

1		
2		
3		
4	Dorian	4
5	Phrygian	5
6	Lydian	6
7	Mixolydian	7
8	Aeolian	8
9	Ionian	9
10	Alteration between modes	10
11	Modal cadences	11

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Modality in the piano music of Gabriel Fauré

12		
13		
14		
15		
16		
17		
18		
19		
20		
21		
22		
23		
24		
25		
26		
27		
28		
29		
30		
31		
32		
33		
34		
35		
36		
37		
38		
39		
40		
41		
42		
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99		
100		

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Contents

<u>Terms, symbols and abbreviations</u>	1
<u>Introduction</u>	2
I. <u>The diatonic modes</u>	
(i) Dorian	4
(ii) Phrygian	9
(iii) Lydian	15
(iv) Mixolydian	25
(v) Aeolian	31
(vi) Locrian	36
(vii) Alternation between modes	40
(viii) Modal cadences	43
II. <u>Practices related to diatonic modality</u>	
(i) Avoidance of dominant and leading-note functions	49
(ii) Modal root movement	53
(iii) Modal alteration of melody	58
(iv) Flattening	61
III. <u>Extensions of diatonic modality</u>	
(i) Modes of other tonal scales	66
Harmonic minor	66
<u>Durmoll</u>	67
<u>Molldur</u>	72
(ii) Modes on chromatic degrees	74
IV. <u>Symmetrical modes</u>	80
(i) Whole-tone	81
(ii) Tone-semitone	85
(iii) Tone-semitone-semitone	90
V. <u>Unclassified modes</u>	93
<u>Conclusion</u>	104
<u>Bibliography of Works Cited</u>	105

- 1 -

Terms, Symbols and abbreviations

Alteration is indicated in the harmonic analyses by sharps (raising by a semitone) and flats (lowering by a semitone).

Bibliographic references are abbreviated to the name of the author and the page number and are often inserted in the text, e.g. (Novack 87).

Chords are figured according to the degree on which they are based. Inversions and nonharmonic notes are not indicated. Note that "V" indicates the chord on the fifth degree, but "V of X" indicates the dominant chord of X.

Degrees of a scale/mode are described according to the interval that they form with the first degree, e.g. the minor second degree (minor II). The terms tonic, dominant and leading note refer to tonal functions. The seventh degree is not always a leading note, etc.

Diatonic describes a set of intervals that can be found on the white notes of the keyboard,

Excursion A series of progressions in a mode with the same final as the tonic of the key from which it proceeds and to which it returns.

Final The first degree of a mode.

Harmonic alternation Two chords sounded alternately, e.g. IV - V - IV - V.

Modal progressions Progressions with root movement in seconds and/or thirds.

Perfect triads Triads that contain a perfect fifth, i.e. major and minor triads.

Relative modes Modes based on the same transposition of the diatonic scale.

(S) indicates schematic rendition of a passage, with only the relevant notes represented.

Introduction

The complete synthesis of the principles of modality and tonality is one of the most remarkable features of the harmonic style of Gabriel Fauré. This survey primarily deals with instances of modal usage, and with their integration into the tonal framework.

Fauré was not the first composer to introduce modal elements into the nineteenth-century harmonic idiom. Probably the most influential pioneer in this field was Anton Reicha (1770-1836), professor of composition at the Paris Conservatoire. His belief that modal elements could enrich tonality was vindicated in the works of his pupils, such as Berlioz, Liszt, Gounod and Franck, and helped to establish a style that diverged from the tonal mainstream¹.

Another pioneer was Louis Niedermeyer (1802-61), one of the first musicians to advocate the use of modal harmony in the accompaniment of Gregorian plainchant. Fauré's affinity for modal harmony can be attributed partly to his studies at Niedermeyer's music school from 1854 to 1865, where a course in modal accompaniment was compulsory. Each of the eight Gregorian modes were studied individually, with numerous examples. Only the notes of the diatonic scale were used, and all chords had to be perfect triads in root position or first inversion (Gervais 22). Questionable as a vertical approach to modality might be, this system definitely was preferable to the "tonalized" accompaniments current at the time, and provided Fauré with a solid foundation for his own explorations of modality.

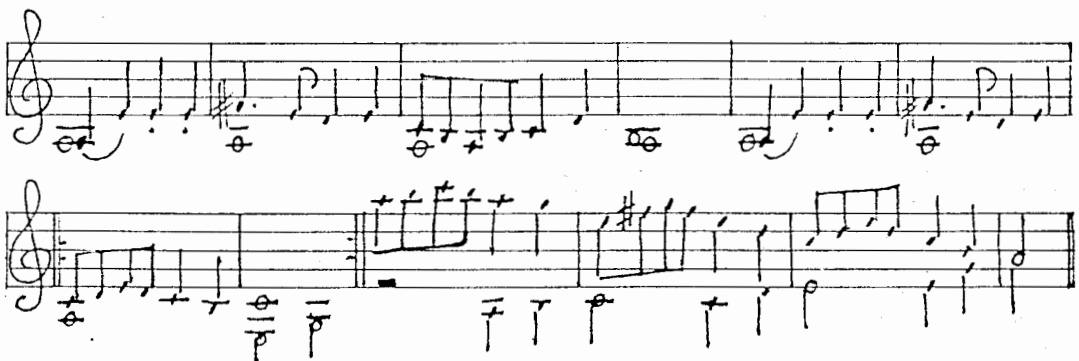
These explorations were mostly designed to integrate diatonic modality with chromatic tonality. Fauré strove to revitalize the modes, re-interpreting them in terms of nineteenth-century harmonic practice, rather than to exploit them as a

1 He explored the diatonic modes quite boldly, if rather clumsily in his own works, referring to them as "gammes relatives". See his preface to "36 Fugues pour le Piano - Forté composées d'après un nouveau système" (Vienna, no date).

Opus		Composed	
41	Barcarolle 2	1885	Second period
42	Barcarolle 3	1885	
44	Barcarolle 4	1886	
59	Valse - caprice 3	1887-93	
62	Valse - caprice 4	1893-4	
63	Nocturne 6	1894	
66	Barcarolle 5	1894	
73	Theme and Variations	1895	
70	Barcarolle 6	1896	
74	Nocturne 7	1898	
84	Pièces brèves 1 - 8	1869-1902	Third period
90	Barcarolle 7	1905	
91	Impromptu 4	1905-6	
96	Barcarolle 8	1906	
97	Nocturne 9	1908	
99	Nocturne 10	1908	
101	Barcarolle 9	1909	
102	Impromptu 5	1909	
103	Preludes 1 - 9	1909-10	
104/1	Nocturne 11	1913	
104/2	Barcarolle 10	1913	
105	Barcarolle 11	1913	
106bis	Barcarolle 12	1915	
107	Nocturne 12	1915	
116	Barcarolle 13	1921	
119	Nocturne 13	1921	

I. The diatonic modes¹

(i) Dorian: Saint-Saëns, who joined the teaching staff at Ecole Niedermeyer in 1860, used the dorian mode in several works, including La Brise, from Mémoires Persanes (1872), and Marche Royale du Lion, from Le Carnaval des Animaux (1886):



Example 1: Saint-Saëns, Marche Royale du Lion, bb.38-51(S)

¹ For the purpose of this survey, the Ionian mode, being identical to the tonal major, is not regarded as modal. As Fauré pays little attention to ambitii and dominant tones, only the authentic forms of the modes are discussed.

The passage has a consciously exotic quality similar to that of quotations of ethnic melodies by numerous nineteenth-century composers. The mode is not integrated into the tonal system, but functions as a separate entity. Fauré does not use the mode in this picturesque fashion, but rather as an evocative colour within a tonal context. Brief references of this kind occur already in the Ballade, op.19.

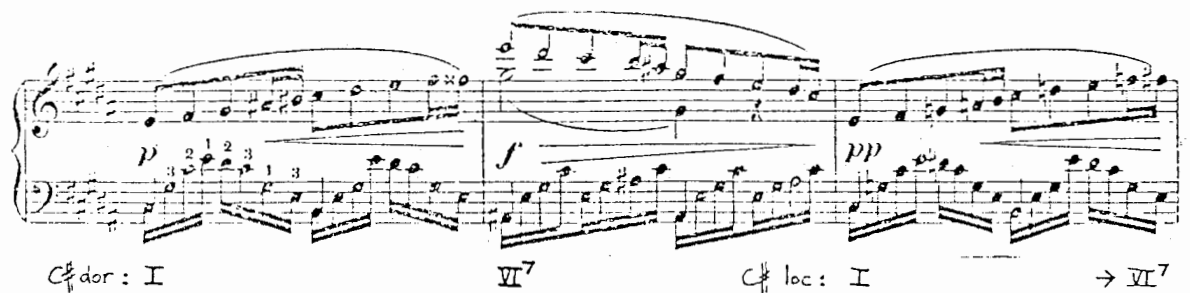


Gb: V⁷ (VI II⁷ V) IV III[#] II⁷ → I
 Eb dorian: I IV VII (V[#] IV⁷ → III)

Example 2: Fauré, Ballade, bb. 48-50.

The c-natural in bar 49 may be interpreted as an allusion to the lydian on g-flat (the passage resolves onto a G-flat triad in bar 51), but bar 49 actually relates to two earlier passages in the same section, that share the same motif and initial tonic triad (e-flat), and is therefore perceived as a return to the tonic.

The dorian with leading note is implied in a later reference to this section:



C# dor: I VI⁷ C# loc: I → VI⁷

Example 3: Fauré, Ballade, bb. 144-6.

This form of the mode - distinguished from the ascending melodic minor through the deployment of the major VI, which, in the latter, is used only in conjunction with the leading note - is also implied in one of the harmonic alternations in the third section of the work:

B dor: (V⁷→) I IV I IV #VII⁷/5/VI^{b7}

Example 4: Fauré, Ballade, bb. 118-9.

A more elaborate version of this alternation occurs in the ninth Barcarolle (bb. 74-7):

A dor: I⁷ IV⁷

I

IV⁷

I mode on II of Molldur: I IV⁷ I⁷ I IV⁷ I⁷

I IV⁷ I⁷ aeo: I IV⁷ VII⁷ I

Example 5: Fauré, 9th Barcarolle, bb. 73-82.

Of particular note is the modal resolution of one of the most tonal chords, the dominant ninth (on IV of the mode). Bars 78-80 are based on a curious variant of the dorian, with diminished V, derived from a common alteration of the relative major, the so-called Molldur (see Chapter IV). Fauré's dorian passages rarely form complete phrases with a dorian cadence. In the above example the cadence becomes aeolian through the flattening of VI. The same procedure can be seen in the following, very clearly defined, dorian passage:

D dor: III⁷ VI⁷ VII⁷ aeol: I II⁷ VII⁷ I

Example 6: Fauré, 5th Prelude, bb. 55-9.

Fauré sometimes precedes the final chord in a modal passage with its dominant seventh, thereby bringing it closer to a tonality¹:

G# dor: I⁷ II III IV^{#5} (II) IV⁷ V⁷ I[#]

Example 7: Fauré, 7th Nocturne, bb. 8-10.

1 The practice probably derives from the use of the subsemitonium at cadential points in modal music of the fifteenth and sixteenth centuries. See Novack 87.

The above combination of a diatonic melody with chromatic harmony/accompanying parts is characteristic of Fauré, but the melody is usually tonal, so that the effect is that of chromatic alterations within a key - one of the commonplaces of late nineteenth century harmony. However, to use a modal melody against a freely chromatic texture, as in example 7, goes far beyond the alterations of musica ficta, and even further beyond Niedermeyer's rules for the accompaniment of modal melody. Further examples of dorian with leading note occur in the late period:

F# dor: V[#]7 I I⁷ II V⁷ I⁷ V⁷ G^b

Example 8: Fauré, 11th Nocturne, bb. 13-5.

G dor: I II I
V⁷ A dor: V[#]7 I → II

Example 9: Fauré, 13th Nocturne, bb. 109-12.

The first three bars of example 9 form the second of three sequential phrases, which constitute the climax of this piece. It is interesting to note that the tonic of the middle section of this work, of which the climax is in the dorian mode, forms the major VI of the home key (B minor) - this degree being crucial in distinguishing between the minor and dorian modes. Strong implications of the melodic minor result from the use of the major VII in the first two bars of the phrase, and it is only in the third bar that the modal character emerges through the harmonic use of the major VI, with the minor VII acting as auxiliary to the final.

(ii) Phrygian: Of the commonly-used modes, the phrygian is the only one that resisted evolution into a tonality. This can be attributed to the fact that it required the alteration of more than one note in order for it to be "tonalized", and to the cadential usage of the minor II, which precluded the use of the leading note (Novack 87-8). Tonal references to the mode are mostly restricted to the Neapolitan sixth-chord, and to the so-called phrygian cadence (IV⁶-V in the minor). Nevertheless, pure phrygian writing was revived as early as 1854, as can be seen in the following passage from Berlioz's L'Enfance du Christ:

O mi-se-re des rois!

G phr: VI IV VII I I (V⁷) VII I IV I

Example 10: Berlioz, L'Enfance du Christ, Air d'Herode, bb, 35-40.

Fauré uses the same phrygian progression in the second of the Romances sans paroles (1863), but the major III in the chord on the final almost reduced the progression to a tonal imperfect cadence. However, the "dominant" triad acquires modal significance through the absence of tonic harmony, and the fact that the next phrase starts in a different key:

E phr: I# II VII⁷ of VI VII V#⁷

sempre f

I# VII⁷ I# VII⁷ → I#

Example 11: Fauré, 2nd Romance sans paroles, bb. 50-3.

More advanced examples from the first period also employ the major III to suggest a dominant function of the final. This procedure helps to integrate the minor II into the tonal framework by making it a secondary submediant of the key of the fourth degree:

dolce

E b phr: I IV⁷ VII⁷ III⁷ I# IV I

(IV⁷ of IV) (V of IV)

Example 12: Fauré, Ballade, bb. 36-8.

