Analyzing

CLASSICAL
FORM

*An Approach
for the Classroom*

WILLIAM E. CAPLIN

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An Approach for the Classroom

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To my family,

Marsha, Adam, and Rebecca

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Contents

Preface

How is a musical composition divided into various sections, parts, or units? How are these parts organized? Are they ordered in some logical way, or can they be shuffled around? How do the smaller units of a work express a sense of their being a "beginning," a "middle," or an "end" of some larger part of the work? What kinds of melodic ideas, harmonic progressions, rhythmical patterns, and textural combinations are appropriate for use in the various parts of a composition?

These are just some of the many questions that the study of *musical form* attempts to answer. In this book, you are presented with a theory for analyzing form in music. The approach is specifically directed to a core repertory: the instrumental compositions of the *high classical* composers Haydn, Mozart, and Beethoven, works that have been in the musical canon for hundreds of years.

In the course of your instruction, you are introduced to many new concepts and terms, and you are shown how they can be used to reveal the formal organization of classical works. You then have the opportunity to apply these ideas in your own analyses of excerpts from this repertory. At every step, you will gain insight into the kinds of compositional options confronting the composers and the choices they made.

Organization of Topics

Analyzing Classical Form builds on the foundation of the author's *Classical Form: A Theory of Formal Functions for the Instrumental Music of Haydn, Mozart, and Beethoven*,[1] significantly extending this original treatise for use in courses on formal analysis.

The opening chapter of *Analyzing Classical Form* reviews the fundamental progressions of harmony, providing an understanding that is essential for formal analysis. The bulk of the text that follows consists of three parts:

- Part I brings individual chapters on the principal theme types used in classical form: the sentence, the period, various hybrid themes, compound themes, the small ternary, and the small binary. An additional chapter focuses specifically on deviations of phrase and cadence as well as the framing functions of thematic introduction, closing section, and standing on the dominant.
- Part II explores in detail the premier full-movement form of the classical style, sonata form. An introductory chapter surveys the form as a

whole, after which individual chapters are devoted to the three thematic regions of the exposition (main theme, transition, and subordinate theme) along with the remaining sections of the form (development, recapitulation, coda, and slow introduction).

- Part III deals with additional full-movement forms found in classical instrumental music: various forms typical of slow movements (the large ternary, sonata without development, theme and variations), minuet/ trio form, rondo forms, and concerto form.

A complete glossary of terms, indices of musical works and theoretical concepts, and a short list of references to works by other theorists and historians mentioned in the text provide you with additional tools for analyzing classical form.

Organization of the Chapters

Most of the chapters have a similar format. The theoretical presentation begins with an opening section, "The Basics," which sets out in a concise manner an overview of the chapter's main topics, which are then immediately illustrated analytically by at least one model example.

The next section, "Let's Practice," offers one or more unannotated musical examples, so that you can immediately apply the basic concepts, as stimulated by a set of simple questions.

A section on "More Details" brings an in-depth look at the chapter's contents, with numerous annotated musical examples. A final section on "Finer Points" probes more advanced topics.

Generous use of text boxes highlights issues that are of particular theoretical importance, terms that often lead to analytical misunderstandings, historical background to the topic at hand, or miscellaneous points of interest.

Following the theoretical presentation, a section titled "Reviewing the Theory" offers a set of exercises to help you consolidate your understanding of the theoretical concepts, and the "Examples for Analysis" provide excerpts for additional analytical work.

Each chapter in Part I concludes with exercises in "Model Composition" to give you a chance to engage firsthand with musical form and to encourage your creative instincts.

Options for Use

This textbook can be employed in a variety of ways in different kinds of courses. The book as a whole provides comprehensive material for an intermediate or advanced full-year course in formal analysis. With a single semester course at these levels, it will be possible to cover most of Parts I and II (omitting certain chapters and sections). The various theme types presented in Part I can also be

introduced at earlier levels of theory instruction to supplement work done in harmony and counterpoint. Finally, graduate students will find the material sufficiently stimulating as part of a "Theory Review" course or a more specialized course in music of the classical style.

No one mode of organization will meet the needs of all theory instructors, and some may wish to offer the material in an order different from that presented here. For example, some instructors might want to begin the study of each chapter by having their students work on the "model example" found at the end of "The Basics" section or to consider initially the "Let's Practice" example, which does not contain any analytical overlay. In this way, they can help the students uncover the formal concepts directly in connection with the music, rather than trying at first to absorb the theory.

As well, some teachers might want to examine shorter full-movement forms, especially theme and variations and minuet/trio form, before embarking on the complexities of sonata form. It is possible to turn to these topics following completion of Part I, though some of the features of these forms will not be fully understandable without the discussion of certain sonata-form concepts (such as "subordinate theme" and "transition" thematic functions).

Acknowledgments

The companion website was masterfully conceived, designed, and programmed by Andrew Schartmann. For its audio content, I received extensive help from my colleagues Sara Laimon (piano performance) and Martha de Francisco (sound recording), who not only organized and supervised the many students taking part in the recordings but also themselves personally performed and produced many of the excerpts. My colleague Denys Bouliane (music composition) willingly offered to supervise the digital simulation of the orchestral excerpts. I thank the administration of the Schulich School of Music and McGill University for providing the recording facilities, hosting the website, and being enormously supportive of the entire project.

Finally, I want to acknowledge the continuous encouragement and patience offered by my wife, Marsha Heyman, and my children, Adam and Rebecca, to whom this book is dedicated.

About the Companion Website

The use of *Analyzing Classical Form* will be greatly enhanced by the companion website hosted at the Schulich School of Music at McGill University (www.music.mcgill.ca/acf). There you will find unannotated scores and audio of all of the musical examples in the text (performed, recorded, and digitally simulated, in the case of the orchestral excerpts, by students and staff of the Schulich School of Music) as well as answers to the questions posed in the "Let's Practice" and "Reviewing the Theory" sections. The website also contains supplementary examples that you can listen to and download for analysis of the various theme types discussed in Part I of the text. Finally, some listening quizzes are included in order to let you practice hearing classical form in real time, without the aid of the score.

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Analyzing Classical Form

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A Review of Harmony

"An opening chapter on harmony? Haven't we studied enough harmony?"

Well, yes, most all of you have learned a lot about harmony in your music theory courses up to now. And you may be wondering why a textbook on musical form would have you confront the topic once again.

