones realmente serias, el desconocimiento preciso de muchos datos y la pereza o la incompetencia para desentrañarlos se han encubierto frecuentemente con mera retórica más o menos literaria, cuando no con puros ejercicios de fantasía y ficción que nos dan una imagen deformada del personaje y de su obra". Torres, *Catálogo,* 17.

[17] Guerra y Alarcón, *Isaac Albéniz*.

[18] Including Tomás Bretón or Felipe Pedrell. Tomás Bretón "En la muerte de Albéniz", ABC (May 21, 1909), 4-5; reprinted in Enrique Franco (ed.), *Albeniz y su tiempo* (Madrid: Fundación Isaac Albéniz, 1990), 121. Felipe Pedrell, *La vanguardia* (15 June 1909). Also appeared in "Albéniz: El hombre, el artista, la obra", in *Músicos contemporáneos y de otros tiempos* (Paris: P. Ollendorf, 1910), 375–81.

[19] Emilio Fornet*, Isaac Albéniz.* Series: Figuras de la Raza, 2/24 (Madrid: A. Marzo, 1927); Antonio de las Heras, *Vida de Albéniz* (Barcelona: Ediciones Patria, 1940).

[20] Clark, *Isaac Albéniz*, 10. Gabriel Laplane, *Albéniz, su vida y su obra.* Translated from French by Bernabé Herrero and Alberto de Michelena (Barcelona: Noguer, 1958 [1956]). André Gauthier, *Albéniz* translated from French to Spanish by Felipe Ximénez de Sandoval. Third edition (Madrid: Espasa-Calpe, 1985 [1978]).

published his *Albéniz, sa vie, son ouvre* in 1956. His book included general descriptions of Albéniz's style, discussions of his individual works and of Albéniz's handling of specific musical parameters, and a catalogue of his works. In her dissertation, Pola Baytelman qualified Laplane's research as "outstanding".[21] Laplane produced the most detailed analytical description of Albéniz's compositions so far, yet his comments are more of a poetic nature and have little analytical substance (an example of Laplane's analytical prose will be considered shortly). Other works in Spanish are Andrés Ruiz Tarazona's *Isaac Albéniz: España soñada*, Xosé Aviñoa's *Albéniz*, and Jose Montero Alonso's Albéniz: *España en "suite*". Overall, all these works have been mostly centred on Albéniz's "adventurous life", as Manuel Martínez Burgos put it.[22] These early biographies perpetuated several myths that have only relatively recently been debunked. As Jacinto Torres has pointed out, Guerra y Alarcón and Albéniz himself launched some of these myths as part of a marketing campaign, when Albéniz was trying to consolidate his reputation as a concert pianist and wanted to launch his compositional career in 1886.[23] Even Albéniz's own later autobiographical accounts contradicted his previous testimony to Guerra y Alarcón.[24] In the end, as Clark summarized it: "like any other struggling artist, he succumbed to the temptation to make himself appear more impressive to the public by improving details of his life story".[25] Subsequent biographers typically relied on Guerra y Alarcón's account, and took some of the questionable biographical information provided in his book at face value.

In terms of more detailed and technical considerations of Albéniz's oeuvre, when these first studies included analytical considerations, they were mostly in the form of casual and superficial comments, sometimes disguised with grandiloquent literary rhetoric but revealing very little

[21] Pola Baytelman, "Albéniz: Chronological listing and thematic catalogue of his piano works" (PhD diss., The University of Texas at Austin 1990), 29.
[22] Manuel Martínez Burgos, "Isaac Albéniz: la armonía en las composiciones de madurez para piano solo como síntesis de procesos tonales y modales" (PhD diss., Universidad Autónoma de Madrid, 2004), 62.
[23] Torres's description of the biography speaks for itself: "A text practically dictated by Albéniz to the writer, of such a propagandistic character as the opus numbers that Albéniz attributed to some of his works and that […] combines real and false data, with whose romantic lies and exaggerations he tried to conquer the attention and interest of the Madrid public". Jacinto Torres Mulas, *Las claves madrileñas de Isaac Albéniz*, (Madrid: Ayuntamiento de Madrid, 2008), 23. See also Torres, "La obra vocal de Isaac Albéniz: songs, mélodies y canciones", *Revista de Musicología* 22/2 (1999): 175.
[24] Clark mentions an interview that Albéniz gave to *Pall Mall Gazette* in 1891 when Albéniz was living in London. The article appeared as "Señor Albéniz at Home: An Interview with the Spanish Pianist", January 30, 1891. 1–2. Clark, *Isaac Albéniz*, 12. As well as some biographical details that Albéniz provided to *Lady* also during his London period. Ibid., 50.
[25] Ibid., 13.

information about the music itself. Laplane's description of "Evocación", from *Iberia*, is worth quoting here as an example of the kind of analytical remarks that one can find in these first studies.

> The first book begins with a piece that could serve as "frontispiece" to the whole and whose undetermined title, "Evocación", manifests that it is a sort of proposition, of free musical dream of fluid contours and "soluble in the air", as Verlaine would say. Nothing more difficult to discern than this theme without limits or secure tonality, attracted, sometimes, by the superior degree that retains it in a moment, while the accompaniment always maintains the atmosphere of the initial A flat.[26]

Despite the absence of informative analytical comments in Albéniz early scholarship, we can discern a progressive tendency towards more careful and technical considerations of Albéniz's output. This tendency culminates with the dissertations of Paul Mast and Manuel Martínez Burgos,[27] and the work of Antonio Iglesias and Walter Clark,[28] and several other North American doctoral dissertations. Nonetheless, these contributions are somewhat limited for the various reasons that I will set out below.

Albéniz scholarship shifted in 1999, when Clark published the most authoritative biography so far. Through a careful study of the primary sources, he debunked many of the myths surrounding Albéniz's biography, providing a much more reliable account of the composer's life. Famous anecdotes about Albéniz's life include his alleged studies with Liszt, his running away from home to concertize, his "failed" entrance examination at the Paris Conservatoire when he was 7 years old, his travels to the Americas as a stowaway, paying his passage with his charm and talent. These anecdotes were mentioned in almost every biography, yet only Clark carried out the task of examining the family correspondence, the Conservatoire's records, contemporary press, and Albéniz's father employment records, and was finally able to clarify all these anecdotes and assert some certainties about all these aspects of Albéniz's life. Clark's analytical comments also stand in

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[26] "El primer cuaderno comienza con una pieza que puede server de frontispicio al conjunto y cuyo título indeterminado, Evocación, manifiesta que se trata de una especie de proposición, de libre sueño musical de contornos flúidos [sic] y como "solubles en el aire", que diría Verlaine. Nada más difícil de discernir que ese tema sin límites ni tonalidad seguros, atraído, a veces, por el grado superior que le retiene un momento, mientras el acompañamiento mantiene siempre la atmósfera de la bemol inicial". Laplane, *Albéniz*, 144.
[27] Paul Mast, "Style and Structure in *Iberia* by Isaac Albéniz", (PhD diss., Eastman School of Music, 1974). Martínez Burgos, "Isaac Albéniz".
[28] Antonio Iglesias, *Isaac Albéniz (su obra para piano)* (Madrid: Alpuerto, 1987).

sharp contrast with the earlier largely superficial discussions of Albéniz's works in previous biographies. His observations include formal descriptions of the pieces, tonal processes, and, perhaps most importantly, reveal some of the folkloric sources and genres that inspired Albéniz. Ultimately, Clark was able to draw a much more complete picture of the man and his work, placing emphasis on Albéniz's cosmopolitanism, his relationship with the French *avant-gardes,* and the important role of certain compositions (stage works fundamentally) traditionally rejected by Albéniz scholarship. Nonetheless, even though it is analytically informative, Clark's work is historically driven and, therefore, it is not deeply engaged with analytical and theoretical discussions. Among Clark's many other contributions to Albéniz scholarship,[29] it is also worth mentioning here his 1998 *Isaac Albéniz: A Guide to Research.*[30] This work locates and sheds light on the many sources dispersed around the world as a result of Albéniz's cosmopolitan and "restless" life, to quote Deledicque; it constitutes an indispensable tool for Albéniz scholars.

Probably as a result of his lifestyle, it is often remarked that Albéniz never kept good track of his compositions. His opus numbers are almost completely arbitrary and practically meaningless; the same compositions were often published with different titles in separate collections, and sometimes even the same piece received different opus numbers in subsequent editions; Albéniz also began several projects that he left unfinished or which he reworked the materials and turned into different pieces. Several scholars have tried to systematize, classify and categorize his works since the end of his life. The first rigorous attempt was Gabriel Laplane's *Albéniz, sa vie, son oeuvre*,[31] which includes a chronological list of Albéniz's works. Laplane himself, as Torres pointed out, "recognized that it was a very incomplete list with a conjectural distribution". In Torres's opinion: "[Laplane] commits the basic mistake of departing fundamentally from opus number indications. This means that, even though it is valuable tool and fulfils its first purpose of outlining the panorama of Albéniz's musical production, it is completely deficient as a tool of scientific work".[32] More than 30 years later, Pola Baytelman-Dorby shed considerable light on Albéniz's

[29] Starting with his PhD dissertation. Walter A. Clark, "´Spanish Music with a Universal Accent´: Isaac Albéniz's Opera Pepita Jiménez (PhD diss., University of California, 1992). "Isaac Albéniz's Faustian Pact: A Study in Patronage". *The Musical Quarterly*, Vol. 76 no. 4, 1992: 465–87. "King Arthur and the Wagner Cult in Spain: Isaac Albéniz's Opera *Merlin*" in *King Arthur in Music*, ed. Richard Barber (Cambridge: D.S. Brewer, 2002), 51–60. "Bajo la Palmera: Iradier, Albéniz and the Lure of the Cuban 'Tango'", in *Antes de Iberia, de Masarnau a Albéniz: Actas del Symposium FIMTE 2008,* ed. Luisa Morales and Walter Clark (Garrucha, Spain: Asociación Cultural LEAL, 2009), 141–49.

[30] Walter A. Clark, *Isaac Albéniz: A Guide to Research* (New York; London: Garland, 1998).

[31] Laplane, *Albéniz.*

[32] "[Laplane] comete el error básico de que 'se basa fundamentalmente en las indicaciones de opus'. Esto hace que, aun tratándose de una herramienta muy apreciable y aunque cumpla su primer objetivo de trazar

pianistic production with the catalogue included in her doctoral dissertation. This ground-breaking work became later published as *Isaac Albéniz: Chronological List and Thematic Catalog of His Piano Works*.[33] It is the first thematic catalogue of Albéniz's music ever published. However, as valuable as this contribution was, subsequent scholars pointed out that Baytelman's catalogue still contained several errors.[34] It was only in 2001 that Jacinto Torres published "the most thorough, scientific, and reliable catalogue of Albéniz's music ever",[35] his monumental *Catálogo sistemático descriptivo de las obras musicales de Isaac Albéniz*. Torres's careful examination of the sources served to point out many of the errors perpetuated by previous scholarship and to finally assert quite some certainties with respect to Albéniz's works and their chronology. In Clark's opinion: "It is as complete and accurate as possible and will unlikely ever be superseded".[36] Torres, by providing a precise, extremely well-documented catalogue of Albéniz's entire output, laid the groundwork for any subsequent research on Albéniz. His catalogue constitutes an invaluable source of historical information about Albéniz's compositions, and is a fundamental reference work for Albéniz scholars.

In recent years, there has been a considerable rise in doctoral dissertations on Albéniz's music in North America.[37] Yet, these are mostly written from a performer's perspective, are modest in size,

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un panorama de la producción musical de Albéniz, resulte por completo deficiente como instrumento de trabajo científico". Torres, *Catálogo*, 18.

[33] Pola Baytelman, *Isaac Albéniz. Chronological List and Thematic Catalog of His Piano Works* (Michigan: Harmonie Park Press, 1993).

[34] "Some problems persist in her ordering". Clark, *Isaac Albéniz*, 45. "*[D]e manera tan lamentable como comprensible, presenta abundantes deficiencias en la descripción e identificación documental de fuentes, manuscritos y ediciones*". Torres, *Catálogo*, 19.

[35] Walter A. Clark, "Review of Catálogo sistemático descriptivo de las obras musicales de Isaac Albéniz". *Notes of the Music Library Association* 59/2 (2002): 332.

[36] Ibid.

[37] These include: Maria Selleck-Harrison, "A Pedagogical and Analytical Study of 'Granada' ('Serenata'), 'Sevilla' ('Sevillanas'), 'Asturias' ('Leyenda'), and 'Castilla' ('Seguidillas') from the Suite Española, op. 47 by Isaac Albéniz" (PhD diss., University of Miami, 1992). John Robert Redford, "The Application of Spanish folk Music in the Piano suite 'Iberia' by Isaac Albéniz" (PhD. diss., University of Arizona, 1994). Lisa Michele Lewis, "Twelve Nouvelle Impressions: Historical and Cultural Factors Relating to the Performance of Isaac Albéniz's 'Iberia' Suite" (PhD diss, University of Washington, 1998). Milton Ruben Laufer, "Isaac Albéniz and 'La Vega': A publication history and new edition". Rice University, 2003. Myungsook Wang, "Isaac Albéniz's *Iberia* and the influence of Franz Liszt", (PhD diss., City University of New York, 2004). Anne-Lise Longuemare, "Nationalism and exoticism: Performing Isaac Albéniz's 'Iberia'" (PhD diss., University of California, Los Angeles, 2004). Yoon Soo Cho, "The Spanish guitar influence on the piano music of Isaac Albéniz and Enrique Granados: a detailed study of Granada and 'Asturias' of 'Suite Española' by Albéniz and 'Andaluza' y 'Danza Triste' of 'Doce Danzas Españolas' by Granados" (PhD diss., The University of Texas, 2006). Sonia Rodríguez Bermejo, "Discovering Isaac Albéniz as a Song Composer" (PhD diss, University of

and most of them are centred on *Iberia*. Overall, their main goal is to guide the interpreter of Albéniz's music, and to provide historical, cultural, and analytical information that would result in a more sensitive and historically informed performance. Nonetheless, some of the analytical considerations raised in these dissertations are considered and included in my own analysis. As valuable as these contributions might be, this scholarship is not deeply engaged with contemporary theoretical and analytical research, and, therefore, does not produce significant contributions to that field. Thus, it is safe to conclude at this point, that although Albéniz is a significant figure in the history of Spanish music, scholarly work has generally centred on biographical and historical questions, and only in relatively recent times has more attention been paid to the analysis of his works, although mostly from a performance perspective. One of the reasons for the lack of analytical/theoretical studies in Spain is the absence of music theory or music analysis as formal, independent academic disciplines in that country. The only Spanish analytical studies devoted to Albéniz's works are by the performer/composer Antonio Iglesias, and the composer Manuel Martínez Burgos.[38] These works, together with Paul Mast's dissertation, comprise the totality of entirely analytical or theoretically driven studies of Albéniz's work. As such, these three studies deserve a more detailed consideration at this point.

## The Analytical Studies of Mast, Iglesias, and Martínez Burgos

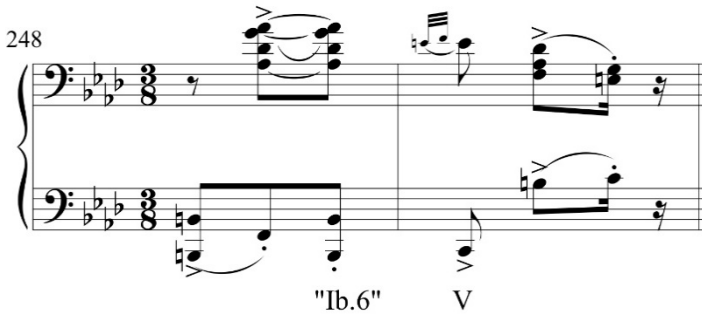
The credit of being the first analytically driven study of Albéniz's works goes to Paul Mast's 1974 PhD dissertation ("Style and Structure in Iberia by Isaac Albéniz"). Mast's work was in dialogue with contemporary theory and analysis. As Clark has put it, "it was one of the first attempts to apply modern methods of theoretical analysis to Spanish music with a folkloric basis".[39] Despite the long time that has passed since its publication, Mast's work has aged well. It offers very sensitive analytical insights that are grounded in his knowledge of contemporary theoretical literature. As an example of Mast's analytical findings that were also incorporated in later scholarship, we could mention his "discovery" of the "Iberian" chord: a particular augmented-sixth chord in *Iberia* that results from the combination of both "French" and "German" augmented chords, producing a characteristic clashing semitone. An Iberian chord as identified by Mast appears in Example 0.1

Cincinnati, 2010). Jamie Kyung Namkung, "The rise of Spanish Music in the Late Nineteenth Century an Examination of Isaac Albéniz's *Iberia*" (PhD diss., Northwestern University, 2014).

[38] Iglesias, *Isaac Albéniz.* Manuel Martínez Burgos, "Isaac Albéniz".

[39] Clark, *Isaac Albéniz*, 6.

below.[40] Overall, Mast's work offers interesting analytical information about *Iberia*, and thus, still constitutes an important reference for Albéniz scholars. Mast's dissertation includes a general discussion on Albéniz's handling of different musical parameters in *Iberia* (rhythm, harmony, melody), a brief biography of the composer, general remarks on Spanish music, flamenco, and its placement on a wider European context, and a detailed discussion of the individual pieces of the collection. It concludes with well-founded observations on the musical language of *Iberia* as a whole, emphasizing the role of nineteenth-century functional harmony, Spanish folklore, and reducing the importance of French modernism.




Example 0.1: "Iberian 6" chord in "El Polo", from *Iberia*. As quoted in Mast, "Style and Structure", 158

Antonio Iglesias's work was published in 1987 and it was centred exclusively on Albéniz's piano pieces.[41] He provides detailed but dry formal divisions of the pieces in question, points out the main keys, and refers to the folkloristic genres Albéniz recreates. Rather than providing insights of Albéniz's compositional techniques, his analytical procedures resemble a formal dissection of the pieces in question. Jacinto Torres described Iglesias's work in a sharp and somewhat caustic manner: "[Iglesias] gives himself up to a cumbersome and repetitive exercise of commented crumbling of Albéniz's pieces".[42] Even though sometimes Iglesias's analytical judgements are questionable and his analysis lack solid theoretical foundations—especially considering that Iglesias's work stands apart from recent developments in Anglo-Saxon and German scholarship—

[40] Mast, "Style and Structure", 158. Clark, *Isaac Albéniz,* 1999, 227.
[41] Iglesias, *Isaac Albéniz*.
[42] "[…] entregándose [Iglesias] a un farragoso y repetitivo ejercicio de desmenuzamiento comentado de las piezas albenicianas". Torres, *Catálogo*, 19–20.

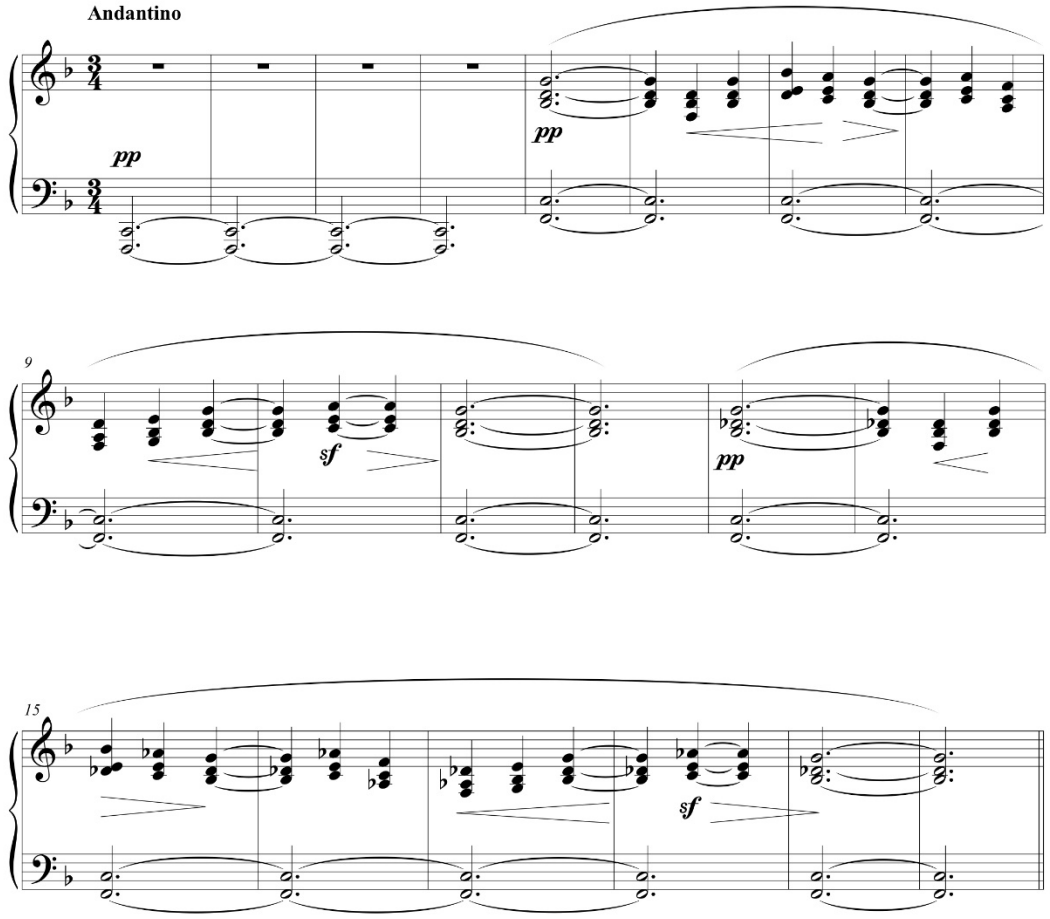
Iglesias's study has the merit of being the first entirely analytically-driven study of Albéniz's compositions in Spanish.

Martínez Burgos's dissertation focuses on Albéniz's late piano works, and seeks to demonstrate that Albéniz's mature musical language consists of the synthesis of tonal and modal harmonic elements through three different processes: juxtaposition, superposition, and integration. He demonstrates a deep knowledge of the history of Western music theory, and more concretely, of the histories of the concepts of tonality and modality. Yet, his analysis offers little reflection on some of the more pressing debates in the field. In other words, his analytical praxis is isolated from contemporary analytical research, and, in that sense, despite his more technical and sophisticated language, his work can be paired with Iglesias's. Overall, Martínez Burgos seeks to reassess the importance of Albéniz in the history of Western music. The boldness of Albéniz's compositional language lies in his introduction of "polytonality" and "polymodality" at the end of the nineteenth century. In other words, his purpose is to show how innovative Albéniz's harmonic language was, and more in general, demonstrate Albéniz's originality. Martínez Burgos also provides lengthy and detailed analytical discussions of the pieces. Yet, while some of his conclusions and findings constitute a definitive contribution to the field, some of his analytical choices are questionable and cast doubt on his overall project. Let us consider, for instance, his analysis of the beginning of "Córdoba", composed in 1894 and shown here as Example 0.2.

Martínez Burgos writes that "the first phrase (bb. 1–12) develops a melody in G Dorian".[43] This is followed by a second phrase (bb. 13–20) that repeats the melody but "adapts it to a Locrian mode with a major sixth".[44] Following this argument, the two phrases conclude with two cadences: b. 11 Dorian, and b. 19 Locrian. Since these modes are underlined by a double pedal based on F and its fifth, both keys (G Dorian/Locrian and F major) are present at the same time. In his own words: "there exists in i1 (bb. 1–29) a modal tendency in the right hand that is contrasted with a double pedal based on the interval of the fifth, a clear tonal bulwark. This entails a certain synthesis of

[43] Clark also says the melody in G Dorian. Clark, *Isaac Albéniz*, 100.
[44] Martínez Burgos, "Isaac Albéniz", 163.

superposition, where one musical layer functions over a modal harmony and other reposes in the tonal stability of the perfect fifth".[45]




Example 0.2: Albéniz, "Córdoba", bb. 1-20

However, there is no reason to hear the different musical parameters as independent from one another, and, in this case, it seems quite artificial and arbitrary to separate and analyse them as different categories on equal footing. Following this argument, it would be also necessary to say that, in the right hand, the "alto" is on D Aeolian, and the "tenor" on B♭ Lydian. It is true that, in

[45] "Existe en todo i1 una tendencia modal en la mano derecha que se ve contrarrestada por un doble pedal basada en el intervalo de 5ª, claro valuarte [sic] tonal. Esto conlleva una cierta síntesis de superposición, donde un estrato musical funciona sobre una armonía modal y otro reposa en la estabilidad tonal de la 5ª justa". Martínez Burgos, "Isaac Albéniz", 164.

these initial bars, the melody revolves around G; but the melody does not function independently from the underlying pedal point, and G is still perceived as the second scale degree of F. Martínez Burgos's analysis becomes even more convoluted when he views the second phrase (13-20) in G Locrian with a major sixth, when, in fact, the key becomes simply F minor—the e natural of the harmonic minor scale points clearly to the key of F.

This constitutes a particularly revealing example of Martínez Burgos's analytical procedure, and questions his analytical criteria and methodology. In my view, we cannot speak of "polytonality" or "polymodality" in Albéniz's work. To do so leads to serious misunderstandings driven by the zeal to assert Albéniz's originality, in a teleological vision of music history based on the idea of progress.[46] However, this does not necessarily mean that some of Martínez Burgos's observations are not accurate and do not constitute a genuine contribution to the field. For instance, his analysis of "Asturies" from *Souvenirs* provides a good example of what he calls a "synthesis by juxtaposition".[47] This refers to the use of the Phrygian mode in the second theme, which provides the necessary tonal contrast while functioning as a structural dominant of the piece.[48] To my knowledge, Martínez Burgos was not only the first one to draw attention to this phenomenon, but also the first one to consider seriously this neglected work, and to point out that "Asturies" anticipates some of the tonal and formal processes of *Iberia*. A more detailed consideration of "Asturies" will be given in Chapter 5.

The scant analytical literature centres on Albeniz's piano music, and, most fundamentally, on *Iberia*. Yet, Albeniz also composed numerous vocal works, symphonic pieces, and devoted a substantial part of his career to writing operas and zarzuelas. Even though musicologists have paid some attention to this repertoire over the last decade of the past century, starting with Walter Clark's pioneer work, these studies are historical in nature and, with the exception of Clark's dissertation (discussed below), very seldom include substantial analytical observations.[49] In general, such

[46] My idea of originality with respect to Albéniz's work is implicitly formulated in Chapter 2, building on Leonard Meyer's work. Meyer, *Style and Music: Theory, History, and Ideology.* Studies in the Criticism and Theory of Music (Philadelphia: University of Pennsylvania Press, 1989).
[47] Martínez Burgos, "Isaac Albéniz", 244–62.
[48] This piece will be described in detail in Chapter 5.
[49] Marta Falces, "Albéniz en Inglaterra, una etapa oscura", *Revista de Musicología* 14/1-2. III Congreso Nacional de Musicología (enero-septiembre 1991): 219–24. Jacinto Torres Mulas, "La producción escénica de Isaac Albéniz", *Revista de Musicología* 14/1-2. III Congreso Nacional de Musicología (enero-septiembre 1991): 167–211. Clark, "Isaac Albéniz's Faustian Pact: A Study in Patronage". *The Musical Quarterly*, Vol. 76 no. 4, 1992: 465–87. Marta Falces*, El paco de Fausto: Estudio lingüístico-documental de los lieder ingleses de Albéniz sobre poemas de F.B. Money-Coutts* (Granada: Universidad de Granada, 1993). Clifford Bevan,

scholarship has not only reassessed the important role of stage and vocal music in Albéniz's oeuvre, traditionally disdained by most commentators,[50] but also re-evaluated Albeniz's relationship with his English friend, librettist, and patron Francis Money-Coutts, a relationship that was traditionally described as counterproductive, to say the least.[51] In the following lines, I will discuss some of the works that are important from an analytical perspective, pointing out the weight of analytical considerations, their significance, and, more in general, the importance of the stage production in Albéniz's compositional development.

## Analysis of the Stage Works

In his dissertation, devoted to *Pepita Jiménez*, Clark already provided arguments that point out and reassess the importance of Albéniz's stage works in his compositional career.[52] The technical requirements posed by the dimensions of the opera required a different handling of form and new ways of developing themes and motives that went beyond the repetition and transposition of themes characteristic of his first piano pieces. Both *Pepita Jiménez* and *Merlin* dispensed with the traditional organization in numbers in favour of a continuous musical prose. As Clark put it: "the demands of continuity and unity required the use of recurring or 'leading' themes, which are subjected to variation and reinterpretation. Like the melodies in *Iberia*, these are built up of motivic cells that allow not only for development but for dramatic association among the various themes".[53] Moreover, these works also display more complex textures that demanded his best contrapuntal efforts, as we can see in *Pepita Jimenez* (for instance, in the fugue with which the character Antoñona is introduced), *Merlin* (the combination of leitmotivs in Arthur's appearance in the third act—Mer/218).[54] Such contrapuntal virtuosity was also latter on display in *Iberia* (for instance, in

"Albéniz, Money-Coutts and 'La Parenthèse Londonienne'" (PhD diss., University of London, 1994). Torres, "La obra vocal de Isaac Albéniz: songs, mélodies y canciones", *Revista de Musicología* 22/2 1999: 165–219. José de Eusebio, "Albéniz y la composición trascendente", in *Wagner-estética: ensayos sobre la obra musical y estética de Richard Wagner*, ed. Isabel Febles y Sonia Mauricio Subirana, (Las Palmas de Gran Canaria: Universidad de Las Palmas de Gran Canaria, 2010), 117–68. Rodríguez Bermejo, 2010.

[50] Chapter 1 will discuss this more in detail.

[51] For instance, Edgar Istel accused Coutts of doing Albéniz "incalculable damage humanly and artistically", and even of being responsible for Albéniz's death! Edgar Istel, "Isaac Albéniz", *The Musical Quarterly* 15 (1929): 136. Translated by Frederick H. Martens. For Laplane this was "a union against nature". Gabriel Laplane, *Isaac Albéniz su vida y su obra*, 104. Translated in Clark, *Isaac Albéniz*, 104.

[52] Clark, "Spanish Music with a Universal Accent".

[53] Ibid., 324–5.

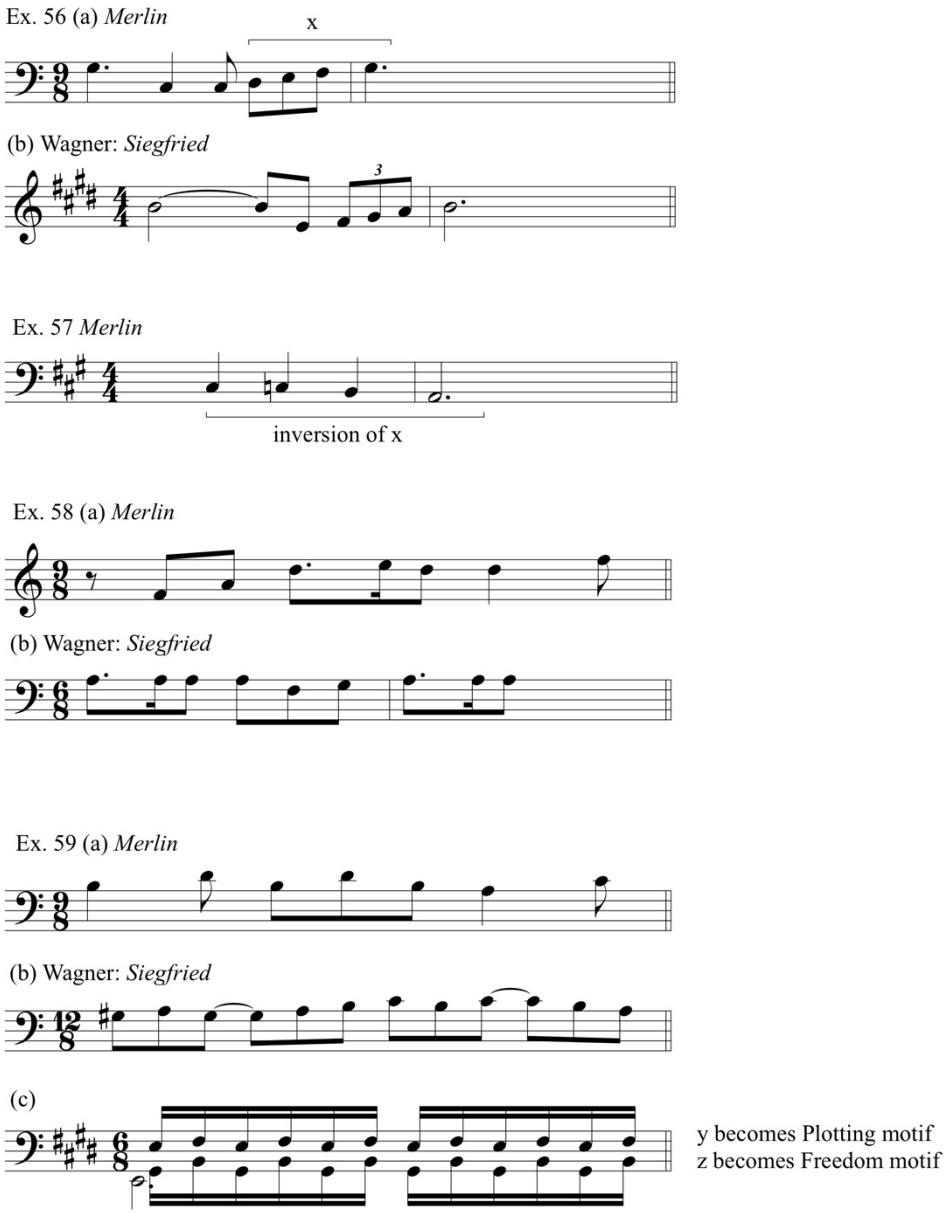
[54] This refers to the 1907 vocal edition of *Merlin* published by edition Mutuelle.

the combination of main themes in the development sections of "Rondeña" or "El Corpus"). The stage works also helped him develop his orchestration skills, to the point that, as Clark summarized, instead of thinking of the orchestra as a big piano, as many critics complained, "[Albéniz] was thinking instead of the piano as a self-contained orchestra".[55] With respect to the individual role *Pepita Jiménez* played in Albéniz's compositional development Clark concludes: "the particular significance of *Pepita Jiménez* lies in the fact that it represents Albéniz's first attempt to apply all of the elements of technical control discussed above to the national idiom that was his real calling. It thus formed an important milestone of the road to *Iberia*".[56] As Paul Mast suggested, Albéniz's stage works were "probably the best composition lessons he ever had",[57] and without them, *Iberia* would have been inconceivable. In addition to the assessment of the role of *Pepita Jiménez* within Albéniz's career, historical information about the production of the opera, its reception, and a fundamental revaluation of Albéniz's and Coutt's relationship, Clark also incorporated an analysis of *Pepita's* main themes, as well as a discussion of Albéniz's handling of tonality, form, and rhythm. Although Clark's analytical comments are not, by far, the last words that can be said about *Pepita*, they constituted a fundamental first step in the analysis of Albéniz's stage works.

Clark's solid analytical work, however, contrasts with some of the analytical comments provided in other studies. For instance, Clifford Bevan's dissertation included a classification of the *Leitmotivs* of *Merlin*, Albéniz's opera on an Arthurian subject with libretto by Money-Coutts. Bevan's classification, quoted here as Example 0.3, compares *Merlin's Leitmotivs* with some of Wagner's most famous themes. He also describes them and assigns them a particular function in *Merlin* and in the *King Arthur* trilogy without much explanation. A brief examination of his first motive will illustrate my point. As can be seen in Example 0.3, Bevan compares his first motive (labelled motive "a" and described as a "rising figure" on another table)[58] with Wagner's "*Friedensmelodie*" from the third act of *Siegfried*. He also states that this motive first appears on page 2 of the prelude of the first act, omitting any other concrete reference. Given his description of the gesture as a "rising figure" based on the tail of the *Leitmotiv*, all the motives that could be compared with the tail of the "*Friedensmelodie*" in the prelude lack any concrete resemblance: whether in terms of intervallic content, functionality of the tones within the key, or metrical placement of the figure. Bevan's *Friendensmelodie* motive as it is quoted in his example appears only once in the first two acts of the

[55] Clark, "Spanish Music with a Universal Accent", 327.
[56] Ibid., 328.
[57] Mast, "Style and Structure", 378.
[58] Clifford Bevan, "Albéniz", 192.

opera, and it is sung by *Merlin* and not placed in the orchestra as it is customary with Albéniz's (and Wagner's) *Leitmotivs*. It is true, however, that the motive reappears in the third act and assumes a prominent role. Yet, this is not mentioned by Bevan. In all places identified by Bevan the motive lacks the recurrence, autonomy and salience associated with a *Leitmotiv*. To sum up, Bevan's analytical choices lack any explicit criteria, and, consequently, his *Leitmotiv* selection appears arbitrary. Bevan's analysis of the opera confuses the reader of his dissertation and the listener of *Merlin* more than it helps him/her. Nonetheless, the historical contributions of Bevan's dissertation contrast with his careless analytical inputs. In that sense, Bevan's work contributed to shed considerable light on Albéniz's period in London, his relationship with his patrons Henry Lowenfield and Francis Money-Coutts, and his activities as composer, performer, and impresario.




Example 0.3: Bevan's *Leitmotivs* selection. Bevan, "Albéniz", 194

## Methodology and Conclusion

While it is true that in recent times several doctoral dissertations on Albéniz's works have been written, and that there has been a tendency towards more technical studies of Albéniz's oeuvre, analytical/theoretical research (with the exceptions discussed above) is still scant and circumscribed to very limited repertoire. As I have argued, the available literature either contains serious problems, is outdated, or does not engage with important theoretical and analytical

scholarship. Albéniz occupies a difficult position in that respect. On the one hand, even if he was one of the most important Spanish composers of late nineteenth and early twentieth century, his music only appears fleetingly in the canon of Western music history classes or analysis courses, and, consequently, his compositions are hardly ever considered worthy of deep analytical investigation. A certain historiographical tradition has tended to depict Albéniz as an improviser who lacked the abilities of a skilled composer and, more in general, to portray Spanish musicians as having enormous talents and inspiration yet lacking technique (see Chapter 1). From this point of view, one might question the point of engaging intellectually and technically with music that lacks solid intellectual and technical foundations. On the other hand, although an extremely important figure in the history of Spanish music, given the absence of music theory and analysis as formal academic disciplines, Albéniz's work has not received analytical attention from Spanish scholars, with the exception of Iglesias's and Martínez Burgos's works. In the end, there are still many unanswered questions about Albéniz's musical language, his compositional processes and techniques, his relationship with the classical or "common-practice" tradition, and, in general, his placement within Western music history.

The analytical void in Albéniz's scholarship, the lack of technical studies of his work, and Albéniz's position within the canon have contributed to perpetuate a stylistic assessment of Albéniz's oeuvre that merely relies on a single element of his musical idiom: Spanish folklore. "The characteristic view we usually have of Isaac Albeniz is a champion of late-Romantic and early-modern *españolismo",* writes Clark.[59] Indeed, Albéniz often appears in music history books as a nationalist composer who relied on folk music as his main source of inspiration. In that sense, the musical world has taken Albéniz as the epitome of "authentic" Spanish music of the *fin de siècle*, just as Debussy wrote:

> Among the Spanish musicians of today the most typical, perhaps, is Albéniz. He has drunk at the springs of folk music deeply enough to be absolutely imbued with its style and its very spirit. The profuseness of his imagination is positively stupendous; no less so his capacity for creating atmosphere.[60]

[59] Clark, "Variety within Logic", 106.
[60] Quoted in Matthew Brown, *Debussy's Iberia* (Oxford: Oxford University Press, 2004), 59.

This narrow vision of Albéniz carries the risk of an aesthetic judgment that merely relies on his ascription to a nationalist musical language, and which considers other compositions not directly inspired by Spanish folklore as outside of his principal style and unworthy of deep engagement. From this perspective and from an analytical point of view, given the peripheral status of this music, it might suffice to point out its folkloric inspiration. In other words, since its marginal position in the canon is gained by virtue of its exoticism, a superficial reference to the "original" folkloric genres it evokes might satisfy the analytical needs. This would also explain why certain pieces that do not conform to the Spanish paradigm remain unstudied and rarely performed, and, why an incredible part of his compositional output, namely his stage works, have been until very recently completely dismissed. At the same time, it would explain why analysts have overlooked other elements of his works that decisively contributed to the forging of his musical language in the first place. Albéniz's style was much more that blatant *españolismo.* Clark, answering Gilbert Chase's critique of *Pepita Jiménez* put it in this way: "what is most remarkable about Albéniz's opera is the cohesion that arises out of this multiplicity of stylistic influences, a true case of *e pluribus unum*".[61]

In response to the critiques against music for its lack of intellectual foundations, some scholars argued that these negative comments were the result of inadequate assessment criteria, and that Spanish music needed to be judged "on its own terms", and not according to "northern [European] standards".[62] The approach I pursue, however, is precisely the opposite: by showing the persistence of eighteenth-century conventions in the music of Albéniz, I will argue for the applicability of certain "northern" analytical methodologies and theories. My task in this thesis is to unveil aspects of Albéniz's compositional language that have been largely ignored because of his historiographical typecasting as a musical nationalist. In a sentence, my PhD dissertation will present a comprehensive analytical study of Albéniz's works that emphasizes the fundamental role of eighteenth-century conventions in the conformation of his musical language. To point these out, I will employ recently developed analytical and theoretical methodologies. These will include most fundamentally schema theory and formal-function theory. Although each chapter will describe in detail these methods and describe some of their theoretical foundations, it is worth introducing them here.

[61] Clark, "Spanish Music with a Universal Accent", 31.
[62] Sydney Grew, "Modern Spanish Music", in *Spain, a Companion to Spanish Studies*, ed. Allison Peers (London: Methuen & Co., Ltd.,1956), 248–9.

## Schema Theory:

Schema theory will be used to pin down the different elements that conform Albéniz's style and to establish relations with other repertoires, styles, and genres. Schemata, as conceived by Robert Gjerdingen in *A Classic Turn of Phrase* and in *Music in the Galant Style*,[63] are understood here as ideal representations of conventional melodic, contrapuntal, and harmonic progressions, and are especially used to illustrate the persistence of certain formulas from the Galant style, as well as to show their adaptations to other stylistic contexts and their interaction with other elements of Albéniz's music.

## Formal-Function Theory:

William Caplin has developed Arnold Schoenberg's and Erwin Ratz's theories of formal syntax, and his work is a fundamental reference in contemporary *Formenlehre.* Caplin's formal-function theory considers the syntactical roles played by various parts/sections of a particular musical work in relation to the whole, and the capacity of different compositional techniques to express musical temporality within the beginning-middle-end temporal paradigm, ultimately resulting in well-defined archetypical formal constructions. Caplin developed a precise and yet flexible analytical methodology whose terminology has become standard in theory and analysis undergraduate courses across Europe and North America. In particular, Caplin's theme types, i.e., archetypal schemata that account for the structure and compositional features of most Classical themes, have acquired paradigmatic status. Chapters 3 and 4 will focus on two of the most important theme types of Classical formal organization: the sentence and the period, and their role in the music of Albéniz. In a more general sense, Caplin's theory illustrates how motives, cells, and phrases are put together to create larger units, and, more importantly, it will be used here to point out connections with Classical procedures of phrase construction. Although Chapter 3 will be the one that engages with Caplin's work more in depth, throughout this entire thesis I adopt Caplin's approach and terminology.

[63] Robert Gjerdingen, *A Classic Turn of Phrase: Music and the Psychology of Convention.* Studies in the Criticism and Theory of Music (Philadelphia: University of Pennsylvania Press, 1988), and *Music in the Galant Style* (New York: Oxford University Press, 2007).

## Other Approaches and Influences:

Although these are the most fundamental methodologies used in this dissertation, other important developments in the field of music theory and analysis will be taken into account in due course. For instance, since Albéniz's tonal and formal plans remained highly rooted in common-practice tonality, I use Schenkerian-inspired graphs exclusively using the bass staff to illustrate large-scale tonal and sometimes local harmonic progressions. I find Schenker's notation particularly useful to illustrate hierarchical tonal relationships. These graphs will be used in chapters dealing directly or indirectly with sonata form: Chapters 4 and 5. In these chapters, I also address the work of Hepokoski and Darcy and their highly influential "Sonata Theory".[64] Some of their concepts (medial caesura, default levels, and their sonata typology) are employed in these chapters. These concepts and terminology are fundamentally used with the purpose of situating certain features of Albéniz's sonatas within eighteenth-century rhetorical signs, and, more in general, within eighteenth-century generic conventions.

This dissertation—in particular Chapter 2—is deeply influenced by Leonard Meyer and his concept of style. In particular, Meyer's stylistic "constraints" and his distinction between "rules" and "strategies" serve to establish commonalities and differences with eighteenth-century music.[65] My discussions of phrase rhythm and phrase expansion are greatly indebted to William Rothstein[66] and to the eighteenth-century theorist Heinrich Christoph Koch, whose work is becoming increasingly popular, to the extent that a new branch of contemporary theory and analysis is now sometimes called "neo-Kochian".[67] Finally, the impulse behind this study and the very title of this dissertation is inspired by Arno Mayer's *The Persistence of the Old Regime.*[68] Mayer showed how institutions, economic/power-structures, and ideologies directly linked to the *Ancient Regime* still persisted in Europe at least until the outbreak of First World War, and how this was a violent outburst of the "old order fighting to prolong its life".[69]

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[64] James A. Hepokoski and Warren Darcy, *Elements of Sonata Theory Norms, Types, and Deformations in the Late Eighteenth-Century Sonata* (New York; Oxford: Oxford University Press, 2006).
[65] Leonard Meyer, *Style and* Music, 8–23.
[66] William Rothstein, *Phrase Rhythm in Tonal Music* (New York: Schirmer Books, 1989).
[67] See for instance Poundie L. Burstein, *Journeys through Galant Expositions* (New York: Oxford University Press). Oxford scholarship online. https://dx.doi.org/10.1093/oso/9780190083991.001.0001.
[68] Arno J. Mayer, *The Persistence of the Old Regime: Europe to the Great War* (London: Verso, 2010). I thank Francisco Romero Salvadó for introducing me to this work.
[69] Ibid., 4.

My thesis constitutes the very first attempt to apply recent theoretical and analytical methodologies to this repertoire, methodologies that were typically centred around the Germanic canon, and quite often circumscribed to the eighteenth century and the Classical style. This will also test how much flexibility these methodologies admit, and specifically to what extent is possible to apply them to the music of a Spanish composer of the late nineteenth century. In that sense, I will not only explore Albéniz's exact usages of certain conventional formulae (harmonic, contrapuntal, formal) that originated in the eighteenth century, but also study how Albéniz adapted them to his own music, placing particular emphasis on how they interacted with elements of Spanish folklore. This approach raises a number of interesting questions: how the different genres of Spanish folklore fared with sonata form? How Galant schemata like the Prinner or the Indugio are used in famous Spanish-style compositions? What is the role of the Phrygian mode, one of the best-known cliches of Spanish music, in sonata form? How are Albéniz's themes structured and did he adjust their syntax to meet different generic constraints? And, more in general, how did Albéniz adapt all these different elements so that they can function together? In addressing such questions, my aim is to lay some groundwork for the establishment of adequate methodologies for the study of this music in a systematic but flexible manner. By confronting Albéniz's music with methodologies applied to the common-practice period, we will be in a better position to elucidate what is distinct and original about Albéniz's music. In that sense, my dissertation will ultimately answer questions about Albéniz's compositional techniques, formal and tonal characteristics of his music, his relationship with tradition, and shed light on slippery concepts like innovation and originality in this music. Thus, this study not only fills in an analytical void in Albéniz scholarship, but also contributes to more general theoretical and analytical research, participates in current debates in these areas, and, consequently, puts Albéniz in dialogue with recent developments in the field.

While the few available analytical studies of Albéniz's music are circumscribed to a single work or a limited number of works, this thesis is the first analytical study that considers the breadth of Albéniz's output, aiming to be comprehensive. Some readers may feel that I do not pay enough attention to particular works or that important pieces have been left out. Indeed, due to time and space constraints, I could not incorporate many compositions that would be worth analysing—the most notorious absence being his songs. I believe, though, that my analytical selection has been substantial enough, and, especially, that it has included compositions comprising practically Albéniz's entire compositional career to be called comprehensive. I have tried to choose the examples that better suit the necessities of the project and that better exemplify the analytical

points that I am trying to illustrate. Except for Chapter 1, each section of this dissertation will focus on a particular aspect and compositional technique, placing more or less emphasis on one or several of the above-mentioned analytical methodologies. Chapter 1 explores the intellectual context in which the reception of Albéniz's music took place, and explains how certain ideologies developed during the French Enlightenment shaped the aesthetic and technical assessment of his music in particular and Spanish music in general; Chapter 2 describes the role of conventional Galant musical formulae in Albéniz's works, shows how in certain pieces Albéniz evoked Galant phrase structure, and lays the foundation for possible expansions of schemata-based approaches beyond the Galant style; Chapter 3 studies Albéniz's use of a particular syntactical formulation originated in the eighteenth century and first described by Arnold Schönberg: the sentence; both in the expositions and development sections of Albéniz's compositions; Chapter 4 explains how Albéniz employed the quintessentially Classical theme-type: the period; and, finally, Chapter 5 studies Albéniz's handling of what became the hallmark of Classical large-scale formal organization: sonata form.

## Chapter 1: The European Anomaly

> Spanish musical inspiration has not proceeded, in the majority of cases, from highly cultivated intellects nor refined tastes but from the healthy temperaments of artists of the people. This popular basis and non-intellectual quality may be observed invariably in Spanish music.[1]

The idea that Spanish music lacked intellectual foundations seems to have hold strong sway among both foreign and Spanish historians. Sometimes, authors relied on more or less elaborated historical explanations that could somehow justify claims about an absence of compositional craftsmanship, pointing out the absence of a solid symphonic tradition and the lack of orchestras—especially in comparison with other European countries like Germany and Austria—, mentioning the audience's preferences for short and simple compositions, or appealing to the nature of the musical materials derived from Spanish folklore.[2] In some other cases, however, writers explained the lack of intellectualism of Spanish music by appealing to some innate qualities of Spanish people:

> As conquistadores they were supreme; the problems of constructive colonization showed their weakness. Boundless energy in the thrill of action, […] but scant patience for the routine task of consolidation, of reasoning, of laborious study. Spain's greatest authors have been men of intensely active life who have done things and forborne to theorize. […] The results of this lack of continuous application, of rigorous impersonal thought, are apparent in every manifestation of the Spanish genius. Its achievements are of the nature of sudden flashes of inspiration, brilliant conceptions marred by mediocre development and faulty judgement in detail.[3]

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[1] Adolfo Salazar, *Music in Our Time*: *Trends in Music since the Romantic Era*. Translated by Isabel Pope (New York: W.W. Norton, 1946), 304.
[2] James A. Michener, *Iberia: Spanish Travels and Reflections* (Greenwich, Conn.: Fawcett Publications, Inc., reprint of Random House, Inc. edition, 1968), 579.
[3] William C. Atkinson, "Spain: The Country, its Peoples and Languages", in *Spain, A Companion to Spanish Studies*, ed. Alison Peers (London: Methuen & CO., Ltd., 1956), 25–26.

In an attempt to defend Spanish music from its critics, Sidney Grew, writing in 1956, argued that it needed to be judged "in its own terms", and not according to Northern European standards:

> Intellectually it [Spanish music] is erratic, in that where *with Northern music* [i.e., from Northern Europe] *we have well packed logical development, with the Southern [music] we may have long flights of apparently irresponsible melismata or florid cadenza.* […] These objections are fatal, in view of the assumed standard. But since that standard is false, the objections are to be struck out.[4]

But such "defence" of Spanish music was not new. Henri Collet, one of Albéniz's first biographers, already in 1926 remarked that when assessing the construction of *Iberia* "*one must not criticize it from a French point of view*" (emphasis added).[5] Samuel Llano has pointed out that "this passage rests upon perceptions of the 'savage' as being oblivious to time constraints and, on that basis, *associates a technical incapability with a specific cultural background*" (emphasis added). Collet extended these considerations to Enrique Granados, who composes "without order or method, but [guided] by an infallible instinct".[6]

In other words, it became almost common place to expose the lack of intellectual/technical foundations of Spanish music. This was sometimes explained by historical/cultural circumstances, and in other cases simply by appealing to almost ethnical arguments. Whereas it would not be particularly surprising to find such explanations amidst the zenith of social-Darwinism, one is shocked to still find them in reference to Spain in mid- and late-twentieth century literature, both in music and political/social historiography, as we will see below. This non-intellectual quality of Spanish music points to an absence of craftsmanship; and musical craftsmanship is usually linked with notions of development, with the composers' capability to be economic with musical material and link ideas in logical succession and in a coherent and organic manner. Viewed in this way, it is not difficult to interpret Debussy's famous words about *Iberia* as Edgar Istel did. In the monthly *Société Internationale de Musique,* Debussy wrote that "[the pieces of *Iberia*] are written with a

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[4] Sydney Grew, "Modern Spanish Music", in Spain, a Companion to Spanish Studies. Ed. By Allison Peers (London: Methuen & Co., Ltd.,1956), 248–49. Emphasis added.
[5] Henri Collet, *Albéniz et Granados* (Paris: Felix Alcan, 1926), 166. As quoted and translated in Samuel Llano, *Whose Spain?: Negotiating Spanish Music in Paris, 1908-1929* (New York: Oxford University Press, 2013), 31.
[6] Ibid.

carefulness of composition that is almost exaggerated, *thanks to a generous nature which went so far as to throw the music out the windows*". On the one hand, these words praise the richness and abundance of Albéniz's musical ideas, but on the other, they could easily imply Albéniz's incapability to economize and develop material, and this is how Istel interpreted it.[78] Collet, at the same time, suggested that Albéniz's natural charm and gracefulness could have been misused when he tried to elaborate more complex compositions in the manner of the great French masters.[9] The result of that mistake was that Albéniz "did not manage at all to develop motives, but only to overburden his music".[10] Of course, neither Collet nor any of the other critics of Spanish music showed any concrete, musical evidence of their claims.

My argument throughout this chapter will be that these critiques can be explained in light of both general nineteenth-century ideologies and as part of a particular "exceptionalist" historiographical paradigm that conceives Spain as an anomaly among the European nations. I will trace the intellectual development of this historiographical tradition from its eighteenth-century origins to its nineteenth and twentieth-century reformulations. This narrative proved to be extremely powerful during the nineteenth, twentieth, and twenty-first centuries, and historians frequently relied on it to explain particular Spanish phenomena. While relatively recent historiography has challenged this paradigm from a political, economic, and social perspective, musicology, and, more specifically, analytical scholarship has not engaged with it in a technical manner. Musicological studies have described the process of configuration of the subaltern position of Spanish music within Europe and the West, and, while some of this research has proven to be very valuable, it seldom includes any detailed analysis of the music itself, and thus the above-mentioned claims of the uniqueness (for its exoticism and lack of technical refinement) of Spanish music have gone unanswered from an analytical point of view. Although it seems difficult to categorically prove a direct correlation, I suggest that it is possible that the particular historical and historiographical traditions in which these critiques of Spanish music were based are at least partly responsible for the practical absence of analytical studies of Spanish music in general. The fact is that, with a few

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[7] Claude Debussy, *Société Internationale de Musique*, December 1913. As quoted in Paul B. Mast, "Style and Structure in *Iberia* by Isaac Albéniz", (PhD diss., Eastman School of Music, 1974), 6.

[8] "Albéniz lacked that sense of economic proportion which the very great masters of music all have possessed". Edgar Istel, "Isaac Albéniz", *The Musical Quarterly* 15 (1929): 143. Translated by Frederick H. Martens.

[9] Collet writes: "Albéniz was concerned about complicating his own works—such as *Iberia*—by way of a vain desire to imitate Vincent d'Indy". As quoted and translated in Llano, *Whose Spain?,* 27.

[10] Ibid.

exceptions, Albéniz's music has not been systematically studied with the analytical techniques developed in recent music theory and *Formenlehre*, and there are still many questions to be answered about his musical language, his compositional processes and techniques, and his relationship with the classical tradition. Consequently, Albéniz's use of certain European compositional conventions is widely unknown. Yet, as my thesis will show, Albéniz's music was built using many of the compositional techniques developed during the eighteenth century, and, thus, that it can and sometimes *must* be judged according to some of these "Northern standards", paraphrasing the Grew quotation above. For the moment, this chapter will show how the critiques on Spanish music in general and Albéniz's music in particular far from being grounded on technical criteria, are rooted on very powerful historical and historiographical traditions, and these musical critiques simply replicate other comments about Spanish literature and dance.

The chapter is structured in the following manner: first, these critiques will be situated in broader European traditions, specifically pointing out how some nineteenth-century ideologies underpin them. Second, the chapter will show how some of the most important and prevalent notions of historiography on Spain were formed, pointing out their eighteenth-century origins and the processes they underwent throughout the nineteenth century. Then, it will point out how these notions affected twentieth-century historiography and how some twentieth-century scholars applied the exceptionalist paradigm to explain particular historical phenomena: from political, social, and economic perspectives. Finally, I will analyse how this historiographical tendency affected music historiography, and put this in dialogue with Albéniz's reception.

## "Other" Music, Social-Darwinism and *Regeneracionismo*

Distant, "other" music was an essential component of the 1889 *Exposition Universelle* in Paris.[11] Exotic music had a great aesthetic value, since, as Julien Tiersot put it, it was "inferior but worth listening, because it was closer to the origins of art than our refined and complex art today".[12] If, according to Fétis, "music was an unfolding process from the universal laws of nature",[13] European

[11] Annegret Fauser, *Musical Encounters at the 1889 Paris World's Fair.* Eastman Studies in Music (Rochester, NY: University of Rochester Press, 2005).
[12] Julien Tiersot, "Promenades musicales à l'Exposition", *Le Ménestrel* (1889), 165. As quoted and translated in Fauser, *Musical Encounters,* 147.
[13] Thomas Christensen, "Fétis and the Emerging Tonal Consciousness", in *Music Theory in the Age of Romanticism*, ed. Ian Bent (Cambridge: Cambridge University Press, 1995), 37. See also Christensen´s more

music was in a further state of development, whereas non-European remained in an early, primitive stage and, therefore, was "purer". In contrast with the dynamism of European civilization, other non-European societies remained static and timelessness, untouched by modern progress. But as Matthew Gelbart has argued, the idea of folk music also allowed certain European writers to find the vestiges of that primitive stage within Europe itself. In that sense, the "ancient", the "oriental", and the "folk" all belong to the same conceptual domain, proved by their common musical system (the pentatonic scale), and all juxtaposed to civilization. This juxtaposition could eventually legitimatize claims of cultural or political domination. In that sense, the discovery of the "folk" was part of the politics of orientalism.[14]

In the context of the *Exposition Universelle*, we can compare the situation of Spanish music with that of other peripheral European nations, of which Russia constitutes a paradigmatic example. Comparisons between Russia and Spain became quite common in late nineteenth and early twentieth-century France. These can be explained in light of the new geopolitical scenario of international alliances against Germany after the *Entente Cordial* and the *Triple Entente*. In this context, Russia and Spain were seen as cultural allies against German cultural domination. In this new system, these two countries were "interchangeable commodities" as Samuel Llano put it. They were equated and relegated to a peripheral position under French central cultural dominance,[15] being both countries that oriental "other" within Europe itself, as the phrase of Gertrude Stein ("dig into a Spaniard and you will find a Saracen; in a Russian, you will find a Tartar") perhaps best encapsulates.[16] Returning to the *Exposition Universelle,* critics viewed Russian music as often being long, incoherent, and not well structured. These features were derived from the national traits of Slavic people and their "lack of measure and control".[17] In other words, critics characterized peripheral European music through its recourse to stereotyped music folklore, and assigned it

recent work, *Stories of Tonality in the Age of François-Joseph Fétis* (Chicago; London: The University of Chicago Press, 2019).

[14] Matthew Gelbart, "From pastoral to picturesque: nature, art, and genre in the later eighteenth century", and "The invention of folk modality", in *The Invention of "Folk Music" and "Art Music": Emerging Categories from Ossian to Wagner.* New Perspectives in Music History and Criticism (Cambridge: Cambridge University Press, 2007), 40–78 and 111–52 respectively.

[15] Llano, *Whose Spain?,* 48.

[16] As quoted in María Elvira Roca Barea, *Imperiofobia y leyenda negra* (Madrid: Siruela, 2016), 90. Roca Barea compares the anti-Russian and anti-Hispanic propaganda in this essay, placing the origins of the "Russian-phobia" precisely in the French Enlightenment as a result of the system of geopolitical alliances of the eighteenth century and, more precisely, the loss of France's colonial continental empire in the Treatise of Paris of 1763. Ibid., 93–97.

[17] Fauser, *Musical Encounters,* 45.

essential national features that were then linked with racial characteristics, in line with contemporary social-Darwinist theories.

At the end of the nineteenth century, social-Darwinism became one of the most influential ideologies; its omnipresence made it difficult to escape its sway for those minimally involved with the social sciences. To put it simply, social-Darwinism seeks to expand Darwin's evolutionary theories to the social sciences. Its rise coincided with the change observed by Richard Taruskin in the conception of nationalism: from a liberal "inclusive" view to an ethnic one. Taruskin symbolically places this change with the publication in *the Neue Zeitschrift für Musik* of "*Das Judenthum in der Musik*" in 1850 by certain K. Freigedan, also known as Richard Wagner. But social-Darwinism had many interpretations, and it tainted the ideologies of conservatives, progressives, liberals, or socialists, leading to disparate theories: from stating the common origin of all human races to the development of racial hierarchies from lower to higher races, from retarded to advanced species.[18] In an era of social-Darwinism, when the health of nations seemed to be explained by colonial might, Spain appeared as an ailing country. The myth of the "disaster", the loss of the remnants of a once all-embracing empire, left for posteriority an image of national decline and decadence,[19] especially after the 1898 defeat by the United States in the Spanish-American War, known as *el desastre del 98* in Spanish historiography. However, *el desastre* had less dramatic political/economic consequences than literary.[20] Yet Spanish intellectuals embarked in a metaphysical crusade to discover the essential elements of the nation that could explain the Spanish anomaly, "what made Spanish *different* from *Europe* […]: different by its economic backwardness, unjust social structure, by its incapability to establish a modern political system",[21] which ultimately could explain the decline of the country: from a position of European hegemony

[18] Mike Hawkins, *Social Darwinism in European and American Thought, 1860-1945: Nature as Model and Nature as Threat* (Cambridge: C.U.P., 1997).
[19] As Francisco Romero Salvadó stated: "the health of the nations seemed to be measured by their colonial strength", and "Spain appeared like a sick nation". Romero Salvadó, *¿Quién Mató a Eduardo Dato? Comedia Política y Tragedia Social en España, 1892-1921* (Granada: Comares, 2020), 60.
[20] Juan Pan-Montojo, and José Álvarez Junco, *Más se perdió en Cuba: España, 1898 y la crisis de fin de siglo* (Madrid: Alianza Editorial, 1998).
[21] "Lo que hacía que España fuera diferente a «Europa» (…); diferente por su atraso económico, por su estructura social injusta, por su incapacidad para establecer un sistema político «moderno»". José Álvarez Junco, *El relato nacional: historia de las historias de España* (Barcelona: Taurus, 2017), 322.

to a secondary status with the loss of the last colonies in 1898.[22]

Albéniz himself was not alien to this crisis, and in 1898 wrote: "my poor country will never change; to read the Madrid and Barcelona papers amidst the cruel circumstances through which it is passing, is truly dispiriting…".[23] One of the principal debates was if Spain should open up to Europe to resolve the crisis or if it should rather go back to rediscover its true essence. The former position was best represented by José Ortega y Gasset, the latter by Miguel de Unamuno, perhaps the two most prominent intellectuals of the time. In his very first essay, *Meditaciones sobre el Quijote* (1914), Ortega proclaimed the Spanish innate incapability to abstraction. This was grounded on a basic distinction between Germanic and Mediterranean mindsets; whereas the Mediterranean spirit preferred the sensual over the intellectual and was hardly capable of "drawing grotesque combinations of concepts", the German mind could ascend to the summit of the intellect. Ortega's distinction was also based on a rudimentary racial theory; during the fall of the Western Roman Empire, Spain was invaded by the most degenerated of the Germanic tribes, the Visigoths; and this was the ultimate cause of the decline of the country.[24] Unamuno, on the other hand, appealed to the concept of "intra-history" (*intrahistoria*), the eternal tradition, the immutable "bottom of the sea" that does not change amidst the moving waves of the surface. He claimed that Spain, during the *Reconquista* (the Christian recovery of Muslim Spain) grew from Castile, which occupied its centre. Castile was the "truthful generator of the unity and the Spanish Monarchy",[25] and as such, it preserved Spain's historical caste, and guarded the Spanish essence, "marked by the sentiment, passion, faith and spirituality" defined by the Quixotic spirit, *radically juxtaposed to the scientific*

[22] The term "colony" only became used after French and British influence in the late eighteenth and nineteenth centuries. The overseas territories were never considered (and never were) colonies until then. "The American territories were never understood as property of either the kings of Spain or Spain. They were never conceived as colonies, a word that was never used and that was employed, paradoxically, by the Hispanic-American independentists, after the model of the French and British colonies in Asia and Africa during the eighteenth and nineteenth centuries. They were provinces or kingdoms that belong to the same Crown; i.e., countries with the same King". Julián Marías, *España inteligible* (Madrid: Alianza, 2010 [1985]). See also Ricardo Levene's work devoted to the subject. Levene, *Las Indias no eran colonias* (Madrid: Espasa-Calpe, 1973 [1951]).

[23] "Mi pobre tierra no cambiará; el leer la prensa de Madrid y Barcelona, en medio de las crueles circunstancias porque atraviesa, es realmente desconsolador…". Isaac Albéniz, *Impresiones y diarios de viaje.* Ed. Enrique Franco (Madrid: Fundación Isaac Albéniz, 1990). Translated and quoted in Walter A. Clark, *Isaac Albéniz: Portrait of a Romantic* (New York: Oxford University Press, 1999), 190–91.

[24] Jorge Polo Blanco, "Del romanticismo al racialismo", in *Románticos y racistas: orígenes ideológicos de los etnonacionalismos españoles* (Mataró: El Viejo Topo), Kindle edition.

[25] "Verdadera forjadora de la unidad y la monarquía españolas". Miguel de Unamuno, *En torno al casticismo* (Madrid: Alianza, 2000), 56.

*rationality and the technological efficiency of Europeans*" (emphasis added).[26] Unamuno proclaimed the superiority of Spanish spiritual values against the pragmatism of Europe, captioned in his famous phrase "let them invent"! (*¡que inventen ellos!*).[27]

These beliefs in a congenital technical and intellectual inferiority of Spanish people already had by then a very long historiographical tradition, a tradition that situated Spain on the margins of European civilization. At the beginning of the nineteenth-century, given the—in Jose Álvarez Junco's words—"weak intellectual power of the country at the time", foreign historians produced the national histories still relying on the clichés generated by the so-called *Leyenda Negra* (Black Legend):[28] fanaticism, intolerance, violence, backwardness, etc., which were romanticized with the accounts of nineteenth-century travellers. As Álvarez Junco summarizes, in these histories of Spain we can observe how the Spanish population is described as arrogant, lazy, fanatic, and dominated by a corrupt clergy; but these qualities also contrasted with their honesty, braveness, dignity and generosity.[29] But how did these histories of Spain come into being? The following lines will explore the origins of this historiography and its development during the nineteenth century.

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[26] Ibid, 323.

[27] First appeared in 1906 in *El pórtico del templo*. As quoted in Josep Eladi Baños "Cien años de ¡que inventen ellos! Una aproximación a la visión unamuniana de la ciencia y la técnica" *Quark* no. 39–40 January-December (2007): 93–99.

[28] The term "Black Legend" was popularized by Julián Juderías, who defined it in this way: "By the Black Legend we understand the reputation created by those fantastic accounts of our land that have been published in nearly all countries; the grotesque description of Spaniards, individually and collectively; the denial, or at least the ignorance, of all that is favorable and honorable among the many manifestations of our culture and art; the accusations that have been made against Spain in all periods, accusations based on exaggerations or on false interpretations; and finally the assertion, found in respectable and purportedly truthful books, and frequently repeated and elaborated in the foreign press, that our country constitutes an unfortunate exception in the community of European nations in all that relates to toleration, culture, and political progress". Julián Juderías, *La Leyenda Negra* (Madrid: La esfera de los libros, 2014) [1914]. English translation by Charles Gibson (ed.), *The Black Legend. Anti-Spanish Attitudes on the Old World and the new* (New York, 1971), 194. On the Black Legend in music historiography see particularly Judith Etzion, "Spanish Music as Perceived in Western Music Historiography: A Case of the Black Legend?" *International Review of the Aesthetics and Sociology of Music* 29, no. 2 (1998)*:* 93–120.

[29] "La generalización de un nuevo estereotipo romántico sobre España, pueblo al que se sigue describiendo como dominado por la arrogancia, la pereza, el ocio, el fanatismo y la corrupción del clero, como había establecido la leyenda negra; pero dotado, eso sí, de honestidad, valor, dignidad y generosidad". Álvarez Junco*, El relato nacional,* 230.

## The Origins of the Exceptionalist Historiography

Traces of these stereotypes could be inserted in the long tradition of anti-Hispanic propaganda known as the Black Legend, with roots in the fifteenth and sixteenth centuries.[30] However, there is a more direct connection between this and the eighteenth-century descriptions of Spain by *les philosophes,* which shaped and consolidated a particular historiographical tradition with long-lasting consequences. In the Spanish Succession War (1700-1714), Habsburgs and Bourbons disputed the crown after the last of the Habsburgs, Charles II, died heirless. With the final victory of the French house, the new dynasty needed a powerful propaganda campaign to legitimize itself, and French works dealing with Spain became numerous. As Maria Elvira Roca Barea pointed out, the history of Spain during the eighteenth century was essentially written in France.[31] Besides repeating the traditional stereotypes of the Black Legend (intolerance, fanaticism, cruelty, Semitic and Moorish blood, etc.), for the first time, these writers began to expose the weak intellectual capabilities of the country, representing Spain as the antithesis of modernity, alien to the enlightenment, and incapable of cultivating the sciences. These claims justified the need of French tutelage and profound reforms after the failure of Habsburg rule. As the power shifted to the French dynasty, there was a process of what has traditionally been called *afrancesamiento* (Frenchification) of the Spanish cultural elites, in which the latter uncritically assumed the all the postulates of the French thinkers. Moreover, the works produced now were no longer simple pamphlets (as the famous 1581 *Apologie ou Defense du très ilustre Prince Guillaume*,[32] which is considered as one of the seminal documents of the Black Legend); they were rather some of the most influential treatises of the European History. Thus, although some might argue that the Black Legend was essentially an earlier phenomenon, it is precisely in the eighteenth century when its canonical discourse and the notions of backwardness and intellectual incapability became predominant thanks to the pedigree of *les philosophes*, probably the first modern European intellectuals, and the uncritical acceptance of their discourse among Spanish elites; in other words, it is now when the idea that Spain is a European anomaly becomes a common place in Europe and Spain. Another crucial difference with earlier anti-Hispanic propaganda is that now some of the

[30] On the origins of the Black Legend see the pioneer study of Sverker Arnoldsson, *Los orígenes de la Leyenda Negra española.* Translated by Mateo Pastor López and Birgitta Falk (Sevilla: El Paseo, 2018).
[31] María Elvira Roca Barea, "Montesquieu y Voltaire", in *Fracasología* (Madrid: Espasa, 2019), Kindle edition.
[32] There are several online editions of the *Apologie* in French and English. For instance the 1581 Sylvius edition, courtesy of the Austrian National Library. https://books.google.co.uk/books/about/Apologie_ou_defense_de_tres_illustre_pri.html?id=3UNhAAAAcAAJ&redir_esc=y.

tenets of the Black Legend served well the interests of the new French dynasty in Spain, and became part of the official discourse.

It was also in the eighteenth century when the national histories began to be written (the nation, and not the Crown, is gradually becoming the new political subject), and these histories shaped subsequent historiography of Spain according to the parameters of the Black Legend: Inquisition, fanaticism, intolerance, violence, greed, conquest, anti-intellectualism, laziness, corruption, etc. The Inquisition, in particular, operated as one of the most powerful propaganda weapons against Spain's backwardness, and as the creator of a certain Spanish inquisitorial mentality, a trait in the Spanish DNA, which not only eliminated its finest individuals, but which was also the cause of Spain's lack of progress.[33] Today, the (Spanish) Inquisition is still one of the most powerful and popular symbols of religious intolerance and "anti-modern" thought. Pedro Insua shows how the institution still operates as an extremely powerful "wildcard" for the political propaganda of certain nationalist/separatist parties in Spain. In that sense, its mere invocation justifies their anti-Spanish secessionist claims. Insua accounts how the former leader of the Catalan nationalist party *Candidatura d'Unitat Popular* (CUP), by quoting a popular saying, identified herself with the "witches that they [the Inquisition] could not burn".[34] But far from being the cause of the witch hunt, the Inquisition prevented and stopped some of these crimes.[35] Of course, the demystification of the institution by solid investigations is irrelevant here. Recent research has not only cast into doubt the number of exaggerated convictions and victims presented by early historians like Juan Antonio Llorente, but also questioned its "anti-modern" image from the perspective of the procedural guarantees it offered in comparison with other contemporary courts.[36] The studies of

[33] As Gary Kelly has also put it: "the Inquisition was used as a synecdoche for certain kinds of unmodern and anti-modern regimes". Gary Kelly, "The Matter of Spain in Romantic Britain", in Diego Saglia and Ian Haywood ed. *Spain in British Romanticism: 1800-1840* (London: Palgrave Macmillan, 2018), 23. Charles Darwin himself appeals to the Inquisition´s activity as the cause of Spanish decadence and backwardness as a consequence of the selection of the least intellectually apt. In Pedro Insua, *1492. España contra sus fantasmas* (Barcelona: Ariel, 2018), Kindle edition. Chapter 3. For Insua, "the inquisitoral Spain concentrates all the evil that gives the full, exhaustive, essential definition of Spain. Spain is, above all, inquisitoral Spain". Ibid., introduction.

[34] Insua, *1492,* Chapter 3.

[35] See for instance the interview to Prof. Pau Castell, who was in charge of a recent parliamentary commission on this matter. El Diaro, accessed February 4, 2022. https://www.eldiario.es/catalunya/pau-castell-historiador-caza-brujas-catalunya-epicentro_1_8694574.html.

[36] "Cualquier comparación del procedimiento inquisitorial con las actividades de la *Star Chamber* o la *letter de chachet* es una burda ironía". Roca Barea, *Imperiofobia*, 361. "Los inquisidores eran abogados y apoyaban sus conclusiones en pruebas y evidencias, no en rumores ni acusaciones anónimas". Ibid*,* 279.

Gustav Henningsen and Jaime Contreras estimated 1346 victims between 1540 and 1700, while Henry Kamen elevated the number to 3000.[37] These numbers are extremely low when compared with the number of convictions and victims of religious intolerance in other European countries,[38] and it is also worth pointing out that the Inquisition also judged crimes that are considered as such today, like prostitution, rape, or child abuse. In other words, the myth of the Inquisition crumbled when historians accessed the archives and the numerous documentation that this bureaucratic institution generated.[39] But none of this matters when the "Inquisition is the distinctive, definitive sign that absorbs in such a way Spain's identity, which gets defined for ever and all at once, and which makes its 'being' totally incompatible with an 'advanced and European democracy'",[40] and, more importantly, when the myth is still serving the interest of powerful political factions.

Amongst the most reputed eighteenth-century Enlightenment thinkers, Montesquieu and Voltaire were particularly active on Spanish matters.[41] Voltaire claimed that some parts of Spain were as unknown as "the most savage parts of Africa", although there was no need to know them.[42] He was also responsible for coining the term "the demon of the South" in reference to Philip II, and considered Spain as the "darkest country of Europe".[43] In *De l 'esprit des lois,* one of the most fundamental and influential works of European history, Montesquieu pointed out that there is a predisposition within the Spanish character that is almost incompatible with modernity.[44] Indeed, Spain fulfils a fundamental role in Montesquieu's conceptualization of Europe, since, as Roberto Dainotto has argued, Montesquieu was able to articulate an idea of Europe that relied on the

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Stephen Haliczer even insists that prisoners blasphemed in order to be imprisoned by the Inquisition. Haliczer*, Inquisition and Society in the Kingdom of Valencia,* 1478-1834 (Berkeley: University of California Press, 2018) [1990]. For a succinct summary of the legal procedures of the Inquisition see also John Lynch, *España bajo los Austrias* (Barcelona: Península, 1970), 36–39.

[37] Roca Barea, *Imperiofobia*, 276.

[38] For instance, Gustav Henningsen estimates that only in the early modern period around 50000 witches were burned: half of them in Germany, 4000 in Switzerland, 1500 in England, 4000 in France. He insists that the total number is impossible to determine. See Roca Barea, *Imperiofobia*, 282.

[39] It is worth mentioning here the studies of Jaime Contreras and Gustav Henningsen, Julio Caro Baroja, or Henri Kamen. Both Roca Barea and Insua offer a succinct summary of some of the most important research in their own studies. Roca Barea, *Imperiofobia*, 265-292, and Insua, *1492,* "*La inquisición en la historiografía*".

[40] Insua, *1492,* Chapter 3.

[41] María Elvira Roca Barea devotes an entire chapter to discuss the writings of Montesquieu and Voltaire in Roca Barea, *Fracasología.* Chapter 2.

[42] Ibid.

[43] See Ricardo García Cárcel, *El demonio del sur* (Madrid: Cátedra, 2017).

[44] Montesquieu claimed that "the character of Spaniards does not fare well with modernity". As quoted in, Xavier Andreu Miralles, *El descubrimiento de España: mito romántico e identidad nacional* (Barcelona: Penguin, 2016), Chapter 1, Kindle edition.

juxtaposition with its internal *other,* rather than on comparison with its eastern, oriental counterpart. Europe, in this way, became capable of self-definition,[45] just in the same way as European folk music became the internal primitive other. Montesquieu's texts were particularly influential and were used by Jaucourt to write his article "Espagne" in Diderot and D'Alembert's monumental *Encyclopédie*. Likewise, in the *Encyclopédie méthodique,* Nicolas Masson de Morvilliers wrote that, despite its natural beauty and favourable conditions, Spain was in a deplorable state; it became a "country of pygmies", and the ultimate cause of its situation was the collective character: "indolent, dominated by a shameful apathy" that de Morvilliers attributed to the hot climate. Ultimately, Spanish culture made no contributions to the progress of humanity, and Europe owed nothing to Spain: "What do we owe to Spain?" he famously proclaimed. In what Masson wrote, Álvarez Junco argues, "there was nothing personal […]; he had merely recited the litany that any enlightened European thinker would have said of Spain, the paradigm of a cultural and political identity incompatible with progress".[46] For Roca Barea, while Montesquieu's and Voltaire's negative descriptions of the intellectual state of Spain were often veiled under an appearance of neutrality and rationality, Morvilliers appealed directly to the insult. She also pointed out that, while the entry about Spain in the *Encyclopédie méthodique* occupied forty columns, only ten were devoted to France. The work was widely disseminated in Spain (although with a small disclaimer warning readers of some of its false descriptions), and had the support of the French state.[47] In line with what was proposed by Said in *Orientalism*, these discourses had the purpose of consolidating a geopolitical situation based on new structures of power and dominance over "oriental" nations:[48] "Spain is like those weak, unfortunate colonies that have a permanent need of the protective arm of the metropolis".[49] In a word, the "oriental" character of Spain and all the

[45] Roberto M. Dainotto, *Europe (in Theory)* (Durham: Duke University Press, 2007). See, in particular, 52–87.
[46] Álvarez Junco, *Spanish identity in the age of nations* (Manchester: University of Manchester Press, 2011), 82.
[47] Roca Barea pointed out the numerous dedications to the high officers in every volume. See Roca Barea "Masson de Morvilliers", in *Fracasología.*
[48] Edward W. Said, *Orientalism* (London: Penguin, 2003). Said, however, demonstrated an absolute audacity when assessing the Spanish colonization of America in a couple sentences and based exclusively on a single document: the *Requerimiento*. The *requerimiento* was read to the Indians (in Spanish) to justify the sovereignty of the Spanish Crown. See, *Orientalism*, 82.
[49] "Espagne", in *Encyclopédie Méthodique*, Paris, 1782, Vol. I, 554–67. As quoted and translated in Álvarez Junco, Álvarez Junco, *Spanish Identity*, 81. Emphasis added.

features that it implied (backwardness, despotism, and intolerance) expelled Spain from the road to progress and legitimized French cultural and political dominance.