Handwritten notes:
 Eb F# G# Ab Bb C# Db

Phr: I I⁷ I[#] II⁷ V⁷_{#5} I
 (V⁹ of IV VI⁷ of IV)

Example 13: Fauré, 1st Nocturne, bb. 116-8.

Example 12 is a bold instance of the combination of modally based harmony and melodic chromaticism. The other example reverses this arrangement - the harmony can be analysed in terms of conventional tonal alterations, but the melody is entirely phrygian (cf. example 7). Similar practices can be found in later works as well:

Phr: II VII I II VII I
 (over C pedal)

Example 14: Fauré, 7th Barcarolle, bb. 28-32.

The first example, like example 11, is based on modal harmony, with tonal chromaticism used melodically. The progressions are more modal than in the earlier instance, where the roots come up in fourths in tonal regions. That the fusion of modality and chromaticism was for Fauré a conscious device, can be seen quite clearly in the second example, where a phrase is first stated in pure Phrygian with modal chords and then restated with chromatic additions.

cresc.

Aphr: I/III V I II/VII III/I IV III #VI⁷ V⁷ I

f

III⁷ V (II/VII) I IV III (VI⁷) #IV⁷ V⁷ I

Example 15: Fauré, 9th Barcarolle, bb. 23-6.

Fphr: I# VII ⁹/₆ - b9 - #5 III⁷ V ⁷/_{#5} I#

Example 16: Fauré, 4th Prelude, bb. 47-51.

The first example, like example 12, is based on modal harmonies, with tonal chromaticism used melodically. The progressions are more modal than in the earlier instance, where the roots move up in fourths in tonal fashion. That the fusion of modality and chromaticism was, for Fauré, a conscious process, can be seen quite clearly in the second example, where a phrase is first stated in pure phrygian with tonal cadence and then restated with chromatic additions.

Both these examples avoid the harmonic use of the raised third.

The third example shows a rare excursion to the phrygian from the major, with chromaticism used both melodically and harmonically.

Several of the above examples show the introduction of the tonal dominant seventh before the cadence, a practice already observed in some dorian passages. It occurs quite frequently in the late period:

F# maj: I phr: I III⁷ maj: V⁷+6 I

Example 17: Fauré, 8th Barcarolle, bb. 36-8.

A phr: I⁷ VI⁷ VI⁷ V⁷ IV⁷ V⁷_{#5} I

Example 18: Fauré, 10th Barcarolle, bb. 19-21.

An interesting feature of example 17, based on an alternation between the ionian and phrygian modes, is that the "sharper" mode is used in a descending line and the

"flatter" in an ascending line¹. This is contrary to normal tonal practice (e.g. the melodic minor) and serves to heighten the contrast in modal colour. Example 18 features parallel harmonic movement, related to medieval organum, and to the fauxbourdon style of the early Renaissance. The most exhaustive treatment of the tonal dominant in the cadence of a phrygian phrase occurs in the ninth Barcarolle. The beginning of an eighteen-bar section, consisting entirely of such phrases, is quoted in example 15.

The triad on the fifth degree of the phrygian is problematic, as it is diminished in its natural form. In the following phrase, Fauré uses triads on all the degrees of the mode, altering the triad on the fifth degree to a major triad, the tonal dominant. The chord is not used cadentially, which might indicate that the use of the dominant in the above examples is not dictated solely by its tonal cadential function, but also by the imperfect natural triad on the fifth degree:

C# phr: V I III VII II VI IV I

Example 19: Fauré, Theme and Variations, Theme, bb: 5-6.

1 The modes can be arranged according to the number of "sharp" degrees that they contain. In the lydian, all the degrees form the largest possible diatonic interval with I; in the locrian, the smallest. More simply, the modes on B, for instance, can be arranged according to the number of sharps that they contain: lydian (6), ionian (5), mixolydian (4), dorian (3), aeolian (2), phrygian (1) and locrian (0).

The natural seventh chord on the fifth degree is used in some harmonic alternations in the late period:

F# phr: I V⁷ I V⁷ min: V⁷

Example 20: Fauré, 11th Nocturne, bb. 4-7.

B phr: I II⁷ I V⁷ II I

Example 21: Fauré, 13th Nocturne, bb. 46-9.

A harmonic alternation usually involves two chords alternating at regular intervals. Both examples are slightly exceptional. The first dispenses with metrical regularity, and the second involves alternation between a chord and a variety of chords containing c and e (II, II⁷, V⁷).

It is notable that in both cases the use of the natural chord is preceded by that of a tonal dominant function. However, neither returns to the key on I at the end of the alternation, so that they are not merely excursions to the phrygian.

(iii) Lydian: The most famous piece "in the lydian mode" is probably Beethoven's Heiliger Dankgesang eines Genesenen an der Gottheit, in der lydischen Tonart, from the string quartet in A minor, op. 132:

Molto adagio

F lyd: V I V I V I I I V VII V I III V VI III VII V I V

10 I V I II V II V I V VII V III V I V I IV V II V I V

20 VII I V I I V I VI VII I II V I V II III

30

Example 22: Beethoven, String Quartet in A minor, Molto Adagio, bb, 1-30.

As can be seen from the first statement of the Dankgesang (example 22), it is modal in name only. Only the fourth of the five phrases cadences onto F (the final of the mode). Although Beethoven restricts himself to the notes of the mode (except on the last chord), he rarely ventures beyond the most elementary tonal progressions¹. The augmented fourth degree is always heard and resolved as part of a dominant function (V⁷, VII⁶, III) of the dominant and never resolves down onto III. The work ends on the tonic triad, but Beethoven is careful to avoid any reference to the augmented fourth degree in the last ten

1 The only exceptions being VI-V (first phrase), VI-III (third phrase) and V⁷-IV⁶ (fifth phrase).

bars:

Example 23: Beethoven, String Quartet in A minor, Molto Adagio, bb. 201-11.

Fauré does not try to disguise the augmented fourth degree as a leading note to V - on the contrary, he emphasizes it as the distinctive characteristic of the lydian mode. This can be seen in his first piece of piano:

Ab lyd: I II⁷ I IV^{b7} (G⁶) I II⁷ I IV^{b7} (G⁶) I

Example 24: Fauré, 1st Romance sans Paroles, bb. 65-69.

Note especially that IV is not treated as auxiliary to V, but to III. Its being a tone away from the main note strengthens its position as a degree of the scale, as altered auxiliaries are usually a semitone away from the main note. There are also no major fourth degrees in the last seven bars to contradict the lydian character. Several harmonic alternations in the Ballade suggest the same mode:

dolor

A lyd: I II⁷ I II⁷ I II⁹ I II⁹

Example 25a: Fauré, Ballade, bb. 213-4.

D^b lyd: I IV⁷ I IV⁷

Example 25b: Fauré, Ballade, bb. 221-2.

The harmonic pattern of the last example recurs in the late period:

E lyd: I IV⁷ I IV⁷

Example 26: Fauré, 8th Barcarolle, bb. 28-9,

as does the alternation of I and II⁷ seen in examples 23 and 24, albeit in a more involved form:



F lyd: I⁷ II⁷ I⁷ II⁷ I⁷ IV III⁷ VII maj: II⁷ II⁷

Example 27: Fauré, 10th Barcarolle, bb. 48-51.



E^b lyd: I⁷ II⁷ I⁷ II⁷ I⁹ II⁹



I⁷ #I⁷ V^{b7} VII^{b7} II⁷ I⁷

Example 28: Fauré, 11th Barcarolle, bb. 26-31.

The IV⁷-chord is used in both example 25b and example 26 to lead away from the final to a remote key on the third degree of the mode. Fauré uses this versatile chord (exploited by Wagner in "Tristan und Isolde") to link two lydian modes a minor third apart in the sixth Nocturne:

A^b C E G
A^b C E G

F A C E

G A B C D E F G
D E F G A B C D

F A C E

C^b E^b G^b B^b

A^b C E G

B D F A

D

Handwritten musical score for Example 29, showing three systems of piano accompaniment. The first system is in D-flat major (Db) and features chords labeled Db lyd: IV⁷, I, A lyd: I, and VI⁷. The second system is in C major (C) and features chords labeled C lyd: I, IV⁷, and A lyd: I. The third system is in C major (C) and features chords labeled VI⁷, C lyd: I, and an arrow pointing to A maj. The score includes treble and bass staves with various musical notations such as slurs, accents, and dynamic markings.

Example 29: Fauré, 6th Nocturne, bb. 64-8.

The chords in bar 66 may be interpreted chromatically, as the melody stays in A lydian, but bar 68 is clearly in C lydian, so that the effect of alternating modes is probably intentional.

As can be seen from the above examples, lydian passages in the late period are often more extensive than those in the earlier periods, which are usually defined by only two chords. The opening of the Pièces Brèves forms one of the longest lydian passages in Fauré's oeuvre:

Piano. *plleggiro*

The piano introduction consists of two staves. The right hand plays a series of eighth-note triplets, and the left hand plays a similar pattern. The tempo is marked 'plleggiro'.

C lyd: I with added sixth

The first system shows the beginning of the 8-bar melodic period. The right hand has a melodic line with a slur over the first four notes, and the left hand has a bass line with a slur over the first four notes.

I+6

I⁷

The second system continues the melodic period. The right hand has a slur over the first two notes, and the left hand has a slur over the first two notes.

I⁷

VI⁷+6

VII

The third system continues the melodic period. The right hand has a slur over the first two notes, and the left hand has a slur over the first two notes.

VII⁷

V⁷

III[#]

#

The fourth system concludes the 8-bar melodic period. The right hand has a slur over the first two notes, and the left hand has a slur over the first two notes.

II⁷

+6

VII⁷_{b5}

V^{b7}

→ I

Example 30: Fauré, 7th Pièce Brève, bb. 1-10.

The 8-bar melodic period is entirely lydian, and - apart from the tonal dominant at the end, which resolves onto the tonic through an extension of the last phrase - there is only one instance of a foreign note in the harmony (g-sharp, bar 8) and all the harmonic movement is modal.

Parallel harmonic movement can be seen in the following lydian phrase (cf. example 18), although the effect is softened by a suggestion of tonal root-movement onto the beats:

Flyd: I⁷ IV⁷ (II⁷) V⁷ (III⁷) VI⁷ (IV⁷) I⁶ — 5

Example 31: Fauré, 9th Barcarolle, bb. 45-7.

It is perhaps at the opening of the fourth Prelude that Fauré comes closest to Beethoven's pseudo-modality - the raised fourth is treated as leading note to the dominant. That this single instance is exceptional, and not indicative of his attitude, can be seen from the subsequent variants of this passage, where the fourth degree is used as part of the seventh chord on the fifth degree, resolving onto the tonic triad. In a tonal work, this last progression is perhaps the clearest statement of lydian intentions, as it places the raised fourth in the context in which the natural fourth most clearly reveals its tonal tendencies:

Allegretto moderato (♩ = 60)

Flyd: I I⁷ VI⁷ VII (II)V I V^{b7} → I

Example 32a: Fauré, Prelude, bb. 1-3,

Faeo: II⁷ lyd: I I⁷ VI⁷ V⁷ IV⁷ V⁷ I(VI) V^{b7}

Example 32b: Fauré, 4th Prelude, bb. 39-42.

Fauré was particularly fond of exploiting the tri-tonic tension between tonic and raised fourth in the lydian formula I₄₋₃⁵. Although this appoggiatura is especially characteristic of his late period, it appears as early as the Ballade:

F#maj: V⁷ I V^{#5} I

Example 33: Fauré, Ballade, bb. 4-6.

Fblyd: II I⁴ - 3 Gblyd: V^{b7} I⁴ - 3 etc

Example 34: Fauré, 7th Nocturne, bb. 95-7.

In the above examples the fourth is the altered degree. Often the fourth is a note of the key, and the root is an altered degree, most often minor II=

sempre *ff* *dimin.*

Gmaj: IV bII III V⁷+6 → I

Example 35: Fauré, 2nd Barcarolle, bb. 43-6.

A lydian appoggiatura over flat I can be seen in example 113. The appoggiatura is often used against seventh chords:

p etc.

Ob: V⁷ I [#]4-3 bVII⁷ 4-3 bVI^{b7} 4-3 Eb:

Example 36: Fauré, 8th Barcarolle, bb. 58-60.

f sempre

G#dor: I⁷ II 4th chord on I II $bV \frac{b7}{4} - 3$ $bIV \frac{b5}{4} - 3$

VII $\frac{b7}{b5/b3}$ V# $bII \frac{4}{3}$ VII $\frac{b7}{b5/b3}$ VI $\frac{2}{-b3}$

f sempre

V# $\frac{4}{-#3}$ IV# $\frac{4}{-3}$ VI# $\frac{7}{4} - #3$ V# $\frac{4}{-#3}$ VII⁷ IV $\frac{b3}{7} \rightarrow V^7$

Example-37: Fauré, 13th Nocturne, bb. 62-70.

Chains of "dominant sevenths" with raised fourth appoggiaturas can be seen in both the above examples and occur also in the fifth Impromptu and eighth Prelude, all from the late period.

(iv) Mixolydian: One of the features of Fauré's style is his affinity for flat leading notes, but it is usually associated with the minor modes. He employs the major mode with minor VII less frequently than the other authentic modes, despite the bold use he makes of it in the first phrase of his first work for piano:

Ab mix: I IV (#5) II V

V⁷ of II II V⁷ (#3) I

Example 38: Fauré, 1st Romance sans Paroles, bb. 1-8.

The major VII is used only twice in the 8-bar period: as semitonal appoggiatura in bar 2 and as unaccented chromatic passing note in bar 7¹, while the minor VII is sounded seven times and occupies an important structural position as element of the final chord of the first four-bar phrase.