But as you will quickly discover, analyzing classical form necessarily involves analyzing harmony as well. In fact, the study of form will help to clarify just why harmony is so important and foundational. For unlike many other prior approaches, the one presented in this textbook depends on a detailed analysis of the harmonic progressions that reside at the very foreground of the musical surface.

This chapter quickly reviews the basics of tonal harmony and the main harmonic progressions that are so essential to understanding classical form. Much of what is presented here should be familiar to you from your previous theory courses. But some new ideas—ones that are not prominently emphasized in traditional harmony texts—will warrant your special attention, especially the categorical distinction between *prolongational* and *cadential* progressions of harmony.

Along the way, a host of terms and ideas are introduced that will play an important role in the later chapters dealing with musical form. As well, some tips on analytical notation are offered, so that you can produce precise and accurate harmonic analyses. See, in addition, the "Guide to Harmonic Annotation" near the end of this chapter.

The Basics

Harmonic Vocabulary

Most North American textbooks identify individual harmonies in terms of the scale degrees of their *roots*. The seven Roman numerals indicate these roots with respect to a given key, and additional Arabic numerals indicate

(in a manner loosely derived from the *figured-bass* tradition) the various positions (inversions) of the harmonies. For example:

- I = root-position tonic
- IV^6 = first-inversion subdominant
- V$^4_3$ = second-inversion dominant seventh

Many theorists understand, however, that the Roman numerals do not necessarily define seven fully distinct harmonies, and they instead propose a classification of harmonies into three main groups of *harmonic functions*: *tonic, dominant,* and *pre-dominant*.

1. *Tonic* harmonies include the I and VI chords in their various positions.
2. *Dominant* harmonies include the V and VII chords in their various positions. III can function as a dominant substitute in some contexts (as in the progression V–III–VI).
3. *Pre-dominant* harmonies include a wide variety of chords: IV, II, ♭II, secondary (applied) dominants of the dominant (such as VII^7/V), and the various "augmented-sixth" chords.

A tip on analytical notation: many textbooks distinguish chord "quality" by using different forms of the Roman numerals: uppercase for "major," lowercase for "minor," lowercase with a superscript ° for "diminished."

Here, we will follow those texts (such as the popular one by Aldwell, Schachter, and Cadwallader)[1] that do not distinguish chord quality and instead use uppercase Roman numerals exclusively to indicate the scale degree of the harmonic root. Although for some of you this system may be unfamiliar, it is likely that you will quickly adjust to it and readily begin to understand the harmonic analyses.

For your own analytical work, your instructor will have his or her preferences for harmonic notation, which you should carefully follow.

SOME HISTORICAL BACKGROUND

The Theory of Harmony. *The modern theory of harmony was founded by Jean-Philippe Rameau early in the 18th century.[2] The Roman numeral system of identifying individual harmonies was introduced by Abbé Vogler[3] later in that century and then popularized by the German theorist Gottfried Weber[4] in the early 19th century.*

A more systematic presentation of harmonic progressions based on roots placed above the seven "steps" of the diatonic scale was proposed by the mid-19th-century Viennese theorist Simon Sechter.[5] His Stufentheorie ("theory of steps") was highly influential on both Arnold Schoenberg[6] and

Some Historical Background continued:

Heinrich Schenker,[7] whose theories have had enormous impact on modern North American approaches to harmony.

The late-19th-century German theorist Hugo Riemann developed the first Funktionstheorie *("theory of functions").[8] The modern North American adaptation of the function theory retains Riemann's category of tonic and dominant functions but usually reconceptualizes his "subdominant" function into a more all-embracing* pre-dominant *function.*

Harmonic Progressions

Let us now consider how the individual harmonies just described can be arranged to make progressions of harmonies. Most harmonic progressions can be classified into one of three main types: *prolongational*, *cadential*, or *sequential*.

Typically, the individual progressions are fully distinct one from the other. Often, however, the final harmony of one progression can be seen to function as the first harmony of the next progression; this shared sonority can be termed a *linking* harmony.

Prolongational Progressions

Prolongational progressions sustain in time an individual harmony (the *prolonged harmony*) through the use of intervening chords (*subordinate harmonies*) such as neighboring, passing, and substitute harmonies; see Example 1.1.

EXAMPLE 1.1   Prolongational progressions

The harmonic technique of *pedal point* also serves to prolong a given harmony, one whose root is placed in the bass voice throughout the entire progression.

HARMONIC PARADIGMS

Many of the examples in this chapter take the form of simple "paradigms" written in the key of C major. They are usually set in four voices, with an upper voice that is typical for the progression.

Most of the paradigms can also appear in minor (with the usual alterations). Paradigms associated especially with the minor are set in that mode.

A tip on analytical notation: in all of the paradigms of prolongational progressions, the subordinate harmonies will be placed in parentheses in order to highlight the prolonged harmony.
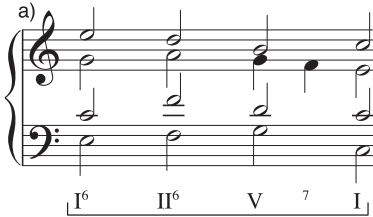
In the analysis of actual musical passages, a greater flexibility in the use of parentheses will help differentiate levels of harmonic organization, and in many cases the subordinate harmonies will stand outside of the parentheses in order better to reflect the harmonic rhythm of the passage.
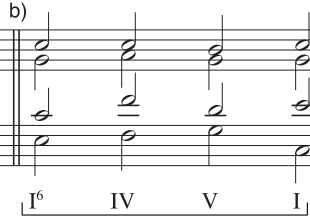
Cadential Progressions
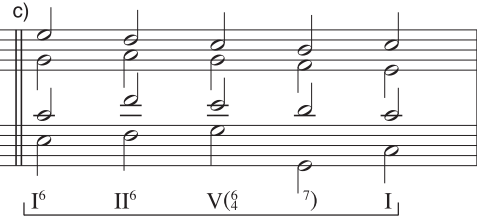
Cadential progressions confirm a tonal center by bringing the fundamental harmonic functions in this order: (initial) tonic, pre-dominant, dominant, and (final) tonic; see Example 1.2.