## The Development of the Spanish Exception in the Nineteenth Century and its Manifestations in Literature, Dance, and Music

The jump between these Enlighted texts and more Romantic conceptions of Spain was not difficult to make. It is in fact through the foundations provided by the most famous authors of the French Enlightenment, primarily Montesquieu and Voltaire, that an image of Spanish people as violent, fanatic, superstitious, passionate was expanded throughout Europe.[50] In Andreu Miralles's opinion, eighteenth and nineteenth-century visions of Spain were simply "superposed" and "complementary".[51] Roca Barea went even further by arguing that there is no such a thing as the Romantic discovery of Spain, as many scholars claim; the new literature is rather the result of the idea of Spain as a European anomaly that the French Enlightenment had been developing.[52] Álvarez Junco put it somewhat differently, and argued that, even though the Enlighted thinker and his Romantic grandson both recognized Spain's backwardness and decay, the former lamented, condemned and disapproved it, whereas the latter celebrated the country's authenticity and natural customs, which were not ruined by civilization.[53]

The Spanish War of Independence (1808-1814) constituted a particularly important moment in the dissemination and conceptualization of the new image of the Romantic Spain. The Napoleonic wars and the French hegemony awaked the interest of certain European intellectuals for the nations oppressed by France. In Germany, it has been well acknowledged the interest of Lessing, Herder, Humboldt, and the Schlegel brothers in the Spanish literature of the *Siglo de Oro*.[54] German intellectuals saw Cervantes's novels and Calderón's dramas as the manifestations of ideal Romantic

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[50] "*C'est surtout sur la base de ces récits que les auteurs du Siècle des Lumières, á savoir Montesquieu et Voltaire en premier lieu, ont construit cette 'imagerie' de l'espagnol fier, orgueilleux, paresseux, fanatique, superstitieux, jaloux, et jouer de guitare, et qui, finalement, s'est répandue à travers toute l'Europe*". Wildried Floek, "Victor Hugo et L'Espagne", *Francofonia,* 13 (1987), 92.

[51] Miralles, "conclusiones", in *El descubrimiento de España.*

[52] Roca Barea, "La España exótica y la subordinación cultural", in *Fracasología.*

[53] "Para ambos [un pensador ilustrado y su nieto romántico], España vivía una situación de atraso o decadencia. El ilustrado lo constataba y movía la cabeza con desaprobación. Qué suerte tiene ese país, pensaba en cambio el romántico, por no estar 'destruido' todavía por la civilización; que naturales son sus costumbres; cuanta autenticidad hay en ese predominio de la pasión sobre los modales civilizados". Álvarez Junco, *El relato nacional,* 227.

[54] The *Siglo de Oro* (literary the "Golden Century") is a historical period that comprises the entire sixteenth and part of the seventeenth centuries.

beliefs: the Catholic fanaticism and religious intolerance described by the Black Legend were now reinterpreted as examples of heroic, epic, universal love. Richard Wagner, for instance, read with great enthusiasm some of Calderón's plays, some of which had an important influence on his own dramas.[55] The so-called *Reconquista,* the epic (re)conquest of Muslim Spain by the Christian kingdoms was a "long chivalric adventure", in August Wilhelm Schlegel's words.[56] In general, Spain's Muslim heritage exerted a tremendous fascination among several intellectuals amidst the debate on the origins of the European civilization, and helped to establish the idea that Spain was an oriental nation. We could also explain this German appreciation of Spain as partly caused by its own historical situation, namely, the political fragmentation and its consequences: economic backwardness and military weakness. One of the defence-mechanisms against the oppression of the powerful French empire was to praise their own pure spirituality as opposed to the artifice of the French.[57]

With the War of Independence Spain became the idyllic setting for the Romantic literary creation: war, power vacuum and popular resistance against a very powerful enemy, together with broken families and popular heroes. In Britain, a tremendous interest in Spanish matters emerged after the change in the European geopolitical system and the traditional archenemy (Spain) became an ally against France. The topics of the war became the perfect combination for works such us Felicia Hemans's *England and Spain* (1808), Lord Byron's *Childe Harold's Pilgrimage Canto I,* John Wilson Croker's *Battles of Talavera* (1809), etc. Some of these writers even participated in the war themselves, and were therefore first-hand testimonies of its events. Such is the case of Alexander Dallas, who wrote three books on Spanish matters after his peninsular experience: *A poem* (1817), *Félix Álvarez, or Manners in Spain* (1818), and *Vargas, a tale of Spain* (1822). Dallas's works on Spanish matters are "a good example of how the Peninsular War experience influenced the literary imagination and led to a new and more complex understanding of the customs and identity of Spaniards. This vision is marked by a note of exoticism while retaining the traditional image of Spain,

[55] Guillermo García-Alcalde, "Wagner y la literatura española del Siglo de Oro" in *Wagner-estética: ensayos sobre la obra musical y estética de Richard Wagner*, Isabel Febles y Sonia Mauricio Subirana, eds. (Las Palmas de Gran Canaria: Universidad de Las Palmas de Gran Canaria, 2010), 22–36.
[56] Leonardo Romero Tobar, "Romanticismo e idea de España y de la nación española", in *Historia de la nación y del nacionalismo español* (Barcelona: Galaxia Gutenberg, 2013), 250.
[57] Richard Taruskin, *Nationalism*, 5 "From National to Universal". *Grove Music Online*, ed. Dean Roote, accessed March 15, 2020. https://doi-org.soton.idm.oclc.org/10.1093/gmo/9781561592630.article.50846.

based on religious prejudice and historical rivalry".[58]

Nonetheless, it was also through the common Gothic heritage that British writers rediscover Spain. First, through the reappraisal of Spanish medieval poetry with Thomas Rodd's translation of Ginés Pérez de Hita's *Guerras civiles de Granada* in 1801 (originally published in 1595) and the inclusion of ballads of the romance tradition in Thomas Percy's *Reliques of Ancient English Poetry* (1765); and, after the Peninsular War, with Walter Scott's *The Vision of Don Roderick* (1811), Walter Savage Landor's *Count Julian* (1812), or Robert Southey's *Roderick, the Last of the Goths* (1814). As Diego Saglia pointed out, "these works are relatively well known and compose what might be called a Spanish 'canon' in British Romantic-era literature".[59] Collections of Mediaeval Spanish poetry appeared later in the century: J.G. Lockhart's *Ancient Spanish Ballads* (1823) and John Bowring's *Ancient Poetry and Romances of Spain* (1824). The political upheaval at the beginning of the nineteenth century (Peninsular War 1807-1814, French invasions in 1808 and 1823, liberal revolutions) created a perfect stage that fascinated and inspired British observers of all ideologies.[60] The Romantic travellers visited Spain predisposed to see the imagined scenarios of these novels, satisfying, at the same time, the demands of a cultural market that, at the dawn of capitalism, began to become global. These travellers became important sources of information for the subsequent literature. Henry Swinburne *Travels to Spain* (1779) enjoyed great success and was reprinted many times, and William Jacob's *Travels in the South of Spain* (1811) became an important resource for Felicia Hemans's work.[61] The British travel literature on Spain culminates with George Borrow's *The Bible in Spain* (1843), an autobiographical work that narrates Borrow's adventures across the Iberian peninsula, living constantly in danger and facing all kinds of criminals in a "savage and barbaric land".[62] Borrow ultimately asserted that there was no pure Christianism in Spain but only a superstitious faith on the Pope, and rounded of his account describing the reaction of the people of Seville to the appearance of the first steamboat in 1839. Sevillians were running and screaming thinking that it was the product of witchcraft, and, of course, the ship engineers needed to be English, because there was no single Spaniard capable of understanding that machine. In Andalusia, Borrow noted that "everything has an oriental character" and lamented the day Muslims were

[58] Fernando Durán López, "Alexander Dallas's Reimagining Spain", in Saglia and Haywood ed. *Spain in British Romanticism,* 241.
[59] Diego Saglia, "Introduction", in Saglia and Haywood ed. *Spain in British Romanticism,* 6.
[60] Ibid, 2.
[61] Ibid, 5.
[62] Polo Blanco, "Romanticismo y Racismo en los orígenes del andalucismo y del nacionalismo canario", *Románticos y racistas.*

expelled, arguing that the great civilization they built was ruined by those sectarian popish fanatics.[63] Borrow's work was translated into Spanish in 1921 by no other than Manuel Azaña, the future President of the Second Republic.

Accounts of Spain by French travellers became extremely popular in the nineteenth century. There were, however, significant earlier precedents—like the famous *Viaje por España* (1691) of Marie-Catherine le Jumelle de Barneville (countess of d'Aulnoy), whose visit to Spain was seriously cast into doubt by recent research.[64] The seventeenth-century travel guides were in fact "the most important sources of information about Spain for Victor Hugo and for the majority of his contemporaries".[65] The travel guides and literary works typically revolve around three topoi: the Moorish heritage, the Andalusian Gypsies, and the Castilian Chivalry. The work of Alexandre Dumas in this genre, *De Paris à Cadix* (1847), stands out. But perhaps the most famous French travel guide of the nineteenth century was Théophile Gautier's *Voyage en Espagne* (1845). Xavier Andreu Miralles argued that Gautier was trying to find a nation frozen in time and almost alien to Western progress, focusing on describing the miserable conditions of life, the deplorable state of communication systems and transport, and the discomfort that the European traveller had to face. Gautier also repeated the topics formulated by *les philosophes*, pointing out some of the typical characteristics of the dark catholic Spain: cruelty, fanaticism and ignorance. He referred likewise to how the hot climate and the savage nature affected the work ethics in a country that preferred pleasure over work. The accounts of these travellers were both feeding and fed by fictional literary work: the novels of Mérimée, Hugo, or Dumas himself. Miralles traced a direct line between Gauthier's accounts of Spain in *Voyage en Espagne* and Prosper Mérimée's novel *Carmen*, which epitomized the myth of the Romantic Spain and turned a gypsy Andalusian, Carmen, into one of the symbols of the Spanish nation.[66] In general, these writers became obsessed with finding the traces of Oriental Spain. These were best epitomized in the vestiges of Spain's Muslim past, most clearly visible in Andalusia. Pedro Insua has linked the Romantic travel guides with the literary

[63] Ibid.
[64] Roca Barea, Chapter 2, in *Fracasología*.
[65] Floek, "Victor Hugo et L'Espagne", 92.
[66] "Sintetizaría las múltiples dimensiones del mito romántico de España en una breve novela que lo elevó a nuevas dimensiones y cuya protagonista, la gitana andaluza Carmen, se convertirá muy pronto en uno de los símbolos identificativos de la nación española".

discovery of al-Andalus, which appeared in contraposition to the black catholic Spain.[67] Al-Andalus, in this way, emerged as the prototype of a tolerant, civilized society, crushed by the backward, contemporary, catholic Spain—a myth that still holds extraordinary sway among contemporary scholars and society in general.[68] Some of these scholars shared with the Romantic travellers their laments about the loss of Muslim civilization in Spain and the defeat of Islam by those catholic barbarians in the final conquest of the Kingdom of Granada in 1492.[69] The founding fathers of the regionalist and nationalist Andalusian movements later argued that the Muslim heritage is the most idiosyncratic trait of Andalusia, and its defence against Christian and Castilian domination became a fundamental element of their discourse.[70]

Plays on Spanish matters were already common in the eighteenth century, typically centred on the atrocities perpetuated by Spaniards in America (*Les indes galantes*, *Alzira ou les américains*, *Fernand Cortès*, *Lettres d'une péruvienne*, *Manco-Capac*, *Christophe Colombo u l'Amérique Découverte*, *Les incas ou la destruction de l'empire du Pérou* are some of the most famous examples).[71] But in the nineteenth century, the staging of Spain in the theatre became extremely frequent in French theatres, and provided an image of Spain for those who had never been there. The preferred theatrical topic was the Moorish heritage: Guilbert de Pixérécourt's *Les Maures d'Espagne ou Le Pouvoir de l'enfance* (1804), Barthélémy-Hadot's *L'Amazone de Grenade* (1812) Étienne de Jouy *Les Abecérages ou L'Élendard de Grenade* (1813), Mlle d'Albénas *Boabdil ou Les Abecérages du Gonzalve de Cordoue* (1832). Some of the Spanish exiles also succumbed to the demands of the market and exploited Spanish Moorish past, such as Martínez de la Rosa's *I 'A ben Humeya* (1830). Spain also fulfilled an important role in the development of the black novel, providing a fantastic framework for dark stories.[72] The horrors of the Peninsular War, the tortures

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[67] Insua, *1492*, Chapter 1.

[68] Ibid. See for instance, Maria Rosa Menocal, *Culture in the time of tolerance: al-Andalus as a model for our own time* (New Haven: Yale Law School, 2002). As an example of the popularity of the myth see the speech of President Obama on June 4th 2009 in Cairo. "Obama Speech in Cairo", The New York Times, accessed May 2, 2020, https://www.nytimes.com/2009/06/04/us/politics/04obama.text.html.

[69] Gautier concluded that "it is perhaps regrettable that Spain has ceased to be Moorish or Mahometan". As quoted in Miralles, "La España de 'Carmen': una nación oriental, in *El descubrimiento de España.* For a summary of Ford's and Borrow's laments see Polo Blanco, "Romanticismo y Racismo en los orígenes del andalucismo y del nacionalismo canario", in *Románticos y racistas.*

[70] For an analysis of the role of these discourses in the regionalist/nationalist movements see Polo Blanco, "Romanticismo y Racismo en los orígenes del andalucismo y del nacionalismo canario", in *Románticos y racistas.*

[71] Roca Barea, "Montesquieu y Voltaire", in *Fracasología*.

[72] « L'Espagne offrait un cadre idéal à ces sombres histoires ». Léon-François Hoffman, *Romantique Espagne, l'image de l'Espagne en France entre 1800 et 1850*. Classiques des sciences sociales (New Jersey, Princeton University, 2014 [1961]), 50.

of the Inquisition perfectly suited the necessities of the genre and helped with the credibility of the stories, especially when the protagonists were the Spaniards, passionate men capable of committing unimaginable crimes.[73] The literary works of Victor Hugo, Alexandre Dumas, or Mérimée provided readers with the typical images of Romantic Spain: a barbaric country full of bullfighters, gypsies, bandits, and passionate women. Hugo's *Les Orientales* (1829) depicted Spain as half way between West and East, being both Moorish and Christian at the same time.[74] For Barbey d'Aurevilly, "Hugo was Spanish like Corneille, […] because Spain is the most profound concentration of the Middle Ages".[75] Other works by Hugo (the plays *Hernani, Ruy Blas, Torquemada,* the poems *La Légende, La rose de l'Infante, Les raisons de Momotombo*) prominently emphasized the clichés about the dark, fanatic, despotic Spain.[76] Wilfred Floek concludes: "it was the image of a medieval, chivalric, catholic until fanaticism, exotic and oriental and full of violent passions. But it was this idea of Spain that Victor Hugo retained and that it excited and developed his creative and poetic inspiration. […] Undeniably, this presentation of Hugolian and Romantic Spain is inscribed within the conception of his contemporaries, convinced that this conformed with reality".[77]

In the foreword of *Orientales* Hugo famously declared that "Spain is still the Orient, Spain is half African, Africa is half Asian".[78] This was a variant of a well-known quotation commonly (and wrongly) attributed to Alexandre Dumas: "Africa begins at the Pyrenees". As Richard Kagan pointed out, "Africa meant Moorish, and Moorish meant Oriental". For Kagan, this clearly had an association with "notions of racial inferiority and cultural backwardness".[79] But the accusations of racial

[73] « Leurs lecteurs étaient prêts à accepter des histoires particulièrement horribles quand elles avaient pour protagonistes des Espagnols ». Ibid., 51.
[74] « [l'inspiration espagnole] se révèle dans toute son ampleur dans les Orientales de 1829 […] La conception d'une Espagne à mi-chemin entre l'Orient et l'Occident, d'une Espagne mauresque et chrétienne à la fois ». Floek, "Victor Hugo et L'Espagne", 94.
[75] As quoted in Wilfried Floek, "Victor Hugo et L'Espagne", 87.
[76] A brief description of each of these works is provided in Floek, "Victor Hugo et L'Espagne".
[77] « C'était l'image d'une Espagne médiévale, chevaleresque, catholique jusqu'au fanatisme, une Espagne exotique et orientale et une Espagne pleine de passions violentes. Mais c'est cette idée de l'Espagne que Victor Hugo a retenue et qui l'a fasciné et qui a profondément excité et développé son inspiration créatrice et poétique. […] Indéniablement cette représentation de l'image hugolienne et romantique de l'Espagne s'inscrit dans la conception de ses contemporains, convaincus de sa conformité avec la réalité. » Ibid., 101.
[78] « L'Espagne, c'est encore l'Orient ; l'Espagne est à demi africaine, l'Afrique est à demi asiatique ». Ibid., 94.
[79] Richard Kagan, "Sunny Spain", in *The Spanish Craze, America's Fascination with the Hispanic World, 1779-1939*, (Lincoln: University of Nebraska Press, 2019), 136.

inferiority against Spaniards had a very long history by then, and many specialists trace them to the onset of the Black Legend in the fifteenth and sixteenth centuries. The incorporation of the Italian territories to the Kingdom of Aragon, launched an anti-Spanish propaganda campaign based on accusations of racial impurity. The Pope Paul IV (1476-1559) claimed that Spaniards were "the seeds of Jews and Moors, the faeces of the world". A very similar expression was later used in 1894 by Sabino Arana—the founder of the Basque Nationalist Party, *Partido Nacionalista Vasco* (PNV), the majority party in the Basque Country today with ample representation in the Spanish Parliament—when he proclaimed that Spaniards (*maketos*, as he contemptuously called them) were "the faeces of the European peoples".[80] Francesco Guichardin, ambassador of Florence between 1511 and 1514, complained that "Spain was full of Jews and heretics", and "without the Inquisition Spain would have ceased to be Catholic", an opinion also shared by the Venetian ambassador Vincenzo Quirini.[81] These accusations of racial impurity and heresy were soon taken over by Northern Europeans amidst the Reformation. Luther depicted Spaniards as "incredulous Jews and baptized Moors",[82] and Erasmo rejected an invitation of the University of Alcalá famously stating "*non placet Hispania"*, a "phrase that we have to situate parallel to his assertion that in Spain there were hardly any Christians".[83] Montesquieu, building on the Semitic and Moorish argument, on the theories of the American degeneration launched by Georges Louis Lecrec, Count of Buffon,[84] and on in his own climatic theories, explained that the Spaniards were also further degenerated by the mixture of their blood with the inferior races like the American Indians.[85] The Semitic and African/Moorish blood of Spaniards became a persistent argument in anti-Hispanic propaganda well into the nineteenth and twentieth centuries. In his recent work, Jorge Polo has studied extensively the weight of racism in the genesis of nationalist and separatist doctrines in Spain in the nineteenth century (i.e. those of the Catalan, Basque, Galician, and other peripheral nationalisms), showing, in particular, the frequent accusations of racial impurity against Castilians and Spaniards, appealing often to their Semitic and Moorish blood, and contrasting with the racial superiority of Catalans,

[80] "[L]a hez de los pueblos europeos". As quoted in Polo Blanco, "Romanticismo y racismo en los orígenes del nacionalismo vasco", in *Románticos y racistas.*
[81] Joseph Pérez, *La leyenda negra* (Madrid: Gadir, 2012), 27.
[82] Ibíd., 26. See also Gerhart Hoffmeister, *España y Alemania* (Madrid: Gredos, 1980), 41.
[83] Iván Vélez Cipriano, *Sobre la leyenda negra* (Madrid: Encuentro, 2014), 49.
[84] Roca Barea, *Imperiofobia*, 367.
[85] Ibid., 369. Both Voltaire and Montesquieu, while denouncing Spaniards for mixing their blood with the American Indians, also accused Philip II and Spain in general of exterminating the indigenous population of America. See Roca Barea, "Montesquieu y Voltaire", in *Fracasología.*

Galicians, or Basques.[86] As Polo showed, racism and romanticism went hand by hand in these movements and were complementary ideologies.

Nineteenth-century writers discovered a culture that they believed was truthful to its roots, and which offered an exotic scape from the boredom and daily life of modern Western society.[87] The key to its spell was its authenticity and primitivism. In the eighteenth century, Jean-François de Bourgoing declared that the productions of Spanish literature "are considerable in quantity, and display perhaps more imagination than that of other European nations, *but little reasoning, taste, or profundity*" (emphasis added).[88] Around 50 years later, in *Voyage en Espagne*, Gauthier described the movements of the Spanish dancers as superior to those of the French, because of their "gracefulness" and "charm". This was the consequence of their lack of work and of not suffering the torture of those "lightness exercises".[89] In other words, the French dance was artificial as the result of its crafted technique; while the Spanish was natural for its absence. Because for Gautier, "Spaniards regard work as something humiliating, unworthy of a free man",[90] and "the only occupation of Spanish people is pleasure".[91] For Richard Ford, Spaniards "have no idea of the grace and elegance of the French ballet; the moment they attempt it they become ridiculous […] indeed a Spaniard ceases to be a Spaniard in proportion as he becomes an *afrancesado* […] having a natural genius for the *jota* and *bolero*".[92] In sum, we see in these critiques a tendency to associate Spanish dancers with a natural predisposition and pure talent, and, at the same time, with an absence of technique or craftsmanship that would also be assigned to Spanish composers.

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[86] See Polo Blanco, "Los etnonacionalismos fragmentarios en España", and "Romanticismo y racismo en los orígenes del catalanismo, galleguismo, nacionalismo vasco" in *Románticos y racistas.*

[87] See Michael Christoforidis, "The Spains of Paris, Mérimée, and Bizet's", in *Carmen and the Staging of Spain: Recasting Bizet's Opera in the Belle Époque,* ed. Michael Christoforidis and Elizabeth Kertesz (New York: Oxford University Press, 2019), 5.

[88] Reproduced and translated in *The Literary Panorama, a review of books, magazine of varieties and annual register; comprising interesting intelligence from the various districts of the United Kingdom; and from the continent of Europe* (London: Milton, 1809), 757. As quoted in Gary Kelly, "The Matter of Spain in Romantic Britain", 29.

[89] Théophile Gautier, *Viaje a España* (Madrid: Cátedra, 1998), 150. Edición y traducción de Jesús Cantera Ortiz de Urbina.

[90] Quoted in David Ringrose, *Spain, Europe, and the 'Spanish Miracle'*, 1700-1900 (Cambridge: University of Cambridge Press, 1996), 20.

[91] Gautier, *Viaje a España,* 126. See also Gerhard Steingess, …*Y Carmen se fue a París* (Córdoba: Almuzara, 2006), 90.

[92] Richard Ford, *Gatherings from Spain*, (London: John Murray, 1861), 323.

## Nationalism, Folklore, and the Assumption of the Anomaly

In the age of nationalism, it became a commonly held view that recourse to music folklore was one of the means to express nationality, and, in the end, the only way to create a genuine national school.[93] Despite the multiple ways in which the transfer of folklore into "art music" could be realized, musical folklore contained the essence, or the true spirit (after Herder) of the imagined community. But the renewed aesthetic appreciation of folk music in the nineteenth century should not be viewed solely as a consequence of the rise of nationalism, as I already hinted at above; what the Romantics sought in folk music was also the purity and truth content lacking in art-music.[94] The opposition of natural vs artificial gained force, and communities untainted by civilization were regarded as being closer to the "natural", to the "truth". As Richard Taruskin put it: "the discovery of the folk was a recycling of an ancient idea, that of primitivism, the belief that qualities of technologically backward or chronologically early cultures were superior to those of contemporary civilization; or, more generally, that it is those things that are least socialized, least civilized (children, peasants, savages, raw emotion, plain speech) that are closest to truth".[95] Matthew Gelbart has shown that this view relied on shifting conceptions of art, science, and nature: from conceiving art and science as extensions of nature in the seventeenth and early eighteenth century within the mimetic aesthetic paradigm, to the opposed views of nature vs civilization of the late eighteenth century. The idea of folk music served the purposes of finding nature within modern Europe.[96]

Through the use of folklore, Spanish composers and artists responded to the demands of a European market particularly thirsty for representations of Spanish culture. A particular genre, the *espagnolades*, emerged in Paris during the second half of the nineteenth century, nourished by the demands of the public, the Spanish exiles, and the noble patronage of the Napoleon III's wife, the

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[93] As Felipe Pedrell famously proclaimed: "The particular stamp, the peculiar inspiration of a proper art or the character of a lyrical school must be sought and found […] on the popular chant, on the popular chant personalized and translated into cultivated forms. Under the double aspect of the text and its musical coating, it is one of the creative forces of a nation". Felipe Pedrell, *Por Nuestra Música* (Barcelona: Henrich y Cª, 1891), 507–8.

[94] Carl Dahlhaus, Friedrich Wilhelm Nietzsche, Mary Whittall, and Walter Kaufmann, *Between Romanticism and Modernism: Four Studies in the Music of the Later Nineteenth Century.* [in Translation of Zwischen Romantik und Moderne: vier Studien zur Musikgeschichte des späteren 19. Jahrhunderts.] California Studies in 19th Century Music (Berkeley: University of California Press, 1980).

[95] Richard Taruskin, "Nationalism", *Grove Music Online*, ed. Dean Roote, accessed March 15, 2020, https://doi-org.soton.idm.oclc.org/10.1093/gmo/9781561592630.article.50846

[96] Matthew Gelbart, *The Invention of "Folk Music" and "Art Music"*, 40–79.

Spanish Eugenia de Montijo, as well as the Spanish queen Isabel II, exiled in Paris in 1868. The term *espagnolade* was used to refer to artistic, superficial evocations of elements Spanish culture and representations of *costumbrismo*, i.e. everyday life events of the lower classes. Between 1820 and 1850 more than 50 operas and *operas comiques* on Spanish themes were produced in Paris.[97] Hoffman also pointed out that between 1800 and 1850 there was no theatrical session without at least one play that staged Spain.[98] Publications about Spanish music in magazines like *Revue Musicalle*, *France Musicale* became numerous, and even specialized magazines like *La Lyra Española. Periódico de Música* (written both in French and Spanish) emerged. Compositions on Spanish themes, from operas to songs and piano pieces became extremely popular throughout the entire nineteenth-century, and composers, as well as other artists, made extensive use of folklore to supply the public's demand for Spanish stereotypes (both literary: gypsies, passionate women, bandits etc., and musical: ternary meters, hemiolas, Phrygian tetrachord, etc.). In the descriptions of Spanish musical folklore, it was quite common to praise the richness of the musical material, as not only the several compositions on Spanish themes by Glinka, Rimsky-Korsakov, Lalo, Chabrier, Debussy, and Ravel attest, but also as preserved in some of these composers' writings. For instance, Rimsky Korsakov stated that "the Spanish themes, of dance character, furnished me with rich material for putting in use multiform orchestral effects". Glinka, at the same time, "explained that he was attracted toward Spain because of the originality of its regional melodies, rich in unexploited resources".[99] Debussy, writing about Albéniz's *Iberia* said: "one heard that admirable folk-music, so full of fancy and rhythm as to make it one of the richest in the world. This very richness appears to have been the cause of the tardy development of the other type of music".[100]

Frédéric Prot outlined the musical causes of the success of the Spanish (musical) grammar in the nineteenth century: use of the minor mode, modality, rhythmic, hyper-rhythmic and metric irregularity, and use of the $\frac{3}{4}$ metre typical of the Spanish dances. Amidst the nineteenth-century tonal and harmonic revolution, these provided composers with an inexhaustible source in their constant quest for originality. The result was that the Spanish musical grammar became the third

[97] Frédéric Prot, "El colorido español", 82.
[98] Hoffman, *Romantique Espagne*, 53.
[99] According to Gilbert Chase, "The Spell of Spanish Music", in *The Music of Spain* (New York: Dover Publications, 1959), 290–93.
[100] As quoted in Mast, "Style and Structure", 72.

current of influence next to the German and the Italian.[101] For Gilbert Chase, the reasons that attracted Debussy to Spanish music were the metrical irregularities in the melodies, the changing and conflicting rhythms, the unusual harmonies consisting sometimes on consecutive fourths and fifths, the persistence of medieval modes, and the strong contrasts of character.[102] The important aspect was that Spanish music was different and oriental, and had nothing to do with European music, i.e. German, Italian, or French music. As Richard Ford, writing in 1846 put it: "the Spaniards are fond enough of what they call music, whether vocal or instrumental; but it is Oriental, and most unlike the exquisite melody and performances of Italy or Germany".[103] The more the nineteenth-century state tried to institutionalize music, the more it got ruined. It was only valid in its pure, untainted form. Ford complained that the Moorish melodies were best preserved in the hill-built villages near Ronda, away from the members of Queen Christina's *Conservatorio Napolitano*.[104] The status of Spanish music and Spanish composers in Europe at the end of the nineteenth and beginning of the twentieth century was bitterly summarized by Albéniz himself. According to his nephew and biographer, Victor Ruiz Albéniz, the composer explained why, given the lack of recognition he received from his compatriots, he was reluctant to go to Madrid after presenting his successful *Iberia* in France: "being the only Spanish contemporary composer that, with undisputed success, and using the modern procedures in the art, has made known the treasure of our popular music in countries where Spaniards were considered almost igorrotes in what to musical art is referred".[105]

In the arts in general, the assimilation of some of the stereotypes of the Romantic Spain among Spanish authors responded not only to the economic demands of nineteenth-century markets particularly thirsty of images of the Romantic Spain, but also to the possibility of establishing a recognizable national essence while other countries struggled to define their nationality. One of the consequences was that it implied the assumption of notions of backwardness, primitivism, and

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[101] "La gramática musical española representó en el Paris romántico una tercera corriente de influencia extranjera, al lado de la alemana y de la italiana". Frédéric Prot, "'El colorido español': captación y asimilación de la gramática musical española en la Francia romántica", in José Checa Beltrán ed., *La cultura española en la Europa romántica* (Madrid: Visor, 2015), 97.
[102] Chase, *The Music of Spain,* 299.
[103] Ford, *Gatherings from Spain*, 329.
[104] Ibid.
[105] "Habiendo sido el único compositor español contemporáneo que ha dado a conocer con indiscutible éxito, y usando los procedimientos modernos en el arte, el tesoro de nuestra música popular *en países donde se nos tenía a los españoles poco menos que por igorrotes en lo tocante al arte musical*". In Víctor Ruiz Albéniz, *Isaac Albéniz* (Madrid: Comisaria general de música, 1948), 107–9. Igorrotes refers to various ethnic groups in Luzon, Philippines.

exceptionality of the Black Legend. At the same time, it also gave Spanish artists the chance to figure in the margins of the European canon, even if the only way to assert their place in the repertoire was by virtue of their exoticism. As Collet put it, a Spanish composer could only aim to a "fleeting expression of the universal" through the *couleur locale,* and could never hope to compare himself with a "Paris or Leipzig symphonist".[106] Collet's argument, as Samuel Llano has argued, relied on the idea that in order to compete with other national (only peripheral) schools like the Russian, Spanish music first needed the approval, guidance, and patronage of France and French composers. Ultimately, the only way to secure the place of Spanish music in the canon was through its subaltern position.[107] Paradoxically, some twentieth-century authors saw the reliance on a folkloristic Spanish musical language precisely as the cause of the lack of success of Spanish music. As Hutcheson and Ganz wrote: "the trouble with Spanish music is that it is too exclusively Spanish. The best composers have not yet succeeded in writing universally".[108] Derived from the exclusive reliance on folk materials, some of these authors viewed Spanish composers as lacking technical refinement or "faults of constructive technique".[109]

For Andreu Miralles, the Spanish national identity was forged as a dialogue between stereotypical foreign representations of Spanishness and the answers given by Spaniards themselves. A national identity negotiated by Spanish cultural elites and in constant dialogue with foreign and Romantic visions of Spanishness. Insua, for instance, mentioned three reasons why the myth of al-Ándalus was assumed by Spanish elites: first, the African policy amidst the colonial race against France, which sought to exploit the common heritage between Spain and the Magreb; second, the touristic appeal it generated in the late nineteenth century, and whose consequences are still clearly visible today (from Manuel Fraga's famous slogan "Spain is different" to the prominent role of tourism in Spain's GDP now); and third, the zeal to establish a differentiated cultural heritage of certain regional elites in Andalusia, a cultural heritage that ultimately could legitimize political

[106] Henri Collet, "Espagne : Le XiX[e] siècle. Deuxième Partie : La Renaissance musicale", in *Encyclopédie de la musique et dictionnaire du Conservatoire*, ed. by Albert Lavignac and Lionel de la Laurencie, vol. 4 (Paris : Delagrave, 1920), 2479.
[107] "Without the native costume, a 'peripheral' composer would never achieve even secondary canonical rank, but with it he could never achieve more". Taruskin, "Colonialist nationalism" in *Nationalism*.
[108] Ernest Hutcheson and Rudolf Ganz, *The literature of the Piano* (New York: Alfred A. Knoof, 1966), 360. As quoted in Mast, "Style and Structure", 67.
[109] Ibid.

autonomy.[110] In general, the problem was that the assimilation of the Romantic Spain carried the burden of the European anomaly, which since then became one of the preferred resources to explain certain Spanish historical phenomena. Spanish music was thus forced to accept its own exoticism if it wanted to maintain its commercial success in the late nineteenth and early-twentieth century, an acceptance that would ineluctably relegate it to a secondary place within the canon, and which ultimately entailed an assumption of the exceptionalist narrative. As Andreu Miralles himself has summarized it: "a certain notion of backwardness and abnormality constituted one of the distinctive features of the Spanish national identity".[111] For Roca Barea, both the Enlighted conception of Spain launched by *les philosophes* and its Romantic counterpart are rooted in the same notion of Spain as a European anomaly; a notion uncritically assumed by Spanish elites in a process triggered by the War of Succession and the struggle for European hegemony that had a clear cultural dimension and resulted in the Spanish "cultural subordination" to France. The ultimate result was the dismemberment of the Spanish Empire and a process of "feudalization" that still foes on (in reference to the internal contemporary separatist threats).[112] The assumption of the anomaly among Spaniards themselves reflects the power of the exceptionalist narrative, which far from being exhausted as an eighteenth- and nineteenth-century construction, still functioned as historical exegesis in the twentieth century.

## The Consequences of the Romantic Spain in Twentieth-Century Historiography

### General History and Constitutional Government

Just as some musicologists explained features of Spanish music through racial characteristics of Spanish people, reputed historians referred to essentialist stereotypes to account for particular Spanish historical phenomena. To explain the alleged absence of constitutional governments in Spain, in the above-quoted *Voyage en Espagne* Gautier wrote: "the constitutional mechanism can

[110] Insua, *1492,* Chapter 1.
[111] "De lo que no cabe duda es de que una cierta noción de atraso y de anormalidad se estaba constituyendo como uno de los rasgos distintivos de la identidad nacional española". Miralles, "marginalidad, mercado literario y nacionalismo cultural", in *El descubrimiento de España*.
[112] "Lo que la literatura romántica manifiesta no es más que el resultado de la nueva visión de España que la Ilustración ha ido construyendo a lo largo del siglo XVIII: la anomalía". Roca Barea, *Fracasología*, "La España exótica y la subordinación cultural", Chapter 6.

only suit mild areas; over 30 degrees the constitutions melt or blow up".[113] Gautier is merely reproducing a commonly held believe popularized by Montesquieu but with significant earlier precedents,[114] which attributes to climate decisive powers on the conformation of the spirit of the nations, and, consequently, on their legal-political systems. Montesquieu, after corroborating his evidence on the famous experiment with the sheep,[115] believed that warmer weathers were more sensitive to pleasure and hence more driven by it, and needed despotism to rule them and to make them function as a society.

As an ineluctable consequence of this theory, Spain, always immersed in internal disputes and civil wars, was incapable of constitutional government. But far from being a nineteenth-century phenomenon, late twentieth-century historiography kept repeating the exceptionality of the Spanish case, describing the nineteenth century and its political regime as an anomaly in Europe, and explaining certain peculiar traits through congenital elements of the Spanish people. For instance, certain historiography has tended to mythologize Spanish anarchism and explain its deep roots with idiosyncratic arguments allegedly innate to its people (exoticism, passion, pride, etc.). Of course, the causes of the rooting of anarchism were less metaphysical than these authors suggested.[116] Well-known scholars like Peter Marshall or James Joll have argued that "a population accustomed to centuries of religious fanaticism responded readily to a fanaticism of another kind".[117] When attempting to explain the causes of the exceptional hegemony of anarchism among labour movements in Spain, and drawing on analogies with Russia that had by then already a remarkable history, as we have seen above, the Pulitzer-winner Barbara Tuchman wrote:

> [T]he era of dynamite exploded in Spain. There it opened with more ferocity, continued in more savagery and excess and lasted longer than in any other country. Spain is the desperado of countries, with a tragic sense of life. Its mountains are naked, its cathedrals steeped in

[113] "El mecanismo constitucional no puede convenir más que a zonas templadas; por encima de treinta grados de calor, las constituciones se funden o estallan". Gautier, *Viaje a España*, 236.
[114] See Schackleton, *Montesquieu: a critical biography* (New York: Oxford University Press, 1961), 302–19.
[115] Montesquieu froze a sheep's tongue and observed that the papillae diminished. Yet, when defrosting it he observed that the papillae rise and began to reappear. From this he inferred that "in cold countries … one has little sensibility to pleasure; in temperate countries, one has more; in warm countries, the sensibility is exquisite". As quoted in Dainotto, *Europe (in Theory),* 58.
[116] For a more comprehensive account of the success of anarchism in Spain see Romero Salvadó, *¿Quién Mató a Eduardo Dato?,* 21–25.
[117] Ibid., 20.

> gloom, its rivers dry up in summer, one of its greatest kings built his own mausoleum to inhabit while he lived. Its national sport is not a game but a ritual of danger and blood-letting […]. In Spain it was natural that the titans' struggle between Marx and Bakunin for control of the working-class movement should have ended in victory for the Anarchist tendency. […] In Spain, however, where everything is more serious, the Anarchist organized, with the result that they took root and their power lasted long into the modern period. Like Russia, Spain was a cauldron in which the revolutionary element boiled against a tight lid of oppression.[118]

With some notable exceptions, only recent historiography has challenged this meta-narrative of Spanish history. The question of exceptionality always depends on the parameters analysed, as well as on establishing a "normal" paradigm. Appealing to an exceptional case relies on a comparison of the particular country with an abstract model of normal development, extrapolated from several individual countries (most typically France and England), which are also different between themselves. This conception also relies on a positivist notion of progress that conceives it as a normative, single path that all nations have to follow.[119] Nigel Townson and Adrian Shubert have argued that all countries have shown themselves peculiar in one way or another, [120] and that "when everyone is 'peculiar' peculiarity itself becomes a common ground".[121] In political history, several authors attempted to demystify the exceptional character of the Spanish regime in the nineteenth century. Shubert himself has pointed out that during the nineteenth and early twentieth centuries Spain had more years of constitutional government than any other continental country including France.[122] Stanley Payne also made the same point with a similar calculation and a more positive global assessment of the historical period, negating the idea of the historical failure.[123]

From a socioeconomic perspective, David Ringrose has shown that certain historiography presents Spain as a country "that missed an opportunity to join the rest of Western Europe in its progress

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[118] Barbara Tuchman, *The Proud Tower. A Portrait of the World before the War, 1890-1914* (Basingstoke: Macmillan, 1966), 84-85. As quoted in Romero Salvadó, *¿Quién Mató a Eduardo Dato?,* 20.
[119] David Ringrose, *Spain*, 23.
[120] "En ciertos aspectos o momentos España ha sido diferente, e incluso excepcional, respecto de otros países europeos. Sin embargo, todos estos países han mostrado ser peculiares, de una forma u otra. No hay una ruta normal hacia la modernización, España, por definición, no puede ser diferente". Nigel Townson, *¿Es España diferente? Una Mirada comparativa (siglos xix y xx),* Introduction. Kindle edition.
[121] Adrian Shubert, *A Social History of Modern Spain* (London: Routledge, 1992), 2.
[122] "Between 1812 and 1914 Spain had more years of constitutional, representative government than any other continental country, including France". Ibid., 5.
[123] "By 1923 Spain had lived under liberal parliamentary government for more years than had any other large continental European country, including France—no mean achievement for a 'historical failure'". Stanley G. Payne, *Spain a Unique History* (Madison, Wis.: University of Wisconsin Press, 2011), 143.

towards industrialization, significantly higher standards of living, and liberal and parliamentary democracy".[124] But the origins of Spain's "economic failure" could be traced back to the eighteenth-century French sources discussed above. For instance, in the article on Spain in the *Encyclopédie Méthodique*, Masson de Morvilliers devoted substantial space to denounce the deplorable financial state of the country and the squandering of resources (especially those coming from the Americas) by the Habsburg monarchs, a mantra repeated over and over by subsequent historiography.[125] In the twentieth century, Ringrose summarized the images of economic backwardness in three traditional failures: the failure of the commercial revolution, the failure of the Spanish agricultural revolution, and the failure of the Spanish industrial revolution. Yet, he argues that this historiographical bias has caused a teleological explanation of Spanish history, and an arbitrary selection of sources. Ringrose's work, however, demonstrated that the spectacular economic development of the country in the second half of the twentieth century could have not taken place if the economical pre-conditions had not been laid out first during the eighteenth and nineteenth centuries. But the idea of Spain being a failed economy almost throughout its entire history has been pervasive in certain historiography, and still maintains good health today. During the 2008 economic crisis, a number of prestigious media popularized the acronym "PIGS" to refer to the southern countries of Europe (Portugal, Italy or Ireland, Greece, and Spain).[126] The narrative that some of these media cultivated was that northern Europe was paying the irresponsible financial policies of the south. The pressure these countries faced to fulfil their credit obligations was enormous, with severe austerity policies resulting in economic stagnation, unemployment, and a media campaign accusing them of spendthrifts. The interests of the debt kept increasing as investors became less confident about the capability of these countries to pay their sovereign debts; a confidence that was never lost in the northern countries despite their untrustworthy

[124] Ringrose, *Spain*, 3.
[125] Roca Barea argued that "there are tons of bibliography over the financial distress of Philip II and the Habsburg monarchs. But not over Louis XIV and the other Bourbons". In "Masson de Morvilliers", *Fracasología.*
[126] The most important media were *The Economist, Newsweek, The Times, and Finantial Times.* The latter admitted that "it is a pejorative moniker but one with much truth". "Pigs in Muck", Finantial Times, September 1, 2008. Accessed February 2, 2022. https://www.ft.com/content/5faf0b0a-778a-11dd-be24-0000779fd18c. One can compare this attitude with the qualms that the media exhibited when, during the COVID pandemic, variants of the virus were not named after the countries of alleged origin to "avoid stigmatization".

financial credentials throughout the whole twentieth century.[127] In the Spanish case, these discredit campaigns were of course much easier to sustain when there is such a strong historiographical tradition that presents the country as an economic failure, and, in some extreme cases, even questions the country's work ethics, as we have seen above.

The exceptionalist narrative also maintains good health in Spain itself because it serves well the interests of certain powerful factions, most prominently the separatist movements of certain regions (most notably Catalonia). Presenting Spain as a European anomaly serves to legitimize their political agenda, which is boosted by powerful propaganda campaigns financed through their autonomous governments (the Spanish State itself after all),[128] and thanks to the unparalleled levels of autonomy given by the current (*de facto*) Spanish federal system. Nonetheless, as Romero Salvadó argues in his latest book,[129] a growing number of scholars rejects this exceptionalist approach. Roca Barea, who wrote one of the most successful historical essays of the last decade,[130] points to an optimistic historiographical turn that leaves behind the exceptionalist paradigm "so largely cultivated by [Spanish] intellectuals".[131]

## Music Historiography

After the commercial success of Spanish art in nineteenth-century Europe, the figure of the Hispanist emerged in France: writers and intellectuals who were specialists in Hispanic culture and history. One of the most influential Hispanists of the early twentieth century was Henri Collet. Collet composed a selection of music on Spanish topics including ballets, operas, chamber music, and songs. Although he is best known for coining the term "*Les Six*",[132] and for his writings on Spanish music. Collet was also the author of one of the first biographies of Albéniz.[133] Samuel Llano has extensively analysed his writings in *Whose Spain?*, on which the following discussion draws. One of Llano's main points is to argue how the prevailing anti-German ideology shaped Collet's writings.

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[127] Roca Barea describes Germany's unpaid debts in the twentieth century, as well as the international confidence on the United Kingdom after the economic crisis of the late 1970s. *Imperiofobia,* 459–66.
[128] Juan Pablo Cardenal, *La telaraña: la trama exterior del procés* (Barcelona: Ariel, 2020).
[129] Romero Salvadó, *¿Quién Mató a Eduardo Dato?,* XVIII.
[130] Roca Barea, *Imperiofobia.*
[131] "Por fortuna, se abre camino una historiografía nueva, mucho más equilibrada y que parece dispuesta a dar por clausurada la cantinela del excepcionalismo, tan largamente cultivada por nuestros intelectuales" (Roca Barea, *Fracasología*, "La España exótica y la subordinación cultural", Chapter 6.
[132] "Les Six" refers to Georges Auric, Louis Durey, Arthur Honnegger, Darius Milhaud, Francis Poulenc, and Germaine Tailleferre.
[133] Henri Collet, *Albéniz et Granados* (Paris: Le Bon Plaisir, 1948 [1926]).

After the French defeat at the Franco-Prussian War and at the dawn of the First World War, anti-Germanism was one of the primary sentiments in France. Collet tried to forge an image of Spanish music that served the purposes of anti-German propaganda, using certain ideological constructions like Maurras's Latin Union and converting Spanish music in one of France's allies in the war against German art.[134] Yet, in order to assert the prominence of French music, he needed to preserve the peripheral status of Spanish music, and was thus torn between elevating Spanish music as an ally in the struggle against Germany, and cultivating the image of the Romantic Spain to guarantee French cultural dominance. We see thus in Collet's writings the perpetuation of the stereotypical images of Spanish music and composers cultivated in the nineteenth century that have just been described. Following the thesis of Dianotto, we could argue that the conceptualization and definition of French music at the end of the nineteenth and beginning of the twentieth century relied on the conception of Spanish music as an internal other, shaped according to the parameters of the Black Legend and the exceptionalist historiographical paradigm.

In his writings, Collet depicts Spanish composers as naive, illiterate but intuitive, and in need of French tutelage. This description strongly relies on the myth of the "noble savage". The myth of the noble savage is usually (and apparently wrongly) associated with Rousseau;[135] it is typically used to praise the qualities of primitive populations by celebrating their *naiveté*, purity, natural goodness, freedom, instinct, and physical strength, juxtaposing these to the spiritually inferior traits of civilization: technology, constraints, knowledge, refinement, and technical superiority. Colonial powers used the images of the noble and the ignoble savages at their convenience to justify their actions. In other words, Collet recycled the idea of primitive cultures being spiritually superior and closer to the truth, in an attempt to dismiss the purported qualities of German culture: rationality, craftsmanship, technique, etc. Curiously, the same ideas that were used against French dominance by German intellectuals during the Napoleonic Wars. As Llano has put it: "Collet seeks to undermine German civilization by opposing to it a Spanish musician who privileges instinct over intellect,

[134] Roca Barea has argued that the idea of *latinidad* and the term "Latin America" was used (if not invented) to launch the candidature of Maximilian I as Emperor of Mexico, and, in general, to legitimize French claims on Mexico and America. See *Imperiofobia*, 411.

[135] On the false association between Rousseau and the myth of the "noble savage" see Ter Ellingson, *The Myth of the Noble Savage* (Berkeley: University of California Press, 2001), accessed April 16, 2020. ProQuest E-book Central.

knowledge and technique—like the noble savage".[136] And continues: "Collet describes the Spanish 'savage' composer as one who disregards rules and methods, one who composes 'outside of any European precepts of musical composition: did he not ignore the rules of counterpoint and harmony as they were taught in our conservatoires?"[137] Llano's argument is that these descriptions are put at the service of his anti-German campaign, so, in the end, in a somewhat paradoxical manner, Collet is using certain topics of the Romantic image of Spain to assert its superiority over German music. "Collet describes Spanish music as being emotional and unconstrained, and opposes it to a rational, theoretical and mechanical music that, most likely, is German". Llano is relying here partly on Collet's book *Albéniz et Granados*. Collet's description of both composers and his overall assessment of their works replicate these ideas.

> Albéniz and Granados […] were not and could not be impeccable technicians, […] since composition responded, in them to a need for relaxation, an almost sensual distraction rather than a preconceived intention of leaving a strong and durable work to posterity.[138]
>
> The works of Albéniz and Granados, which the theoreticians of an impeccable and insensitive construction and architecture will laugh about, but which will seduce those who consider that music is a song, and that one sings feelings rather than thoughts".[139]

Of the two composers, Granados was perhaps the most "intuitive", and, as Miriam Perandones has shown, was less well treated by subsequent historiography, especially a particular branch associated with Pedrell and Salazar.[140] According to Collet, Granados composes "without order or method, but [guided] by an infallible instinct"; and produces a music characterized by "a lack of proportion and balance in the themes and phrases across the different parts, an absence of a tonal plan and a pianistic overburdening".[141] Adolfo Salazar and Jacques Jean-Aubry reproduced very similar critiques against Granados. Jean-Aubry criticized his lack of rationality and pointed out that his music was more instinctive than cultivated,[142] and that he lacked "intellectual patience and

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[136] Llano, *Whose Spain?*, 31.
[137] Ibid.
[138] Ibid.
[139] Ibid., 23.
[140] Miriam Perandones, *"¿Granados no es un gran maestro? Análisis del discurso historiográfico sobre el compositor y el canon nacionalista español", Diagonal: An Ibero-American Music Review* 2, no. 1 (2016): 49–65.
[141] As quoted and translated in Llano, *Whose Spain?,* 31.
[142] As quoted in Perandones, *"¿Granados no es un gran maestro?",* 60.

technical curiosity".[143] Likewise, Salazar wrote: "its rhapsodic character, of an improvisation born in an inspired moment, will last throughout his entire work, and its constitutive weakness is accented with the effort that he realized to supply that internal defect".[144] As Perandones has pointed out, Salazar's position is rather determined by his own left-wing ideological background and the trajectory he had chosen as the right historical path for Spanish music; a trajectory that is juxtaposed to Granados's *casticismo* and to the ideological charges that it entailed.

Following the analogy of the noble savage, Spanish composers possessed a remarkable innate talent, but could not develop or give form to their compositions because of their lack of skills. Spanish composers were "the sole providers of ethnic material".[145] For Collet, it was clear that they needed to come to France and Paris if they wanted to develop their potential, and achieve the success they could not obtain in Spain. In that sense, Collet exploited the complaints of the Spanish artistic *avant-garde* about the lack of institutional and private support in their own country. He was promoting Spanish composers and, on the way, he "appropriated" Spanish music ("Albéniz is ours despite his apparent exoticism", he once wrote)[146] and put it at the service of the *Entente*. The analogy of the Spanish composer as a noble savage was still functioning much later in the twentieth century. In her influential 1972 *History of Spanish Music*, Ann Livermore described the reception of Spanish music among French composers in this way: "[Dukas and Debussy] were capable of appreciating those exotically original talents, which, however, still express themselves in a naive manner. The Spanish were in absolute possession of security regarding their instincts, but not concerning the organization of their work".[147] The idea of an anti-intellectual essence of Spanish music was accepted by Spanish authors as well, including the famous musicologist Adolfo Salazar, quoted at the beginning of this chapter. In general, the formation process of a canon for the national histories of music implies the inclusion and exclusion of certain works, and, as Juan José Carreras observed, "the concept of Spanish music, as a result of that dialectic, ended up articulated

[143] Ibid.
[144] "Su carácter rapsódico, de improvisación nacida en un momento inspirado, perdurará en toda su obra, y su debilidad constitutiva se acentúa con el esfuerzo que se le ve realizar para suplir ese defecto interno". Adolfo Salazar, *La música contemporánea en España* (Madrid: La Nave, 1930), 194. As quoted in Perandones, *"¿Granados no es un gran maestro?,* 60.
[145] Llano, *Whose Spain?*, 40.
[146] Collet, "Nécrologie", *Revue musicale et bulletin de la S.I.M* 5, no. 7 (July 15, 1909). As quoted and translated in Llano, *Whose Spain?*, 11.
[147] Ann Livermann, *Historia de la música española*, trans. Isabel Rocha (Barcelona: Barral, 1974), 295.

around two ideals: *simplicity* (as opposed to the complexity of foreign counterpoint of sacred music) and *expressivity,* understood as the essence of the popular".[148]

## Albéniz as an Example of the Exceptionalist Paradigm

At this point, it might not be surprising to read that Albéniz is frequently described as an improviser who relies mostly on intuition and who lacks the technical capabilities of a crafted composer, despite the fact that he was educated in some of the best European conservatoires of his time. As Manuel Martínez Burgos has put it: "there was always a certain idea of Albéniz as an 'inspired composer' but lacking compositional technique, which he was not able or did not want to deny".[149] Indeed, Albéniz's first biographers, teachers, admirers, and friends (and perhaps even Albéniz himself) contributed to forge this image by perpetuating the myth of the Romantic genius who did not need technical instruction to compose or succeed. Of course, none of these writers substantiated their claims with any concrete musical evidence. One of the authors who contributed to this myth more than most was Albéniz's composition teacher Felipe Pedrell:

> I noticed that when we spoke of these things or of other, more intricate technical problems, he became extraordinarily concerned and preoccupied, and as I observed that the dry cold rules made no impression on his intelligence, I determined to speak no more of rules, neither of chords nor of resolutions. […] No rules—I insisted—and burn all harmony, counterpoint, composition, and instrumental organography, which were not written for you".[150]

Apparently Pedrell refused to call Albéniz his disciple because "temperaments like his are not teachable, they bring with themselves all they have to be, they are only directable, and this only up

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[148] El concepto de música española resultado de esta dialéctica (entre lo asumido y lo expulsado) termino articulándose en torno a dos ideales: el de la *simplicidad*—opuesto a la complejidad del "contrapunto extranjero" propio del genero sacro—y el de la *expresividad,* entendido este como esencia de lo popular. Juan José Carreras, ed. *Historia de la música en España e Hispanoamérica. La música en España en el siglo XIX* (Madrid: Fondo de Cultura Económica de España, 2018), 151. Emphasis added.

[149] "Sea como fuere, siempre ha quedad una cierta idea de Albéniz como ´compositor inspirado´ pero carente de técnica compositiva, que él no supo o no quiso desmentir". Manuel Martínez Burgos, "Isaac Albéniz: la armonía en las composiciones de madurez para piano solo como síntesis de procesos tonales y modales" (PhD diss., Universidad Autónoma de Madrid, 2004), 641.

[150] Felipe Pedrell, "Albéniz: El hombre, el artista, la obra", in *Músicos contemporáneos y de otros tiempos* (Paris: P. Ollendorg, 1910), 378. Partly translated and quoted in Walter A. Clark, *Isaac Albéniz: Portrait of a Romantic* (New York: Oxford University Press, 1999), 54.

to a point, to the end of never restrict or muddy the crystal-clear rivulet of his native intuition".[151] As Salazar noticed, Pedrell had claimed that Albéniz demanded from him some technical instruction so that "teachers will not keep reproaching his ignorance about names and written laws".[152] After all, Pedrell was Albéniz's teacher and responsible for Albéniz's turn to music folklore as a source of compositional inspiration. His words, therefore, were taken as a source of authority for later judgements on Albéniz. For instance, in his influential *The Music of Spain,* Gilbert Chase paraphrased Pedrell as follows:

> Pedrell himself has told us that there was very little formal instruction in these so-called lessons, which were really more in the nature of conversations. Albéniz, he affirms, was recalcitrant to rules and theories and could only understand music intuitively, and exclusively through the medium of the keyboard, not as an abstract conception to be heard "inwardly". What Albéniz derived from Pedrell was above all a spiritual orientation, the realization of the wonderful values inherent in Spanish music.[153]

Similarly, in 1998, Lisa Lewis wrote: "Albéniz, on the other hand, seems to have been far too lenient as to the rules of form and composition according to his teacher Felipe Pedrell, and benefited from the greater discipline and craftsmanship of the Parisian element he mingled with at the end of his life".[154] In his 1999 biography of Albéniz, Walter Clark has contextualized Pedrell's comments, pointing out that these words refer to lessons Albéniz received at the relatively young age of 23, and that Pedrell overstated his case by including some anecdotes of his lessons with Albéniz that could not be true or that were simply exaggerations.[155] In his earlier work, Clark also warned us that Pedrell's remarks quoted above "should not be construed to suggest, as it sometimes has, that

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[151] "Temperamentos como el suyo no son enseñables, se traen ellos todo lo que les toca ser, son solamente dirigibles, y esto con cierta mesura, a fin de no contener ni enturbiar jamás el hilito de agua cristalina de su intuición nativa". Felipe Pedrell, "Albéniz. El Hombre, el artista, la obra". Músicos contemporáneos y de otros tiempos (Paris: Ollendorff, 1910). Partly quoted and translated in Clark, "Spanish Music", 24.
[152] Salazar, *Música contemporánea en España*, 139, quoting Pedrell in "Albéniz. El hombre, el artista, la obra", 378.
[153] Gilbert Chase, *The Music of Spain,* 153.
[154] Lisa M. Lewis, "Twelve Nouvelle Impressions: Historical and Cultural Factors Relating to the Performance of Isaac Albéniz's *Iberia* Suite" (PhD diss., University of Washington, 1998), 95.
[155] For instance, Clark mentions that Pedrell apparently encouraged Albéniz to come up with his own terms to account for musical phenomena including "Hertz waves" and "X-rays", which were only discovered by Röntgen many years after Pedrell and Albéniz's encounters. Clark, *Isaac Albéniz*, 54.

Albéniz was little more than a guideless wunderkind who, in the final analysis, depended upon improvisation and had only a tenuous command of the science of composition".[156]

Collet rounds off his description of Albéniz by ascribing some features of his music to racial characteristics, using, at the same time, some of the Romantic-Spain tropes per excellence: the Moorish heritage:

> Its acoustic arabesques resemble the blue volutes produced by the hookah smoke, or the stuccoes in Arab palaces. The chords can only be analysed with reference to an extraordinary free counterpoint. Otherwise, there is no brusqueness here. The superposition of second, however, render the sounds vague.[157]

Collet uses the racial explanation to account for certain unconventional elements in Albéniz's music, alleged technical deficiencies or other traits that were difficult to explain. "Eccentricities such as the 'freedom' of counterpoint, or deficiencies such as the "vagueness" of sounds, find a deterministic explanation in the trope of racial otherness".[158] And, of course, Albéniz was "impervious to Teutonic pedantry" by virtue of his Spanish nationality.[159] In 1983, Vladimir Jankélévitch reproduced Collet's descriptions of Albéniz as a noble savage: "Albéniz's nonchalance, which rather is an oriental laziness, an African indolence", and argued that Albéniz "is not an erudite […] but contents himself (if we can say that!) with being Spain, with recreating naively, existentially, joyfully, the songs and the voice of Spain, by virtue of his childhood spirit".[160]

Other Spaniards and admirers of Albéniz's music emphasized his purported resistance to technical instruction. Luis Villalba Muñoz (1873-1921), a well-known music critic, declared: "to write music and to know counterpoint were the two venerable summits of art that he adoringly revered, but which were inaccessible to his character as a free artist".[161] For Salazar, Albéniz disliked Debussy "because the effect it had on him was too intellectual […] for his temperament", and because

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[156] Clark, "Spanish Music", 24.
[157] Llano, *Whose Spain?,* 32.
[158] Ibid., 32.
[159] Henri Collet, "Nécrologie", *Revue musicale et bulletin de la S.I.M,* 5, no. 7 (July 15, 1909). As quoted and translated in Llano, *Whose Spain?,* 11.
[160] Vladimir Jankélévitch, *La présence lointaine : Albéniz, Séverac, Mompou* (Paris: Éditions du Seuil, 1983). As quoted in Llano, *Whose Spain?,* 32.
[161] Luis Villalba Muñoz, *Últimos músicos españoles del siglo XIX* (Madrid: Ildefonso Alier, 1914), 182. As quoted and translated in Clark, *Isaac Albéniz,* 54.

"Debussy's technical system was too complex".[162] Yet, once the technical innovations of French music of the *fin de siècle* sink in, and became intuitive, they were able to "operate over his sensitivity". "Albéniz's greatest weakness was his lack of construction, his precarious sense of the great composition, that only allowed him to tackle the loose, brief pages and without responsibility of the suite".[163] Overall, Salazar described Albéniz as an "intuitive artist", and not at all "thoughtful". The tone of his description can be sensed by checking how often he used words like "intuition" and "improvisation" in the chapter on Albéniz of his *Contemporary Music in Spain*. He concludes that "Albéniz was more secure about his instinct than his intelligence. Accompanied by his inspiration was led to a better end than by the hand of the rules taught in the treatises".[164]

In terms of more detailed technical critiques against Albéniz, two aspects of his craftsmanship have been widely criticized, even by his most fervent supporters: his orchestration skills, and the writing of his stage works. Critiques of his orchestration skills appeared since Albéniz's time and latter biographers perpetuated them. Collet, "reiterates Pedrell's observation that Albéniz treats the orchestra in pianistic fashion", and Laplane "echoed this criticism when he wrote that 'the orchestra continually oppresses the voices under an excessive weight'".[165] In his *Music of Spain*, Gilbert Chase wrote: "Albéniz thought primarily in terms of the piano rather than of the orchestra, a medium he never thoroughly mastered".[166] According to the composer Josep Soler, who wrote an orchestration of *Pepita Jiménez*: "it is impossible that the orchestration of *Merlin* was from Albéniz. This is no dishonour to him. Simply, *the orchestra at that time was not his thing*" (emphasis added).[167] *Merlin* was composed at the end of Albéniz's life, so "at that time" must mean his entire career. There was a certain controversy around the orchestration of *Merlin*, premiered by José de Eusebio as late as 1998. A group of scholars (Ricardo Miranda, Luis Iberni, and Soler) claimed that *Merlin* was orchestrated by Manuel Ponce. In José de Eusebio's words, this was just a "rumour" and "false".[168]

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[162] Salazar, *La música contemporánea en España,* 144.
[163] Ibid., 148.
[164] "Albéniz se sentía más seguro de su instinto que de su inteligencia. Acompañado de su inspiración se sabía conducido a mejor termino que no del brazo de las reglas que ensenan los tratados". Ibid., 139.
[165] Clark, "Spanish Music", 58–59.
[166] Chase, *The Music of Spain*, 154. Quoted in Clark, "Spanish Music", 304.
[167] "Es imposible que la orquestación de *Merlin* sea de Albéniz. Esto no es un desdoro para él. Sencillamente, la orquesta, en aquel momento, no era lo suyo". As quoted in Luis G. Iberni, "Merlín: enigmas de una partitura", *El Cultural* (22-05-2003). . Accessed May 24, 2020.
[168] "Se lanza un rumor y aquí nos volvemos todo locos hacienda caso omiso de los documentos reales: cartas, manuscritos, pruebas de impresión, fechas… Dicen que *Merlin* lo ha orquestado Manuel Ponce

As we have seen, Soler's argument was that the quality of the orchestration was too good to be Albéniz's. Likewise, Adolfo Salazar claimed that in the orchestral piece *Catalonia*, Albéniz did not take advantage of the help provided by Paul Dukas.[169] For Pedrell, Albéniz perceived the orchestra, as well as the music in general, through the means of the piano, and therefore, there was a disparity in effect from the conception of the work to its orchestral translation.[170]

The other aspect of Albéniz's career that up until the late twentieth century was fiercely criticized was his stage production. Two of Albéniz's first biographers, Gabriel Laplane and Henri Collet quickly despised the composer's stage works. Collet, in line with his anti-Germanic propaganda previously discussed in this chapter, criticized them for their "chromatic Wagnerism", which contaminates the music "like a disease".[171] And thought that Albéniz lacked a "sense of theatre", as Clark put it.[172] Likewise, Gabriel Laplane wrote: "the Pact of Faust [referring to his arrangement with his English patron and librettist Francis Money-Coutts] could produce nothing but abortions [i.e. their stage works]".[173] Even Pedrell, talking about Albéniz's London period claimed that:

> Those jewels of primitive inspiration, were the most brilliant, the most Mediterranean, the most national of Albéniz's works; flowers of intoxicating perfumes, forgotten by the composer himself *when he embarked through the path of other genres that could not feel with spontaneity of sentiment, because they were outside the centre of his proper inspiration.*[174]

In a similar manner Adolfo Salazar called his English operas, specifically referring to the King Arthur trilogy, an "unfortunate idea" that "proved the disorientation of a spirit, once so sure of itself", and which can be further corroborated "in the weakness of his Spanish stage works".[175] And concludes that "his stage works fall by effect of his architecture".[176] Albéniz needed to come back to his piano, which was more truthful to his true character. In 1984 Carlos Gómez Amat, who devoted an entire

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(1882-1948). Es Falso". José de Eusebio, *La Excálibur de Albéniz* https://cvc.cervantes.es/actcult/albeniz/obra/merlin/excalibur.htm. Accessed April 24, 2020.

[169] Salazar, *La música contemporánea en España,* 149.

[170] Pedrell, "Albéniz. El hombre, el artista, la obra", 380.

[171] As quoted and translated in Llano, *Whose Spain?* 26.

[172] Clark, "Spanish Music", 330. Paraphrasing Collet, *Albéniz et Granados,* 123–24.

[173] Gabriel Laplane, *Isaac Albéniz su vida y su obra*, 104. Quoted and translated in Clark, *Isaac Albéniz*, 104.

[174] "Aquellas joyas de sus inspiraciones primitivas, son lo más genial, lo más mediterráneo, lo más nacional de la obra de Albéniz; flores de embriagadores perfumes, olvidadas por el compositor mismo, cuando se intrincó por el camino de otros géneros que no pudo sentir con espontaneidad de sentimiento, porque se hallaba fuera del centro de su inspiración propia". Pedrell, "Albéniz. El hombre, el artista, la obra", 379. Emphasis added.

[175] Salazar, *La música contemporánea en España*, 140.

[176] Ibíd., 148.

chapter of his *History of Nineteenth Century Spanish Music* to Albéniz, said: "of all the clichés about Albéniz, there is only one with solid foundations: his lack of ability to write stage music, especially in those works by Money-Coutts, which didn't fit well with his temperament".[177] Donald Grout, in his *Short History of Opera* wrote that Albéniz "essayed opera, but without important results".[178] In all these critiques we perceive that either Albéniz was not suit for the theatre, or, in the best cases, the blame was thrown at Money-Coutts for writing bad and unsuitable libretti. Of course, these two aspects of Albéniz's production (his orchestration and his stage works) were often connected, and one of the reasons that critics laid for the bad quality of his stage production was its poor orchestration. As Collet wrote: "his orchestra delivers its overabundance without nuances, in a pianistic conception of the work. The voice merely declaims. All the ideas of the author are blended in an instrumental ensemble comparable to an immense piano".[179] All these critiques about Albéniz's stage works are the direct cause of the oblivion that these works have suffered, despite the efforts of recent scholarship and artists.[180] I believe that these valuable studies have not yet been able to counteract the many years of negative comments and contempt; it will be a long road until these compositions will be widely appreciated, as these and other aspects of Albéniz's output have to face a long-lasting historiography described in this chapter, and which still persists in one way or another in our own century.

[177] "De todos los tópicos sobre Albéniz, el único que tiene fundamento es el de su falta de habilidad para la música escénica, sobre todo en esas obras de Money-Coutts, que no le iban nada a su temperamento". Carlos Gómez Amat, *Historia de la música española*, Vol. 5. Siglo XIX (Madrid: Alianza, 1984), 314.
[178] Donald Grout, A Short History of Opera (New York: Columbia University Press), 569. Quoted in Clark, "Spanish Music", 329.
[179] As quoted and translated in Clark, "Spanish Music", 330.
[180] Starting with Clark, "Spanish music". See also note 49 of the Introduction for more references.

## Chapter 2: Isaac Albéniz as a Galant Composer

> I confess with a little shame that, as much as I admire Mozart, I have never been able to finish listening to *Cossi fan Tutte* or *La Nozze di Figaro*; so much beauty always in the same colour and identical tessitura ends up being too sweet. Those who assert that Wagner writes with a recipe can say what they want, but there is no greater recipe in the world like that of the classical composers, especially Mozart, and he adhered to it in most of the works he produced.[1]

When Albéniz wrote these words in 1897, he was in his late thirties and about to compose some of his most ambitious and renowned pieces, including a monumental operatic trilogy based on the legend of King Arthur and the famous *Iberia*. Without any context, one could probably guess the approximate date of this quote and not miss by many years, since these words are nothing but the product of the ideological tenets of Romanticism, implicit in the underlying aesthetic values on innovation and originality. But this greatly contrasts with eighteenth-century ideologies and compositional practices, since, as many scholars have shown, composers shared a vast network of musical vocabulary whose conventionality served as a means of communication.[2] Part of these eighteenth-century conventions were codified by Robert Gjerdingen in what he called "Galant schemata".[3] Galant schemata are ideal representations of a set of pre-determined melodic and harmonic formulas in a fixed metrical position and with a relatively fixed function. Schemata were constantly employed by eighteenth-century composers, to the point that they constituted a shared compositional vocabulary and an essential component of eighteenth-century musical syntax. They were also a means of communication through which composers could assert their learned social status in an eighteenth-century courtly environment. Through Galant schemata, composers, performers, and their audiences engaged in a musical dialogue only possible through the conventionality of the musical material. In that sense, musical schemata equated good manners,

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[1] "Yo confieso con rubor que, admirando como admiro a Mozart, no he podido acabar de oír ni el cossi fan tutte, ni la nozze di Figaro; tanta belleza siempre en el mismo color y de idéntica tesitura acaba por empalagar; digan lo que quieran los que aseveran que Wagner escribe con receta, receta como la que han usado los clásicos, especialmente Mozart, no le hay más grande en el mundo, y a ella se ha atenido el maestro en la mayor parte de las obras que produjo". Isaac Albéniz, *Impresiones y diarios de viaje*, ed. Enrique Franco (Madrid: Fundación Isaac Albéniz, 1990), 56.

[2] See Danuta Mirka and V. Kofi Agawu, *Communication in Eighteenth-Century Music* (Cambridge; New York: Cambridge University Press, 2008).

[3] Robert Gjerdingen, *Music in the Galant Style* (New York: Oxford University Press, 2007).

and, as such, were acquired through an intense musical education, which included memorization through exercises like *partimenti*.[4] This was a practice that, as Gjerdingen points out, resembled that of their contemporary actors of *commedia dell'arte* who learnt a set of predetermined speeches, jokes, and gestures collected in their *zibaldone.* This practice, which links composition and improvisation with memory, constitutes a creative tradition with roots in classical rhetoric that could be traced back to Quintilian.[5] To put it simply, Galant schemata were courtly conventions, or, in other words, eighteenth-century musical "recipes". Despite Romantic rhetoric and artists' "anxieties of influence",[6] Romantic composers also followed their own recipes, adapting and manipulating pre-existing formulas. This chapter will unveil some of Albéniz's own recipes, which, at the same time, share the same roots as some of Mozart's. First, I will concentrate on the exact replication of two Galant schemata in Albéniz's music, the Romanesca and the Prinner, pointing out, at the same time, the historical evolution and the different manifestations of the schemata available for a late nineteenth-century composer. Then, I will show how Albéniz adapted the Romanesca, the Prinner, and the Indugio to a late nineteenth-century stylistic context, and how some of these schemata interacted with other compositional formulas of this music. Finally, the chapter will close with a brief description of other Galant features of *Iberia,* pointing out similarities between Albéniz's and Galant phrase structure, and mentioning important connections between Albéniz and one particular Galant composer: Domenico Scarlatti.

## Galant Schemata in the Works of Isaac Albéniz

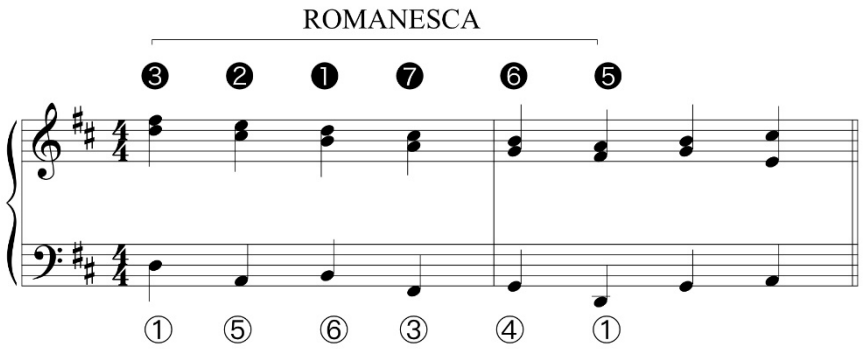
### The Romanesca

Among all Galant schemata the Romanesca is perhaps the most widely known thanks to one of the best-known compositions of the classical repertoire: Pachelbel´s Canon in D Major.

[4] These were, as Gjerdingen defines them, "predominantly bass lines to which the student was expected to add upper voices or chords in order to create a complete keyboard work". Gjerdingen, *Music in the Galant Style,* 31.

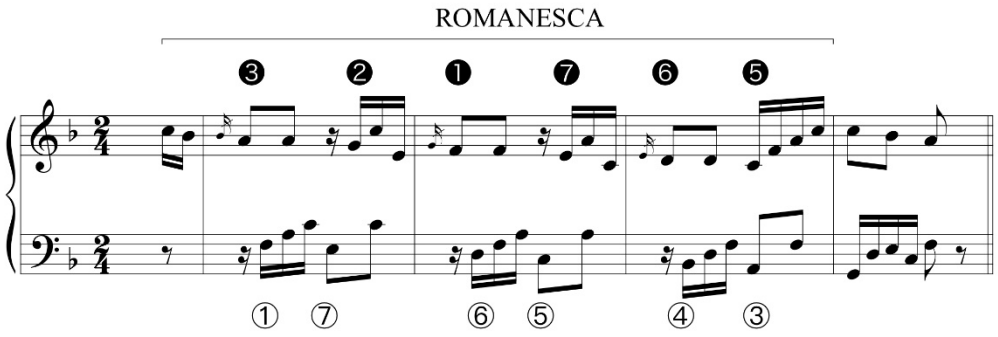
[5] On the importance of classical rhetoric on Renaissance composition and improvisation see Philippe Canguilhem, "Improvisation as a concept and musical practice in the fifteenth century" in Anna Maria Busse Berger and Jesse Rodin, *The Cambridge History of Fifteenth-Century Music* (Cambridge: Cambridge University Press, 2015), 149–63.

[6] The term "anxiety of influence" was famously coined by Harold Bloom in *The Anxiety of Influence: A Theory of Poetry* (London: Oxford University Press, 1975).




Example 2.1: Pachelbel's Canon in D major, Andante, b. 5 (ca. 1680s). As quoted in Gjerdingen, "The Romanesca"

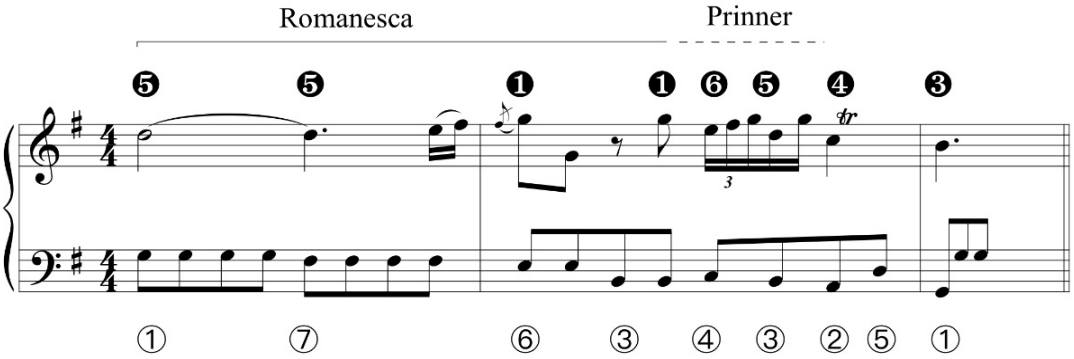
As Gjerdingen points out, the distinctive bass line is most likely the result of a practical compositional problem, namely, how to avoid parallel fifths or octaves given a descending parallel-thirds motion in the top voices. The result, as shown in Example 2.1, is a succession of root-position chords. However, there is another potential solution to this practical problem, shown in Example 2.2.




Example 2.2: Schobert Op. 6, No. 1, i, Andante, b. 1 (Paris, ca. 1721-1723). As quoted in Gjerdingen, "The Romanesca"

In this case, the bass line descends in stepwise motion alternating root-position and first inversion chords. In the variant of the Romanesca shown in Example 2.2, the original parallel thirds in the top voices are simply placed between the soprano and the bass. Thus, through invertible counterpoint we could easily explain the second variant of the Romanesca. Gjerdingen argues that this variant is more characteristic of the late eighteenth century, whereas early eighteenth-century composers preferred the first variant. However, neither of these versions was the default option of Galant

musicians, who favoured a slightly different variant of the Romanesca that combines elements of the previous examples.



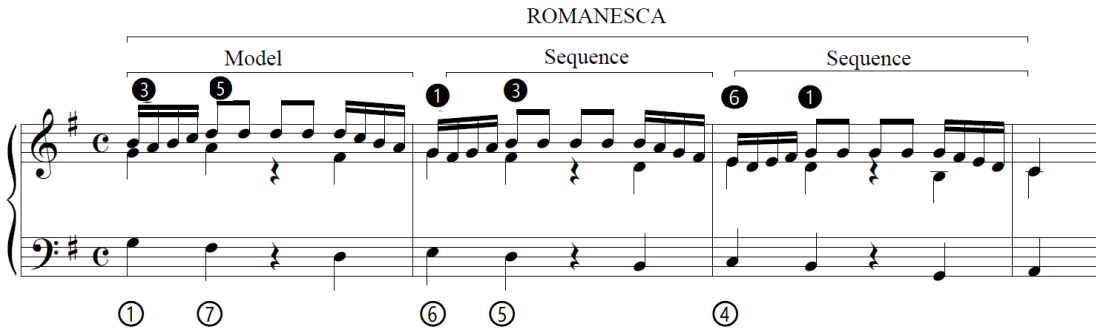

Example 2.3: Wodiczka, Op. 1, No.3, i, Adagio, b. 1 (1739). As quoted in Gjerdingen, "The Romanesca"

As shown in Example 2.3, the descending stepwise bass motion is interrupted on the fourth stage of the schema, and the bass (③) corresponds at this stage with Pachelbel´s version. However, ③ is here harmonized with a 6 chord rather than with a $\frac{5}{3}$ as in the first Romanesca. The reasons for the chord change have to do with solmisation rules and compositional pedagogy. But what interests me here—for reasons that will become apparent below—is that given the bass and chord choice on stage 4 of the Romanesca, the continuous parallel thirds between bass and soprano are no longer possible. Perhaps this is why in the most Galant versions of the Romanesca that Gjerdingen presents, the top voice uses a very different pattern, involving an initial ❺-❶ motion in the melody, as shown in Example 2.3. The absence of the descending parallel thirds, which gave rise to the schema on the first place, constitute a radical break in the history of the Romanesca. The first version of the schema presented in Example 2.1 can be traced back to fifteenth-century Spanish sources (shown later in this chapter in Example 2.9). As George Predota mentions, already sixteenth-century Italian composers and seventeenth-century theorists conceived the Romanesca as both a discant descending tetrachord (corresponding to the first four notes of the Romanesca quoted in Example 2.1) and a falling-fourths ascending-seconds bass pattern.[7] In its most typical Galant version represented here in Example 2.3, the schema can no longer be defined in those

[7] George A Predota, "Towards a Reconsideration of the 'Romanesca': Francesca Caccini's 'Primo Libro Delle Musiche' and Contemporary Monodic Settings in the First Quarter of the Seventeenth Century", *Recercare 5* (1993): 87–113.

terms, nor could we appeal to invertible counterpoint to explain this variant (as we could in Example 2.2).

Some scholars have recently cautioned us to remember that the gradual rise of harmony as a theoretical discipline in the nineteenth century has wiped contrapuntal and melodic nuances and distinctions essential for earlier music.[8] However, harmony still constitutes the most prominent common parameter of all the variants of the Romanesca, and Roman-numeral analysis offer us a way to acknowledge that. After all, from a Ramellian perspective, all variants of the Romanesca produce the same harmonies in different inversions (with the exception of chord 4 in the "Galant" version).[9] Of course, I am not saying that harmony is the *only* common parameter; I am saying that without harmony and the principle of triadic invertibility it would be more difficult to acknowledge all these Romanesca variants as different realizations of one single schema, whose most essential feature is the I-V-VI-III-IV progression. As a result of this harmonic configuration, in the second half of the eighteenth century, composers realized a latent implication of one parameter of the schema. Since the relationship between each pair of chords (metrically strong and weak respectively) is identical—i.e., the second will always be the "dominant" of the first—melodic sequences in each pair of chords can be created. Examples in the literature are numerous, like this fragment of Haydn's famous *Trauer* symphony.