The second Romance also contains a mixolydian section, of which the first part employs chromatic passing notes and the second part takes the form of a harmonic alternation:

1 The passing capacity of the g-natural is implied despite its irregular resolution onto e-flat.

The first system of musical notation consists of a piano (treble) staff and a bass staff. The piano staff begins with a melodic line marked *molto cresc.* and features several slurs. The bass staff provides harmonic support with chords and moving lines. A dynamic marking *f sempre* appears in the latter part of the system.

Gmix: I IV V of II VII V #VII⁷ I VII⁷

The second system continues the musical piece. The piano staff shows a melodic line with a slur and a dynamic marking *f*. The bass staff continues with harmonic accompaniment.

I VII⁷ I

The third system shows the final part of the quoted section. The piano staff has a melodic line with a slur. The bass staff has a chordal accompaniment. A dynamic marking *f* is present.

(I)

Example 39: Fauré, 2nd Romance sans Paroles, bb. 21-7.

The quoted section is preceded by a section in A minor and followed by a section in D minor, so that it is obviously not an elaborate imperfect cadence in C (a charge which could, with some justification, be levelled at the "phrygian" cadence in example 11).

The second of the Pièces Brèves hints at the mixolydian on C and on B-flat in its second section:

Cmix: I II⁷ VII I
 (Bblyd: II III⁷ I

VII I⁷ Bbmix: VII
 I II⁷)

VII I⁷ Cmix: I⁷ II → I

Example 40: Fauré, 2nd Pièce Brève, bb. 11-16.

Bars 11-13 can also be interpreted in B-flat lydian (the first section of the piece is in C lydian, cf. example 30). This ambiguity facilitates the transition from C lydian to B-flat Mixolydian:

C lydian — C mixolydian
 B-flat lydian - B-flat mixolydian.

Fauré alternates between the minor and major VII in the coda of the sixth Nocturne:

8

Dbmaj: VI[#] VII^{b7} V⁷ I V⁷ -[#]5 I mix:I V⁷ -[#]5

I⁷ bIII V⁷ bIII V⁷ -[#]5 I

Example 41: Fauré, 6th Nocturne, bb. 128-33.

He uses the minor VII melodically as well as harmonically, preventing its being interpreted as augmented VI.

The coda of the eleventh Barcarolle also features fluctuations of the leading note, but the modal character is more pronounced:

poco a poco cresc. *sempre cresc.*

Gmaj: V VII⁷ mix: VII (I) VII II VI VII⁷ I II⁷

V⁷ I II⁷ I

Example 42a: Fauré, 11th Barcarolle, bb. 106-13.

Gmaj: V⁷ III IV⁷ mix: V⁷ VII⁷ VI⁷ 4th chord on II I

Example 42b: Fauré, 11th Barcarolle bb. 118-21.

The major VIIIs in bars 109 and 111 have the character of chromatic passing notes and do not form part of a cadence. After the chord on the minor VII in bar 120, to the end of the piece, Fauré uses all the degrees of the scale except the seventh, thus avoiding cancellation of the mixolydian minor VII. Of special interest is his substitution of I for VII in the dominant seventh chord (bar 120)¹.

1 See also examples 7, 28 and 43-5.

(v) Aeolian: This mode was only introduced into the modal system in 1547, at the time when tonality was starting to emerge. It was familiar to tonal composers as the "natural minor" and was used mostly in descending melodic passages. Berlioz, Gounod and Saint-Saëns, were among the first to use it as a mode. Like these composers, Fauré used this mode with greater facility than the others, probably because of its closeness to the minor. His first instrumental work in a minor key, the C minor Quartet, op. 15, opens in the aeolian,

Violin
Viola
(Cello
an octave
below)

Piano

Caeo: I III VI III IV I IV V⁷ IV IV I V⁷ V

Example 43: Fauré, Piano Quartet in C minor, Allegro molto moderato, bb. 1-4.

as do several of his earliest piano pieces in minor keys:

Allegretto moderato. (♩. = 46)

p *cantabile*

I bII II⁷ V⁷#

Example 44: Fauré, 1st Barcarolle, bb. 1-4.



F aeo: (I) II VII⁷ VII I V VI⁷ V[#]

Example 45: Fauré, 2nd Impromptu, bb. 1-4.

All three of the above phrases end on a tonal dominant chord, but are distinguished from the minor key through the ascending use of the minor VII. The last example is the first of two consecutive statements of a phrase, which, in the second statement ends on a C minor triad instead of the major triad in bar 4, making the 8-bar period more truly modal. The opening 8-bar period of the ninth Barcarolle is entirely aeolian, but the next 6 bars lead up to a cadence onto the tonal dominant chord, as in these earlier examples. In later works, Fauré sometimes ends in the aeolian:



E aeo: VI I⁷ VI⁷ VI I⁷ VI⁷ VI I⁷ VII⁷ I

Example 46: Fauré, 4th Pièce Brève, bb. 56-9.



B aeo: III⁷ V⁷ I

Example 47: Fauré, 13th Nocturne, bb. 152-5.

In both the cited cases, the minor VII is featured prominently as the top part of the penultimate chord, and ascends to I. Fauré rarely employs the other modes with such boldness at the most crucial structural points of a work. The aeolian is, of course, also used in the manner of the other modes, for shorter, less independent references, such as the following excursion:

Fmaj: I V⁷ aeol: VI⁷ VII⁷⁺⁶ VI⁷ maj: VII⁷ V⁷ → I

Example-48: Fauré, 4th Prelude, bb, 42-5.

The bold juxtapositioning of the aeolian and major VI⁷ at the return to the major is a striking instance of Fauré's exploitation of contrasting modal colours.

He also exploits the contrast between the two forms of VII - the crucial difference between the natural and harmonic minors - with unparalleled audacity:

C# aeol: V⁷# II⁷# V⁷# II⁷# V⁷# → I

Example 49: Fauré, Ballade, bb. 142-3.

Bbmaj: V⁷ → III VII⁷ #5 aeo: III VII⁷ maj: V #5 I V

aeo: I⁷ VII⁷ maj: V #5 I V aeo: I⁷ V⁷ maj: V #5 VI⁷ III aeo: III maj: III V⁷

Example 50: Fauré, 5th Nocturne, bb. 35-44.

E♭ aeo: I⁷ V^{#-4} I⁷ V^{#-4} I⁷ V[#] I V^{#-4} I⁷ 4th-chord on II I

over I over I over I

Example 51: Fauré, 6th Prelude, bb. 25-27.

The use of the minor VII against a tonal dominant chord occurs in tonal music, but in such cases the note always resolves downward. The minor VII in example 49 ascends to I, asserting its modal character. Fauré uses the two forms of VII with such freedom in example 50 that they become separate elements of the scale (see *Unclassified Modes*, p.93):-

Yet, although the minor VII resolves upwards, it is always onto the leading note, not directly onto I. The reverse of this procedure can be seen in example 51. The leading note is lowered before resolving onto I. A fourth chord, equivalent to a dominant seventh with I substituted for the leading note, is used in the final cadence, leaving the minor VII uncanceled (compare example 42b). Interesting combinations of chromaticism and aeolian modality occur in the later Barcarolles:



Aeol: I V I⁹_{#4} - $\frac{8}{5}$ V⁷₆ - 5 I⁴ - 3
 (E min: IV I VII⁷₆ - 5 I⁶₇ $\frac{b7}{5}$ III⁴ - 3)

Example 52: Fauré, 9th Barcarolle, bb. 40-1.



Gaeol: I IV⁷_# #VI^{b7}_b VII⁷_{b6-5} I
 (B^b maj: V⁷ of V G⁶ V⁷_{b6-5})

Example 53: Fauré, 12th Barcarolle, bb. 18-20.

Eaeo: VII I VII ⁷/₃ -b3 III #5 IV II I' II I V

Example 54: Fauré, 13th Barcarolle, bb. 55-8.

The first bar of example 52 contains both d-sharp and d-natural, but no f or f-sharp, so that the music remains poised between A aeolian and E minor. E-sharp, rather than f, is used in notating the chromatic scale in the second bar, thereby strengthening the claims - orthographically, at least - of f-sharp. Example 53 forms the second of four phrases cadencing onto G (see example 63). The cadence itself is therefore aeolian, not an interrupted cadence in B-flat, although the other chords in the phrase are chromatic. The chords of the major that are shared by its relative modes are thus extended from the diatonic to the chromatic, furthering the synthesis of diatonic modality and chromatic tonality. The free use of chromatic passing notes in the last example suggests, according to Suckling (p.148), the neo-diatonic idiom of Stravinsky's later works.

(vi) Locrian: Glareanus mentioned this mode in his Dodecachordon (1547), but rejected it because it involved a diminished fifth above the final. It rarely occurs in modal practice. Fauré employs it less frequently than the modes discussed above¹, but his familiarity with it cannot be doubted, as the following passage clearly shows:

1 Gervais does not mention it in her exhaustive study,

Very far-fetched.

dolce

E loc: VI I⁷ (VI⁷ III) I^{#5} I⁷ VI⁷ I^{#5} I⁷ III⁷

poco rit. a Tempo

mf *p* *pp*

(VI⁷) I^{#5}

Example 55: Fauré, 10th Nocturne, bb. 68-73.

The perfect fifth degree is used only in the triad on the final, which would otherwise have been diminished. Any resemblance to a tonic-German sixth alternation is cancelled by the use of diatonic scale figures that incorporate the a-b-flat dyad, especially the descending figure in bar 71, which prevent the perception of the diminished V as augmented IV (root of the German sixth-chord). The mode is used mainly in the late period, but instances occur as early as the Ballade:

F# loc: I^{#5} VII, I^{#5} VII VI⁷ V I^{#5} etc.

Example 56a: Fauré, Ballade, bb. 133-5.

CEG





C# dor. I I⁷ VI⁷



C# loc: I I⁷ VI⁷ (#VII⁷)

- Example 56b: Fauré, Ballade, bb. 144-7.

The first extract follows on a series of perfect cadences, which establish F-sharp as tonic (bars 122-7), and alternating phrygian cadences onto F-sharp and C (bars 127-31), which prepare the way for the locrian mode (the only mode on F-sharp which contains a C major triad), and for the eventual return to B major. However, the music returns to F-sharp major before going to B major, so that the quoted extract is heard as a mode of F-sharp, rather than as the phrygian on B with tonal dominant (cf. example 19).

The locrian allusion in example 56b is slight, but as bars 146-7 are obviously a modal alteration of bars 144-5 (in C-sharp dorian), C-sharp is perceived as final in both phrases, even though the chord on the final is diminished in the second phrase.

Example 56 shows the use of both the diatonic and altered versions of the chord on the final. An audacious mixture of the two occurs in the second Barcarolle:

F# loc: (II)

I

#3

#5

→ B \flat

Example 57: Fauré, 2nd Barcarolle, bb. 69-74.

The passage ends with a major triad on the final of the locrian on F-sharp, but the listener only realises this when he hears the locrian III and V acting as enharmonic leading notes to their raised versions.

Fauré's last work for piano contains a locrian passage based on an harmonic pattern similar to that of example 56, written more than forty years earlier. The fact that the passage lies in a minor tonal-context gives it a very different flavour to that of the earlier example:

G# loc: I

VI

V

I

Example 58: Fauré, 13th Nocturne, bb. 78-80.

As with the other modes, Fauré sometimes returns to the final via the tonal dominant, even though in this case the chord is not based on a diatonic degree:

espressivo

G loc: I⁷_{#5} IV I⁷ II⁷ I⁷_{#5} #V⁹_{#5} I⁷_{#5}

Example 59: Fauré, 8th Prelude, bb. 17-20.

E loc: I(VI)II III(I⁷)IV (III[#]) #V⁷_{#5} I

Example 60: Fauré, 9th Prelude, bb. 1-3.

In both the above examples, other modes of the tonic are suggested before the locrian is established, so that, with the tonal endings, the phrases are not completely locrian but contain excursions to the mode.

(vii) Alternation between modes: Fauré was fond of alternating chords (as in example 25), and the melodic figuration on each chord sometimes suggests a discrete modality. This practice can be seen as early as the Ballade:

D# dor: I (VI⁷) aeo: III

dor: I (VI⁷) aeo: III

Example 61: Fauré, Ballade, bb. 194-7.

Both chords are common to both modes, and the modal alternation is based purely on the fluctuating form of the sixth degree (the only difference between the dorian and the aeolian lies in the flattening of this degree).

Examples of alternation between a key and a mode can be found throughout Fauré's oeuvre (see, for instance, example 17), but alternations between modes occur mostly in the late period:

E aeo: I dor: IV VII aeo: I dor: IV VII

Example 62: Fauré, 4th Pièce Brève, bb. 52-5.

Example 62 is based on the same fluctuation as the preceding example, but the sixth degree is used in a more essential capacity harmonically and metrically - it is not merely an unaccented passing note. In the next example,

both modes are defined by exclusive chords, containing the second degree, which forms the point of difference between the phrygian and the aeolian:

G phr: I II⁷ III⁹⁻⁸ aeo: I V⁷ of VII G6 of VII VII⁶⁻⁵

phr: I II⁷ III⁹⁻⁸ aeo: I II⁷ II₄ - 3 → I[#]

Example 63: Fauré, 12th Barcarolle, bb. 16-23.

All the above examples are balanced, i.e. the modes alternate at regular metrical intervals. Examples of free fluctuation, going beyond the concept of balanced chords or chord groups and approaching the practices of *musica ficta*, can be seen in some works;

D aeo: II⁷ (VII⁷) I VI⁷ VII⁷ dor: V⁷ VI⁷ (IV⁷) V

aeo: VI III⁷ dor: VI⁷ VII⁷ I⁷ aeo: II⁷ (VII⁷) I

Example 64: Fauré, 5th Prelude, bb. 49-54.