EXAMPLE 1.2   Cadential progressions
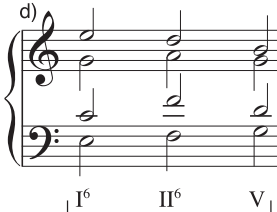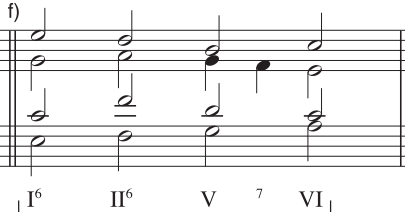
Essential for the idea of cadential progression used in this textbook is the requirement that the dominant must first appear, and then remain, in root position.

We can recognize three kinds of cadential progression:

1. An *authentic* cadential progression ends with a root-position tonic.

2. A *half*-cadential progression ends with a root-position dominant triad (not a seventh chord).

3. A *deceptive* cadential progression is formed when the final tonic of an authentic cadential progression is replaced by some other harmony (such as VI, VII^6/V, I^6).

CADENTIAL PROGRESSION VS. CADENCE TYPE

The material on cadence being covered in this chapter exclusively concerns the harmonic progressions associated with formal cadences. The various cadence types used to end a musical theme (such as perfect authentic cadence, half cadence, and deceptive cadence) will be treated in the following chapters.

A cadential progression is *complete* if it contains all of its component harmonic functions; for example, I^6–II^6–V^7–I (authentic cadential); I^6–II^6–V (half cadential).

An *incomplete* cadential progression lacks an initial tonic or a pre-dominant; for example: I^6–V^7–I or II^6–V^7–I (authentic); I–V or II^6–V (half). An incomplete authentic cadential progression may even lack both initial tonic and pre-dominant; for example, V^7–I.

A tip on analytical notation: in order to reinforce the distinction between prolongational and cadential progressions, the harmonies of the latter will always (with one exception to be discussed later) be embraced by a horizontal square bracket.

You are strongly encouraged to follow this practice in your own analytical work, since careful recognition of the boundaries of the cadential progression plays such a major role in analyzing classical form.

Sequential Progressions

Sequential progressions destabilize harmonic activity by bringing a consistent pattern of root motion; see Example 1.3.

They can be classified into six types based on the size and direction of the interval between the roots of the individual chords of the sequence:

1. Descending fifth, such as III–VI–II–V–I (the most frequently used sequence)
2. Ascending fifth, I–V–II–VI (infrequently used)
3. Descending third, I–VI–IV–II (frequently used)
4. Ascending third, I–III–V (the most infrequently used sequence)
5. Descending second (step), IV–III–II–I (frequently used)
6. Ascending second (step), I–II–III–IV (frequently used)

A sequential progression normally begins with a harmony that has a clearly defined function within a key. The subsequent harmonies, which often lack a

EXAMPLE 1.3   Sequential progressions

a)

I seq.   (IV   VII   III   VI   II   V)   I

b)

I seq.   (V   II   VI)   IV   I⁶

c)

I seq.   (V⁶   VI   III⁶   IV)   I⁶

d)

I seq.   (VI⁶   II   VII⁶   III   I⁶   IV   II⁶)   V

functional relation to each other, are linked together according to a particular melodic-contrapuntal pattern and consistent root motion. And the final harmony restores a clear functional meaning within either the initial key or, in the case of modulating sequences, a new key.

A tip on analytical notation: in the analytical annotation of sequential progressions, the initial, functional chord has appended to it the label "seq." in order to signal the nature of the subsequent progression.

The following chords are placed in parentheses in line with their relatively nonfunctional status. And the final chord of the progression stands outside of the parentheses to indicate the regaining of functional meaning.

Here are two musical themes, each of which contains prolongational, sequential, and cadential progressions (in that order).

EXAMPLE 1.4   Mozart, Piano Sonata in F, K. 332, iii, 50–57

Allegro assai

(p)

c: I   V⁶ _____ I   I⁶seq.   (VII⁶

VI⁶   V⁶)   IV⁶   (Fr⁺⁶)   V($^6_4$ $^5_3$)

Example 1.4: the opening four bars prolong tonic harmony in root position by means of a subordinate dominant in first inversion (V⁶), which functions as a neighboring chord.

The next bars (m. 54 to the downbeat of m. 56) bring a stepwise-descending sequential progression, which is followed by an incomplete half-cadential progression, initiated by the pre-dominant IV⁶ (further embellished by the Italian augmented sixth).

Note that the IV⁶ at m. 56 is a *linking* harmony: it both ends the sequential progression and initiates the half-cadential one.

Example 1.5: the opening tonic prolongational progression (mm. 29–32) is well projected by the tonic pedal in the bass voice, within which occur various embellishing dominant and subdominant harmonies.

The following sequential progression (mm. 33–34) features a descending-fifth ("circle-of-fifths") series of roots, after which an authentic cadential progression completes the theme.

Though it would be possible to see the root-position tonic at the end of m. 34 as linking the final two progressions, the overall musical context (and especially the *piano* dynamic at m. 35) suggests that this harmony belongs more to the sequence than to the cadence.

EXAMPLE 1.5   Haydn, Symphony No. 93 in D, i, 29–36

Let's Practice

Example 1.6: answer these questions.

1. What type of progression is found from the beginning to the downbeat of m. 4?
2. Is the progression from the upbeat to m. 5 through the end of m. 6 best described as prolongational or sequential? What is the source for the potential confusion here?
3. What kind of progression is used from m. 7 to the first half of m. 10?
4. Where does the cadential progression begin? Is it complete or incomplete?

EXAMPLE 1.6 Haydn, String Quartet in G, Op. 54, No. 1, i, 1–13

Allegro con brio

(continued)

EXAMPLE 1.6   *Continued*

More Details

Tonic Function

Tonic function is usually represented by the major or minor triad built on the first scale degree (tonic) of a key. The tonic triad in root position (I) is considerably stabler than that triad in first inversion (I⁶). Indeed, we will see that the first-inversion tonic plays a special role in articulating harmonic directionality, especially by signaling the onset of a cadential progression.

In most contexts, the triad built on the submediant (VI) degree of the scale has tonic function and can frequently *substitute* for an expected I chord, especially when following a root-position V, a situation that can be termed a *deceptive resolution* of the dominant.

Dominant Function

Dominant function is most often represented by the major triad or the major-minor seventh chord built on the fifth scale degree.

The leading-tone diminished triad in first inversion (VII⁶) and the leading-tone seventh chord (VII⁷ and its three inversions) also have dominant function when they resolve to tonic harmony. (These harmonies are not considered dominants when, in some sequential situations, they progress to nontonic harmonies, such as III.)