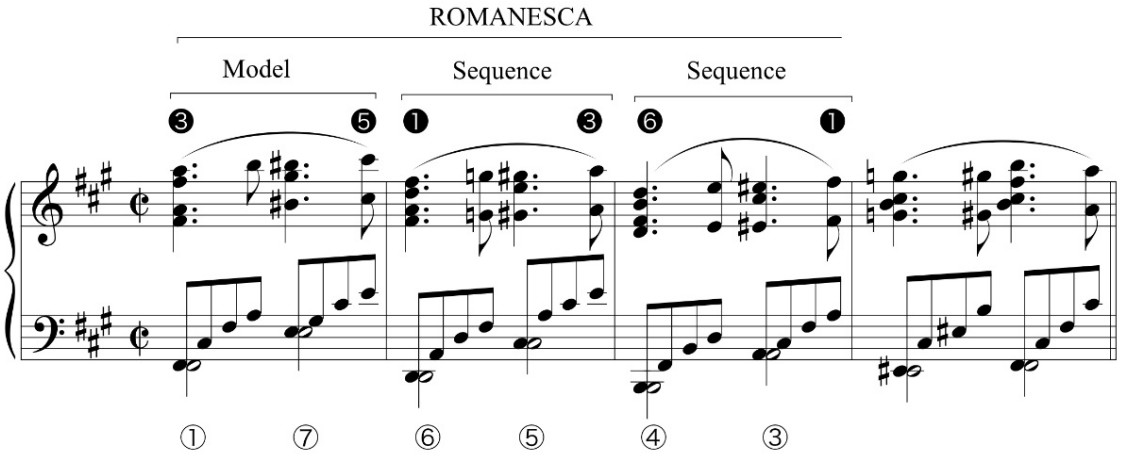

Example 2.4: Haydn, Symphony 44 in E Minor, "Trauer", i, (1772), bb. 21–23

[8] See, for instance, Felix Diergarten "Beyond Harmony, The Cadence in the Partitura tradition", in *What is a Cadence? Theoretical and Analytical Perspectives on Cadences in the Classical Repertoire*, ed. Markus Neuwirth and Peter Berge (Leuven: Leuven University Press, 2015), 59–84.

[9] It is useful to remember that the concept of triadic invertibility predates Rameau, although it only became widely influential after him. See Joel Lester "Rameau and Eighteenth-Century Harmonic Theory" in Thomas Christensen, *The Cambridge History of Western Music Theory* (Cambridge: Cambridge University Press, 2002), 753–77.

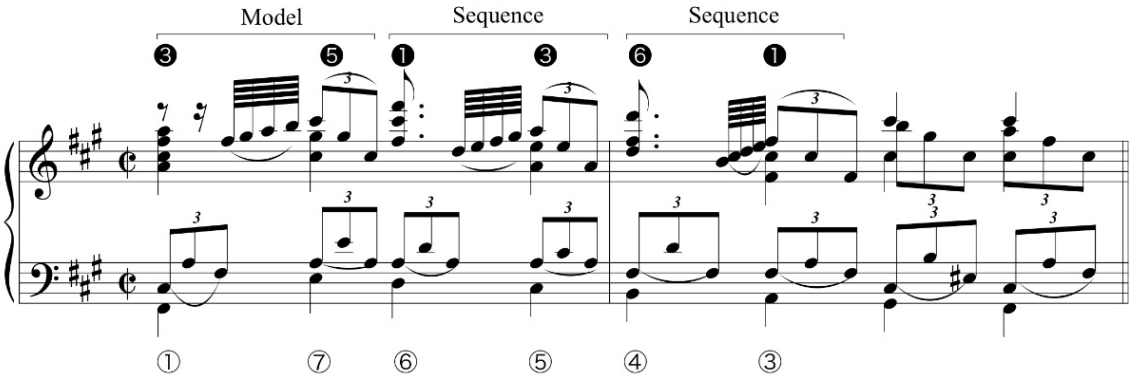
Although here the bass formula could also be understood as an example of the ①⑤⑥③④ pattern, I believe that it is better to interpret the root-position chords on the last beat of each bar as embellishments of a more fundamental stepwise descending motion. In any case, this example points out an important change in the history of the Romanesca in the late eighteenth century, which, in my view, gave rise to a Classical prototype. Several reasons explain the emergence of this new "Classical Romanesca". First, a hypothetical combination of the ❸-❺ ❶-❸ ❻-❶ top voice with a ①⑤⑥③④ bass pattern would result in very poor first species counterpoint, leaving the ①⑦⑥⑤④ combination as the only possible bass for that top voice. Second, the contrary motion between the outer voices of Example 2.4 not only results in a better voice-leading, but also leaves more room for embellishments and diminutions, and, at the same time, helps to better differentiate between the model and its sequences in comparison to a continuous motion in parallel thirds between the outer voices.

In general, we could define the Romanesca (or any other schema) as a set of individual parameters, which, depending on the historical period, composers gave priority to one over the others. This brief summary of the Romanesca helps us to survey the different possible realizations of the schema at the beginning of the nineteenth century; and all of these variants of the Romanesca appear in Albéniz's oeuvre. In his less well-known stage works several Galant schemata can be easily found. In his *King Arthur* trilogy, written at the turn of the century, the Romanesca appears both in *Merlin* (the first and only completed opera of the trilogy, composed between 1898 and 1902) and in *Launcelot* (the second and only partially completed opera of the trilogy). In Examples 2.5 and 2.6, the schema is nearly identical in both cases, and even appears in the same key (F♯ minor). It




Example 2.5: Romanesca in Albéniz's *Merlin* (T. 12A), Mer/146/4/3

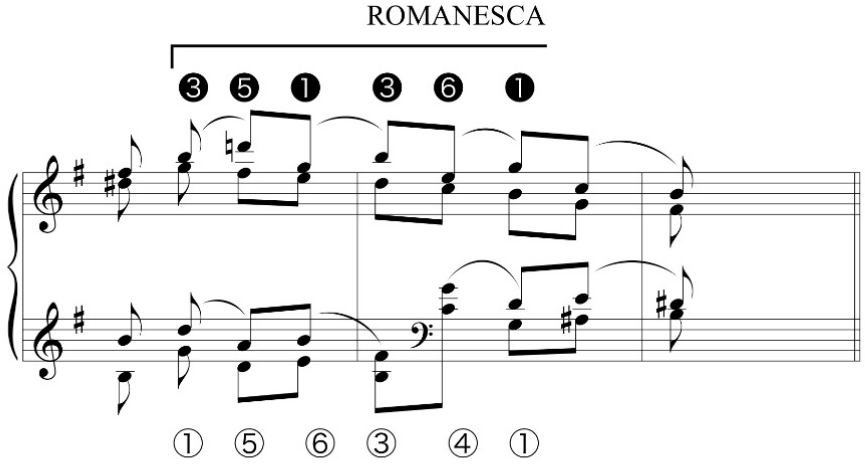
conforms to the variant of the Romanesca introduced in Example 2.4, the Classical Romanesca, with a descending stepwise bass line and a sequential repeat every bar.




Example 2.6: Romanesca in Albéniz's *Launcelot* (T. 12B), overture, bb. 21–22

For reasons that will become evident at the end of this section, some programmatic information is necessary at this point. In *Merlin*, after Morgan and her accomplices are captured for conspiring against Arthur, the crowd is seeking revenge and asks for the death of the conspirators. Gawain, a knight on Arthur's side and the son of King Lot, wants to avenge the murder of his father perpetrated by Pellimore, one of Morgan's supporters. In *Launcelot*, written in 1902, the Romanesca appears in the overture. In this context, the use of the Romanesca evokes certain solemnity associated with the references to royalism in the *King Arthur* story. But such an evocation of an old medieval kingdom is not unique to the Arthurian trilogy, since, between 1893 and 1895 Albéniz wrote *Henry Clifford*, an opera in three acts based on the Wars of the Roses in fifteenth-century England. As mentioned above, the first variant of the Romanesca, which features a descending motion in parallel thirds in the soprano-alto and a succession of root-position chords with a characteristic bass line, became old-fashioned by the late eighteenth century. And, as mentioned earlier, this variant of the Romanesca was described by composers and theorists already in the sixteenth century, and examples of the progression can be found in Spanish sources as early as the fifteenth century, the time when *Henry Clifford* is set. Therefore, it seems that the root-position Romanesca would be more appropriate for evocating an old medieval kingdom. Example 2.7 shows this variant in *Henry Clifford*. Notice, also, how the combination of the ❸-❺ ❶-❸

❻-❶ top voice with a ①⑤⑥③④ bass pattern results in parallel fifths between the "tenor" and the "bass".

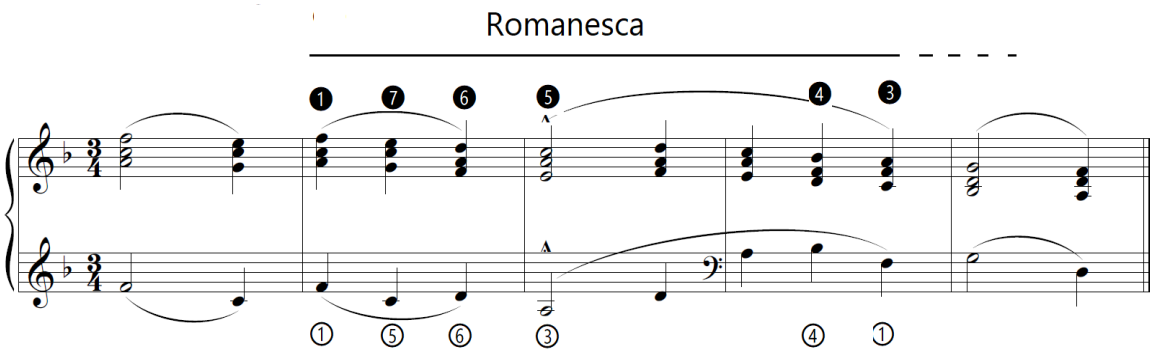



Example 2.7: Romanesca in Albéniz's *Henry Clifford* (T. 8), (H.C/137/4/3)

*Henry Clifford* was composed between 1893 and 1895, when Albéniz was also composing "Córdoba". Jacinto Torres has pointed out connections between both works: "the beginning of the prelude has the same harmonic syntax as a characteristic passage of 'Córdoba' (b. 38 onwards), from *Chants d'Espagne*".[10] Indeed, the passage in question from "Córdoba", shown in Example 2.8, also corresponds with the first variant of the Romanesca. This fragment, which is part of the introduction of the piece (bb. 1–52), has no thematic connection whatsoever with the main theme, and its hymn style, modality, homophonic texture, register, dynamics, and lack of figuration (all features prevalent throughout the introduction), isolate it from the rest of the work. Clark points out that the modality, and the metric ambiguity and rhythmic freedom of the introduction section relates it to liturgical singing, and associates the two differentiated sections (introduction and main theme) with two Spains: "one Christian and one Moorish".[11] The Romanesca, in its root-position

[10] "El inicio del *Preludio* presenta la misma sintaxis armónica que un pasaje característico de 'Córdoba' (compás 38 ss.), de *Chants d'Espagne*". Jacinto Torres, *Catálogo sistemático descriptivo de las obras musicales de Isaac Albéniz* (Madrid: Instituto de Bibliografía Musical, 2001), 131.
[11] Walter A. Clark, *Isaac Albéniz: Portrait of a Romantic* (Oxford: Oxford University Press, 1999), 100.

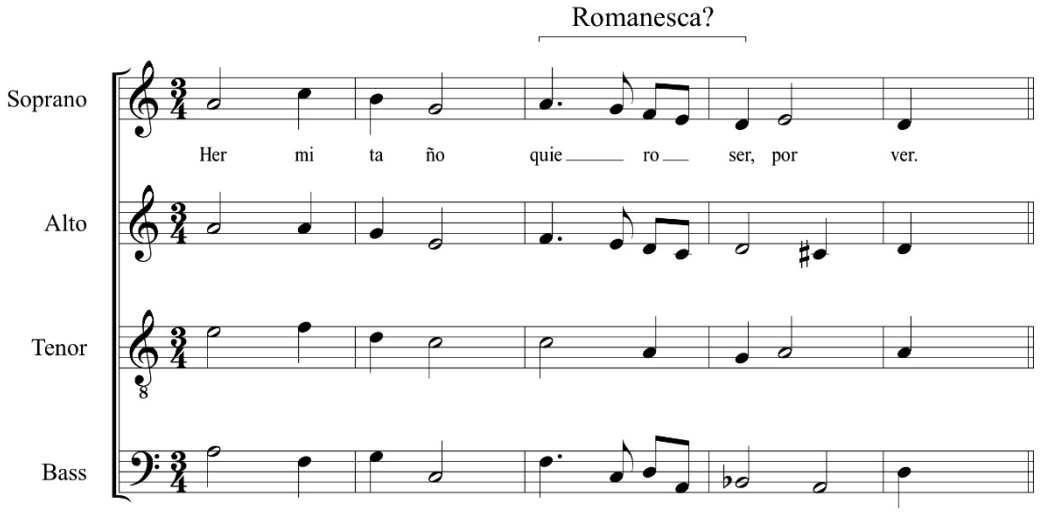
variant, is a reminiscence of a long-gone past, and it is used as a means to create a separate, almost unearthly momentary world detached from what follows.[12]




Example 2.8: Albéniz, "Córdoba" (T. 101D), bb. 38–42

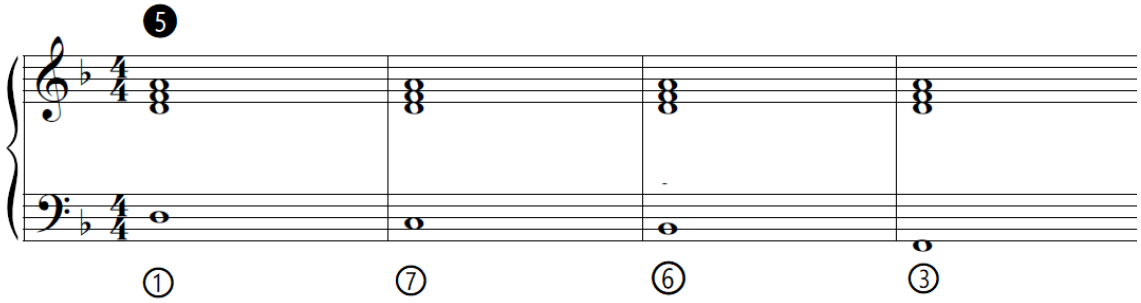
However, we should keep in mind that, rather than a pre-conceived, well-articulated schema, the resulting Romanesca resembles the usages of the formula in the late fifteenth and early sixteenth centuries. In that sense, the schema is the "accidental" outcome of the compositional constraints of a harmonic language dominated by root-position triads, and the result of a harmonization of a descending discant melody in parallel thirds with the alto (gymel). See, for instance, this passage from the popular song "Hermitaño quiero ser" by Juan del Encina (1468-1522), shown here as Example 2.9. I believe that these connections with fifteenth-century practice were consciously exploited by Albéniz to evocate "the old" in this passage from "Córdoba" and similar passages from *Henry Clifford*.

[12] Schumann uses a very similar technique, including the exact same type of Romanesca in the same key, in the development section of his first Piano Trio in D minor Op. 63.

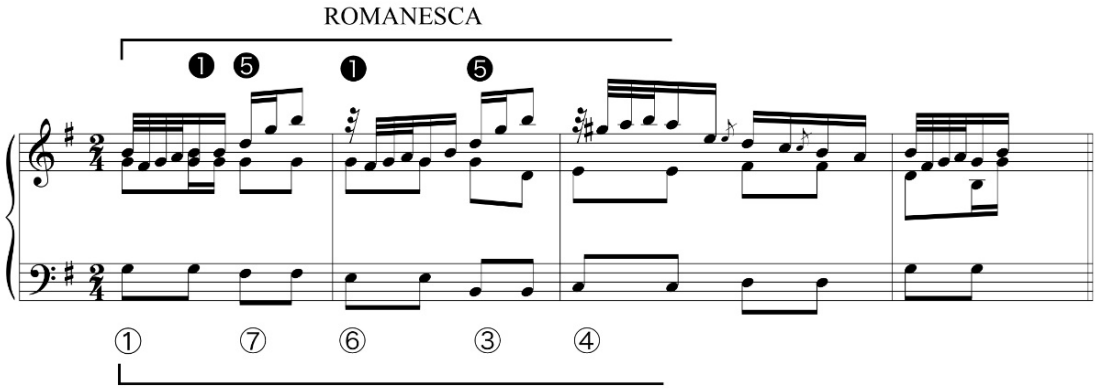



Example 2.9: Juan del Encina, "Hermitaño quiero ser"

So far, we have discussed two of the three variants of the Romanesca in the works of Albéniz. However, the most typically Galant Romanesca, the third version of the schema discussed here in Example 2.3, appears both at the beginning of the second act of *Merlin*, and in the overture of *Launcelot*. In *Merlin*, the beginning of the second act is built on the Galant bass of the Romanesca, which acts as an ostinato. In both *Merlin* and *Launcelot,* Albéniz maintains the initial chord throughout the entire progression. But this practice had its Galant precedents as well. Gjerdingen provides an example from Giovanni Batista Sammartini (1700-1755) in which the Milanese composer holds the initial tonic harmony over the second chord, creating a $\frac{4}{2}$ sonority. Compare Example 2.10, the schema used in *Merlin* and *Launcelot,* with Example 2.11, a psalm by Sammartini.



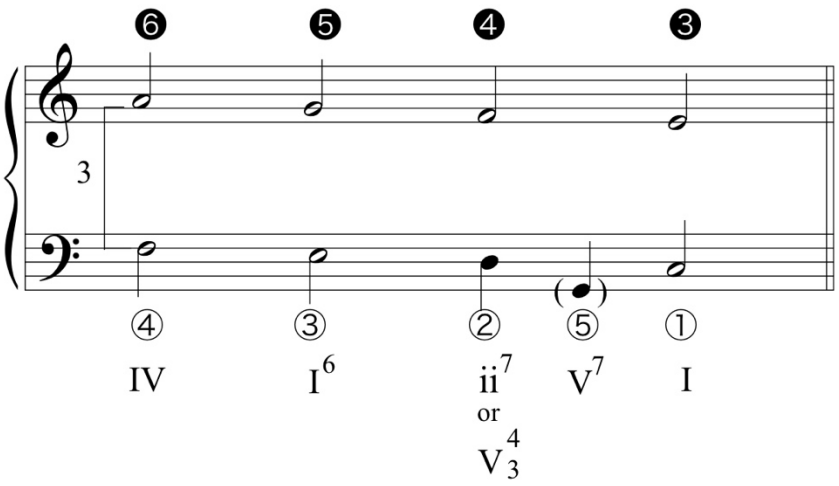

Example 2.10: Prototype of "Galant" Romanesca in *Merlin* and *Launcelot*. Mer/121/1 (beginning of the second act) and *Launcelot* overture




Example 2.11: Sammartini, Psalm (J-C105), vi, Gloria Prati, Andante, b. 9 (ca.1750s). As quoted in Gjerdingen "The Romanesca"

## The Prinner

The Prinner is the Galant schema most frequently used by Albéniz. The schema, named by Gjerdingen after the seventeenth-century theorist Johan Jacob Prinner (1624-1694), typically combines a descending stepwise melody from ❻ to ❸, with a descending bass line in parallel thirds (④-①) that usually inserts a dominant before the final ①. See Example 2.12 for a prototypical Prinner.




Example 2.12: Prinner prototype

As a Galant convention, the Prinner typically functions as a musical *riposta*, an elegant answer to a question posited by a previous statement. In fact, Gjerdingen presents the Prinner as one of the most common *riposte* to the Romanesca. In the variant shown in Example 2.2, the Romanesca presents an initial stepwise descending bass line (①-⑤). Thus, the ④-① bass of the Prinner nicely complements the initial descending tetrachord of the Romanesca bass, creating a full

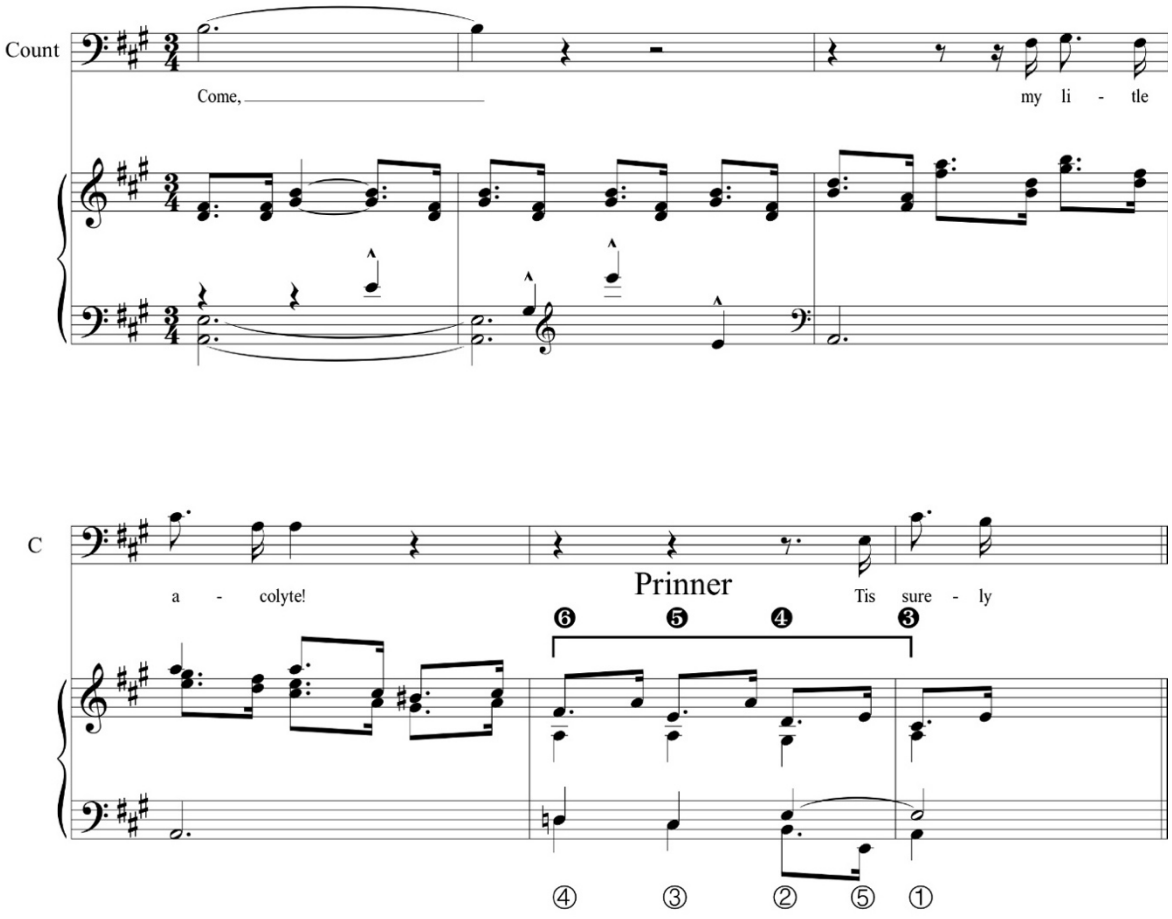
stepwise descend of the diatonic scale.[13] From this perspective, it does seem very logical that the Romanesca and the Prinner are often found in combination.

Albéniz employed the Prinner frequently, and the schema retained its *riposta* function. However, to the best of my knowledge, he never used it in combination with the Romanesca, and he wrote it both in major and minor keys, as opposed to typical Galant practice using it only in the major.[14] Moreover, Albéniz's Prinners mostly retained the metrical accents of the Galant Prinner suggested in Example 2.12, although with some alterations that will be discussed below. Albéniz used the schema as a musical formula throughout his entire career, and it appears in his most academic pieces like the piano sonatas or the piano concerto, in more salon-like compositions, in his famous Spanish-style pieces, his stage works, or even in very late compositions like *Iberia.* The opera *Pepita Jiménez*, written after the famous novel by Juan Valera, was composed in 1895, and it is perhaps Albéniz's finest effort in the genre. In Walter Clark's and Joaquín Turina's opinion, in *Pepita* "the great Albéniz first stands revealed".[15] Clark defined the work as "eclectic", showing multiple stylistic influences from Wagner, Italian opera, and Massenet. Yet, for Clark, Albéniz's choice of native literary sources, as well as his evocation of Spanish folklore as "the musical foundation of his work",[16] made *Pepita* one of the key works in the development of Spanish national opera, and, consequently, an essentially Spanish opera. In his words, "the Spanish element pervades the music and creates a credible whole out of its many constituent members".[17]

Amidst this stylistic context, it is interesting to notice how Albéniz first presents the Count Genazahar. The Count is Don Luis de Vargas's antagonist and one of his rivals for Pepita's love. In his first scene he tries to ridicule Don Luis. Clark characterized the Count's musical entrance in this way: "the music associated with the Count is essentially monorhythmic, lending his character a two-

[13] This point has been made by William Caplin. See Caplin, "Harmony and Cadence in Gjerdingen's Prinner", 50.
[14] Almost all Gjerdingen examples of Galant schemata are in major (see Gjerdingen, *Music in the Galant Style*, 23). As Matthew Riley has pointed out in relation to Viennese minor-key symphonies in the eighteenth century, "most of the schemata work just as well in minor". Matthew Riley, *The Viennese Minor-Key Symphony in the Age of Haydn and Mozart* (Oxford University Press, 2014), 4. Retrieved from https://soton.idm.oclc.org/login?url=https://dx.doi.org/10.1093/acprof:oso/9780199349678.001.0001.
[15] Walter A. Clark, "'Spanish Music with a Universal Accent´: Isaac Albéniz's Opera Pepita Jiménez (PhD diss., University of California, 1992), 328.
[16] Ibid., 316.
[17] Ibid., 311.

dimensional quality. In addition, Albéniz employs an open-fifth drone in the bass, making the theme not only rhythmically but harmonically static, thus portraying the Count as an annoying bore".[18] Albéniz rounds off the Count's theme with a Prinner, shown in Example 2.13, which replicates the descending tetrachord melody of the typical Galant version, instead of using a melodic variant (an initial ❸-❺-❶ arpeggiation) that Albéniz used more frequently in other works. Just so that the reader can imagine the musical depiction of this character, the Prinner, a Galant convention, constitutes the most interesting melodic passage of the Count's entrance. In a word, Albéniz used the Prinner to musically depict an aristocratic character amidst a Spanish-style opera.




Example 2.13: *Pepita Jiménez* (T. 9), Count's entrance

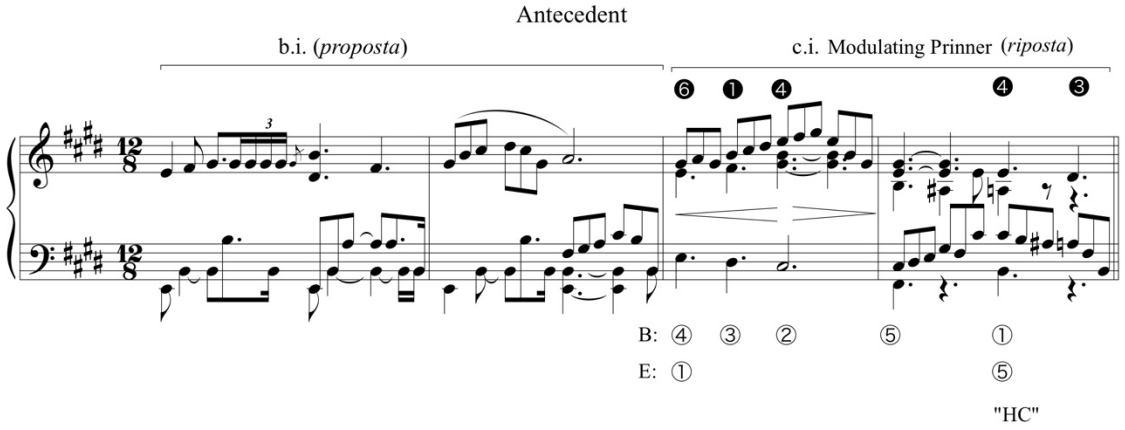
[18] Clark, *Isaac Albéniz*, 150.


Example 2.14: Saverio Valente's 1790 example of a "modulating Prinner". As quoted in Gjerdingen "The Prinner"

But in addition to the Prinner's function as a *riposta,* the schema was widely used as a means to modulate to the dominant key, since the *fa-mi-re-do* and *la-sol-fa-mi* tetrachords of the outer voices could likewise start on ① or ④, and ❻ or ❸ respectively. This has led Gjerdingen to devise a variant of this schema called the "modulating Prinner". Example 2.14 shows Saverio Valente's 1790 example "for a departure to the fifth of a key in the major mode", or, in other words, an example of a modulating Prinner.[19]

Throughout his entire career and especially in his earliest compositions, Albéniz's tonal and formal plans remained highly rooted in common-practice tonality. Hence, modulations to the dominant remained as the primary tonal goal of his music, and he frequently employed the modulating Prinner in order to achieve this, since, as in Galant times, it still "provided an excellent means of moving rapidly to the dominant while at the same time fulfilling the expectation for a riposte". [20] In fact, a vast majority of Albéniz's Prinners are of the modulating type. Although examples with a typical ❻-❸ melodic descent in the top voice are also found in Albéniz's compositions, he usually preferred a different melodic formula: a ❻❶❹ arpeggiation (or ❸❺❶ of the initial key) that resembles the initial ❺❶ motion of the most Galant version of the Romanesca (Example 2.3). This seems very logical, since, as Caplin has observed, the Romanesca and the Prinner shared the same three initial harmonies.[21] At the same time, this creates a different melodic contour from the genuine Galant Prinner: instead of having the typical parallel thirds between the bass and the soprano, Albéniz uses contrary motion between the outer voices. Example 2.15 illustrates a typical function of the schema in Albéniz's music using the second theme of his piano concerto, written between 1886 and 1887.

[19] Gjerdingen, *Music in the Galant Style,* 54.
[20] Ibid., 53.
[21] Caplin, "Harmony and Cadence in Gjerdingen's Prinner", 50.

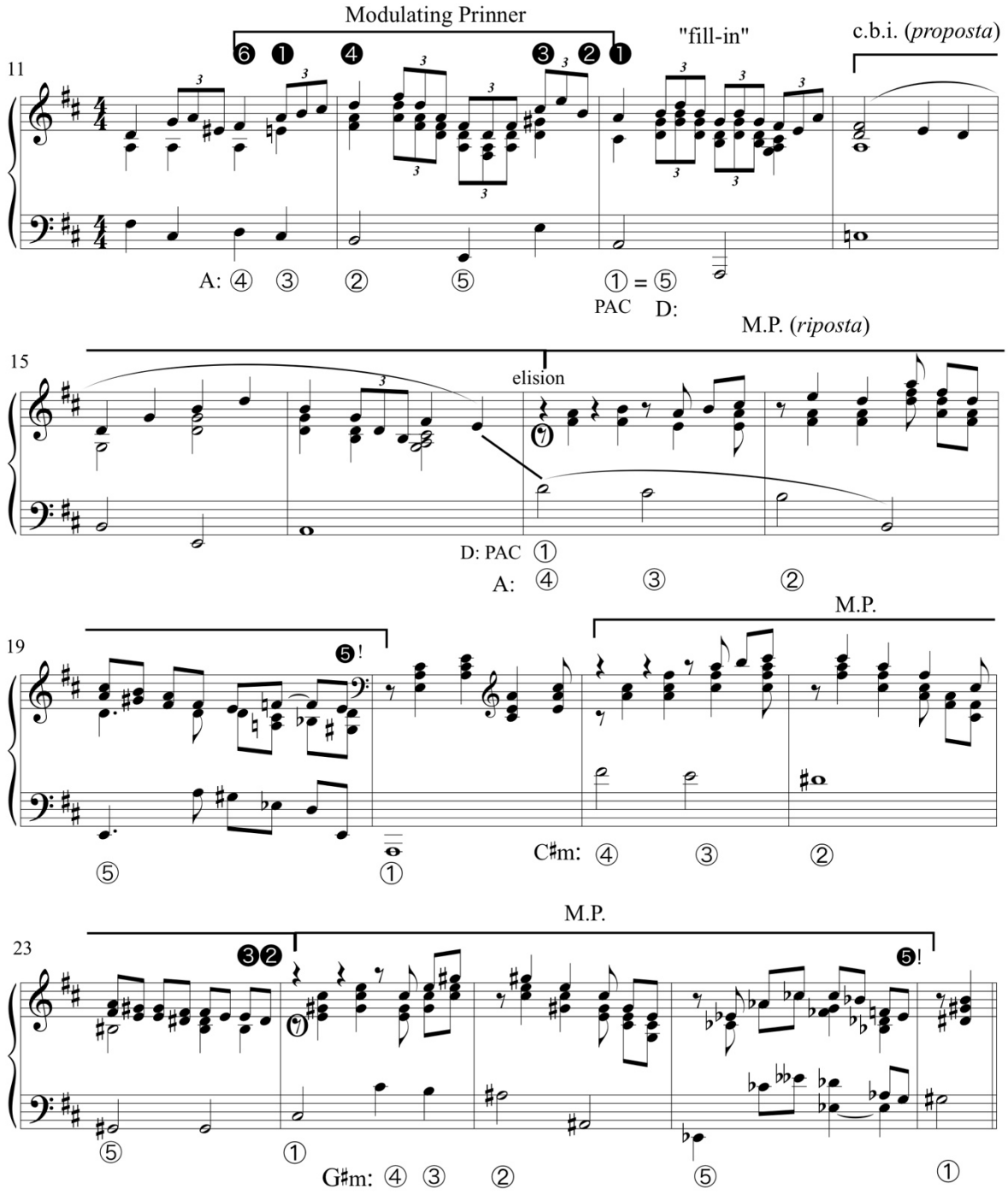



Example 2.15: Albéniz, Piano Concerto (T. 77), second theme, bb. 73–76

As the scale-degree labels on the bass show, the modulation introduced by the Prinner constitutes a local movement towards B major. The fragment presented in Example 2.15 is an antecedent phrase—i.e., an initial statement of a theme that closes with a non-conclusive, usually dominant-oriented cadence. In this case, the antecedent ends with what Caplin identified as a "reinterpreted half cadence",[22] a local PAC on the dominant key that is immediately reinterpreted as HC on the main key, in this case, through the use of a dominant-seventh chord—what Janet Schmalfeldt called the "nineteenth-century half cadence".[23] The antecedent is followed by a consequent: an answer to the antecedent that counterbalances the initial dominant-oriented movement with a more stable authentic cadence in the main key. Thus, the modulating Prinner of the piano concerto not only functions as a *riposte* to the initial two bars of the second theme, but also serves to reach the dominant that helps to articulate the antecedent-consequent structure of the theme.

A more extreme example of the modulating Prinner's use is found in the third movement of the Piano Sonata No. 5 (T. 85), composed in 1888. Here the Prinner not only functions as a *riposte* to the initial theme, but it is also repeated sequentially in D major-A major, F♯ minor-C♯ minor, C♯ minor-G♯ minor, and functions, as well, as an answer to the second theme in E♭ (not shown). Hence, in addition to the Prinner's function as a *riposte,* the schema is used to develop the theme.

[22] William E. Caplin*, Classical Form: A Theory of Formal Functions for the Instrumental Music of Haydn, Mozart, and Beethoven* (New York: Oxford University Press, 1998), 57.
[23] Janet Schmalfeldt, *In the Process of Becoming: Analytic and Philosophical Perspectives on Form in Early Nineteenth-Century Music* (Oxford: Oxford University Press, 2011), 202–3.




Example 2.16: Albéniz, Piano Sonata No. 5 (T. 85), iii, bb. 11–27

In the previous examples, Albéniz ended his Prinners with a cadence. With respect to the possibilities of the Prinner to end a phrase, Gjerdingen has argued that "a Prinner rarely furnishes a strong cadence by itself".[24] This seems to be in agreement with Caplin's observations when he mentioned that, "in its prototypical form, [the Prinner] is fundamentally sequential".[25] Caplin, nonetheless, explored more in depth the harmonic possibilities of the schema, pointing out its tremendous flexibility; its capacity to project one of the three types of harmonic progressions: prolongational, sequential, and cadential.[26] He argued that in order to project cadential progression, one needs to have ⑤ as a bass in the penultimate stage of the schema, preceded by a predominant on ②. In addition, "it can be useful to distinguish cases where this bass creates a metrical extension of stage three from those in which appears as a submetrical insertion within that stage".[27] As mentioned above, in the examples taken from the piano concerto and the fifth piano sonata, Albéniz ended his Prinners with a cadence. The strategy that he follows to make the Prinner genuinely cadential follows Caplin's guidelines. Albéniz not only uses the $\mathrm{ii}^7$ and $\mathrm{V}^7$ chords, but also slows down the harmonic rhythm of the antepenultimate and penultimate stages of the schema, stretching out the $\mathrm{ii}^7$ and final $\mathrm{V}^7$ chords by making them twice as long as the initial harmonies. The metrical accents of the Prinner also change with respect to the schema prototype, since now stages three and four are both metrically strong instead of strong and weak respectively. In Example 2.16, and in particular in bb. 12–13, notice how Albéniz also extends the Prinner melody beyond ❸ to ❷ and ❶ in order to make the Prinner genuinely cadential. In that sense, ❸ is no longer supported by ① and tonic harmony. Instead, it becomes the 13th of a dominant-seventh chord, a more typical Romantic harmonization that is of course far-removed from the Galant idiom. As we will see, Albéniz would employ this strategy in other Prinners as well. Nonetheless, in this case, in order to prevent too much segmentation and foster musical continuity, the Prinner cadences are somehow undermined through various techniques. To start with, phrases are often elided (the end of a phrase coincides with the beginning of the next phrase); second, Albéniz does not directly resolve the top voices, instead, he places a quaver rest on the right hand of the piano and writes a new syncopated accompanimental figure in crotchets; finally, the ❷ over the final dominant is sometimes substituted by ❺ to avoid melodic closure.

[24] Gjerdingen, *Music in the Galant Style*, 74.
[25] Caplin, "Harmony and Cadence in Gjerdingen's Prinner", 27.
[26] For a detailed description of each type of progression see Caplin*, Classical Form,* 23–34.
[27] Caplin, "Harmony and Cadence in Gjerdingen's Prinner", 30.

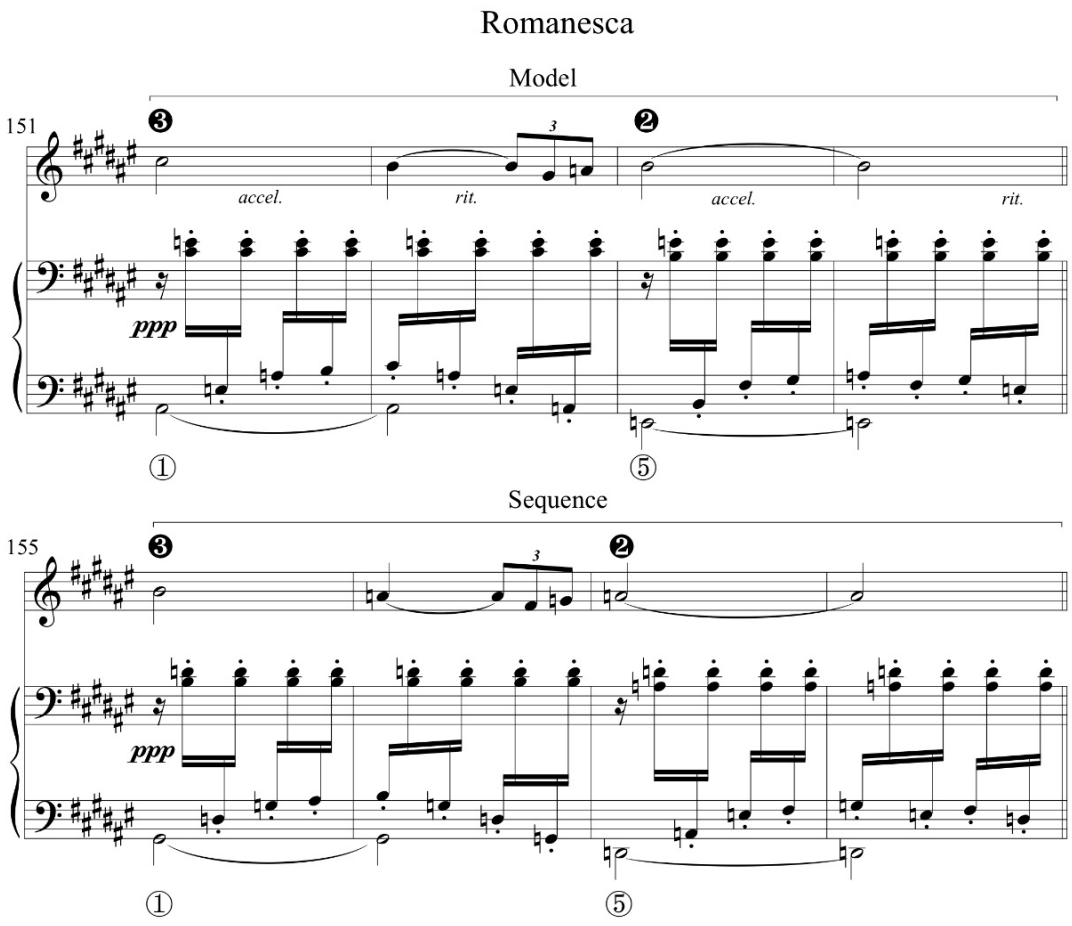
## Stylistic Accommodation of the Schemata

Although with some remarkable differences that I have tried to point out, the examples shown so far taken from Albéniz's works are quite similar to traditional eighteenth-century (and even sixteenth- and seventeenth-century) schemata. The following section of this chapter deals with more striking manipulations of the standard eighteenth-century Romanesca and Prinner shown above, and will introduce a new schemata in the works of Albéniz: the Indugio. I will show how these schemata were adapted to new stylistic constraints of the late nineteenth and early twentieth centuries, and how they interacted with other aspects of Albéniz's style. But, to what extent is variation possible in a particular example without compromising schema identification? Gjerdingen introduced concepts from cognitive psychology to answer this question: typicality and confidence. Typicality refers to the degree in which a particular example resembles an abstract representation of a schema (a prototype), whereas confidence is the degree of conviction a person possesses when labelling a particular example as an instance of a schema. Hence, typicality and confidence are directly proportional correlated. As Gjerdingen argues, a zero level of typicality is nearly impossible to occur, because a low level of confidence will most likely result in the emergence of a different schema. This will result in a "fuzzy set—a category whose boundaries merge with the boundaries of other categories".[28] In the last part of this section, I will explore this particular problem by showing the interaction between two schemata in one of Albéniz's most popular pieces. Examples from Albéniz's best-known and most "characteristic" compositions will serve best to elucidate how the Romanesca and the Prinner interact with other stylistic features more often associated with Albéniz. Since, as Leonard Meyer has put it, a satisfactory stylistic analysis requires not only the collection and description of a set of features, but, more importantly, their relationship and interdependence with other parameters.[29]

[28] Robert Gjerdingen, *A Classic Turn of Phrase: Music and the Psychology of Convention.* Studies in the Criticism and Theory of Music (Philadelphia: University of Pennsylvania Press, 1988), 95.
[29] Leonard B. Meyer, *Style and Music: Theory, History, and Ideology.* Studies in the Criticism and Theory of Music (Philadelphia: University of Pennsylvania Press, 1989), 3–65.

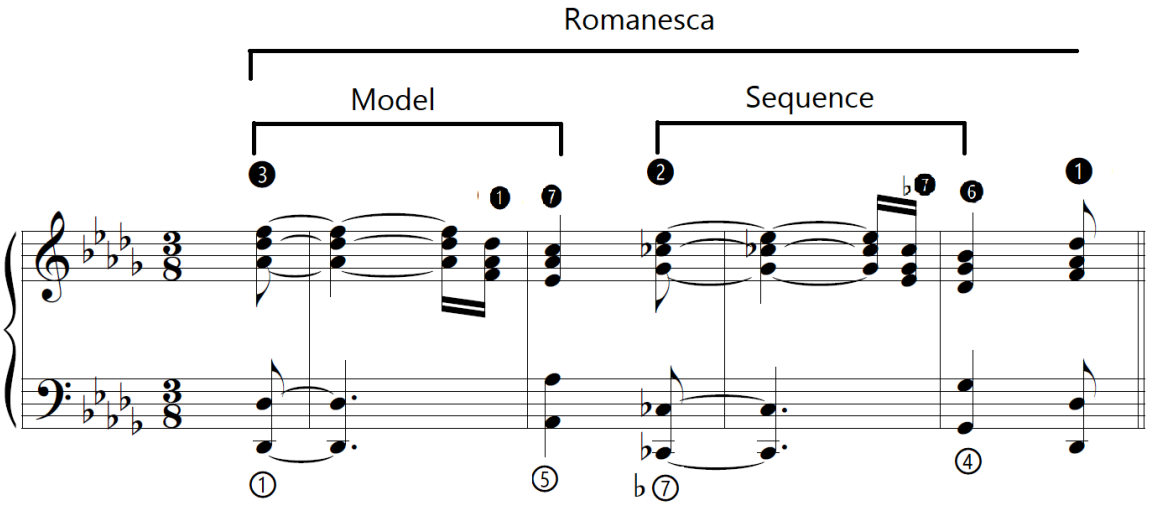
## The Romanesca

It is no coincidence that almost all the Romanesca examples shown above are taken from Albéniz's stage works. The schema is used as an archaism to evocate a distant past or to convey certain solemnity associated with the crown. Hence, for the programmatic association to be established, the examples admit little variation from their schema prototype. In "Córdoba", the only instrumental work shown above (Example 2.8), Albéniz uses the Romanesca to isolate a segment of the piece from the overall musical discourse, thanks to the stylistic break that the old Romanesca entails in a late nineteenth-century context. However, would it be possible to adapt the Romanesca schema to a late nineteenth or early twentieth-century stylistic framework so that it becomes integrated in the musical discourse? In order to answer this question, the following example shows a possible accommodation of the Romanesca schema to a new stylistic framework. The passage shown belongs to "El Corpus en Sevilla", written in 1905, and which is the third piece of the first book of *Iberia*.



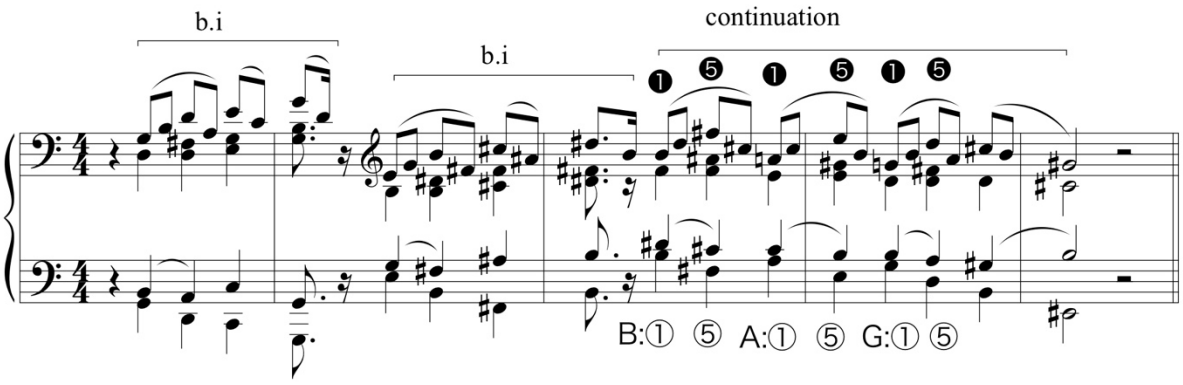

Example 2.17: Romanesca in "El Corpus en Sevilla", from *Iberia* (T. 105), bb. 151–158

The fragment shares several features with the traditional Romanesca schema: the initial descending discant of the first variant of the Romanesca (❸-❷), the ①-⑤ movement in the bass, the resulting I-V harmonic progression, and the (hyper)metrical position of the chords. In general, some features of the schema are weakened and others are strengthened. While a traditional Romanesca usually entails tonic prolongation (which is why it often appears at the beginning of a piece), Albéniz's accommodation of the schema to a twentieth-century framework causes a "tonal anacoluthon": a rupture of the tonal syntax. The second half of this example can no longer be interpreted (at least diatonically) in the original key of A major. Rather, the second half is perceived as a sequential repeat of the first four bars one tone lower, in G major. As a result, while this provokes the rupture of the tonal syntax (in so far as the schema could no longer be interpreted in the original key), the perception of the model-sequence technique (a latent possibility of the schema that emerged in the late eighteenth-century and which characterized the "Classical Romanesca") is potentiated, since the schema can now only be diatonically conceived in two keys. Consequently, the tonic-dominant relationship between the initial two chords of the Romanesca comes to the fore as a key element of schema identification. A similar example can be found in "El Albaicín", the first piece of the third book. Notice, at the same time, how in this later piece the metrical disposition of the schema is preserved through hemiola.




Example 2.18: "El Albaicín", from *Iberia* (T. 105), bb. 206–209

Of course, in 1905 this schema was no novelty, since, as we will see below, it can be traced back to Brahms, Schubert, and even Beethoven.[30] The schema was also not new to Albéniz, who already employed it in the following fragment of *Merlin*, composed between 1898 and 1902. Whereas for obvious voice-leading reasons the ❸-❺ top voice usually appears in combination with a stepwise descending bass line (as in Example 2.4), here in Example 2.19 the top voice is used in combination with a ①-⑤ bass, causing quite an abrupt voice leading that reinforces the harshness of the tonal anacoluthon. Moreover, the schema's modulatory potential makes it now suitable not only for a beginning of a phrase. Here it appears as the "continuation" of a clear sentential pattern.

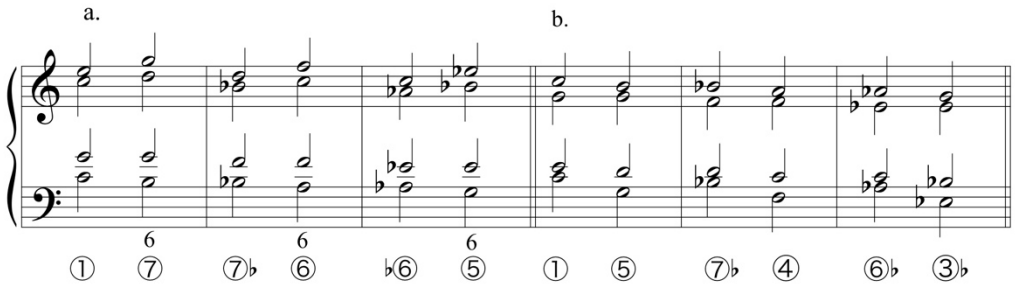



Example 2.19: "Romanesca" in *Merlin* (T. 12A), (Mer/141/4/3)

Job Ijzerman, departing from Gjerdingen's work, has recently labelled this new schema as a "Lamento-Romanesca". Ijzerman, based fundamentally on Beethoven's and Schubert's music, came up with two prototypes of this schema:[31]

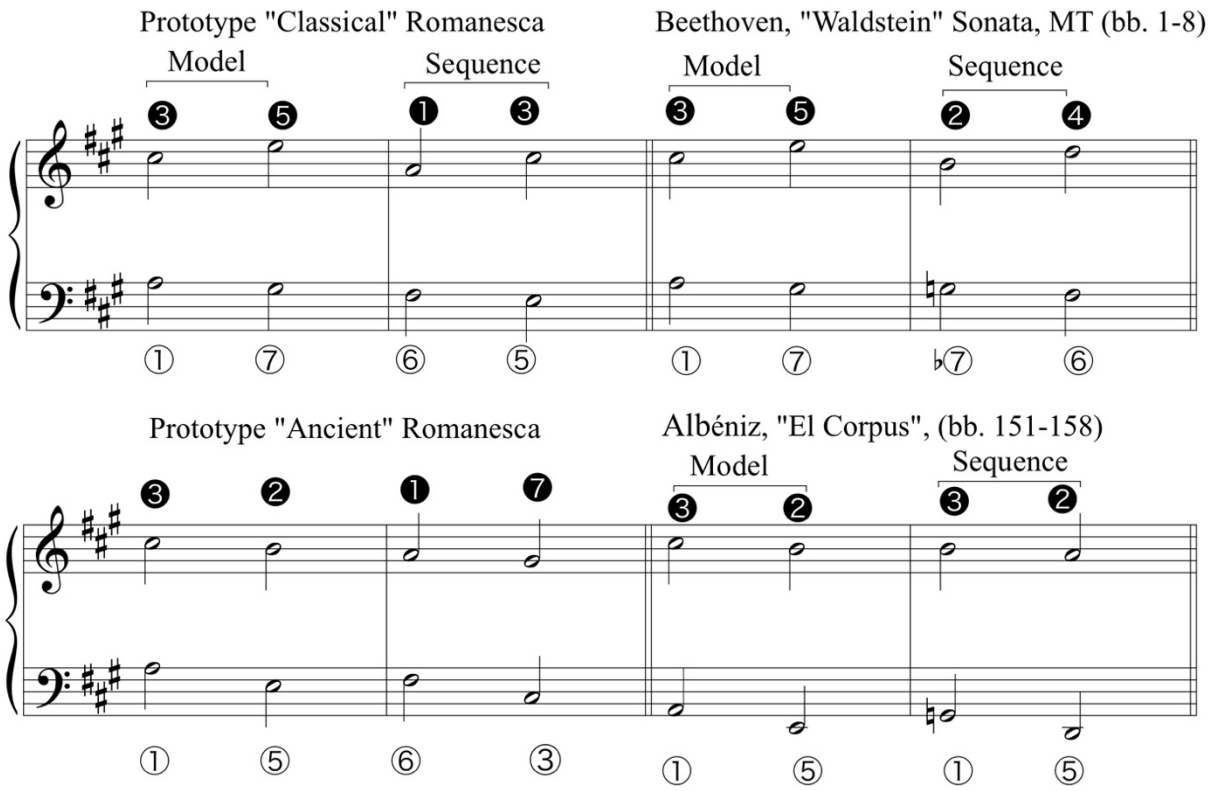
[30] For instance, in Beethoven: Piano Sonata No. 21 in C Major, Op. 53 ("*Waldstein"*), i, (bb. 1-7), and Piano Sonata in G major, Op. 31 No. 1, I, (bb. 1–14); Schubert: String Quartet No. 12 in C minor, D. 703 (*Quartett-Satz*), (bb. 105–8), and String Quartet No. 15 in G Major, D. 887, i, (bb. 15–20). As cited in Ijzerman, "Schemata in Beethoven, Schubert, and Schumann", 8–11. See also, Brahms String Quintet No. 1 in G Major, Op. 111, i, (bb. 10–11).

[31] Ijzerman, "Schemata in Beethoven, Schubert, and Schumann", 12.




Example 2.20: Ijzerman's "Lamento-Romanesca" prototypes

The "*Lamento"* label refers to the chromatic descending melody present in the bass (a) and in the top voice (b). Although the fragment presented in Example 2.17 matches to a great extent Ijzerman's *lamento*-romanesca prototype b, given that the *lamento* feature of the schema is well-hidden in the accompaniment, I preferred to stick to the traditional Romanesca label in my analysis of the "El Corpus en Sevilla" passage. The chromatic descending melody is a bit more prominent in Example 2.18—hidden in a motion to an inner voice in the top voice. Nonetheless, it still does not constitute one of the most salient features of the passage, which are: the ❸-❷-❶ descending discant of the Romanesca (eventually reaching ❼ and thus forming a full tetrachord), the ①-⑤ bass pattern, and the tonic-dominant relationship and the sequential design one tone lower. Hence, the (apparent) absence of the *lamento* melody, which for Ijzerman is an essential feature, does not preclude schema recognition at all. Thus, even though the *lamento* features of Example 2.17 and Example 2.18 are to a great extent lessened, Albéniz's examples and the Beethoven and Schubert examples provided by Ijzerman from Beethoven and Schubert are instances of the same schema. The problem arises when the analyst, wanting to emphasize linear aspects, contrapuntal phenomena, and the thoroughbass tradition, gives priority to these aspects over harmony. Since, without triadic invertibility and an analytical system that acknowledges that, it becomes very difficult to argue that all Romanesca examples shown here are variants of the same schema. Example 2.21 compares Beethoven's *Waldstein* sonata (main theme) and Albéniz's passage from "El Corpus" with their respective prototypes (all examples are transposed to A major for the sake of comparison).



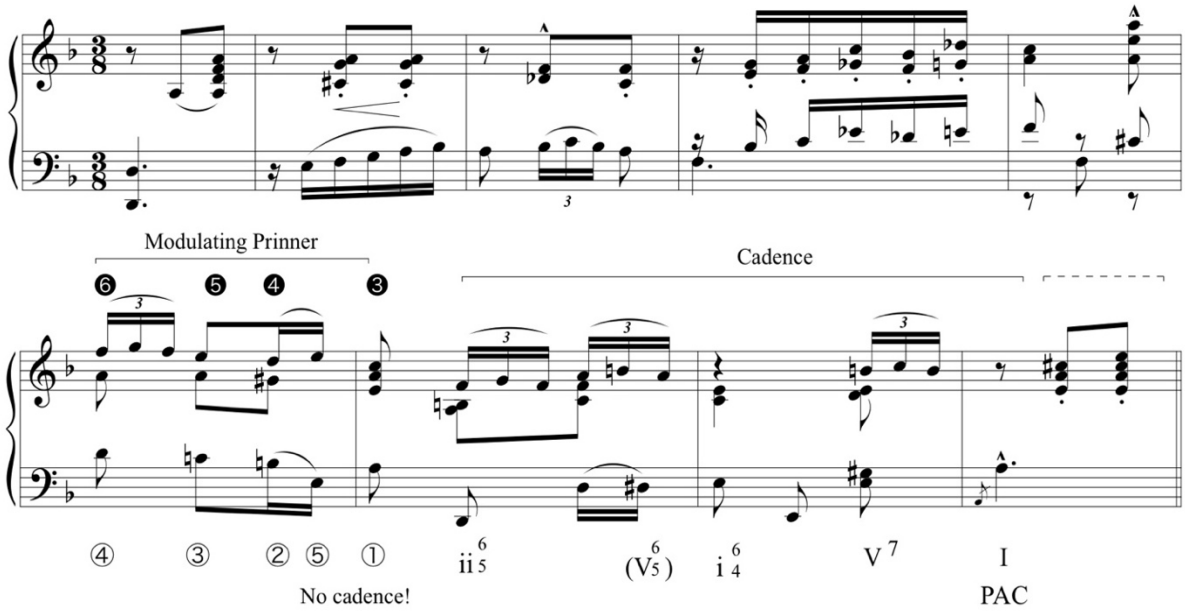

Example 2.21: Beethoven and Albéniz's examples of Romanesca prototypes

## The Prinner

The previous examples of the Prinner in the works of Albéniz were taken from a piano concerto and a piano sonata. However, the use of this schema is not limited to the "somewhat academic" compositions, to use Jacinto Torres's expression.[32] The modulating Prinner often appears in some salon-like works, and in the better-known Spanish-style pieces, with which Albéniz is most often associated. But how could the Prinner, a Galant schema, fare with the somewhat folkloristic idiom of the Spanish-style pieces? For instance, "Orientale", a piece composed in 1891 and published in 1892 in the collection *Chants d' Espagne* (T. 101), is "thoroughly rooted in Spanish folk music, and its principal theme (bb. 8–9) is a model of the octosyllabic *copla* rhythm, [and] the Phrygian

[32] Jacinto Torres Mulas "La inspiración clásica de Isaac Albéniz", liner notes for *Isaac Albéniz: Sonatas para piano n 3, 4, 5. L'Automme*, Albert Guinovart, piano, Harmonia Mundi CD HMI 987007, 1994, p.5; reissued 2003 (HMA 1957007). English translation by Christine Losty.

colouring and subdued dynamics contribute to a mood of wistful reflection". [33] How could the Galant Prinner function in such context? The following example shows a fragment of the beginning of "Orientale".




Example 2.22: Modulating Prinner in "Orientale" (T. 101B), bb. 15–23

The modulating Prinner functions as a *riposte* to the first five bars of the theme ("a model of the octosyllabic *copla* rhythm"),[34] while still provides an excellent means to moving rapidly [and smoothly] to the dominant, which functions as the tonal goal of this first section of the piece. In a word, as in many common-practice compositions, the form of the first theme is articulated through the dominant key, which in this case is achieved through the modulating Prinner. The Prinner is somewhat disguised through its minor mode (remember that Galant Prinners are normally in the major mode), and the melodic figuration using the typical triplets of the *copla.* Notice, at the same time, how the modulating Prinner, which represents a minor version of the Prinner prototype presented here as Example 2.12, fails to produce the necessary closure and does not fulfil the

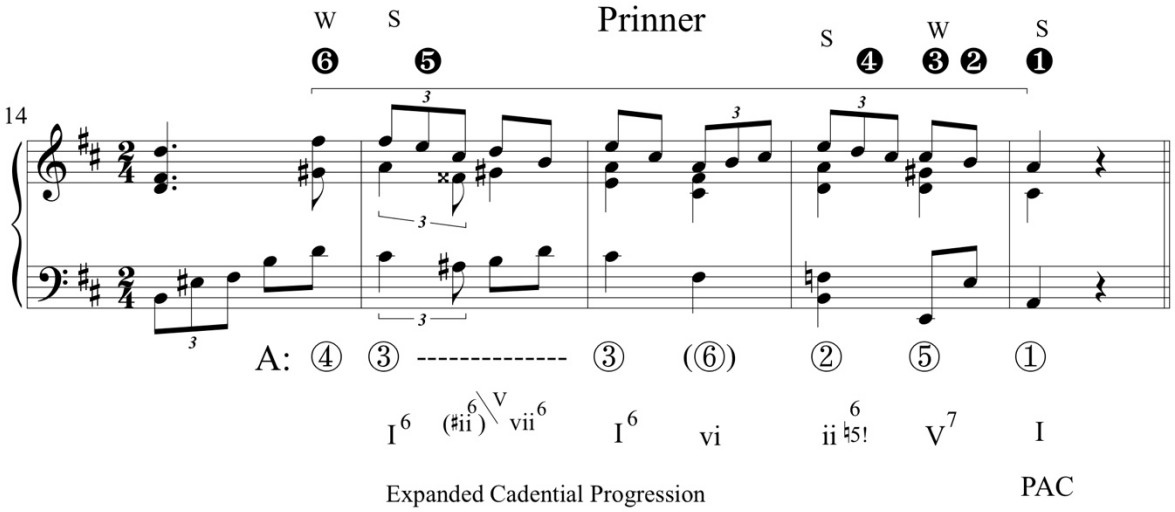
[33] Clark, *Isaac Albéniz*, 100. A *copla* is a type of (usually) octosyllabic verse that narrates daily life events, with a typical ABCB or similar rhyme scheme. *Coplas* are usually sung and end with a characteristic turn on a triplet before the final note.
[34] Ibid.

cadential requirements outlined before. Thus, from this perspective, there is no actual cadence in b. 21, since the ⑤ of the bass is understood as an embellishment of the ②, given that it is submetrically inserted and that the progression lacks a predominant. At b. 21 the new key (A minor) is still perceived as very weak, and Albéniz needs to confirm it through a final cadence in b. 23. Although one could argue that the cadence (at least in the melody) is somewhat evaded, I consider the accented bass note as sufficient to provide the full closure of a PAC, and one can easily hear the A of the top voice as an implied note. Moreover, the final chords on the right hand are not part of the previous melody; they are a post-cadential accompanimental figure that points towards the next section.

The following example is taken from "Tango", the second piece of the collection *España,* composed in 1890. Although today it is mostly associated with the Argentinian dance, the word *tango* had a much broader meaning in the nineteenth century, and it could easily refer to many types of popular Ibero-American music. These dances typically had in common the double meter and some rhythmical patterns. In fact, the *tango* is closely related to the Cuban *habanera*, which typically features a dotted quaver-semiquaver and two quavers in the accompaniment, against a triplet and two quavers in the melody. As Clark notices, Albéniz's "Tango" was in fact a Cuban *habanera*, modelled after the famous *habaneras* of Sebastián Iradier.[35] The piece is laid out in ternary form, in which the middle section (A') constitutes a kind of development of the main theme. The first section (A) modulates to the dominant key using the modulating Prinner. Since this is used to establish the structural modulation to the dominant of the piece, and given the lack of cadential articulation of the prototypical Prinner, Albéniz needed to modify the schema in order to provide a more stable modulation to A major, as well as a stronger sense of closure. Therefore, this constitutes a particularly interesting example since it not only shows the stylistic adaptation of the Galant Prinner to a *tango/habanera*, but also exemplifies how the Prinner could be enlarged and boldly modified to provide a definitive end to a whole section. Albéniz first reharmonizes the initial harmony as a diminished chord that leads to $\mathrm{I}^6$, then expands $\mathrm{I}^6$ through a series of neighbour chords, inserts a chord on the ⑥ to create a falling fifth progression in the bass between stages 2 to 5 of the schema, and, as in Example 2.16, extends the Prinner melody beyond ❸ (to ❷ and ❶), in order to end the melody with the tonic. As in the fifth piano sonata, he reharmonizes ❸ as

[35] Walter A. Clark, "Bajo la Palmera: Iradier, Albéniz, and the Lure of the Cuban "Tango", in *Antes de Iberia. De Masarnau a Albéniz.* Actas del Symposium FIMTE 2008, ed. Walter Clark and Luisa Morales (Garrucha: Asociación Cultural LEAL, 2010), 141–9.

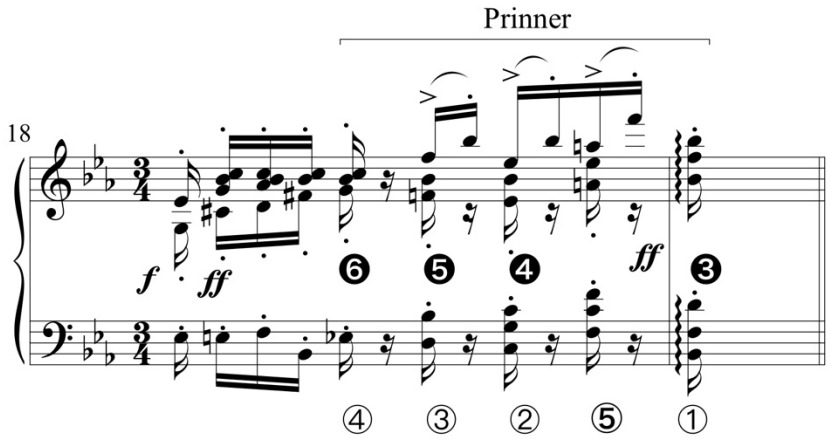
a 13th over the dominant-seventh chord instead of supporting it with a tonic chord as in a traditional Galant Prinner. As shown in Example 2.23, the schema forms an overall expanded cadential progression. Hence, not only there is considerable reharmonization of the schema through chromatic chords and a modal exchange in the predominant chord (as well as suspensions and appoggiaturas), but also stage 2, instead of stages 3 and 4 as in the previous examples, becomes substantially expanded. Notice, at the same time, how, probably as a consequence of this expansion, the metrical accents of the schema are slightly altered: weak, strong, strong, weak, strong.




Example 2.23: Albéniz, "Tango", from *España. Six Album Leaves* (T. 95), bb. 14–18

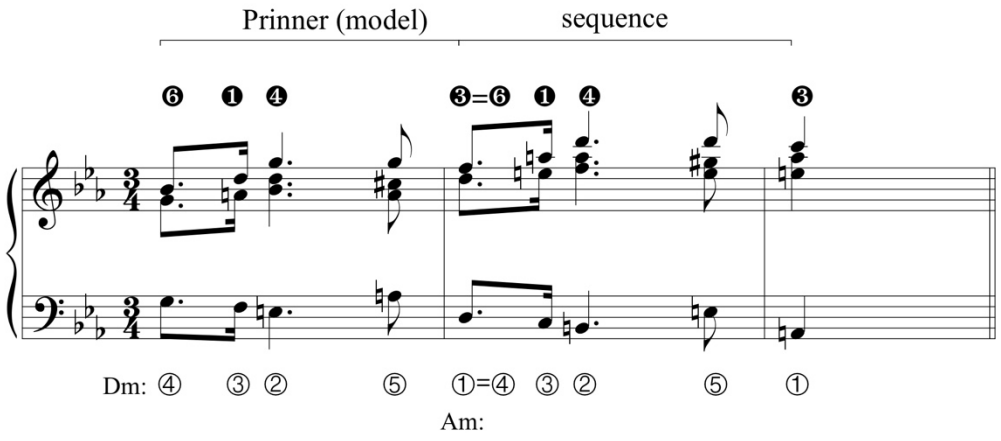
At this point, we might be tempted to assume that, although it was an important element of Albéniz's language, the use of the Prinner was perhaps limited to the less complex compositions of his early career, and Albéniz did not incorporated in *Iberia*. However, the schema does appear in this collection as well. The following example corresponds to bb. 18–19 of "Eritaña", composed in 1907 and which is the last piece of *Iberia*.[36]

[36] For a more complete context of the schema see Example 2.33.



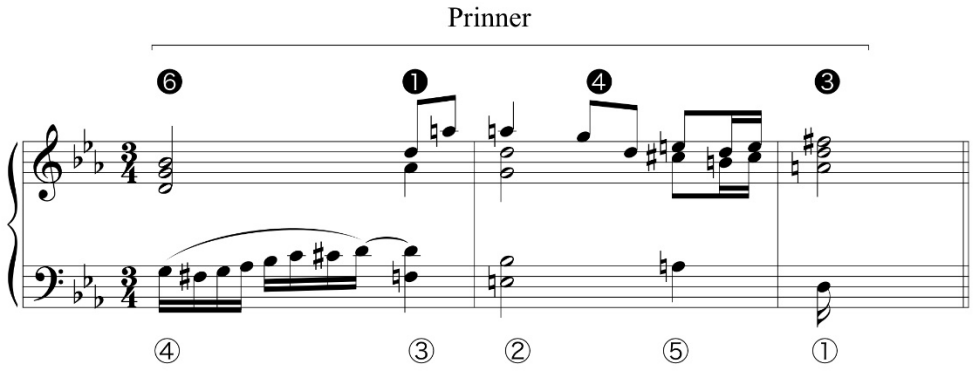

Example 2.24: Albéniz, "Eritaña", from *Iberia* (T. 105), bb. 18–19

Here the Prinner assumes quite an important structural role by articulating a strong PAC. The typical top voice of the Prinner is hidden in an inner voice, and the Galant features of the schema are lessened through the parallel voice leading, the thick texture and the octave doublings. However, this is not the Prinner in "Eritaña". The following example shows the more typical Albenician variant of the schema, using the ❻❶❹ arpeggiation presented in Example 2.15 and 2.16.




Example 2.25: Albéniz, harmonic/melodic reduction of "Eritaña" (T 105L), bb. 41–43

In this example, the Prinner no longer functions as a *riposte,* and it is neither employed to achieve the dominant that serves to articulate the theme. In fact, the schema is used developmentally to create an ascending-fifth sequence in the transition section of this sonata form. In that sense, it fulfils a similar function as the Prinner presented in Example 2.16, which, despite its developmental usages, still retained the traditional, Galant *riposte* function of the schema. Albéniz wrote almost the exact same Prinner (in the same key) in "Leyenda-Barcarola" (T. 72B), a piece composed in 1886 (more than twenty years before "Eritaña"), and part of the popular collection *Recuerdos de Viaje* (T. 72). In this case, the Prinner functions as a *riposta* to a previous two-bar statement, replicating its motivic content but now using the modulating Prinner.




Example 2.26: Prinner in "Leyenda-Barcarola" (T. 72B)

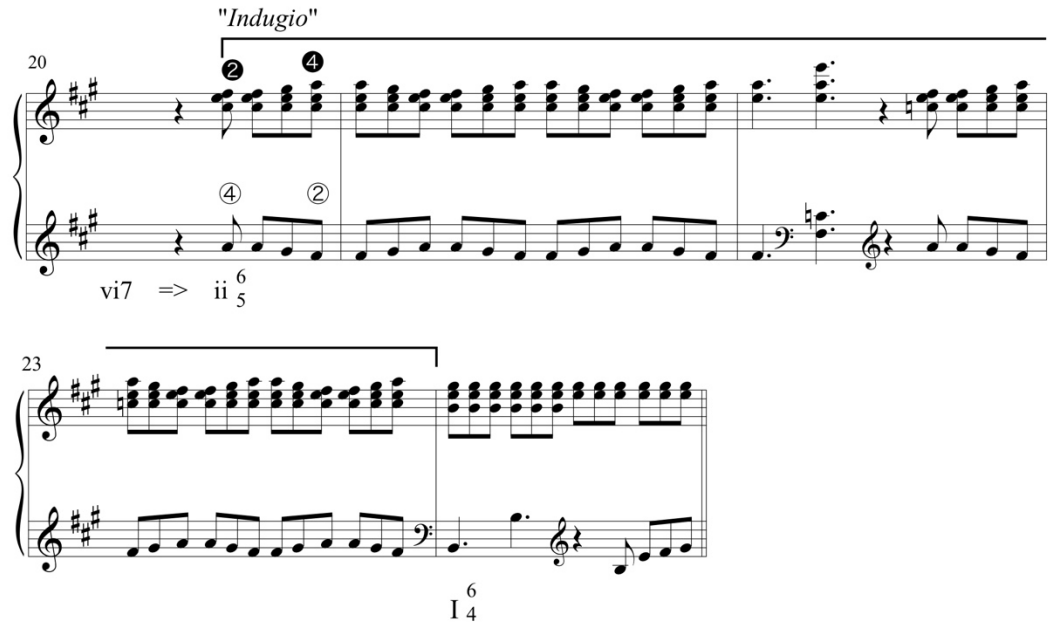
## The Indugio

Besides the Romanesca and the Prinner, there is another Galant schema that appears throughout Albéniz's oeuvre: the Indugio. Gjerdingen defines the Indugio as a schema that delays the arrival of the cadence by extending and emphasizing a $\frac{6}{3}$ or $\frac{6}{5}$ sonority on the ④.[37] Albéniz employed the Indugo in a couple of formally equivalent passages in the first movements of his third and fourth piano sonatas, written in 1886.[38] Unlike some of the other examples mentioned above from the Romanesca and the Prinner, in these cases the Indugio always has a more nineteenth-century

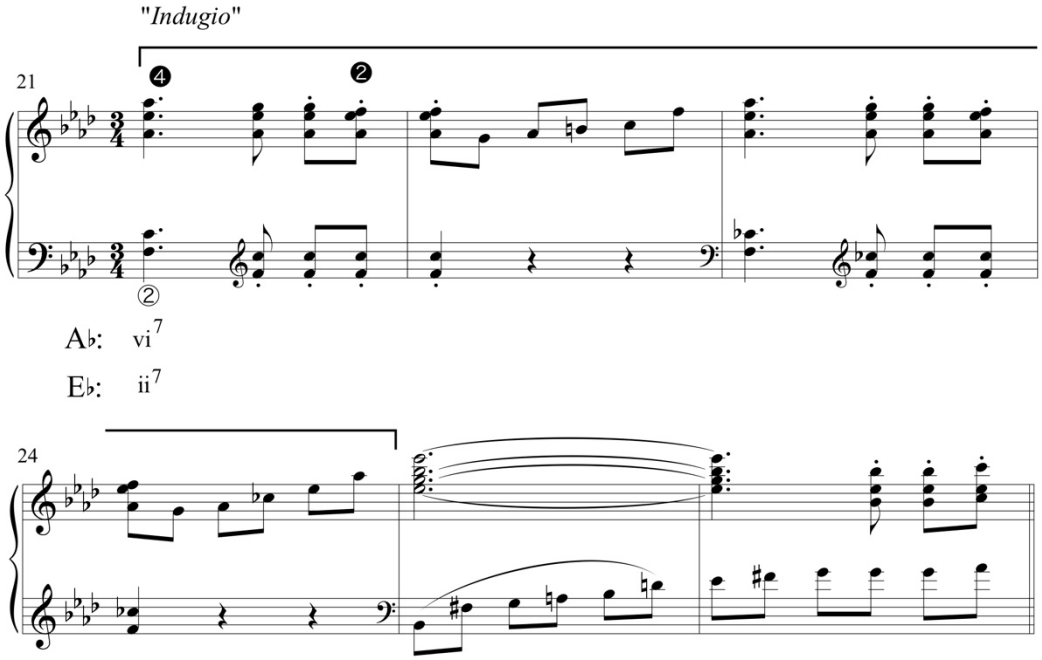
[37] See Gjerdingen, "Indugio", in *Music in the Galant Style*, 273–84.
[38] Albéniz also uses the Indugio in a piece composed around the same time (1886/1887) as these sonatas: the third movement of his Piano Concerto (T. 77), bb. 72–75.

outlook (which is why I did not consider it in the previous section). In typical Galant practice, the Indugio would often chromatically raise up to ⑤ to form what Robert Gjerdingen called the "Convergence Cadence", although alternative cadences are also possible. In a nineteenth-century context, and using modern terminology, we would probably conceive the Indugio as a schema that stands on $\mathrm{ii}^7$, also given that "Romantic works may feature a greater emphasis on root-position harmonies".[39] In this case, the chord functions as a pivot-chord in the diatonic modulation to the dominant, giving quite some time to the listener to process the modulation to the new key. The modal mixture in the passage, stating first a 2-bar model in the major-mode of the key, and repeating it then in the minor-mode, is also a sign of a more Romantic harmonic practice and indicates the new functionality of the chord in the new key, as $\mathrm{ii}$ or $\mathrm{IV}$ are the typical chords used in modal mixture. The Indugio could also be understood as a concrete manifestation of a more general phenomenon of phrase expansion that Hugo Riemann defined as "*Stillstand auf der Penultima*", i.e., a standstill on the penultimate bar before the cadence.[40] The following two examples come from the first movements of Albéniz's third and fourth sonatas (T. 69 and T. 75 respectively). The example taken from the fourth sonata, reproduced here as Example 2.27, is perhaps the clearest of the two, in the sense that it more closely resembles the original Galant Indugio using a passing $\frac{6}{4}$ chord between ④ and ② as it was customary in Galant practice.[41]

[39] William E. Caplin, "Beyond the Classical Cadence: Thematic Closure in Early Romantic Music", *Music Theory Spectrum* 40, no. 1 (2018): 4.
[40] This technique is discussed more in detail in William Rothstein, *Phrase Rhythm in Tonal Music* (New York, N.Y.: Schirmer Book, 1989), 67.
[41] See Gjerdingen, *Music in the Galant Style,* "The Indugio", examples 20.4 and 20.5.



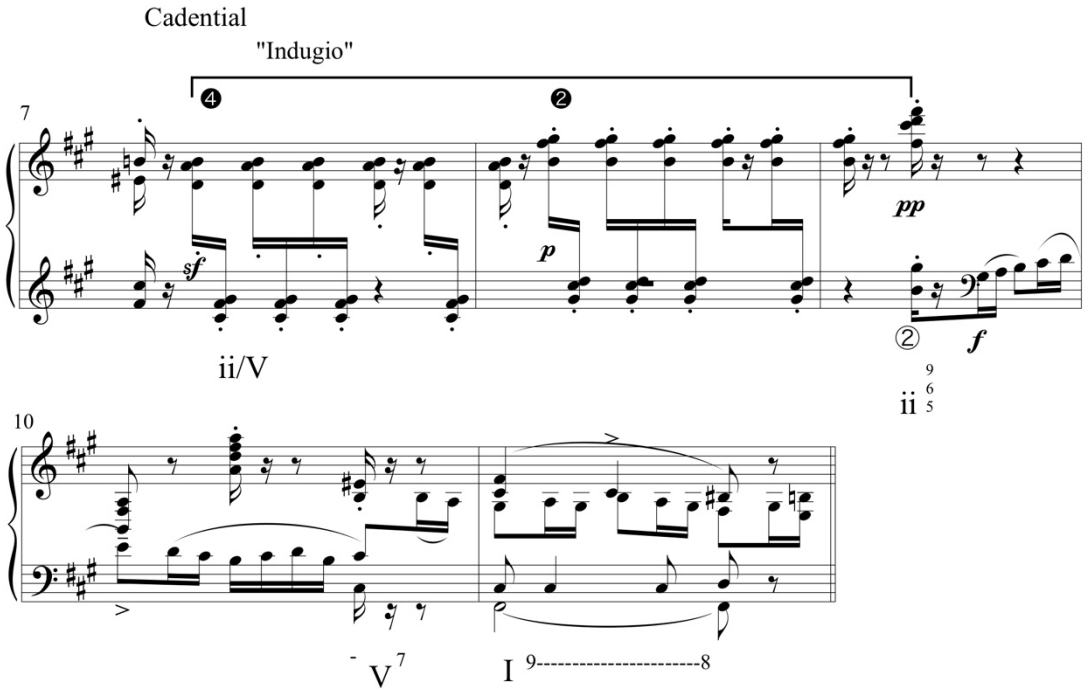

Example 2.27: Indugio in the Piano Sonata No. 4 (T. 75), i, bb. 20–24




Example 2.28: Indugio in the Piano Sonata No. 3 (T. 69), i, bb. 21–26

For a further example, we can look to "Triana", the last piece of the second book of *Iberia*. The composition is named after the famous gypsy quarter of Seville. Although Albéniz scholars typically

point out the evocative sounds of the guitars, castanets and *taconeo* of "Triana",[42] in light of these usages of the Indugio in the piano sonatas, we could likewise interpret some passages of "Triana" as more idiosyncratic versions of this schema. The following example reproduces bb. 7–11 from "Triana".