The seventh Nocturne opens with a complex combination of modal alternation and tonal chromaticism:

The first system of the musical score shows the piano accompaniment for the first four measures. The right hand features a complex melodic line with many accidentals and slurs, while the left hand provides a harmonic accompaniment. The markings 'p sostenuto' and 'cresc.' are present.

C# aeo: I⁶ - 5 dor: IV⁷ III aeo: I⁷ II⁷ I

The second system of the musical score continues the piano accompaniment. It features similar complex melodic and harmonic textures. The markings 'molto' and 'f' are present.

dor: II⁷ I⁴ - 3 aeo: I⁷ II VII⁷ of IV IV V I⁷ VII⁷

Example 65: Fauré, 7th Nocturne, bb. 1-4.

The melody uses only the notes of the alternating modes, against free chromatic alteration, using all 12 notes, in the accompanying parts.

It is notable that all the above examples involve alternation between the aeolian and a mode "one accidental removed".

(viii) Modal cadences: As we have seen above, Fauré often ends modal passages with cadences involving the leading note. Nevertheless, modal cadences occur in all the modes, whether preceded by a modal passage or not. The most frequently used cadences are in the aeolian, which, in the late period, is sometimes used in final cadences (cf. examples 46 and 47), and in the phrygian. The latter often take the form of last-minute inflexions, perhaps owing something to Chopin:



Amin: I

V⁷_{b5} I

Example 66: Fauré, 10th Barcarolle, bb. 5-7.



C#min: I

(V⁷)

I

V⁷

I

bII

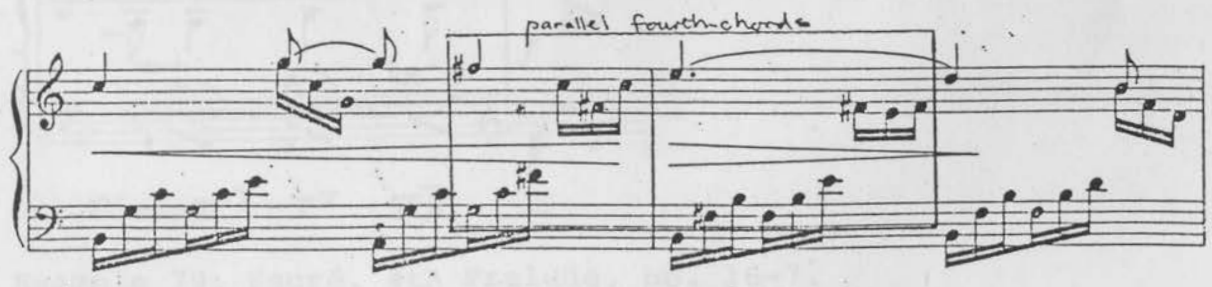
V⁷_{b5}

I

Example 67: Chopin, Nocturne in C-sharp minor, Op. 27, No. 1, bb. 15-8.

Chopin employs the minor II against the leading note, creating a chromatic dissonance prohibited in modal practice (Novack 87). Fauré employs the same progression, but without "tonalized" VII, although he uses Chopin's version a few bars later in the same work (bb. 11-2).

A phrygian cadence concludes the first phrase in the lydian opening section of the seventh Pièce Brève. It resembles the ending of Alban Berg's Piano Sonata:



B phr: II⁷

VII⁷ + #6

I

Example 68: Fauré, 7th Pièce Brève, bb. 5-6.

Bmin: V $\frac{7}{5}$ +45 +4 I

Example 69: Berg, Sonata, bb. 178-81.

Both cadences are modally based with hints of quartal harmony. Berg employs a more complex fourth-chord, but 'tonalizes' it through a conventional bass, which reduces it to a variant of the dominant ninth. The Phrygian implications of the minor II are to some extent undermined by the introduction of the major II, and the absence of the minor VII. Example 68 is truly modal and the quartal harmony occurs just in passing. Fauré uses an accented passing note to suggest parallel fourth-chords.

Gervais (p. 26) singles out cadences in the lydian as being 'very frequent'. Although this applies more to other parts of Fauré's oeuvre¹, lydian cadences do occur in some later piano works (see also examples 31 and 33):

Bbmaj: VII⁷ I⁷ II[#] I

Example 70: Fauré, 4th Prelude, bb. 16-7.

¹ The lydian mode is used in the final cadences of several works, including the first movement of the G minor Quartet, Op. 45 and Salve Regina, Op. 67 No. 1.

F lyd: V⁷ II⁷ I

Example 71: Fauré, 5th Prelude, bb. 17-9.

An interesting instance of a lydian cadence in a minor key (based on the aeolian, four accidentals 'flatter' than the lydian), occurs in the Ballade:

E \flat min: III VI^{b9} I II^{#5} I

Example 72: Fauré, Ballade, bb. 52-3 (S).

Bar 53 is perceived as a return to the tonic (e-flat minor), as it is the fourth of four phrases that start with the same motif in the tonic. The chord that precedes the tonic is the lydian supertonic triad, decorated by a flat ninth (g-flat), which prepares the way for the surprising use of minor I in a lydian cadence. This cadence can also be regarded as being in a mode of B-flat minor (see p. 66).

Certain modal characteristics were adopted by Fauré in his tonal cadences. The most common cadential bass movement in early modal music is II - I (Apel, 119), which Fauré obtains by inverting the dominant seventh and its substitute (see example 42b):

D \flat maj: I V I

Example 73: Fauré, 8th Nocturne, bb. 31-2.

Cmaj: V⁷ I⁶ →⁵ V⁷ I⁶ →⁵ V⁷ I

Example 74: Fauré, 13th Barcarolle, bb. 95-8.

Cadential descents in thirds, fourths and sixths are also derived from modal practice, but can be obtained through the use of the dominant seventh and its substitutes:

Emin: VII I

Example 75: Fauré, 4th Pièce Brève, bb. 51-2.

dimin.
p

B maj: $bIII^7_{b7}$ III I

Example 76: Fauré, 9th Nocturne, bb. 59-61.

However, most of the plagal bass movement (fourth/sixth degree to tonic) result from Fauré's use of II^7 as substitute for IV. This cadence, often cited as being characteristic of Fauré, is closely related to the II - I cadential bass movement mentioned above:

F# maj: I III^{b7}_{b5} $bIII^{b9}_{b7}_{b5}$ bVI^{b5} II^{b5} I

Example 77: Fauré, Ballade, bb. 31-2.

E min: bV^{b5} $IV^{\#-4}$ II^7 $I^{\#}$ $\#III^{\#5}$ II $I^{\#}$

Example 78: Fauré, 9th Prelude, bb. 30-3.

Example 79: Fauré, 12th Nocturne, bb. 101-3. The score shows a piano introduction with a *p* dynamic and a forte section with an *f* dynamic. Chord symbols below the staff are: E aeol: III^{b7}, II⁷, V^{b5}, II⁷, I.

Example 79: Fauré, 12th Nocturne, bb. 101-3.

11. Practices related to modality:

(i) Avoidance of dominant and leading-note functions:

Even when writing in the major mode, Fauré eschews the obsession with the leading note that characterizes so much of nineteenth-century tonality. This practice relates to the prejudice, in early modal music, against approaching the final from a semitone below (Reese 156-7).

Fauré sometimes avoids melodic statements of the leading note in an opening phrase or theme (cf. the first Impromptu, bars 1-11 and the second Nocturne, bars 1-11):

Example 80: Fauré, Ballade, bb. 1-5(S). The score shows a melodic line in G major (one sharp) starting with a half rest followed by a series of eighth notes.

Example 80: Fauré, Ballade, bb. 1-5(S).

Example 81: Fauré, 6th Nocturne, bb. 1-3(S). The score shows a melodic line in G minor (two flats). Handwritten annotations include "Lydian mode" above the staff and "b/c there is LN function in the harmony" below the staff.

Example 81: Fauré, 6th Nocturne, bb. 1-3(S).

E♭maj: I 4th chord on V I ...

Example 82: Fauré, 12th Barcarolle, bb. 1-6.

It is interesting to note that the hexachordal system of medieval theory is based on a six-note scale, omitting the seventh degree of the major (or mixolydian) mode, as in the above examples.

When Fauré uses the leading note melodically, it is often resolved downwards, contrary to its tonal tendency:

Andante molto moderato.
(58 = ♩)

dolce

poco *poco*

This is not a V function

This is not a VII function

E♭maj: I IV⁷ VII⁷ VI VI⁷ VII^{#5 #3} V⁷ of III -

III⁷ VI⁷ V⁷ of V - #IV⁷ V⁷ of II - VII^{#5}
 V⁷ of II - II⁷ VII⁷ of VI - VI⁷ III of V -

Cm. V⁷ I⁷ IV⁷ VII⁷ I⁷ II

Daorian V I

V^7 \equiv $\#^{\flat} \frac{8}{3}$ of $V - V^7$ $III^7_{\#}$ V^7 of $VI - VI^{\#}$ V^7 of $V -$ V^7 of $II - II^{\#}$

V^7 I IV^7

Example 83: Fauré, 4th Nocturne, bb. 1-12.

$E\flat$ maj: I (V) (IV) (V^7) I^7-5 III

Example 84: Fauré, 6th Barcarolle, bb. 1-5.

Of the nine melodic appearances of the leading note (d) in example 83, only one resolves onto the tonic (bar 7), but it is not supported by a dominant function harmony. Only the leading note in bar 8 is supported by dominant harmony,

but neither melody nor harmony resolves onto the tonic. The normally resolved secondary leading notes (bars 3-4, 5-6, 9-10) are all cancelled in the chord of resolution, so that they do not function as leading notes to a tonic. The avoidance of dominant sevenths of the home key at the opening of the piece (bars 1-7) is characteristic of the piano music of this time, and can also be seen in the third Impromptu (bars 1-8), the fifth Nocturne (bars 1-29) and the second Barcarolle (bars 1-17).

It is akin to the modal procedure where a tonal dominant chord occurs only at the end of a modal passage, as in the opening section of the ninth Barcarolle (bars 1-14)¹. In example 84, the leading note is used with dominant harmony, but nevertheless resolves downward.

In final cadences, Fauré sometimes replaces the leading note in the dominant seventh by the tonic. The resulting chord represents one of the earliest uses of quartal harmony in modern music² (see also example 42b):



G maj: 4th chord on V I
(V₄⁷)

Example 85: Fauré, 2nd Barcarolle, bb. 182-3.

1 See also examples 7, 28 and 43-5.

2 Quartal harmony occurs in modal music, see Apel 711.

1825
6th Nocturne 1834

poco rit.

A musical score for piano accompaniment. The top staff is in treble clef with a key signature of two sharps (F# and C#). The bottom staff is in bass clef. The tempo marking 'poco rit.' is above the first staff, and 'sempre dolce' is written in the bass staff. The music consists of several measures of chords and moving lines, ending with a fermata.

Amaj: I VI⁷ ^{4th} chord on VI, I
 (V⁹/₄)

Example 86: Fauré, 7th Prelude, bb. 39-41.

(ii) Modal root movement: Fauré makes free use of modal progressions (roots moving in seconds and thirds, rather than fourths) in his works. He is especially fond of chains of chords a second apart. These are used either in the fauxbourdon manner of the fourteenth and fifteenth centuries:

A musical score showing a sequence of chords in a fauxbourdon style. The chords are written in a single staff with a treble clef. The notes are: F4, C5, F5, C6, F6, C7, F7, C8. This represents a chain of chords a second apart.

Be-ne-di-ci-mus te.

Example 87: School of Worcester (fourteenth century),
 Gloria in excelsis.

or in the free contrapuntal style of later modal composers:

A musical score for a free contrapuntal style. It features two staves: a treble staff with a complex melodic line and a bass staff with a more rhythmic accompaniment. The key signature has two flats (Bb and Eb). The music is characterized by frequent chromaticism and a complex harmonic structure.

(B^bmix: I IV [?] bIII II I VI VI V IV)

Example 88: Vittoria, O quam gloriosum

Examples of the first type occur in their purest form in the late works (see also example 18):



Aaeo: V(VII VI V) II⁷ IV⁷ (VI V IV) III I⁷ (V) IV III⁷ II^{#5} V[#]

Example 89a: Fauré, 9th Barcarolle bb, 10-4.



A aeo: (IV) III⁷ (V) IV⁷ (VI) V⁷ (VII) VI⁷ (I)
Gmaj:(II) I⁷ (III) VII⁷→I

Example 89b: Fauré, 9th Barcarolle bb, 50-1.

Fauré doesn't appear to use parallel triads in first inversion, as in example 87. He uses second inversions over a pedal (as in example 89a and also in the twelfth Barcarolle) or chains of seventh chords. In example 89b, the progression is complicated by a suggestion of root movement alternating between descending seconds and ascending thirds, which can also be found in renaissance music:

D dor: V #III IV II III I II VI I

Example 90: Palestrina, Adjuro vos.

Ex 91.

Highly chromatic instances of parallel movement, involving root movement in seconds, and in alternating seconds and thirds, also occur (cf. example 71):

Ex 92

Dmaj: I

(IV) I

VII #5 VI # #V #5 #IV #5 V b9 -> I
over V

Example 91: Fauré, 5th Barcarolle, bb. 36-7.

Eaco: I bV b5 bVII b5 bVI b5

(#IV #5 #VII #5 V #). VII VI I # #VII #5 II #5 III V #7 -> I

Example 92: Fauré, 12th Nocturne, bb. 91-2.

Fauré sometimes uses parallel harmony in seconds against a freer part:

dolcissimo
espressivo
senza Ped.

Abmaj: V IV Emaj: V IV → G:I

Example 93; Fauré, 3rd Nocturne, bb. 44-7.

p
cresc.