In certain limited contexts, the harmony built on the third degree (III) can function as a substitute for the dominant (as in the progression III⁶–I).

In many cadential situations, tonic harmony in second inversion (I⁶₄) functions as an embellishment of dominant harmony in root position. The expression *cadential six-four* is often used to identify this embellishment of the cadential dominant. When resolving to a dominant seventh, the progression of the two chords can be notated as V(⁶₄ ⁷), thus showing that the cadential six-four has *dominant* harmonic function.

Pre-dominant Function

The large number of pre-dominant harmonies within a key generally relate to one of two main types: those built above the fourth degree of the scale ($\hat{4}$) in the bass voice and those derived from the dominant of the dominant (V/V).

Built over $\hat{4}$

Many harmony texts suggest that the subdominant triad (IV) is the most typical pre-dominant harmony. Examination of the classical literature reveals, however, that the supertonic triad in first inversion (II⁶) is more often employed for this function.

Both II⁶ and IV can be enriched through the addition of dissonant sevenths, and even greater variety can be gained by means of *modal borrowing* (or *mixture*), whereby chords containing notes from the minor scale are used in major-mode contexts, or vice versa.

The "Neapolitan" or "phrygian" harmony in first inversion (♭II⁶) is another important pre-dominant, especially in minor.

Though most typically built over $\hat{4}$ in the bass voice, these pre-dominant harmonies can be found in other positions as well (such as IV⁶, II$^{4}_{3}$, ♭II).

Dominant of the Dominant

One group of pre-dominants relates to harmonies that function as a secondary (or applied) dominant of the dominant. These harmonies feature the chromatic raised-fourth scale degree (♯$\hat{4}$), which functions as the leading tone of the dominant.

The significance of the raised-fourth degree is highlighted by its normally being placed in the bass voice, so that the motion to the root of the following dominant is all the more enhanced.

The most typical pre-dominant of this type is the diminished-seventh VII⁷/V; the less-dissonant V$^{6}_{5}$/V and V⁶/V are also regularly encountered.

The three varieties of *augmented-sixth* chords—the so-called Italian, German, and French sixths—are an important subclass of these pre-dominant harmonies. Though they all contain ♯$\hat{4}$, they are usually built over the sixth degree of the natural minor scale (♭$\hat{6}$). (On occasion, however, these harmonies may be repositioned so that ♯$\hat{4}$ is placed in the bass voice.)

SUBMEDIANT HARMONY: A TONIC SUBSTITUTE, NOT A PRE-DOMINANT

The submediant (VI) is often thought to be a pre-dominant harmony, especially when it progresses directly to the dominant.

It is generally better, however, to continue viewing VI as a tonic substitute and to recognize instead that, in the progression VI–V, a tonic functioning harmony moves directly to a dominant one, thus bypassing a pre-dominant.

Prolongational Progressions

The many prolongational progressions can be grouped into four main types by virtue of the compositional technique associated with the prolongation: (1) pedal point, (2) neighboring chords, (3) passing chords, and (4) substitute harmonies.

Most of the progressions discussed and illustrated below prolong tonic harmony; however, many of them can prolong harmonies on other scale degrees as well.

In most prolongational progressions, the prolonged harmony appears at the beginning and end of the progression. But in some cases the subordinate, embellishing harmony may initiate the progression (as with the succession V–I–V–I), or the progression may end without regaining the prolonged harmony (as in I–V–I–V).

Pedal Point

The most forceful way of prolonging a harmony arises by means of *pedal point*; see Example 1.7.

EXAMPLE 1.7   Prolongational progressions—pedal point

The pedal, which lies in the bass voice throughout the progression, contains the root of the prolonged harmony. Most often, this harmony appears at the beginning and end of the progression.

The bass note of the subordinate harmonies is replaced by the pedal note, thus significantly reducing the structural status of these harmonies.

A tip on analytical notation: pedal point situations call for some special analytical notation. Because the subordinate harmonies lose their bass voice (to the pedal), they will always be placed within parentheses.

Moreover, the missing bass of these harmonies makes it impossible to determine their "position" (or "inversion"). As a result, they will be indicated in root position, unless a specific inversion is implied by the context in which the progression arises.

Neighboring Chords

An individual harmony is prolonged by one or more *neighboring chords* when the prolonged harmony remains in the same position (root position or inversion) from the beginning to the end of the progression; see Example 1.8.

In such cases, melodic neighbor-tone motion is usually (but not necessarily) present in one or more of the voices.

The harmonic content of Example 1.8a resembles the cadence formula described by many textbooks. And in some contexts, the progression can indeed

EXAMPLE 1.8 Prolongational progressions—neighboring chords

be classified as cadential. But in many other compositional situations (particularly when the melody embellishes the third or fifth scale degrees, as in the paradigm), the simple progression I–V–I is often better understood as prolongational.

Passing Chords

A given harmony is prolonged by one or more *passing chords* when the prolonged harmony changes position from the beginning to the end of the progression; see Example 1.9.

EXAMPLE 1.9 Prolongational progressions—passing chords

Such prolongations usually see a passing tone in the bass voice lying between root-position and first-inversion forms of the prolonged harmony. A variety of chords can be built over this passing tone, as shown in Example 1.9a–f.

Another common prolongation finds ascending passing motion in the soprano ($\hat{3}$–$\hat{4}$–$\hat{5}$) against a bass that leaps in contrary motion (Ex. 1.9g).

A passing chord may arise, however, without any of the voices literally displaying passing motion (Ex. 1.9h).

A tip on analytical notation: in some prolongational progressions, the passing chord is not an independent harmony because of its unstable $^6_4$ position or its weak functional relation to the prolonged harmony. Such passing chords are placed in parentheses in the analysis at all times and are given an added label, p (passing), to show that they arise primarily from contrapuntal processes and only minimally from harmonic ones.

The passing chord in Example 1.9c arises entirely out of the counterpoint and thus should not be analyzed as a II^7 harmony: the so-called seventh (C) is doubled and incorrectly resolved, thus violating the fundamental voice leading for chordal sevenths. For these reasons, the symbol m^7 (minor-seventh chord) is used in place of a Roman numeral.

PASSING AND NEIGHBORING CHORDS

The terms neighboring *and* passing *were originally used in music theory to refer to the motion of embellishing tones in a single voice. In extending these concepts to harmonies, the presence or absence of literal neighboring or passing motions in the various voices is no longer the main issue.*

Rather, the distinction is based exclusively on the positions *of the prolonged harmony:* if the prolonged harmony remains in the same position, the subordinate harmony is neighboring, *and if the prolonged harmony changes position, then the subordinate harmony is* passing.