Example 2.29: Indugio in "Triana", from *Iberia* (T. 105), bb. 7–11

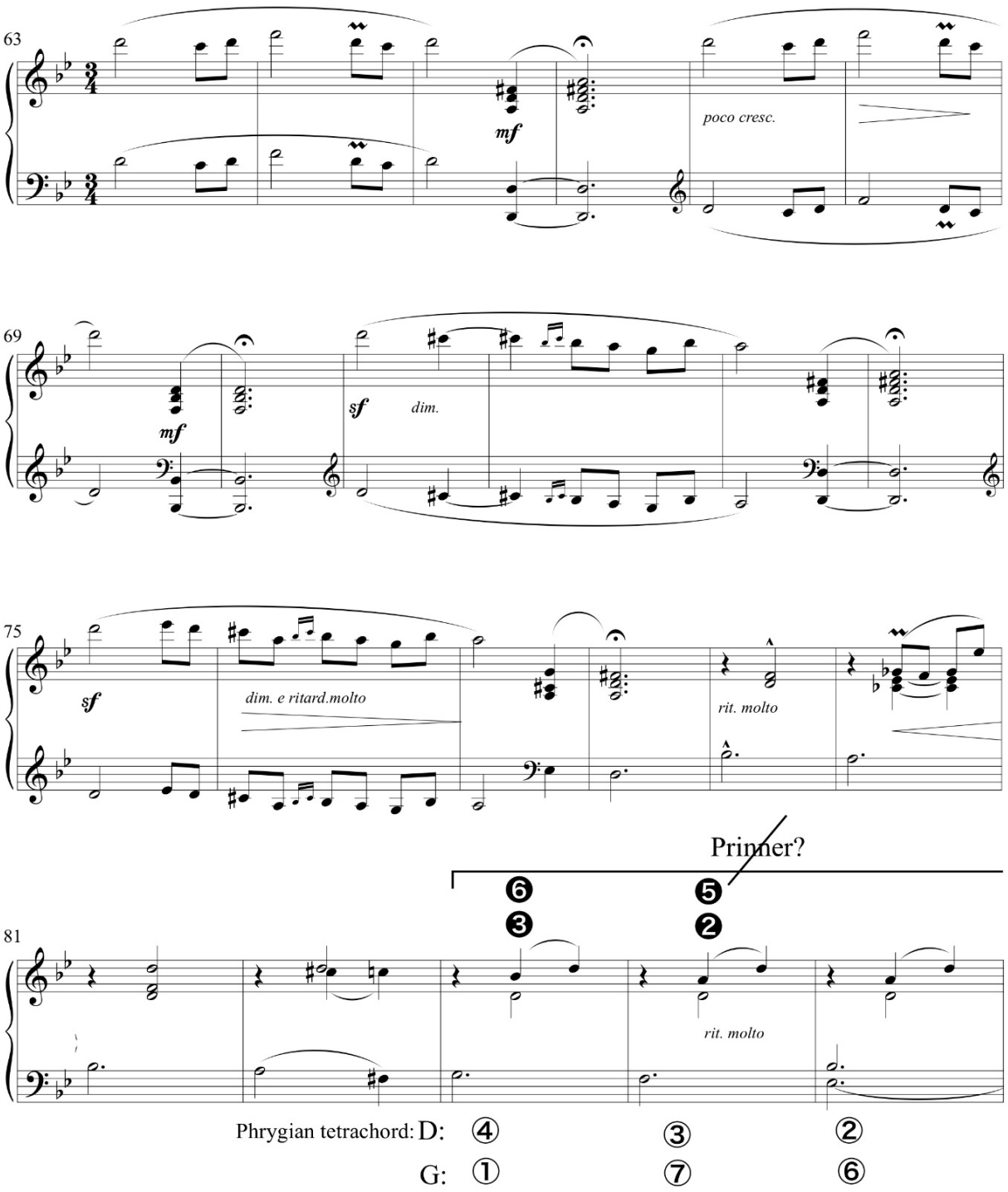
## Interaction with Other Patterns

Schema identification requires from the analyst/listener both deductive and inductive processes (bottom-up and top-down approaches, as Gjerdingen called them). A set of individual features make us recognize a specific example as an instance of a schema, but, at the same time, the schema, our *a priori* representation, helped us find those individual features on the first place. Schema identification relies on a sufficient level of confidence from the analyst or listener. If an example does not possess a sufficient level of typicality respect to the designated schema, the analyst would have low levels of confidence on that particular example as being a manifestation of that schema. As Gjerdingen argues, a low level of confidence will most likely result in the emergence of a different

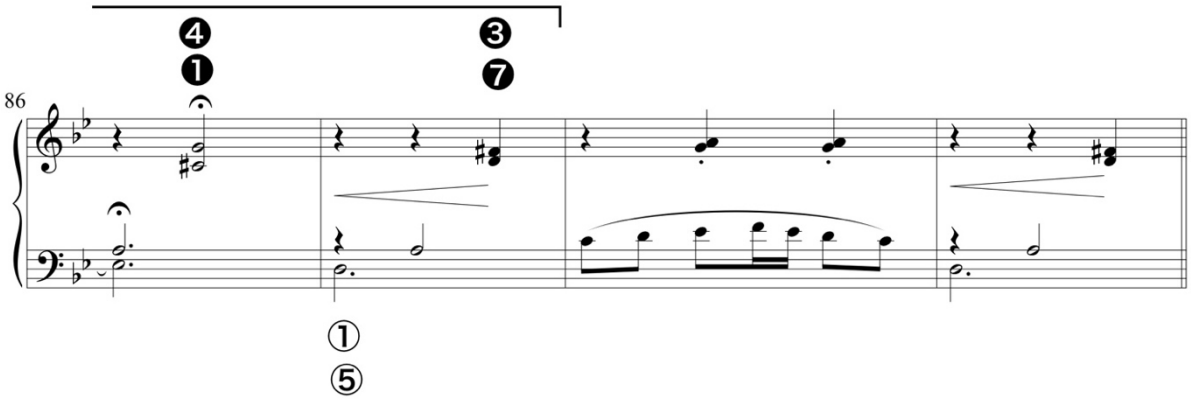
[42] See Clark, *Isaac Albéniz*, 234-236 and Paul B. Mast, "Style and Structure in Iberia by Isaac Albéniz", (PhD diss., Eastman School of Music, 1974), 212.

schema as an alternative explanation of that particular passage.[43] Gjerdingen concludes that if a researcher's knowledge is limited to a single schema, he or she would be more likely to identify particular examples with low typicality as instances of that schema, instead of choosing an alternative model. The following example explores this particular problem in the second theme of a piece that became to be known as "Asturias", from the *Suite Española* (T. 61), although the composition was originally published as the prelude of *Chants d'Espagne* (T. 101).

[43] Gjerdingen, *A Classic Turn of Phrase*, 95.




Example 2.30: Albéniz, “Asturias” (T. 61E), bb. 63–97



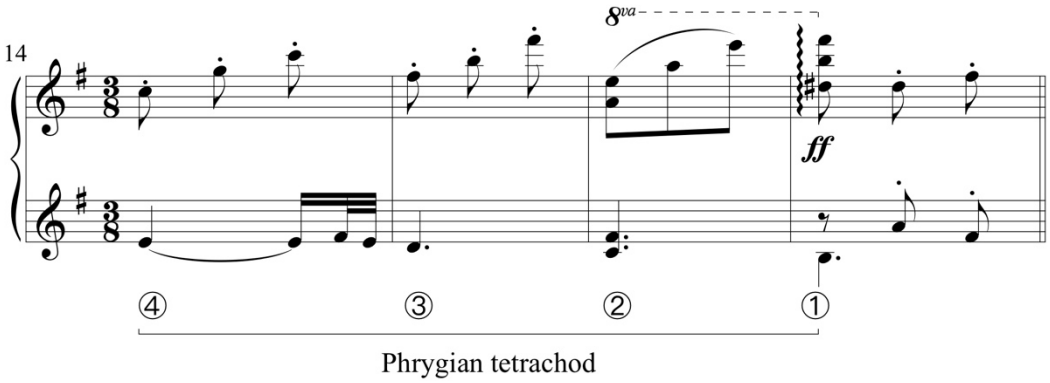

Example 2.30 (continued): "Asturias" (T. 61E), bb. 63–97

The difficulties already start with determining the key. Given that the piece is in G minor, one would expect the secondary key to be B♭ major or, less likely, D minor. However, a classically trained listener could perhaps interpret this passage in G (minor). Although hints to all these keys are present in the quoted passage, someone more familiar with Albéniz's oeuvre would recognize that this piece is very much inspired by *flamenco*: the first theme of "Asturias" (not shown) is usually related with the *bulerías*, and the beginning of the second theme is a deep lamentation imitating the *cante jondo*.[44] Albéniz usually evokes this "deep song" with a monodic texture: a melody doubled at the 15th in the Phrygian mode, repeated, varied, and with "instrumental interludes" (bb. 66, 70, and 74 of Example 2.24) that end with a major chord on the *finalis* of the Phrygian mode, as it is customary in *flamenco* music. In terms of tonal plan and tonal contrast the key of D (Phrygian) would also make more sense. Thus, the D interpretation seems to be more in line with Albéniz's style, although a (somewhat latent) G minor reading would not be impossible at all. It is in this context that the pattern in bb. 83–87 arises.

Some of the features of the Prinner are discernible: the harmonization of the three initial chords ($^{5}_{3}$, 6 and an implied $^{5}_{3}$), the usual parallel thirds between soprano and bass, and the descending tetrachord. However, an interpretation from G minor is problematic, since the descending bass line would start on ① and not on ④. Likewise, a D Phrygian interpretation of the progression would also be troublesome from a Prinner perspective, given the half step between the last two notes of

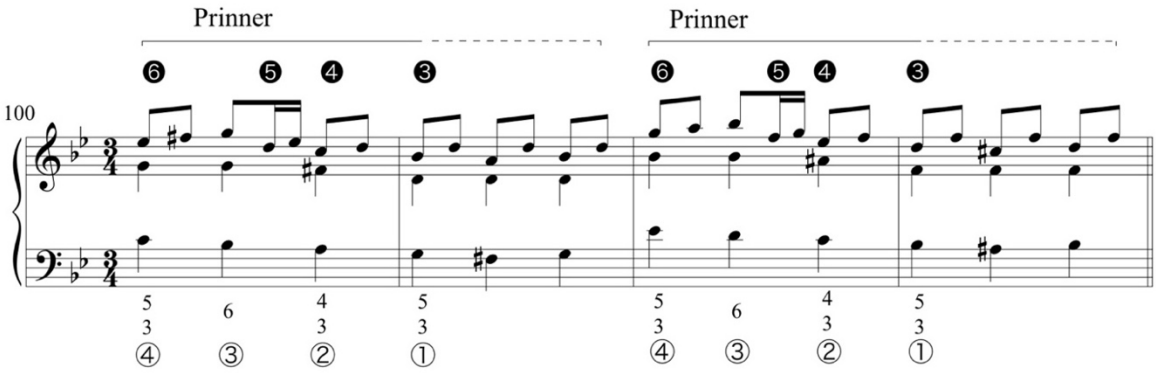
[44] Clark, *Isaac Albéniz*, 98.

the tetrachord. Harmonically speaking, the resulting augmented-sixth chord on E♭ and the dominant potentiality of the last chord of the pattern also conflict with the Prinner prototype. All these features diminish the levels of "typicality" and "confidence" on the Prinner. In this context, an alternative schema arises. The descending bass pattern is rather interpreted as the so-called Phrygian tetrachord characteristic of Spanish music. The following example shows this tetrachord in "Malagueña", a piece written in 1890 and belonging to the collection *España, seis hojas de album* (T. 95).




Example 2.31: Phrygian tetrachord in "Malagueña" (T. 95C), bb. 14–17

While the pattern shown in Example 2.30 represents a Prinner schema of very low typicality, and thus, its interpretation as a Phrygian tetrachord schema is more likely, just a few bars later Albéniz composed out a Prinner of much higher typicality. The tonal ambiguity of the previous phrase remains, and indeed, the key at 99 could be both G Phrygian or C minor. If we chose for the latter, the Prinner would be a modulating type. In either case and as I have been doing throughout this chapter, I have interpreted the Prinner from the perspective of the key of arrival, in this case G minor and B♭ major respectively.




Example 2.32: Prinner in "Asturias" (T. 61E), bb. 99–103

## Other Galant Features in *Iberia*

The use of the Prinner in "Eritaña" shown in Examples 2.24 and 2.25 pointed out a slight stylistic change in the musical language of *Iberia*. The whole-tone vocabulary present in the first pieces of the collection ("Evocación", "El Puerto", "Rondeña") is abandoned in "Eritaña",[45] and the Prinner emphasizes the Galant dimension of this music. But, as we will see now, there are other traces of *galanterie* in this piece. One of the most striking features at the beginning of "Eritaña" is the highly conventional cadential figure of b. 2 (Example 2.33). The cadence is striking not only for its conventionality, but also for its early placement in the piece.[46] The entire passage shown here (bb. 1–29) contains several of these cadential figures, as indicated in Example 2.33, and the fragment could also be reduced to highly segmented, independent motives, whose alternation/juxtaposition (despite some moments of combination) creates a somewhat segmented musical discourse. As shown in Example 2.33, the first 18 bars can be analysed from this perspective using only three distinctive motives (and the Prinner): the "anacrusic", the "sevillanas" (which portray the characteristic rhythm and harmonic progression of this dance), and the "cadential".[47] The cadential motives constantly reappear throughout the first section of the piece and its final recapitulation, creating numerous cadences. Theorists have often described the abundance of cadences as one of the main features of the Galant style. For instance, Leonard Ratner's observed that "cadences are much more frequent and have far less importance in Galant music from a structural standpoint".[48] And already in the mid-eighteenth-century Friedrich Wilhelm Marpurg wrote:

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[45] Mast noticed a decreased use of the whole-tone scale in books three and four of *Iberia*, "after their 'French' aspect had undoubtedly been pointed out to the composer". See "Style and Structure", 369.

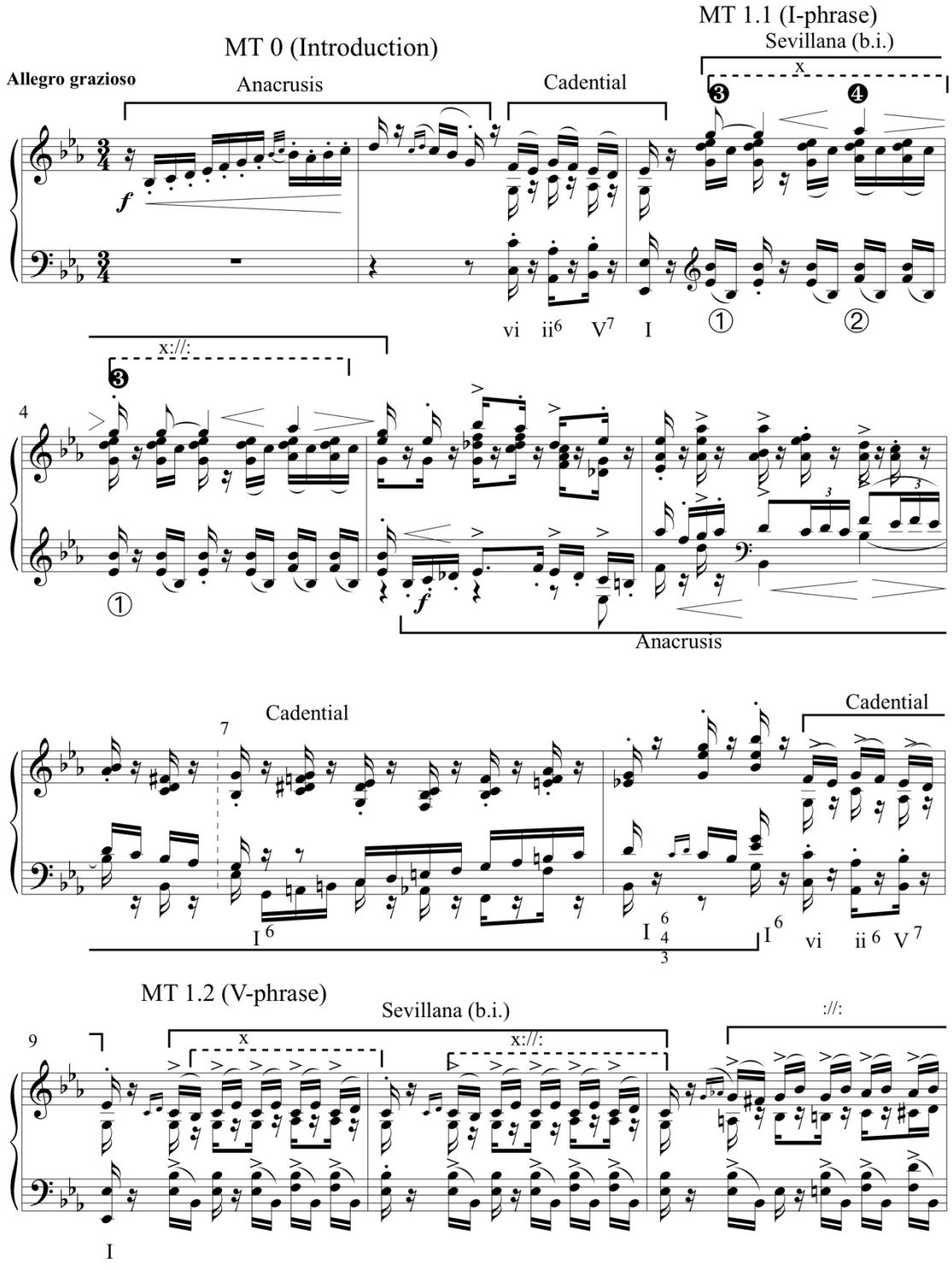
[46] I realize that calling this a cadence might be problematic from a form-functional perspective, as this cadential figure (bb. 2–3) does not put an end to a thematic process: the cadence happens too early and the introduction (MT 0) lacks a middle function. Caplin, therefore, would likely label this as a "cadence of limited scope", and, from this perspective, we could perhaps group the anacrusis and cadential motives as a c.b.i. But whether we call this a genuine cadence or not is not essential for the argument that I am trying to make here. See Caplin, "The Classical Cadence: Conceptions and Misconceptions", *Journal of the American Musicological Society* 57 (2004): 51–118.

[47] The last of the "anacrusis" motives includes what I would like to call the "Habanera" schema, as Albéniz often used this formula or a diatonic version of it in compositions that were clearly evoking this dance. See Martín Entrialgo, "El esquema «habanera» en la obra de Isaac Albéniz", in *Análisis de las músicas españolas y de obras de inspiración hispánica (1833-1939),* ed. by Yvan Nommick and Ramón Sobrino (Universidad de Oviedo and Université Paul-Valéry 3 Montpellier, forthcoming).

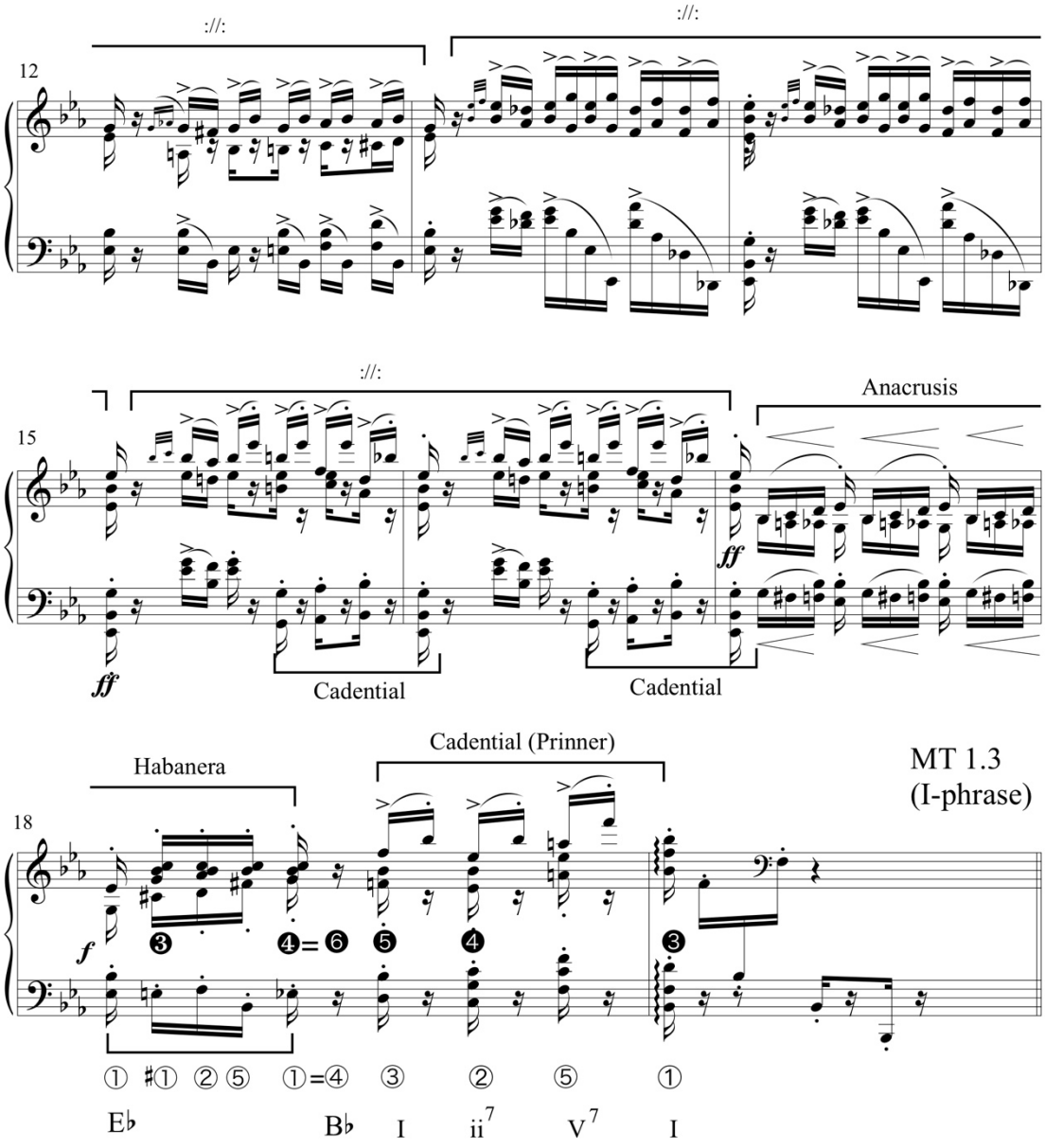
[48] Ratner, "Eighteenth-Century Theories of Musical Period Structure", *The Musical Quarterly* 42, no. 4 (1956): 440.

> In the contrapuntal style, the full cadences, at least at the end of a piece, must be conventional. In the Galant style, one makes no ceremony about cadences, and they can be used in any place, at the end as well as in the middle, without any distinction as to their conventional or non-conventional function as circumstances dictate.[49]

[49] „Im contrapunctischen Styl muß die ganze Cadenz, wenigstens zum Schluße eines Stückes, allezeit förmlich seyn. In der galanten Schreibart wird dieserwegen keine Ceremonie gemacht, und kann in allen Fällen, am Ende sowohl als in der Mitte, die förmliche und nicht förmliche, ohne Unterscheid gebraucht werden, nach Beschaffenheit der Umstände“. F. W. Marpurg, *Kritische Briefe uber die Tonkunst*, 1759-63, II, 13–14. Translated in Ratner, “Eighteenth-Century Theories“, 440.




Example 2.33: "Eritaña", from *Iberia* (T. 105), bb. 1–19




Example 2.33 (continued): "Eritaña", from *Iberia* (T. 105), bb. 1–19

The segmented musical discourse of "Eritaña" had also certain programmatic readings. The piece owes its name to a famous inn outside Seville. As Paul Mast observed, most visitors remarked the "wild and colourful" celebrations that took place there. It is perhaps with this image in mind that Debussy wrote these often-quoted words about the piece:

> ["Eritaña"] portrays the joy of the morning, the happy discovery of an inn where wine is cool. An ever-changing crowd passes, the rhythm of their laughter marked by the beat of the Basque tambourines. Never has music attained to such diverse, such colourful impressions.[50]

The festive atmosphere described by Debussy and others,[51] or, more in general, the expression of "light and frivolous feelings", was linked by Johann Georg Sulzer (1720-1779) with short phrases and sections.[52] Sulzer's associate Johann Philipp Kirnberger believed that "short phrases are best suited for gentle, tender, agreeable and particularly for fleeting, frivolous, and playful pieces".[53] In that respect, the cheerful character of this piece is expressed through its segmented phrase structure, which eighteenth-century theorists associated with the emerging Galant style.

Besides the numerous cadences and the segmented phrase structure, the literal repetition of short (one-bar) phrases also connects "Eritaña" with eighteenth-century compositional techniques associated with a composer that Albéniz admired deeply: Domenico Scarlatti, whose "identikit image would involve generous reiterations of short phrase units against a relatively lightweight harmonic background".[54] In "Eritaña", the two-bar Sevillana "basic idea" (b.i.) of b. 3 consists of a repeated single-bar motive (x) that alternates a simple V-I progression. The repetitive nature of this idea is most clearly seen in bb. 9–17. Here the b.i. is, at the same time, repeated sequentially in two-bar units, forming a 2 + 2 + 2 + 2 group. This compositional technique is not exclusive of

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[50] As quoted in Mast, "Style and Structure", 6.
[51] However, as Jacinto Torres points out, one has to be careful with specific programmatic associations, since Albéniz changed the original titles of some of the numbers of *Iberia* (including "Eritaña", which was originally called "Macarena") after they were composed. See Jacinto Torres Mulas*, Iberia al través de sus manuscritos* (Madrid: EMEC, 1998), 54.
[52] See Ratner, "Eighteenth-Century Theories", 440.
[53] Johann Philipp Kirnberger, *Die Kunst des reinen Satzes in der Musik*. 2 vols. Berlin, 1771, 1779. Trans. by David Beach and Jurgen Thym as *The Strict Art of Musical Composition* (New Haven: Yale University Press, 1982), 416.
[54] Dean Sutcliffe, *The Keyboard Sonatas of Domenico Scarlatti and Eighteenth-Century Musical Style* (Cambridge: Cambridge University Press, 2003), 145.

"Eritaña", and similar phrases are common in *Iberia* and other pieces. Even though, as Dean Sutcliffe has pointed out, stylistic categorization of Domenico Scarlatti is far from easy,[55] certainly his music exhibits quite often many of the features most typically associated with Galant music: light and homophonic textures, periodic structures, simple harmonies, short phrases, repetition, and freer dissonance treatment. Moreover, the term Galant was not only used to refer to a set of well-defined musical characteristics, but also became associated with a particular way of performing, and some eighteenth-century authors already saw Scarlatti as representative of this new style of playing. Johann Joachim Quanz (1697-1763), for instance, compared the Galant manner of Domenico's playing ("in the manner of the time") with the learned style of his father Alessandro.[56]

In general, Scarlatti played a fundamental role in defining the Spanish nationalist school in the late nineteenth century. After the often-called *desastre*, artists and intellectuals sought the essence of a Spanish national identity whose pillars were crumbling after the Spanish defeat in the Spanish-American War of 1898. The intellectual movement, known as *regeneracionismo*, deeply influenced the social, political and artistic life of late nineteenth-century Spain, as we have seen in Chapter 1. The architect of the Spanish musical *regeneracionismo* was Felipe Pedrell (1841-1922), who saw in the popular chant and in the high-art compositions of earlier Spanish composers the perfect "recipe" for a true national art in dialogue with European currents. Pedrell's views are best epitomized in his manifesto *Por nuestra música* (For our Music):

> The particular stamp, the peculiar inspiration of a lyrical school must be based on the popular chant personalized and translated into cultivated forms. Under the double aspect of the text and its musical coating, it is one of the creative forces of a nation.[57]

Pedrell saw the nationalism-universalism juxtaposition not as an irreconcilable dichotomy, but as two indispensable constitutive elements of the new Spanish music. It is in this context that the figure of Domenico Scarlatti appeared. According to Maria-Alexandra Francou, Enrique Granados, a slightly younger friend of Albéniz, saw Scarlatti "as a convincing symbol of Spanish authenticity

[55] See, particularly "Heteroglosia", in Sutcliffe, *The Keyboard Sonatas*, 78–123.
[56] John Rice, *Music in the Eighteenth Century* (New York; London: W.W. Norton, 2013), 24. Daniel Heartz, *Music in European Capitals: The Galant Style, 1720-1780* (New York; London: W.W. Norton, 2003), 49.
[57] Felipe Pedrell, *Por nuestra música. Algunas observaciones sobre la magna cuestión de una Escuela lírico nacional motivadas por la trilogía (tres cuadernos y un prólogo) Los Pirineos* (Barcelona: Henrich, 1892), 507.

and universality".[58] And so did Manuel de Falla: "Manuel de Falla as a pioneer, and, under his mastery, the Generation of '27 find in the españolismo [Spanishness] of Scarlatti's compositional language the ideals means to restore Spanish musical creation".[59] As Elena Torres pointed out, Falla was also the main person responsible for Spaniards' vindication of Scarlatti "Spanishness", as well as for his reappraisal in Spanish musicology. Moreover, Falla's admiration for Scarlatti was also owed to the Neapolitan's ability to disguise and transform the popular elements of his music through "avant-garde harmonic procedures".[60] In a word, Scarlatti became the epitome of Pedrellian ideas because he was able to merge "Spanish folk sonorities with a more mainstream international (i.e., European) Baroque language".[61] According to the journalist and Albéniz's first biographer Antonio Guerra y Alarcón, in 1886 Albéniz's repertoire as a concert pianist already included 12 pieces of Scarlatti[62] and he had "special predilection for his music".[63] In fact, Albéniz performed a "capriccioso" of the Neapolitan composer at the 1879 piano competition of Louis Brassin's class at the Brussels Conservatory, where Albéniz was studying at the time.[64] Scarlatti represented the Pedrellian ideals of "universality" and "Spanishness" that Albéniz and his contemporaries sought in their own music, and which was best formalized in Albéniz's often-quoted motto exhorting Spanish artists to create "Spanish music with a universal accent".

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[58] As quoted in Maria-Alexandra Francou-Desrochers, *Resituating Scarlatti in a Nationalist Context: Spanish Identity in the Goyescas of Granados*, Master Thesis (Schulich School of Music, McGill University, 2009), 26.
[59] "Manuel de falla como pionero, y, bajo su magisterio, la generación del 27, encuentran en el españolismo del lenguaje compositivo de Scarlatti el medio idóneo para llevar a cabo la restauración de la creación musical española". Elena Torres, "La presencia de Scarlatti en la trayectoria musical de Manuel de Falla" in *Manuel de Falla e Italia,* edited by Yvan Nommick (Granada: Archivo Manuel de Falla, 2000), 98.
[60] Ibid., 99.
[61] Francou, *Resituating Scarlatti,* 23.
[62] Antonio Guerra y Alarcón, *Isaac Albéniz: notas crítico-biográficas de tan eminente pianista.* Reprinted by Enrique Franco (Madrid: Fundación Isaac Albéniz, 1990 [1886]), 38.
[63] Ibid., 36.
[64] Clark, *Isaac Albéniz,* 38. The only sonata "capriccio" included in Kirkpatrick's catalogue is K. 63. There is also another unauthenticated "Capriccio" attributed to Scarlatti preserved at the British Museum. See Ralph Kirkpatrick, "Catalogue of Scarlatti Sonatas", in *Domenico Scarlatti* (Princeton U.P; Oxford U.P, 1953), 425.

# Chapter 3: The Sentence in Albéniz's Works

Albéniz scholarship has left unanswered many questions about the phrase structure of Albéniz's compositions: how are their individual themes structured? What kind of formal conventions do the themes themselves follow? Is there a particular model of phrase structure that Albéniz employed systematically in all these pieces? Is there a clear differentiation between the syntax of the themes with respect to their position in the overall form? How are development sections organized? Albéniz's instrumental output ranges from small piano pieces in large ternary forms, character pieces in Spanish style, to piano sonatas and monumental collections like *Iberia*. It is difficult to imagine that the piano sonatas, the compositions in large ternary form, and late works like *Iberia* shared similar patterns of formal organization. But they do; and Albéniz often returned to his strong Classical instincts to construct and develop many of his themes. The sentence and the period are traditionally conceived—perhaps together with the small ternary—as the most important theme types of Classical instrumental music,[1] and both play a major role in Albéniz's compositions. While Chapter 4 will focus on the period, this chapter studies Albéniz's use of the sentence in his instrumental works.

## Fundamental Definitions

### Schönberg

Although the word *Satz* has figured in German music-theory treatises since at least the eighteenth century, the modern meaning of the word used in contemporary *Formenlehre* was first formulated by Arnold Schönberg. Schönberg—or his editors, as Áine Heneghan has recently pointed out—[2] defined the sentence by juxtaposing it to the period, and he was the first theorist to conceive these two concepts as theoretical abstractions that can account for most themes. The period consists of two complementary phrases (antecedent and consequent) divided by a caesura. The antecedent ends with an inconclusive cadence that is complemented with the consequent's full cadence. The

[1] William E. Caplin, *Classical Form: A Theory of Formal Functions for the Instrumental Music of Haydn, Mozart, and Beethoven* (New York: Oxford University Press, 1998), 9.
[2] Áine Heneghan, "Schoenberg's Sentence", *Music Theory Spectrum* 40, no. 2 (2018): 179–207.

consequent, moreover, typically repeats the antecedent's beginning. The period is, therefore, a symmetrical and well-balanced form "that has a certain repose in itself",[3] very suitable for the exposition of the main musical material as well as for the establishment of a key, given its two complementary cadences. The sentence, on the other hand, consists of the exposition of a short, basic idea (b.i.), followed by its immediate repetition and, typically, a process of "liquidation" of the basic idea that leads to a cadence (see Figure 3.1 below). The sentence, thus, could be understood as a process of exposition and dissolution of a single musical idea. Erwin Ratz compared the sentence and the period in a succinct and informative manner: "the eight-bar sentence […] contains a certain forward-striving character due to the increased activity and compression in its continuation phrase making it fundamentally different in construction from symmetrical organization of the period".[4] It is precisely this forward striving character, together with the hyper-rhythmical gesture and the motivic elaboration, which I believe are fundamental to convey a sense of musical development, a crucial characteristic that would give the sentence primacy over the period.

Therefore, Schönberg not only considers that the sentence can account for most themes, but also gives it clear aesthetic preference over the period. As it is well known, Schönberg held a strong organicist conception of art, and he conceived the musical work as the expression of a single musical idea.[5] Schönberg compares the piece of music with a photograph album "that displays under changing circumstances the life of its basic idea". The evolution of that single idea is caused by musical development, which is "the driving force of musical construction". Since the liquidation process of the sentence constitutes "a kind of development", it comes as no surprise that Schönberg conceives the sentence a "higher form of construction than the period".[6] As Matthew BaileyShea has argued, the sentence is for Schönberg a superior theme type because it epitomizes

[3] Erwin Ratz, as quoted and translated in William E. Caplin, "Hybrid Themes: Toward a Refinement in the Classification of Classical Theme Types", in *Beethoven Forum* 3, ed. Glenn Stanley (Lincoln and London, University of Nebraska Press, 1994, 152).
[4] Caplin, "Hybrid Themes", 152.
[5] Arnold Schönberg, *The Musical Idea and the Logic, Technique, and Art of Its Presentation*, ed. Patricia Carpenter and Severine Neff (New York: Columbia University Press, 1995).
[6] Schönberg, *Fundamentals of Musical Composition,* 58.

the essential aspects that any composition must have: intelligibility (achieved mostly through repetition of the basic idea), and organic development (of that b.i.).[7]

## Caplin

Following Schönberg, William Caplin helped to consolidate the paradigmatic status of the sentence in contemporary analytical practice. Caplin's work is particularly responsible for the well-defined meaning of the sentence as a Classical theme type. His definition of the sentence is grounded in his theory of formal functions, which seeks to elucidate the function and temporal location of a given passage, manifested through a specific set of compositional strategies.[8] The sentence must possess three formal functions: presentation, continuation, and cadential. The ideal length should be at least eight real measures.[9] Each of these three formal functions is associated with particular musical characteristics, most fundamentally, with one of the three types of harmonic progressions: prolongational, sequential, and cadential respectively.[10] The presentation prolongs the tonic harmony through prolongational harmonies, the continuation slightly destabilises it most typically through harmonic development and sequential progressions, and the cadential confirms the key through standard cadential progressions, ending either on a half or an authentic cadence. Thus, harmonic progressions convey specific formal functions and harmony is an essential component of Caplin's definition of the sentence.[11] Any group that lacks even one of the three formal functions would be likely categorized as "sentential", and not as "sentence". At the same time, in the presentation section, Caplin identifies three different types of repetition of the basic idea: exact, statement-response (in which the repetition consists of a dominant-version of the initial basic idea), and sequential (when the "entire melodic-harmonic content is transposed to a different scale-degree").[12] Caplin also nuances the "developmental nature" of the sentence as conceived by

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[7] See Matthew BaileyShea, "The Wagnerian *Satz*: The Rhetoric of the Sentence in Wagner's Post-Lohengrin Operas", (PhD diss., Yale University, 2003)*,* 171.

[8] On formal functions see Caplin, *Classical Form,* 254–5, and "What are formal functions?" in Caplin, James Hepokoski, and James Webster, *Musical Form, Forms & Formenlehre: Three Methodological Reflections*, ed. Pieter Bergé (Leuven: Leuven University Press, 2010), 21–45.

[9] Caplin makes the distinction between real and notated measures. Caplin, *Classical Form*, 35.

[10] For a detail definition and examples of these progressions see Caplin, *Classical Form,* 23–31.

[11] "In my theory, local harmonic progression is held to be the most important factor in expressing formal functions in themes (or theme-like units)". Caplin, *Classical Form,* 4.

[12] Following Schönberg and BaileyShea, in what follows, I will introduce another category of repetition of the b.i.: "complementary repetition". However, I will use the term in the opposite sense as BaileyShea does. I will reserve the statement-response category for a situation in which there is a final return to the initial tonic harmony at the end of the repetition of the b.i., creating a strong feeling of "question" and "answer". This is most typically articulated through a I-V; V-I progression. Complementary repetition, on the other

Schönberg by acknowledging that the continuation does not necessarily have to develop material from the presentation. In other words, the continuation can show new material.[13] However, the continuation has to create some sense of mobility through some of the typical continuation techniques (fragmentation, harmonic acceleration, increase of surface rhythmic activity, sequential harmonies). Although Caplin theoretically acknowledges the possibility of a continuation without fragmentation, he nonetheless admits the difficulties to project continuation function without this technique.[14] In fact, nearly all of his sentence examples show fragmentation.[15]

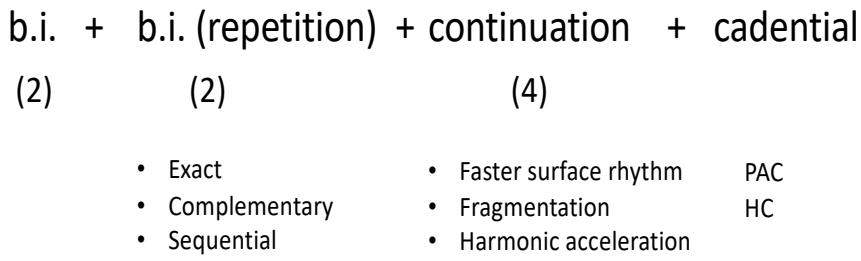



Figure 3.1: Sentence model

## Sentences and Development Sections

Despite growing interest on *Formenlehre* in general, and the sentence in particular, and despite the associations of the latter with musical development, analysts have mainly used the sentence to account for the construction of themes, while its role in development sections (or "elaboration" sections, for Schönberg)[16] has not been systematically studied. Ratz and Caplin already paved the way for a distinction between sentences associated with development sections and sentences as theme-types with their distinction between tightly and loosely-knit. Caplin defines tight-knit as "a formal organization characterized by the use of conventional theme-types, harmonic-tonal

hand, would refer to any situation in which the b.i. is repeated on any other harmony, most typically V. Caplin, *Classical Form*, 37–39. BaileyShea, "The Wagnerian *Satz*", 53–54.

[13] Ibid, 41.

[14] See Caplin's example 3.15, on Caplin, *Classical Form*, 46.

[15] I believe that in *Classical Form* there are only less than 10 examples that do not show fragmentation: 3.10, 3.15, 5.10, 5.12, 6.1, and 8.1.

[16] See particularly Schönberg, *Fundamentals of Musical Composition,* 199–213.

stability, a symmetrical grouping structure, form-functional efficiency, and a unity of melodic-motivic material".[17] Loose, on the contrary, refers to "a formal organization characterized by the use of non-conventional thematic structures, harmonic-tonal instability (modulation, chromaticism), an asymmetrical grouping structure, phrase structural extension and expansion, form-functional redundancy, and a diversity of melodic-motivic material".[18] This distinction remains crucial to distinguish formal functionality within the overall form of Classical movements: expositions are associated with tight-knit forms and developments with loose, and, within expositions, main themes tend to be tight-knit, and subordinate themes loose. Since the sentence is a theme-type, it is thus associated with tight-knit formal organization. Under the rubric "sentence" vs "sentential", Caplin also makes the distinction between theme vs theme-like units. We can, thus, understand the process from the exposition to the development sections as a continuum from tight to loose-knit forms. As BaileyShea has nicely put it: "though primary themes are generally presented in tightly knit forms, most subsequent statements of primary themes—*especially in development and transition sections*—are treated more loosely" (emphasis added).[19] However, both Julian Horton and Steven Vande Moortele observed that the distinction between tightly and loosely-knit loses much of its force in Romantic music.[20] Despite this observation and after showing the fundamental role of the sentence in Liszt's Weimar symphonic poems while undermining "the potential of *Formenlehre* to determine the functionality of a given unit on basis of its internal organization", Vande Moortele observes that an overall sentential impulse, achieved through sentence chains (*Satzkette*), projects developmental function in Liszt's development sections.[21]

However, I believe that, given these distinctions, it is possible to theorize with relative precision the differences between "expositional" and "developmental" sentences. This is perhaps best expressed in a continuum from expositional to developmental features, shown in Table 3.1. As lower we go in the continuum, as more development is conveyed, and greater musical tension is created. It comes as no surprise that the individual features of the sentence project development function following a single and simple principle: greater development is caused by greater tonal and phrase structural instability. Table 3.1 just specifies how the individual features of the sentence do that. For instance,

[17] Caplin, *Classical Form*, 257. See also 84–85.
[18] Ibid., 255.
[19] BaileyShea, "The Wagnerian *Satz*", 199.
[20] Vande Moortele, "Sentence", 128. Julian Horton, "Criteria for a Theory of Nineteenth-Century Sonata Form" *Music Theory and Analysis* 4, no. 2 (2017): 176.
[21] Vande Moortele, "Sentence", 153.

the best way to express the key in the presentation would be through a statement-response articulation of the (c.)b.i, even better than with an exact or complementary repetition.[22] This type of repetition would push the sentence towards the high end of the expositional-developmental continuum. Of course, there are many other factors not included in this table that could help to project developmental function, most of which associated with what Leonard Meyer called the "secondary parameters", most fundamentally: register, dynamics, and texture.[23] In that sense, one would tend to associate extreme registers, louder dynamics, thicker texture, or, in works for a soloist, greater virtuosity with development. In the end, and as expressed in the continuum, we can account for all these phenomena with a high-level distinction between formal sections (exposition, development) and formal functions (expositional, developmental) based on the distinction between "contextual" and "implicit" formal functions.[24]

[22] As explained above, I understand the "statement-response" category as the type of repetition that sounds like a question-answer and is typically underlined by the harmonic progression I-V; V-I, and not as Caplin conceives it, namely, as a repeat of the b.i. in the dominant version. This type of repetition would fall under complementary repetition and scores in between statement-response and exact repetition in the expositional-developmental continuum. See note 11 above.

[23] Leonard Meyer, *Style and Music: Theory, History, and Ideology.* Studies in the Criticism and Theory of Music (Philadelphia: University of Pennsylvania Press, 1989), 15.

[24] Whereas contextual formal function simply refers to a location of a musical passage in relation to its immediate surroundings (for instance, a beginning is a beginning because it opens a movement or piece), intrinsic formal function refers to the musical characteristics and compositional techniques that, in a predefined repertoire, conventionally project beginning, middle, or ending function. See Michel Vallières, Daphne Tan, William E. Caplin, and Stephen McAdams, "Perception of Intrinsic Formal Functionality: An Empirical Investigation of Mozart's Materials", *Journal of Interdisciplinary Music Studies*, 3/1.2, (2009): 18.

<table>
<tr><td rowspan="6">Expositional<br>  <br>Developmental</td><td colspan="2">Presentation</td><td>Continuation[25]</td><td>Cadence</td><td>Overall organization</td><td>Overall key</td></tr>
<tr><td>Harmony</td><td>Repetition of (c).b.i.</td><td>Harmony</td><td>Same key: (PAC)</td><td rowspan="4">Tight-knit</td><td rowspan="4">Monotonal</td></tr>
<tr><td rowspan="3">Tonic prolongation of single key only</td><td>Statement-response</td><td rowspan="3">Diatonic (“certainty”)</td><td rowspan="3">Same key: (HC)</td></tr>
<tr><td>Complementary</td></tr>
<tr><td>Exact</td></tr>
<tr><td>Modulation (tonicization of other keys) [26]</td><td>Sequential:<br><br>Descending<br><br>Ascending</td><td>Chromatic (“uncertainty”)</td><td>Different key<br><br>No cadence</td><td>Loose</td><td>Modulating</td></tr>
</table>

Table 3.1: Expositional-developmental continuum in sentences

The categories presented in Table 3.1 are not absolute and should be applied flexibly. In that sense, and appealing to the distinction between contextual and implicit formal functions, it is possible to find examples of expositional sentences in development sections, or sentences with developmental presentations, or modulating sentences in the exposition. For instance, Janet Schmalfeldt has pointed out how the main themes of the first movements of Haydn’s String Quartet, Op. 33, No. 3, “The Bird”, and Beethoven’s first symphony could be understood as sentences.[27] Yet, the presentations of these sentences are rather unusual for a main-theme Classical sentence, given that they modulate through the use of a sequential repeat of the c.b.i. This feature, more typical of a developmental sentence, would push them to a lower end of the expositional/developmental continuum.

[25] The continuation section serves best to project the sense of development. The more the continuational features are emphasized the greater the feeling of development is created.
[26] For a definition of tonicization see Caplin, *Classical Form*, 140.
[27] Janet Schmalfeldt, *In the Process of Becoming: Analytic and Philosophical Perspectives on Form in Early Nineteenth-Century Music.* Oxford Studies in Music Theory (Oxford: Oxford University Press, 2011), 63.

The following section will concentrate on how Albéniz used the sentence, making the high-level distinction between theme-type and developmental sentences, and exploring how the latter were used to achieve important climaxes in some of Albéniz's most admired compositions.

## The Sentence as a Theme Type in Albéniz's Music

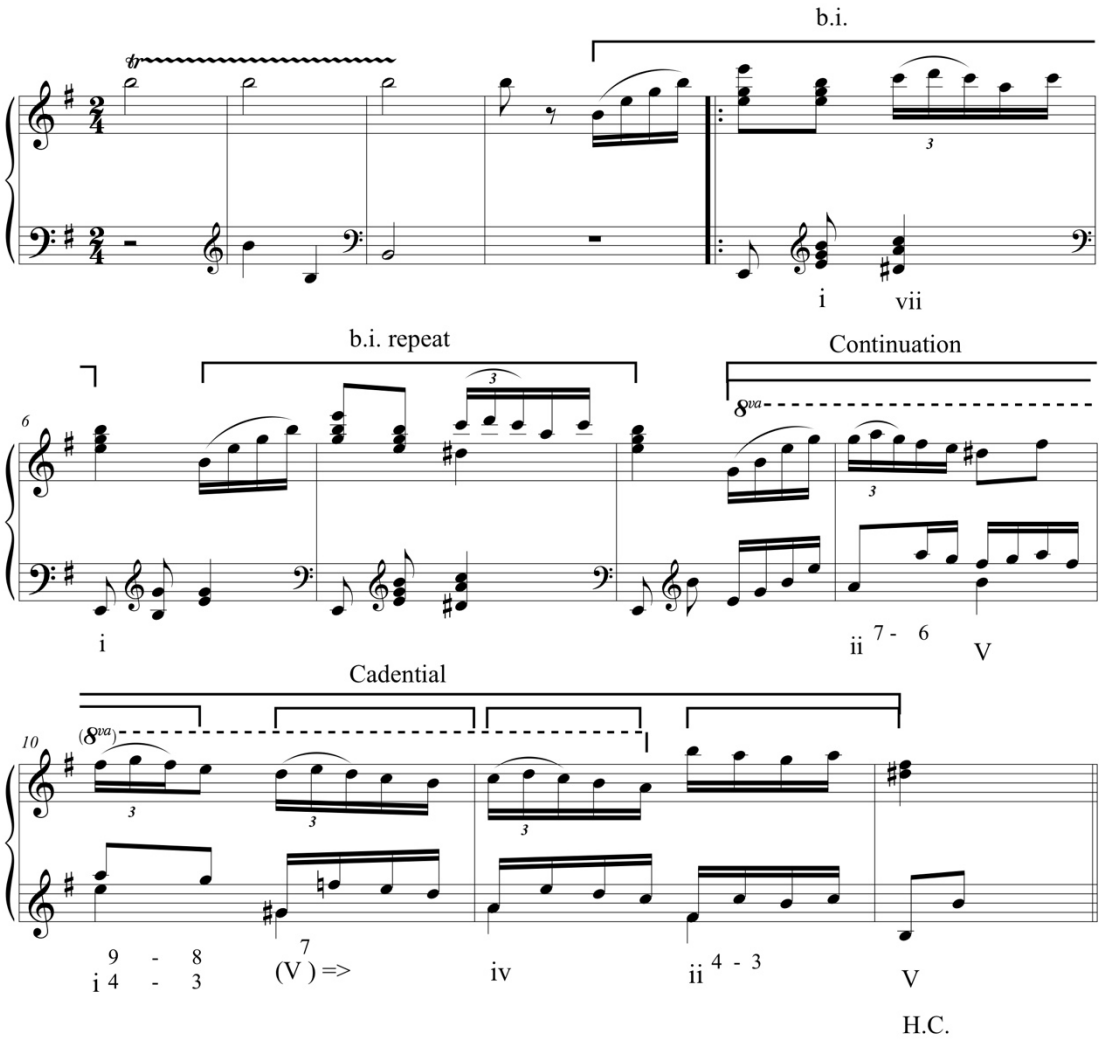
### Pavana (T. 48)

Albéniz's relationship with the sentence goes back as far in his compositional career as his love for ancient dances and the eighteenth century. Some of his first compositions were his *suite anciennes* (containing sarabandas, menuets, chaconas, and gavottes), as well as his piano sonatas and his more famous "Pavana". All these pieces follow the traditional formal organization of their respective genres, as well as traditional tonal plans. In the case of the suites, their "ancient", eighteenth-century style is especially manifested in their simple harmonies, their elegant articulation, and their symmetrical phrasing. Among all these ancient dances, there is one that was particularly successful: the "Pavana (capricho)" (T. 48). The piece was composed in 1882, and it is one of Albéniz's earliest compositions. It enjoyed quite some popularity in its own time, judging by press reports of its performances and by the numerous editions that were published. Gabriel Laplane even argued that for the 1885 edition of the piece around 500000 copies were produced. Although Jacinto Torres, without negating the popularity of the piece, has seriously questioned these numbers.[28] The "Pavana" was also published by Carlo Ducci in London as "Pavane espagnole" in 1889.

The piece illustrates well the kind of style and phrase structure typical of the early *suite anciennes*, with its thin texture, elegant articulation and symmetrical phrasing. As most of Albéniz's piano pieces, the "Pavana" is in large ternary form (*ABA*), with an *A* section in E minor, a *B* section in the parallel key, E major, and a repeat of the *A* section in E minor. Each of the large sections is structured as a rounded binary with repeat signs. After a small introduction of 4 bars, the first half of the *A* section is laid out as a compound period of 16 bars,[29] whose antecedent phrase is reproduced here

[28] Jacinto Torres Mulas, *Catálogo sistemático descriptivo de las obras musicales de Isaac Albéniz* (Madrid: Instituto de Bibliografía Musical, 2001), 268.
[29] A succinct definition of the period as formulated by Schönberg was presented above. For a graphical description of the period see Figure 4.1 in Chapter 4.

as Example 3.1. The antecedent and consequent phrases are structured as theme-type sentences: with a b.i., its repetition, and a continuation=>cadential subphrase. The b.i. and its repetition prolong the tonic chord through a i-vii-i progression, forming the presentation. The presentation is followed by the continuation=>cadential function, since from b. 9 onwards there is motivic fragmentation, harmonic development and acceleration. The (V7)→IV progression, a characteristic closing gesture in eighteenth-century music, signals the beginning of the cadential function, and the phrase ends with a half cadence (HC). This sentence, therefore, would score very high in the expositional-developmental continuum: it is an eight-bar tight-knit sentence, with a non-modulating presentation, an exact repetition of the b.i., an almost entirely diatonic continuation, and a final HC on the main key. The consequent phrase of this theme (not shown) only changes its final cadence into a PAC on the main key, forming a perfectly symmetrical complement to the 8-bar antecedent. The balanced design of this theme is not only manifested in its regular, 8-bar antecedent-consequent phrases with complementary cadences, but also in the smooth melodic contour. In the antecedent phrase, the presentation subphrase revolves around $b^2$. The relatively abrupt jump to $g^3$ at the beginning of the continuation is compensated with the stepwise descent back to $b^2$ in b. 11, where Albéniz finally descends smoothly to $f\sharp^2$ to make the HC. The consequent phrase would complete that descent to $e^2$ with a larger stepwise progression from $b^3$ to $e^2$ in the continuation.




Example 3.1: “Pavana” (T. 48), bb. 1–12

## Sevilla (T. 61C)

One might argue that finding such theme-type sentences in this repertoire is not particularly surprising, given Albéniz's desire to imitate earlier styles in this type of dances. But the sentence also served to structure the themes of some of Albéniz's most famous Spanish-style compositions. Example 3.2 shows the main theme of "Sevilla" (1883), one of the most famous compositions Albéniz ever wrote. The piece is laid out as a large ternary (*ABA*) form, with a *copla* functioning as an "interior theme" in C minor.[30] The main theme itself is structured as a small ternary (aba), whose *a* section is shown here as Example 3.2. In "Sevilla" (T. 61C), Albéniz clearly evokes the rhythm of the *sevillanas*, the popular dance in $\frac{3}{4}$ metre of the Seville region, sometimes featuring a slightly accented second beat. The metre, nonetheless, is firmly secured through the strictly metrical harmonic rhythm. After a 2-bar "instrumental" introduction that sets out the metre and basic rhythmical gesture, in b. 3 Albéniz begins a very bright, lyrical theme based on simple tonic-dominant alternation over a tonic pedal point. The *a* section could be described as a 16-bar theme-type sentence framed by a small introduction of two bars that returns as an 8-bar codetta. The sentence is structured as a 4-bar compound basic idea (c.b.i.) followed by its repetition and forming the presentation, and an 8-bar continuation leading to a PAC. Caplin defines the c.b.i. as a "four-measure phrase consisting of a basic idea [a two-bar unit] followed by a contrasting idea [another two-bar unit], which does not lead on to cadential closure".[31] In "Sevilla", however, the design of the c.b.i. is very different from this Classical construction. It consists of an extended 3-bar basic idea—the extension resulting from the repetition of the circled motive in Example 3.2—, followed by a 1-bar "instrumental" suffix that one can perhaps imagine as an imitation of the sounds of the castanets. While it is easy to imagine different configurations of the basic idea (b.i.) or c.b.i. using this material, (for instance a 2-bar b.i. followed by its repetition or a contrasting idea, or the extended 3-bar b.i. followed by an exact or complementary repetition without the instrumental suffix), the addition of the suffix ultimately preserves a regular 4-bar hypermeter more typically associated with the symmetrical phrase structure of dances. The repetition of the c.b.i. forms the presentation, which prolongs the tonic harmony through the tonic-dominant alternations over a tonic pedal point. At the same time, and unlike the construction of the melody in the "Pavana", the

[30] Caplin sharply distinguishes between a subordinate-theme—associated with a sonata-form set up—, and an interior theme—embedded within a larger ternary structure. William E. Caplin, *Classical Form: A Theory of Formal Functions for the Instrumental Music of Haydn, Mozart, and Beethoven* (New York: Oxford University Press, 1998), 211–16.
[31] Ibid., 253.

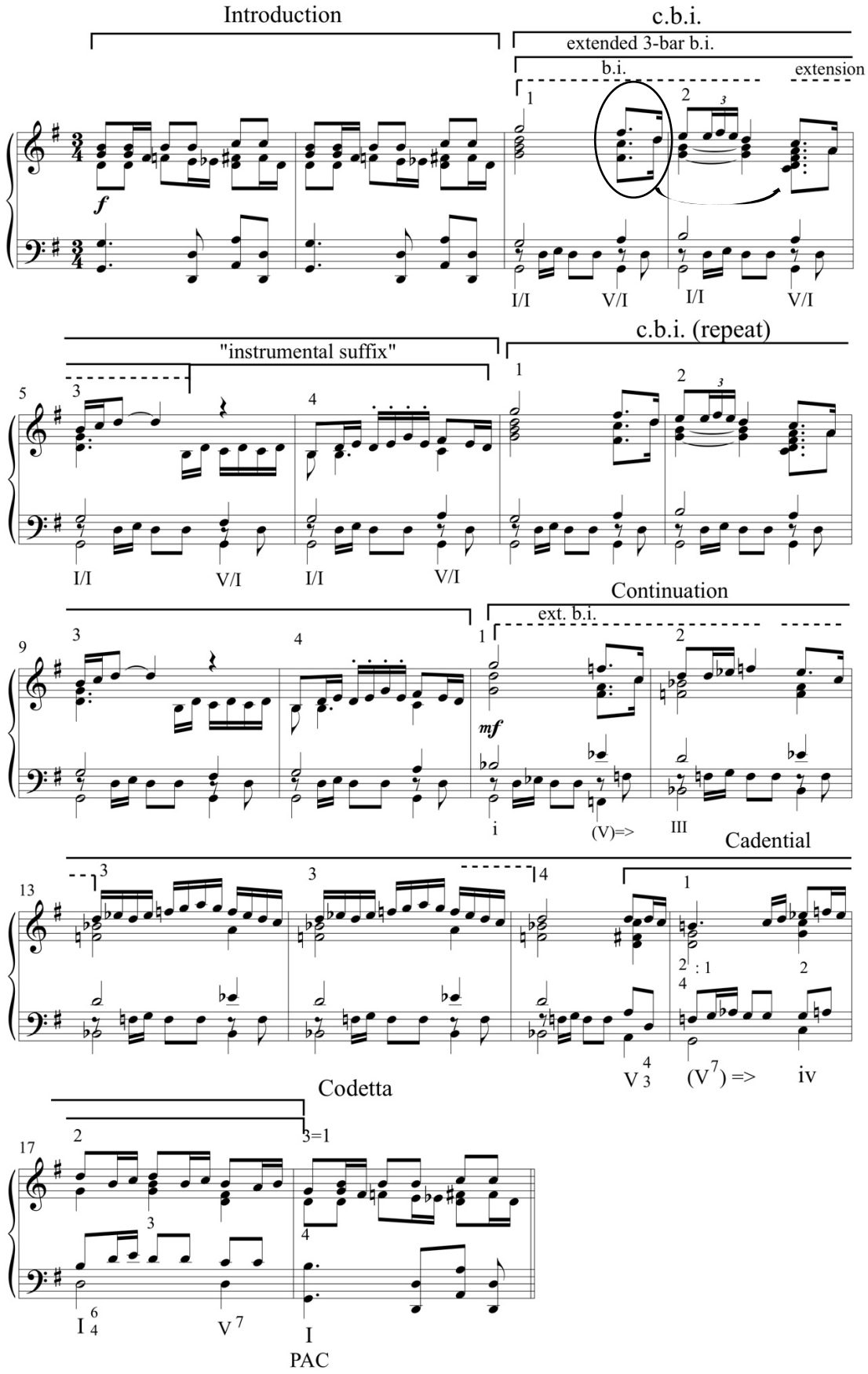
melodic contour of the c.b.i. and its subsequent repetitions seem quite unclassical. The c.b.i. and its exact repetition descend almost uninterruptedly from ^1 to ^6, and the continuation culminates that descend back to the final tonic in b. 18. In the Classical style, a descending b.i. would tend to be compensated with either a larger-scale melodic ascent or an immediate contrasting melodic contour of some kind, reflecting a more balanced melodic design. Finally, the continuation subphrase initiates certain harmonic development: the music briefly moves to the minor mode and to its III. Albéniz also develops the motive of b. 12 with the semiquavers of b. 13, a bar that gets repeated one more time. The continuation, following BaileyShea, could be classified as a "continuation with dissolving second repetition" [of the c.b.i.].[32] As in the "Pavana", the use of (V7)→IV in b. 16 initiates the cadential function. The harmonic development,[33] the possible hemiola, and the imitations of the main motive in b. 16 contribute to create a feeling of acceleration and a strong drive towards the cadence, and the phrase ends with a PAC that overlaps with the introduction, now functioning as a codetta framing the theme.

As shown in the analysis of Example 3.2, the clear 4-bar hypermeter, indicated with Arabic numbers on top of the system, is only slightly disrupted at the end of the continuation (bb. 16–18). The grouping structure (5+3) and the harmonic changes could easily lead us to perceive b. 16 as hypermetrically accented. The prevailing 4-bar phrase rhythm is first disrupted by expansion through the repetition of b. 13, and then by a contraction of the 4-bar unit that compensates the previous expansion. This ultimately results in a regular 8-bar continuation. At the same time, the motivic fragmentation in bb. 16–18 could easily lead us to perceive the melody as a group of 4 bars in $\frac{2}{4}$ against the harmonic rhythm in $\frac{3}{4}$. While these little effects contribute to create a more spontaneous and freer syntax, in the end, Albéniz wants to preserve an overall regularity of the phrase-structure and phrase rhythm.

In conclusion, the main theme of "Sevilla" is thus very clearly a theme-type sentence. This sentence would be placed in the high part of the expositional-developmental continuum. The presentation does not modulate and consists of tonic/dominant alternation over a tonic pedal point in the main

[32] Matthew BaileyShea, "The Wagnerian *Satz*: The Rhetoric of the Sentence in Wagner's Post-Lohengrin Operas" (PhD diss., Yale University, 2003), 59–61.
[33] Harmonic development more than harmonic acceleration. The harmonic rhythm is still the same (2 chords per bar), but all the harmonies are all different. As opposed to the previous bars where only two chords were employed during long periods of time.

key, and there is an exact repetition of the c.b.i. The continuation=>cadential subphrase is almost entirely diatonic, with only a slight destabilization of G major. There is also a clear cadential function expressed with the typical $(V7) \rightarrow IV$ progression that often signals closure in the Classical style, and the sentence closes with a PAC in the main key. The symmetrical grouping and the prevailing 4-bar hypermeter also makes it very tight-knit.




Example 3.2: “Sevilla” (T. 61C), MT

## Triana (T. 105F)

Albéniz wrote at least three other pieces that make explicit references to the Seville region: "Sevilla", from the *Seconde Suite Espagnole* (T. 90), and "Triana" and "Eritaña", from *Iberia* (T. 105). The sentence might have proven to be a suitable formal type for "sevillana style" themes, since both the main and subordinate themes of "Triana" are also sentences or sentence-like themes.

Despite its triple meter and its title, referring to the popular neighbourhood of Seville (and thus to the triple meter of the *sevillanas*), due to the syncopations and accents some writers have referred to the main theme as a *pasodoble*, literally double-step, or, in other words, a duple-metre dance.[34] For this listener, however, it is difficult to hear this in duple metre. The grouping structure and the sequence within the b.i. (shown with discontinuous lines in Example 3.3) clearly establish the triple metre of the initial group. Nonetheless, it is possible to perceive a different $\frac{3}{4}$ bar literally following the grouping structure. The beats of the hypothetical $\frac{3}{4}$ bar are shown with Arabic numbers bellow the first system in Example 3.3 (the pattern would be disrupted in b. 6 with the fragmentation of the continuation). At the same time, a more literal metrical transcription of the accented beats would result in a $\frac{6}{8}$ bar. In any case, it seems to this listener nearly impossible to perceive this in the simple duple meter of the *pasodoble*. From b. 9 onwards, however, we clearly hear the rhythm of the *sevillanas* and a direct correlation between the real and written metre. In fact, in a later passage (bb. 40–44, not shown), Albéniz makes an intertextual reference to "Sevilla", using what I have called in Chapter 2 the Habanera schema,[35] a formula that he would employ for the subordinate theme of "Triana" as well.

The metrical complexities find a good complement in the intricate phrase structure. The MT is structured in two phrases of 11 and 12 bars respectively, each followed by a post-cadential extension that ultimately helps connect both sections with the next phrases. Example 3.3 provides the first of these two phrases. In general, both Paul Mast and Martínez Burgos have relied on motivic content as the main criteria for formal division. For Martínez Burgos, there is an

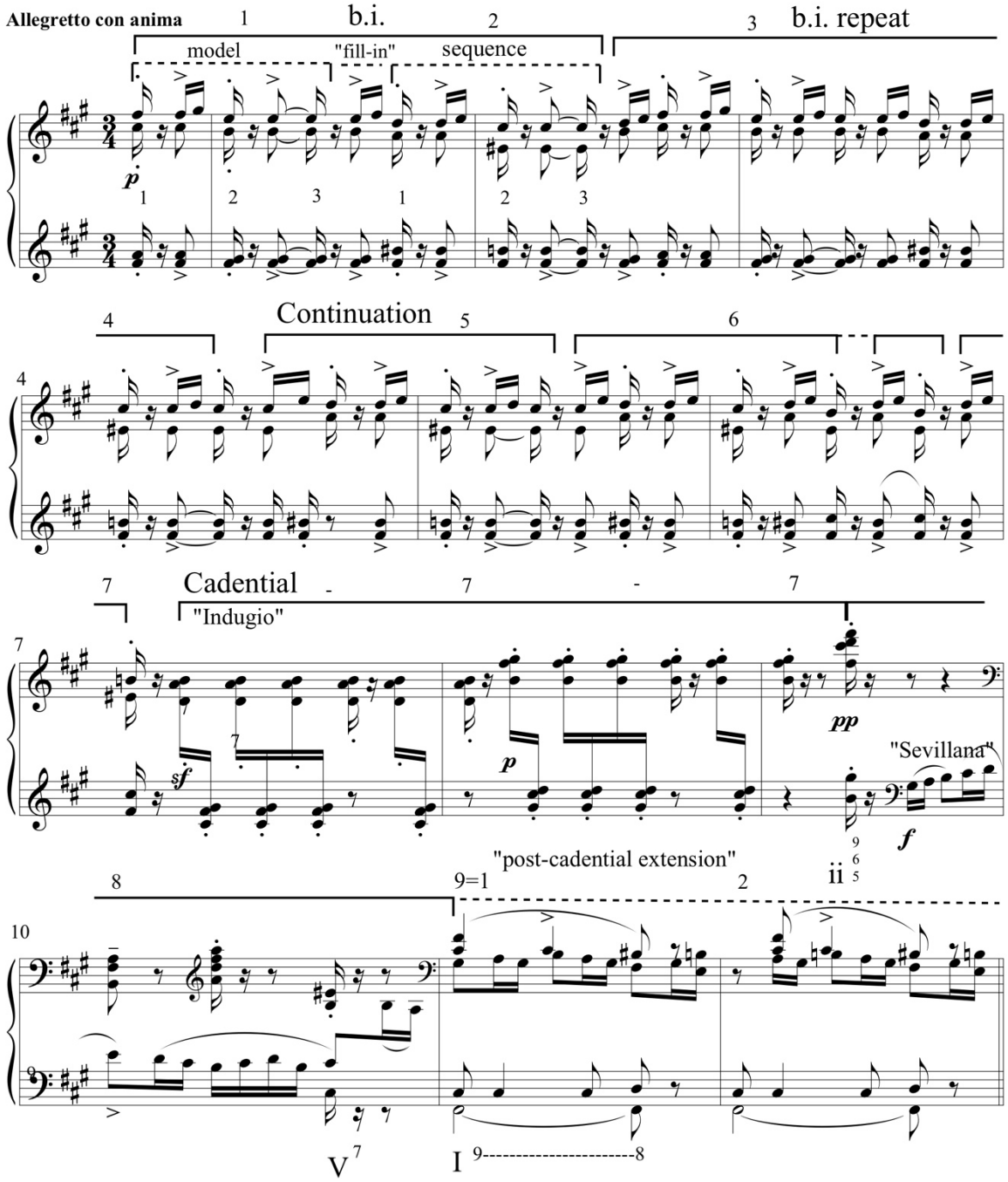
[34] See Paul B. Mast, "Style and Structure in *Iberia* by Isaac Albéniz" (PhD diss., Eastman School of Music, 1974), 275. Iglesias, on the other hand, states that "there are not few commentators that refer to the *pasodoble* (…) when they talk about the joyful Triana". Antonio Iglesias, *Isaac Albéniz (su obra para piano)* (Madrid: Alpuerto, 1987), 275.
[35] See note 47 in Chapter 2.

introduction ending on b. 8, and the *A* section begins on b. 9.[36] For Mast, the first section of the MT ends on b. 7, and b. 9 initiates section "2P" (one wonders then what is the function of bb. 7–8). Perhaps the reason why Martínez Burgos saw the first bars as an introduction is that the recapitulation (b. 90) starts directly with the motive of b. 9. In my view, however, the piece begins directly with the main theme. This section would not even qualify as what Hepokoski and Darcy have termed "P.0", a preparatory zone to a "more decisive module that follows",[37] which can differ widely from case to case. In *Iberia*, for instance, we could label the beginning of several pieces as P.0. ("El Puerto", "Polo", or "Rondeña"). In this case, however, this is just the theme proper. In fact, bb. 1–11 are a single gesture and constitute a slightly expanded phrase that culminates with the cadence of b. 11. In this first phrase, we can also easily identify the three formal functions of the sentence: presentation, continuation, cadential. Albéniz starts with a 2-bar b.i. based on the Phrygian tetrachord harmonized as a *fauxbourdon* over a tonic pedal point, and followed by an embellished repetition. The 2-bar b.i. is itself constructed as a 1-bar model and its melodic sequence one tone lower. The segmented b.i. represents well the character and phrase structure of the main themes of *Iberia*, typically structured in short 2-bar units with a marked rhythmical profile and gapped basic ideas that are repeated, developed, and varied.

The continuation initiates a gradual fragmentation process of the b.i., rising the tension and creating an overall acceleration process. In this case, however, the continuation function is only expressed through the grouping structure and not through harmonic processes: the last segment of the b.i. is repeated almost obsessively until the Indugio of b. 7. This is of course a stylized version of the schema, which perhaps imitates the rhythmical effect of the castanets or the *zapateado* (literally the stamping and tapping of the shoes). As argued in Chapter 2, the Indugio helps to expand the phrase, initiating the cadential function and delaying the final cadence until bb. 10–11. The cadence is clearly marked by a melodic, cadential gesture ("*sevillanas*") underlined by a strong cadential progression (ii V I). Yet, the suspension in b. 11, combined with the *sevillana* rhythm helps to foster musical continuity with the following phrase; and while bb. 11–14 are initially a post-cadential extension, they also serve to link the phrase with the next section (bb. 15–26) through

[36] See Manuel Martínez Burgos, "Isaac Albéniz: la armonía en las composiciones de madurez para piano solo como síntesis de procesos tonales y modales" (PhD diss., Universidad Autónoma de Madrid, 2004), 409.
[37] James A. Hepokoski and Warren Darcy, *Elements of Sonata Theory Norms, Types, and Deformations in the Late Eighteenth-Century Sonata* (New York; Oxford: Oxford University Press, 2006), 72.

the French-augmented chord of b. 14 (not shown). The sentence would be located relatively high in the expositional-developmental continuum. The presentation and the continuation are both underlined by a tonic pedal point, there is an exact repetition of the b.i., and the phrase closes with a clear PAC in the main key. Despite the small expansion of the Indugio, the phrase is also relatively tight-knit.

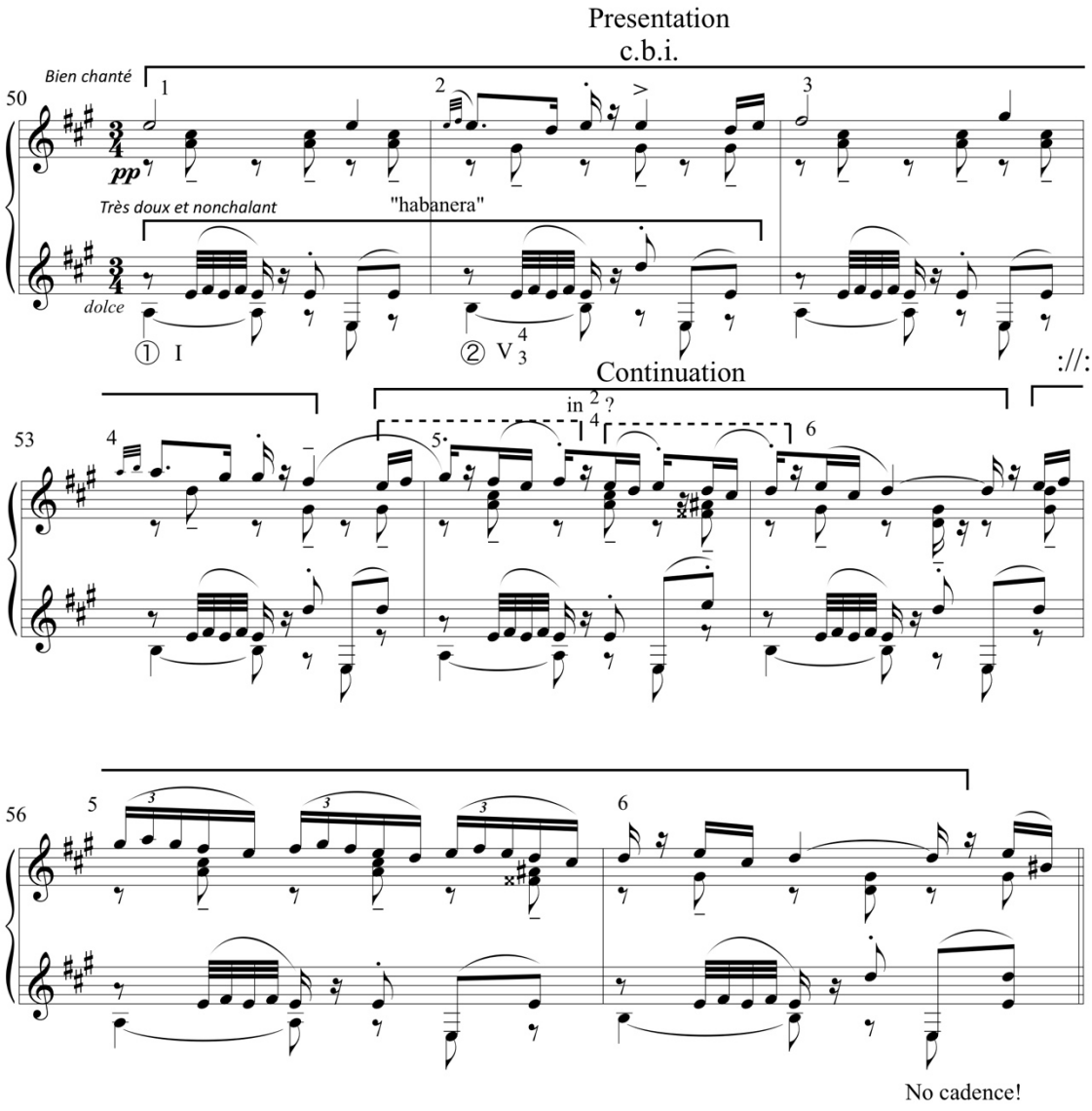



Example 3.3: "Triana", from *Iberia* (T. 105), MT

The subordinate theme (ST) of "Triana", shown as Example 3.4, has also a sentential design. Its expression marks indicate *bien chanté* (well sang). Indeed, the theme is an extremely lyrical song, with longer lines almost exclusively in conjunct motion and a less-marked rhythmical profile. The theme is structured as a 4-bar c.b.i. that constitutes a single 4-bar gesture. In general, the use of c.b.i. as basic compositional units in the subordinate themes of *Iberia* allows Albéniz to project the fundamentally lyrical nature of these themes. These c.b.i represent a single gesture, contrary to the more typical set up of the c.b.i. of the Classical style, normally subdivided into 2-bar b.i. and 2-bar c.i.[38] Although I guess one could theoretically divide Albéniz's c.b.i., this seems quite artificial in this case. Would bb. 52–53 be a c.i.? Would they be a sequence of the previous b.i? Neither of these options seem satisfactory; bb. 50–53 represent a single and very smooth melodic progression from $e^2$ to $f\sharp^2$. The c.b.i. is underlined by a regular harmonic formula of two bars (a variant of the diatonic Habanera schema introduced in Chapter 2), alternating prolongational tonic and dominant harmonies, and clearly supporting the $\frac{3}{4}$ metre. The continuation function is expressed through the fragmentation in 2-bar units as well as the more segmented motive derived from the b.i. of the main theme. Whereas the continuation lacks harmonic development—since Albéniz simply repeats the 2-bar pattern of the Habanera schema—the partial use of the main-theme b.i. implies certain rhythmical development through the suggestion of a hemiola, shown with the dotted lines in my analysis. The 8-bar phrase lacks cadential function since the theme does not end with a cadence, and the harmonies simply repeat cyclically the 2-bar prolongational pattern of the Habanera schema. These observations (the lack of cadential function and harmonic development in the continuation) justify my label "sentential" instead of "sentence". However, this set up easily invites further elaboration making simple adjustments, and one can imagine a very similar theme with harmonic development in the continuation or ending with a cadence, creating "genuine" sentences. In fact, this is precisely what happens in the subsequent variations on the theme. First, the phrase is repeated one octave higher, with a fuller texture and a more virtuosic display (b. 58 onwards), ending on an IAC in F major (b. 66). The development that begins after this cadence consists entirely on variations of the ST, first in F major ending in D♭ (bb. 66–74), then in D♭ (bb. 74–81). A final developmental sentence in F♯ minor or C♯ Phrygian is used to achieve the recapitulation and the

[38] On this respect see the description of the c.b.i. of "Sevilla" above.

climax of the piece (bb. 82–90). Here Albéniz introduces harmonic development in the continuation, using a falling-fifths pattern.