Gmaj: V⁷ VI⁷ bVII⁷ Amaj: VII^{b5} V⁷ VI⁷ bVII⁷ Bmin: #VI⁷ → V⁷

Example 94; Fauré, 13th Nocturne, bb. 11-3.

mf

Ephr: I II III IV V^{#5} 7 I[#]

Example 95; Fauré, 9th Barcarolle, bb. 32-3.

Examples 93 and 94 are essential still parallel. In the earlier instance, the melodic idea embraces two parallel chords, but is really just embroiders them in different ways; in the latter case, the bass executes the same motion as the upper parts, but in rhythmic augmentation. The upper voices in example 95 are entirely independent, foreshadowing pandiatonicism in the audacious simplicity of its linear combinations, especially in a later variant of the same passage:

Ephr: I II III⁷ IV⁷ V ⁹⁻⁸⁻⁷ _{6-#5} _{4-#} I[#]

Example 96: Fauré, 9th Barcarolle, bb. 54-5.

As mentioned above, Fauré also employs modal progressions with freer part movement (cf. example 88):

Gmix: V⁷ VI VII⁷ I⁷ VII₄^{#2} = 5/3

Example 97: Fauré, 2nd Barcarolle, bb. 36-9.

Bmin: I II III IV V * VI

Example 98: Fauré, 9th Nocturne, bb. 1-2.

Both triads and seventh chords are used in the first example, and all the chords except the last are in root position, with freer upper parts. In the last example, only triads are used, and despite the uncompromising

stepwise ascent in root movement, all the parts move freely.

The chromatic alteration of modal progressions is also linked to Fauré's use of dominant sevenths a tone apart, both in parallel motion (cf. examples 37, 147a and 148) and in a free contrapuntal style:

Example 99: Fauré, 7th Nocturne, bb. 11-2.

Chord symbols: Dmaj: V⁷, VI⁷_#, VII⁷_{#5}, V^{#7}_{b6/4}

Example 99: Fauré, 7th Nocturne, bb. 11-2.

(iii) Modal alteration of melody: A modal melody can be transposed to another mode with the same final through the alteration of one or more of the degrees of the mode (see example 56b).

A 'modulation' from locrian to lydian would involve the sharpening of all degrees except the final. A radical application of this principle can be seen in the restatement of the first phrase of the sixth Nocturne:

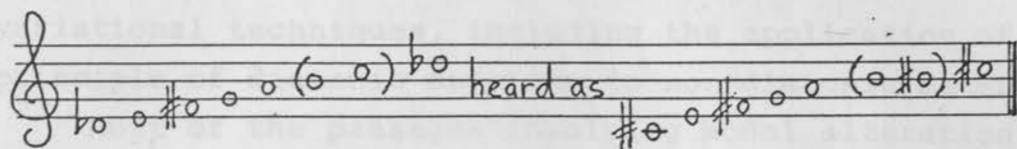
Alto of Satie 2 versions at the same time

This being in A major it reinforces the 5th mediant/tonic relationship.

Example 100a and b: Fauré, 6th Nocturne, bb.1-3 and 8-10(S).

All the notes of the D-flat major melody, between the first and second statements of the tonic, are sharpened.

Theoretically, the resulting mode is based on the flat dominant of G major (see Modes on chromatic degrees, pp. 74 ff):



Example 101:

From a tonal viewpoint, all the modes with the same final can be regarded as modes of the seven major (diatonic) keys that contain that note - the same set of letter-names is heard in various diatonic keys. In the following example, this principle is extended to a non-diatonic key, the harmonic minor:

C min: II⁷ V⁷ I

A^b min: II⁷ V⁷ I

Example 102: Fauré, 5th Nocturne, bb. 19-29.

The inner parts show the use of the same set of letter-names in C and A-flat harmonic minors consecutively. The bass suggests loosely sequential harmony between the phrases,

while the top part combines modal alteration (through flattening) and free alteration (mostly involving downward transposition by one degree). The second phrase thus represents a highly complex combination of several variational techniques, including the application of a principle of diatonic modality to non-diatonic material.

Most of the passages involving modal alteration are shorter than the preceding examples, and are based on alternating chords:

8-
E lyd: I Ab: V⁷ E lyd: I → Ab: V⁷ etc.

Example 103: Fauré, 1st Impromptu, bbl 44-6(S).

molto *resc.*
Bmin: I VI^{b7}(G6) V⁷ VI^{b7}

Example 104a: Fauré, 3rd Nocturne, bb, 52-5.

ral. *ff* *f* *p* *rall.*
Abmaj: V⁷ aeo: VII⁷ maj: V⁷ aeo: VII⁷ maj: V⁷ → I

Example 104b: Fauré, 3rd Nocturne, bb. 63-7.

Here there is little question of two discrete modes - the attention is focussed on the modal alteration of single degrees. The most succinct expression of this procedure occurs in the final bars of the twelfth Nocturne (bars 95-107) and the tenth Barcarolle:

Amin: I# I I# I I# I

Example 105: Fauré, 10th Barcarolle, bb. 82-8.

Fauré's use of fluctuating degrees again shows his grasp of the essence of modal thinking¹.

(iv) Flattening: Bearing in mind that all the modes except the lydian are "flatter" than our major scale², it is interesting to note Fauré's fondness for excursions to keys on the flat side of the home key. The flat degrees are sometimes introduced gradually in the order of the circle of fifths, i.e. minor VII, minor III, minor VI etc.:

1 Wienpahl, in his article "Modality, Monality and Tonality in the sixteenth and seventeenth centuries"; discusses "the horizontal, modal attitude of the expressive use of fluctuating intervals" (p.65).

2 The modes can be arranged according to the number of "sharp" degrees that they contain. In the lydian, all the degrees form the largest possible diatonic interval with I; in the locrian, the smallest. More simply, the modes on B, for instance, can be arranged according to the number of sharps that they contain: lydian (6), ionian (5), mixolydian (4), dorian (3), aeolian (2), phrygian (1) and locrian (0).

Flattened degrees: $bVII$ $bIII$ bVI bII bV bI bIV $bVII$

$Fmaj:I^7$ $bIII^{b5}$ b^7 bI^{b5} bII^{b5} bI^{b5} $bVI^{b5} \rightarrow V$

Example 106: Fauré, 4th Prelude, bb. 28-32.

Instances in the minor key usually start in the aeolian, with VII, III and VI already flattened:

Un poco piu mosso (♩=116)

$C\#aeo: I$ IV^7 VII^7 III^{b7}

Flattened degrees: VII III VI bII

VI^{b7} bII^{b7} V^7 I

bIV bI

Example 107: Fauré, Theme and Variations, 5th Variation, bb. 1-8.

Duo: I V⁷ VII^b IV⁷

Flattened degrees: VII III VI II

III^{b7} bII^{b7} bV^{b7} III^{b7} bII^{b7} V⁷ I

V I IV

Example 108: Fauré, 5th Prelude, bb. 4-8.

In both examples the flat I- through its enharmonic function as leading note - is used to return swiftly to the minor key. Both examples hint at modes "flatter" than the locrian by leading the listener from alterations associated with progressively flatter modes to the modes on the raised subdominant and tonic (see below, and Chapter III (ii)). The use of root movement in ascending perfect fourths, as in example 107, is the simplest way in which to introduce progressive flattening. A more abrupt way is through parallel movement or sequence in descending major seconds, as in the first two bars of example 108 (see also bb. 37-9 of the same Prelude). Parallel movement in descending major seconds occurs as early as the third Nocturne (see example 93) and forms the basis of the following passage:

E^b maj: I (#IV⁷) bVII (III⁷) bVI^{b7}

Example 109: Fauré, 5th Barcarolle, bb. 69-72.

Abrupt introduction of flat degrees becomes more frequent in later works, and often seems to evoke a mode:

Dbmaj: I phr: V #III⁷₄ - 3 II maj: V⁷₄ - 3

Example 110: Fauré, 6th Nocturne, bb. 12-3.

C# mode on tierce: #I# II⁷ III⁷ IV III⁷ II⁷ #I#

Example 111: Fauré, 2nd Prelude, bb. 31-2.

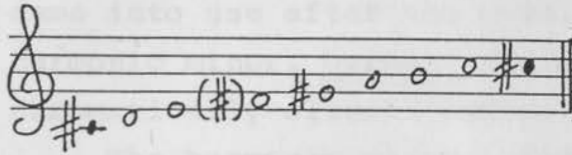
F# mode on #IV: #I^{#5}₄ →₃ I V⁷ I⁷ VI⁷ V⁷ III⁷ IV⁷ #V^{#5}

Example 112: Fauré, 11th Nocturne, bb. 40-3.

F# aeo: I V⁷ Mode on #IV I I⁷ VI⁷ # V → I

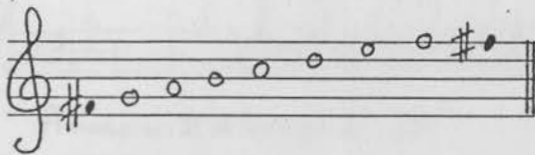
Example 113: Fauré, 13th Nocturne, bb. 22-5.

In example 81a - which belongs to the middle period - only four degrees are flattened, and the phrygian connotations are readily apparent. In the next example, all the degrees except V are flattened¹, resulting in the following mode:



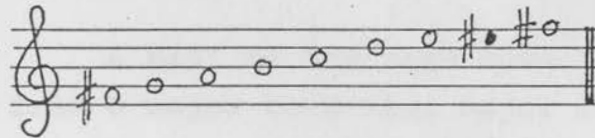
Example 114

This mode is closely related to A minor, and can be viewed as the mode on the tierce de Picardie (see Chapter III (ii)). Examples 112 and 113 both evoke the mode on the sharp subdominant.



Example 115

Note that, in both instances, the flat I is treated as leading note only at the end of the phrase, thereby distinguishing this mode from the locrian with leading note:



Example 116

1 IV is not flattened when used to pass between III and V, but flat IV forms the root of one of the chords and is therefore more essential to the mode (compare the two forms of VI in the minor),

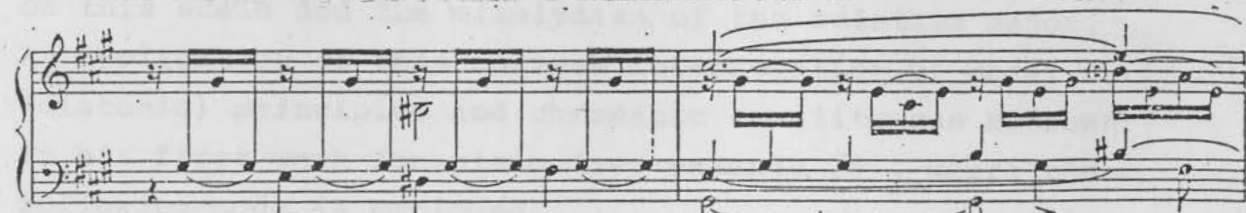
III. Extensions of diatonic modality:

(i) Modes of other tonal scales: Fauré extended the interrelation of modality and nineteenth-century tonality by applying the modal principles associated with the diatonic (major) scale to other tonal scales that only came into use after the modal era. These scales - the harmonic minor, Durmoll and Molldur¹ - each contain one chromatically-altered degree.

The harmonic minor: Modes of this scale are rare, and are usually suggested through the use of the augmented second and fourth degrees in the major. The resulting mode is found on VI of the scale, (cf. example 34):



A mode on VI of harmin: V VII⁷ I⁷



V VII⁷ III b7 VI⁷ b5 - bIII^{b5}

Example 117: Fauré, 7th Prelude, bb. 1-4.

A hint of the same mode facilitates the transition from G major to B-flat major in the second Barcarolle. The locrian passage, related to G major, evokes another mode with the same final, related to B-flat minor:

1- There appear to be no English equivalents for these terms. (See Wegelin 174 and 176).

Handwritten annotations below the staff:

- G maj
- F# loc with I#5
- F# mode on VII of har min
- G6 of Bbmaj.

Example 118: Fauré, 2nd Barcarolle, bb. 70-5.

A cadence in the mode on the fourth degree of the scale occurs in the Ballade (see example 72).

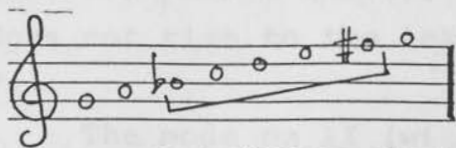
Fauré occasionally bases a mode of a non-diatonic tonal scale on the diatonic degree that undergoes alteration. In the case of the harmonic minor, this mode is based on the minor seventh degree, and stands halfway between a mode of this scale and the mixolydian of the relative major. An application of this curious interrelation of modal (diatonic) principles and chromatic tonality can be seen in his first work for piano (see example 38), where the following mode is employed:

Example 119

Durmill: Fauré had a predilection for modes of this scale, probably, as Gervais¹ points out, because of the

1 Gervais (p.39) calls this scale "échelle à trois formes", recognising only the modes on I, IV and V.

wholetone segment that it contains:



Example 120

In tonal music, this scale, which differs from the melodic minor only in its descending form, is used mainly melodically in a passing capacity:



Example 121: J.S. Bach, Partita in A minor, Courante, bb. 5-6.

When used harmonically, the sixth degree almost always ascends to the leading note, with the harmony moving from subdominant to dominant function:

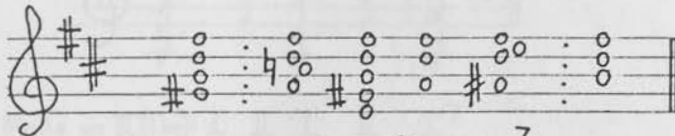


Dmin: bVII IV# VII I . I IV# V⁷ I

Example 122a and b: J.S. Bach, 2 Chorales, Riemenschneider 187, bb. 5-6 and 267, bb. 5-6.