Substitute Harmonies

Some harmonies can participate in prolonging a given harmony because they express the same fundamental function as the prolonged harmony; see Example 1.10. In such cases, the original harmony and *substitute harmony* have two chord tones in common, which largely accounts for their functional similarity (Ex. 1.10a–c). In Examples 1.10b and 1.10c, the substitute VI and II chords prolong the previous I and IV harmonies respectively; the following II$^6_5$ (in b) and V (in c) are not necessarily part of the tonic prolongation.

Passing chords can be introduced between the original and substitute harmonies to effect even more complex prolongations (Ex. 1.10d–e).

EXAMPLE 1.10 Prolongational progressions—substitute chords

In most of the preceding examples, the root of the substitute chord lies a third *below* the original harmony. In some situations, a chord lying a third *above* participates in the prolongation (Ex. 1.10f–g). Here, the substitute chord is understood to arise out of passing motion in the soprano voice with the simultaneous elimination of the root (Ex. 1.10h; compare to Ex. 1.10f).

Cadential Progressions

Cadential progressions have as their task the confirming of a tonal center. Strongest tonal confirmation is achieved by an *authentic* cadential progression; weaker confirmation, by a *half*-cadential progression.

An essential requirement of all cadential progressions is that dominant harmony must be placed, and remain at all times, in root position.

A CENTRAL AXIOM

It is a central axiom of the approach to harmony and cadence in this textbook that dominant harmony can acquire cadential status only when it initially appears in root position and retains that position until its resolution to tonic.
Any inversion of the dominant automatically destroys its cadential potential.
This condition may seem overly restrictive to many of you who have been taught that any motion from dominant to tonic creates a cadence. It is to be hoped that the analytical gains from this restrictive definition of cadential progression will more than offset any initial discomfort it may cause.

Authentic Cadential Progression

In an *authentic* cadential progression, both the dominant and final tonic harmonies must be placed in root position. If the final tonic is inverted (or otherwise altered harmonically), then a *deceptive* cadential progression arises (a variant type to be discussed below).

The basic form of the complete authentic cadential progression is shown in Example 1.11.

EXAMPLE 1.11   Authentic cadential progressions—basic

Note that the initial tonic is usually placed in first inversion and that the pre-dominant is typically II⁶ (Ex. 1.11a), though IV is also used on occasion (Ex. 1.11b).

Either the initial tonic or the pre-dominant may be omitted, thus yielding an *incomplete* cadential progression. In such cases, the initial tonic is left out more often than the pre-dominant, for eliminating the latter results in the loss of a fundamental harmonic function.

Excluding both of these harmonies occurs infrequently in the literature, but the resulting V–I succession still represents an entirely viable cadential progression.

COMPLETE VS. INCOMPLETE CADENTIAL PROGRESSIONS

When confronted with the option that cadential progressions may be complete *or* incomplete, *some students jump to the conclusion that the former are "stronger" or preferable in some way, and that the latter are "weaker" or defective.*

But actual compositional practice does not back up that presumption. Whether or not a composer chooses to employ a complete or incomplete cadential progression normally depends on many circumstances unique to the given context.

There is nothing inadequate about incomplete cadential progressions such that they require, for example, a following complete progression to resolve some deficiency.

Let us now examine how each of the three harmonies that precede the final root-position tonic triad can be varied and embellished, beginning with the dominant and moving backwards through the pre-dominant to the initial tonic.

Dominant embellishment. The principal embellishment of dominant harmony (outside of adding a seventh, of course) occurs through the use of a cadential six-four chord constructed over the fifth scale degree; see Example 1.12.

EXAMPLE 1.12   Authentic cadential progressions—dominant embellishment
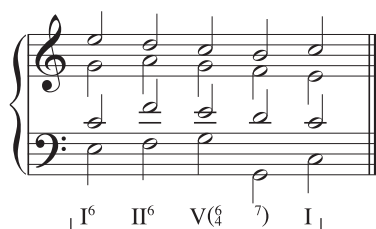
Pre-dominant embellishments. Pre-dominant function within an authentic cadential progression can take a variety of forms. In addition to the common use of II⁶ and IV, the "Neapolitan" or "phrygian" sixth chord (♭II⁶) is occasionally found above the fourth scale degree, usually in minor-mode contexts; see Examples 1.13a and 1.13d.

EXAMPLE 1.13   Authentic cadential progressions—pre-dominant embellishment

The most frequently employed embellishment of pre-dominant function appears over $\sharp\hat{4}$ in the bass voice (Ex. 1.13b–d).

In some cases, two consecutive diminished-seventh chords prolong pre-dominant harmony (Ex. 1.13e). The first diminished-seventh is built on $\hat{4}$; the second, on $\sharp\hat{4}$. Although the first chord is spelled like VII$^4_3$, it does not have dominant function but rather serves in this context as a replacement for the pre-dominant II$^6_5$ from the minor mode.

Pre-dominants can also be built on the second and sixth degrees of the scale by changing the position of the harmonies (Ex. 1.13f–h).

Initial tonic embellishments. As discussed above, the initial tonic occurs most frequently in first inversion, but the root-position form occasionally appears as well; see Example 1.14a.

EXAMPLE 1.14   Authentic cadential progressions—initial tonic embellishment

The initial tonic can be embellished, especially in expanded cadential progressions, by a neighboring V$^4_2$ (Ex. 1.14b).

Various chromatic alterations can convert the initial tonic into a secondary dominant of IV or II, thus emphasizing motion into the pre-dominant (Ex. 1.14c–d).

Half-cadential Progressions

In the authentic cadential progression, the final tonic is the harmonic goal. The dominant occupies the *penultimate* ("before-the-last") position and thus creates a powerful dynamic impulse into the final tonic.

In the *half-cadential* progression, the dominant itself becomes the goal harmony and thus occupies the *ultimate* position. To be sure, this dominant usually resolves to tonic, one that normally initiates a new harmonic progression; but within the boundaries of the half-cadential progression itself, the dominant possesses a sufficient degree of stability to represent a harmonic end.