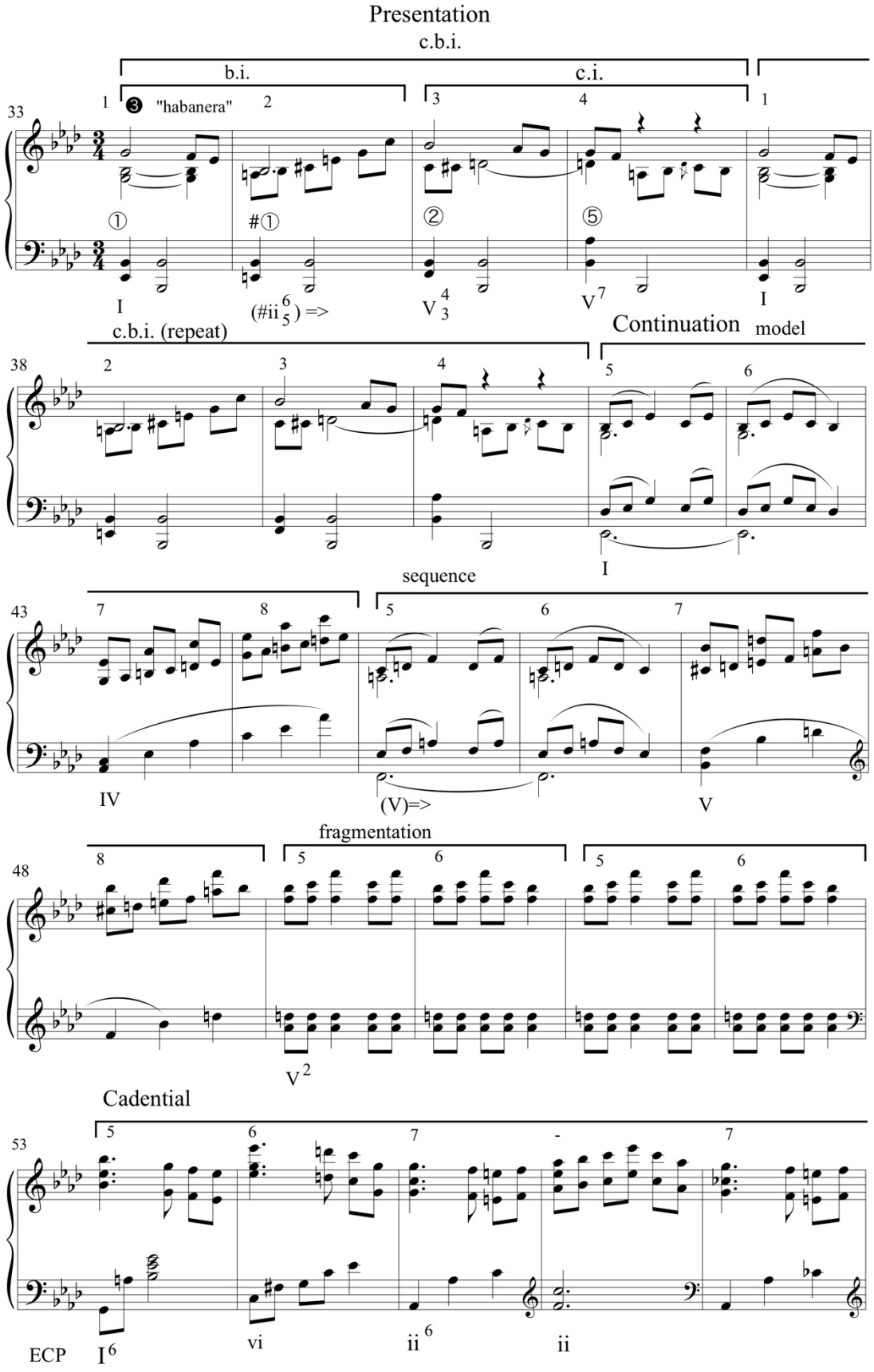

Example 3.4: “Triana”, ST

## Piano Sonata No. 3, T. 69, i

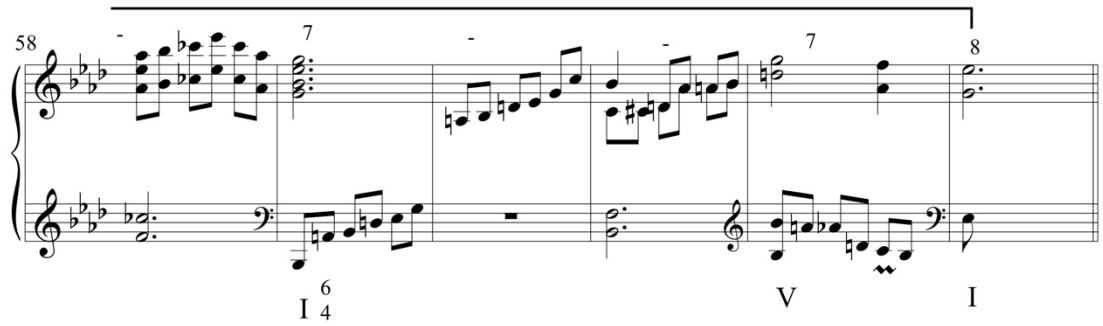
The subordinate theme of Albéniz's Piano Sonata No. 3, T. 69, i, shown in Example 3.5, presents an interesting case with respect to its placement within the expositional-developmental continuum given its relatively loose qualities on the one hand, and its diatonicism on the other. In this case, the theme begins with a more Classical c.b.i. (a two-bar b.i. is followed by a two-bar c.i.), which prolongs the tonic through the Habanera schema discussed in Chapter 2. The c.b.i. is repeated exactly in the next four bars, forming a compound presentation. The continuation begins on b. 41 with a 4-bar model that is sequenced a second up in the next four bars. The continuation function is not only expressed through the model-sequence technique, but also through the faster surface rhythm, slight harmonic development, and the less thematic design of its motives. The sequence is followed by clear fragmentation in bb. 49–52, which leads to an expanded cadential progression (e.c.p.) starting with the $\mathrm{I}^{6}$ chord of b. 53, internally expanded through repetitions, modal exchange, and the prolonged $\frac{6}{4}$ chord of b. 59. As shown through the Arabic numbers on top of the system, the phrase is expanded in several ways: through the repetition of subphrases, motives and harmonies, sequences, and, finally, using the prolonged $\frac{6}{4}$-chord. With these expansions in mind, it is not difficult to imagine a more tight-knit version of this 31-bar theme. Example 3.6 shows a 12-bar "complete basic" version of the theme.[39] Although it would be possible to reconstruct an even more basic phrase of 8 bars as suggested through the Arabic numbers in my analysis, (that means that the phrase could potentially jump from b. 4 to the e.c.p.), I decided to maintain the beginning of the continuation (making it a 12-bar phrase) because it makes more musical sense: in this way, not only all the original motives are preserved, but also the change of register (between the presentation and the cadential parts) is still done in a smooth manner. Overall, the expansion processes give this sentence a much looser quality with respect to the tight-knit sentences shown above. While this would situate the sentence lower in the expositional-developmental continuum, it would nonetheless be placed closer to the expositional side. The presentation does not modulate and expresses the tonic key through a highly prolongational progression, the Habanera schema; the

[39] The concept of "complete basic phrase" is fundamentally derived from Heinrich Christoph Koch's *Versuch einer Anleitung zur Composition* (1782–1793). For Koch, a "complete basic phrase" is "a phrase [that] may contain only as much as is absolutely necessary for it to be understood and felt as an independent section of the whole". See Koch, *Introductory Essay on Composition.* Translated and edited by Nancy Kovaleff Baker (New Haven: Yale University Press), [1782–1793] (1983). See also pp. 175–76 below.

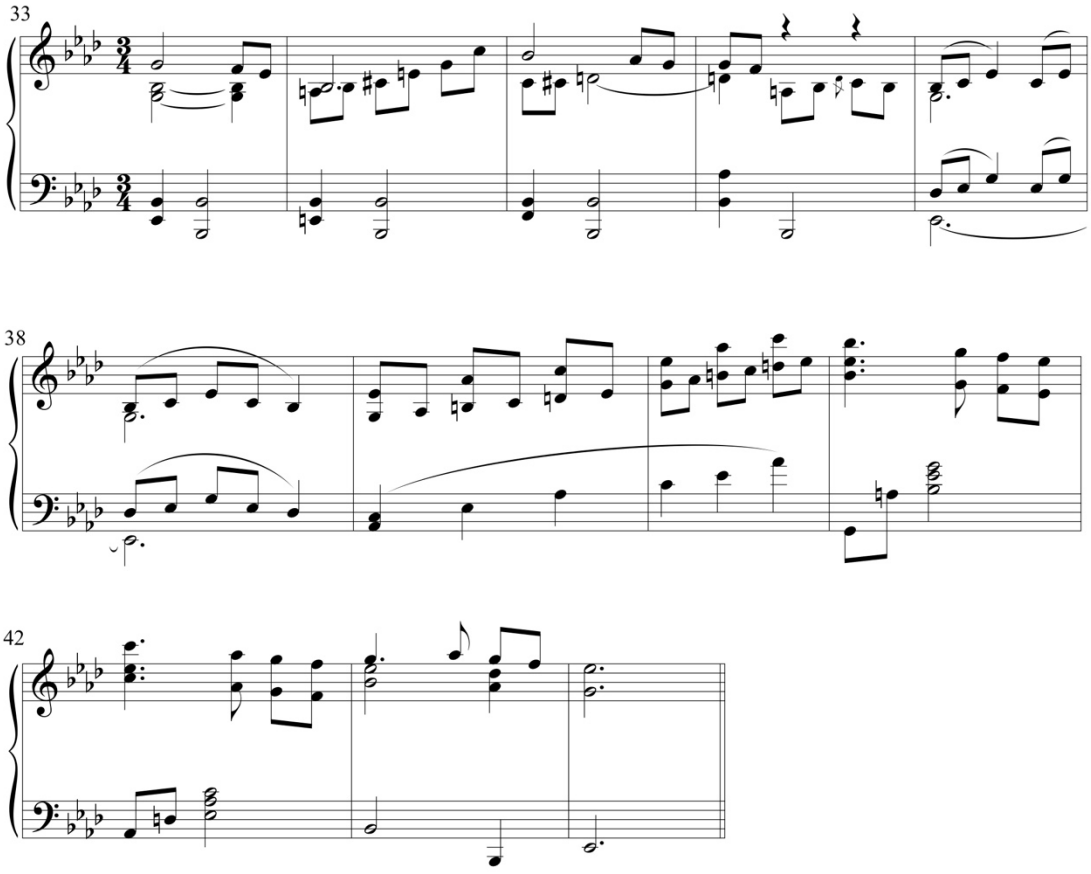
continuation is mostly diatonic despite the occasional secondary dominants and chromatic *appogiaturas*; and there is obviously a PAC on the main key that comes after an e.c.p.




Example 3.5: Piano Sonata No. 3 (T. 61), ST




Example 3.5 (continued): Piano Sonata No. 3 (T. 61), ST




Example 3.6: Hypothetical 12-bar basic phrase

Chapter 3

# The Sentence in the Development Sections of Albéniz's Compositions

## The Pre-core/Core Technique

As it might be expected from a late nineteenth-century composer, the different sections of sonata form in Albéniz's late works are not as clearly expressed as in Classical sonata-form compositions or in Albéniz's own early piano sonatas, in which expositions and development/recapitulations are clearly delimited by repeat signs, and sections and themes are normally closed through unambiguous cadences. In *Iberia*, while cadential articulation still plays an important part in formal definition, other parameters (motivic content, texture, climaxes, and other compositional processes) also fulfil a fundamental role, sometimes contradicting each other or the cadential articulation, and, hence, diffusing the sense of closure. More specifically, Albéniz typically enters his development sections smoothly, creating the impression that these emerge directly from the subordinate theme. The fact that many of the developments of *Iberia* are entirely based on subordinate-theme material also contributes to blur any possible sectional boundaries. There is almost always a continuous process from the subordinate theme to the end of the development, which is also the climax of the piece, and which typically coincides with the onset of the recapitulation. While some of the mentioned parameters (cadences, change in texture, motivic contrast, etc.) definitively help in delimiting the different sections of Albéniz's late compositions in sonata form, there is one fundamental cue, a compositional process, that makes the classically informed listener realize, although maybe *in medias res,* that the music is in the development section. This is the presence of the core, which is, according to Caplin, "the phrase-structural technique most characteristic of a [Classical] development". [40] The core consists of a model, its sequence(s), and a fragmentation process usually leading up to a half cadence in the home or development key. Of course, as the reader might have already noticed, this model strongly resembles the phrase-structural organization of a sentence with large-scale dimensions, as some authors have already pointed out.[41] The core is often preceded by the "pre-core", which is defined as a short passage with introductory qualities that leads into the core.

[40] Caplin, *Classical Form,* 141.
[41] Mark Richards, "Viennese Classicism and the Sentential Idea", *Theory & Practice* 36 (2011): 208. I will return to the relationship between the sentence and the core shortly.

For most of Albéniz's compositional career, development sections as traditionally understood in classical music were a rare phenomenon. Most of his piano pieces were laid out as large ternary forms: consisting of a main theme in the main key, a contrasting theme in a closely related tonality and contrasting in mode, followed by a recapitulation of the main theme in the main key. In other words, as Walter Clark pointed out, the structure of these pieces "is not developmental in nature".[42] As it will be described more in detail in Chapter 5, the piano sonatas of the late 1880s, however, incorporated a genuine development section. As in the Classical style, the development of the piano sonatas sometimes consisted of the "pre-core/core" technique. Likewise, in *Iberia,* Albéniz often developed his themes (mostly in development sections but sometimes also in transitions)[43] and achieved the climaxes of the pieces using the model, sequence, fragmentation technique typical of a core. In other words, when he needed to develop material, Albéniz recurred to a sentential syntax. The development sections of *Iberia* mostly consist of this technique, and Albéniz sets up a gradual process of fragmentation, which also rises in pitch, with ascending sequences, and gradually louder dynamics. As BaileyShea has put it in relationship with the sentence, "as each passage becomes shorter, the expectation for climax becomes greater".[44] In fact, Albéniz reserves the climax of the piece to the end of this process, which almost always coincides and overlaps with the beginning of the recapitulation (see Table 3.2 below). This creates an enormous amount of tension and makes his development sections very goal-directed. Table 3.2 succinctly describes the phrase structure, articulation, and the materials used in all the development sections of the individual compositions of *Iberia.*

While the use of the core, an important technique in Classical developments, constitutes a fundamental strategy to achieve these effects, the dramatic outcome of this developmental process has little to do with the self-restrained, balanced phrasing traditionally associated with Classical aesthetics. In that sense, it is interesting to compare the developmental procedures of *Iberia* with the ways of developing material in other works: in particular, those that were more conscious

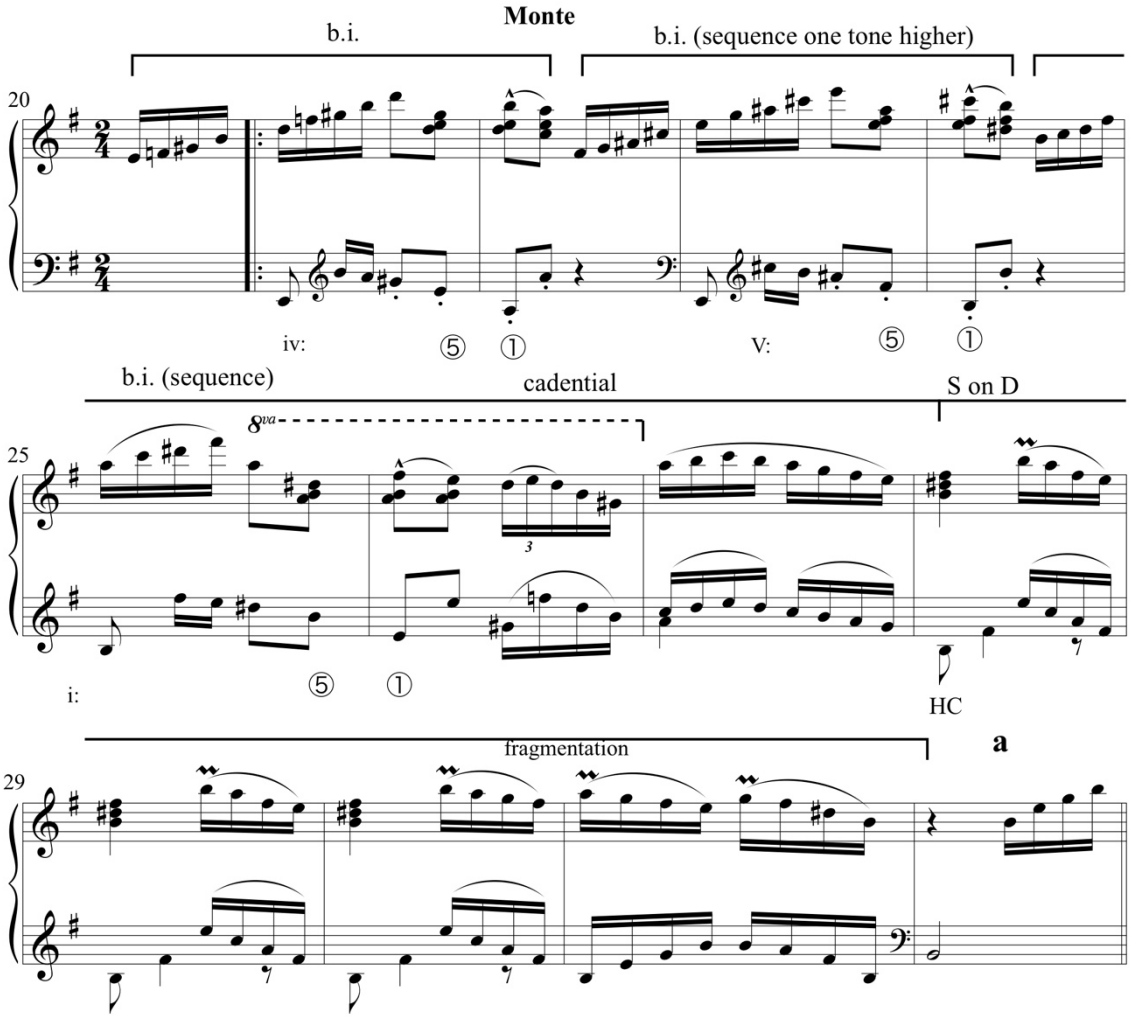
[42] Walter A. Clark, *Isaac Albéniz: Portrait of a Romantic* (New York: Oxford University Press, 1999), 4. There are, nonetheless, some exceptions. Some of these pieces lack a contrasting theme and use, instead, a small development of the main theme (i.e., the middle section either clearly derives from the first theme, modulates quickly, or manipulates fragments from the main themes). One of these exceptions has been shown in the previous chapter: "Castilla" (T. 61G), which contains a genuine development section, and which will be again discussed below. Other examples include "Cataluña", from the *Suite Española* (T. 61), or "Capricho catalán" and "Tango" from *España. Six Album Leaves* (T. 95).

[43] This is clearly the case in the transition sections of "Rondeña" (b. 73 onwards), which could be considered a compound developmental sentence, and "Eritaña" (b. 29 onwards).

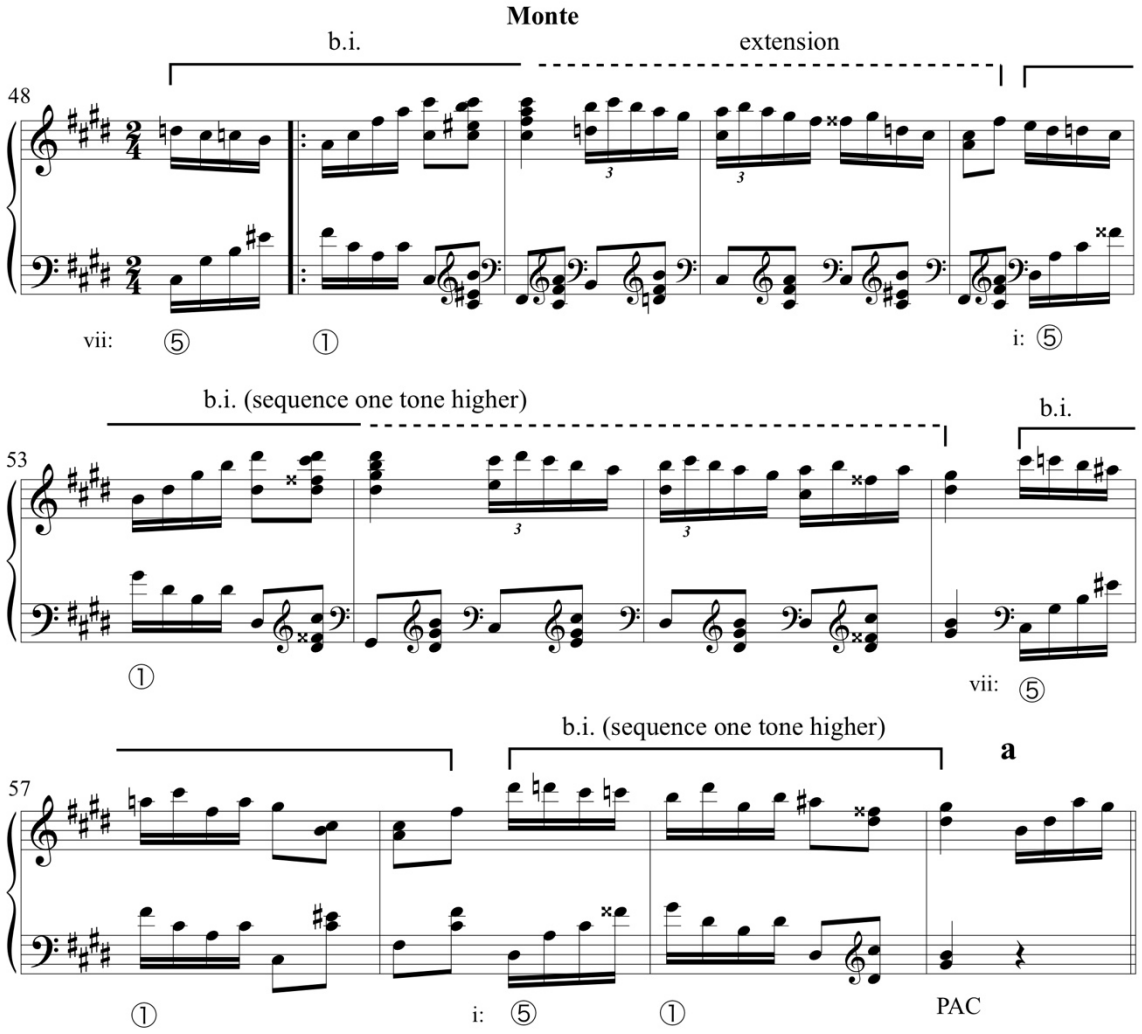
[44] BaileyShea, "The Wagnerian *Satz*", 203.

imitations of earlier styles. The "Pavana", already discussed in this chapter, offers an interesting example. In the second half of the "A" and "B" sections, and as it was common in eighteenth-century music, Albéniz employs a "Monte".[45] It is not difficult to imagine how this schema, like the Fonte, through the establishment of a model and its sequence, could easily provide initial impulse for subsequent sentential spin out, as will be described more in detail below. Yet, in the "Pavana", the Monte sequences do not lead to a genuine continuation with harmonic development, tonal instability, and a gradual fragmentation process that ultimately leads to an important climax. Instead, Albéniz quickly returns to the main key, either using a third sequence and a "standing on the dominant" (Example 3.7),[46] or simply repeating a condensed and slightly altered version of the model and its sequence (Example 3.8), with limited or no fragmentation at all. As a result, these passages are far from creating the tension and dramatic effects that can be found in the developments sections of later works. The following lines will give some individual examples of *Iberia* ("Evocación", and "El Puerto") that illustrate the use of the core technique in *Iberia*.

[45] Robert Gjerdingen, "The Monte", in *Music in the Galant Style*, (New York: Oxford University Press, 2007), 89–106.
[46] For a definition of the term "standing on the dominant" see Caplin, *Classical Form,* 257.




Example 3.7: Albéniz, “Pavana” (T. 48), bb. 21–32




Example 3.8: Albéniz, “Pavana” (T. 48), bb. 49–60

| | Articulation of the beginning | Material used | Phrase structure | Climax with recap |
|---|---|---|---|---|
| **Evocación** | AC in C♭, b. 73. Texture change (TC) | ST only | Core (b. 75) | No: new sentential gesture |
| **El Puerto**[47] | Return of MT after closing section in D♭, b. 75. TC | MT only | Pre-core (b. 75) /Core (b. 83) | Yes |
| **El Corpus** | Use of new material, b. 151 | MT and ST | Model (b. 151), Sequence (b. 167), interpolation, forephrase (b. 255), model, sequence, fragmentation | Yes |
| **Rondeña** | Elided AC in D♭, return of MT, b. 159. TC | MT and ST | Pre-core (b. 159) / Core (b. 165) | Yes |
| **Almería** | Elided AC in F, return of MT, b. 153. TC | MT only | Model-sequence (b. 153) + c.d.s (b. 177) | No: new sentential gesture |
| **Triana** | Elided IAC in F, b. 66. Minimal texture change | ST only | Variations on ST (sentence) + final developmental sentence (d.s) (b. 82) | Yes? |
| **El Albaicín**[48] | Return of MT, b. 99; or PHC, b. 165 | MT and ST | c.d.s (b. 165) x2 + S on D (b. 197) + d.s (b. 205) x2 + S on D (b. 221) | No |
| **El Polo** | AC in F♭, b.173 | ST only | Core (b. 175) | Yes |
| **Lavapiés** | PAC in Cm,[49] b. 126. TC | ST and MT | d.s (b. 126): presentation + continuation. Pedal Point (b. 141). d.s: Pres. + Cont. (b. 159) | Yes |
| **Málaga** | Return of MT2, b. | ST and MT | Core (b. 90) | Yes |
| **Jerez** | Return of TR, IAC on A♭, b. 95. TC | TR and ST | Core (b. 95): model, ed sequence (b. 112). ST inuation (b. 130) | Yes |
| **Eritaña** | PAC on D♭, b. 58 | ST only | Core (b. 58) + b.i. (x3) + frag | Yes |

Table 3.2: Development sections in *Iberia*

[47] Both "El Puerto" and "El Corpus" are not in sonata form. "El Albaicín", the other piece that has not traditionally been considered in sonata form, might be interpreted as such.

## "Evocación"

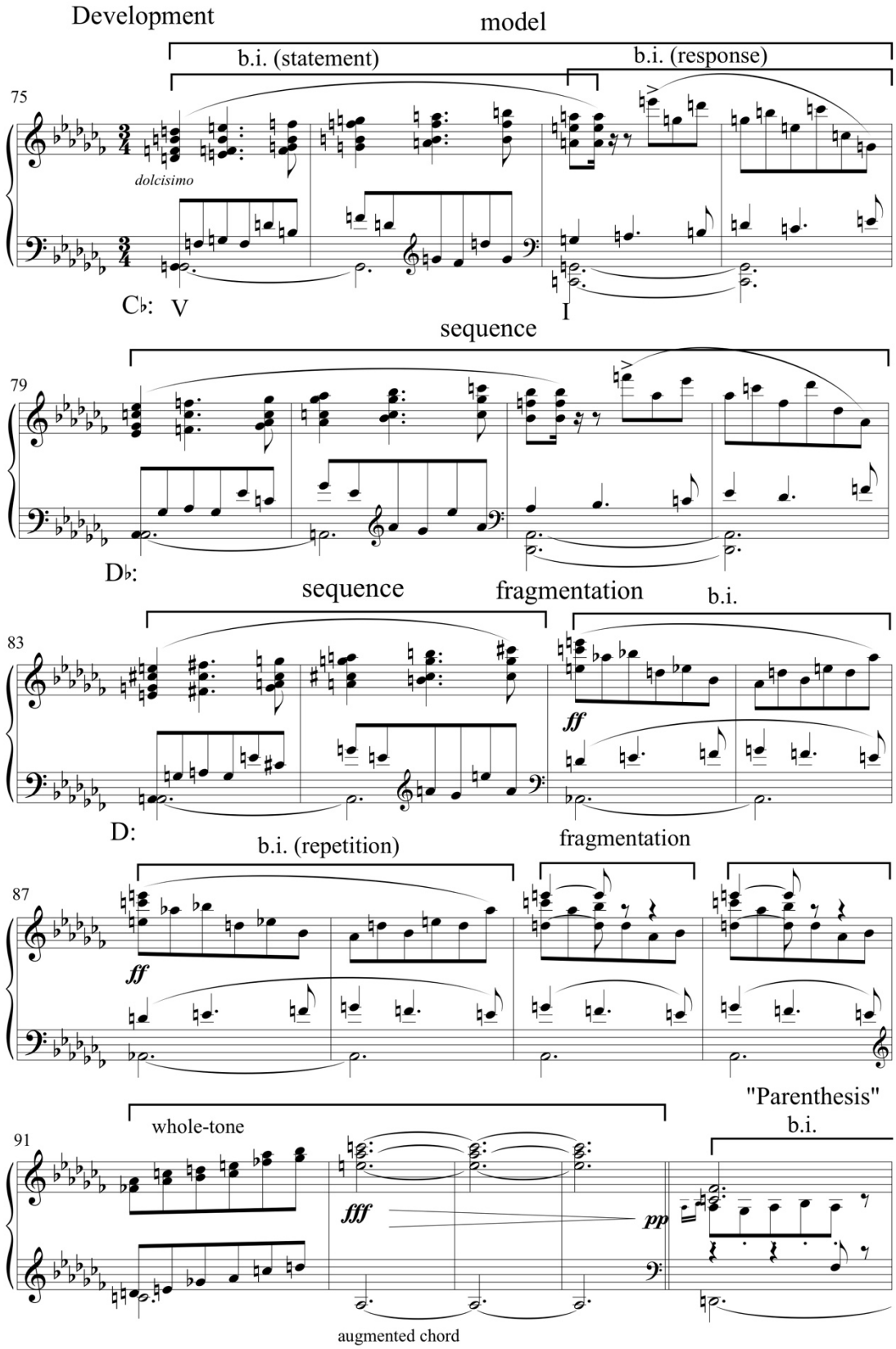
The development section of "Evocación"*,* shown here as Example 3.9, consists entirely of the model, sequence, fragmentation technique. The subordinate theme *jota-copla* closes with an authentic cadence in b. 73, yet, the continuation of the accompanimental pattern in the top voice, with the silence on the strong beat, prevents a stronger sense of closure. Likewise, the fact that the 4-bar model of the core is clearly derived from the subordinate theme also fosters continuity. The model also preserves the statement-response articulation of the subordinate theme though now compressed in 2 + 2 units instead of the 4 + 4 of the original theme. The model is then sequenced in ascending minor seconds (D♭ and D), and fragmented (b. 83 onwards), leading to a new repetition of the b.i. over an ambiguous augmented chord (b. 85), which can be retrospectively understood as a variant of a French-augmented chord. This finally leads to a purely whole-tone passage (bb. 91–94) and an augmented chord. Through what seems like a parenthetical insertion (bb. 95–102) that uses again the sentential grouping structure,[50] the chord ultimately becomes an "Iberian-augmented" (b. 102) that leads directly to the $\mathrm{i}^{6}_{4}$ -chord in A♭ minor with which the recapitulation begins.[51] In a word, there is a well-directed process of gaining energy achieved through an ascending, chromatic sequential repetition of a four-bar model derived from the subordinate theme, the rising dynamics, and an overall fragmentation process. This culminates and "dissolves" in a whole-tone climax over an augmented chord that is finally transformed into the "Iberian augmented chord" of b. 102, whose resolution to the $^{6}_{4}$ -chord elides with the recapitulation.

[48] For a complete formal diagram of the piece see Teresa Cascudo, "Perspectivas modernistas del fin de siglo", in *La música en España en el siglo xix* ed. Juan José Carreras (Madrid: Fondo de Cultura Económica, 2018), 689. One could argue, *pace* Cascudo, that the development starts with the varied repeat of the main theme in b. 99, which immediately moves away from the main tonality of F Phrygian.

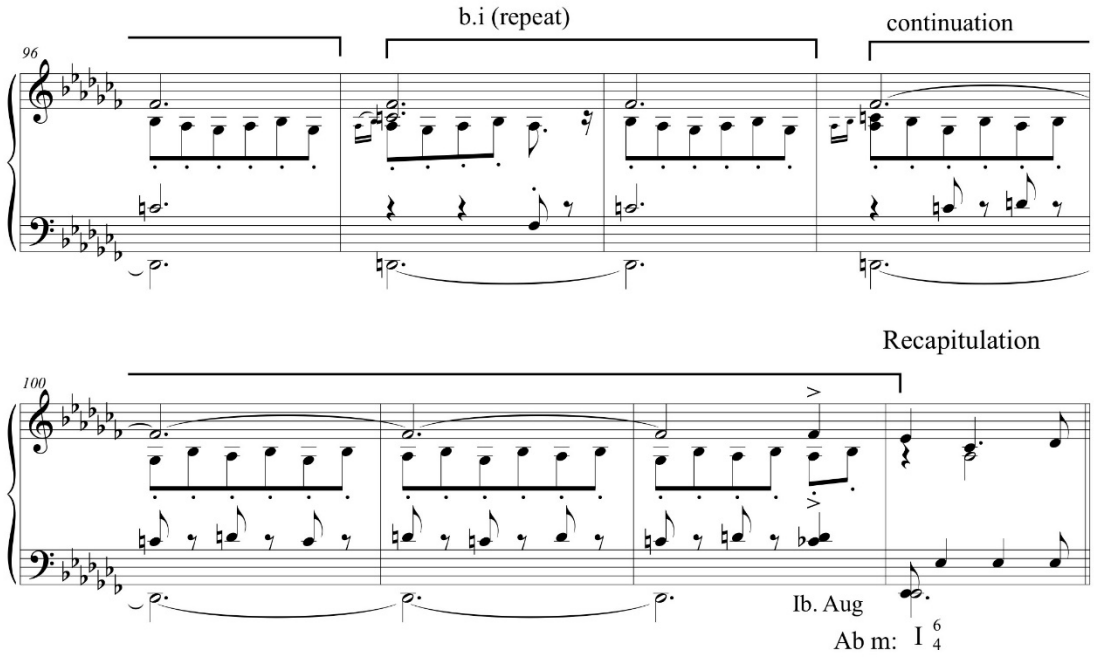
[49] With a minor dominant.

[50] The concept of musical parenthesis has been defined already by Koch. See Koch, *Introductory Essay*, 53. For a more recent definition and illustration of the concept see William Rothstein, *Phrase Rhythm in Tonal Music* (New York: Schirmer Books, 1989), 87–91.

[51] The term "Iberian chord" is taken from Mast, "Style and Structure", 158. For a definition and an example of the chord see also pp. 11-12 and Example 0.1.




Example 3.9: "Evocación", from *Iberia* (T. 105), development section (bb. 75–103)

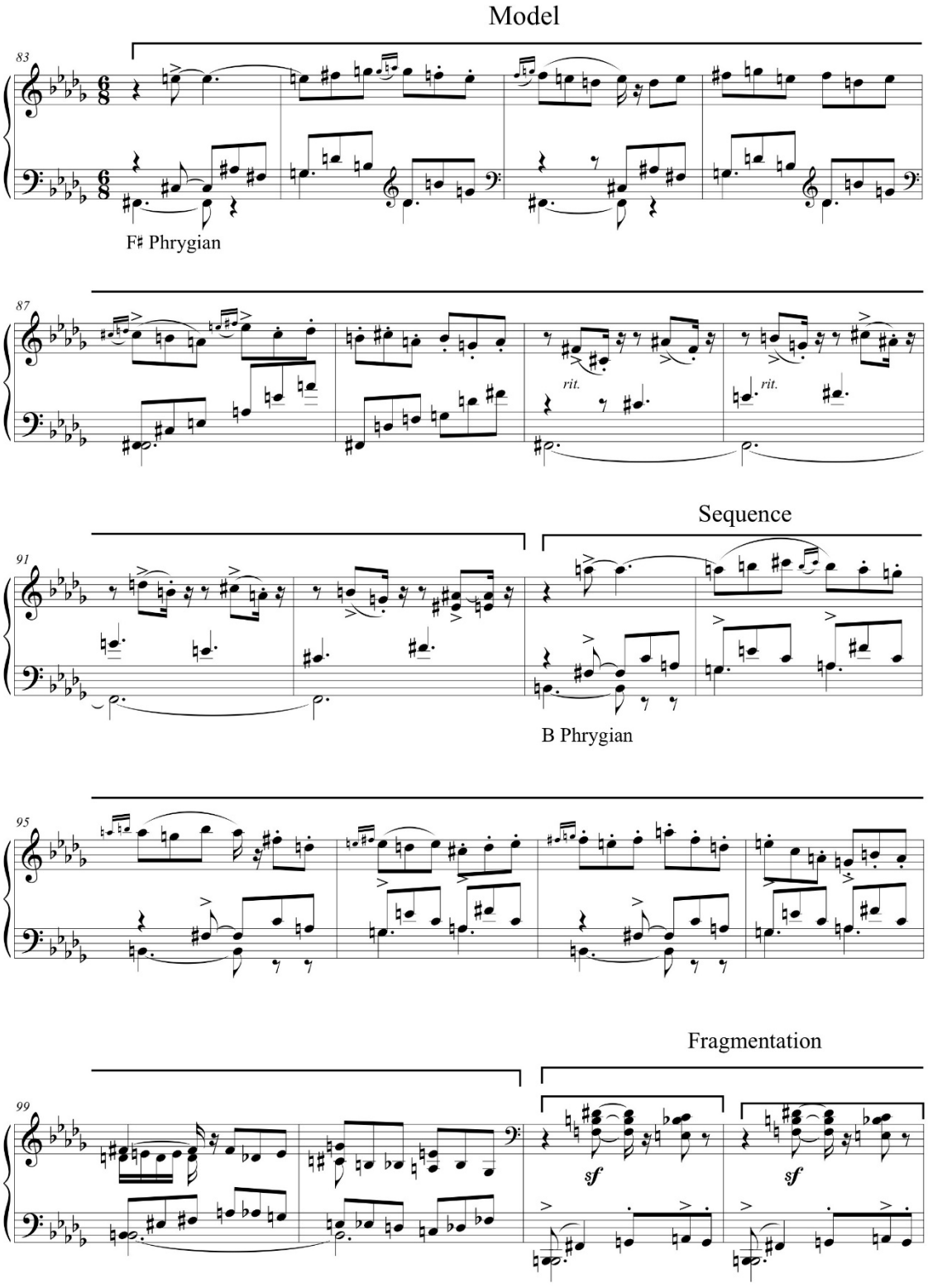



Example 3.9 (continued): "Evocación", from *Iberia* (T. 105), development section (bb. 75–103)

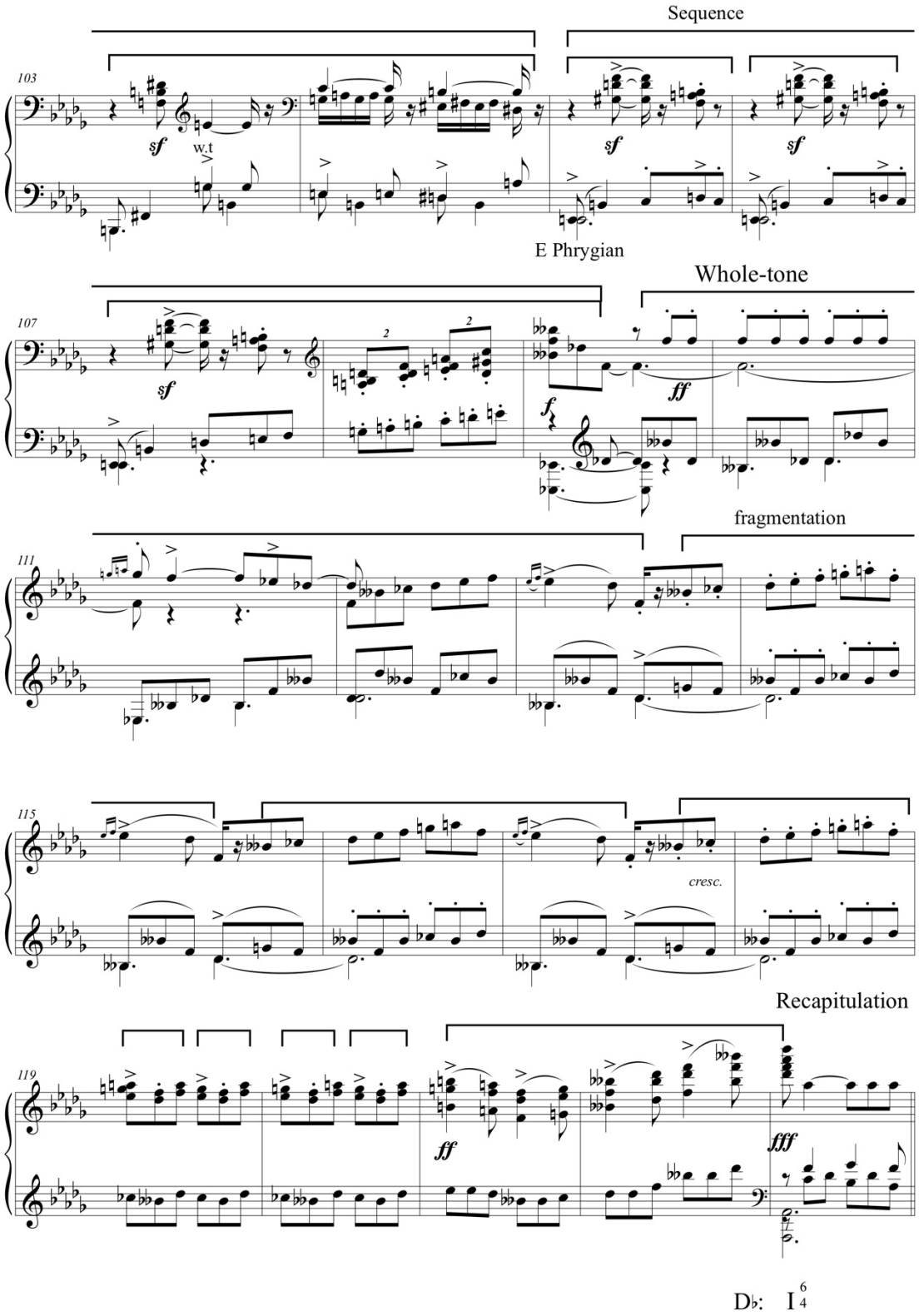
## "El Puerto"

The development section of "El Puerto", the second number of the collection, employs similar strategies (Example 3.10). Even though the piece is not in sonata form, there is a development section that begins in b. 75. Overall, the whole section is based on an underlying falling fifths pattern (D♭=C♯, F♯, B, and E). Although each key functions as the dominant of the next, they could easily be perceived as local (Phrygian) tonics.[52] The development begins with a varied repetition of the main theme in the main key in b. 75, which constitutes the pre-core (not shown). There is an overall fragmentation process from the initial 10-bar phrase in F♯ (bb. 83–93), to the 8-bar phrase in B, followed by two 4-bar phrases in B and E respectively. This process culminates first on an augmented chord in b. 109 (B♭♭-D♭-F) that underlines and initiates an extensive whole-tone passage (bb. 109–123). Here Albéniz uses a whole-tone version of the melody of the main theme, which is then fragmented until the final *fortissisimo* climax that overlaps with the recapitulation.

[52] Chapter 5 will discuss more in detail the use of the Phrygian mode in these compositions.




Example 3.10: “El Puerto”, from *Iberia* (T. 105), development section (bb. 83–123)




Example 3.10 (continued): “El Puerto”, from *Iberia* (T. 105), development section (bb. 83–123)

In general, the overall feeling of acceleration is achieved through the hyperrhythmical gesture, the sequences, and the gradual fragmentation process. The model, sequence, fragmentation technique typically leads to an augmented-sixth chord that ultimately stops the fragmentation process and that either dissolves partially the climax and sometimes launches a new sentential process, or overlaps with the beginning of the recapitulation, which resolves with a $\mathrm{V}$ or $\mathrm{I}\,{}^{6}_{4}$ chord the previous augmented-sixth chord. The overall process can be represented graphically in a very simply manner as in Figure 3.2. As I have argued elsewhere,[53] whereas in the first pieces of the collection included in books 1 and 2, Albéniz culminates this developmental process with an extended whole-tone passage that unfolds an augmented chord, in the last numbers of *Iberia* Albéniz used the "omnibus" progression to prolong the augmented chord that precedes the recapitulation.

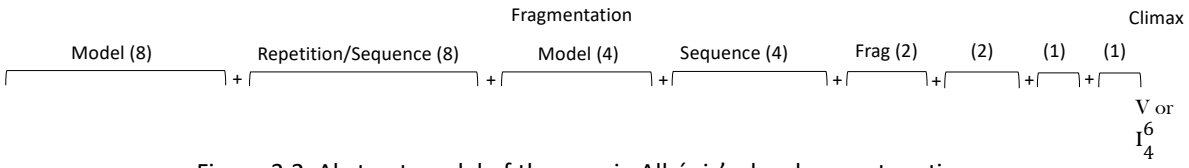



Figure 3.2: Abstract model of the core in Albéniz's development sections

At the same time, the models or the constituent elements of the core are themselves frequently structured as sentences. Moreover, the breaking up of the model into smaller units could eventually lead to a more typically sentential-size group. If the constituent parts of the model presented in Figure 3.2 are grouped in a certain orderly manner creating a relatively tight-knit group following the sentence's sequence of formal functions (presentation, continuation, cadential/closure), and when this group is clearly delimited for several reasons (begins or ends with a cadence, there is a clear motivic contrast, or a radical textural change), one might be tempted to regard this phrase as a new section within the development section, and, more precisely, as a developmental sentence. Likewise, when it has the "adequate" size, the core itself might be considered as a large-scale sentence. Mark Richards has in fact argued that "the development core is nevertheless either a closed or semi-closed sentence".[54] There are cases in Albéniz's music and in general where development sections could be better interpreted as large-scale sentences, or where individual

[53] See Alberto Martín Entrialgo, "Albéniz, Malats, *Iberia* and the ultimate *españolismo*", *Diagonal: An Ibero-American Music Review* 5, no. 1 (2020): 1–21. As pointed out in this article, the whole-tone scale has very clear structural and functional implications in this repertoire, typically indicating an important point of articulation in the form.

[54] Richards, "Viennese Classicism", 208.

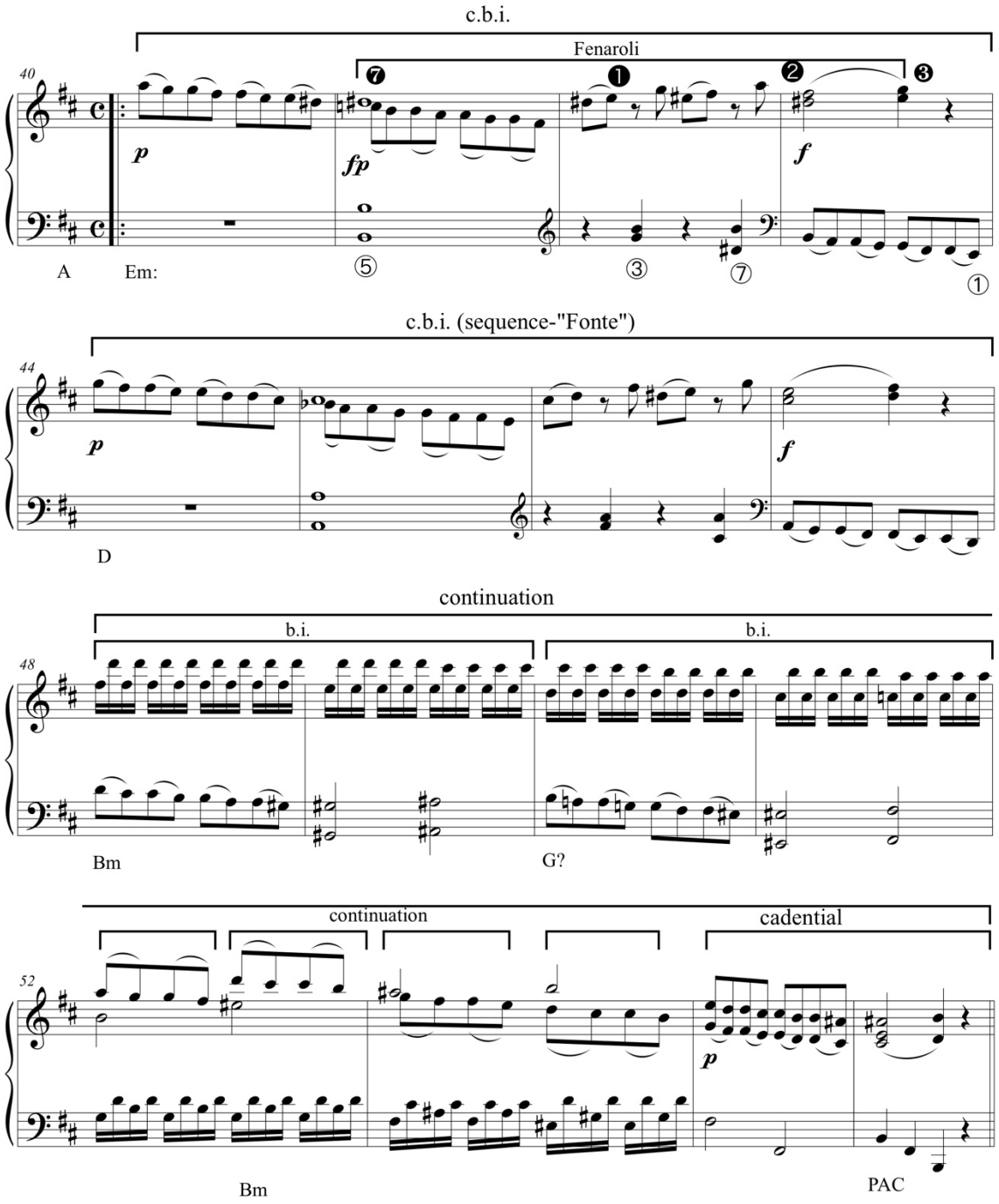
sections of the development could be understood as sentences. These sentences would logically tend to exhibit the characteristics associated with developmental formal function as described above. While it might be tentative to simply subsume these under the core model, it is possible to be more accurate and use the precision achieved with Caplin's sentence model while accounting for more specific historical origins of this more specific formal type, as well as particular tonal and harmonic processes linked to the respective formal functions, uncovering "buried layers of historical meaning" in the developmental sentences, as Karl Braunschweig put it.[55] The following lines will try to do so through the individual analysis of the development section of Mozart's K. 311, shown here as Example 3.11, creating a specific sentential paradigm, the "compound developmental sentence", that has greater explanatory force and more precision to explain certain development sections than the pre-core/core model.

## The Compound Developmental Sentence

In the closing section of the exposition of K. 311, Mozart introduces a new motive (b. 38, not shown) that will form the basis of the beginning of the development section, and which will be developed into the sixteenth-bar sentence shown in Example 3.11. An initial four-bar c.b.i. (itself structured as a b.i., bb. 40–41, and c.i., bb. 42–43) is sequenced one tone lower, forming what Robert Gjerdingen (after the eighteenth-century theorist Joseph Riepel) called a "Fonte":[56] a two-bar model in minor sequenced one tone lower in major, and which is frequently harmonised with (V7)→ii (model in minor), V7→I (sequence in major),[57] and typically appears "immediately after a clear caesura", or, "in an expanded minuet, the schema may function in a location directly after the double bar or just before the phrase of thematic return".[58] Such location within the form is a consequence of the tonal features of the schema, since "the Fonte served to digress from, and then return to, a main key".[59] This makes it especially suitable for formal sections that demand either initial digression of a tonal centre or ultimate return to the main key. The Fonte provides the necessary tonal contrast without moving too far away from the principal key. In this case, the schema serves to begin the

[55] Karl Braunschweig, "Expanding the Sentence", *Music Theory and Analysis* 2 (2015): 156–93.
[56] David Jayasuriya has asserted with some caution that the terms *Fonte, Monte* and *Ponte* were likely Riepel's inventions. David Jayasuriya*,* "Fonte and Monte in the Symphonies of Joseph Haydn"*,* (PhD diss., University of Southampton, 2016), 38.
[57] See Robert Gjerdingen, *Music in the Galant Style* (New York: Oxford University Press, 2007), 61–71.
[58] Jayasuriya*,* "Fonte and Monte in the Symphonies of Joseph Haydn"*,* 64.
[59] Gjerdingen, *Music in the Galant Style*, 456.

development section of this sonata. Hence, although *a priori* the Fonte seems to destabilize the key after the cadence in A major at the end of the exposition, the pattern leads us right back to the main key of D major.




Example 3.11: Mozart, Piano Sonata in D K. 311, i, beginning of the development section, bb. 40–55

According to Joseph Riepel, writing between 1752 and 1768, it was particularly common to begin the second half of a Minuet with a Fonte sequence, and sometimes with a Monte. Unlike many of the other Galant schemata discussed by Gjerdingen, these two terms, together with the Ponte, were originally labelled (and thus recognized as standard, default compositional options) by Riepel, who begs his student to "keep this threefold example in mind as long as you live and stay healthy"![60] But the schema continued to be very common throughout the rest of the eighteenth century and even still persists as a viable compositional option in the late nineteenth century.[61] At the same time, Riepel also argued that "large works in the Galant style—movements from sonatas, symphonies, concertos—were nothing more than expanded minuets".[62] Indeed, many composers recognized the pedagogical value of writing minuets as a first compositional exercise before the student could handle larger forms, as, for instance, Thomas Attwood's lessons with Mozart between 1785-1787, or Schönberg's compositional courses in California in the 1930's bear testimony.[63] Thus, it does not seem difficult to imagine how the Fonte could have been transferred from the second half of the minuet, to the second half of a first or a last movement in "sonata form". In fact, in Mozart's piano sonatas, almost all of them in three movements and without minuets, the Fonte appears in this location in the last movements of K. 280 in F Major, and K. 282 in E♭ Major, besides in the first movement of K. 311 in D Major. In all three cases, the pieces are in sonata form, and the second half corresponds to the beginning of the development section.[64]

As for the presence of the Monte after the first repeat sign, Gjerdingen quotes an example of a three-part Monte from Clementi's Op. 4, No 2. As the reader might remember, Albéniz also employed the Monte at the beginning of the second reprises of the large sections of his "Pavana" (T. 48). In fact, the sequence one tone higher remain a fundamental compositional strategy to increase the tension in the development sections of *Iberia*. But whether a Monte or a Fonte, the use of a sequence at the beginning of development sections became a common compositional strategy in the late eighteenth century. So was the sequence of an initial thematic statement at the

[60] Joseph Riepel. As quoted and translated in Gjerdingen, *Music in the Galant Style*, 61.
[61] For instance, the second half of the Minuet of Brahms Cello Sonata Op. 38, and the second half of the Scherzo of Schumann's Symphony No. 2 Op. 61 employ Fonte sequences.
[62] As quoted in Gjerdingen, *Music in the Galant Style*, 73.
[63] On Mozart and Attwood see Daniel Heartz, "Thomas Attwood's Lessons in Composition with Mozart", *Proceedings of the Royal Musical Association*, Vol. 100 (1973-1974): 175-183. On Schönberg see Arnold Schönberg, *Models for Beginners in Composition. Music Examples* (New York: G. Schirmer, 1943).
[64] The Fonte also appears in the second half of the second couplet of the Sonata-Rondo finale of K. 310.

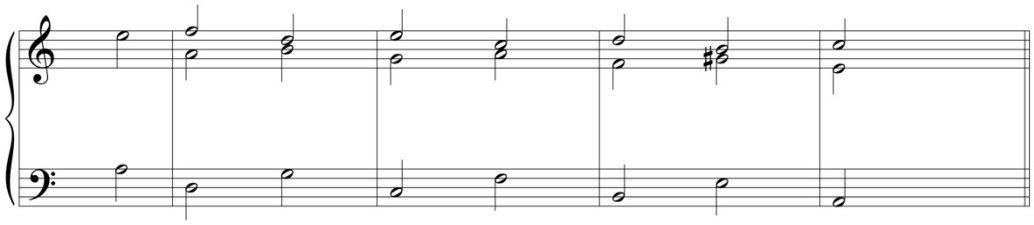
fifth (as in Mozart K. 309, i), which in the late eighteenth century probably replaced the "old-fashion"[65] initial repetition of the main theme in the dominant key. The point here is that the mere repetition of the thematic material suggests already a presentation of a sentence. In other words, the sequential treatment of thematic material typical of development sections gives an initial impulse for subsequent sentential spin out. The model phrase typically features prolongational harmonies, as shown in the Fonte-Fenaroli schemata of Example 3.11, which replicate Caplin's presentation model. Since these sequences (Fonte, Monte) are highly predictable—in fact the Fonte leads to an early return of the main key—subsequent bars would need to produce the necessary tonal instability characteristic of development sections. Moreover, the setting up of a model for subsequent sequential replication constitutes a single musical gesture that lends itself particularly well for a later breakup of its constitutive elements, providing an overall hyper-rhythmical acceleration process that proves to be highly efficient to achieve climatic effects. In a word, a sentential design would be a logical outcome of the presence of a Fonte or Monte at the beginning of the development section.

Turning back to Example 3.11, after the initial statement (bb. 40–43) and its sequential repetition (bb. 44–47), the c.b.i. gets fragmented and reduced to its b.i. (bb. 48–49), followed by a sequential repetition a third lower (bb. 50–51) and a further fragmentation process (b. 51) that leads to the final cadence (bb. 54–55) in B minor. Thus, the continuation of this overall sixteen-bar sentence is itself structured as a sentence, an example of what Alfred Lorenz called "potentiation". Potentiation occurs when the parts of a form are arranged themselves as that very same formal type.[66] In addition to the typical features of a continuation function (faster surface rhythm, motivic fragmentation, sequential activity), there is extreme tonal instability, giving the impression that Mozart could modulate to any key. He also combines the sequence of the b.i. a major third down with a 7-6 suspension pattern in the top voices. This contrapuntal pattern is often accompanied by an ascending second-descending third bass line (a pattern that can still be heard here as a simpler

[65] As described in late eighteenth-century compositional treatises. For instance, Francesco Galeazzi points out that this practice is in "disuse". Francesco Galeazzi, *Elementi teorico-pratici di música*, Part IV Vol.II (1796). Partial English translation available in Bathia Churgin "Francesco Galeazzi's description of Sonata Form", *Journal of the American Musicological Society* 21, no. 2 (1968): 195. Heinrich Christoph Koch, on the other hand, says that "modern symphonies do not always start this second period in the key of the fifth; often it begins in an entirely unexpected key". Koch, *Introductory Essay on Composition.* Translated and edited by Nancy Kovaleff Baker (New Haven: Yale University Press), [1782–1793] (1983), 201.

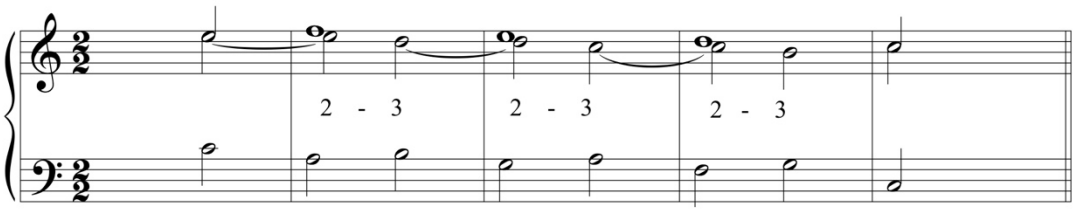
[66] Alfred Lorenz, *Das Geheimnis Der Form Bei Richard Wagner* (Berlin: M. Hesse, 1924), 1: 176. As translated in Stephen McClatchie, *Analysing Wagner's Operas: Alfred Lorenz and German Nationalist Ideology* (Rochester N.Y.: University of Rochester Press, 1998), 137.

framework combined with the sequence). The ascending second/descending third bass in combination with the 7-6 (or 2-3) suspensions—which could be, overall, also understood as a falling fifth pattern from a fundamental bass perspective—is a highly malleable formula, and, thus, it is often used to modulate. Indeed, many continuation sections of these eighteenth-century sentences employ this and similar falling fifths patterns to destabilize the key. One can easily read these as a reminiscence of the imitative, *Fortspinnung* proper section of the *Fortspinnungtypus.* Although several theorists already linked William Fischer's *Fortspinnungstypus* with the sentence,[67] Braunschweig even sees the sentence specifically as a trope of the *Fortspinnung.* As pointed out by Braunschweig, all of Wilhelm Fischer's *Fortspinnung* examples modulate, and, in the majority of the cases, using a falling fifth sequence that in the Baroque served as the harmonic framework for a cannon at the fifth, shown in the upper voices of this example by Fischer (reproduced here as Example 3.12).[68] If Fischer envisioned the musical style of the eighteenth century as tending towards progressive "monodization",[69] one can also argue that the hidden polyphony of Fischer's upper voice constitutes itself a monodization of the 2-3 (or 7-6) contrapuntal pattern present in many continuations of the compound developmental sentence, which is often accompanied by an ascending second/descending third bass line as shown here in Example 3.13, and whose origins probably lie in the Northern-Italian instrumental music of the seventeenth-century, being Corelli its most famous representative.



Example 3.12: Canon at the fifth in the upper voices of a falling fifth pattern in Fischer's "Zur Entwicklungsgeschichte des Wiener klassischen Stils"

[67] Wilhelm Fischer, „Zur Entwicklungsgeschichte des Wiener klassischen Stils" *Studien zur Musikwissenschaft* 3 (1915): 24–84. For the relationship between *Fortspinnung* and sentence see Erwin Ratz, *Einführung in die musikalische Formenlehre*, (Vienna: Universal Edition, 1973), 25. William Caplin, „Funktionale Komponenten im achttaktigen Satz", *Musiktheorie* 1 (1986): 239–60; Wayne Petty, "Koch, Schenker, and the Development Section of Sonata Forms by C. P. E. Bach", *Music Theory Spectrum* 21, no. 2 (1999): 151–73; BaileyShea, "The Wagnerian *Satz*", 19.
[68] Fischer, „Zur Entwicklungsgeschichte", 34.
[69] Ibid., 46.




Example 3.13: 2-3 contrapuntal pattern with ascending second descending third bass

In Example 3.11, the harmonic-contrapuntal pattern and the sequential design of the b.i. create a highly unstable tonal context that becomes completely unpredictable. This situation slightly contrasts with that found in the continuation section of an ideal theme-type, eight-bar sentence. Whereas in such four-bar continuations there is certain destabilization of the main key, this has a relatively modest scope, is embedded within a highly diatonic context, and the composer ultimately returns to the initial key. In the eight-bar continuation shown in Example 3.11, on the contrary, there is almost absolute tonal unpredictability until B minor is finally established with the cadence (b. 55). Of course, from the point of view of eighteenth-century tonal strategies it would be extremely common for B minor, the submediant, to be the goal of the development section. Yet, from the point of view of the local tonal context, the key is difficult to predict at this point.

The "compound developmental sentence" shown in Example 3.11 could be presented as a theoretical model, shown here in Figure 3.3. This sentence is divided in two equal parts of 8 bars each: the presentation, and the continuation/closure. The presentation typically uses more predictable sequences (Fonte, Monte, etc.) that project relative tonal stability, featuring local tonic prolongations, even if the presentation ultimately modulates. This modulation is often achieved through a short, 2-bar or less, "linking passage" that connects the model with its sequence. The continuation, on the other hand, introduces complete unpredictability and creates absolute tonal instability. The composer could here modulate to any key. In the continuation section of Classical compound developmental sentences, it was quite common to use the falling fifth sequence (or, more specifically, the ascending second-descending third bass pattern and the 7-6 or 2-3 suspensions) to create tonal instability. As we have seen, these patterns could also be seen as a reminiscence of the Baroque *Fortspinnungtypus*. Finally, Caplin's cadential part is substituted here for "closure", as I admit the possibility of ending this sentence without a genuine cadence.

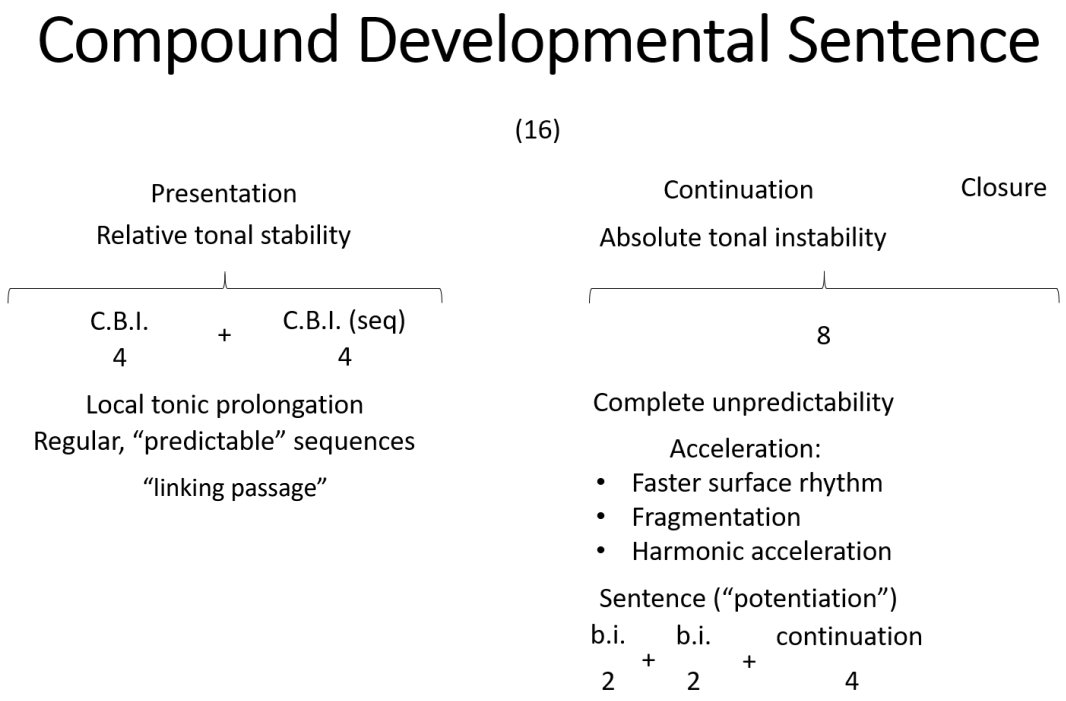



Figure 3.3: Compound developmental sentence

This ultimately represents an abstract model whose features are realized through different compositional strategies depending on historical and stylistic constrains. In that sense, it would be difficult to imagine a presentation subphrase in nineteenth-century music that unfolds a c.b.i. using complementary, or statement-response repetition, as happens sometimes in Classical developmental sentences (as in Haydn's Op. 33, No. 1, iv, bb. 90–97). Likewise, a falling-fifth pattern, a default compositional strategy used to destabilize the key in the eighteenth century, became a less viable option in the nineteenth century, and Albéniz and other nineteenth-century composers needed to substitute it for more up to date compositional techniques to fulfil the same end through different means. In other words, and following Leonard Meyer, these composers would realize the same "rules" (understood here as the basic prerequisites of the compound developmental sentence) through different "strategies".[70] Likewise, whereas Classical developmental sentences would tend to end with half or authentic cadences, sometimes articulated clearly through a strong cadential idea, the final collapse of the sentence after the well-

[70] Meyer, *Style and Music*, 17–23.

defined hyper-rhythmical gesture would serve to provide enough closure in a nineteenth-century context.

Finally, there are a number of reasons why I think that there should be a differentiation between the core and the (compound) developmental sentence.

1) The thematic design of the c.b.i. of the compound developmental sentence. While it might be hard to pin down what precisely constitutes the "thematic" qualities of a motive, two key characteristics come to mind: salience and memorability. Caplin's core, on the contrary, is often based on ideas that completely lack these characteristics, and are rather associated with transitional material: fast surface rhythm, rhapsodic character, instrumental-like qualities, etc. A few examples from the literature will illustrate this point. Compare, for instance, the core's model of the first movement of Mozart's String Quartet in G Major, K. 387, quoted as Example 10.5 in Caplin's *Classical Form*,[71] and the core model of the first movement of Mozart's Piano Sonata in A Minor, K. 310/300d (Example 10.3),[72] with the c.b.i. of Mozart's K. 311 quoted above.

2) The type of repetition of the (c.)b.i. The way the (c.)b.i. and its repetition are articulated (sometimes even through statement-response relationship as in Haydn's Op. 33, No. 1, iv, bb. 90–97) is much clearer in the compound developmental sentence than how the model and its repetition are presented in a core. In particular, the tonal stability that a statement-response relationship of the (c.)b.i. projects seems to be at odds with the tonal instability and loose qualities more typical of development sections.

3) The core admits multiple sequences of the model that distort the overall short-short-long proportions of the sentence. Caplin's Example 10.4,[73] taken from Haydn's Piano Sonata in E-flat, Hob. XVI:49, i, illustrates well points 2 and 3. Not only the repetition of the b.i. differs greatly from how a b.i. and its repetition are articulated normally in a theme-type sentence, but also the model is sequenced twice.

4) The (compound) developmental sentence represents a single process and a single gesture that can be embedded within a larger development section or in a pre-core/core. For instance, in the

[71] Caplin, *Classical Form*, 145.
[72] Ibid., 143.
[73] Ibid., 144.

cases of Beethoven Op. 2, No. 1, i, and Mozart's String Quintet in E-flat, K. 614, i,[74] the sentences form the model of a core.

5) The compound developmental sentence maintains clearly the sequence of formal functions of the theme-type sentence: presentation, continuation, and sometimes even cadential, projected through some of the characteristic harmonic progressions of each of these sections. In that sense, there is certain tonal stability in the c.b.i. and its repetition, achieved through the use of predictable sequences and local tonic prolongation. At the same time, the continuation also servers to destabilize the key, though in a much more extreme manner than in the equivalent theme-type continuation.

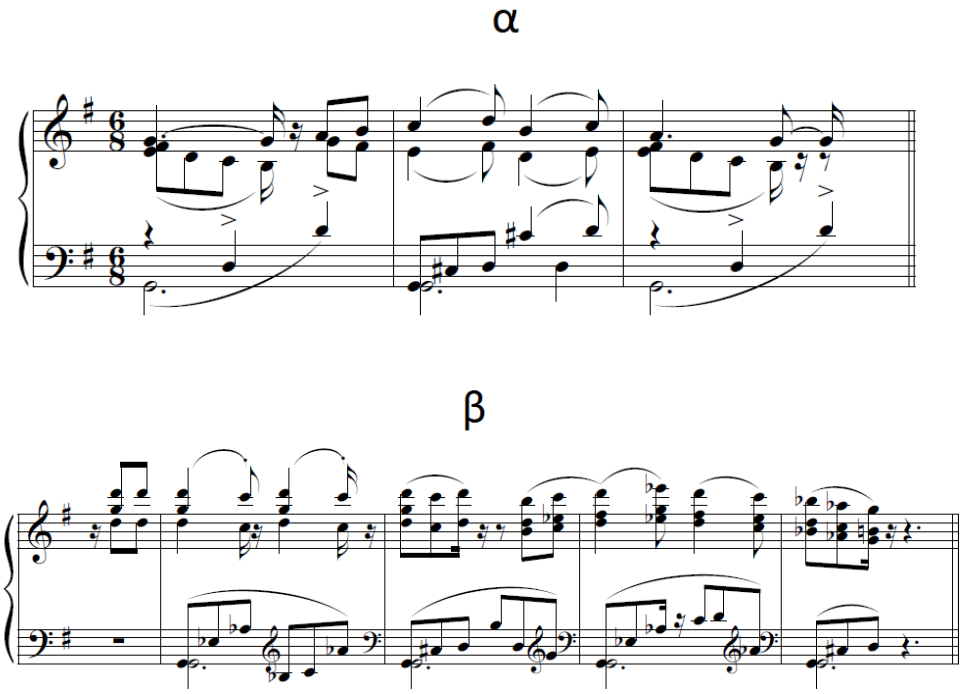
6) The pre-core/core model is ultimately a grouping pattern that does not refer to concrete tonal or harmonic processes. The c.d.s., on the other hand, is linked with specific harmonic and tonal progressions and other historical conventions.

In general, the core of the pre-core/core model is more versatile and admits greater flexibility than the compound developmental sentence. The former can still account for situations where the sentential impulse is less clear, where there are multiple sequences, or where an entire core is sequenced. Yet, the compound developmental sentence opens up more possibilities, and it preserves the heuristic value of the sentence and the precision of the terminology developed by Caplin. Of course, there may be ambiguous situations in which passages could be both interpreted as either c.d.s. or core. The c.d.s. is ultimately a more precise idea that represents a middle ground between the theme-type 8-bar sentence and the core.

[74] Ibid., 149 and 146.

# The Compound Developmental Sentence in Albéniz's Works

## Almería




Example 3.14: "Almería", from *Iberia* (T. 105), main motives of the MT section

The last section of this chapter will be devoted to discuss examples of the c.d.s. in "Almería", from *Iberia,* and "Castilla". "Almería", from the third book of *Iberia,* is in sonata form and the main theme is almost completely based on these two contrasting motives (α and β shown in Example 3.14). The development proper begins with a large scale 12-bar model in F Phrygian based on the α motive of the MT (bb. 153 onwards), and which is itself structured as a sentence (b.i., repetition, and continuation). The 12-bar model is then sequenced a fourth higher in B♭. The section continues and culminates with the passage represented in Example 3.15 (bb. 177–193), shown as a reduction of the original, and which constitutes an example a compound developmental sentence (see also Table 3.2 above). The developmental sentence constitutes a new section within the development that is delimited by the textural break, the use of the β motive (instead of the α used in the previous section), and the cadential gesture that precedes it. At the same time, the sentence ultimately breaks the tonal pattern in ascending fourths initiated at the beginning of the development, using, instead, an ascending stepwise progression. The sentence is structured as a 4-bar c.b.i. (bb. 177–180) that is sequentially repeated one tone higher, as in a Monte sequence. The repetition is followed by a continuation that is itself structured as a sentence: a 2-bar b.i. followed by an exact

repetition, and a continuation with further motivic fragmentation over the dominant pedal point. As in the c.d.s of Mozart's Piano Sonata K. 311 shown in Example 3.11 above, this constitutes an example of what Lorenz called "potentiation". Speaking about Wagner's music, Lorenz believed that "the peak of organic beauty" is achieved with the potentiated bar form, which is "better suited for the dramatic momentum than any other [form]".[75] While the sentence and the bar form might be understood as different formal types, both William Rothstein and BaileyShea have linked them due to the basic 1:1:2 proportions and similar motivic design (*aab*) behind both patterns.[76] But whether a sentence or a bar form, potentiation contributes to emphasize the characteristic forward striving gesture of the sentence and, indeed, Albéniz used it to convey development and create important climaxes and dramatic effects within his overall sentential developments.

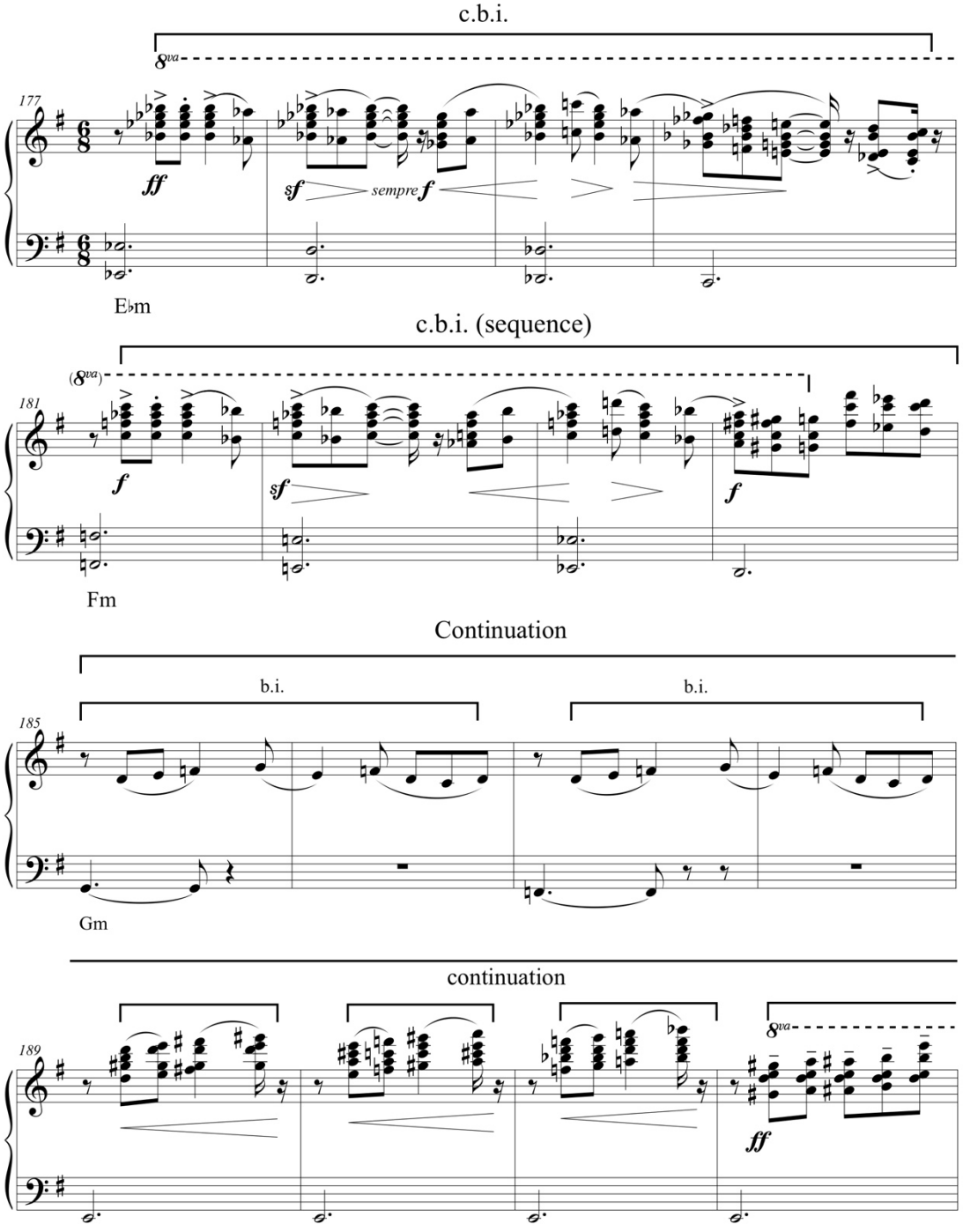
The sentence ends with a C♯ diminished chord (b. 193) that not only ends the sentential process, but also constitutes the climax of the whole piece. The absence of a cadential progression and the dissonant ending of the sentence do not undermine the effect of resolution of the sentential gesture that the arrival of the C♯ diminished chord entails, since the entire passage is driven by the essential hype-rhythmical gesture of the sentence and its culmination delimits the entire phrase. In other words, the consonant/dissonant nature of the last chord and/or the type/absence of a cadence at the end do not affect our perception of the passage as a well-defined formal unit since the hyper-rhythmical gesture of the sentence is finished. As BaileyShea has put it:

> Sentences can be resolved with nothing more than a liquidation leading to a point of repose […]. But the goal of a sentence can also be described in terms of a certain self-destructive tendency. From that point of view, sentences can achieve closure with almost any gesture of liquidation, even if the gesture does not lead to a traditional cadence.[77]

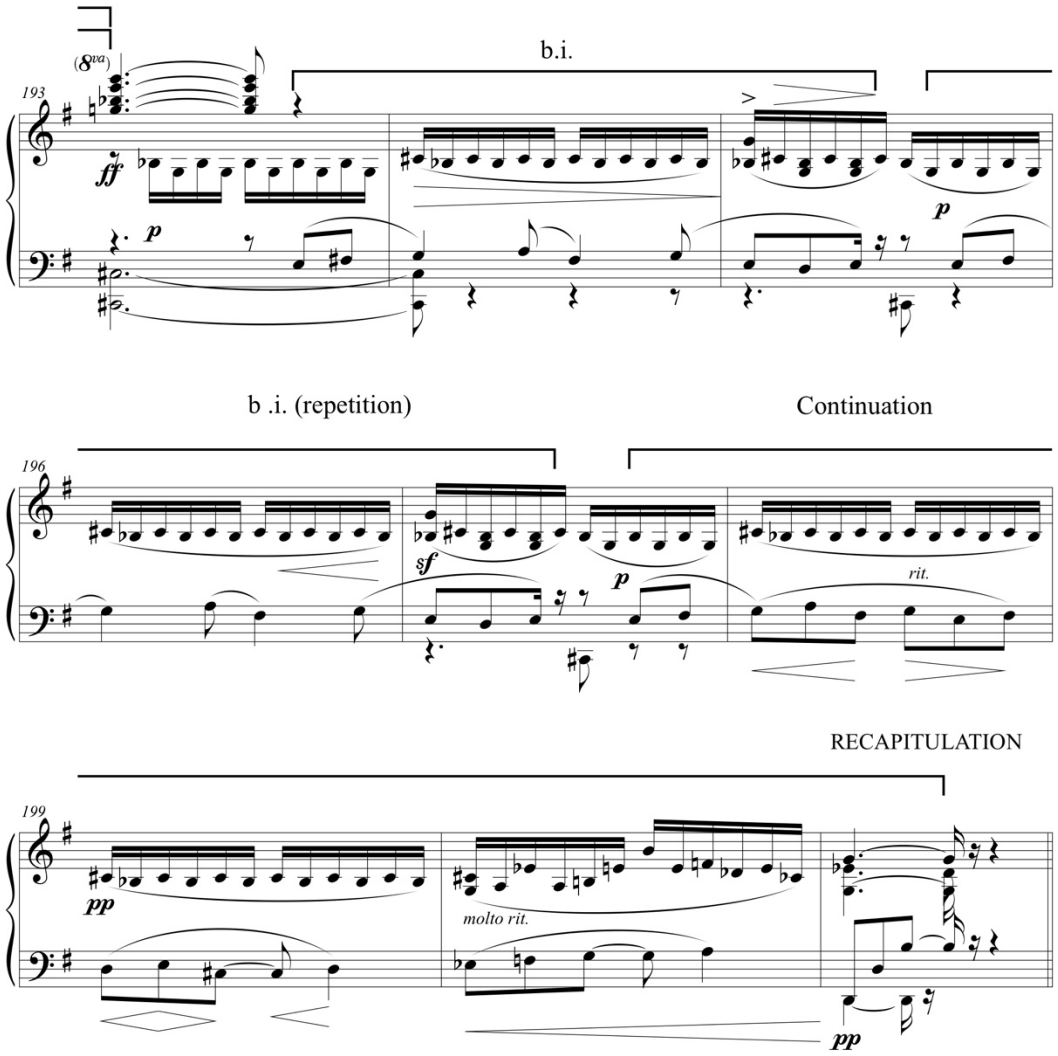
This compound developmental sentence would logically score very low in the expositional-developmental continuum presented above: with its modulating presentation, ascending sequential repetition of the c.b.i., chromatic continuation, and its closure without a cadence. After the climax, the development section ends with a new sentential group (bb. 194–201) that rounds

[75] Lorenz, *Das Geheimnis,* 1: 145. As quoted in McClatchie, *Analysing Wagner's Operas*, 130–31.
[76] Rothstein, *Phrase Rhythm*, 288. BaileyShea, "The Wagnerian *Satz*", 83–91, and 189–209.
[77] BaileyShea, "The Wagnerian *Satz*", 206.

off the process and that helps to discharge the accumulated tension before the start of the recapitulation. This final phrase takes place over the same C♯ diminished chord of the climax, which, in very last bar is turned into a French-augmented chord that leads to the $\frac{6}{4}$ chord that initiates the recapitulation.