Fauré uses the mode on I as dorian with leading note (cf. examples 4 and 7). The sixth degree, used harmonically, does not rise to the leading note, or pass between VII and V.

The mode on II (with leading note) is evoked in the following progression, which leads up to the recapitulation in the thirteenth Nocturne:



B mode on II (Dm): VI⁷ III⁷ IV⁹ III V^{#+6} I

Example 123: Fauré, 13th Nocturne, bb. 118-27(S).

The main section of the fifth Nocturne ends with a cadence in the mode on III of the Durmoll:



(F Dm: IV⁷) (Bb Dm: IV⁷) G Dm: V⁷ III^{b5}

Example 124: Fauré, 5th Nocturne, bb. 65-70.

A suggestion of the same mode occurs in the ninth Nocturne:

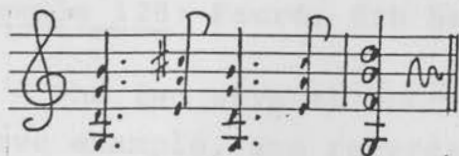


Bb mode on III (Dm): I III I III → I^{b5}

Example 125: Fauré, 9th Nocturne, bb. 5-6.

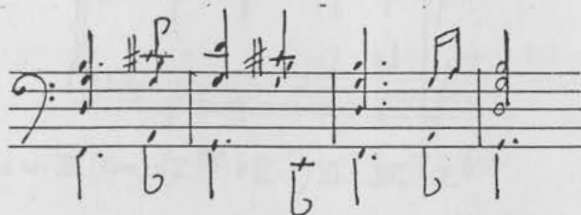
Note particularly the use of the augmented triad on the first degree of the mode in the last example.

The mode on IV is expressed mostly in some form of harmonic alternation (see also the last six bars of the first movement of the G minor quartet):



Mode on IV(Dm): I II I II I⁷

Example 126: Fauré, Ballade, bb. 117-8(S).



G mode on IV(Dm): I⁷ II⁹ I IV⁷ I⁷ (II⁷) I

Example 127: Fauré, 3rd Impromptu, bb. 108-12(S).

A clear instance of the mode on VI forms the opening phrase of the eighth Barcarolle:



D^b mode on VI (Dm): I^{#5}

VII⁷

IV⁷ I^{#5} IV⁷ I^{#5}

Example 128: Fauré, 8th Barcarolle, bb. 1-4.

The two seventh chords which define the mode in the above example, are reversed in a brief reference to the mode in the thirteenth Nocturne:

B mode on VI (Dm): (I^{#5} bII⁷) VI⁷ VII⁷ I^{#5}

Example 129: Fauré, 13th Nocturne, bb. 148-9.

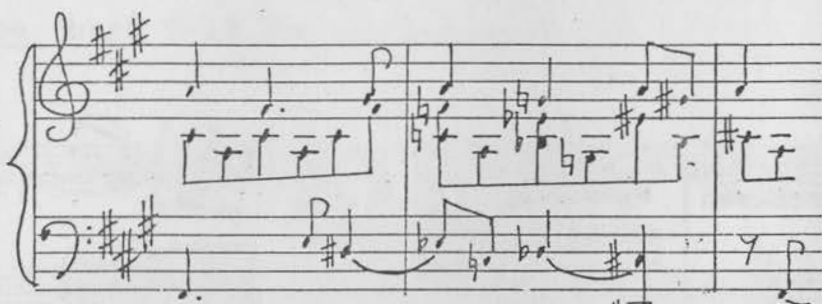
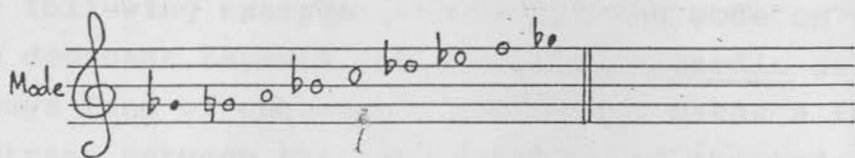
The same whole-tone motive features in a passage in the mode on VII:

G mode on VIII (Dm): I^{#5} - ^{b5}/₄ (VI⁷) V⁷ I^{#5} - ^{b5}/₄ (VI⁷) V⁷ VI I₂ - #3

Example 130: Fauré, 13th Nocturne, bb. 37-9.

The cadential progression in bars 39-40 evokes the mode on VI, using the chords of examples 128 and 129. Both the restatements of the first section of this work are preceded by progressions involving modes of the Durmoll scale (examples 123 and 130).

The mode on the minor sixth degree of the Durmoll is evoked in the eleventh Nocturne:



F# mode on bVI (Md): I^b VII⁷ VI^b V[#] b⁷ I^b

Example 131: Fauré, 11th Nocturne, bb. 18-20.

The final is, strangely enough, a minor triad, creating enharmonic tension between the augmented II (the leading note in the relative Durmoll) and the minor III.

Molldur: The Molldur is a major scale with minor VI. Fauré, like many nineteenth-century composers, used the mode on I of the Molldur as variant for the major:



D Md: VI V⁹ I VII⁷ I
 (D maj: bVI V^{b9} I VII^{b7} I)

Example 132: Fauré, 2nd Nocturne, bb. 33-4.

This scale is more obviously non-diatonic than the Durmoll, as it contains an augmented step, and Fauré rarely uses modes based on it¹. When he does, the effect is quite startling, as in bars 78-80 of example 5, which are based on the mode on II. The tonic triad would be diminished, and is therefore avoided, but the tonal centre is nevertheless clearly established through the melody and the context. The following example is based on the mode on III, but employs the dominant seventh and tierce de Picardie as well. Fauré, always fond of enharmonic ambiguity, makes a feature of the contrast between the diminished IV of the mode and the tierce (bars 9-10 for instance):

D mode on III (Md): I#

III^a VII⁷ V^{#5}

I# III^b VII⁷ V^{#5} I#

Example 133: Fauré, 11th Barcarolle, bb. 8-13.

The same ambiguity is heard in a brief excursion to this mode in the Ballade (see example 77), but the perfect IV is introduced just before the tierce. Both examples emphasize the enharmonic functions by following the major III in a

1 Gervais does not mention this scale in her study.

chord on I by the diminished IV, heard as ninth in a chord based on the minor III.

As mentioned above, Fauré occasionally bases a mode of a non-diatonic tonal scale on the diatonic degree that undergoes alteration. In the case of the Molldur, this mode is placed on the natural submediant:

Mode

B mode on #VI(Md): $V\sharp^7/4$ VII^7 $V\sharp+6/4$ I^7

Example 134: Fauré, 2nd Nocturne, bb, 44-5.

In the above progression, Fauré exploits the fact that it is possible to construct an artificial "dominant seventh" on the third degree of the scale, by interpreting the minor VI as augmented V (the same enharmonic alteration as in example 133).

(ii) Modes on chromatic degrees: In the preceding section we encountered modes on notes foreign to the scale, but these notes were the diatonic "originals" of altered degrees. Fauré also employs modes based on a chromatic note in a diatonic scale. This is a logical extension of, rather than a radical departure from diatonic modality. Consider the following. The finals of the modes of C major scale form a series of ascending fifths, if arranged in order of decreasing "sharpness"¹: F - C - G - D - A - E - B.

1 The modes can be arranged according to the number of "sharp" degrees that they contain. In the lydian, all the degrees form the largest possible diatonic interval with I; in the locrian, the smallest. More simply, the modes on B, for instance, can be arranged according to the number of sharps that they contain: lydian (6), ionian (5), mixolydian (4), dorian (3), aeolian (2), phrygian (1) and locrian (0).

The final of a mode in C major that is "flatter" than the locrian would be a perfect fifth above B, on F-sharp. Similarly, the final of a mode "sharper" than the lydian would be on B-flat, etc. The concept of a chromatically-rooted final chord is an extension of the use of chromatically altered final chords in, for instance, the locrian.

Fauré illustrates the derivation of the mode on the flat leading note in the following sequential passage:

F lyd: (IV⁷) II⁷ (V⁷) III⁷ (VI⁷) IV⁷ I⁶ - 5

Bb mode on bVII: (IV⁷) II⁷ (V⁷) III⁷ (VI⁷) IV⁷ I⁶ - 5

Example 135: Fauré, 9th Barcarolle, bb. 46-9.

It is obvious, in comparing the first bars of each two-bar phrase, that the second phrase in a diatonic sequence, a fourth higher, of the first phrase. Had the first phrase been in any other diatonic mode than the lydian, the second phrase automatically would have been one mode "sharper" (final a perfect fifth lower). However, the diminished fifth between subdominant and leading note is the point at which the diatonic system short-circuits the circle of fifths, jumping from the final of the "sharpest" mode to that of the

"flattest". Thus the second phrase, of which the first bar is clearly one mode "sharper" than the preceding phrase, would have ended in the "flattest" mode, the locrian. To overcome this problem, Fauré flattens the final of the mode, making it a perfect fifth below the subdominant. A more chromatic reference to the mode on the flat leading note occurs in the fifth Nocturne:

Ab mode on b VIII: V^b VI⁷ V⁷ I^b V^b VI⁷ V⁷ I^b (III^{b5} VI⁷)
 (E^b min: I V⁷ & V I⁷ IV I V⁷ & V I⁷ IV B^b maj: II⁷ V⁷)

Example 136: Fauré, 5th Nocturne, bb. 29-34.

Especially noteworthy is the use of the lowered third in the triad on the final (cf. example 72) and the enharmonic interplay of this note and the augmented second degree of the mode. This passage can almost be interpreted in E-flat minor, the only key to which both the tonic triad of the relative major (B-flat) and the triad on I of the mode belong.

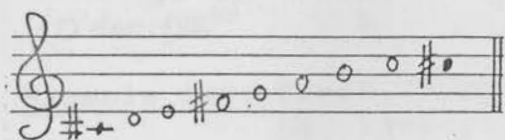
In practice, Fauré rarely goes beyond the first two raised or lowered degrees as finals¹. There are the only chromatic degrees which, if introduced singly, do not create augmented seconds in the scale. Theoretically, he goes as far as is possible, by implying a mode on the lowered dominant (see pp. 58-9). 'The final of the next "sharper" mode completes the circle of fifths, being enharmonically equivalent to the final of the "flattest"

1 The expanded table of finals in C major would therefore read: E-flat B-flat F C G D A E B F-sharp C-sharp.

diatonic mode.

The modes on the "flat" side of the locrian are used more frequently than the "sharp" modes. This is usually a product of Fauré's predilection for flattening.

Two instances of the mode on the sharp subdominant have already been quoted (examples 112 and 113). The Theme and Variations contains numerous instances of a gradual flattening of the minor key. When the flat first degree is reached, there is always a swift return to the tonic triad via the dominant seventh, using flat I as enharmonic leading note, which implies the following mode:



C#phr: III⁷

II
mode on #IV: II

I

#9 - 9
#7 - 8
#5 - 3

Example 137a: Fauré, Theme and Variations, 4th Variation, bb. 4-8.



C#phr: III⁷

loc: VI⁷ mode on #IV: II⁷

#IV⁷_{#3} #I^{#5}

Example 137b: Fauré, Theme and Variations, 9th Variation, bb. 3-4.

(See also example 107).

In the tenth variation, Fauré evokes the even "flatter" mode on the raised first degree in the final cadence, dispensing with the dominant seventh to create one of the most extraordinary cadences in his oeuvre:

Handwritten chord analysis for Example 138:

C# mode on #I: (#I ^{b7})	II	IV	I ⁷	VI	#I #5
(O dor: #VII ^{b7})	I	III	VII ⁷	V)

Example 138: Fauré, Theme and Variations, 10th Variation, bb. 14-20.

With dominant seventh, it forms the final cadence of the eleventh Nocturne:

Handwritten chord analysis for Example 139:

F# mode on #I: V⁷ VI⁹ #V^{#7} #I #5

Example 139: Fauré, 11th Nocturne, bb. 69-72.

A variant of this mode is the mode on the tierce de Picardie of the minor - the tierce being raised I in the relative major (see example 111). The following example from the same work suggests a complex reference to this mode:

F# loc: I #5 VII⁷ I #5 VII⁷ VI⁷ #V⁷ #5 Bbmin: I
 (Mode on #II: V #5 V⁷ VI #5 V⁷ IV⁷ #III #5 #I #5

sempre f

V⁷ of V G⁶ F# loc: VI⁷ #V⁷ 6-#5 3-#3 Bbmin: I
 #I⁷ 3-#3 VI⁷ #5 IV⁷ #III⁷ 6-#5 3-#3 #I⁷ #5

Example 140; Fauré, 11th Nocturne, bb, 44-50.

Bar 49 appears to be in F-sharp minor with chromatic passing notes, but is preceded by B-flat minor (bar 47) and cadences onto a B-flat minor triad, thus suggesting the mode on the tierce (A-sharp) of F-sharp minor. However, the altered degrees in bar 49 are flat II and flat V, and these notes are used as degrees of the scale in bars 45-6, implying the locrian on F-sharp, with dominant seventh. In retrospect, the last three quavers of bar 49 will probably sound like a recapitulation of the locrian cadence on the last three quavers of bar 46, so that the cadence moves, in both cases, onto the tierce of the locrian on F-sharp - raised II in the relative major. The mode on the raised supertonic is four modes "flatter" than the "flattest" diatonic mode:

Example 141:

A simple instance of the use of the mode on the tierce, based on the harmonic minor, can be seen in the 13th Nocturne:

Mode 

cantando



G# mode on tierce: I VI

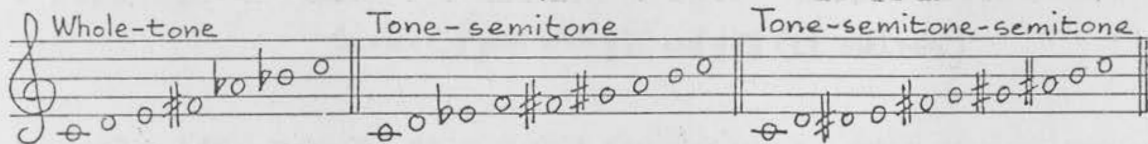


(VII⁷) IV III⁷ #I

Example 142: Fauré, 13th Nocturne, bb 55-8.