In order to become sufficiently stable as an ending harmony, the dominant of the half-cadential progression must take the form of a root-position *triad*. Adding a dissonant seventh, so appropriate for the penultimate position within

> **ULTIMATE VS. PENULTIMATE DOMINANT**
>
> *It will prove useful throughout our study of classical form to distinguish between an* ultimate *and a* penultimate *dominant.*
>
> *Whether a dominant can be characterized as one or the other has nothing to do with harmony per se. Rather, it is a matter of how the dominant groups with its surrounding harmonies.*
>
> *In the case of a penultimate dominant (as found in an authentic cadential progression), the dominant groups with the following tonic as part of the progression.*
>
> *In the case of an ultimate dominant (as found in a half-cadential progression), the dominant does not group with the following tonic, since the latter signals the start of a new progression.*

an authentic cadential progression, would overly destabilize the ultimate dominant of a half-cadential progression.

Except for omitting a final tonic and ensuring that the dominant is a consonant triad, half-cadential progressions can contain the same harmonies as authentic cadential ones; see Example 1.15. Complete progressions will include both an initial tonic and a pre-dominant; incomplete versions will omit one of these functions.

EXAMPLE 1.15   Half-cadential progressions

All of the authentic cadential paradigms given above (with the adjustments just mentioned) thus apply to the half-cadential progression as well. Even the very incomplete progression I–V is widely used (Ex. 1.15c).

Several other progressions, in which the ultimate dominant is approached by descending motion from the sixth degree (usually lowered), are especially associated with the half-cadential progression (Ex. 1.15d–f).

Deceptive Cadential Progression

The *deceptive cadential progression* arises when the final tonic of the authentic cadential progression is replaced by a related harmony; see Example 1.16.

EXAMPLE 1.16   Deceptive cadential progressions

The most common form of this progression sees the bass ascend stepwise from $\hat{5}$ to $\hat{6}$, which supports a submediant (VI) substituting for the implied final tonic (Ex. 1.16a). This progression can be embellished by a passing secondary dominant of VI (Ex. 1.16b).

Further variants arise when different harmonies are built over $\hat{6}$ in the bass voice (Ex. 1.16c).

In less frequently encountered instances of the deceptive cadential progression, the dominant leads to a first-inversion tonic rather than to the expected root-position form (Ex. 1.16d). In order to make the move to I^6 more compelling, a passing V^4_2 is frequently inserted following the root-position dominant, which itself often contains the six-four embellishment (Ex. 1.16e).

AN EXCEPTION TO THE RULE

The appearance of V^4_2 in a deceptive cadential progression (see Ex. 1.16e) is an exception to the rule that the cadential dominant must never be inverted.

Here, the bass motion from $\hat{5}$ to $\hat{4}$ represents a contrapuntal "passing" motion more than a genuine change in position of the harmony.

A more dramatic deception can be achieved by converting the final tonic into V^7/IV (Ex. 1.16f); the addition of a chordal dissonance renders the tonic too unstable for genuine authentic-cadential articulation.

Sequential Progressions

Sequential progressions involve harmonies arranged according to a consistent intervallic pattern of their roots.

Although some sequential progressions exhibit a degree of harmonic functionality (especially a strong dominant-to-tonic motion among individual harmonies of the sequence), this aspect of the progression is secondary to the fundamental purpose they are meant to serve: to move the music away from, or return it to, a particular harmonic function or tonal center.

Sequential progressions are thus especially appropriate for destabilizing harmonic activity within a given key or for effecting a modulation from one key to another.

There are six patterns of root motion available for sequences: ascending and descending motion by fifths, thirds, or seconds. (Root motion by fourths, sixths, and sevenths is logically accommodated into one of the six categories through inversion.)

Descending Fifth ("Circle of Fifths")

The most commonly used sequential progression features chords whose roots are organized into a series of descending fifths (most often alternating with ascending fourths); see Examples 1.17a–b.

EXAMPLE 1.17   Sequential progressions—descending fifth

This "circle-of-fifths" progression (as it is frequently called) can be varied in manifold ways through chord inversion, chromatic alteration, and added dissonances (Ex. 1.17c–g).

Compared to the other categories of sequential progressions, the descending-fifth pattern features the strongest harmonic-functional expression. Since the root motion of a descending fifth lies at the basis of every dominant-to-tonic progression, this functional relation is implied, *by analogy*, at each link in the sequential chain (such as VI–II or III–VI), even if the "dominant" does not actually contain the leading tone of the "tonic."

Ascending Fifth

The ascending-fifth sequence occurs infrequently in the classical repertory.

The progression almost always features the same set of harmonies. It starts with tonic and moves "backwards" through the circle of fifths as far as the submediant. At this point the sequential chain is broken, and the music moves to the subdominant; see Example 1.18.

EXAMPLE 1.18   Sequential progressions—ascending fifth

$\text{I}_{\text{seq.}}$ (V   II   VI)   IV I^6

Descending Third

The unembellished form of the descending-third progression, a frequently occurring sequence, is illustrated in Example 1.19a.

More often, however, the leap in the bass voice is filled in by stepwise motion, which produces intervening passing chords in first inversion (Ex. 1.19b–c).

The passing chords introduce a degree of harmonic functionality. Since each root-position harmony is followed by a passing chord whose fundamental is a fifth above (or fourth below), the latter stands as a dominant, either literally or by analogy, in relation to the former (as tonic). These dominant-like passing chords then resolve deceptively to the next root-position chord, which can be understood as a tonic substitute.

This functional interpretation is made even more evident when the passing chords themselves are placed in root position (Ex. 1.19d).

EXAMPLE 1.19   Sequential progressions—descending third

I seq. (VI   IV   II   VII   V   III)   I   I seq. (V⁶   VI   III⁶   IV)   I⁶

I seq. (V⁶   VI   III⁶   IV)   I⁶   I seq. (V   VI   III   IV)   I
                                                        [I   V   VI]
                                                        (dec. res.)

Ascending Third

The ascending-third progression is the sequential pattern least frequently used by the classical composers. Its unembellished form is rarely found, if ever.

A more viable version employing passing chords is shown in Example 1.20, though it too seldom appears in the classical literature. (It is more frequently used in the Romantic era, especially by Chopin.) Here, each passing chord is the "dominant" of the following main harmony of the sequence.

EXAMPLE 1.20   Sequential progressions—ascending third

I   (V   III   V   (V
     G:(I   V   III

Descending Second (Step)

Sequential progressions by descending seconds occur often in the literature; however, they pose a potential problem of voice leading. If the chords were placed in root position, then parallel fifths could easily arise.