Example 3.15: "Almería", from *Iberia* (T. 105), reduction of bb. 177–201

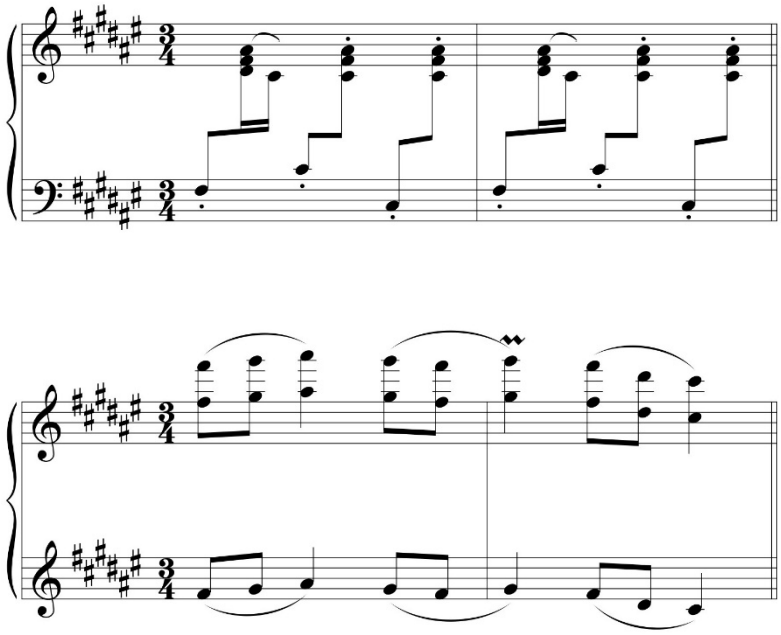



Example 3.15 (continued): "Almería", from *Iberia* (T. 105), reduction of bb. 177–201

## "Castilla" (*Seguidillas*)

The way of developing material through the pre-core/core technique and the c.d.s. was not entirely new in *Iberia*. Indeed, as pointed out above, these techniques could of course be considered as derivative of the pre-core/core model typical of development sections of Classical sonatas, which Albéniz already employed in his own piano sonatas of the 1880s. But the c.d.s. used in "Almería" had a direct precedent in "Castilla". "Castilla" (or "Seguidillas", as Albéniz himself referred to this piece) was composed around 1894, more than 10 years before the first pieces of *Iberia*. The piece was first included as "Seguidillas", a type of Castilian dance, in the collection *Chants d'Espagne* (T. 101), published in 1897 by Pujol and Company. However, when editor Dotésio bought Pujol in 1900,

"Seguidillas" became included in the *Suite Española* (T. 61) and renamed as "Castilla".[78] The overall form of the piece relies heavily on repetition, transposition, and development. Contrast, in line with Classical aesthetics,[79] is mainly achieved through the juxtaposition of two short thematic ideas, reproduced here in Example 3.16. The first, α, "establishes the proper rhythm of the *seguidillas*", as Antonio Iglesias pointed out.[80] The second, β, provides a cantabile contrast that Iglesias associates with a lyrical *copla*.[81]

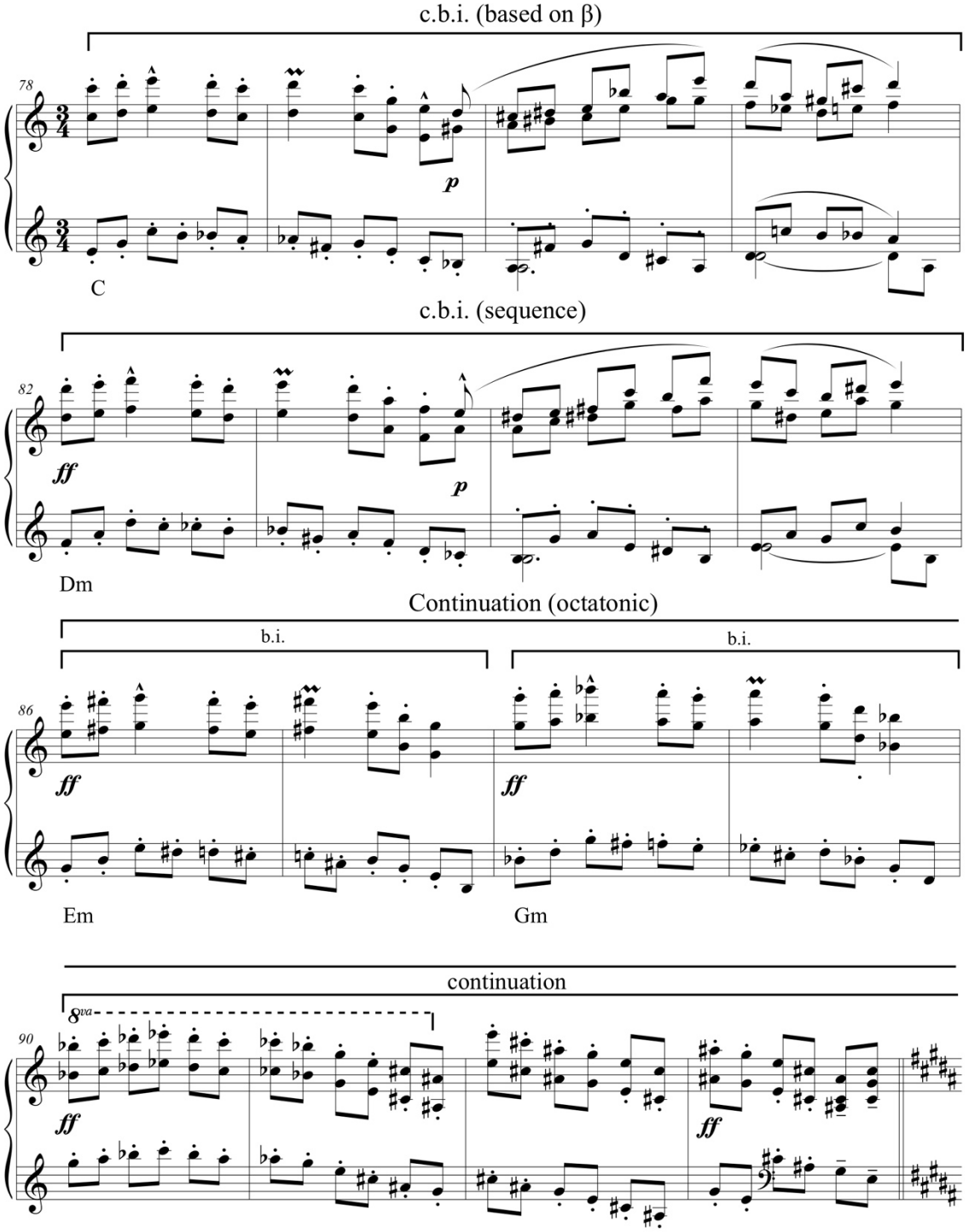


Example 3.16: "Castilla" or "Seguidillas" (T. 101 E), *Seguidillas* (α) and *Copla* (β) motives

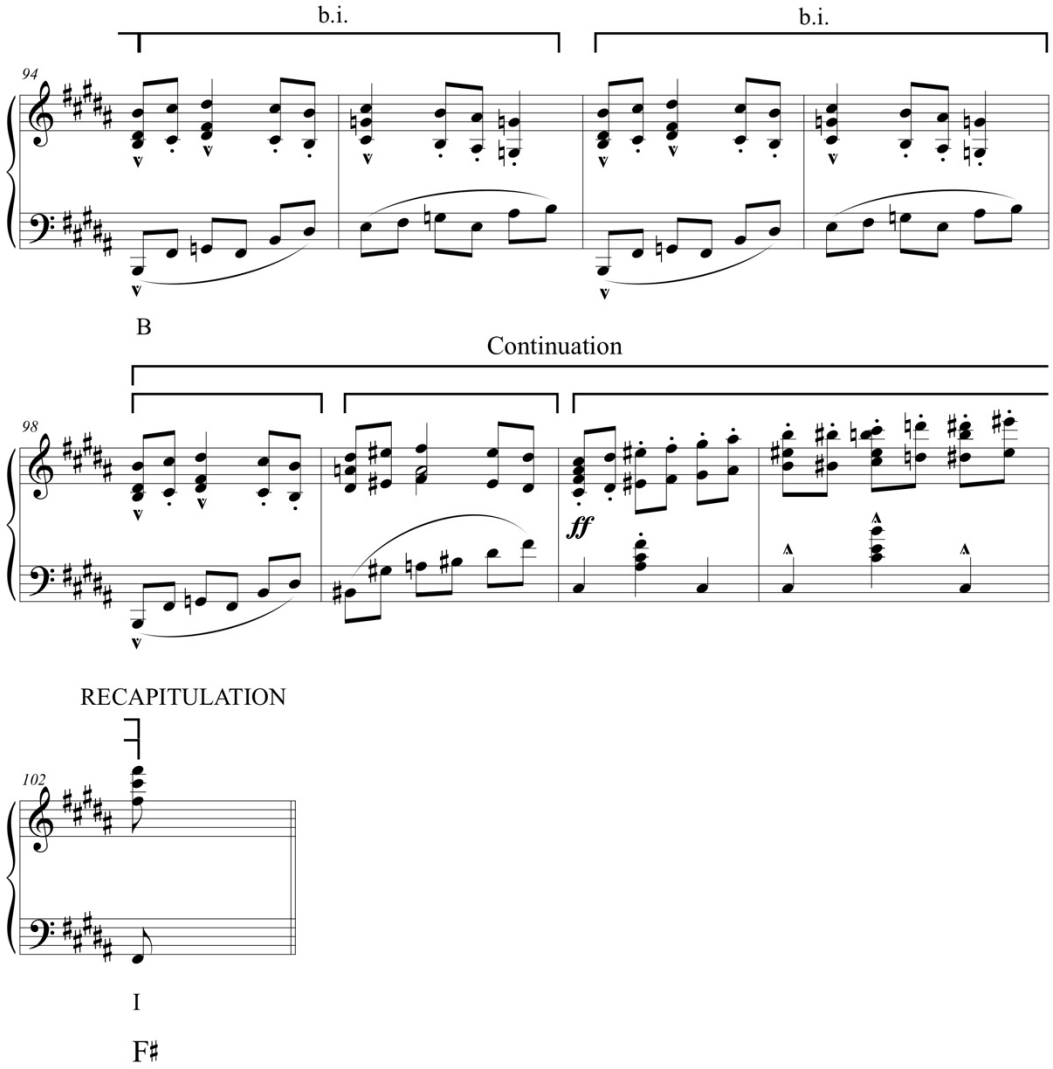
[78] Torres, *Catálogo*, 401.
[79] As Leonard Ratner put it: "melodic contrast was indeed an essential aspect of classic melodic rhetoric, but took place principally at short range, with rapid changes of affect and topic among figures and motives". Leonard G. Ratner, *Classic Music: Expression, Form, and Style* (New York: Schirmer Books, 1980), 219. Jane Stevens has convincingly used this argument to contextualize and nuance Vogler's famous "bithematic" description of "sonata form". See Jane R. Stevens, "Georg Joseph Vogler and the "Second Theme" in Sonata Form: Some 18th-Century Perceptions of Musical Contrast". *The Journal of Musicology* 2, no. 3 (1983): 278–304.
[80] Iglesias, *Isaac Albéniz*, 89.
[81] Ibid.

Several scholars have already pointed out that "Castilla" has a development section.[82] This is quite an important observation, since it is the very first composition of the Spanish-style pieces where Albéniz introduced substantial development. As in "Almería", the end of the development section of "Castilla" is structured as a c.d.s. that ultimately leads to the recapitulation coinciding with the climax of the whole piece in b. 102. A β-based c.b.i. is established in bb. 78–71, and replicated sequentially one tone higher in D minor. This is then followed by an eight-bar continuation that exhibits some of the typical features of that section: motivic fragmentation, melodic-harmonic development, and tonal instability using the octatonic scale. Like in "Almería", the continuation itself follows the grouping structure of the sentence: a two-bar b.i. (bb. 86–87) sequentially repeated and followed by a "dissolving continuation".[83] The accumulated tension implodes with a climax (b. 90) that quickly dissolves into a diminished chord and the continuation overlaps with a new sentence (bb. 93–94). But this climax is not yet the climax of the whole piece, and only gives partial resolution to the tension triggered by the sentential process. Tonal recapitulation has not been achieved yet, and Albéniz reserves the climax for that moment. After the "dissolving continuation", he starts over the process, setting up a new sentence (bb. 94–102) that ultimately leads to the recapitulation. Now the accumulated tension generated by the sentential processes finally implodes in the climax of the whole piece (b. 102), which not only gives tonal resolution but also culminates the sentential processes, establishing a single grand gesture from bb. 78 to 102. The plagal motion and the modal exchange give this final sentence of the development of "Castilla" certain closing character that also rounds off the development section.

[82] Maria Selleck-Harrison pointed out that the section in bb. 54–101 "[resembled] the development section of a sonata form". Clark also mentioned that the middle of the work had "the feeling of a development section". And Iglesias also associated it with thematic development. See Selleck-Harrison, "A Pedagogical and Analytical Study of 'Granada' (*Serenata*), 'Sevilla' (*Sevillanas*), 'Asturias' (*Leyenda*) and 'Castilla' (*Seguidillas*) from the *Suite Española*", op. 47 by Isaac Albéniz" (PhD Diss., University of Miami, 1992), 125. Clark, *Isaac Albéniz*, 102. Iglesias, *Isaac Albéniz*, 88–92.
[83] BaileyShea, "The Wagnerian *Satz*", 59–61.




Example 3.17: “Castilla” or “Seguidillas” (T. 101E), bb. 78–102




Example 3.17 (continued): "Castilla" or "Seguidillas" (T. 101E), bb. 78–102

This type of development makes "Castilla" unique among similar pieces of Albéniz's output. For Clark, the original collection in which this composition was included, *Chants d'Espagne* (T. 101) showed "the maturation of Albéniz's style".[84] And "Castilla" appears to be the first composition in which Albéniz employed the compound developmental sentence and also the octatonic scale. Although I am not denying that there might be some development in other pieces that can be generically related to "Castilla", these were typically in large ternary form with a middle, contrasting theme, sometimes with little transitional passages connecting the sections. And, although

[84] Clark, *Isaac Albéniz*, 102.

development sections were common in Albéniz's early sonatas, none of those acquired the cohesion, goal directedness, and dramatic effect achieved in the development section of "Castilla", thanks to the use of the c.d.s. It seems that Albéniz was particularly proud of this piece, since more than ten years after its composition and despite the many similar pieces he had composed at that point, he intended to include it in concerts mixed with other compositions from his monumental *Iberia*. In October of 1907, Albéniz suggested to his friend and favourite pianist Joaquín Malats that, in case Malats was not ready to perform the recently composed *Navarra* (a piece that was supposed to be included in *Iberia*), he could insert "Castilla" ("Seguidillas", as he called it) among the 12 pieces of *Iberia*.

> And in case you couldn't make it yours [*Navarra*], you could insert between the 12 Iberias and the end of a part [of the concert] the *Seguidillas* ["Castilla"], work of my second period *that perhaps isn't very far from the Iberias;* moreover, it is not very well-known in Spain and you have it completely.[85]

Therefore, we can speculate that the developmental procedures of "Castilla" could have been an important reason for Albéniz's proudness of this piece and for its choice among the many similar compositions that he had written until 1907. What seems clear at this point is that Albéniz repeatedly returned to a very general, pervasive sentential impulse to create development sections in his late works. In many cases, this basic sentential impulse also served to structure the models of the core themselves, as well as the continuation of many sentences, resulting in "potentiation". Likewise, many of these development sections also consist of a concatenation of sentences, or, what some authors have called a "sentence chain" or *Satzkette*,[86] defined as "any string of distinct musical units that come together to project a consistent and recurrent sentential impulse", and which "magnify the rhetorical impulse of any one given sentence".[87] BaileyShea has described the

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[85] "Y en el caso de que no hubieras podido dominarla [Navarra], podrías intercalar entre las 12 Iberias y final de una parte las Seguidillas, obra de mi segunda manera, que quizá no se desdiga mucho de las Iberias; además es poco conocida en España y la posees por completo". Letter to Joaquín Malats, 2 October 1907. Reprinted in Enrique Franco, *Albéniz y su tiempo* (Madrid: Fundación Isaac Albéniz, 1990), 135. Emphasis added.

[86] It is often argued that the idea of *Satzkette* is originally coming from Schönberg. However, the term appeared first in A. B. Marx. See BaileyShea, "The Wagnerian *Satz*", 189–91. A. B. Marx, *Musical Form in the Age of Beethoven: Selected Writings on Theory and Method,* ed. and trans. Scott Burnham (Cambridge: Cambridge University Press, 1997), 101.

[87] BaileyShea, "The Wagnerian *Satz",* 190.

effect of *Satzkette* at the beginning of Wagner's *In das Album der Fürstin M.* in a way that, *mutatis mutandis*, holds well for many of the sentential passages of the development sections of Albéniz's late works: "the resulting effect is one of a consistent swell of sentence patterns that continually builds toward a single overall climax [...]. And the release of tension at the end of the passage becomes an outpouring of energy not just from the third sentence, but from the combination of the three".[88] Either potentiation or *Satzkette* produce a renewal of the sentential impulse that contributes to increase the characteristic and intrinsic forward striving tendency of the sentence, and which is fundamental to conform the climatic effect that the sentential gestures ultimately achieve.

[88] Ibid., 198.

## Chapter 4: Albéniz and the Compound Period

Whereas Chapter 3 has studied in detail the role of the sentence in Albéniz's works, this chapter deals with Albéniz's use of the sentence's canonical counterpart in contemporary *Formenlehre:* the period. Although Schönberg's definition of the period was already given in the previous chapter,[1] Figure 4.1 provides an abstract representation using William Caplin's terminology.[2] The period's thematic design and harmonic goals best reflect the qualities of symmetry and balance traditionally associated with Classical aesthetics, making it the quintessential formal type of Classical phrase structure. As the previous chapter has already shown, the sentence is a more flexible construction that can be used to present or develop themes, and thus appears both in expositions and development sections; the period, on the contrary, is bound to its expositional formal function. In other words, the period is typically used to present themes, and, therefore, it is exclusively and genuinely a theme type. Albéniz, displaying his strong classicist tendencies, frequently employed the compound parallel period to construct many of his themes in compositions of such a different nature as the character pieces in Spanish style, the salon-like works, the ancient dances, the piano sonatas, and the monumental collection *Iberia.* In what follows, I will explain how exactly the period was employed in these works, and how this formal type was adapted to suit very different generic constrains and different formal functions within the individual compositions. The chapter is consequently structured in three main sections according to the main genres and forms that Albéniz cultivated in his instrumental output (the small piano pieces in large ternary form, the piano sonatas, and a final section devoted to "Evocación", from *Iberia*), studying the role of the period in each of these genres and, on the process, unveiling some of the main formal characteristics of these compositions.

[1] See p. 112. Sometimes the adjective "parallel" is used to indicate that the consequent phrase begins exactly like the antecedent.

[2] For a more detailed description of the period see William E. Caplin, *Classical Form: A Theory of Formal Functions for the Instrumental Music of Haydn, Mozart, and Beethoven* (New York: Oxford University Press, 1998), 49–58.

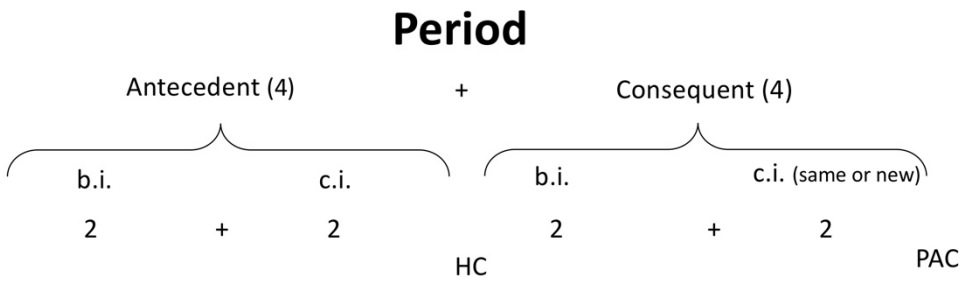


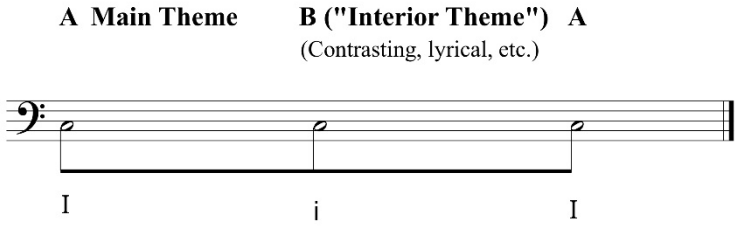

Figure 4.1: Abstract model of the period using William Caplin's terminology

## The Compositions in Large Ternary Form

Although Albéniz's first composition dates back to 1869—a Military March (T.45) dedicated to General Prim, composed when Albéniz was just 9 years old—his compositional career properly began in the 1880s. Back then, despite writing some chamber music and a couple of Zarzuelas—*¡Cuánto más Viejo!* (T.1) and *Catalanes de Gracia* (T.2), both lost—, Albéniz mostly composed small piano pieces in large ternary form (*ABA*), and he would keep writing such compositions (short, simple, popular, sometimes inspired by Spanish folklore, and in ternary form) up until 1897. In fact, many of Albéniz's famous compositions would fall under this category, and, hence, it is important to identify some of the conventions associated with this genre. Albéniz's ternary forms, with some exceptions, typically contain a contrasting middle theme and lack a development section.[3] Given the absence of development, ternary forms have been sometimes referred to as "static forms", and are associated with a "lyric style".[4] The contrast between the A and B themes is mainly achieved through mode change (major-minor or vice versa), texture, and character. Hence, the middle section is usually in the parallel key (i.e. the key with the same key-note but opposite mode), sometimes in the relative major or other third-related key, and less frequently in the subdominant or dominant keys. In the Spanish-style compositions Albéniz often used a *copla* as a contrasting theme, i.e., a lyrical theme of popular origins. Their phrase rhythm is mostly extremely square,

[3] One of these exceptions has been shown in the previous chapter: "Castilla" (T. 61G), which contains a genuine development section. Other examples include "Cataluña", from the *Suite Española* (T. 61), or "Capricho catalán" and "Tango" from *España. Six Album Leaves* (T. 95).
[4] See for instance, Ian Spink, *An Historical Approach to Musical Form* (Bell, 1967), 140.

typically featuring regular 4-bar hypermeasures. In general, the sectional treatment, the mode contrast (generally achieved through the parallel key), and the dramatic change in texture and character lend the middle themes of these pieces to conform to what Caplin, in the context of labelling the middle sections of large ternary forms of slow-movements of the Classical period, has called an "interior theme".[5] Caplin sharply distinguishes between a subordinate-theme—associated with a sonata-form set up, and an interior theme—embedded within a larger ternary structure. This distinction acknowledges the subtle, yet important, different musical rhetoric associated with each of these formal types. All of Albéniz's interior themes, whether from his Spanish-style compositions or not, are of an extraordinary lyrical quality, providing a strong contrast to the more instrumental-like character of the first themes and their stronger rhythmical profile. In any case, from all these observations we could generalise a very simple model that accounts for many of Albéniz's large ternary pieces (Example 4.1).




Example 4.1: Albéniz's "ABA" pieces, general tonal/formal scheme

In the period when these pieces in large ternary form were written—around twenty years of Albéniz's compositional career—he composed in different styles, and these compositions can be further and easily subcategorized in three groups: "salon-like compositions" (for the lack of a better term), consisting of mazurkas, waltzes, or polonaises; "ancient dances" (minuets, gavotas, or chaconas); and "Spanish-style" compositions (*malagueñas*, *jotas*, *bulerías, serenatas,* or *habaneras*). Most of these pieces are inspired by dances, and, as mentioned above, they are all laid out as large ternary, sectional forms (*ABA)*. As Donald Francis Tovey has pointed out, this kind of pieces often begin with a "complete symmetrical melody".[6] Indeed, among many of the salon pieces and the ancient dances, it was quite common for Albéniz to organise the *A* section of the

[5] William E. Caplin, *Classical Form: A Theory of Formal Functions for the Instrumental Music of Haydn, Mozart, and Beethoven* (New York: Oxford University Press, 1998), 211–16.
[6] Donald F. Tovey, *Musical Articles from the Encyclopedia Britannica* (London, 1944): 208–9.

large ternary form as a small ternary or rounded binary form with or without repeat signs, and, in line with Tovey's remark, the main themes of some of these pieces were sometimes constructed as compound parallel periods, a design that was almost never used in the Spanish-style compositions. As examples, we could mention here the "Gavotte", "Minuetto a Sylvia", "Pilar" (*Vals*), "Pavana", "Polonesa", or "Mazurka", from *12 Piezas Características* (T. 86), as well as the "Pavana" (T. 48) analysed in the previous chapter. The way of reaching the dominant in the antecedent phrase was often achieved through what Caplin, also in connection with the period, has called a "reinterpreted half cadence".

> A presumed antecedent appears to modulate to the dominant region, closing there with a perfect authentic cadence [...]. Nonetheless, when the home key is immediately reinstituted at the beginning of the consequent phrase, the sense of modulation is instantly cancelled, and we recognize instead that the antecedent has closed with a *reinterpreted half cadence*".[7]

This cadence sometimes adopted the form of Janet Schmalfeldt's "nineteenth-century half cadence" (19cHC): "a local form-defining arrival on the dominant that, unlike the typical goal of classical half cadences, includes its seventh".[8] Thus, the presence of the seventh in the final harmony already indicates a return of the original key (if it was ever truly abandoned), without the need for its restatement at the beginning of the consequent phrase. This particular periodic design, sometimes also with this version of the 19cHC at the end of the antecedent phrase, had a direct precedent in the dances of Chopin, a repertoire that Albéniz certainly knew very well and performed as a concert pianist.[9] Chopin was probably the composer with whom Albéniz was most familiar, given that he was Albéniz's most performed composer in his early career, according to Antonio Guerra y Alarcón's 1886 biography of our composer.[10] Chopin was also one of the two composers that Albéniz chose to perform in the piano competition at the Brussels conservatory

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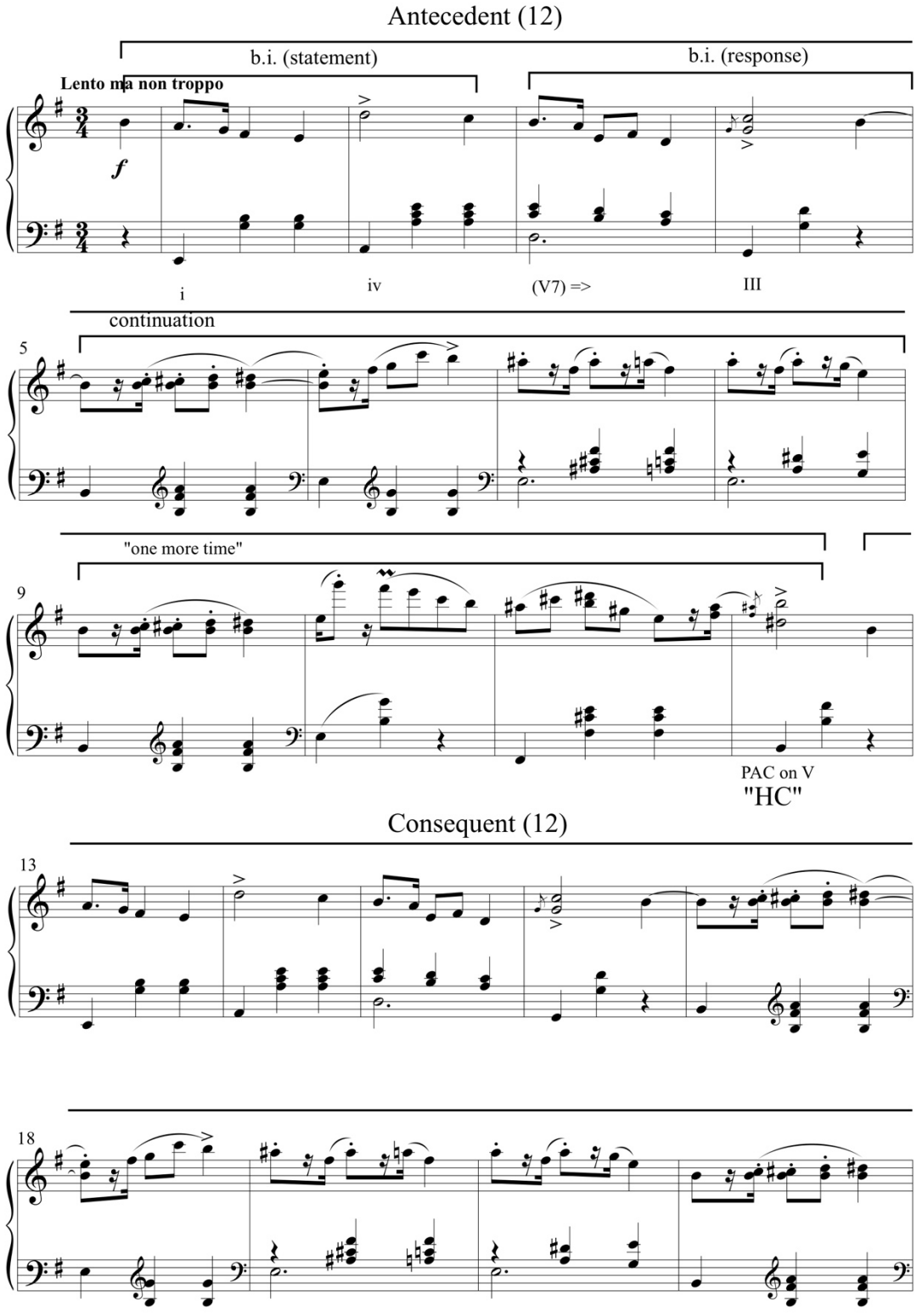
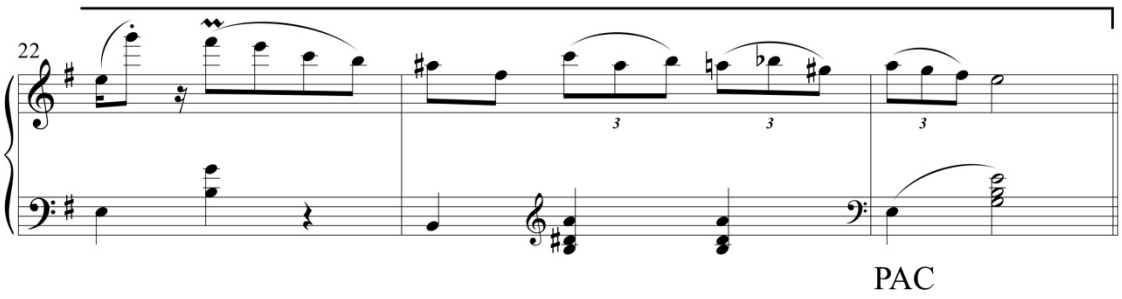
[7] Caplin, *Classical Form*, 57. The italics appear in the original.
[8] Janet Schmalfeldt, *In the Process of Becoming: Analytic and Philosophical Perspectives on Form in Early Nineteenth-Century Music.* Oxford Studies in Music Theory (Oxford: Oxford University Press, 2011), 202–3.
[9] In her recent study of Chopin's I-III-V harmonic, Schmalfeldt has pointed how many of the dances' themes are structured as compound periods. See *In the Process of Becoming*, 195–226, in particular, Table 8.1.
[10] Antonio Guerra y Alarcón, *Isaac Albéniz: Notas crítico-biográficas de tan eminente pianista* (Madrid: Escuela Tipográfica del Hospicio, 1886). Reprinted by Enrique Franco and Fundación Isaac Albéniz (Madrid: Turner, 1990), 39.

back when he was studying with Louis Brassin.[11] Thus, it seems quite likely that Chopin's examples could have easily inspired or even modelled some of Albéniz's own salon compositions. Example 4.2 shows the main theme (*A*) of Chopin's Mazurka Op. 17, No. 2, structured as a compound parallel period, and Example 4.3 shows the beginning of Albéniz's "Polonesa", from *12 Piezas Características* (T. 86), also structured as a compound parallel period.

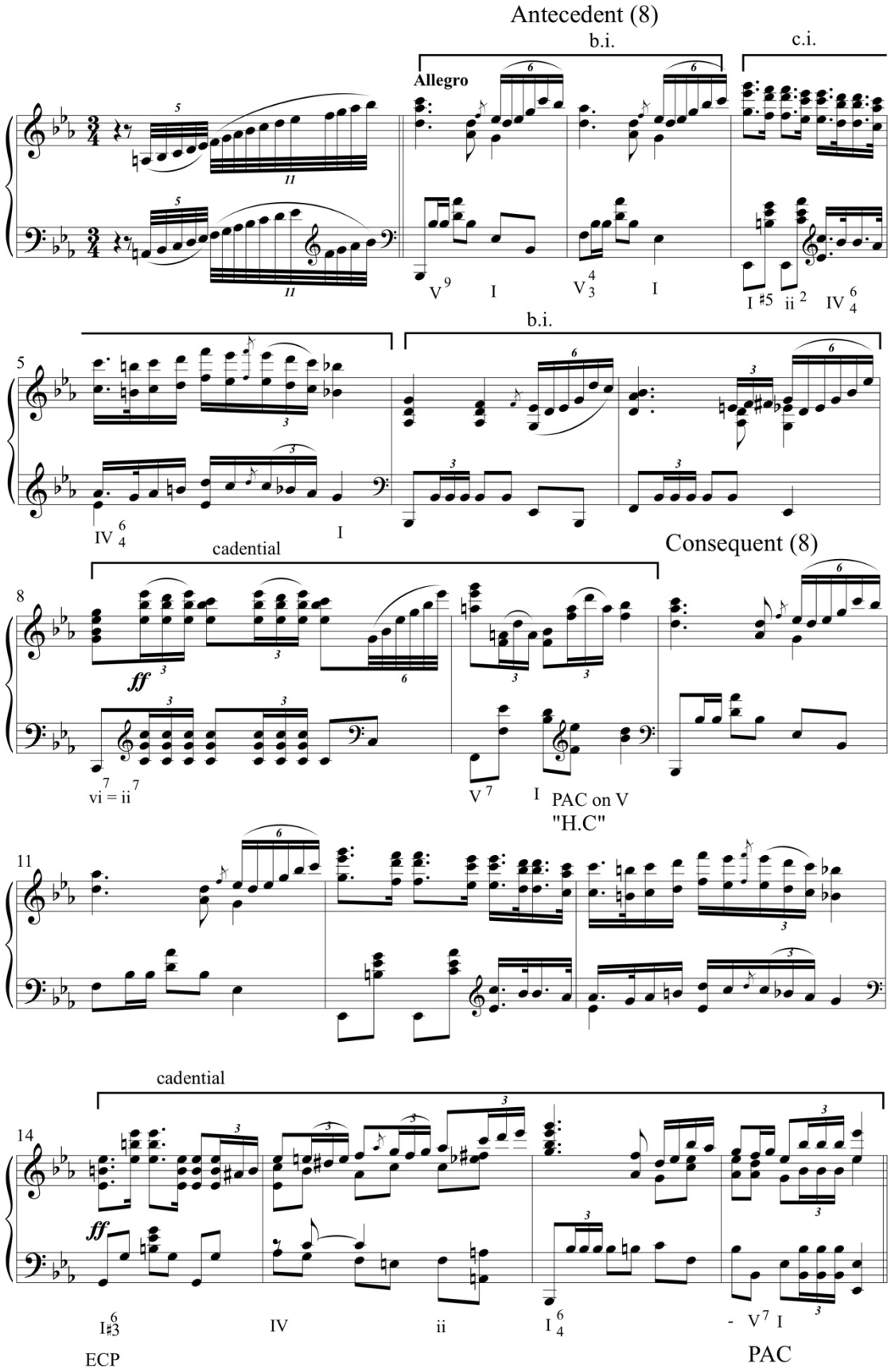
[11] Albéniz performed Chopin's *Variations brillantes*, Op. 12. The other composer was Scarlatti. See Walter A. Clark, *Isaac Albéniz: Portrait of a Romantic* (New York: Oxford University Press, 1999), 38.




Example 4.2: Chopin, Mazurka in A Minor, Op. 17, No. 2.




Example 4.2 (continued): Chopin, Mazurka in A Minor, Op. 17, No. 2.



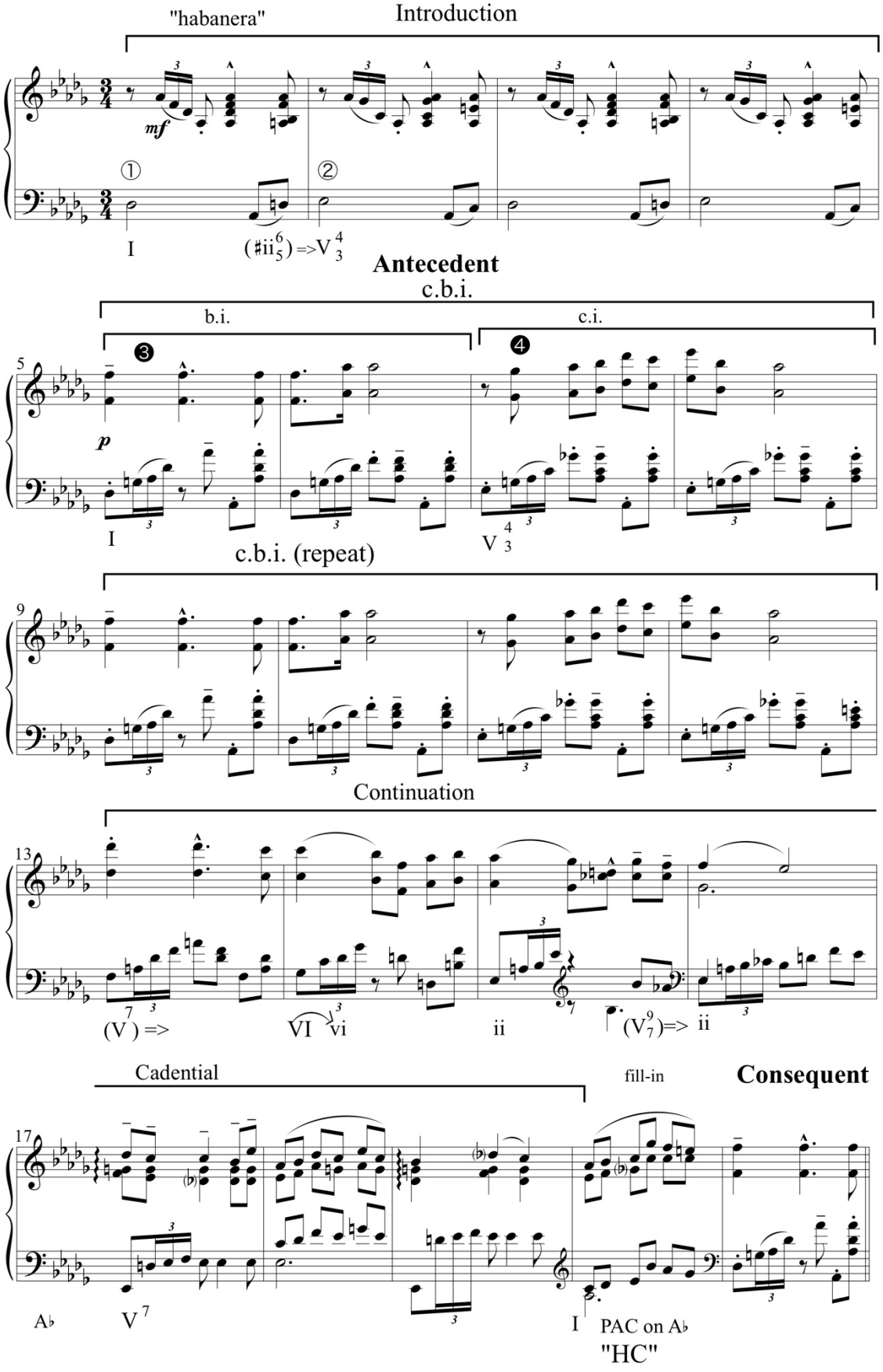

Example 4.3: “Polonesa”, from *12 Piezas Características* (T. 86)

I mentioned above that the parallel period was almost never employed to structure the themes of Albéniz's Spanish-style compositions; it is easy to imagine the reasons why. The square phrase-rhythm and symmetrical organization of the parallel period does not fare well with the rhythmical, vivid, dance-like, instrumental character and sometimes asymmetrical organization of many of the genres of Spanish folklore that Albéniz evokes in most of his main themes. There is, however, one remarkable exception to this norm: the main theme of "Cádiz", from the *Suite Española* (T. 61), whose antecedent phrase is shown in Example 4.4. "Cádiz" is the title with which the composition is popularly known. Yet, the piece was originally named *Sérénade Espagnole,* and was only later incorporated by editors into the famous *Suite Española* in place of a missing *saeta*. The piece has of course nothing to do with a *saeta*, "a devotional song genre and a venerable constituent of *cante jondo*",[12] and rather has a light, song-like quality, which made the editors of the 1918 *Unión Musical* edition assign it the subtitle of "*canción"* [song], instead of the original "*saeta"* of the suite.[13] It is perhaps this light, song-like quality that made Albéniz structure its main theme as a compound parallel period.

Albéniz starts with an "instrumental" introduction of 4 bars using the Habanera schema discussed in Chapter 2.[14] The "singer" enters in b. 5; Albéniz uses here the diatonic version of the schema, over which a compound basic idea (c.b.i.) is constructed. Unlike some of Albéniz's compound basic ideas shown in the previous chapter, which were structured as extended 3-bar basic ideas plus a suffix or as a single 4-bar gesture, this c.b.i. follows the Classical design of a c.b.i.: a 2-bar basic idea + a 2-bar contrasting idea, as in the ST of Albéniz's third piano sonata shown in Example 3.5. The c.b.i. is exactly repeated in the next 4 bars, forming the presentation of a sentence. Bar 13 initiates the continuation, using sequences, harmonic instability, and motivic fragmentation. Albéniz finally makes a PAC on A♭ that functions as a HC on the main key (a "reinterpreted HC" thus), and which ultimately articulates the overall periodic design of the main theme. The consequent (not shown) begins with an exact repetition of the presentation subphrase, and Albéniz changes the continuation to land on the main key with a PAC that elides with the introduction, which at this point functions as a codetta framing the entire main theme. In a word, the main theme is structured as an almost perfectly symmetrical compound parallel period whose antecedent and consequent

[12] Israel J. Katz, "Saeta", *Grove Music Online*, ed. Deane Root, accessed October 19, 2021, https://doi-org.soton.idm.oclc.org/10.1093/gmo/9781561592630.article.24282.
[13] See Jacinto Torres Mulas, *Catálogo sistemático descriptivo de las obras musicales de Isaac Albéniz* (Madrid: Instituto de Bibliografía Musical, 2001), 290–2 and 385–88.
[14] See note 47 in Chapter 2.

phrases have a sentential design, and whose internal half cadence is created through a reinterpreted half cadence. Its sentential design makes this period contrast with the one from "Polonesa" shown in Example 4.3. In particular, the use of the same melodic material throughout the entire antecedent phrase, the liquidation process typical of the sentence (the continuation is clearly based on the c.b.i., and the cadential part comes directly from the continuation), as well as the harmonic development and fragmentation of the continuation, differ from the stricter juxtaposition of 2-bar basic and contrasting ideas of the "Polonesa", giving the theme of "Cádiz" a more forward-striving quality characteristic of the sentence that perhaps fares better with the syntactical expectations generated by a character piece inspired by Spanish-folklore.




Example 4.4: “Cádiz” (T. 61D), bb. 1–21

Chapter 4

# The Piano Sonatas

Between 1886 and 1887 Albéniz composed several "academic" works: three *Suites Anciennes*, a piano concerto, seven piano *études* and three complete piano sonatas.[15] Although he might have claimed to have written at least 7 piano sonatas, only 3 remain complete: sonatas 3, 4, and 5. Jacinto Torres and Walter Clark have repeatedly pointed out the strong classical nature of these pieces;[16] most of their individual movements are in sonata form and followed strict Classical tonal plans: a main theme in the main key, and a subordinate theme in the dominant key. After a development section, in the recapitulation both main and subordinate keys are restated in the main key. At the same time, many of their themes are structured as parallel periods. Although Chapter 5 will deal more extensively with the overall form of these pieces, Table 4.2 below compares the individual movements of the sonatas, describing their overall form and the structure of main and subordinate themes.

Of course, sonata form is not simply a "mold" in which the composer places his/her materials, it also affects the musical syntax, as already eighteenth-century theorists noted.[17] Its use entailed the abandonment of the sectional and square writing of the earlier pieces, and the substitution of a more continuous musical prose that featured frequent expansions. To illustrate these points, I will consider Heinrich Christoph Koch's ideas on phrase expansion and his concept of "basic phrase", outlined in his compositional treatise *Versuch einer Anleitung zur Composition*, written between 1782 and 1793,[18] and William Rothstein's definition of hypermeter and phrase rhythm. Koch defined a complete basic phrase as "a phrase [that] may contain only as much as is absolutely

[15] The reasons behind the composition of some of these works might have to do with Albéniz's intentions to obtain teaching or academic posts at the Conservatory of Madrid. See Torres, *Las claves madrileñas de Isaac Albéniz* (Madrid: Ayuntamiento de Madrid, 2008), 50.
[16] Walter A. Clark, "Variety within Logic: Classicism in the Works of Isaac Albéniz", *Diagonal: An Ibero-American Music Review,* 1/1 (2015): 109. Retrieved from https://escholarship.org/uc/item/4q54v67g. Jacinto Torres Mulas, "La inspiración clásica de Isaac Albéniz", liner notes for *Isaac Albéniz: Sonatas para piano n 3, 4, 5. L'Automme*, Albert Guinovart, piano, Harmonia Mundi CD HMI 987007, 1994. Torres, *Las claves madrileñas*.
[17] For a concise summary of some of these sources see Mark Evan Bonds, *Wordless Rhetoric: Musical Form and the Metaphor of the Oration.* Studies in the History of Music (Cambridge, Mass.: Harvard University Press, 1991). In particular, 118–31.
[18] Heinrich Christoph Koch, *Introductory Essay on Composition.* Translated and edited by Nancy Kovaleff Baker (New Haven: Yale University Press), [1782–1793] (1983).

necessary for it to be understood and felt as an independent section of the whole".[19] For Koch, a complete basic phrase would be ideally 4 bars long.[20] Here, however, I take that a complete basic phrase is at least 8 bars. An extended phrase would be a phrase that "contains more than is absolutely necessary for its completeness".[21] Rothstein, on the other hand, defined hypermeter as "the combination of measures on a metrical basis, as defined above, including both the recurrence of equal-sized measure groups and a definite pattern of alternation between strong and weak measures", while phrase rhythm is "a more general term, embracing both phrase-structure and hypermeter".[22] This following discussion will show that, despite all of these expansions, the parallel period still remains a fundamental formal type in these compositions, and constitutes the basic framework of many main and subordinate themes.

## Piano Sonata No. 3, T. 69, i

The main theme of the first movement of the third piano sonata has an overall periodic design shown in Figure 4.2 and Example 4.5. An initial antecedent-phrase cadences on the dominant in b. 12 using a reinterpreted HC. This is followed by an expanded consequent-phrase of 21 bars that elides directly with the second theme. This periodic design has been recently labelled as a "grand antecedent-dissolving consequent" by Hepokoski and Darcy, and is recognized as a primary theme formal type.[23] Although, as we will see below, this concept was already described in the nineteenth century. The consequent thus becomes the transition section,[24] and modulates to the dominant key without providing a "Medial Caesura" (MC) that could announce the arrival of the new theme.[25] Figure 4.2 provides a form chart of the MT and TR sections of this movement.

[19] Ibid., 3 and 6–7.
[20] Ibid., 11–12.
[21] Ibid., 41.
[22] William Rothstein, *Phrase Rhythm in Tonal Music* (New York: Schirmer Books, 1989), 12.
[23] James A. Hepokoski and Warren Darcy, *Elements of Sonata Theory Norms, Types, and Deformations in the Late Eighteenth-Century Sonata* (New York; Oxford: Oxford University Press, 2006), 77.
[24] The symbol (=>) and the concept of "becoming" come from Schmalfeldt, *In the Process of Becoming.*
[25] The term Medial Caesura (MC) is taken from Hepokoski and Darcy. See, *Elements of Sonata Theory*, 23–50.

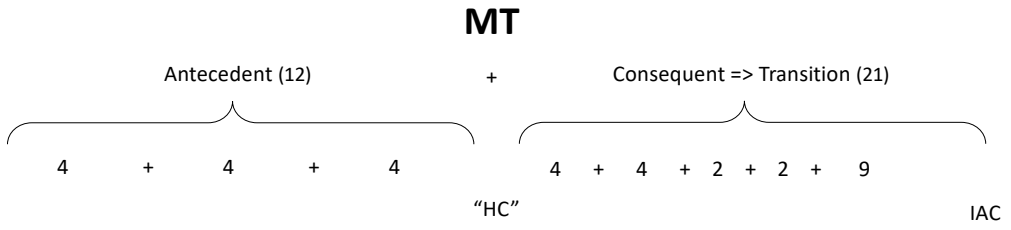
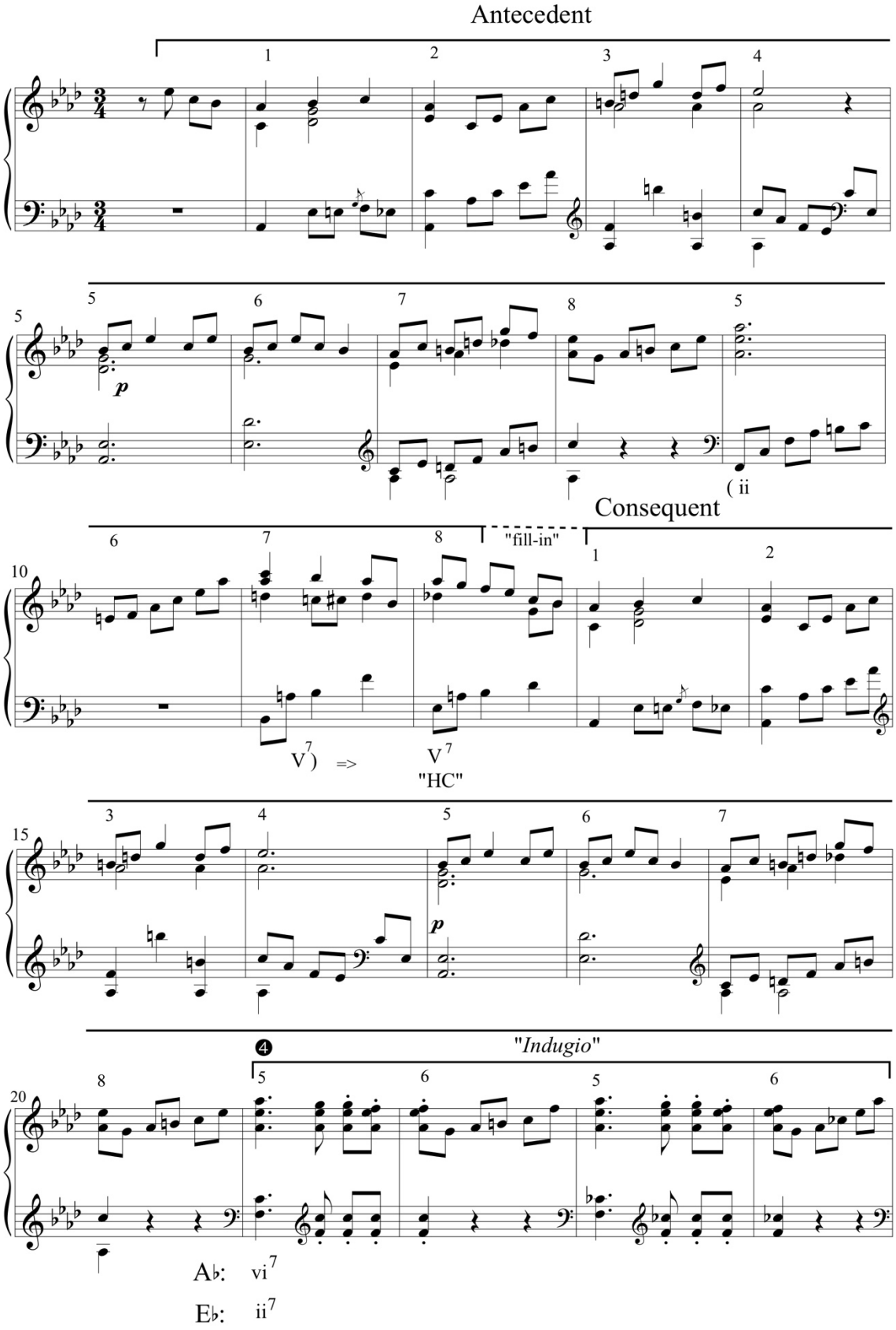


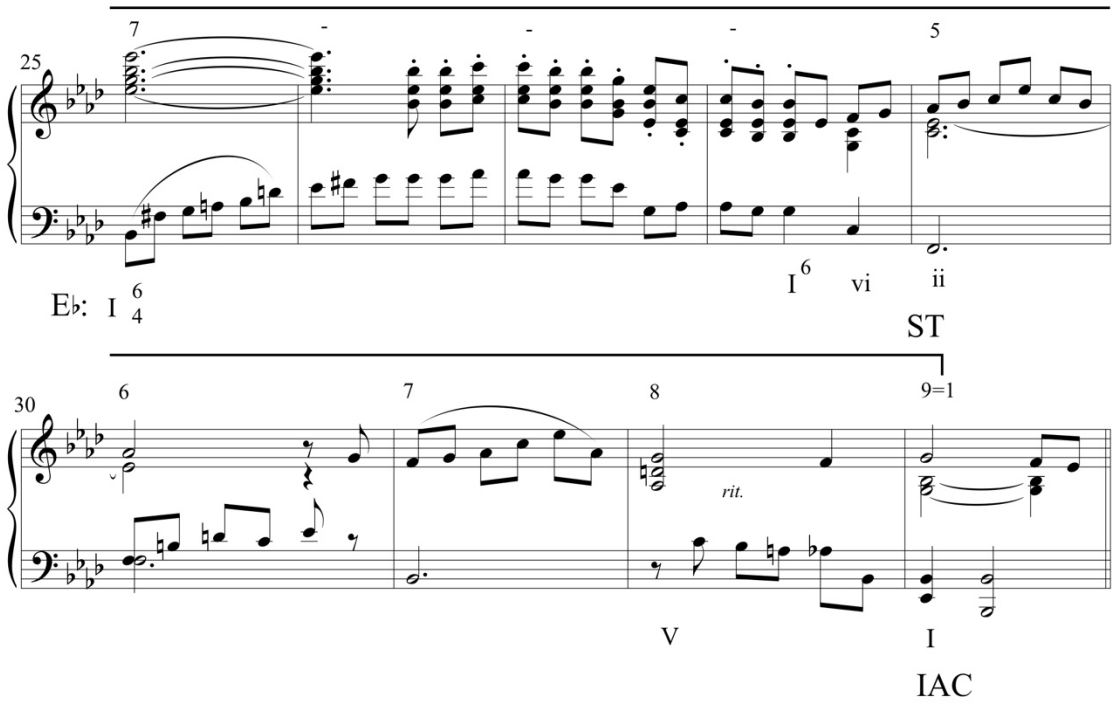

Figure 4.2: Piano Sonata No. 3, (T. 69), i, MT and TR

As shown in Example 4.5, the asymmetrical and long 12 and 21-bar phrases could be understood as expansions of more basic 8 and 9-bar phrases respectively (although it would be easy to transform the 9-bar phrase of the consequent into an even more regular 8-bar phrase). In the antecedent, the second 4-bar group is completely dispensable and the phrase could be perceived as complete without it. This can be easily corroborated by taking it out, jumping directly from b. 4 to b. 9. The "dissolving consequent" is first expanded through a variant of the Indugio (bb. 21–24), and then through an expanded cadential progression after the $\frac{6}{4}$ chord (bb. 25–33). As discussed in Chapter 2, the Indugio is a Galant schema that delays the arrival of the cadence by extending and emphasizing a $\frac{6}{3}$ or $\frac{6}{5}$ sonority on the ④.[26] While the motivic repetition of bb. 21–22 emphasizes the 2-bar grouping, the expanded $\frac{6}{4}$ chord of b. 25 suspends the prevailing 4-bar hypermeter even though the subphrase starting on the chord is still grouped as a 4-bar unit.[27] The introduction of the ii chord of b. 29 brings us back to b. 5 of the 9-bar basic phrase and restores the duple hypermeter. In the recapitulation (not shown), Albéniz simply cuts off the dissolving consequent and the antecedent (12 bars) leads directly to the subordinate theme.

[26] See Robert Gjerdingen, "Indugio", in *Music in the Galant Style*, (New York: Oxford University Press, 2007).
[27] This is a good example for illustrating the difference between phrase structure and hypermeter. While bb. 25–28 clearly form a 4-bar group, there is no alternation of weak and strong accents and, therefore, the prevailing 4-bar hypermeter becomes suspended here.




Example 4.5: Albéniz, Piano Sonata No. 3 (T. 69), i, MT and TR




Example 4.5 (continued): Albéniz, Piano Sonata, No. 3 (T. 69), i, MT and Transition

## Piano Sonata No. 4, T. 75, i

The main theme of the first movement of the fourth sonata has exactly the same periodic design, with very similar length and proportions: an antecedent of 13 bars is followed by a dissolving consequent of 20 bars that becomes the transition. This is illustrated in chart form in Figure 4.3, and the music of the antecedent and consequent phrases is shown in Example 4.6.

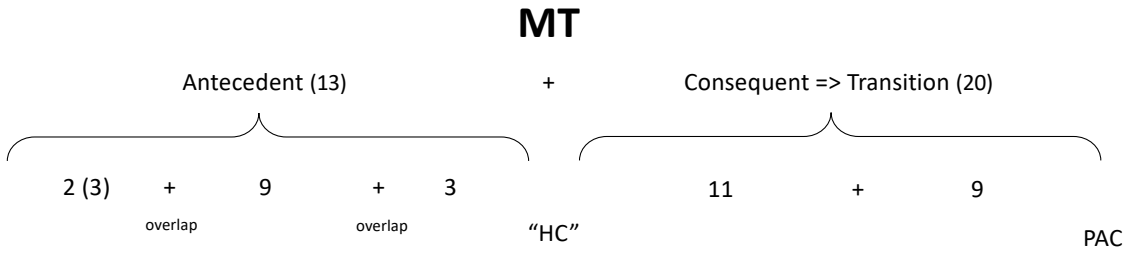



Figure 4.3: Piano Sonata No. 4 (T. 75), i, MT and TR

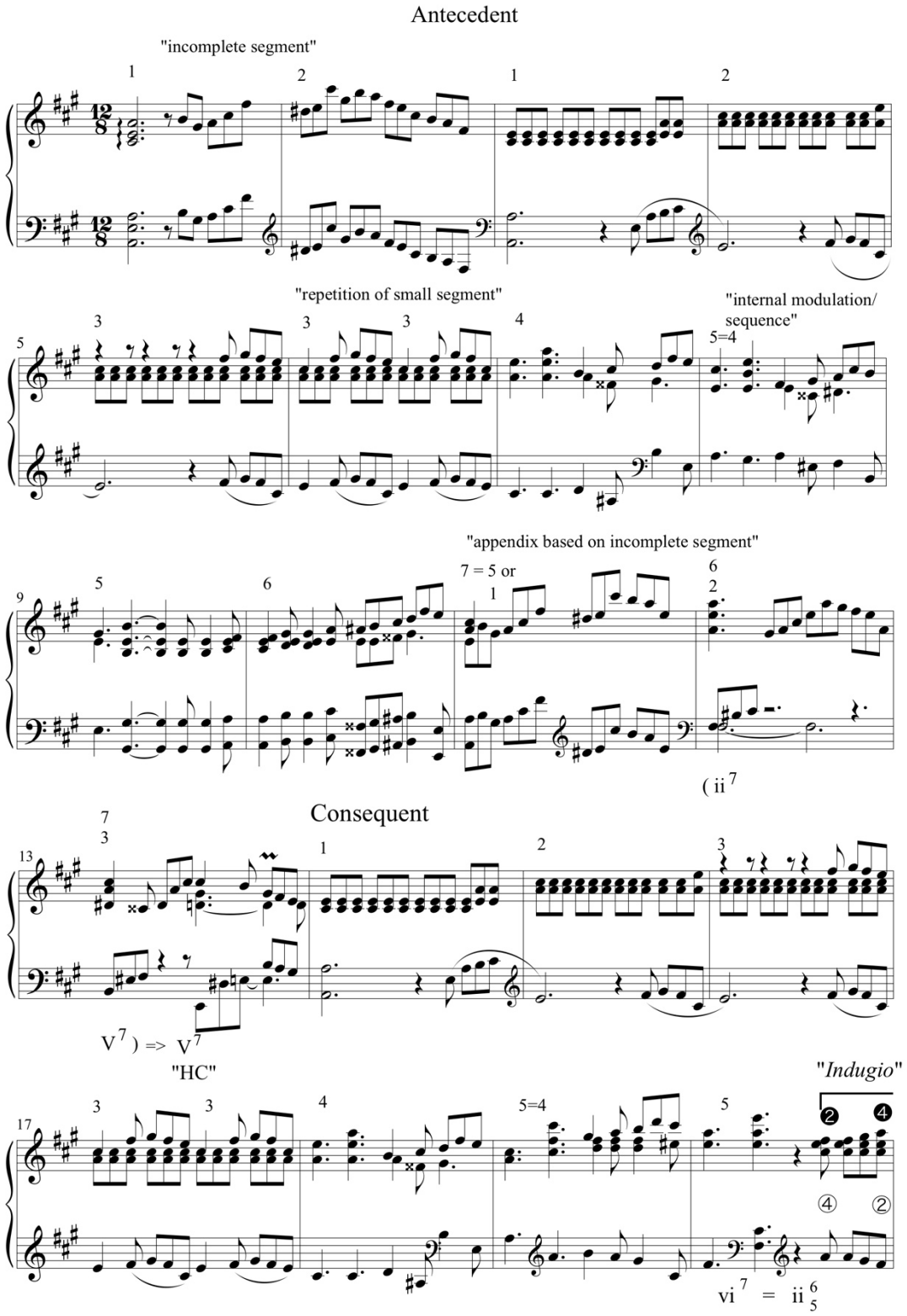
Whereas in the antecedent phrase of the third sonata a clear 4-bar hypermeter prevailed, the various expansion techniques used in the fourth sonata distort that regularity. These expansion techniques are very similar to the ones described by Koch in the *Versuch.* First, before the actual complete phrase begins on b. 3, Albéniz introduces an "incomplete segment" of two bars,[28] a typically classical initiating formula consisting of a short, grand gesture. In b. 6, there is a "repetition of a small segment",[29] and in b. 8 Albéniz uses an "internal modulation" or a "sequence" to modulate to E major.[30] Yet, on b. 11, the music returns to A major to make an IAC. This trajectory is rectified again through the use of an "appendix". According to Koch, an appendix is an additional "explanation" added to the complete phrase that further clarifies it.[31] In this case, to use Koch's own words, "the appendix can also end on another triad of the key in which the melody stays or into which it is led".[32]

The consequent phrase, starting on b. 14, becomes the transition and leads to a PAC on the dominant of the dominant (b. 31), or, in other words, a "reinterpreted half cadence" on the new key of E major, which acts as a MC announcing the arrival of the second theme.[33] The way of expanding the consequent is very similar to how it is done in the third sonata: first, through the fragmented repetitions of the main motive (bb. 16–17); then using the Indugio in the major- and minor-key versions (although in this case a more Galant version with a passing $\frac{6}{4}$ chord is used, as pointed out in Chapter 2); and finally, by expanding the $\frac{6}{4}$ chord (b. 24) that announces an imminent cadence. In that sense, one could easily imagine a final PAC on E major at b. 25. Yet, Albéniz uses the cadential $\frac{6}{4}$ chord to reintroduce the main motive of the main theme. Perhaps the listener's initial impression is to expect a reinstatement of that E major $\frac{6}{4}$ chord at some point, and a completion of the cadence in E major, making the passage starting on b. 25 a "parenthesis". Koch introduced the parenthesis as another way of expanding a phrase, and defined it as "the insertion of unessential melodic ideas between the segments of a phrase".[34] However, Albéniz uses these

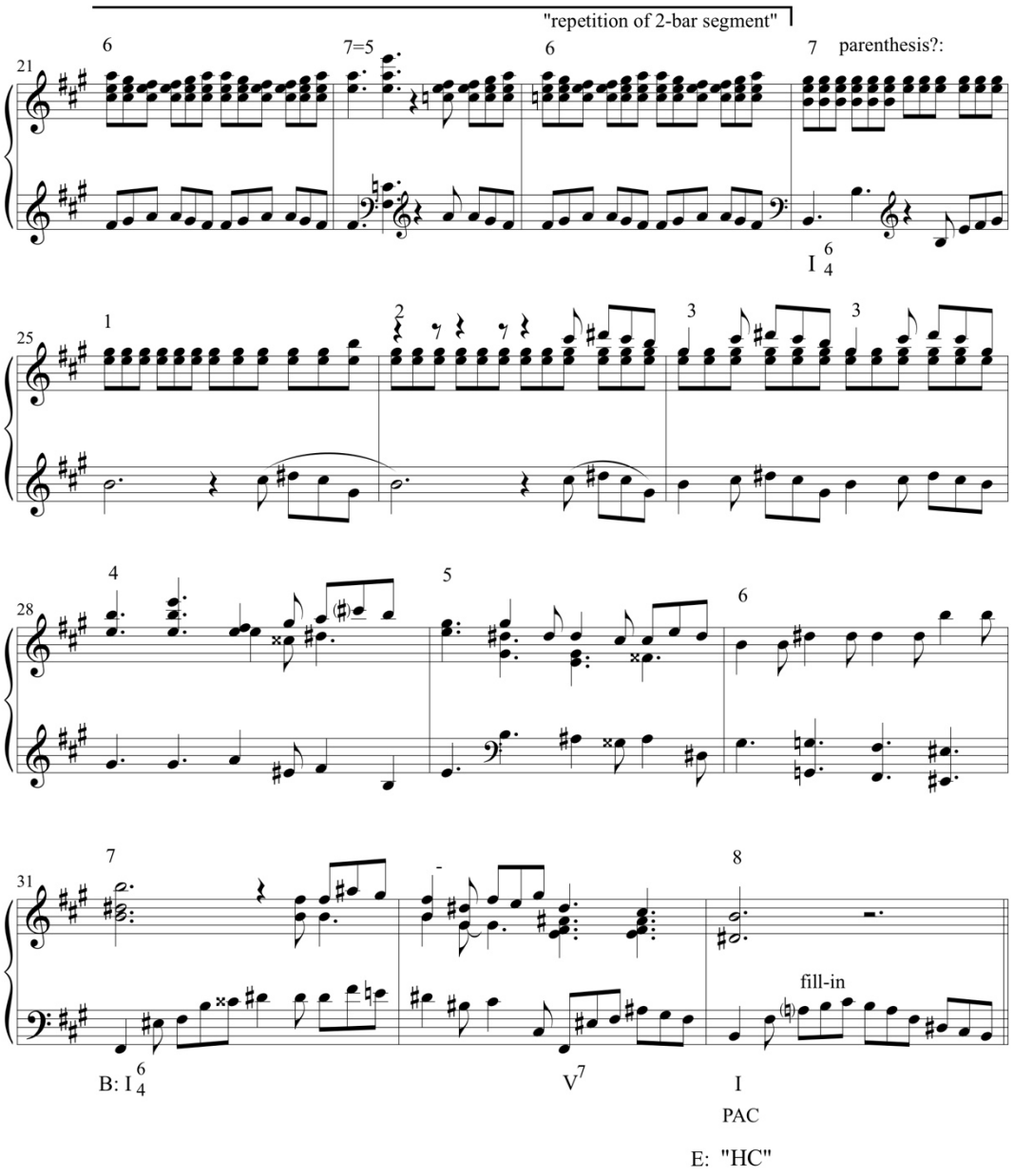
[28] Koch, *Introductory Essay,* 18.
[29] Ibid., 41–42.
[30] Koch distinguished between "sequence" and "transposition". A sequence is "a repetition on several degrees" (and thus the music would have to be adapted to those degrees), and transposition is a literal repetition on a different key. Ibid., 43.
[31] Ibid., 45-49.
[32] Ibid., 48.
[33] This type of MC is not recognized by Sonata Theory as one of the "default levels". Thus, it would be labelled as a MC "deformation". See Hepokoski and Darcy, *Elements of Sonata Theory*, 25–29.
[34] Koch, *Introductory essay,* 53 and 160–63.

bars to modulate further to B major (the dominant of the dominant) and to end the transition section with an expanded cadence on that key (bb. 31–33). This is ultimately a reinterpreted half cadence in E major, the key of the ST, and functions as a MC to announce the arrival of the new theme. The expansion over the $\frac{6}{4}$ chord occurs in the same place as in the third sonata (b. 7 of the hypothetical 8-bar basic phrase of the consequent). Yet, while in the third sonata this resulted in the suspension of the prevailing 4-bar hypermeter, here it initiates another 8-bar group that is initially perceived as a parenthetical insertion, but which ultimately begins a new phrase. In that sense, the consequent of this MT could be understood as a compound phrase resulting from the contraction of two complete phrases by the "suppression of a measure", as Koch would say.[35] The hypothetical reconstruction of the two complete phrases is shown here as Example 4.7. In the recapitulation (not shown), Albéniz simply cuts off the dissolving consequent of the exposition, leading the antecedent directly to the second theme like in the third sonata.

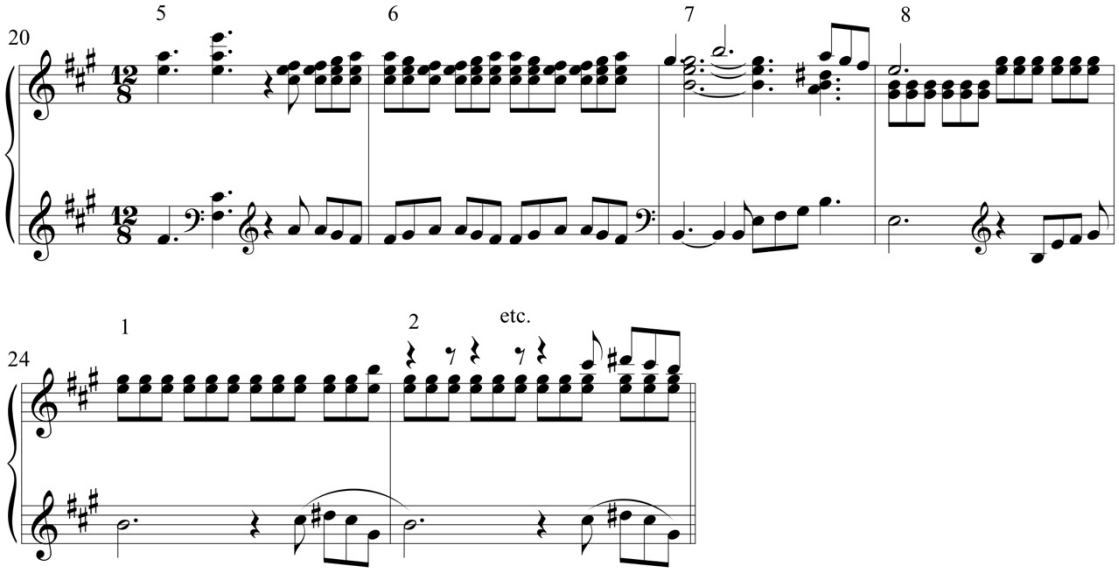
[35] Ibid., 55.




Example 4.6: Albéniz, Piano Sonata No. 4 (T. 75), i, MT and TR



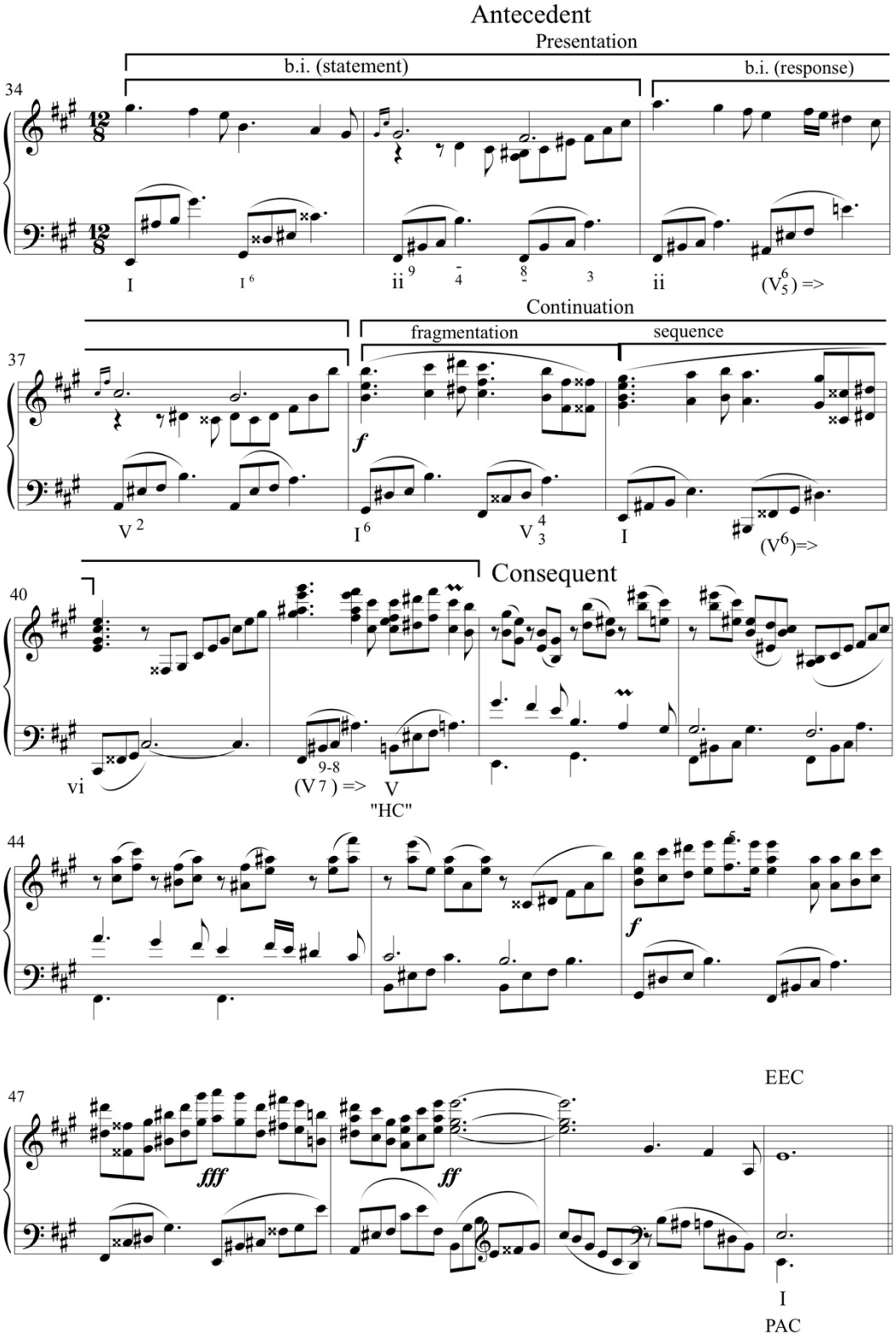

Example 4.6 (continued): Albéniz, Piano Sonata No. 4 (T. 75), i, MT and TR




Example 4.7: Alternative consequent with two complete phrases

The subordinate theme of this sonata, presented here in Example 4.8, is also structured as a compound parallel period, although with a more tight-knit construction. The period is structured as a sentential antecedent of 8 bars, and a following consequent of 9 bars that leads directly to what Hepokoski and Darcy termed the point of Essential Expositional Closure (EEC).[36] The small asymmetry of the consequent is explained through the slightly expanded final cadential progression (b. 50). The presentation subphrase of both the antecedent and consequent has also a very symmetrical design, since it is structured as a "statement (2) – response (2)". Despite the chromatic inflections, the presentation is rooted on a more basic I-ii; ii-V progression. This is followed by the fragmentation and sequential processes of the continuation, ultimately leading to an authentic cadence on the dominant key, reinterpreted as a half cadence on E major. Example 4.8 shows the entire subordinate theme.

[36] Hepokoski and Darcy, *Elements of Sonata Theory*, 120–24.




Example 4.8: Albéniz, Piano Sonata No. 4 (T. 75), i, ST

## Piano Sonata No. 5, T. 85, i

The main theme of the first movement of this sonata has a different phrase structure, yet the period again plays an important role in both main and subordinate themes. The whole MT/TR section is based on the transposition and juxtaposition of thematic blocks of 8-9 bars, creating a much more sectional design in comparison with the other sonatas. A first phrase of 8 bars modulates to the dominant and constitutes the antecedent. The PAC on D♭ at bar 8 functions as a reinterpreted half cadence in the main key. The antecedent is followed by a consequent that modulates to the minor dominant (C♯ minor), and elides with a new block of 9 bars that functions both as an appendix of the first phrase, prolonging the C♯ minor chord for 4 bars, and as a modulating section to the dominant of the dominant (A♭). A new block on A♭ follows, leading to a "standing-on-the-dominant" section that prepares for the arrival of the second theme on D♭. Table 4.1 summarizes the whole process.[37] In the recapitulation (b. 133 onwards), Albéniz repeats the first block of the exposition and alters the second half of the second block, the consequent, which now ends with a PAC on the dominant key, D♭, leading directly to a long dominant pedal point that introduces the subordinate theme in the main key. Thus, the first section of the recapitulation (main theme and transition) is considerably shorter than its counterpart in the exposition.

| **Block 1 (bb.1–8)** | **Block 2 (9–17)** | **Block 3 (17–25)** | **Block 4 (25–32)** |
|---|---|---|---|
| Antecedent | Consequent | Appendix=>modulation | Transition? |
| 8 | 9 | 9 | 8 (4 + 4 S on D) |
| G♭ - "H.C" | G♭ - C♯m | C♯m - A♭ | A♭ |

Table 4.1: MT and TR sections of Albéniz's Piano Sonata No. 5 (T. 85)

[37] This type of phrase structure is very similar to what Albéniz employs in one of his "Spanish-style" pieces: "Aragón", from the *Suite Española* (T. 61), composed in 1889 around two years after the fifth piano sonata.

The subordinate theme (ST) is more lyrical and creates a slight contrast. Its construction is fairly similar to the first theme's: an initial modulating period (to E major) of 8 bars is followed by an appendix that becomes (=>) a modulating block of 8 bars leading to the dominant (A♭). A period of 11 bars follows, achieving EEC. The final block of 5 bars functions as a closing section, and it is followed by a small retransition of 2-3 bars. The construction of this theme suggests an overall large periodic design in the manner of a grand antecedent – consequent, given the balanced harmonic goals, the replication of thematic content, and the symmetrical design. This structure is illustrated in Figure 4.4.[38]

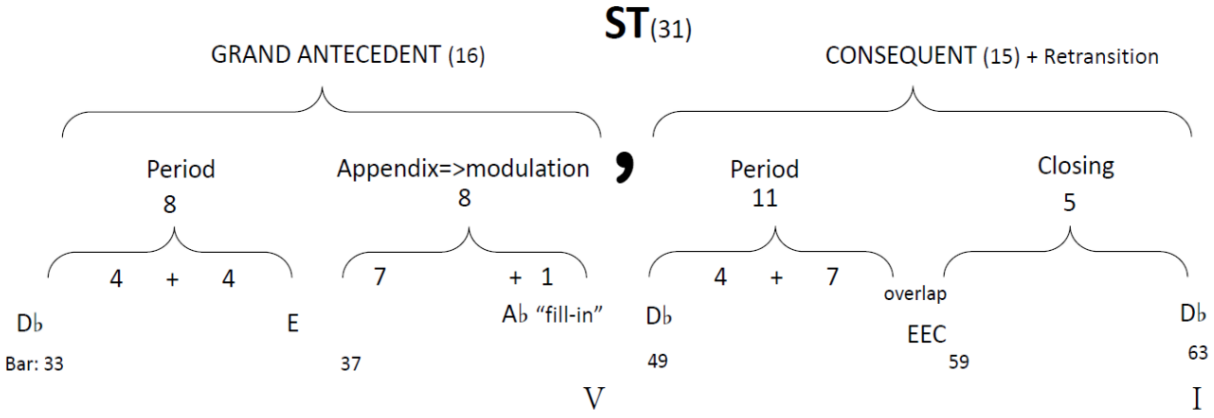
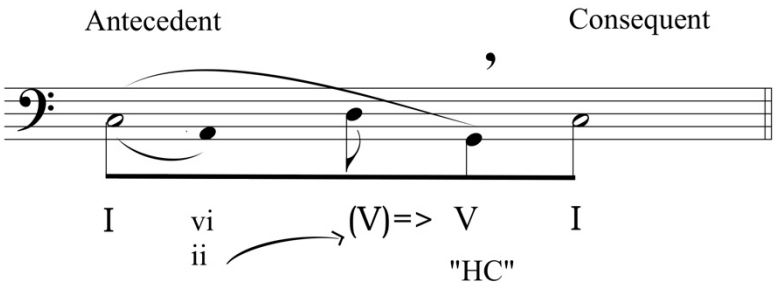



Figure 4.4: Albéniz, Piano Sonata No. 5 (T. 85), i, ST formal scheme

In his piano sonatas, Albéniz transformed the basic antecedent-consequent formula that served to structure the main themes of his earlier large ternary pieces into an expanded periodic design, creating what Julian Horton has called "proliferation" ("the expansion of thematic design such that intra-thematic levels accumulate within an overarching inter-thematic function").[39] In that sense, the consequent of the MT becomes the transition section. In the recapitulation, Albéniz would typically cut off the consequent, and start the subordinate theme in the main key after the half cadence of the antecedent. The main themes of these sonatas mostly rely on this very well known formal type, which could be more precisely labelled as a parallel, compound, modulating period

[38] The arithmetic oddity (16 + 17 = 31) is caused by a phrase overlap.
[39] Julian Horton, "Criteria for a Theory of Nineteenth-Century Sonata Form", *Music Theory and Analysis* 4, no. 2 (2017): 176. See also Horton, "Formal type and Formal Function in the Postclassical Piano Concerto", in Steven Vande Moortele, Julie Pedneault-Deslauriers, and Nathan John Martin, eds. *Formal Functions in Perspective: Essays on Musical Form from Haydn to Adorno*. NED-New edition (Boydell & Brewer, 2015), 86 and 112–13.

with open consequent. Very often, and paraphrasing the quote with which I began Chapter 2, Albéniz used a very simple "recipe" to reach the half cadence of the antecedent. The way of reaching the dominant in such large periodic design is almost always based on the same schema: the antecedent of the period ends with an authentic cadence on the dominant, which is "reinterpreted" as a half cadence ("HC") in the main key and on a higher structural level. The modulation to the dominant always follows the same harmonic pattern: a diatonic modulation through a pivot chord in which the vi of the main key becomes ii of the dominant key. This modulation model is shown here as Example 4.9. This harmonic schema, whether as part of a larger periodic design or not, can be found frequently in Albéniz's early works.