IV. Symmetrical modes:

A symmetrical scale consists of adjacent statements of a single interval or group of intervals, so that the scale as a whole has no single tonal centre. Fauré uses the following scales in his piano music¹:

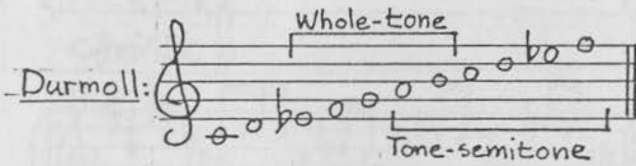


Whole-tone Tone-semitone Tone-semitone-semitone

Example 143

1 Gervais mentions only the first two of these scales.

The first two were used by Russian composers from C, 1850, and, although they are essentially atonal, large fragments of them appear in tonal scales, so that they can be fitted into a tonal framework:



Example 144

(i) Whole-tone: Fauré was fond of the whole-tone colour and often emphasizes the whole-tone segments of tonal scales in his melodies. His free use of the augmented triad is one of the best-known features of his style, and this triad, as well as other whole-tone combinations, is sometimes decorated by a complete whole-tone scale:

A musical score for piano in C# minor, showing the 10th variation of Fauré's Theme and Variations. The score consists of two staves: a treble staff with chords and a bass staff with a melodic line. The treble staff features several augmented triads (III#5) and a final chord (I). The bass staff features a melodic line with some chromaticism. Below the score, the harmonic analysis is given as: C# phr: III⁷ III#⁵ I → II. The scale is identified as C# phr. with #VI and #VII (cf. mel. min.).

Example 145: Fauré, Theme and Variations, 10th Variation, bb. 80-5.

C#min:V

V IV⁷_{b5} V⁷

Example 146; Fauré, 5th Impromptu bb. 4-5.

In both the above cases, the whole-tone passage is based on the ascending melodic minor with flat II, the latter being introduced a few bars earlier to cancel any impression of sharp I¹.

The fifth Impromptu features many complete whole-tone scales in its melodic line, but, although the root movement is often whole-tone, the chords are rarely so:

(F#maj: I#5 #V#7 #5 # #IV#7 #5 # III#7 #5 # etc.)

Example 147a: Fauré, 5th Impromptu, bb. 24-28.

1 Fauré's notation is often unorthographic, and of little value in determining enharmonic identity.

$F\# \text{ min: VI}$ $I\#^{b7}$ $\#III\#$ II^7 I

Example 147b: Fauré, 5th Impromptu, bb. 154-7.

The penultimate example is just a more explicitly whole-tone statement of the chain of dominant sevenths a major second apart, of which numerous examples occur in the piano works. All the notes of such chains, except for the fifth of each dominant seventh (the least important note of the chord) belong to one whole-tone scale:

$C\# \text{ maj: II}^7$ I^{b7} $bVII^{b7}$ $bVI^{b7 b5}$ $\#IV^{\#5}$ III^7 II^7 $bII^{b7 b5} \rightarrow V^7$
 Roots: $d\#$ $c\#$ b a $f\#$ $e\#$ $d\#$

Example 148: Fauré, 4th Impromptu, bb. 135-9.

In example 147b, the melodic statement of the scale is harmonized by non-whole-tone chords, but the root movement is whole-tone. Progressions involving whole-tone chords and root movement are rare,

Dmaj: bVI^{b5} $IV^{\#5}$ $V^{\#5}$ $I^6 - >$

Example 149: Fauré, 7th Barcarolle, bb. 69-70.

Dmaj: VII^{b7} (of $bIII$) $bIII^{b7}$ $b5$ V^9 $\frac{9}{b6} = \frac{10}{7}$ I^{b9}

Example 150: Fauré, 1st Prelude, bb. 5-6.

but Fauré sometimes uses whole-tone chords with non-whole-tone root movement:

E₄ maj: $V^7_4 - 3$ $bIII$ $g\#min: bIII$ of $V \rightarrow V^7$

Example 151: Fauré, 6th Nocturne, bb. 101-2.

The following passage contains both kinds of root-movement, and also shows the use of diatonic passing notes against whole-tone chords:

C# min: III B min: IV⁷ # III of IV F# G → I

Example 152: Fauré, 12th Nocturne, bb. 33-4.

Whole-tone chords are tonally ambiguous, but are defined by their resolutions, unless the chord of resolution is in the same mode, in which case the indefiniteness increases. Fauré appears to have realised that a completely whole-tone harmonic passage would jar in the context of his harmonic style, which, despite its exploitation of tonal ambiguities, is never vague and undirected (atonal) in the manner of whole-tone modality¹.

(ii) Tone-semitone: The tone-semitone scale is more useful in a tonal style, as it offers four major and four minor triads, as well as four dominant sevenths, on notes a minor third apart. These chordal relationships facilitate chromatic progressions within a tonal framework:

1 Debussy, for instance, used this mode to - in his own words - "drown the key". (Gervais 101).

sequential development of this passage is based on a tonal progression (VII⁷ - G6) that contains all the notes of the mode:

Emaj: IV VII⁷ G6 V
 F#maj: IV VII⁷ G6 → V

Example 154: Fauré, 6th Nocturne, bb. 106-7.

The German sixth is often associated with the use of this mode, as it provides all the degrees of the mode that cannot be found in the diatonic scale:

Example 155

The principle is exploited as early as the Ballade:

Bmin: V⁷ → VI bVII VI bVII G6 V⁷ I
 Dmaj: VI II# VI II# G6 V⁷ → I

Example 156a: Fauré, Ballade, bb1 117-20(S).

sequential development of this passage is based on a tonal progression (VII⁷ - G6) that contains all the notes of the mode:

Emaj: IV VII⁷ G6 V
 F#maj: IV VII⁷ G6 → V

Example 154: Fauré, 6th Nocturne, bb. 106-7.

The German sixth is often associated with the use of this mode, as it provides all the degrees of the mode that cannot be found in the diatonic scale:

Example 155

The principle is exploited as early as the Ballade:

Bmin: V⁷ → VI bVII VI bVII G6 V⁷ I
 Dmaj: VI II# VI II# G6 V⁷ → I

Example 156a: Fauré, Ballade, bb. 117-20(S).

F#maj: bII^{b5} over I pedal VII^{b7} over I pedal I^7

Example 156b: Fauré, Ballade, bb. 242-4.

In the first example, the harmony is not based on the mode, but the use of the German sixth facilitates the melodic use of the mode, without interfering with the modal tendencies of individual degrees. The f-natural in bar 118, for instance, is treated as a degree of the mode, not as the root (e-sharp) of the German sixth. This dichotomy between tonal and modal function is emphasized in the second example, based on a German sixth on the leading note, heard over a tonic pedal foreign to the mode. The f-natural functions tonally as leading note, but is treated modally, with e and g as auxiliaries. In both the above examples, the mode is evoked through the use of auxiliary notes to tonal harmonies. A more advanced application, featuring startling linear combinations within the mode occurs in the second Nocturne (compare example 153):

B min: VII^{x} of V over V pedal

Example 157: Fauré, 2nd Nocturne, bb: 59-61.

Example 153: Fauré, 11th Nocturne, bb: 59-61.



Bmin: VII^{b7} of V over V

→ V^{b9}

Example 157(contd.): Fauré, 2nd Nocturne, bb. 62-3.

As in the preceding example, an f-sharp pedal, extraneous to the mode, acts as tonal centre (V of the home key). In the following examples, based on the same version of the mode, the added dominant is incorporated into the part movement:



Bmin: IV⁷ VII⁷ I V^{#7} - $\frac{3}{4}$ $\frac{4}{5}$ → I[#]

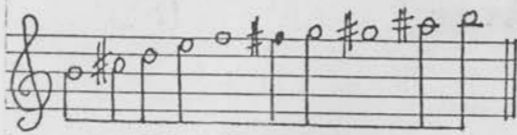
Example 158: Fauré, 10th Nocturne, bb. 6-7.



F[#]min: I V⁷ bI^{b7} $\frac{b7}{b5}$ VI^{b7} V⁷ I²⁻¹

Example 159: Fauré, 11th Nocturne, bb. 59-61.

The integration of V is so complete that these passages can be said to be based on a nine-note mode (see Unclassified Modes), containing both the minor scale and the tone-semitone mode:



Example 160

(iii) Tone-semitone-semitone: There are only a few clear instances of the use of the tone-semitone-semitone scale - others probably being obscured by the ease with which Fauré adapted this scale to his tonal language:

The musical score for Example 161 consists of three systems. The first system shows a single staff with a nine-note mode: $\text{b}0 \text{ } \#0 \text{ } \#0 \text{ } \#0 \text{ } \#0 \text{ } \#0 \text{ } \#0 \text{ } \#0 \text{ } \#0$. The piano accompaniment below it features a sequence of chords: Ebmaj: VI^a, I, and $\text{bVI} \begin{smallmatrix} \text{b}9 \\ \text{b}7 \\ \text{b}5 \end{smallmatrix}$. The second system continues the piano accompaniment with chords: I, $\text{bVI} \begin{smallmatrix} \text{b}9 \\ \text{b}7 \\ \text{b}5 \end{smallmatrix}$, I, $\text{bVI} \begin{smallmatrix} \text{b}9 \\ \text{b}7 \\ \text{b}5 \end{smallmatrix}$, I, and $\text{bVI} \begin{smallmatrix} \text{b}9 \\ \text{b}7 \\ \text{b}5 \end{smallmatrix}$. The third system shows the piano accompaniment with chords: (I), (V), and I.

Example 161: Fauré, 1st Impromptu, bb. 108-15.

p sempre

D maj: I: VII IV#5

V#5 over I I etc.

dolce

bIII#5

poco rit. *a Tempo*

IV^{b7}/₅ - #5 V⁷+#4+6 I IV#5

I V#5 I

Example 162: Fauré, 7th Barcarolle, bb. 71-86.

In example 161, the use of the mode is based on a typical post-cadential alternation, employing a dominant ninth on flat VI (an extension of the German sixth, which resembles a dominant seventh), which provides all the degrees of the mode not found in the diatonic scale. It is interesting to note that both examples use the same transposition of the scale, but have different finals. Each transposition of the scale provides 9 possible finals, but only three different modes, which can be abbreviated as the t-s-s, s-t-s and s-s-t modes. Example 162 is based on the s-t-s mode, which is established by the sounding of all the notes in the first four chords, already heard earlier in the piece (example 149). The need to avoid certain notes gives rise to some extraordinary harmonic procedures, such as the non-resolution of the d-sharp in bar 82. The only note not belonging to the scale in the last 14 bars of the work, is the c in bar 79. Because of this extended use of the mode, one can, with some legitimacy, find earlier references to the scale in passages that might otherwise have been regarded as purely tonal:

(Bbmaj: V IV VI⁷_{#4-5} IV)
(Abmaj: V → IV)

Example 163a: Fauré, 7th Barcarolle, bb. 37-9.

$C_{maj}: IV^{\sharp 5} - \sharp 5$ $I_{\sharp 2}^7 = \frac{8}{3}$ $G_{maj}: IV^{\sharp 5} - \sharp 5$ I
 $I^{\sharp 5} - \sharp 5$

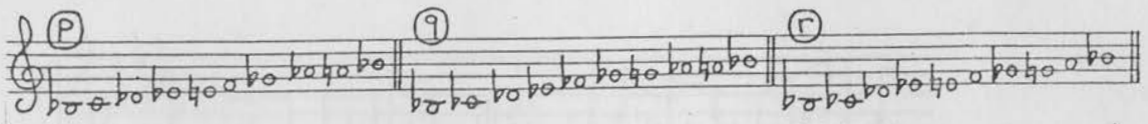
Example 163b: Fauré, 7th Barcarolle, bb, 61-4.

The fact that the mode contains a complete whole-tone scale is exploited in various ways : through melodic whole-tone segments (example 161), whole-tone root movement (example 162) and whole-tone chords (example 163b).

V. Unclassified Modes:

The use of unclassified modes is difficult to trace in a style that makes such free use of chromaticism in a tonal context. Most of these modes are based on diatonic scales with added notes, which become elements of the scale through frequent and independent usage.

One of the earliest instances occurs in the fifth Nocturne, which employs various nine-note modes:



ⓐ Bbmin: I VI^{b7} III^{b5} II^{b7} III^{b5}



ⓑ III^{b5} I^{bb7} II^{b7} III^{b5} IV⁷ V⁷ → I

Example 164a: Fauré, 5th Nocturne, bb. 71-4.

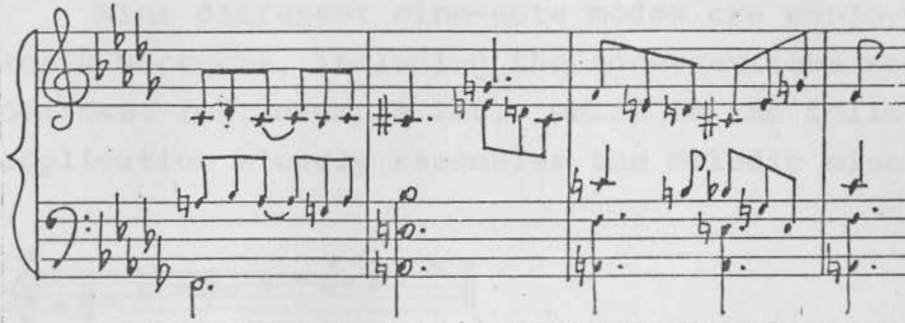
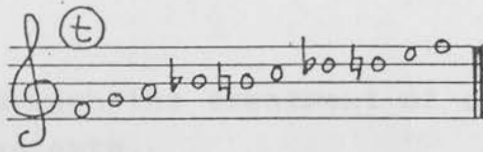


Bbmaj: bIII⁶⁻⁵ bVII^{b7} V^{#5} I V



bIII⁶ → bVII^{b7} V^{#5} I V bIII⁶ → bVII^{b7} V^{#5} (I^{b7}) III^{#4} = 5 #VI^{b5} III V⁷

Example 164b: Fauré, 5th Nocturne, bb. 37-44.