Therefore, the unembellished form of the descending-stepwise progression finds all of the chords in first inversion, thus eliminating any interval of a fifth against the bass; see Example 1.21a.

EXAMPLE 1.21   Sequential progressions—descending second

The progression is frequently embellished by a series of 7–6 suspensions (Ex. 1.21b).

Ascending Second (Step)

The potential problem of faulty parallels encountered with the descending-second progression applies as well to the frequently occurring ascending-step sequence; see Example 1.22.

EXAMPLE 1.22   Sequential progressions—ascending second

Using first-inversion triads can eliminate the difficulty (Ex. 1.22a); however, this version appears seldom in the literature.

Instead, the stepwise ascent usually remains in root position, while the parallel fifths are broken up by means of a 5–6 pattern formed by one of the upper voices against the bass (Ex. 1.22b).

This contrapuntal procedure generates intervening first-inversion chords that stand, by analogy, in a dominant-to-tonic relationship to the succeeding root-position chords. Such a functional implication can be made even more explicit through chromatic alterations in the bass, so that each six-three chord

becomes a genuine secondary dominant (Ex. 1.22c). Finally, a more emphatic dominant-to-tonic expression arises when the intervening chords themselves are placed in root position (Ex. 1.22d).

Guide to Harmonic Annotation

Key: A major key is indicated by a boldface, uppercase pitch name followed by a colon; a minor key, by a boldface, lowercase pitch name, e.g., **C:** for C major; **c:** for C minor.

Harmony: Each harmony built on a scale degree within a key is indicated by an uppercase Roman numeral irrespective of its "chord quality" (e.g., major triad, minor triad, diminished triad, half-diminished seventh). Augmented sixth harmonies are indicated by their "national" labels (It^{+6}, Gr^{+6}, or Fr^{+6}). A harmony that is sustained across a bar line is indicated by a straight line, e.g., V^6 —————— (see Ex. 1.4, mm. 51–52).

Harmonic inversion: Inversions are indicated by standard figured-bass symbols following the Roman numeral, e.g., I^6, V$^4_3$. The cadential six-four is analyzed as a dominant harmony in root position, with the symbols for the six-four embellishments and their resolutions placed in parentheses, e.g., V($^6_4$ $^5_3$). A change of inversion of the same harmony does not usually bring a repetition of the Roman numeral: e.g., I–^{6}.

Modulation: A pivot-chord modulation is indicated by a vertical brace connecting the harmonies of the prevailing key and the new key. The harmonic relation of the new key to the home key is indicated by a Roman numeral placed in parentheses below the new key name (see ahead Ex. 2.28, m. 7).

Tonicization: Secondary dominants are normally indicated by an arrow pointing to the tonicized harmony (usually forward, but sometimes backward), e.g., V^7⌣–II (see Ex. 1.5, m. 33) or IV^6–⌣V$^4_3$ (see ahead Ex. 2.17, m. 28). If the secondary dominant is not followed or preceded by its expected tonicized degree, then the expected degree is indicated by a slash following the V, e.g., V^7/II (see ahead Ex. 2.20, m. 5). Extended tonicizations are indicated by a horizontal brace embracing the secondary harmonies, e.g., II V; the tonicized scale degree is placed below the brace (see ahead Ex. 12.11, mm. 54–56).

Prolongational progressions: Subordinate harmonies within a prolongation are sometimes placed in parentheses, especially when they do not significantly contribute to the basic harmonic rhythm of a passage, e.g., I–(V)–I–(IV–V)–I (see Ex. 1.5, mm. 1 and 3).

Cadential progression: The boundaries of a cadential progression are indicated by a horizontal square bracket, e.g., I^6 II^6 V^7 I .

Sequential progressions: Sequential progressions are indicated by the abbreviation "seq." following the initial harmony of the progression, e.g., I seq. The subsequent harmonies of the progression are sometimes placed in paren-

theses, except for the final harmony of the sequence, which stands outside of the parentheses, e.g., I seq.–(VII^6–VI^6–V^6)–IV^6–V (see Ex. 1.4, mm. 54–56).

Pedal point: A pedal point is indicated by the abbreviation "ped." following the Roman numeral of the prolonged harmony, e.g., I ped. All subordinate harmonies within the pedal point are placed in parentheses; no inversion is indicated for these harmonies because their bass notes are replaced by the pedal, e.g., I ped.–(IV–V^7)–I (see Ex. 1.1e).

Neighboring and passing chords: some weakly functional neighboring and passing chords are labeled with "n" or "p" respectively; such chords are placed in parentheses (see Ex. 1.1c).

Nonfunctional chords: in some cases, a nonfunctional chord lacks a Roman numeral; in its place, the chord is labeled with its chord quality placed in parentheses, e.g., ($^{\circ7}$) for "diminished seventh chord" or (m^7) for "minor seventh chord" (see Ex. 1.9c).

Omitted harmonic analysis: the use of ellipses following a Roman numeral (e.g., I …) indicates the omission of harmonic analysis either for the rest of the passage or until another Roman numeral appears (see ahead Ex. 2.21, m. 3).

Square brackets: harmonies placed within square brackets can mean either (1) an additional level of harmonic subordination within a prolongational or sequential progression (see ahead Ex. 11.15, mm. 10–11, and Ex. 12.15, mm. 80–83) or (2) an alternative harmonic interpretation (see ahead Ex. 7.13, mm. 11–12).

Reviewing the Theory

Here are some exercises to help you review points of theory.

Answer These Questions

1. What are the three harmonic functions?
2. What are the three types of harmonic progression?
3. How does a subordinate harmony relate to a prolonged harmony?
4. Which harmony most typically substitutes for a tonic?
5. Why are the three augmented-sixth chords related to the dominant of the dominant?
6. What is the fundamental difference between a neighboring chord and a passing chord?
7. Is the progression I–V–I prolongational or cadential?
8. What type of progression results when the final tonic of an authentic cadential progression is replaced by some other harmony?
9. What is the standard way of embellishing a cadential dominant?
10. What is the difference between an ultimate dominant and a penultimate one?

True or False?