Example 4.9: Half cadence in the antecedents of Albéniz's main themes

The "period with open consequent phrase" was first described by A. B. Marx as one of the possible ways of structuring the main theme of a sonata.[40] In more recent *Formenlehre*, Hepokoski and Darcy described a similar formal type as "P Grand Antecedent" (P stands for Primary Theme or Zone), in which the "consequent dissolves into the transition".[41] More generally, Marx established the expansion of a *Satz* as one of the requisites of a main theme in sonata form, as Karl Braunschweig has recently emphasized.[42] In that sense, it becomes necessary "to expand the *Satz* internally and to fortify [it] through repetition".[43] But the idea of expanding the *Satz* as a prerequisite of certain genres leads us further into late eighteenth-century theory, more specifically, into the writings of Riepel and Koch. In the *Versuch*, Koch described the specific ways in which a composer could expand

[40] A. B. Marx, *Musical Form in the Age of Beethoven*, ed. and trans. Scott Burnham (Cambridge: Cambridge University Press, 1997), 107–9.
[41] Hepokoski and Darcy, *Elements of Sonata Theory*, 77.
[42] Karl Braunschweig, "Expanding the Sentence", *Music Theory and Analysis* 2 (2015): 156–93.
[43] A. B. Marx, *Musical Form,* 103.

small *Satzen* into *Perioden*[44] and larger phrases and forms.[45] As shown in the analysis of the individual themes of the sonatas, the techniques discussed by Koch could very well describe the processes of expansion in Albéniz's sonatas. The expansion of *Perioden* themselves into two principal periods (exposition//development-recapitulation) was one of the defining compositional techniques of "sonata form".[46] Whereas variation and rondo forms employed small *Perioden*—and as such these would be considered "small forms"—sonata form used "expanded *Perioden*", and was therefore an "expanded form". Koch and Riepel also considered that the smaller forms served as model for the expanded.[47] The amateur composer was advised to first start composing a minuet or a similar small form before moving on to larger forms.[48] In that sense, small compositions could very well be formed by two pairs of 4-bar basic phrases, or, in other words, two *Perioden* of 8 bars each. "Sonata form", on the other hand, is based on two larger periods of indeterminate length. The first *Periode* (i.e. the exposition), has four main punctuation sections or resting points, which are necessarily expansions of four 4-bar basic phrases.[49]

From this perspective, Albéniz's approach to main themes/sonatas is nothing more than an elaboration ("expansion") of the compound periods found in his large-ternary pieces. In his piano sonatas, Albéniz was following a more "academic" practice as codified in the writings of Marx and Koch, in which he needed to "dissolve" the consequent and expand the period (in the modern sense) to meet some of the generic constrains of the Classical sonata. Whereas the periods encountered in the main themes tended to be expanded and asymmetrical, the subordinate

[44] The word "*Periode*" (period) is here used in the eighteenth-century sense as a large section of music punctuated with a final cadence. This is the meaning intended in these final paragraphs. To avoid confusion, I will use the German term when referring to this particular meaning of the word.
[45] Elaine Sisman gives a fantastic overview of Koch's levels of musical structure, from the *Satz* to the larger forms of the Variation Form, Rondo, and "Allegro" of the Symphony. Elaine R. Sisman, "Small and Expanded Forms: Koch's Model and Haydn's Music", *The Musical Quarterly* 68, no. 4 (1982): 445.
[46] Needless to say, Koch never used the specific terms "exposition, development, recapitulation, and sonata form". These are used here for convenience.
[47] Leonard Ratner, "Eighteenth-Century Theories of Musical Period Structure", *The Musical Quarterly* 42, no. 4: (1956): 447.
[48] Sisman, "Small and Expanded Forms", 448.
[49] See Koch, *Introductory Essay*, 215. One particular example by Koch illustrates very well the process of expansion of these 4-bar basic phrases in the exposition section of a sonata form (ibid., 163–64). For Koch, a 4/4 bar is a compound meter consisting of two 2/4 bar; consequently, it has two downbeats and counts as two measures (ibid., 11–12). For a contemporary summary of Koch's conception of metre see Danuta Mirka, *Metric Manipulations in Haydn and Mozart: Chamber Music for Strings, 1787-1791* (Oxford: Oxford University Press, 2009), 3–12.

themes are more tight-knit, with symmetrical antecedent-consequent phrases, as shown in Table 4.2. Moreover, these tend to be more lyrical with longer and stepwise based melodies, having a slightly simpler, less intricate accompaniment, and a more homophonic texture. Subordinate themes feature clear presentations and square phrase rhythm, or in other words, they consist of well-defined phrases that rely on repetition, motivic parallelism and symmetry at a larger scale. There are of course many more examples of compound parallel periods structuring main and subordinate themes of other movements of Albéniz's sonatas and of his piano concerto, whose subordinate theme was quoted in Chapter 2 for different reasons. But the examples already provided sufficiently illustrate the point. Table 4.2 presents a comparison between all the movements of the three sonatas: their overall form and the structure of main and subordinate themes.

I believe that this distinction between an expanded main theme and a tight-knit subordinate theme was also interrelated with the character of the themes. In that sense, Albéniz's sonata forms present two well-defined, contrasting themes, the first having a more "instrumental" character and the second being more cantabile,[50] as traditionally described in compositional pedagogy. This overall conception of main and subordinate themes could have been influenced by the early nineteenth-century piano concerti that he, as a renowned concert pianist, undoubtedly knew very well. Since in this repertoire, as Julian Horton observed, "whereas A-theme syntax in this repertoire is marked by expansionism, B themes are, at least in the early postclassical repertoire, often more compact".[51] Albéniz's own piano concerto, written around the same time as the piano sonatas, and whose second theme has been reproduced in Chapter 2 for different purposes, is also a good example of this form-functional distinction. The theme is, after all, also structured as a symmetrical compound parallel period.[52] These characteristics of the phrase structure of Albéniz's themes in the early sonatas laid the foundations of his later sonata practice in *Iberia*. Nonetheless, the expansion processes found in the sonatas, which mostly consist of simple repetition, modal exchanges, or expanded cadential progressions, will be combined with complex metrical and hypermetrical conflicts in *Iberia*, as will be shown in the following section. This will analyse the main theme and transition sections of "Evocación", the first piece of *Iberia.*

[50] There is only one exception: "Eritaña".
[51] Horton, "Formal type and Formal Function", 99.
[52] See p. 74. Although the whole period lasts 8 bars, the 12/8 could have been easily notated as a 6/8, making it the 16 bars of the compound period.

| Compositions | Movements | Form | MT and TR | ST/IT |
|---|---|---|---|---|
| Piano Sonata No. 3 | i Allegretto | Sonata Form | C.P.[53] (12 + 21) | Sentencial (31) |
| | ii Andante | Theme and variations | - | - |
| | iii Allegro assai | Sonata Form | Intro (4); C.P. (9 + 7) | C.P. (12 + 9) |
| Piano Sonata No. 4 | i Allegro | Sonata Form | C.P. (11 + 20) | C.P. (8 + 9) |
| | ii Scherzino | Large Ternary (ABA) | Small Ternary | C.P. (16 + 8) |
| | iii Minuetto | Large Ternary (ABA) | Quatrain (aaba) | C.P. (8 + 8) |
| | iv Rondó | Sonata Form with Truncated Recapitulation (ABA) | Small Ternary (aba) a = C.P. (8 + 8) | C.P. (8 + 8) |
| Piano Sonata No. 5 | i Allegro non tropo | Sonata Form | Model (C.P.) and Sequences: (8 + 9 + 9 +8) | C.P. (16+17) |
| | ii "Minuetto del Gallo" | Large Ternary (ABA) | Non-Conventional | Non-Conventional |
| | iii "Reverie" | ABAB | Variations | Model - Sequence |
| | iv Allegro | "Type 2" Sonata | C.P. (12 + 18) | C.P. (8 + 8) |

Table 4.2: Comparison of movements of Albéniz's three complete sonatas

## "Evocación", from *Iberia*

"Evocación" was composed in 1905, almost 20 years after the sonatas were written. Some scholars have related it to the *fandanguillo*, a genre associated with the *malagueña*.[54] The piece also functions as a sort of prelude for the rest of the collection. In fact, Albéniz himself even gave it the title "prelude" in French in the original manuscript.[55] "Evocación" is cast as a sonata form with a short development section described in detail in Chapter 3. Despite the sometimes very intricate

[53] C.P. stands for Compound Period.
[54] Clark, *Isaac Albéniz,* 225.
[55] Jacinto Torres Mulas, *Iberia, de Isaac Albéniz, al través de sus manuscritos* (Madrid: Emec, 1998), 21.

phrase structure, I believe that, as with the piano sonatas, a basic periodic design structures the main theme and transition sections, shown in Example 4.10.

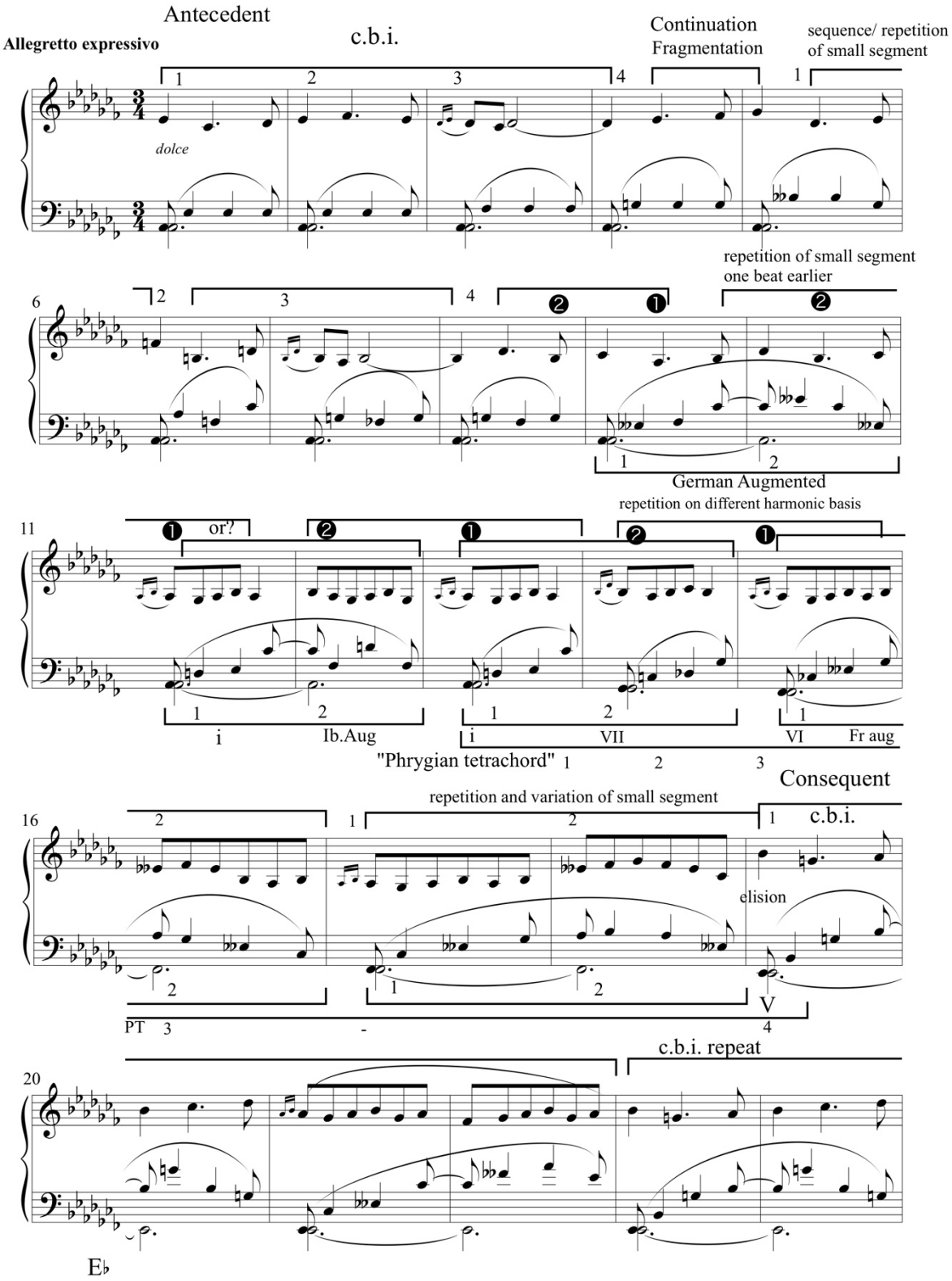
In the antecedent-phrase, the $\frac{3}{4}$ metre, though firmly secured by the bass and the harmonic rhythm, is somewhat distorted in the melody with an accented second beat that could easily lead us to perceive the $\frac{3}{4}$ bar one beat after how it is written. Moreover, the internal organization of the initial 19 bars is not obvious at all. Paul Mast has analysed in detail the phrase structure of the theme, pointing out the "irregularities that result in an interesting inner organization of the phrase structure".[56] Mast's first division of the "two square four measure units" of bb. 1–8 seems accurate, and we can easily group these 8 measures in two groups of four with an underlying 4-bar hypermeter shown through the Arabic numbers in my analysis: a 4-bar c.b.i. is followed by a 4-bar continuation. However, the motivic fragmentation of the continuation already distorts the "squareness" of the phrase-structure, as does the accented second beat.

From b. 9 onwards any internal division becomes more challenging, even If one can ultimately group the first phrase (bb. 1–19) as an expanded 4 + 4 + 8 group. The bass (with its ties) and the harmony establish a 2-bar hypermeter (this is shown through the Arabic numbers below the left hand of the piano from b. 9 onwards). Yet, these hypermeasures are in conflict with the grouping structure suggested by the melody, whose metrically displaced repetition (b. 10) clearly distorts both the duple hypermeter suggested by the bass and the grouping structure implied in the melody itself. Does b. 11 constitute the end of that motive *and* the beginning of a new group? Or does the new 2-bar group start on b. 12, conflicting with the bass though replicating the tonal design (the ❷-❶motion) of the motive of b. 9? Indeed, the tonal disposition of the melody in bb. 9–11 (and its replication in bb. 11–15) suggest a continuation of the grouping structure of the melody against the hypermeter at least until b. 15, where the phrase overlap is most clearly manifested. The passage (bb. 9–19) could be thought of as a series of almost obsessive "repetitions and variations of small segments" (to use Koch's terms), especially when one considers the ❷-❶ progression as the basic tonal motion of the passage. Moreover, the Phrygian tetrachord on the bass starting on b. 13 also contributes to blur all these divisions. The tetrachord initiates another 7-bar group that could be understood as an expansion of a more basic 4-bar phrase, implied by the initial disposition of ④

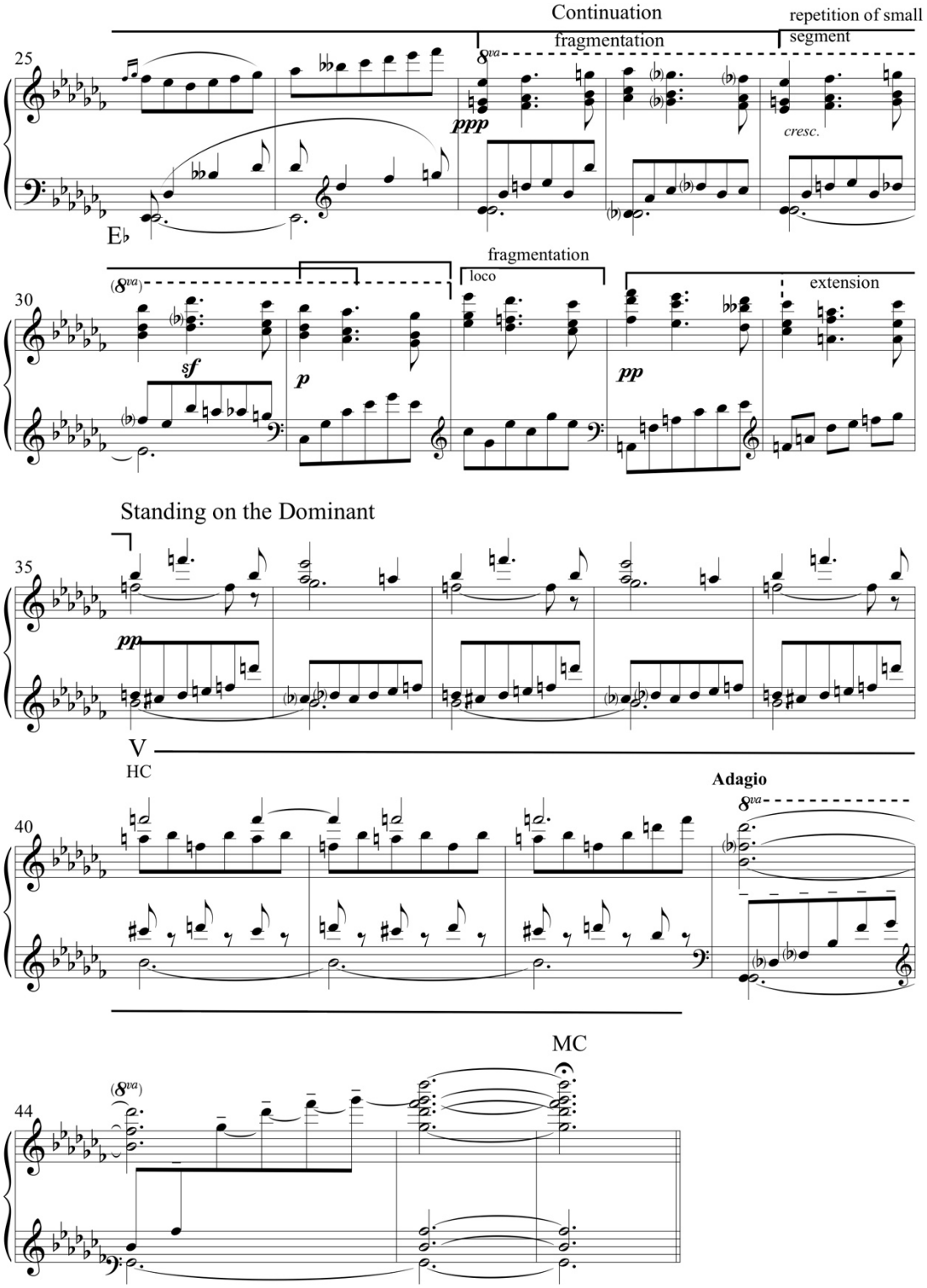
[56] Paul B. Mast, "Style and Structure in *Iberia* by Isaac Albéniz", (PhD diss., Eastman School of Music, 1974), 109.

③ of the tetrachord (in E♭) in dotted minims, and which ultimately leads to the expected Phrygian cadence in b. 19 that overlaps with the consequent phrase.

The consequent-phrase, which elides with the dominant cadence of the antecedent and hence prolongs the dominant (now tonic) of E♭, is more clearly organized as a sentence of 17 bars, consisting of a 4-bar c.b.i., followed by its repetition (bb. 23–26), and a continuation. In this case, there is a clear and prevailing 4-bar regularity, and only towards the end there is an extension of the 1-bar fragmented motive (b. 34), expanding what would have been a more regular 16-bar phrase. This can be easily corroborated by converting the pitches of the last beat of b. 33 into harmonic tones, and resolving the chord directly to the B♭ major triad of b. 35. The sentence is followed by a standing on the dominant that leads to the MC after the HC of b. 35. As it often happens in *Iberia*, Albéniz finally changes the established tonal trajectory, and, instead of arriving at the expected MC on the dominant of the dominant, he suddenly introduces the dominant of the mediant, the key of the subordinate theme.




Example 4.10: Albéniz, “Evocación”, from *Iberia* (T. 105) MT and TR sections




Example 4.10 (continued): Albéniz, “Evocación”, from *Iberia* (T. 105), MT and TR sections

The metrical and hypermetrical conflicts and the intricate phrase structure put "Evocación" far away from the square phrase rhythm and symmetrical phrase-structure that prevailed in Albéniz's first compositions, creating a genuine continuous musical prose that has nothing to do with the sectional writing of the earlier period and which is characteristic of *Iberia* as a whole. There are, nonetheless, two clear points of articulation in the discussed fragment: bb. 19, and 35. In the first, b. 19, a long-expected dominant elides with the restatement of the theme. The dominant is reached through the descending Phrygian tetrachord that creates a strong impulse for the E♭-major chord of b. 19. The elided restatement of the theme on the dominant, with the wonderful change of register, leads to a cadence on the dominant of E♭ (b. 35) and a standing on the dominant section (bb. 35–46) that signals the end of the transition.[57] We can, therefore, interpret this as a more refined variant of the periodic design used in the piano sonatas, and describe this formal type as a compound, parallel, continuous (since the dominant of 19 is prolonged over the restatement of the theme) period. Figure 4.5 shows a formal scheme of both main theme and transition sections of "Evocación". The way of achieving the dominant is of course way more sophisticated than in the sonatas, integrating the best-known formula of *flamenco* and Spanish music in general (the Phrygian tetrachord) within the "Marxian" period that he favoured in his earlier works.

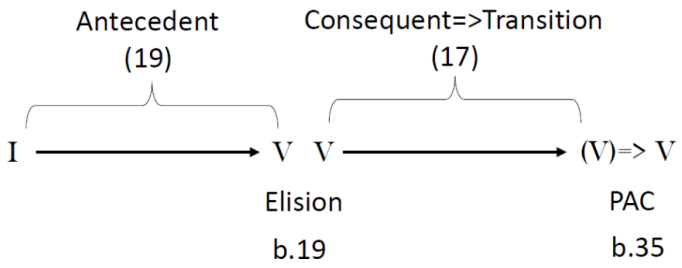



Figure 4.5: Albéniz,"Evocación", formal scheme of MT and TR sections

[57] For Paul Mast and Manuel Martínez Burgos, the "true transition" begins in b. 47. This is an "interpolation" in my view, since the "goal" of the transition (the dominant that announces the new theme and the resolution of the gaining energy process) has already been achieved. See Mast, "Style and Structure", 225; and Martínez Burgos, "Isaac Albéniz: la armonía en las composiciones de madurez para piano solo como síntesis de procesos tonales y modales" (PhD diss., Universidad Autónoma de Madrid, 2004), 286.

## Chapter 5: Albéniz and Sonata Form

The idea that the nature of the musical material determines the form of a piece has been a powerful belief in music historiography. Perhaps one of the writers who has expressed this most clearly is A.B. Marx, who states: "the formation of the main *Satz* is the first product of the Idea, the mood—in short, of the motivation for the composition that is to come into being. *It determines all that follows*" (emphasis added).[1] The influence of Marx's thinking can hardly be overstated, as "Marx is certainly best known as the theorist who named and codified sonata form".[2] These ideas about the predetermined formal fate of certain musical materials seem to explain Albéniz's compositional practice up until the late 1890s. As Walter Clark observed, "in the 1880s Albéniz had observed a clear distinction between his sonatas on the one hand and his Spanish-style character pieces (usually in da capo form)".[3] Given this strong generic distinction and the historiographical tradition mentioned above, one could hardly have predicted that in the late 1890s, and especially with *Iberia*, Albéniz would start composing works that combined the folkloric materials characteristic of his Spanish-style pieces with sonata form. From Marx's perspective, one would rather expect that these materials were continued to be cast as character pieces in large-ternary, or other sectional forms. The choice of sonata form for these materials raises a number of interesting questions, among others: how much do the early pieces in sonata form relate with the sonata form of later works like *Iberia*? Can we extrapolate a genuinely Albenician sonata form? To what extent or in what ways do his usages of the form relate to earlier sonata practices? What kind of historical models are these sonata-form pieces in dialogue with?

This chapter will study Albéniz's sonata forms to answer these questions: from the early sonatas to *Iberia*, passing through "Asturies" (T. 103B). The chapter will also argue that Albéniz's most innovative large-scale formal practice resulted from the combination of the structural use of the Phrygian mode with sonata form. To this end, I will first examine Albéniz's use of the Phrygian mode in the early Spanish-style pieces, and then proceed to study Albéniz's sonata forms.

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[1] A. B. Marx, *Musical Form in the Age of Beethoven*, ed. and trans. Scott Burnham (Cambridge: Cambridge University Press, 1997), 116.
[2] Ibid., 2.
[3] Ibid., 243.

Chapter 5

# The Phrygian Mode in the "Spanish-style" Compositions

As it is well known, one of the most quintessential features of Spanish music is the use of some version of the Phrygian mode, or what is sometimes referred to by Spanish music scholars as the "Andalusian mode".[4] From a "common-practice" perspective, this simply means a Phrygian mode, but with a prominent use of ♯3 in the ascending scale (and thus creating a characteristic augmented second between ^1and ^2), and whose *finalis* is harmonized with a major chord. For the purposes of facilitating discussion, and because I regard as the most essential aspect of these modes the ♭2-1 motion, I will simply use the term Phrygian here.

The pitch collection resulting from the Phrygian mode coincides with a natural or harmonic scale a fifth below. Hence, when harmonized with a major chord, the *finalis* of the Phrygian mode could easily function as a dominant for the key a fifth below. As Donald Francis Tovey once put it: "the Phrygian mode cannot form an authentic cadence; and its plagal cadence […] *sounds to our ears like a half close on the dominant of A minor*" (emphasis added).[5] In other words, for classically trained ears there is a tendency to perceive the *finalis* of the Phrygian mode as a dominant, and this could potentially create a functional and tonal ambiguity. As an example of this ambiguity and how it has been perceived in the literature, one can also mention that many eighteenth-century fandangos by Scarlatti, Soler, or Santiago de Murcia ended on a major chord on the *finalis* of this mode; many eighteenth-century scholars, however, misinterpreted this as a sign that the pieces were "incomplete" or that cadences were "inconclusive", as Peter Manuel has shown. The Spanish musicologist Berlanga Fernández concluded: "the pieces cannot be regarded as ending on the dominant, since such an analysis assumes that they are tonal, which they are not".[6]

[4] Indeed, many scholars prefer to make a distinction between the Phrygian and the "Andalusian" modes. Peter Manuel showed the affinities between the "Andalusian Phrygian tonality" and two modes of Arab music: *Bayātī* and *Hijāz.* Peter Manuel, "From Scarlatti to 'Guantanamera': Dual Tonicity in Spanish and Latin American Musics", *Journal of the American Musicological Society* 55, no. 2 (2002): 312.
[5] Donald Francis Tovey, "Harmony", *Musical Articles from the Encyclopaedia Britannica* (London: Oxford University Press, 1944), 53. I thank Prof. William Drabkin for bringing this to my attention.
[6] As quoted in Manuel, "From Scarlatti to 'Guantanamera´", 318.

Although this "dual tonicity", as Manuel called it, is mostly associated with *flamenco* and Andalusian music, it is also characteristic of many Spanish folk music in general.[7] In fact, I would argue that it is consubstantial to the Phrygian mode, at least when heard and understood from a common-practice tonal perspective. Already in the seventeenth century, the theorist Johann Andreas Herbst showed in his *Musica Poëtica* (Nürnberg, 1643) how a composition on the Phrygian mode could end on an A-major triad with only the tenor on E.[8] Tovey, in the same passage quoted above, argued that the E-major chord ending of the Phrygian mode is "quite final enough for modal harmony, but a very slight impulse may make Palestrina reverse the cadence and so end with a chord of A".[9] In general, these special characteristics of the Phrygian mode made it quite persistent in Western music theory. As Joel Lester pointed out, there were some voices even in the late eighteenth century who expressed their doubts about dissolving the Phrygian mode into the 24 major and minor key system,[10] suggesting that these authors viewed it as sufficiently differentiated from the major and minor modes as to be treated independently and coexisting with them. On the other hand, in recent harmony and voice-leading textbooks, the $\mathrm{iv}^{6}$-$\mathrm{V}$ cadence in the minor mode is often referred to as the "Phrygian cadence". This is typically mentioned when describing possible approaches to the dominant chord. The label "Phrygian" refers to the half-step motion in the bass between ^6 and ^5, which replicates the cadential ♭2-1 motion of the Phrygian mode.[11] Thus, "the Phrygian cadence" in common-practice, tonal repertoire is considered a half cadence, and therefore, inextricably linked to the last chord's dominant function. However, in a "genuinely Phrygian" composition, either a Renaissance/Medieval work or a folk song, or, most likely, in a twentieth-century modal composition, though perhaps somewhat anachronistically, one would rather associate the last chord with a tonic (not dominant) function. Nonetheless, there is an evident tension between these two interpretations, and in the late nineteenth-early twentieth centuries, a passage or a whole section can be tonally and functionally ambiguous. An example from Albéniz's music will illustrate this. Example 5.1, already reproduced in Chapter 2 for different purposes, is taken from the interior theme of "Asturias" (T. 61E).

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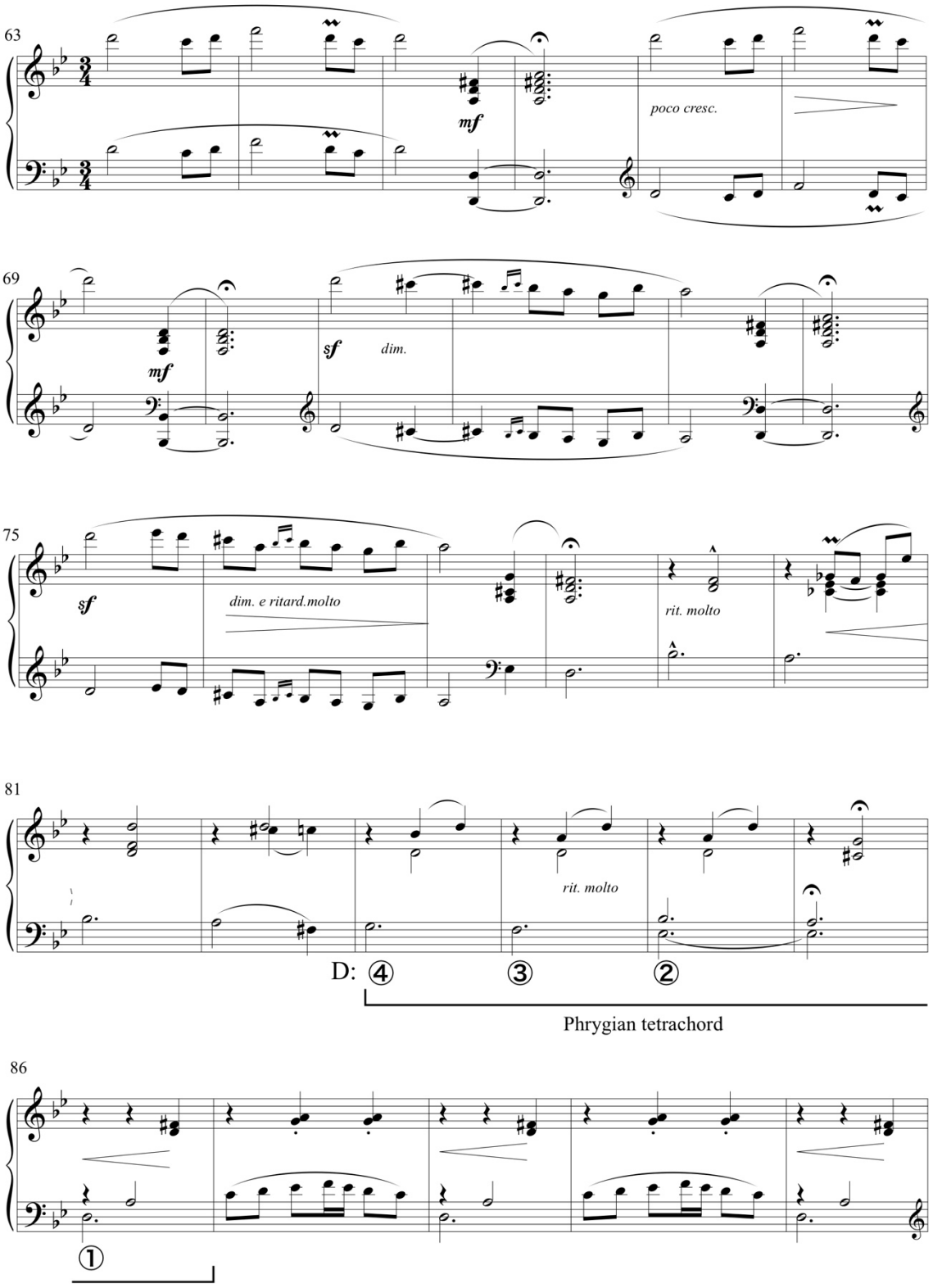
[7] José Antonio de Donostia, "El modo de *mi* en la canción popular española", *Anuario musical* 1 (1946), 153–79.

[8] In Joel Lester, *Between Modes and Keys: German Theory, 1592-1802.* Harmonologia Series (New York: Pendragon Press, 1989), 63–65.

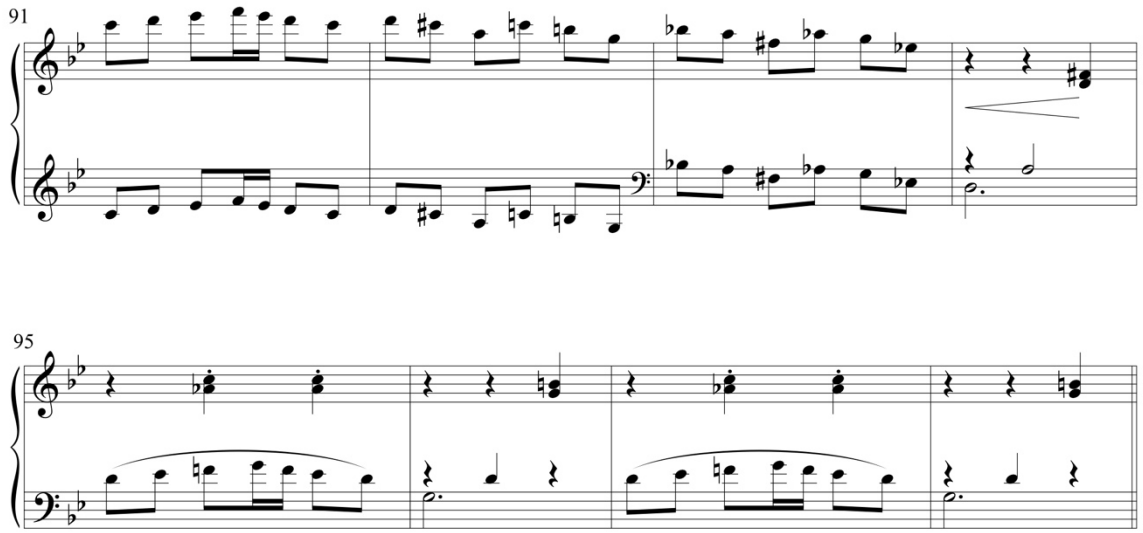
[9] Tovey, "Harmony", 53.

[10] See Lester's account of the writings of Kirnberger (ibid., 144), Spies (131), and Kuhnau (124 and 109).

[11] See for instance, Edward Aldwell and Carl Schachter, *Harmony and Voice Leading* (Boston: Schirmer, 2011), 200.




Example 5.1: Albéniz, “Asturias” (T. 61E), IT




Example 5.1 (continued): Albéniz, "Asturias" (T. 61E), IT

The main theme of this piece (not shown) is usually related with the *bulerías*, and the interior theme or *copla* is a deep lamentation imitating the *cante jondo*.[12] Given that the piece is in G minor and that this is the interior theme of one of Albéniz's large ternary pieces, one would expect the secondary key to be in G major, B♭ major, E♭ major, or, less likely, D major. Although hints to all these keys are present throughout the entire theme, the passage, overall, is in the Phrygian or Andalusian mode as the music mostly cadences on D using the characteristic ♭2-1 motion. Albéniz evokes the deep song of the *cante jondo* with a monodic texture: a melody doubled at the 15th, repeated, varied, and with "instrumental interludes" (bb. 66, 70, and 74 of Example 5.1) that end with a major chord on the *finalis.* However, a classically trained listener could also interpret this passage in G (minor). In fact, a G chord is given in bb. 83 and 96. There is, thus, a possibility of interpreting the D chord as a hypothetical dominant. In other words, the Phrygian mode carries a potential functional ambiguity from the point of view of classically trained musicians. As a classically trained pianist on the one hand, and as a composer inspired by Spanish folklore on the other, Albéniz was in between both worlds, and, as we will see, efficiently exploited this functional ambiguity. As Paul Mast put it: "in essence, however, ambiguity arises because the Phrygian mode

[12] Clark, *Isaac Albéniz,* 98.

is so often given a major final, which increases the tendency for European-trained ears to interpret this final as dominant of the key whose tonic lies a perfect fifth lower. The author is convinced that Albéniz was aware of this ambiguity and exploited it as a structural device".[13] Indeed, in the final years of his compositional career, Albéniz would use this compositional resource in a more structural manner, combining it with sonata form. But before describing how precisely he did that, it is necessary to study Albéniz's sonata forms, from the early piano sonatas to *Iberia.*

## Sonata Form in the Piano Sonatas

Next to the famous Spanish-style compositions and other small piano pieces in ternary form, Albéniz also wrote in more academic genres. In the late 1880s, alongside a piano concerto ("Concierto Fantástico", T. 77) and piano *études*, he composed several piano sonatas; he claimed to have written 7, though only 3 survived complete: sonatas 3, 4, and 5, all composed between 1886 and 1888. The following paragraphs will analyse the movements in sonata form of these three sonatas. Chapter 4 already provided a table with the form of the individual movements of the sonatas and their respective themes, reproduced here again for the reader's convenience as Table 5.1 and including also the organization of the development section.

| **Compositions** | **Movements** | **Form** | **MT and TR** | **ST/IT** | **Development** |
|---|---|---|---|---|---|
| Piano Sonata No. 3 | i Allegretto | Sonata Form | C.P.[14] (12 + 21) | Sentential (31) | Pre-core/core |
| | ii Andante | Theme and variations | - | - | - |
| | iii Allegro assai | Sonata Form | Intro (4); C.P. (9 + 7) | C.P. (12 + 9) | Core |
| Piano Sonata No. 4 | i Allegro | Sonata Form | C.P. (11 + 20) | C.P. (8 + 9) | "Rotational" |
| | ii Scherzino | Large Ternary (ABA) | Small Ternary | C.P. (16 + 8) | - |

[13] Paul B. Mast, "Style and Structure in *Iberia* by Isaac Albéniz", (PhD diss., Eastman School of Music, 1974), 130.
[14] C.P. stands for Compound Period.

| | | | | | |
|---|---|---|---|---|---|
| | iii Minuetto | Large Ternary (ABA) | Quatrain (aaba) | C.P. (8 + 8) | - |
| | iv Rondó | Sonata Form with Truncated Recapitulation (ABA) | Small Ternary (aba) a = C.P (8 + 8) | C.P. (8 + 8) | - |
| Piano Sonata No. 5 | i Allegro non tropo | Sonata Form | Model (C.P) and Sequences: (8 + 9 + 9 +8) | C.P. (16 + 17) | Pre-core/core |
| | ii "Minuetto del Gallo" | Large Ternary (ABA) | Non-Conventional | Non-Conventional | - |
| | iii "Reverie" | Type 1 Sonata | Variations | Model - Sequence | - |
| | iv Allegro | Type 2 Sonata | C.P. (12 + 18) | C.P. (8 + 8) | "Rotation 2" |

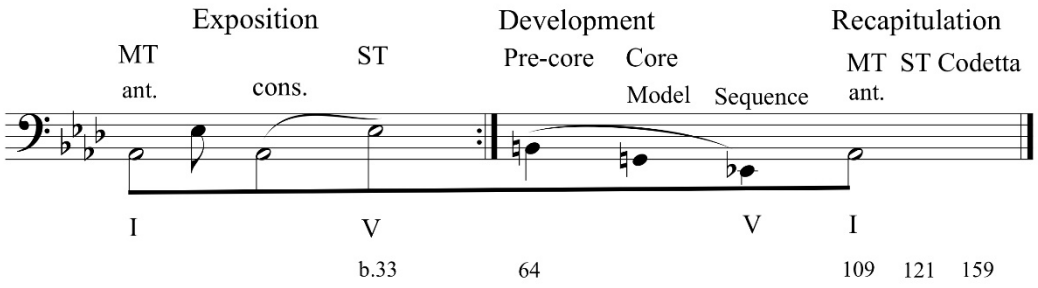
Table 5.1: Comparison of movements of Albéniz's three complete sonatas

## Piano Sonata No. 3 (T. 69)

### First Movement

The first movement of the third piano sonata is the more tight-knit and condensed. It is the earliest of the sonatas and perhaps a less ambitious work—given its smaller dimensions (it is the shortest of the three) and the lighter character of the first movement. The exposition moves from the tonic to the dominant (A♭ to E♭), with a main theme in the main key, and a contrasting, subordinate theme in the dominant key. As discussed in detail in Chapter 4, the first section of the exposition has an antecedent (12 bars) + dissolving consequent (21 bars) design, in which the consequent becomes (=>) the transition. The transition ends with an imperfect authentic cadence that elides directly with the subordinate theme (b. 33). This theme, thus, is not previously announced with a MC or dominant arrival that usually prepares the launching of a new theme. As shown already in Chapter 3, the subordinate theme is an expanded sentence. The development section of this movement follows the pre-core/core model. The pre-core is a varied repetition of the main theme in the flat mediant B major-minor (8 bars). The core consists of a model in G (16 bars) followed by a sequence in E♭. The latter conveniently ends on a pedal point (after all E♭ is the dominant of the main key) to prepare the recapitulation. Thus, as shown in Example 5.2, the development section is entirely based on a cycle of descending major thirds. The first section of the recapitulation simply cuts off the dissolving consequent of its expositional counterpart, and the antecedent (12 bars) leads directly to the subordinate theme. The shorter first section is compensated with a closing

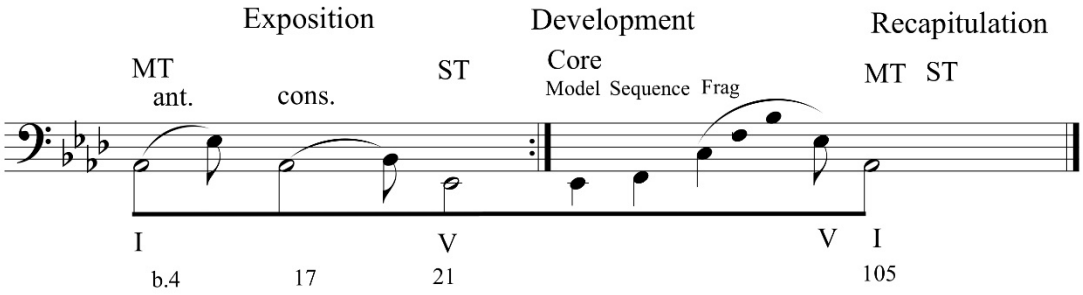
section (b. 152) absent in the exposition and a small codetta (b. 159). Example 5.2 provides a tonal/formal graph of the first movement.




Example 5.2: Albéniz, Piano Sonata No. 3 (T. 69), i, tonal/formal scheme

### Third Movement

The third and last movement of the third sonata is likewise in clear sonata form with a written-out exposition. The movement is in a fairly fast tempo (*Allegro assai*), and, to this listener, strongly resembles the first movement of Beethoven's Piano Sonata No. 16 in G Major, Op. 31, No. 1. The tonal plan is the same as in the first movement: a main theme on the main key (A♭) and a contrasting, subordinate theme on the dominant (E♭). The phrase-structure is also very similar: a grand opening gesture (bb. 1–5 with overlap) is followed by an antecedent and a dissolving consequent that ultimately moves to the dominant of the dominant (bb. 19–20) to introduce the subordinate theme (b. 21). This is a beautiful, lyrical, contrasting theme also with a periodic design in which bb. 21–32 form the antecedent, and 33–41 the consequent, creating a very tight-knit theme. The development section (b. 83 onwards) follows the model-sequence/fragmentation technique typical of the core. The model replicates the initial 8 bars of the piece in E♭ minor; it is then sequenced in F minor, and then followed by a fragmentation process leading directly to the recapitulation (b. 105), which seems to start in the middle of a sequential process. The recapitulation is certainly condensed, since only 8 bars of the MT are restated; these lead directly to the ST in the main key. This shortened recapitulation is compensated with an expansion process in the ST, whose final cadence is skilfully delayed, expanding the cadential $^{6}_{4}$ chord (b. 128) and including a movement towards the subdominant (b. 130) that is a typical sign of closing in the classical tradition. Example 5.3 provides a tonal/formal overview of the entire movement.




Example 5.3: Albéniz, Piano Sonata No. 3 (T. 69), iii, tonal/formal scheme

## Piano Sonata No. 4 (T. 75)

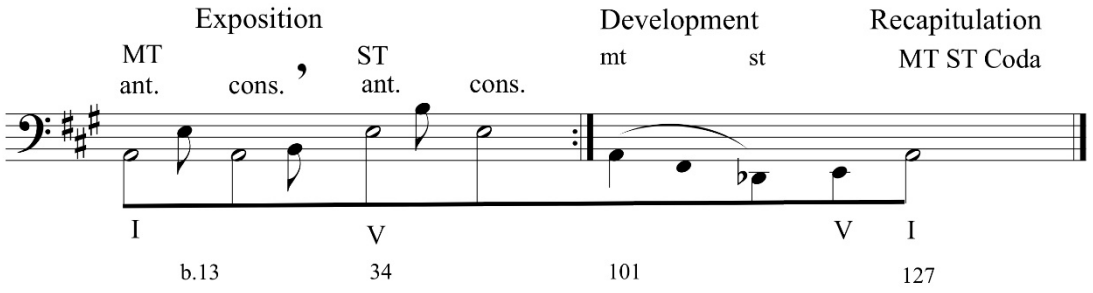
### First Movement

The first movement of the fourth sonata is considerably longer than its counterpart in the third sonata. As in the last movement of the previous sonata, there is a written-out repeat of the exposition. The first section is very similar to the design of the same section of the third sonata: an antecedent (11 bars)-dissolving consequent (20). In the case of the fourth sonata, however, the dissolving consequent finally modulates to the dominant of the dominant to prepare the second theme through a PAC on B major (b. 31), or, in other words, a reinterpreted half cadence in E major, the key of the ST. This theme is very similar to that of the third sonata, both in motivic content and formal construction. In that sense, it is quite tight-knit: a period with a sentential antecedent (8)-consequent (9) that leads directly to the point of Essential Expositional Closure (EEC).[15] The development section follows Hepokoski and Darcy's "rotational" principle, stating first the main theme in the minor mode of the main key (7 bars), and then in the flat submediant (12).[16] The latter dissolves into a falling fifths, transitional passage that leads to the ST in the major mediant (now re-spelled as D♭), which modulates to the dominant (E). Thus, like in the third piano sonata, the tonal plan of the development section is entirely based on major thirds. In the recapitulation, Albéniz simply cuts off the dissolving consequent of the exposition, leading the antecedent directly to the ST like in the third sonata. The considerably shorter first section is partly compensated with a small

[15] James A. Hepokoski and Warren Darcy, *Elements of Sonata Theory Norms, Types, and Deformations in the Late Eighteenth-Century Sonata* (New York; Oxford: Oxford University Press, 2006), 120–24.
[16] Ibid., 611–14.

coda (7 bars) that follows the end of the subordinate theme in the main key. Example 5.4 provides an overview of the whole movement.

Piano Sonata No. 5 (T. 85)




Example 5.4: Albéniz, Piano Sonata No. 4 (T. 75), i, tonal/formal scheme

First Movement

Judging by its length and number of movements, the fifth was probably the most ambitious of the three sonatas. For Torres, it seemed that this sonata was the one that "gave him the greatest satisfaction and with which he must have felt closest to the vaguely classical ideal that he pursued".[17] The first movement follows the same overall tonal plan: a main theme in the tonic key and a subordinate theme on the dominant. As pointed out in Chapter 4, the phrase structure of the MT is slightly different from the other two sonatas: the whole section is based on block transpositions and juxtapositions of a theme of 8-9 bars, delimited by their respective cadences. Yet, the initial blocks are still designed as antecedent-consequent phrases (Table 5.2).

| **Block 1 (bb.1–8)** | **Block 2 (9–17)** | **Block 3 (17–25)** | **Block 4 (25–32)** |
|---|---|---|---|
| Antecedent | Consequent | Appendix=>modulation | Transition? |
| 8 | 9 | 9 | 8 (4 + 4 SonD) |
| G♭ - "H.C" | G♭ - C♯m | C♯m - A♭ | A♭ |

Table 5.2: MT and TR sections of Albéniz's Piano Sonata No. 5 (T. 85)

[17] Jacinto Torres Mulas, "La inspiración clásica de Isaac Albéniz", liner notes for *Isaac Albéniz: Sonatas para piano n 3, 4, 5. L'Automme*, Albert Guinovart, piano, Harmonia Mundi CD HMI 987007, 1994, p. 18. See also Torres, *Las claves madrileñas de Isaac Albéniz*, (Madrid: Ayuntamiento de Madrid, 2008), 49.

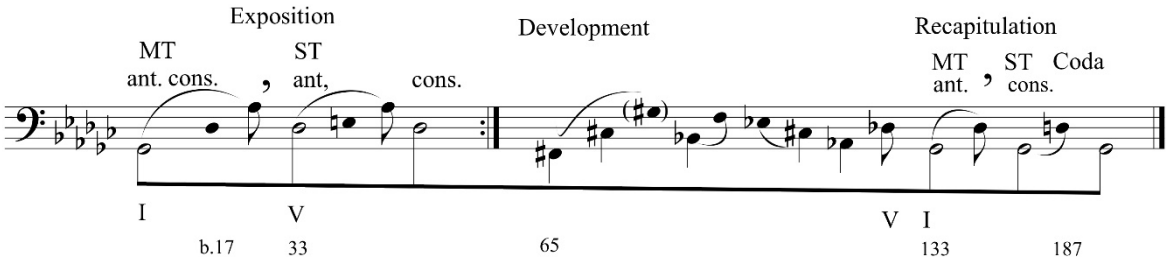
As described more in detail in the previous chapter, the ST is slightly contrasting and has a more lyrical quality. Its block construction is fairly similar to the first theme, though in this case forming a large compound period. The development section largely follows the block construction of the exposition, but now structured as a pre-core/core. The initial bars replicate block 1 in the minor mode (respelled as F♯ minor) and, consequently, modulate to C♯ minor. Then Albéniz repeats the first half of block 2. The following section begins the core of the development. This consists of a large block of 12 bars of a considerably more virtuosic character (4x2 + 4), sequenced first in B♭ minor, and then repeated in the original key of C♯ minor after a small interpolation of 12 bars structured as 7 + 5, the latter group being based on the closing section of the exposition. Each block of the core contains a different and short modulating passage (approximately 4 bars) that links each section. The final block leads to a pedal point (first A♭ then D♭) that prepares the recapitulation. Table 5.3 provides an overview of the development section.

| **Pre-core** (bb. 65–77) | | **Core** (77–101) | | **Interpolation** (102–113) | | **Core** (113–125) | **Pedal** (125–131) |
|---|---|---|---|---|---|---|---|
| Block 1 | Block 2 | Model | Sequence | | closing section | Model | Pedal point |
| 8 | 5 | 4x2 + 4 | 4x2 + 4 | 7 | 5 | 4x2 + 5 | 8 |
| F♯m | C♯m | C♯m-(G♯m) | B♭m | F | E♭m | C♯m-Ab | D♭-G♭ |

Table 5.3: Albéniz, Piano Sonata No. 5 (T. 85), development section

The recapitulation is initially shortened by omitting substantial parts of the first section. The shorter exposition will be somehow compensated with a coda. Essentially, Albéniz repeats the antecedent and consequent phrases (Blocks 1 and 2 respectively), altering the final part of the consequent to end with a PAC on D♭, which becomes, again, a reinterpreted half cadence on the main key with a long standing on the dominant. The ST is just a transposition of the exposition now on the main key of G♭. The most fundamental difference with respect to the exposition appears after the closing section. After a deceptive cadence, Albéniz introduces a coda in the flat submediant ("the romantic

tonal region per excellence" according to Richard Taruskin).[18] The tonal/formal plan of the entire movement is summarized in Example 5.5.

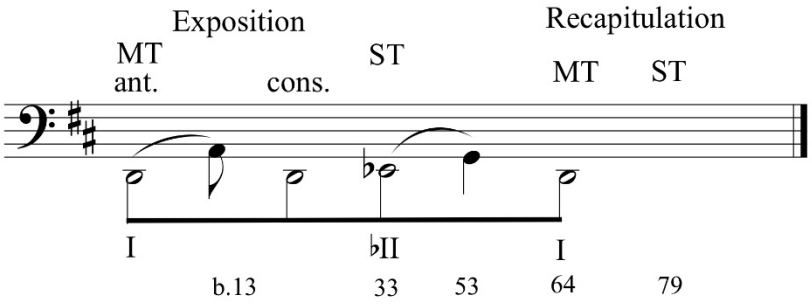



Example 5.5: Albéniz, Piano Sonata No. 5 (T. 85), i, tonal/formal scheme

### Third Movement

The third and slow movement of the fifth sonata could be considered as what is often referred to as sonata form without development or slow-movement form. From the point of view of Sonata Theory, it could be categorized as a type 1.[19] Tonally speaking, it is the most adventurous movement of all the sonatas: a main theme in D major is followed by a subordinate theme in E♭ major (b. 33), which is then sequenced in G major (b. 53). Each of these events is followed by modulating transitions connecting the passages, and the main theme-transition section follows roughly the antecedent – dissolving consequent set up of the previous sonatas. In the recapitulation (b. 64), both themes are restated in the main key.

[18] See Richard Taruskin, "The Music Trance", in *Music in the Nineteenth Century.* The Oxford History of Western Music (Oxford: Oxford University Press, 2010).
[19] Hepokoski and Darcy, *Elements of Sonata Theory*, 343–52.




Example 5.6: Albéniz, Piano Sonata No. 5 (T. 85), iii, tonal/formal scheme

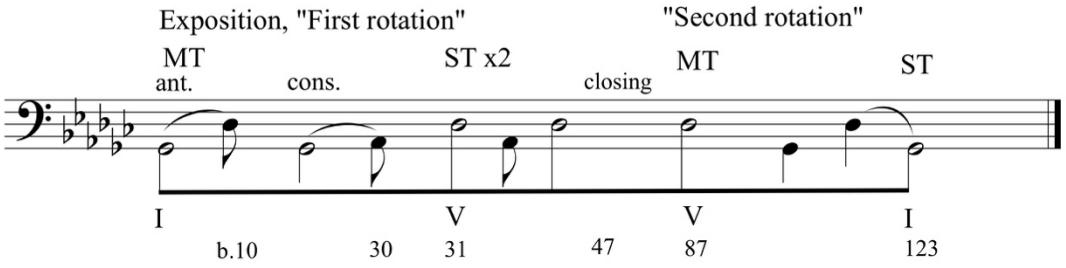
### Fourth Movement

The fourth and last movement of the fifth sonata could also be understood as a type of sonata form. Albéniz played his fifth sonata twice in the Barcelona Universal Exposition on 19 August and 11 October 1888, calling the fourth movement *Final a la antigua* and *Allegro a la antigua* respectively. Jacinto Torres saw the last movement as a homage to Scarlatti, and perceives the influence of Chopin in the other three.[20] After all, these were the composers chosen by Albéniz in the piano competition that he won at Brussels conservatory in 1879.[21] Nonetheless, Albéniz scholarship has not presented many detailed arguments about what specifically made this sonata sound classical or, in particular, why would this be a homage to Scarlatti. The movement, with its thin texture, graceful character, articulation, harmonic language, abundant grace notes, mordents, *acciaccaturas*, and the continuous eight-note pattern that creates a *perpetuum mobile*, is the most suggestive of eighteenth-century music of all the sonatas. Like the phrase structure of "Eritaña", discussed in detail in Chapter 2, we see again the almost obsessive repetition of two-bar units against a relatively lightweight harmonic background, consisting mostly of simple tonic-dominant alternations, and which was most characteristic of Scarlatti's writing.

Example 5.7 provides the overall tonal/formal scheme of the piece. As nearly every exposition of Albéniz's piano sonatas, the main theme and transition sections are structured as an antecedent and expanded consequent. The subordinate theme is structured as a tight-knit compound period of 16 bars followed by a closing section of 12 bars. After a written-out repetition of both ST and closing section, Albéniz begins the development section by restating the MT on the dominant key

[20] Torres, liner notes for *Isaac Albéniz: Sonatas para piano no 3, 4, 5. L'Automme*, p. 18. See also *Las claves madrileñas*, 49.
[21] More concretely, he performed a "capriccioso" of Scarlatti, and Chopin's *Variations brillantes*, Op. 12. See Clark, *Isaac Albéniz*, 38.

(D♭) in b. 87, and then briefly on the tonic (b. 95). As Hepokoski and Darcy show, this was perhaps the most common strategy to begin a development section in the mid-late eighteenth century, as was recognized also in contemporary theoretical literature. In their own words: "the most common thing to do was to begin the development with a restatement of the opening of the P-theme [MT], usually in the same key (V) in which the exposition had just ended […]. This initial sounding of P in V often gives way almost immediately to a second sounding of P a fifth lower, that is, on I (the tonic). This exemplifies a common strategy to begin the development with a descending circle of fifths on P".[22] The restatement of the MT in G♭ is followed by a *Fortspinnung*-like section that uses a falling-fifth pattern and leads to a PAC on D♭ (b. 111), after which Albéniz reuses the material from the closing section. This ultimately becomes a retransition for a final restatement of the ST on the main key G♭ (b. 123 onwards). The brief restatement of the theme on I in b. 95 should not be viewed as a recapitulation. This restatement is embedded within a developmental process that ultimately closes on the key of the dominant, and which is also on the "wrong" register. The ST, on the contrary, is restated on the main key in b. 123, providing the "tonal resolution" of the piece.




Example 5.7: Albéniz, Piano Sonata No. 5 (T. 85), iv, tonal/formal scheme

For those versed in Sonata Theory, the movement as a whole could be understood as a type 2 sonata.[23] The traditional tendency in *Formenlehre* was to consider this form of this sort teleologically as a "not yet" fully worked out sonata form. Only in the relatively recent work of Hepokoski and Darcy this option became a formal type in its own right within the possibilities of sonata form. The form seems to be much closer to the eighteenth-century binary forms than

[22] Hepokoski and Darcy, *Elements of Sonata Theory*, 207.
[23] Ibid., 353–87.

Hepokoski and Darcy's type 3, the "standard" or text-book sonata form. In the mid eighteenth century, it became common, for instance, in some of C.P.E Bach sonatas, in Italian and Italian-influenced composers (such as J.C. Bach), in the works of the Mannheim School,[24] as well as in some of Mozart's early symphonies. But there was a particular eighteenth-century composer who became mostly associated with an idiosyncratic version of this form: Domenico Scarlatti. Before Hepokoski and Darcy's work, László Somfai and Leonard Ratner have even referred to this specific form as the "Scarlatti sonata form".[25] In *Classical Music*, Ratner presented a formal/tonal model of what he considered to be typical of Scarlatti's sonatas and *eccercizi,*[26] reproduced here as Table 5.4.

| Melodic material | A | B | A | B |
|---|---|---|---|---|
| Key | I | V | V (X) | I |

Table 5.4: "Scarlatti" sonata form according to Ratner

Although this might have been a hasty generalization of Scarlatti's standard practice—especially regarding the restatement of "A" in the second part and its association with the dominant key—, the memorability of "B" (as opposed to the less memorable "A" theme)[27] and its final restatement on the tonic, became one of the trademarks of Scarlatti's sonatas. Kirkpatrick summarized this practice by arguing that "the Scarlatti sonata is roughly like a classical sonata that beings to obey the [Classical] rules only with the second theme and the closing themes, in other words, [only] after the definitive establishment of the closing tonality".[28] Kirkpatrick also famously coined the term "crux" to refer to the moment in the sonata when the material from the first and second halves start to correspond, a term that has also been adopted by Hepokoski and Darcy.[29] Sutcliffe, on the other hand, used the term "balanced binary form" to refer to the fact that "the material that closes

[24] Ibid., 359.
[25] László Somfai, *The Keyboard Sonatas of Joseph Haydn: Instrument and Performance Practice, Genres and Styles* (Chicago: University of Chicago Press, 1995), 191.
[26] Leonard G. Ratner, *Classic Music: Expression, Form, and Style* (New York: Schirmer Books, 1980), 232.
[27] Sutcliffe even writes that "Scarlatti has second subjects but generally not first subjects", and the material from the beginning "seems to be relatively indeterminate thematically". W. Dean Sutcliffe, *The Keyboard Sonatas of Domenico Scarlatti and Eighteenth-Century Musical Style* (Cambridge: Cambridge University Press, 2003), 324.
[28] Quoted in Janet Schmalfeldt, "Domenico Scarlatti, Escape Artist: Sightings of his 'Mixed Style' towards the end of the Eighteenth Century", *Music Analysis* 38, no. 3 (2019): 256.
[29] To be clear, for Kirkpatrick, unlike for Hepokoski and Darcy, the crux would refer to both correspondence moments in both the first and second parts of the sonata. See Ralph Kirkpatrick, *Domenico Scarlatti* (Princeton U.P; Oxford U.P, 1953), 255 and Hepokoski and Darcy, *Elements of Sonata Theory*, 240.

each half matches and so creates a structural rhyme".[30] Both Kirkpatrick and Sutcliffe have been somewhat reluctant to adopt the term "sonata form" and the terminology that comes with it (exposition, development, etc.) to describe Scarlatti's binary forms. Hepokoski and Darcy, however, fully embraced the sonata-form interpretation by including Scarlatti's forms within the constellation of their five sonata types. They in fact acknowledged two main variants of their type 2 in Scarlatti's sonatas, which differ on the nature of the material used at the beginning of the second part. The first of these would (more or less) literally restate the A section at that point, typically over the dominant, whereas the second would introduce new material, usually a succession of "modulatory ideas".[31] In either case, the type 2 rests fundamentally on the idea of "double rotation" as opposed to the "triple rotation" of the type 3.[32] Using traditional terminology, the first rotation corresponds with the exposition, the first half of the binary form, and the second rotation with the development and recapitulation, the second half of the binary form.

Hepokoski and Darcy's contribution with respect to Scarlatti scholarship is to situate the "Scarlatti sonata-form" within a more general tradition of sonata writing, as Janet Schmalfeldt pointed out,[33] and to include this form within the possibilities of the sonata. Yet, as Schmalfeldt argued, within the few chronological certainties that we have about Scarlatti's sonatas, it seems clear that some of Scarlatti's forms preceded by many years the apogee of the type 2 between the 1740s and 1770s. Likewise, Scarlatti is still the composer mostly associated with some form of a type 2 sonata in the literature, even way before the term was coined by Hepokoski and Darcy, as the examples from Ratner, Kirkpatrick, Somfai, and Sutcliffe attest. Thus, the fact that Albéniz chose to emulate this form in this sonata, which Torres perceived as a homage to the Neapolitan, hardly seems like a coincidence. It seems even more conspicuous to use the form in the late nineteenth century when one considers that the idea of beginning a development section with a restatement of the MT on the dominant key, which Hepokoski and Darcy associate with one of the two main possibilities of Scarlatti's type 2 sonatas, was a practice already considered old-fashion by Francesco Galeazzi as

[30] Sutcliffe, *The Keyboard Sonatas of Domenico Scarlatti,* 320.
[31] Hepokoski and Darcy, *Elements of Sonata Theory*, 355. For a succinct summary of this scholarship see Schmalfeldt, "Domenico Scarlatti", 255–58.
[32] The idea of 'rotation' became one of the key concepts of sonata theory, defined as the recurrence of successive material established at the piece's outset. For a more complete definition, see Hepokoski and Darcy, *Elements of Sonata Theory*, 611–21.
[33] Schmalfeldt, "Domenico Scarlatti", 258.

early as 1796.[34] Although some authors have been arguing for the persistence of the type 2 sonatas in the nineteenth century, as we will see below, nineteenth-century type 2 sonatas would never restate the MT on the dominant key in the second half of the piece.

Hepokoski and Darcy argued that even though by the early 1770s the type 2 had begun to decline in favour of the type 3, the form "never disappeared entirely",[35] and they mentioned numerous nineteenth-century examples from Weber, Schubert, Mendelssohn, Chopin, or Brahms. Yet, more recent scholarship has debated the adequacy of using the type 2 label for nineteenth-century music. While Peter Smith is more inclined to advocate for the validity of the type 2 interpretation,[36] Steven Vande Moortele considers the label "anachronistic" when applied to this repertoire.[37] Likewise, Paul Wingfield has argued that "it is difficult to identify a single work in the nineteenth-century repertoire where a type 2-oriented reading is richer and more compelling than a type 3-based one".[38] It goes well beyond the scope of this chapter to enter into the debate of the adequacy of the type 2 in a nineteenth-century context.[39] It suffices to say here that if a type 2 sonata form was not a common compositional option for nineteenth century composers, as some of these authors strongly claim, the idea of this form being an homage to Scarlatti in the last movement of the fifth sonata would even gain more force. As Vande Moortele himself says, "in a nineteenth century context, however, the very decision to revive this older format arguably constitutes a deformational gesture".[40] Despite all the formal parallelisms with Scarlatti and the type 2, if this movement was an imitation of Scarlatti's sonatas, this was also a bit *sui generis*. The kind of Classical syntax found in Albéniz's sonata, with its symmetrical phrasing and balanced antecedent-consequent phrases is hardly characteristic of Scarlatti's writing.

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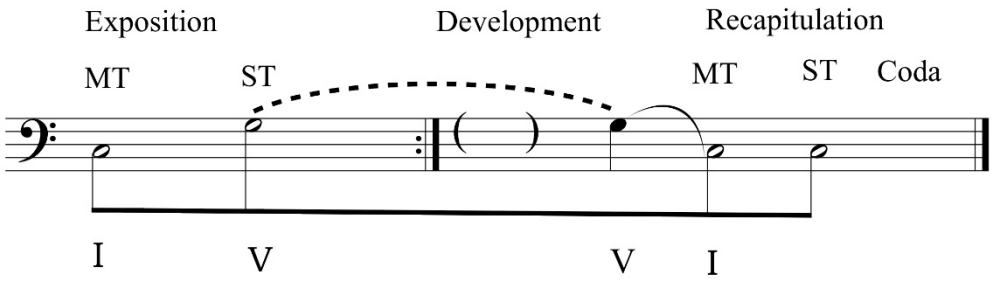
[34] See Bathia Churgin, "Francesco Galeazzi's Description (1796) of Sonata Form", *Journal of the American Musicological Society* 21, no. 2 (1968): 195.
[35] Hepokoski and Darcy, *Elements of Sonata Theory*, 363.
[36] Peter H. Smith, "The Type 2 Sonata in the Nineteenth Century. Two Case Studies from Mendelssohn and Dvořák", *Journal of Music Theory* 63, no. 1 (2019): 103–38.
[37] Steven Vande Moortele, *The Romantic Overture and Musical Form from Rossini to Wagner* (Cambridge: Cambridge University Press, 2017), 237.
[38] Paul Wingfield, "Beyond 'Norms and Deformations': Towards a Theory of Sonata Form as Reception History", *Music Analysis* 27, no. 1 (2008): 160.
[39] For an even more recent summary of the debate see the special number of *Music Analysis* dedicated to the issue. In particular, Steven Vande Moortele, 'Apparent Type 2 Sonatas and Reversed Recapitulations in the Nineteenth Century', *Music Analysis*, 0/0, 2021, 1–32, https://doi.org/10.1111/musa.12179, where Vande Moortele develops more his views.
[40] Vande Moortele, *The Romantic Overture*, 238.

Considering that Albéniz's sonatas were written in the late nineteenth century, it is surprising that he relied on the tonic-dominant polarity of the Classical sonata in the vast majority of the pieces, rather than exploring more tonally adventurous options, especially since he was such a devoted admirer of the highly chromatic music of Wagner and Liszt.[41] Nonetheless, he also introduced elements of a more nineteenth-century practice, namely, the juxtaposition of two well-defined, contrasting themes. This thematic conception seems to vaguely follow the sonata-form models described in the main compositional treatises of the early nineteenth century (Marx, Czerny, etc.). In general, Albéniz's main themes feature shorter lines and internal repetitions of small motives, a more intricate accompaniment, and an "instrumental" character. Their phrase structure is more loosely knit through expansions and block repetition. The subordinate themes, on the other hand, have a cantabile or lyrical character with longer and stepwise based melodies, a slightly simpler, less intricate accompaniment, and a more homophonic texture. Its phrase structure is more tight-knit, with clear presentations and square phrase rhythm; in other words, ST typically consisted of well-defined phrases that rely on repetition, motivic parallelism and symmetry at larger levels. Albéniz's Classical overall tonal organization replicated on the background the manner in which he articulated most his themes: through antecedent-consequent phrases based on tonic-dominant relationships. As we have seen in the previous chapter, both the MT-TR sections (inter-thematic level) and the internal structure of the ST (intra-thematic level) relied often on this periodic design. Depending on the type of movement and the theme's formal function within it, these parallel periods are expanded (MT-TR) or more tight-knit (ST).

Development sections typically end on the dominant to prepare the recapitulation, in some cases (the third movement of the third sonata, and the first movement of the fifth sonata) this is embedded within broader progressions in fifths. Development sections are mostly organized in cycles of thirds or fifths and follow the pre-core/core model in three out of the four type 3 sonatas analysed. In all cases, the recapitulation is shorter than the exposition. This is achieved by shortening the main theme/transition section, the more "expanded" section. The antecedent-

[41] For a more detailed account of Albéniz's relationship with Wagner see, Clark, *Isaac Albéniz*, 178–219, and "King Arthur and the Wagner Cult in Spain: Isaac Albéniz's Opera Merlin" in *King Arthur in Music*, Ed. by Richard Barber (Cambridge: D.S. Brewer, 2002), 51–60. José de Eusebio, "Albéniz y la composición trascendente", in *Wagner-estética: ensayos sobre la obra musical y estética de Richard Wagner*, ed. Isabel Febles y Sonia Mauricio Subirana, (Las Palmas de Gran Canaria: Universidad de Las Palmas de Gran Canaria, 2010), 117–68.

consequent design of the MT allows Albéniz to simply cut out one of the sections practically without any re-elaboration of the material. In sonatas 3 and 4, he cuts of the consequent, and begins the subordinate theme directly after the HC of the antecedent. In the fifth, he leaves out substantial segments of the exposition and only repeats the antecedent-consequent phrases, slightly altering the consequent. In all cases, the shorter main theme in the recapitulation is partly compensated with a small coda after the Essential Sonata Closure (ESC). Most sonata forms of these sonatas (all first movements and the last movement of sonata 3) correspond to text-book sonata forms or, from the perspective of Sonata Theory, to type 3 sonatas. These are represented on the ideal model shown as Example 5.8. The third and four movements of the fifth sonata, though, are types 1 and 2 respectively. The reader is refereed again to Table 5.1 for a comparison of the movements of Albéniz's three complete sonatas.




Example 5.8: Early sonatas tonal/formal scheme

## "Asturies", from *Espagne. Souvenirs* (T. 103)

So far, this chapter has studied some elements of the two generic traditions that Albéniz was simultaneously cultivating: the overall form of the piano sonatas and the use of the Phrygian mode in his Spanish-style compositions; two genres separated by an invisible dividing line, whose reconciliation seemed almost impossible in the early 1890s. Yet, in 1897 Albéniz wrote a piece that started combining the use of certain elements characteristic of Spanish folklore with a sonata-like rhetoric. More specifically, Albéniz started combining the possibilities of the Phrygian mode with a sonata-form like framework. That piece was "Asturies".

The composition was named (in French) after the homonymous region in the north of Spain and belongs to the collection *Espagne. Souvenirs* (T. 103), composed around 1897, a period that Albéniz

himself referred to as his *segunda manera* (second manner),[42] after he came under the influence of the French *avant-garde* when he was living in Paris. The piece should not be confused with the earlier and more famous composition popularly known as "Asturias", in Spanish, shown both at the beginning of this chapter and in Chapter 2. Jacinto Torres argued that, unlike this piece, which has nothing to do with the Asturias region and is instead inspired by Andalusian flamenco, the musical content of 'Asturies' "evokes the melodies and rhythms of that region",[43] and that it would be a better fit for a complete recital of the famous *Suite Española* (T. 61).

"Asturies" is a largely unknown piece, and it has not received much attention from both performers and scholars. Only in the past decades the Spanish scholars Antonio Iglesias and Manuel Martinez Burgos have examined it in more detail. Iglesias seems surprised about how unknown the collection is, and defines it as a composition that "points directly towards *Iberia*".[44] Martínez Burgos, at the same time, strongly emphasized the importance of "Asturies". For him, the piece constituted a fundamental milestone in Albéniz's compositional career, to the point that "its value is unquestionable, since it exploits harmonic resources unknown in 1897 in the European musical culture".[45] Martínez Burgos gave solid and original arguments to back these grandiloquent statements. The most important one is his acknowledgement of the structural function of the Phrygian mode in the piece; a compositional technique that would become fundamental in *Iberia*, and which constitutes perhaps Albéniz's boldest, and more personal input in terms of form in general, and sonata form in particular.

From the point of view of the "outer form" (what Mark Evan Bonds termed the "conformational approach"),[46] "Asturies" is in large ternary form (*A-tr-B-A*). Yet, this large ternary form is far

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[42] Letter to Joaquín Malats, 2nd October 1907. Reprinted in Enrique Franco (ed.), *Albéniz y su tiempo* (Madrid: Fundación Isaac Albéniz, 1990), 134–35, and Paula García Martínez, "El epistolario Albéniz-Malats. El estreno de *Iberia* en España," *Cuadernos de Música Iberoamericana*, 17 (2009): 181–82. Transcriptions of the letters between Albéniz and Malats are also available to consult online in the MMB. Secció 04, sèrie 02, R2216. https://arxiu.museumusica.bcn.cat/transcripcio-duna-carta-disaac-albeniz-a-joaquim-malats-11

[43] "Cuyo contenido musical sí evoca las melodías y ritmos de aquella región". *Catálogo sistemático descriptivo de las obras musicales de Isaac Albéniz* (Madrid: Instituto de Bibliografía Musical, 2001), 411. A more detailed consideration appears in Torres, *Iberia, de Isaac Albéniz, al través de sus manuscritos* (Madrid: Emec, 1998), 293.

[44] Antonio Iglesias, *Isaac Albéniz (su obra para piano)* (Madrid: Alpuerto, 1987), 133.

[45] Manuel Martínez Burgos, "Isaac Albéniz: la armonía en las composiciones de madurez para piano solo como síntesis de procesos tonales y modales" (PhD diss., Universidad Autónoma de Madrid, 2004), 262.

[46] Bonds, *Wordless Rhetoric*, 13–30.

removed from the da capo forms of Albéniz's earlier piano pieces, which consist mostly of a main theme, a contrasting theme often in the parallel key and typically contrasting in mode—an interior theme—and a recapitulation of the main theme. "Asturies" is also in large ternary form despite the absence of a genuinely contrasting theme: the *B* section is not motivically contrasting and does not present new material; it is, though, presented and articulated as a theme in a new key, and for those reasons it deserves to be treated as a theme.[47] However, despite its apparent large ternary form, "Asturies" also participates in the sonata rhetoric by using the syntax and compositional techniques associated with the sonata-form set up. Hence, all these features put "Asturies" in dialogue both with Albéniz's large ternary pieces and with his sonata-form compositions: his early piano sonatas and the late works *Iberia* (T. 105) and *La Vega* (T. 102A). Table 5.5 presents the formal layout of "Asturies".

| Section | A (1-35) | Transition (35-62) | B (62-83) | A (83-115) |
|---|---|---|---|---|
| Formal Function | Main Theme | Transition | Subordinate Theme | Recapitulation/Closing |
| Subsection | a1 (18) + a2 (17) | a1 (12) + c.d.s. (17) | Antecedent (8) + Consequent (14) | a1 (8) + a2 (9) Codetta |
| Double-dimension | Exposition | Development | Recapitulation | Coda |
| Keys | F♯ minor | modulating | C♯ phrygian | F♯ minor |

Table 5.5: "Asturies" (T. 103B), formal layout

The main theme or A section is structured as *a1* (bb. 1–18), *a2* (bb. 19–35), and a final repeat of *a1* that ultimately becomes (=>) the transition. *a1* is laid out as a compound period of 16 bars preceded by a small introduction. The period is structured as an 8-bar antecedent phrase ending on a half cadence, followed by a consequent of identical length ending on a PAC. It is perhaps possible, though, to hear the consequent as a continuation, given the slight motivic fragmentation and sequential treatment of the main motive, as well as the relative harmonic instability with the digression to E minor. Moreover, the continuation would use, at the same time, the grouping structure of the sentence: b.i. (2) + b.i. sequence (2) + continuation (4). Yet, perhaps because of its strong feeling of restatement or new beginning, the lack of sense of overall acceleration, and the

[47] Rather than the traditional definition of a theme as a "salient melodic-motivic idea(s)", I am following here Caplin's conception of a theme as a complete formal unit. See *Classical Form*, 257.

limited fragmentation (compare the b.i. of the antecedent with bb. 11–12), the projection of genuine continuation function is weakened (compare this with the continuation section of bb. 54 onwards). Thus, the label consequent better reflects the formal function of the passage as well as the balanced, symmetrical phrase-structure of the period. In fact, in the recapitulation or *A*, Albéniz begins directly with a varied restatement of this consequent phrase.

Subsection *a2* constitutes a varied, developed restatement of the theme. Although it might be tempting to see the overall organization of the *A* section as a small ternary (*a b a'=>transition*)—making, thus, my *a2* the *b* section—, *a2* (bb. 19–35) does not produce the necessary tonal or thematic contrast typically associated with a *b* section of a small ternary. Hence, the label *a2* indicates more clearly the formal functionality of bb. 19–35. While previous analysts have considered the end of this passage to be b. 37,[48] I believe that the end is rather on 35. This interpretation is supported by both harmonic and thematic reasons. There is not really a cadence on b. 37; the final root position dominant chord on the weak beat of b. 36 is rather an embellishment of the bass melody. On b. 35, however, there is a genuine PAC:[49] a dominant chord in root position for a full bar (34) preceded by a predominant (b. 33). At the same time, at b. 35 the main motive of the main theme is exactly repeated in an inner voice of the right hand, indicating the beginning of a varied repetition of the main theme. In the Classical tradition, such a repetition of the main theme is often a clear signal that indicates the beginning of the transition section. Despite these two arguments, it is somewhat understandable why previous analysis placed the ending on b. 37, since the melody of the top voice, extended first through the suspension on 35,[50] really ends on 37, providing a nice counterpoint to the theme and creating a long phrase overlap. The phrase extension and overlap initiate a more irregular grouping structure typical of the more loosely organized transition section.[51] In that sense, there is an obvious contrast in terms of phrase rhythm and grouping structure between *a2*, still the theme proper, and the transition. Subsection *a2* is almost entirely in strict 4-bar groups, and only towards the end (last subphrase starting on b. 31) does the grouping structure become more irregular. Albéniz could have easily continued with the 4-bar grouping by making the cadence on b. 34 (one only has to convert the last beat of b. 33

[48] See Iglesias, *Isaac Albéniz,* 140, and Martínez Burgos, "Isaac Albéniz", 244.
[49] The "a" in the top voice could be heard as a cover tone over the suspension to the root.
[50] Ditto.
[51] For the distinction between tight-knit and loosely organized see Caplin, *Classical Form*, 255, 257, and 84–85.

into a dominant chord), and then starting over with the theme in b. 35, creating a non-elided PAC. Yet, he blurred the endings of the phrase by expanding the cadence first and then with the melodic overlap. In a word, the expansion of the phrase and disruption of the prevailing 4-bar grouping, the new beginning on b. 35, the melodic ending of the top voice on b. 37, and the harmonic closure provided on b. 35, constitute conflicting parameters that diffuse closure and that guaranty a more continuous musical prose that is more characteristic of the sonata style than of the sectional, large ternary-form compositions that Albéniz used to write.