F mode on III of har. min: I^{b5} III⁹ I III⁹ I

Example 164c: Fauré, 5th Nocturne, bb. 81-4(S).

Mode p, based on the harmonic minor scale, and exposed melodically earlier in the piece. (example 102, bb. 25-9), is used for a curious excursion from B-flat minor in example 164a. It is notable that all the notes of the mode are treated as being equal. Sharp IV and sharp VII (the two non-diatonic degrees) are not treated merely as leading notes to V and I respectively (see example 102) but actually become flat V and flat I. This independence explains how Fauré can cadence on a minor triad on the tonic of the relative major. Overlapping 9-note modes facilitate rapid transitions from D-flat minor to C-flat Molldur and back to B-flat minor.

The same freedom can be seen in example 164b, based on the aeolian with tierce and leading note, where the flat III and the flat VII are often treated as sharp degrees, i.e., they do not only resolve according to their tonal function as flattened degrees, but are treated as independent degrees with numerous possible resolutions.

Mode t is based on the Molldur plus augmented IV and major VI, and is used to evoke the mode on III of the harmonic minor¹. It is distinguished from this mode

1 The main section of the work ends with a cadence on III of the (melodic) minor. See example 124.

through the treatment of c-sharp as d-flat in certain contexts,

Nine different nine-note modes are employed in the tenth Nocturne, including the tone-semitone mode with added dominant (cf. example 160), which in the following application closely resembles the melodic minor:

Example 165: Fauré, 10th Nocturne, bb. 32-4. The image shows a musical score with a single melodic line at the top and a piano accompaniment below. The melodic line consists of a sequence of notes: C4, D4, E4, F4, G4, A4, B4, C5, B4, A4, G4, F4, E4, D4, C4. The piano accompaniment features a series of chords: Emin: IV⁷, (VI), V⁷ofV, V, III, IV^{#7}, I. Dynamic markings include *poco*, *a*, *poco*, and *cresc.*

Example 165: Fauré, 10th Nocturne, bb. 32-4.

In fact, most of the nine-note modal passages mainly use the chords of one key with occasional (modal) inflections.

Freer harmonic associations occur in a passage based on an eight-note mode, consisting of the harmonic minor with tièrce de Picardie:

Example 166: Fauré, 10th Nocturne, bb. 19-20. The image shows a musical score with a single melodic line at the top and a piano accompaniment below. The melodic line consists of a sequence of notes: C4, D4, E4, F4, G4, A4, B4, C5, B4, A4, G4, F4, E4, D4, C4. The piano accompaniment features a series of chords: Emin: V, VI^b, #III. Dynamic markings include *f sempre* and *marcato*.

Example 166: Fauré, 10th Nocturne, bb. 19-20,

through the treatment of c-sharp as d-flat in certain contexts,

Nine different nine-note modes are employed in the tenth Nocturne, including the tone-semitone mode with added dominant (cf. example 160), which in the following application closely resembles the melodic minor:

Example 165: Fauré, 10th Nocturne, bb. 32-4.

The musical notation consists of a single melodic line at the top and a piano accompaniment below. The melodic line is in G major and contains a sequence of notes: G, A, B, C, D, E, F#, G, A, B, C, D, E, F#, G. The piano accompaniment features a series of chords: Emin: IV⁷, (VI), V⁷ of V, V, III, IV^{#7}, I. Dynamic markings include *poco*, *a*, *poco*, and *cresc.*

Example 165: Fauré, 10th Nocturne, bb. 32-4.

In fact, most of the nine-note modal passages mainly use the chords of one key with occasional (modal) inflections.

Freer harmonic associations occur in a passage based on an eight-note mode, consisting of the harmonic minor with tièrce de Picardie:

Example 166: Fauré, 10th Nocturne, bb. 19-20.

The musical notation consists of a single melodic line at the top and a piano accompaniment below. The melodic line is in G major and contains a sequence of notes: G, A, B, C, D, E, F#, G, A, B, C, D, E, F#, G. The piano accompaniment features a series of chords: Emin: V, VI^b, #III, (III). Dynamic markings include *f sempre* and *marcato*.

Example 166: Fauré, 10th Nocturne, bb. 19-20.

Example 166 (contd.): Fauré, 10th Nocturne, bb. 21-23. The image shows a musical score with two staves. The upper staff is the piano part, and the lower staff is the bass part. Chord symbols are written below the bass staff: V⁷, IV^{b5}, I, VI^b, #III⁷, and IV⁷. A 'sostenuto' marking is placed in the piano staff. The key signature has two flats.

Example 166 (contd.): Fauré, 10th Nocturne, bb. 21-23.

The curious progressions in bars 20 and 22 are based on a symmetrical mode that contains minor triads a major third apart:

A single staff of music showing a symmetrical mode. The notes are G#4, A4, B4, C#5, D5, E5, F#5, G#5. The mode is symmetrical around B4.

Example 167

The middle section of the first Prelude is based entirely on three closely related eight-note modes:

A single staff of music showing three eight-note modes labeled X, Y, and Z. Mode X starts on C#4, Y on D4, and Z on E4. The modes are: X: C#4, D4, E4, F#4, G4, A4, B4, C#5; Y: D4, E4, F#4, G4, A4, B4, C#5, D5; Z: E4, F#4, G4, A4, B4, C#5, D5, E5.

Example 168

The interrelation of these modes can be seen in the following table:

A table showing the interrelation of modes X, Y, and Z across three staves. The modes are: X on C#, Y on D, and Z on C#. The notes are: X: C#4, D4, E4, F#4, G4, A4, B4, C#5; Y: D4, E4, F#4, G4, A4, B4, C#5, D5; Z: E4, F#4, G4, A4, B4, C#5, D5, E5.

Example 169

The following extracts show some of the harmonic exploration of these modes. The whole-tone flavour of modes y and z, both of which contain a whole-tone scale, is particularly noticeable:

Handwritten musical score for Example 170a. It features a grand staff with treble and bass clefs. The music is in a key with two sharps (D major). The dynamics range from *f* to *p*. The score is divided into four measures, each with a chord symbol below it: $G\sharp$ phr: VII⁷ on I, II⁹_{b7}, VII⁷ on I, and II⁹_{b7}.

Example 170a: Fauré, 1st Prelude bb. 16-7.

Handwritten musical score for Example 170b. It features a grand staff with treble and bass clefs. The music is in a key with two sharps (D major). The dynamics range from *p* to *f*. The score is divided into four measures, each with a chord symbol below it: (A maj?: b III^{b7}_{b5}, V⁷, b VII^{b7}, b VI^{b7}_{b5} → I^{b7}).

Example 170b: Fauré, 1st Prelude, bb. 22-3.

The coda of the next Prelude is based entirely on nine-note modes, except for two instances of the tonal dominant at the end of a phrase (a practice often found in the diatonic modes):

dolce

C# mode on tierce: #I# II⁷ III⁷ IV III⁷ II⁷ #I# II⁷ III⁷

cresc.

IV III⁷ II⁷ I (mode on #I of min: VII⁷ IV⁷ V⁷ VI V⁷ #VII⁷ #I⁷ #5

f *dim.*

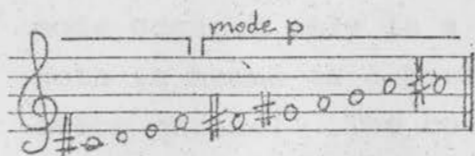
loc: I^{#5} II IV^{H 9 7} VI⁷ V⁷ #V^{9-8 6-7} I(#5) I⁷ #VI⁷

p *pp*

I^{#5} I⁷ #III⁷ I^{#5})

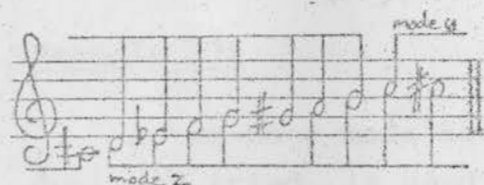
Example 171: Fauré, 2nd Prelude, bb, '31-44.

Bars 31-4 are based on the "mode on the tierce" (see p. 78). This mode is identical to mode x plus sharp III (see example 168) and is, in fact, a relative of mode p (example 164a):



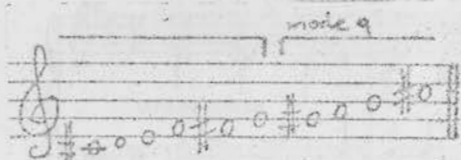
Example 172

Bars 35-6 are based on a mode that contains modes y and z (the f-sharp before the cadence is part of a dominant function),



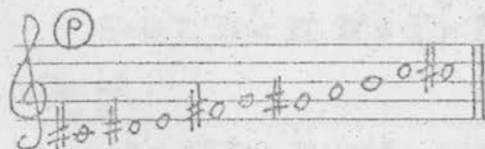
Example 173

while the mode of bars 37-8 is a relative of mode 9 (example 164a):



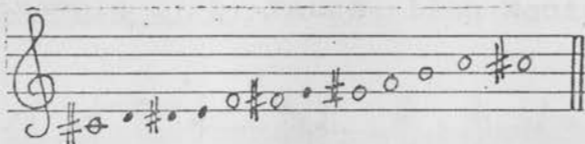
Example 174

If one does not take the tierce at the end of the phrase into account (cf. diatonic modes), the mode of the last six bars is a transposition of mode p (example 164a):



Example 175

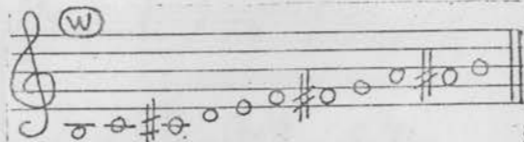
The completeness of the realization of these modes is remarkable. In some earlier cases, certain notes of the mode occurred only in a non-harmonic capacity, but here each note is heard as a harmonic constituent at least twice in every phrase. The coda as a whole uses an eleven-note which can be regarded as the mode on the tièrce of A minor plus tonal dominant seventh:



○ : not used in every phrase

Example 176

A ten-note mode based on the locrian mode with tonal dominant triad, is used extensively in the first and final sections of the thirteenth Nocturne:



B min: I III^{b5} VI II⁷ III V^{b5} bII⁷ I^{b5} V^{b5} IV⁷ V^{b5} (IV)
 (W) on B →



E min: I III^{b5} VI IV[#] V^b IV[#] I⁷
 (W) on F#
 on B B min: IV⁷ IV^{b7} VI⁷ II^{#5} -^{b5} -^{b3} V⁶ -⁷ /⁵ bV^{b5}

- Example 177a: Fauré, 13th Nocturne, bb. 1-8.

W on f# W on g#

cresc.

A maj?: IV^{b7} bIII^{b5} VII⁷ V⁷ IV⁷ #I⁷
 B maj?: IV^{b7} bIII^{b5} VII⁷

Example 177b: Fauré, 13th Nocturne, bb. 19-20.

f

F# mode on #IV: I^{#5} #V^{#5} I VI⁷₃ - #3

V I #V⁷_{#3}

Example 177c: Fauré, 13th Nocturne, bb. 22-6.

B mode on VI(Dm): VII⁷ VII⁷ I^{#5}
 Phry: I II^{b7} III⁷ VI⁷ V⁷ VI⁷ Aeol: VI⁷ II⁷

Aeol: III⁷ V⁷ I

Example 177d: Fauré, 13th Nocturne, bb. 148-55.

The first example treats the mode as aeolian with leading note and locrian inflections (bb.1-4), then uses a relative mode of the transposed scale to move from E aeolian to E dorian.

The next two examples use mode w on f-sharp to suggest "the mode on the raised fourth degree" (see p.65).

In example 177a, the penultimate note of the mode always became the tonal leading note, but here it is also treated as flat tonic. This is also the case in the last example (bb. 148-9), where the mode suggest a variety of other modes including the phrygian (b. 150), the aeolian (bb. 152-3) and the mode on the sixth degree of the Durmoll (bb. 148-9).

Conclusion

Fauré enriched the vocabulary of music through a complex integration of modality and tonality. He adapted the diatonic modes to his purpose by exploring their harmonic possibilities; by introducing free chromatic alteration, often related to the key on the final, or even to the relative major; by using chromatic harmony and/or passing notes against a modal melody; by adding notes to the modes themselves, creating 8-, 9-, and 10-note modes; by basing modes not on the major scale, but on other (non-diatonic) tonal scales and by extending the diatonic system of seven modes through the radical concept of chromatic finals.

Passages based on the above practices were incorporated with unsurpassed ease into a tonal framework that, despite its complex chromaticism, revealed Fauré's affinity for modal practices, such as the avoidance of dominant and leading-note functions and of (tonal) root movement in fourths; the use of fluctuating melodic degrees - the essence of modal thinking - both individually and on a more extended scale; and a predilection for flattening. The modal passages are often ambiguous and very brief - no more than subtle evocations that enhance the richness of the tonal language.

The combination of chromatic and modal procedures facilitates the integration of symmetrical and unclassified modes into an idiom that remains fundamentally tonal.

Fauré's use of modality within a tonal framework is not an attempt to find facile alternatives to tonality, but rather an affirmation of his belief in the unifying force of the tonal system.

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