Since b. 35 constitutes the beginning of an elaborated repetition of *a1*, it is interesting to compare bb. 35–46 with the original antecedent phrase of the theme (bb. 3–10). Besides the more obvious polyphonic texture and intricate accompaniment, the original 8-bar antecedent becomes at b. 35 an expanded 12-bar modulating phrase, landing on E minor in b. 46. Its internal articulation also differs greatly from the original antecedent phrase. The 3 + 5 original disposition of the b.i. and c.i. turns into a more irregular grouping structure and overlaps with the next phrase at b. 46. This new phrase seems to initially return to a certain phrase structural stability (bb. 46–53), with a c.b.i. of 4 bars followed by its repetition. Nevertheless, this is quickly destabilized with a highly chromatic 8-bar continuation (b. 54 onwards). Albéniz initiates here a clear liquidation process with an ascending, 1-bar sequential progression that lands on C♯ at b. 62, overlapping with the next section. In other words, this phrase can be understood as what in Chapter 3 I described as a "compound developmental sentence", which Albéniz typically uses in development sections. Tonally speaking, the whole passage (bb. 35–62) is highly unstable: from F♯ minor passing through A major (suggested), E minor/ Dorian, D major, and finally leading to C♯ after a rising chromatic sequence and standing briefly on an augmented-sixth chord. Overall, this whole section (bb. 35–62) displays a gradual process of fragmentation and tonal instability that rises the tension and demands resolution. The process seems to be partly interrupted by the relative tonal and phrase-structural stability of bb. 46–53, which, however, do not provide final resolution to the accumulated tension. This only comes at b. 62, which culminates the wave-like process of gaining energy and building tension initiated at b. 35 and intensified in the continuation of the sentence. The described musical characteristics of this section are typical of a specific formal function: the transition. Thus, the entire passage could be labelled as *a1=>transition*.

The transition overlaps with the *B* section (bb. 62–83). The thematic material is obviously derived from the first theme, and the entire section is in C♯ Phrygian. As mentioned above, there is a certain tonal or functional ambiguity inherent to this mode, since the *finalis* of the Phrygian mode could easily be perceived as a dominant when harmonized with a major chord. Here C♯ is obviously the

local key, yet, within the overall piece, it is functioning as the dominant of the main key, as shown in Example 5.. In other words, there has been a "structural translation of modality", as Martínez Burgos pointed out.[52] Despite the potential ambiguity derived from the use of the Phrygian mode, the *B* section is clearly grounded in C♯, contrasting with the tonal instability of the preceding transition. In terms of its phrase structure, the contrast between these two sections is also evident. *B* is structured as a period: an initial antecedent phrase of 8 bars whose final cadence, given the "dominant potentiality" of the mode, could be easily heard as a HC, followed by an expanded consequent of 14 bars that closes with an unorthodox PAC in C♯ (b. 82). Thus, although the *B* section is motivically derived from *A*, the section is presented as a new theme, with tonal and phrase-structural stability, and preceded by a transition section.

The recapitulation starts on b. 84. There is a clear return of the main key (F♯ minor), which is also well prepared after the PAC on the dominant at b. 83, the first non-elided PAC of the entire piece. Within the context of this composition, whose musical prose relies on a constant thematic transformation of a small motive, the final section brings back original material from the main theme in the main key. The material is first directly derived from the original consequent of *a1* (compare b. 84 with b. 11), then from *a2* (which is itself a development of the original b.i.), and finally Albéniz brings back the introduction (upbeat to b. 101) before a small codetta based on the initial b.i. However, a section in the main key following a PAC on a different key would perhaps fare better with the return of the A section and the sectional juxtaposition of the large ternary genre than with a sonata recapitulation. At the same time, this section could be likewise heard as a coda. The process of gaining energy in the transition culminates in the *B* section, whose phrase structural and tonal stability, as well as its voice-leading (the progressive descend of the melody to the low register throughout the section), fundamentally contribute to resolve the accumulated tension of the piece. The final low register of the melody sharply contrasts with the high register of the section beginning on b. 84. There is quite a radical break after the PAC of b. 83 (remember that this is the first non-elided PAC of the entire piece), emphasized with a fermata and a caesura, creating the most discontinuous section of the entire piece. The musical features of what follows also suggest coda-like features: the short, initial two-bar subphrases, clearly separated by rests, the pianissimo dynamics and dolce expression, the longer note values and slower tempo, achieved by a

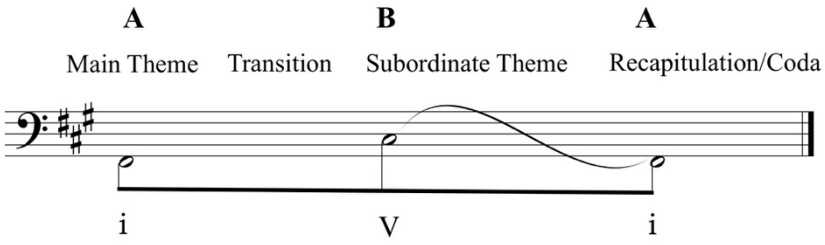
[52] Martínez Burgos, *Isaac Albéniz*, 261.

progressively slowing down from the beginning of the *B* section (pianists tend to enhance this slower tempo in their performances). The section starting on b. 84 has an important role on the piece by providing a nice balance and repose to the process of accumulating tension and its resolution in the *B* section, yet, it would not be entirely unconceivable to end the piece on b. 83, despite being on the "wrong key". So, ultimately, which formal function does this section fulfil? Coda or recapitulation? The answer, as the following paragraph demonstrates, could be both.

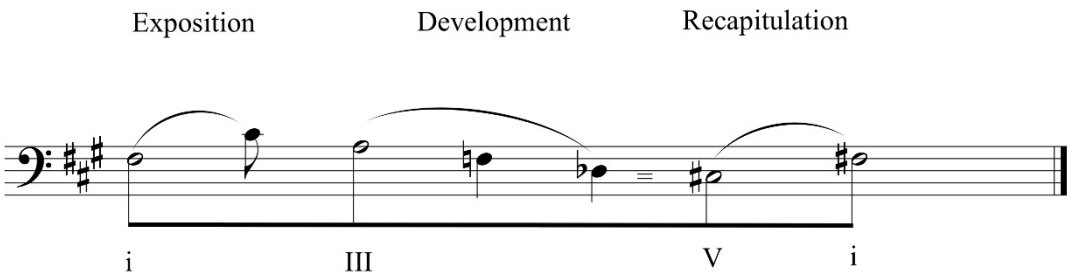
Based on the theories put forward by Steven Vande Moortele in his "Two dimensional Sonata Form", it is possible to draw a formal analogy between the setup of the large ternary form of "Asturies" and the fully worked out sonata forms of *Iberia*.[53] In that way, "the main theme group [segment] corresponds to the exposition [section], the transition to the development, the subordinate theme group to the recapitulation, and the closing group to the coda".[54] This correspondence in "Asturies" was shown already in Table 5.5. As Vande Moortele observed, these sections/segments are respectively based on the same basic form-functional principles. The main theme and the exposition both present the basic material of the piece, relying mostly on phrase-structural and tonal stability; the phrase structural and tonal organization of the MT (*a1* structured as a compound period and its varied restatement *a2* is fundamentally in square four-bar groups, and both are in the main key) could not be more stable. The transition and the development both destabilize the main tonality and initiate a process of gaining energy that culminates with the arrival of the new theme or the recapitulation respectively. Albéniz would even draw upon the same syntactical resources (the 16-bar compound developmental sentence) in the transition of "Asturies" and in some of the development sections of *Iberia* and other pieces.[55] Yet, the correspondence between the formal functions of the subordinate theme and the recapitulation is more problematic. As Vande Moortele observed: "the function of a subordinate theme group as the bearer of thematic contrast and, in an exposition, as an articulator of the subordinate key area is even diametrically opposed to that of a recapitulation".[56] However, in the case of "Asturies", the analogy holds well for this particular section/segment too. All the recapitulations of *Iberia* begin

[53] For an analytically driven study of these pieces see Mast, "Style and Structure", and Alberto Martín Entrialgo, "Albéniz, Malats, *Iberia* and the ultimate *españolismo*", *Diagonal: An Ibero-American Music Review* 5, no. 1 (2020): 1–21. See also Clark, *Isaac Albéniz,* 223–52.
[54] Steven Vande Moortele, *Two-Dimensional Sonata Form*: Form and Cycle in Single-Movement Instrumental Works by Liszt, Strauss, Schoenberg, and Zemlinsky (Leuven: Leuven University Press, 2009), 18.
[55] See for instance the development sections of "Almería" and "Castilla" in Chapter 4.
[56] Vande Moortele, *Two-Dimensional Sonata Form*, 20.

over a dominant pedal point, and sometimes even on the Phrygian mode[57] in a manner very similar to the *B* section of "Asturies" (see for instance the tonal-formal scheme of "Triana", in the same key, provided below as Example 5.10). Given that the material of Asturies's *B* section is clearly derived from the MT, one can easily read the *B* section of "Asturies" as a precursor or Albéniz's recapitulations in *Iberia*. Finally, as I have argued above, the coda fulfils both recapitulatory and closing functions by bringing back material from the *A* section in the main key after a PAC in the "wrong" key. With all of this in mind, it is not difficult to imagine how Albéniz could have translated these ideas into the fully worked-out sonata forms of *Iberia*, composed around 5 years later than "Asturies".




Example 5.9: "Asturies" (T. 103B), Tonal-formal scheme




Example 5.10: "Triana", from *Iberia* (T. 105), tonal/formal scheme

"Asturies" represents a break from Albéniz's earlier character pieces in large ternary form. Whereas the previous "ABA" compositions are all clearly within the limits of the large ternary genre—i.e., sectional, with regular and square phrases, most of them with an interior theme—, "Asturies", despite its apparent ternary thematic disposition, clearly emulates the rhetoric of sonata form: with

[57] Martín Entrialgo, "Albéniz, Malats", 3–4.

a clear transition section ending on the dominant in a well-directed process, a subordinate theme, and a recapitulation. The Phrygian mode, rather than the major dominant, functions as the structural dominant of the main key in the manner of sonata form's tonal polarity, something that Albéniz linked with the achievement of "the ultimate *españolismo*" [Spanishness] in *Iberia*.[58] Besides this idiosyncratic use of this mode, whose origins could be traced back to Scarlatti, as we will see below, Albéniz was creating here a more refined, complex, expansive musical prose associated with sonata form that would be latter characteristic of *Iberia*, and which stands in sharp contrast with the sectional writing, thematic juxtaposition, and large-scale repetition of his earlier large-ternary compositions. "Asturies" entails a first step in a process of synthesis between sonata form and the large ternary forms of the pieces in Spanish style, a synthesis that ultimately seeks to accommodate the materials derived from Spanish folklore (which were until that moment presented in large ternary forms) into the framework of sonata form. This process would culminate in *Iberia*, but was already on its way in "Asturies".

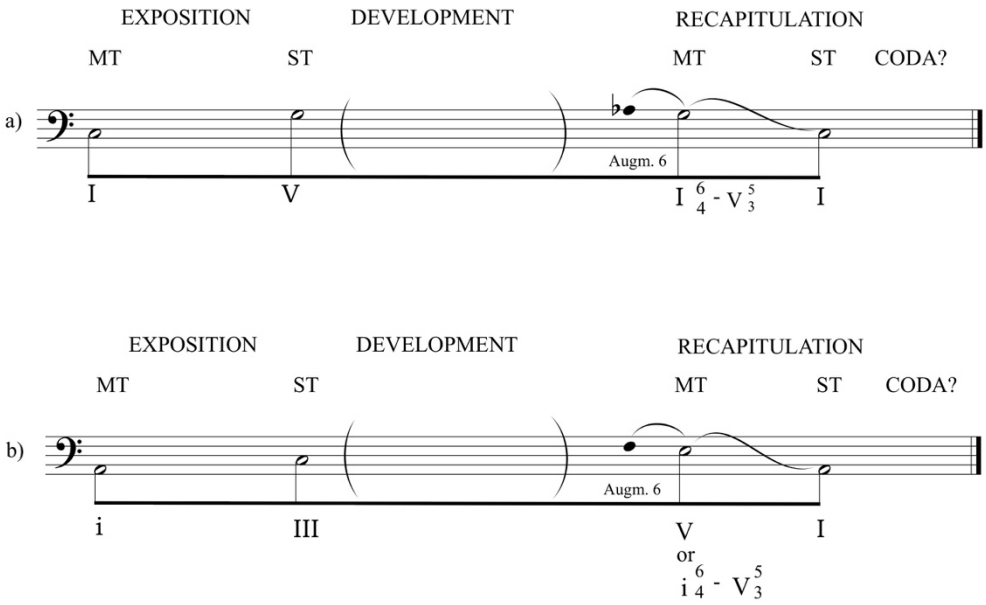
## *Iberia*

### Sonata Form in *Iberia*

To talk about formal and tonal processes in *Iberia* means to talk about sonata form, given that nine, if not more, out of the twelve pieces of the collection are in this form (the only exceptions being "El Puerto", "El Corpus", and, maybe, "El Albaicín"). Most of the major-key compositions in sonata form ("Rondeña", "Lavapiés", "Eritaña")[59] follow the tonal/formal plans shown Example 5.11a (cast in C major), whereas the minor-key works ("Evocación", "Triana", "El Polo") are structured as described in Example 5.11b (cast in A minor). The remaining compositions ("Málaga", "Jerez", and "El Albaicín"), while clearly in dialogue with the minor-key models, show special characteristics that will be discussed below.

[58] Ibid.

[59] In "Almería", the other major-key piece in sonata form of the collection, the subordinate theme is on the subdominant; otherwise it follows the same tonal/formal scheme proposed in Example 5.11.




Example 5.11: *Iberia's* sonata form models

All the sonata-form compositions with the exception of "Eritaña" display a juxtaposition of two well-defined themes: the first being "instrumental" in character, based on the development, repetition, and vsureariation of short, gapped 2-bar ideas, and the second being a lyrical *copla*, featuring longer melodic lines, statement-response articulations, and larger scale repetition. These characteristics are summarized in Table 5.6.

| | **MT** | **ST** |
|---|---|---|
| Disposition | Asymmetrical | Symmetrical |
| Phrase division | Irregular | Regular |
| Types of phrase | Expanded | Basic |
| Basic compositional unit | Basic Idea | Compound Basic Idea |
| Expression | Vivid, energetic | Lyrical, dolce, cantabile |
| Identical repetition | Shorter scale | Longer scale |
| Overall organization | Loosely organized | Tight knit |

Table 5.6: MT vs ST in *Iberia*

As mentioned in Chapter 3, sectional division in these pieces is far from obvious. In that sense, development sections typically emerge continuously from the subordinate themes, and, likewise, a transition section in the exposition is not always easy to identify, since it often fuses with the main theme. Nonetheless, there is usually a clear, well-directed tonal process towards a dominant that will mark the MC moment and lead to the subordinate theme, but which is often unexpectedly abandoned in the last moment with a sudden third-related swift. It is clear from *Iberia's* default sonata-form models of Example 5.11 that Albéniz sill relied on the classical tonic-dominant (and tonic-relative major) polarity, and his tonal conception of the form was still very similar to traditional eighteenth-century practices. The biggest novelty, especially with respect to Albéniz's earlier sonata practice, is the default establishment of recapitulations on the dominant, either over a dominant pedal point in the main key, or in the dominant key.[60] This has already been mentioned by most Albéniz scholars.[61] Martínez Burgos, for instance, referred to it as the "delayed harmonic recapitulation".[62] As shown in Example 5.11, recapitulations of all the major-key pieces (and "Evocación") start with a $\mathrm{I}^{6}_{4}$- chord that resolves to $\mathrm{V}^{5}_{3}$ throughout the course of the recapitulation, ultimately leading to the final tonic either a few bars after the arrival of the first theme ("Almería", "Lavapiés", "Rondeña") or at the beginning of the subordinate theme ("Evocación" and "Eritaña"). As Martínez Burgos's term implies, despite being on the main key, the arrival of the $^{6}_{4}$ chord that initiates the recapitulation obviously does not bring full harmonic resolution; yet, it certainly resolves some of the tonal tension accumulated in the development section. In that sense, the recapitulation could be understood as a gradual process of harmonic resolution in three initial steps: first, with the $^{6}_{4}$ chord that announces the arrival of the main key, second, through the resolution of that chord to $\mathrm{V}$, and, third, through the final tonic chord in root position.[63] A concrete example of one of Albéniz's recapitulations in *Iberia* is reproduced here as Example 5.12. This shows the end of the development section and beginning of recapitulation of "Evocación", whose

[60] Of course, there are many historical precedents for this practice. The *locus classicus* would be Beethoven's Piano Sonata in F Minor, Op. 57, No. 23, "Appassionata", i. Other examples include Fanny Mendelssohn-Hensel, Piano trio in D minor, Op. 11, i, and Robert Schumann, Symphony No.3 in E♭ Major ("Rhenish"), i.

[61] See Mast, "Style and Structure", 192; and Clark, *Isaac Albéniz,* 227.

[62] Martínez Burgos, "Isaac Albéniz", 430.

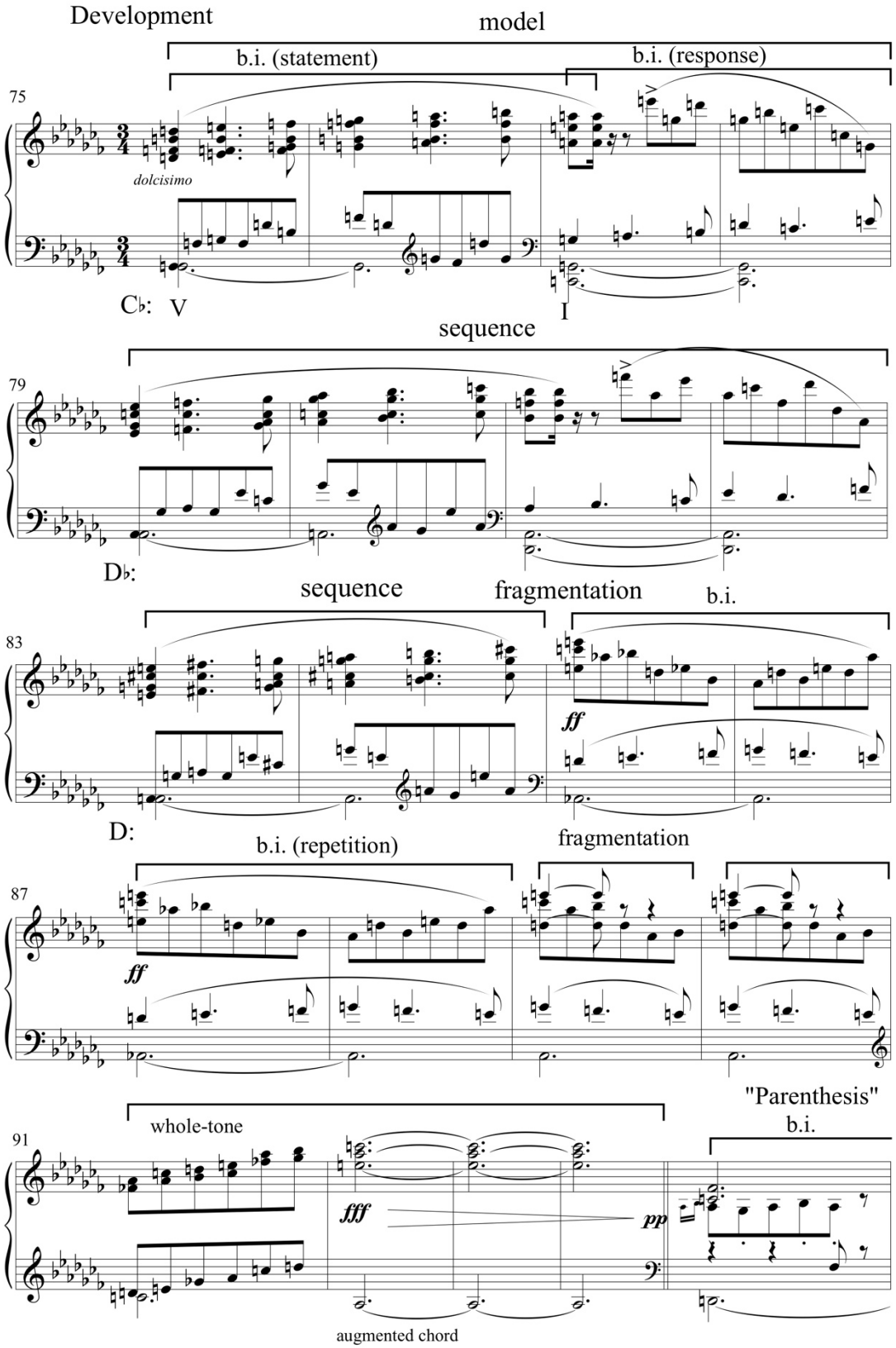
[63] Although we might identify these three moments of harmonic resolution throughout the recapitulation, I do not consider this situation as what Giorgio Sanguinetti called an "ongoing reprise", since the recapitulation does occur at a very precise moment and is very well articulated. See Sanguinetti, "Laborious Homecomings: the Ongoing Reprise from Clementi to Brahms", in Steven Vande Moortele, Julie Pedneault-Deslauriers, and Nathan John Martin, eds. *Formal Functions in Perspective: Essays on Musical Form from Haydn to Adorno*. NED-New edition (Boydell & Brewer, 2015), 317–40.

development section was already reproduced in Chapter 3 for different reasons.[64] In this case, the ST begins on the dominant chord over a tonic pedal point, so a root position tonic triad is delayed even further until b. 117 (not shown). An alternative option is to begin the recapitulation directly on the dominant proper (functioning mostly as a local key at that point), an option explored in "Triana", "El Polo", "Málaga", and "Jerez", or, in other words, the minor and Phrygian pieces with the exception of "Evocación", as it will be shown below.

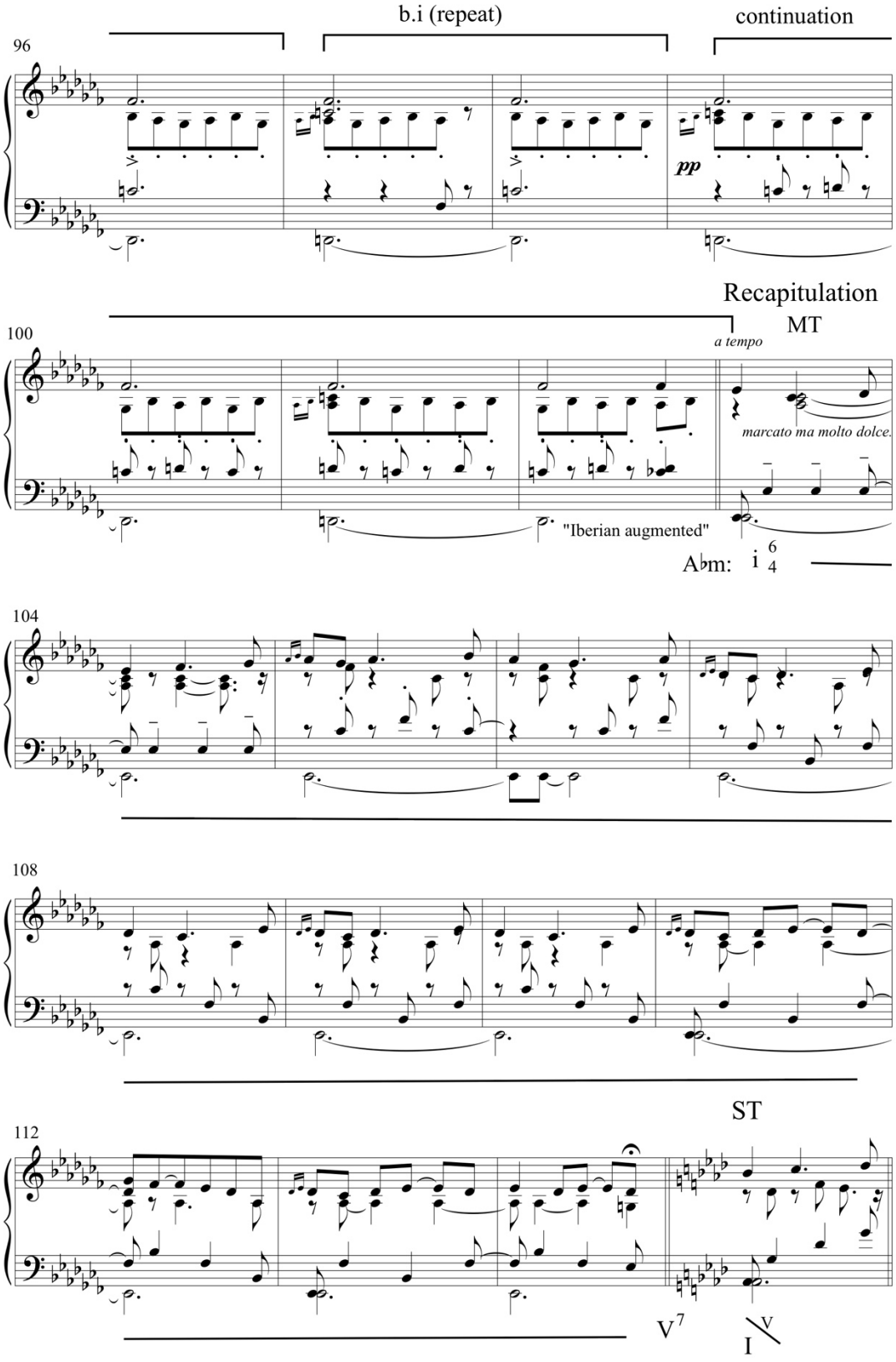
In a more typical eighteenth- or even nineteenth-century context, the bass progression of the beginning of Albéniz's recapitulations in *Iberia* would be associated with the retransition at the end of the development. In *Iberia,* however*,* Albéniz makes it coincide with the beginning of the recapitulation, delaying the harmonic resolution. This and similar situations have already been described by many scholars in the past. Robert Morgan, for instance, has previously called attention to what he called the "delayed structural downbeat".[65] This means that, in the recapitulation, the thematic return occurs before the point of harmonic-rhythmic arrival. Morgan also associated this situation with the nature of the beginning of the theme, which would typically have a strong up-beat quality. In our case, however, Albéniz's themes lack any of these characteristics, and there is nothing in the materials themselves that indicates that they will be recapitulated over the dominant. Likewise, the structural downbeat in Albéniz's recapitulations would most definitively coincide with the return of the main theme, as this constitutes the climax of the entire piece. More recently, Peter Smith (after Milton Babbitt) called a situation in which different musical dimensions (thematic and harmonic for instance) do not coincide a "counterpoint of musical dimensions".[66] I believe, though, that in Albéniz's case, this situation is insufficient to create what Carissa Reddick called "(divisional) functional overlap", as the climatic effect of the return of the theme, its clear articulation, and the return of the main key (despite not being a root-position tonic harmony) prevail over the possible retransitional rhetoric of the bass. In other words, there is a strongly marked point of recapitulation, and at no point can we perceive fusion between these formal functions (development and recapitulation). In some of the examples that these authors discuss (for instance the recapitulations of Brahms's Piano Quintet in F Minor, Op. 34, i, and Haydn's String

[64] The development sections of *Iberia* were studied more in detail in Chapter 3.
[65] Robert P. Morgan, "The Delayed Structural Downbeat and its Effect on the Tonal and Rhythmic Structure of Sonata Form" (Ph.D. diss., Princeton University, 1969).
[66] Peter H. Smith, *Expressive Forms in Brahms's Instrumental Music: Structure and Meaning in His Werther Quartet* (Bloomington, Indiana University Press, 2005), 32.

Quartet, Op. 33, No. 1, i), the point of thematic return is not nearly as well articulated as in Albéniz's pieces for various reasons: the subsequent motivic manipulation once the theme is reintroduced, the lack of emphasis put on this material through dynamics, syntax, or counterpoint, the syntactic/tonal ambiguity of the beginning of the primary theme, and the tonal disparity; in a word, these are all features that suggest the continuation of development across the boundaries of thematic return, features that are absent in Albéniz's recapitulations.




Example 5.12: “Evocación”, from *Iberia* (T. 105), development section and recapitulation

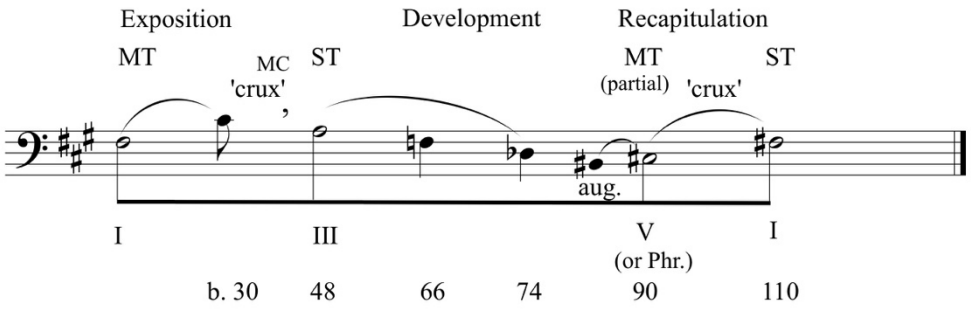



Example 5.12 (continued): "Evocación", from *Iberia* (T. 105), development section and recapitulation

Albéniz's model could be easily imagined in dialogue with several historical precedents. The sonata as a whole could be considered as a "text-book" sonata form, or, from the point of view of Sonata Theory, a type 3. This is in fact how Albéniz scholars have typically described it. Moreover, there are also several precedents of beginning a recapitulation with a dominant pedal point, as I pointed out above, but also outside the sonata genre. In some of his character pieces, Felix Mendelssohn began his thematic recapitulations on a $\mathrm{I}^{6}_{4}$-chord, and in "Serenata", from *España. Six Album Leaves* (T. 95), Albéniz himself ends the interior theme or *B* section with a German augmented chord that leads to a $\mathrm{i}^{6}_{4}$- chord with which the recapitulation begins, exactly the same practice that he will later follow in *Iberia*. William Rothstein also labelled this general phenomenon as a "deceptive recapitulation of a principal theme", since "the thematic return does not occur in conjunction with a reestablishment of the original tonic harmony".[67] Rothstein argued that this practice is indebted to some binary forms of J.S. Bach. In fact, since *Iberia's* development sections typically emerge continuously from the subordinate themes, if the development is considered as internal to the subordinate theme, the sonata forms of *Iberia* would not be far from a sonata type that is closer to the binary forms of the Baroque: the type 2 sonata or the "Scarlatti" sonata form (compare Example 5.11, the sonata-form models of *Iberia* with Table 5.4: "Scarlatti" sonata form according to Ratner, and with the last movement of Albéniz's fifth piano sonata, a type 2 sonata shown in Example 5.7). As mentioned above, this formal type could start the second half of the piece with the main theme on the dominant key (the "second rotation" following Sonata Theory), which is then followed by a restatement of the second theme on the main key. In *Iberia*, the connection with the type 2 sonata seems perhaps stronger when what I have called the recapitulation begins on the proper dominant (the cases of "Triana", "Málaga", and "Jerez"), and not on the $^{6}_{4}$ chord of the main key. Among these, "Triana" is perhaps the work closest to a type 2 sonata. An overall tonal/formal scheme of the piece was given in Example 5.9, and Example 5.13 provides a more elaborated graph with a more type 2-inclined interpretation. The development section consists entirely on variations of the sentential ST as shown in Table 3.2 from Chapter 3. The recapitulation begins on b. 90 and its MT section is entirely on the Phrygian mode of C♯ (or $\mathrm{V}$ of the main key F♯) and only uses a single motive from the MT section. Hence, the piece not only follows the bi-rotational principle in which the type 2 interpretation rests, but also the idea of "double return" (i.e. the simultaneous return of the MT in

[67] Rothstein, *Phrase Rhythm,* 191.

the main key characteristic of a "standard" sonata form) is undermined as only the cadential idea of the MT is restated in the recapitulation, and this occurs over the dominant "Phrygian" key. The ST produces the tonal resolution of the piece by bringing back this theme in the main key.




Example 5.13: "Triana", from *Iberia* (T. 105), tonal/formal scheme with partial type 2 interpretation

However, even though Ratner's description of Scarlatti's sonatas shown in Table 5.4, the last movement of Albéniz's Piano Sonata No. 5 presented in Example 5.7, and the sonata-form models of *Iberia* shown in Example 5.11 look almost exactly the same, looking at *Iberia* through the lens of the type 2 sonata has many inconveniences. To start with, in type 2 sonatas, the second rotation "begins as a developmental space",[68] while in *Iberia* the hypothetical beginning of the second rotation has clear recapitulatory function. The exact moment when the MT returns (around two-thirds of the piece) almost always constitutes the climax of the entire composition. The recapitulation also comes after the intense build-up of tension created in the development sections, which are characterized by tonal instability, loose organization, and the use of the model-sequence-fragmentation technique typical of the core, as described in detail in Chapter 3. The recapitulation is, thus, a well-expected moment after the process of gaining energy and the forward-striving qualities of the development. Moreover, and most importantly, the recapitulation produces its characteristic double return, i.e., it not only brings back the MT (even if only partially as in "Triana"), but also the main key, even if this comes back over a dominant pedal point and a $\frac{6}{4}$ chord. In cases where the recapitulation truly begins locally on the key of the fifth scale degree and because of the use of the Phrygian mode, this can be easily understood as a dominant, as in "Triana" and as we will see more in detail below. The importance, and, after all, the mere existence of the recapitulation in these pieces is at odds with a type 2 reading, given that genuine type 2 sonatas

[68] Hepokoski and Darcy, *Elements of Sonata Theory,* 353.

"do not have recapitulations at all, in the strict sense of the term".[69] In other words, if we accept the type 2 interpretation, we would have to give up the label "recapitulation" for that section, at least from an orthodox Sonata Theory perspective.[70] The type 2 interpretation seems even more far-fetched when development sections increase in length and autonomy, and when they use material derived from the MT. The latter would completely undermine the bi-rotational aspect in which the type 2 approach rests. Finally, in genuine binary forms, the second reprise is at least as long as the first, and usually longer. In *Iberia*, however, recapitulations are typically shorter than even only the expositions. For all these reasons, a type 2 interpretation of these forms seems difficult to maintain in the individual compositions of *Iberia*.

There is, however, another possible interpretation within Hepokoski and Darcy's constellation of sonata types that does not entail giving up the label recapitulation. Given that development sections emerge continuously from subordinate themes (and hence can be considered as internal to them), some might argue that many sonata forms of *Iberia* are type 1 sonatas. This sonata form has been traditionally labelled as "slow movement form" or "sonata form without development", and would typically consist of a MT in the main key, a ST in the subordinate key, and a recapitulation of both main and subordinate themes in the main key. That means, as the traditional name already states, that there would be no independent development section in these pieces. It might be possible to argue for a type 1 interpretation for some pieces of the collection: pieces where the onset of the development is most weakly articulated, or following a rotational standpoint, where only the ST is used in the development. Among the clearly sonata-form compositions of *Iberia*, the best candidates for a type 1 interpretation would be: "Evocación", "Triana", and "El Polo", which only use ST-derived material, and "Málaga". However, I am reluctant to adopt this reading for a number of reasons. First, there is usually a subtle cadential articulation that separates the development from the ST;[71] second, developments constitute a new beginning, setting up an independent, single process based on the core technique that leads to the recapitulation, as discussed in detail in Chapter 3; third, the beginning of the developments is sometimes marked by

[69] Ibid., 354.
[70] Peter Smith, however, has recently admitted the possibility of applying the term "recapitulation" through his type 2 reading of Mendelssohn Octet, Op. 20, ii. See "The Type 2 Sonata in the Nineteenth Century", 103–138.
[71] All the cadences are labelled in Table 3.2.

the use of different material from the ST, often derived from the MT; and fourth, there is usually a subtle textural break between the ST and the development.

Types 1 and 2 share a fundamental aspect from the perspective of Sonata Theory that sets them apart from type 3: whereas the former exhibit a "double rotation", the latter features a "triple rotation". In the end, as pointed out above, it all comes down to whether we conceive the form in two or three parts, although not quite in the same way as the traditional binary vs ternary conception of sonata form implies, since in that case, development and recapitulation are united in a single section, and here exposition and development would be unified. For the number of reasons outlined above, the development is sufficiently distinguished to be placed on the highest structural level. Thus, if I had to choose a Sonata-Theory label for these pieces, I would undoubtedly go for the type 3. But choosing the right label or, more in general, simple categorization should not be the ultimate goals of analysis; in fact, adhering rigidly to a sonata type could precisely prevent us from gaining what Hepokoski and Darcy's concept of "dialogic form" best has to offer by impeding the recognition of characteristics that do not typically belong to that particular type, and, hence, by ignoring alternative sonata practices. There might be multiple (formal) traditions that could help us heuristically and historically to understand any piece of music, and certain characteristics of the sonata-form compositions of *Iberia*, like the restatement of the MT on the dominant, the fact that the ST provides often the tonal resolution, or the possible weakness of the development (mostly by virtue of its weak cadential/textural/motivic articulation), could be making references to type 2 and type 1 practices; certainly, the tonal/thematic designs of the pieces of *Iberia* as described in Example 5.11, and the "standard" Scarlatti sonata—especially as conceived by Ratner—look almost exactly the same. This line of reasoning would seem to follow Peter Smith when he argues that "it does not seem implausible that earlier eighteenth-century conventions may have been a source for some of the alternatives to the 'textbook' type 3 form, especially in light of the emerging historical consciousness of nineteenth-century composers".[72] In an even more recent publication, Smith has presented compelling cases of certain hybridization between sonata types in the music of Brahms, Schumann, and Dvořák,[73] although this idea had already been suggested by Hepokoski and Darcy themselves. Moreover, there are also a number of biographical arguments that encourage us to acknowledge a type 2 influence in the individual compositions of *Iberia*: there

[72] Smith, "The Type 2 Sonata in the Nineteenth Century", 107.
[73] Smith, "Parallel Binary or Tripartite? Formal Hybridisation of Sonata Types in the Nineteenth Century". *Music Analysis* 0/0 (2021): 1–45. https://doi.org/10.1111/musa.12177.

is a genuine antecedent of a type 2 sonata in Albéniz's works, and Scarlatti, perhaps the type 2 composer par excellence, was one of Albéniz's preferred composers and a model (perhaps even the model) for nineteenth-century Spanish musical nationalism, as explained already in Chapter 2. In that sense, certain emulation of typically Scarlattian forms in pieces based on materials derived from Spanish folklore seems to fit perfectly well with the agenda and the aesthetics of *regeneracionismo*, especially since Albéniz (both the composer and the pianist) had such a special predilection for eighteenth-century music. Finally, since the strongest argument in favour of acknowledging a type 2 influence in these sonata-form compositions would be the restatement of the MT over the dominant in the "second rotation", the type 2 interpretation might be more attractive in cases in which the final return of the MT occurs on the key of the fifth, and, more specifically, on the Phrygian mode of that scale degree.

## The Phrygian Mode in *Iberia*

Writing in 1906 to his friend and favourite pianist Joaquín Malats, Albéniz confessed that with the last numbers of *Iberia* (at the time he was referring to book 3) he "carried the *españolismo* [Spanishness] and technical difficulty to the ultimate extreme".[74] Besides an obvious renewed emphasis on his folkloric-inspired language, this also had larger consequences for the overall tonal/formal design of these pieces. As mentioned above, one of the most quintessential features of Spanish and *flamenco* music is the use of some version of the Phrygian mode. Since the chord on the *finalis* of the mode could be easily perceived as a dominant of a key a fifth below, this could potentially create a functional and tonal ambiguity.

Albéniz employed this mode frequently in his Spanish-style compositions, which up until the 1890s were all in sectional, large ternary forms. But how could this Phrygian mode function within the sonata-form framework of the pieces of *Iberia*? Already in "Asturies" Albéniz was introducing elements of the sonata-form set up in what remained as an overall large-ternary design, and we have seen how the Phrygian mode of the fifth scale degree was also functioning as a structural dominant for the main key. In *Iberia*, this became a fundamental aspect of the overall sonata design of the last pieces of the collection, precisely starting with some of those with which he "carried the

[74] Letter to Joaquín Malats, December 1906. Reprinted in Enrique Franco, *Albéniz y su tiempo* (Madrid: Fundación Isaac Albéniz, 1990), 131. Translated by Walter Clark in *Isaac Albéniz*, 250. A more profound discussion of this matter can be found in my "Albéniz, Malats".

*españolismo* to the ultimate extreme". The following lines will explore this aspect in the individual pieces of *Iberia*. Since in the above-mentioned letter Albéniz specifically mentioned "El Albaicín", I will start with this piece.

### "El Albaicín"

Most of Albéniz scholars do not explicitly categorize "El Albaicín" as a sonata form. Mast wrote that the piece "has a unique formal structure that seems to grow naturally out of the thematic contrasts and tonal-modal ambiguities found in the work".[75] Clark argued that "[t]his number is structured as a series of three alternations between a dance-like principal thee, highly motivic and rhythmic in character, and the freer, *copla*-style secondary theme".[76] In a more recent analysis, Teresa Cascudo came closer to a sonata-form interpretation: "the disposition of the thematic material throughout the piece could respond to the structure of sonata form, but it should be remarked that the composer treats it more in the manner of a piano fantasy through variations and not so much using the technique of development".[77] Indeed, her formal analysis of the piece includes some of the typical sonata-form labels: exposition, development, and recapitulation. While there are some features of "El Albaicín" that could be characteristic of sonata form, others are not, as my analysis below shows.

"El Albaicín" is perhaps the piece with stronger *flamenco* flavour of the entire collection; echoes of the *bulerías* and *malagueñas* resonate throughout the introduction and the *A* theme,[78] which are contrasted with the *jondo-copla B* theme. In the introduction, Albéniz recreates the typical guitar technique of playing an internal pedal point on an open string with the thumb of the right hand while the other fingers circle around it on the other strings, imitating an improvisatory-like prelude of *flamenco* music on the 12-beat *compás* of the *bulerías*.[79] The music quickly falls into F Phrygian, the key of both *A* and *B* themes. This is precisely one of the elements that does not fare well with a typical sonata rhetoric. Both the *malagueña*-style *A* theme and the *jondo-copla B* theme are in the

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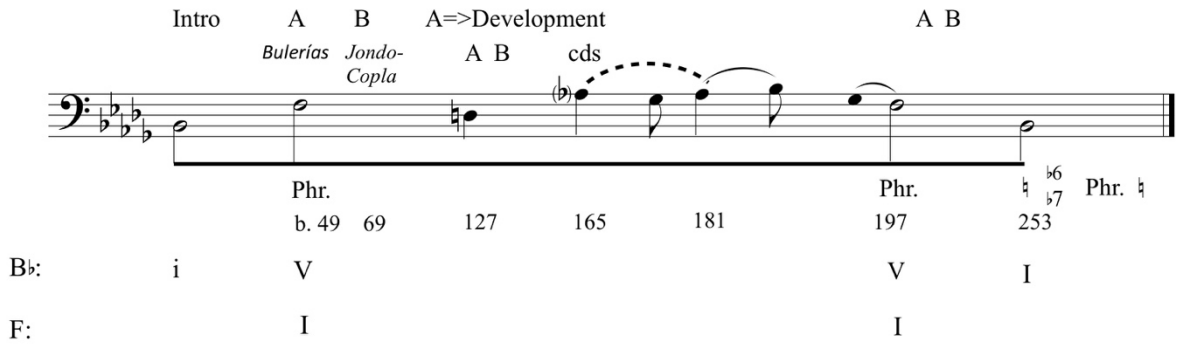
[75] Mast, "Style and Structure", 282.
[76] Clark, *Isaac Albéniz*, 237.
[77] "*La disposición del material temático a lo largo de la pieza podría responder a la estructura de la forma de sonata, pero cabe destacar que el compositor lo trata más a la manera de la fantasía pianística mediante variaciones (sobre todo de textura) y no tanto utilizando la técnica del desarrollo*". Teresa Cascudo, "Perspectivas modernistas del fin de siglo", in *Historia de la música en España e Hispanoamérica,* Vol.5 *La música en España en el siglo xix,* ed. Juan José Carreras (Madrid: Fondo de Cultura Económica, 2018), 688.
[78] In this case, I opted for the more "neutral" letter designation instead of the labels main and subordinate theme since these themes lack some of the defining features of sonata-form themes. See below.
[79] Clark, *Isaac Albéniz*, 236–37.

same key, following closely one another in almost sectional juxtaposition (bb. 53 and 69 respectively). A repeat of the *A* theme modulates to D major through a rising fifths sequence (b. 108), a Galant schema that Job Ijzerman has labelled a "Monte-Romanesca".[80] This repetition then becomes (=>) the development section, whose initial part simply transposes both *A* and *B* themes to the key of D. These repetitions lead to the typical sentential gestures that saturate Albéniz's developments (see also Table 3.2 in Chapter 3 for a succinct description of this development section). In b. 165, a compound developmental sentence (c.d.s.) is repeated twice before a long standing on the dominant section (b. 197 onwards). This standing on the dominant could also be perceived as a F Phrygian tonic, the key of the *A* theme. In fact, the recapitulation starts in b. 229 precisely on that key. Yet, as shown in Example 5.14, this ultimately functions as a dominant for B♭ (b. 253), the key in which the piece ends, and which suggests that F was a dominant all along. In other words, Albéniz has used the functional ambiguity of the Phrygian mode to tonally structure "El Albaicín". Notice how the tonal structure of this piece resembles the design of the type 2 or "Scarlatti sonata" presented earlier.

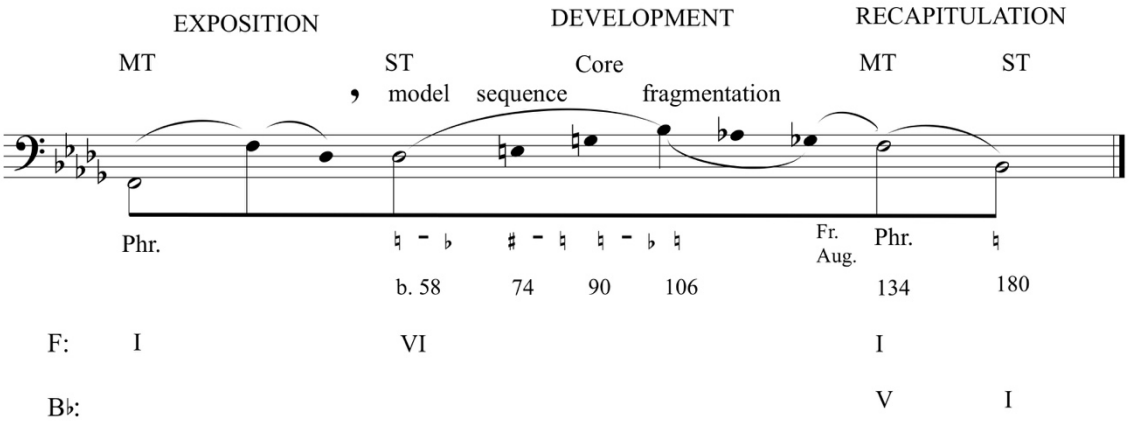



Example 5.14: Albéniz, "El Albaicín", from *Iberia* (T- 105), tonal/formal scheme

[80] Job Ijzerman, "Schemata in Beethoven, Schubert and Schumann: A Pattern-based Approach to Early Nineteenth-Century Harmony", *International Journal of the Dutch-Flemish Society for Music Theory* 4, no. 1 (2017): 3–39. See also his *Harmony, Counterpoint, Partimento: A New Method Inspired by Old Masters* (New York: Oxford University Press, 2018), 117-125.

"Málaga"

In this case, Albéniz scholars have agreed that "Málaga" is in sonata form.[81] At the same time, given its key signature and its ending, the piece has been labelled in B♭ minor.[82] Nonetheless, "Málaga" is initially in F Phrygian, the key of the main theme: an "instrumental" theme whose triple metre, metrical ambiguities, hemiolas and syncopations evoke the *malagueña*. The subordinate-theme *copla* is in D♭ major. The modulating 16-bar theme forms a model that is sequenced a minor-third higher, landing ultimately in G major in b. 88. Albéniz starts the core of the development in b. 91, ultimately leading to the F Phrygian recapitulation in b. 134. In other words, and as shown in Example 5.15, Albéniz begins the recapitulation in the initial key (F), and not in its dominant (C), as one might expect from the sonata-form models of "Evocación" and "Triana". If the initial key were B♭ minor, the tonal scheme of "Málaga" would exactly match the minor sonata-form model presented in Example 5.11. The key of F Phrygian in the recapitulation ultimately functions as a dominant for the subordinate-theme *copla* in B♭ major, the key with which the piece ends; and the key of F functions as a dominant because it appears in the Phrygian mode.

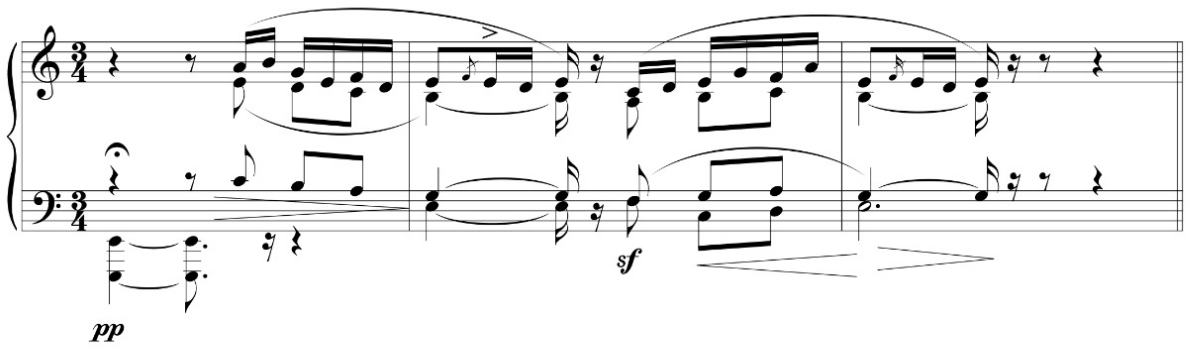



Example 5.15: Albéniz, "Málaga", from *Iberia* (T- 105), tonal/formal scheme

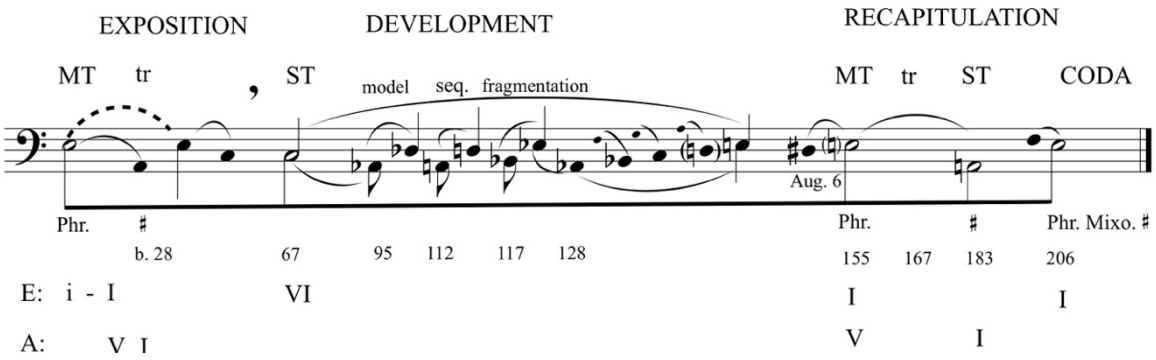
[81] Clark, *Isaac Albéniz,* 243. Mast, "Style and Structure", 322.
[82] Mast, "Style and Structure", 322; Torres, *Catálogo,* 425; Clark, *Isaac Albéniz*, 243.

"Jerez"

A similar situation occurs in "Jerez"), whose main theme is in E Phrygian. The beginning of the theme, shown in Example 5.16, is itself clearly based on the Phrygian tetrachord A-G-F-E, characteristic of the so-called *cadencia andaluza*, the archetypical formula of *flamenco* music, although here ending on a minor chord on E instead of a major chord. The subordinate-theme *copla* is in C major, as if the piece were in A minor. The reappearance of the MT in the recapitulation is also in E Phrygian, which functions as the dominant of A major, the key of the subordinate-theme *copla*. Finally, the key of E returns in the coda, but Albéniz ultimately changes its Phrygian mode into Mixolydian, ending with a standard PAC on E major. The change to the Mixolydian mode might be a clear indication that he did not want to end the piece with the functional ambiguity of the Phrygian mode. Example 5.17 shows the tonal/formal scheme of "Jerez".




Example 5.16: Albéniz, "Jerez", from *Iberia* (T. 105), beginning




Example 5.17: Albéniz, "Jerez", from *Iberia* (T. 105), tonal/formal scheme

In the graphs, I decided to incorporate both the Phrygian key and its fifth below as main keys since both could have, if not equal, at least similar importance throughout the entire piece, functioning as main tonics for large periods of time, and exhibiting the pieces the so-called "dual tonicity"[83] characteristic of many Spanish music. To put it somewhat differently, in the last pieces of *Iberia* Albéniz translated the functional ambiguity of the Phrygian mode to the deepest levels of the tonal structure. In this way, the structural translation of a quintessential feature of Spanish music could have easily constituted for Albéniz the achievement of the ultimate *españolismo.* Yet, this was only possible, this could only acquire its full meaning after establishing his adherence to the Classical tonal polarity and the recapitulations on the dominant as the default options of this sonata practice.

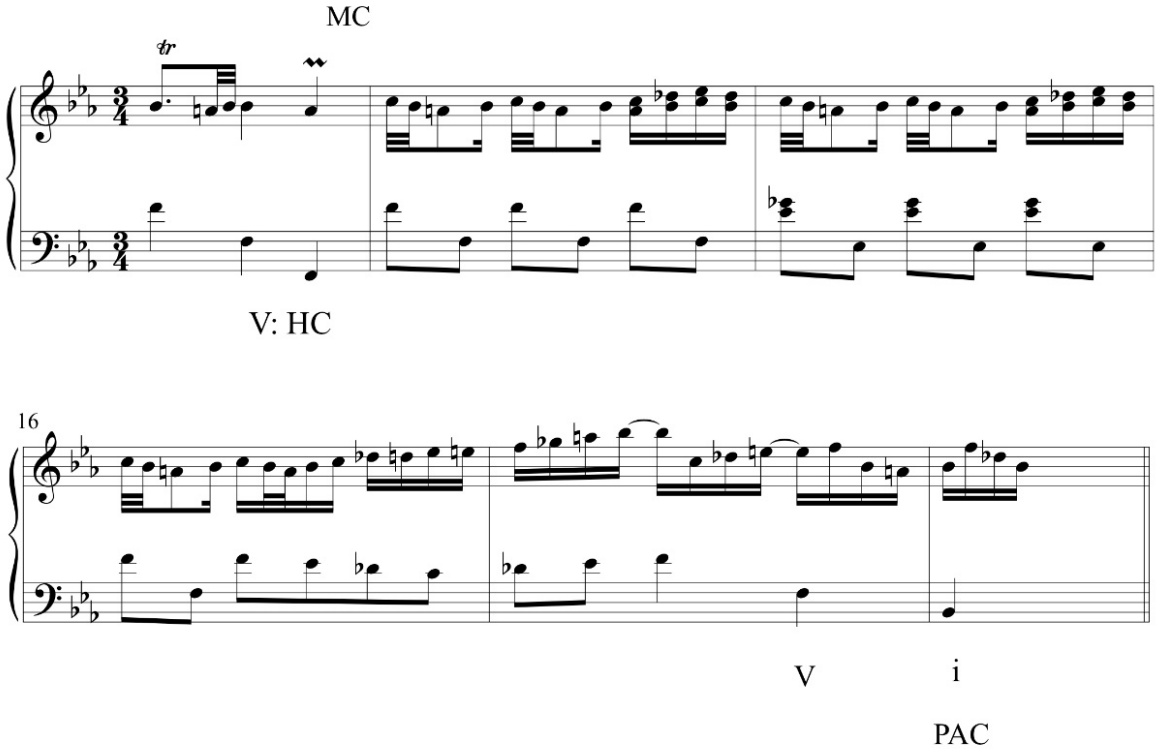
## The Scarlattian Precedent

I have shown above how the sonatas of Domenico Scarlatti could have been a very direct precedent of Albéniz's sonata forms in *Iberia* and other works. But, as mentioned in Chapter 2, there was an important element of Scarlatti's compositions that captivated late nineteenth-century musical nationalists: the use of Spanish folklore. Scarlatti's use of the so-called *cadencia andaluza* and its associations with *flamenco* have been frequently discussed in the literature.[84] This cadence, at least from a Spanish folklore perspective, "should be understood not in Western terms as i-VII-VI-V, but as iv-III-II-I. Thus, while the iv (A-minor) chord may serve as a temporary resting point, it remains subsidiary to the E chord, which functions as tonic and finalis".[85] In general, extensive Phrygian passages and Phrygian cadences are very common in Scarlatti's sonatas. He was "particularly fond of it [the Phrygian cadence] in the modulatory excursion of the second half [of the sonata]",[86] as Kirkpatrick pointed out. The second half of K. 481 begins with a Phrygian section after the first half

[83] See Peter Manuel, "From Scarlatti to 'Guantanamera´".
[84] See for instance Schmalfeldt's analysis of K. 27 in "Domenico Scarlatti", 258–60, and of K. 159 (p. 284); or Lisa Michele Lewis references to K. 54, in "Twelve Nouvelle Impressions: Historical and Cultural Factors Relating to the Performance of Isaac Albéniz's *Iberia* Suite", (PhD diss., University of Washington, 1998): 99-100. One has to be careful, though, when associating flamenco with Scarlatti. As scholars like Malcom Boyd, Luisa Morales and Walter Clark have warned, flamenco, at least as we know it today, did not exist during Scarlatti's lifetime. In that respect, Morales has recently specified more historically accurate sources that could have influenced Scarlatti: popular eighteenth-century dances like the seguidillas, fandangos, jotas and boleros performed as 'entr'actes' in Madrid's theatres. See Malcolm Boyd, *Domenico Scarlatti: Master of Music* (New York: Schirmer Books, 1987), 222. Luisa Morales, "Understanding Domenico Scarlatti's 'Spanish Style': A New Perspective from Contemporary Practices in Madrid's Theatre Entr'actes", in *The Early Keyboard Sonata in Italy and Beyond,* edited by Rohan H. Stewart-MacDonald (Turnhout: Brepols, 2016), 297. See also Walter A. Clark, *Enrique Granados: Poet of the Piano* (Oxford: Oxford University Press, 2006), 114. See, in particular, his footnote 29.
[85] Manuel, "From Scarlatti to 'Guantanamera'", 313.
[86] Kirkpatrick, *Domenico Scarlatti*, 221.

of the sonata closes in C minor. The entire development section of K. 159 (bb. 27–43) makes extensive use the Phrygian modes of G and C, the "Phrygian effect" is particularly clear given that the exposition ends in G major.[87] This development consists entirely of a compound developmental sentence: a c.b.i. (bb. 27–30), its sequence (31–34), and a continuation that features fragmentation and which is also tonally destabilized through the use of the ascending-second descending-third bass pattern typical of the eighteenth-century c.d.s. The continuation finally leads to the cadential part: a descending Phrygian tetrachord on G, which also acts as a dominant for the recapitulation of the *A* theme in C major, the main key.

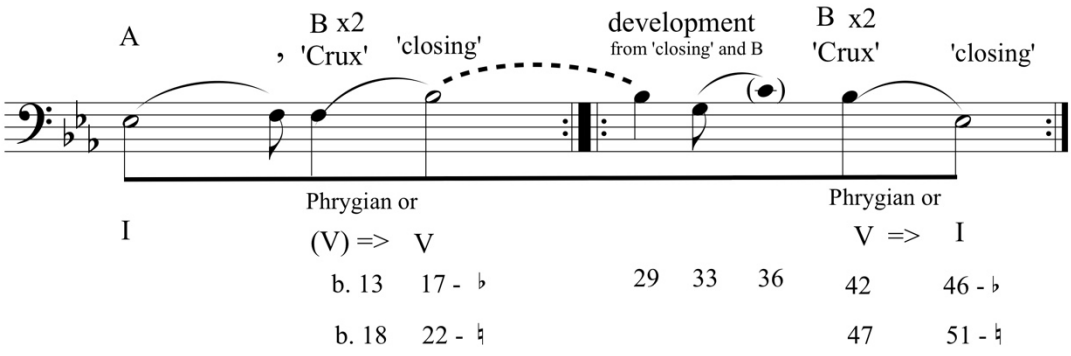
But Scarlatti also employed the Phrygian mode at the beginning of his *B* sections, the section that is often most structurally important in this repertoire as it is the only music from the first half restated in the main key in the second half. In K. 492, the first phrase of the *B* section makes a Phrygian cadence on E, and Scarlatti prolongs the chord for around ten bars before making a PAC on the dominant (A major) of the main key (D major), repeating exactly the same passage a fourth




Example 5.18: Scarlatti, Sonata K. 474 beginning of "B"

[87] Both K. 481 and K. 159 are discussed in Schmalfeldt, "Scarlatti", 278, and 281–85 respectively. Schmalfeldt has pointed out that K. 159 is perhaps one of the closest examples to Hepokoski and Darcy's type 3 sonata.

higher in the second half of the piece. In K. 474, K. 105, and K. 216, and Scarlatti prolongs for quite some time the dominant chord of the subordinate key through the use of the Phrygian mode after a strong V:HC. In K. 474, Dean Sutcliffe saw in the second theme references to "the melismatic melodic style of cante jondo", and for him the theme "sounds very Spanish".[88] The first bars of this theme (*B*), shown in Example 5.18, could also be initially heard in F Phrygian. Nonetheless, F ultimately functions as the dominant of B♭ (minor) making a PAC on that key in b. 17 (see also the piece's overall tonal/formal scheme provided in Example 5.19). Thus, bb. 13–16 could also be understood as a dominant prolongation (in the minor mode of B♭) after a MC on the dominant of the dominant (first level default in Hepokoski and Darcy's terminology), like in K. 216 and K. 105. The effect of tonicization of F Phrygian is stronger when bb. 13–16 are repeated once again, this time ending with a PAC in B♭ major (b. 22) and followed by a closing theme. These bars (13–16) reappear in the second half of the sonata, first in the development in C minor or G Phrygian (b. 33 onwards), and then in the main key of B♭ Phrygian or E♭ (b. 42 onwards, the "crux").

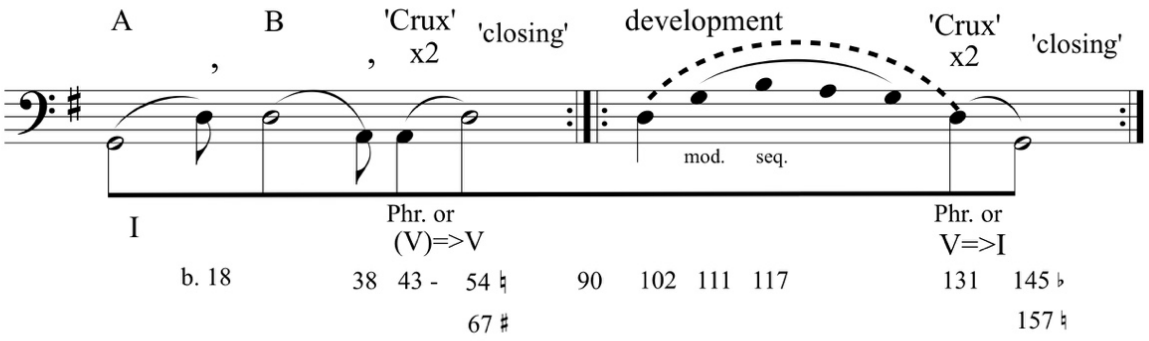



Example 5.19: Scarlatti, Sonata K. 474, tonal/formal scheme

In K. 105 Scarlatti follows exactly the same strategies (see Example 5.20). The crux follows a strong V:HC. Here Scarlatti prolongs the dominant in the Phrygian mode of A before making a PAC on D minor (b. 54). The Phrygian passage is repeated with small changes and delaying the PAC in D major through the use of the "one more time" technique. This is followed by a closing theme. After a development that essentially prolongs the V, the Phrygian material returns in b. 131, which constitutes the crux, although now leading to a PAC on the main key. To sum up, in these works (K. 474, K. 216, and K. 105) the most important structural moment of the sonata, the crux, begins with

[88] Sutcliffe, *The Keyboard Sonatas of Domenico Scarlatti*, 332.

extensive Phrygian passages. That means that the "correspondence measures" (to use Hepokoski and Darcy's term) or the restatement of these bars in the second half of the sonata begin in the Phrygian mode, functioning, at the same time, as a dominant for the main and final key, leaving the tonal resolution of the sonatas for the *B* or closing themes. This has clear parallelisms with Albéniz's recapitulations in "Triana", "El Albaicín", "Málaga", and "Jerez", where the restatement of the initial material in the recapitulation occurs in the Phrygian mode and the tonal resolution is left for the ST. Whereas Scarlatti's use of the Phrygian mode is more localized, typically in *B* and development sections, Albéniz's was more extensive and more clearly associated with MT sections, as subordinate or *B* themes were always *coplas* or popular *cantabile* themes in the major mode. Finally, it is difficult to tell whether Albéniz knew these specific sonatas or what where the exact compositions of Scarlatti that he studied or performed.[89] Yet, given the biographical and analytical arguments provided here, Scarlatti's use of the Phrygian mode and its structural employment in his sonatas constituted a direct precedent for Albéniz's strategies in *Iberia*, making this eighteenth-century composer a fundamental source for some of the most idiosyncratic features of Albéniz's most admired compositions.




Example 5.20: Scarlatti, Sonata K. 105, tonal/formal scheme

[89] The Scarlatti pieces that Albéniz performed are not specified in Guerra y Alarcón's biography. Likewise, the composition that Albéniz performed in the Brussels's competition is referred to as a "capriccioso" is probably K. 63.

## Conclusions

"Watch out for those French modernists—they are crazy".[1]

Isaac Albéniz's music rarely features in theoretical and analytical discourses in the twenty-first century. With a few remarkable exceptions, this music has not been subject to detailed analytical investigations and, consequently, Albéniz's music has seldom (if ever) been examined using modern and contemporary theoretical frameworks and analytical techniques, despite being one of the best-known Spanish composers of all times. In Western historiography, he is typically described as one of the nationalist composers of the late nineteenth century, whose peripheral position within the canon relies exclusively on his use of Spanish folklore as a fundamental compositional resource. But Albéniz was more than an inspired folky composer who produced nice little character pieces in Spanish style; he studied and worked in some of the best music schools of his time and was recognized by his peers as a leading contemporary composer. He also wrote a number of academic compositions with the apparent aim of securing a post at the Conservatory of Madrid, embarked in ambitious operatic projects and completed several orchestral pieces and stage works. This dissertation has emphasised this side of Albéniz's life and works, in an attempt to complement the more stereotypical and best-known features of his output. In particular, this thesis has pointed out the importance of certain eighteenth-century conventions in this repertoire (cultural aspects shaping the reception of his music, Galant schemata and phrase structure, strategies for developing material, the sentence, the period, and sonata form), and has also described how exactly Albéniz made use of these conventions and how they interacted with better-known elements of his style. Indeed, this thesis is the first academic study that provides analytical justification and relief to previously weakly or unsubstantiated remarks about his use of older musical conventions.

And yet, due to the constraints of doctoral research and the additional challenges of writing a thesis during a pandemic, certain groups of pieces or particular compositions have been excluded. For example, while I have included passages from Albéniz's operas and revealed some of their harmonic/contrapuntal formulas, much more analytical research on these works remains to be

[1] "Guárdate de los modernistas franceses, están locos". Letter to Albéniz from Tomás Bretón, 23 August 1895. Quoted and translated in Walter A. Clark, *Isaac Albéniz: Portrait of a Romantic* (New York: Oxford University Press, 1999), 166.

done, especially regarding some of their formal conventions; likewise, and regrettably, I have not included Albéniz's songs in my analysis, many of which would deserve to be incorporated into concert repertoire and analytical research. While some works have been left out of my analytical survey of Albéniz's music, I have studied a substantial amount of his output spanning essentially the totality of his compositional career. Works like the piano sonatas have been analysed in depth for the very first time; some of the compositions that figure among the most famous pieces of the late nineteenth and early twentieth century, like *Iberia*, or the *Suite Española*, have been studied for the first time using some of the techniques developed in contemporary *Formenlehre*, putting a somewhat marginalized figure at the centre of contemporary theoretical and analytical research. At the same time, previous research on Albéniz that is more or less analytically oriented has typically focused on a single work or on a group of works, isolating them from one another. On the contrary, this study has tried to emphasize that there are also things common to all these compositions, and that through these commonalities we might also illuminate some of their differences.

Chapter 1 explored how certain judgements on Spanish music were grounded on a powerful historiographical tradition whose origins, development, and consequences I traced. The French Enlightenment and the writings of *les philosophes* laid the intellectual foundations for a historiographical trend that portrayed Spain as a European anomaly and Spaniards as incapable for the sciences or for developing any kind of craftmanship or technical abilities. This tradition was then shaped by nineteenth-century ideologies. Notions of Spain's backwardness, religious intolerance and fanaticism were transformed through Romanticism into exotic topoi of authenticity and spiritualism, helping to consolidate the idea that Spain was an "oriental" nation frozen in time and alien to European progress. The chapter gave more detailed descriptions of this process in British, German, and French literature of the nineteenth century. Essentially, what attracted Romantic thinkers was that Spanish culture was truthful to its roots; in other words, its sway was based on notions of authenticity and primitivism as prime aesthetic values. Manifestations of Spanish culture, consequently, were valued precisely for their lack of craftmanship. It was the same with music; critics praised the inventiveness of Spanish musicians while criticizing their lack of intellectualism, manifested mostly in the absence of musical development. These characteristics of Spanish music and culture were even sometimes linked to congenital features of Spanish people, even in twentieth-century historiography. Spanish music, in other words, was bounded to rely on folklore as the unique means to obtain aesthetic appreciation. Yet, recourse to music folklore was the burden and the blessing of Spanish music. On the one hand, it satisfied the Romantic demands of

an audience particularly thirsty of a fantastic, oriental Spain through the characteristic folkloric sounds, while also fulfilling the needs for original musical material. On the other, it relegated Spanish music to a predetermined secondary position within the European canon. In order to figure in it and compete with other nations, Spaniards assumed most of the notions of exotic Spain rooted in the Black Legend and shaped by Romanticism. The critiques on Albéniz's music replicated these general judgements on Spanish music, as he was often attacked for his incapability to receive theoretical instruction and his lack of compositional craftsmanship. In a word, these critiques were simply one of the multiple manifestations of a much more general phenomena: the portrayal of Spain as an intellectually weak country and an exception among the European nations; a vision that was most fundamentally a product of the French Enlightenment. The intellectual heritage of the *philosophes* was the very first of the eighteenth-century conventions that persisted in the music of Albéniz.

The second of these conventions were Galant schemata as described and classified by Robert Gjerdingen. Chapter 2 pointed out how musical Galant schemata linked to an aristocratic, courtly society persisted in the music of Albéniz. Much more research in other repertoires is needed to answer the question of whether these musical schemata continued to portray the *Ancien Régime* values with which they were associated in the eighteenth century, supporting Arno Mayer's thesis, or whether they became emancipated and simply constituted a shared network of standard musical vocabulary. In any case, relying on the analytical methodology developed by Gjerdingen, this chapter demonstrated the importance of Galant schemata and phrase structure in the music of Albéniz. These Galant features are manifested even in late works like *Iberia*, which is often associated with Spanish musical nationalism and French modernism. Two Galant schemata appeared frequently in the works of Albéniz: the Romanesca and the Prinner, while others like the Indugio were more casually employed. Albéniz used the Romanesca mostly in his stage works, where it clearly functions as a topic. The schema is often used in its traditional eighteenth- (and even earlier) century forms, and carries loaded programmatic associations. In that sense, Albéniz uses it to refer to a distant past; its elegance serves to evoke the splendour and solemnity of the court, and the chivalric, Arthurian world he depicted in his operas. The chapter constitutes one of the few detailed studies of the harmonic formulas that Albéniz employed in the stage works, and also pointed out the importance of Albéniz's operas in the development of certain aspects of his compositional language: many of the formal, harmonic or technical novelties of his latest works are indebted to them. In that sense, Albéniz also adapted the Romanesca to an early twentieth-century context and integrated it in the musical discourse of *avant-garde* pieces like *Iberia.* The Prinner, on the other hand, became one of Albéniz's most common "recipes" and, consequently, it was less

topically marked. It was one of Albéniz's favourite strategies to modulate to the dominant key. The schema appears throughout his entire oeuvre: in the academic compositions like the piano concerto and the piano sonatas, in the operas, in the Spanish-style pieces, and his monumental *Iberia*. The Prinner acted as an elegant, modulating *riposta* to a theme; Albéniz often uses it to articulate the phrases, and sometimes to develop material. The Prinner, at the same time, interacted with other elements and patterns more often associated with of Albéniz's style. Albéniz's most characteristic fingerprint was the ❻❶❹ arpeggiation in the top voice, as well as his use of the schema in both the major and minor modes, which stands in contrast with Galant uses of the Prinner exclusively in major. Finally, the chapter explored how Albéniz sometimes imitated the type of phrase structure typically associated with the Galant style, even in some of the most famous compositions of *Iberia*, showing, in particular, connections with the writing of Domenico Scarlatti.

Phrase structure was the focus of chapters 3 and 4. Chapter 3 laid out a basic theoretical distinction between theme-type and developmental sentences. Based on this distinction, the chapter described the different sentence-types encountered in Albéniz's music. The theme-type sentences served to present or expose material; they were relatively tight-knit, diatonic, and in most cases closed with a standard cadence. Developmental sentences, on the other hand, were used to develop material and achieve important or the climaxes of the pieces. Albéniz used the theme-type sentence to structure many of his piano pieces in different styles: the ancient dances, some of the most famous Spanish style pieces, and the piano sonatas. While I have departed from Caplin's definition of the sentence, which, as described in detail in Chapter 3, is based on the instrumental music of Haydn, Mozart, and Beethoven, I have also pointed out some of the fundamental differences between the Classical theme-type sentences and Albéniz's sentences. At the same time, this chapter has revealed that most of Albéniz's development sections are based on the model-sequence-fragmentation technique typical of the Classical core. In his late works, this served him to create a very dramatic, goal-directed process that culminates with the climax of the piece, which often coincides with the beginning of the recapitulation. Albéniz creates a gradual crescendo through the increased dynamics, ascending sequential progressions, and fragmentation processes that end with the *fff* climax. In some cases, this very general technique gave rise to a more tight-knit, well-defined phrase, with a stronger thematic profile, and which I have termed the "compound developmental sentence", whose historical origins and associations with particular harmonic progressions were traced in this chapter. This sentence creates a large-scale, single gesture that is even more goal-directed than development sections based on the core technique, and, hence, it is

very well suited to the kind of extreme and dramatic effects associated with nineteenth-century music. In a word, in *Iberia* and other late works, Albéniz recurred to a very pervasive sentential impulse to create development sections and achieve important climaxes.

While Chapter 3 focused on the sentence, Chapter 4 concentrated on its paradigmatic counterpart in contemporary *Formenlehre*: the period. The period was the Classical theme-type per excellence, and this chapter demonstrated how Albéniz used it to structure his themes throughout his entire career, adapting it to very different generic conventions. Throughout his compositional career, Albéniz cultivated two very different genres in his compositions for piano: the large ternary pieces of great variety, and the more academic compositions represented here with his sonatas. The former displayed sectional juxtaposition and mode contrast mostly to the parallel or third-related key areas, whereas the latter were clearly associated with the sonata rhetoric: transition sections, dominant arrivals that prepare the launching of new themes, expansion processes, and large-scale tonic-dominant polarity. With this distinction in mind, it is difficult to imagine that these groups of pieces shared many patterns of formal organization. Yet, this chapter has shown that the parallel period, the quintessential form of Classical phrase structure, was often used to structure many of these themes, even if it is sometimes veiled through complex metrical and formal processes as in "Evocación". In other words, on many occasions Albéniz resorted to his strong "classicizing streak", as Walter Clark once put it,[2] to structure many of his themes.

There were also many differences between the periods of these groups of pieces. While the parallel period was a common way of structuring the themes of the "salon-like" and "ancient" dances, it was rarely used in his Spanish-style compositions. The only exception I could find was the main theme of "Cádiz", from the famous *Suite Española* (T. 61). In the sonatas, subordinate themes were often tight-knit, symmetrical, compound parallel periods. In the Classical style, this was a common way of structuring many subordinate and closing themes, since, as Leonard Ratner has pointed out, this formal type, mostly through the half and authentic cadences that articulate it, was ideally suited to unequivocally express the new key in which the subordinate theme took place.[3] At the same time, main themes and transition sections of these sonata-form compositions were often laid out as asymmetrical and expanded antecedent-consequent phrases, a formal type that A.B. Marx identified as a "period with dissolving consequent" in the nineteenth century. In other words, the

[2] Walter A. Clark, "Variety within Logic: Classicism in the Works of Isaac Albéniz", *Diagonal: An Ibero-American Music Review* 1, no. 1 (2015): 113.
[3] Leonard G. Ratner, *Classic Music: Expression, Form, and Style* (New York: Schirmer Books, 1980), 219.

expansion of first themes in Albéniz's early sonatas followed a well-established compositional practice codified in the writings of Koch and Marx, which established the necessity of an expansion process as a prerequisite of "sonata-form", and, in Marx's case, precisely describing the antecedent-open consequent design present in Albéniz's early sonata forms. This formal type, while disguised through sophisticated phrase-structural manipulations and mixed with elements associated with Spanish folklore, also formed the basic framework of the main theme and transition sections of "Evocación", the first piece of *Iberia.*

Finally, Chapter 5 has focused on the hallmark of Classical large-scale formal organization: sonata form. Albéniz's relationship with sonata form began with his piano sonatas of the late 1880s. These works still relied on very Classical tonal schemes that replicated on the background their periodic phrase structure. In that sense, the harmonic balance provided by the antecedent and consequent phrases found its parallel in the broader dominant-tonic polarity characteristic of Classical sonata form. These piano sonatas laid the foundations of a sonata practice that he would later use in his final works. His first fusion of Spanish style pieces with sonata form occurred in "Asturies". Although the piece was still laid out as an *ABA* form, its actual set up emulated many elements of the sonata rhetoric: both general sonata-form conventions as well as more personal formal traits derived from inner characteristics of the folk genres he was inspired by. In that sense, the most important aspect for the purposes of this chapter was the use of the Phrygian mode as the structural dominant of the piece. Despite its apparent large-ternary form, "Asturies" was in many ways a miniature essay looking forward to the sonata forms he would later cultivate in *Iberia.*

Albéniz held a fairly similar conception of sonata form throughout his entire career. His sonatas contained two well-defined, contrasting themes, in which the first is more "instrumental" in character, with a more intricate accompaniment and more complex and looser phrase structure, and the second more lyrical, based on larger compositional units, large-scale repetition and symmetrical phrasing. Development sections were mostly based on the pre-core/core technique, and the recapitulations were always condensed. Certainly, there were also important differences between the early piano sonatas the sonata forms of *Iberia*: the structural use of the whole-tone scale and the Phrygian mode*,* the well-defined, goal-directed, and dramatic sentential gesture found at the end of the development towards the augmented chord, and the recapitulation standing on the dominant. Some of these idiosyncratic formal features found direct precedents in the music of Scarlatti; in particular, his use of the Phrygian mode and the famous "Scarlatti sonata", the type 2 in Sonata Theory. Overall, and, throughout his entire career, Albéniz remained

committed to the Classical tonal plan and the large-scale tonic-dominant polarity, despite his admiration for the chromatic and tonally adventurous music of the late nineteenth century. It is certainly this adherence to Classical tonal practices that allowed him to create an original and innovative formal practice in *Iberia*, based on the use of the Phrygian mode as a structural dominant, accommodating one of the quintessential features of Spanish music within the framework of a Classical sonata form. The reliance on tonic-dominant keys replicated on a larger scale his tendency to structure many of his themes as antecedent-consequent phrases with counterbalanced harmonic goals based on fifth relationship.

In conclusion, my study has demonstrated the importance of eighteenth-century ideologies, harmonic/contrapuntal formulas, phrase structure, and tonal/formal organization in Albéniz's music, showing, at the same time, how he was able to adapt his idiosyncratic Spanish-style language to some of these conventions. In other words, Albéniz's style involved the replication of many traditional compositional formulas. But of course, this does not mean that his music was any less original. Originality here consisted of devising new strategies within these constraints, taking advantage of some of the features that fared well in combination with elements of Spanish folklore. This revealed a certain conservative character and a cautious approach to composition,[4] which led him to employ well-established compositional strategies and to maintain some distance and "watch out for those crazy modernists".

[4] See Clark, *Isaac Albéniz*, 169.

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