1. The cadential six-four functions as a dominant harmony in root position.
2. Harmonic prolongation through pedal points involves a pedal in an inner voice.
3. An incomplete cadential progression is "weaker" than a complete cadential progression.
4. The dominant harmony of a cadential progression must first appear in root position, but it may then shift to first or second inversion.
5. An individual harmony may belong to both the end of one progression and the beginning of another.
6. The submediant harmony VI functions as a pre-dominant when progressing directly to the dominant.
7. A prolongational progression must end with the prolonged harmony.
8. The harmonies of a sequential progression may be embellished with other, subordinate harmonies (usually having a dominant function).
9. The initial tonic of a cadential progression is typically embellished by V_3^4.
10. The ultimate dominant of a half-cadential progression may not contain a dissonant seventh.

Multiple-choice Questions

Choose a letter (there may be more than one) that correctly answers the question.

1. Which techniques are especially associated with harmonic prolongation?
   a. Passing chords
   b. Consistent root motion among the harmonies
   c. Pedal point
   d. The functional succession tonic, pre-dominant, dominant, and tonic
2. Which harmonic succession represents an incomplete cadential progression?
   a. Initial tonic, pre-dominant, dominant (ultimate)
   b. Initial tonic, pre-dominant, final tonic
   c. Pre-dominant, dominant, final tonic
   d. Initial tonic, dominant (ultimate)
3. Which harmony can function as a cadential dominant?
   a. VII^7
   b. V^7
   c. V$_2^4$
   d. V$_3^4$

4. Which sequential progression is infrequently used in the classical repertory?

    a. Ascending stepwise
    b. Descending third
    c. Ascending fifth
    d. Ascending third

Examples for Analysis

Analyze the harmonies in Examples 1.23–1.26.

Guidelines

- In general, use the system of harmonic analysis recommended by your instructor.
- Use parentheses to represent harmonic subordination, especially within pedal points and sequences. Local neighboring, passing, and substitute chords can also be placed in parentheses, but many times it is best not to bracket them in order better to project the harmonic rhythm of the passage. (The use of parentheses in prolongational progressions is usually a matter of interpretation; there is often no one correct analysis.)
- Use a horizontal square bracket to embrace the fundamental harmonies of a cadential progression.
- Do not place the fundamental harmonic functions of the cadential progression in parentheses.
- Indicate sequential progressions by placing the abbreviation *seq.* to the left of the initial harmony of the sequence. Place the remaining harmonies of the sequence, except the final one, in parentheses.
- If the passage modulates, try to identify a "pivot" harmony that can function diatonically in both the original and the new key.

EXAMPLE 1.23   Mozart, Piano Sonata in C, K. 545, ii, 1–8

EXAMPLE 1.24   Beethoven, Piano Sonata in G, Op. 79, iii, 1–8

EXAMPLE 1.25   Mozart, String Quartet in B-flat, K. 458, ii, 1–8

EXAMPLE 1.26   Mozart, Rondo in F, K. 494, 95–102

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Conventional Theme Types

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The Sentence

The *sentence* is undoubtedly the most important *theme type* in classical music. The majority of *thematic units* in this repertoire are structured either as sentences or in ways that resemble the sentence in many respects.

TAMING THE TERMS

Theme. *In your study of classical form, you will be asked to learn many terms, some of which will be new or unfamiliar. Many others, though recognizable, may be employed in ways that differ from what you are used to. The "Taming the Terms" text boxes help you sort out and clarify the specific meanings of the terms. Using terms correctly is an important part of learning how to analyze classical form.*

The term theme *may prove to be particularly problematic. In popular usage—among musicians and nonmusicians alike—a "theme" usually stands for a highly recognizable melody or "tune," the part of a piece that we tend to whistle or hum when we want to bring the music to mind. Traditional theories of form often number the themes found in a movement, and so they may speak of the opening melodic idea as the "first theme."*

In this book, theme *has an entirely different meaning. Here it will refer to a complete formal unit, which includes its particular melodic-motivic content, its accompanimental texture, and its supporting harmonic progressions. A theme is normally brought to a close by a genuine cadence of some kind. Themes that begin a movement typically fill eight measures of music. But we will see that many themes, especially ones that occur later in the movement, are much longer.*

The Basics

The simple sentence, an 8-m. structure, begins with a 2-m. *basic idea* that prolongs tonic harmony. The basic idea is then immediately repeated, either with the same harmonization or with a version of the idea that begins with dominant harmony. The basic idea and its repetition combine together to make a 4-m. *presentation phrase*, which continues to prolong the tonic.

The open-ended quality of the presentation sets up strong expectations for a 4-m. *continuation phrase,* which can typically feature a shorter unit (in m. 5) that is immediately repeated (in m. 6) along with an acceleration of the harmonic rhythm. The phrase ends with a *cadential idea* in mm. 7 and 8, which brings closure to the entire sentence.

From a more "top-down" perspective, we can say that the sentence is an 8-m. *theme* built out of two *phrases*: a 4-m. presentation phrase, followed by a 4-m. continuation phrase. The presentation phrase itself is built out of two *ideas*: a 2-m. basic idea and its repetition, with the continuation phrase consisting of shorter fragments and a concluding 2-m. cadential idea.

As our first example of this theme type, let us briefly look at the main theme beginning Beethoven's first piano sonata, perhaps the most exemplary sentence in the entire classical repertory.

> Example 2.1: the sentence begins with a 2-m. basic idea, supported by tonic harmony. The idea is repeated, now harmonized by the dominant, to create a 4-m. presentation phrase. A subsequent continuation brings a 1-m. fragment in

EXAMPLE 2.1   Beethoven, Piano Sonata in F minor, Op. 2, No. 1, i, 1–8

m. 5, which is repeated in m. 6. As well, the harmonic rhythm speeds up in these measures, compared to the rate of harmonic change in the presentation phrase. The theme closes with a 2-m. cadential idea that creates a half cadence on the downbeat of m. 8.

SOME HISTORICAL BACKGROUND

Sentence. *The sentence seems to have been first identified as such by the great Austrian composer-theorist Arnold Schoenberg early in the 20th century.[1] It is indeed astounding that a formal type used with such frequency throughout the 18th and 19th centuries remained undiscovered until the era of tonal composition was largely over.*

When discussing the sentence form, Schoenberg, as well as his many students, illustrated it first with the opening of Beethoven's Op. 2, No. 1.

We have seen that the sentence comprises two phrases. Yet from another point of view, we can speak of the sentence as containing three *formal functions*, termed *presentation, continuation,* and *cadential.*

1. Presentation function articulates a powerful sense of "beginning" the theme.
2. Continuation function expresses the sense of "being in the middle" of the thematic process.
3. Cadential function creates the necessary conditions for "ending" the theme.

The relation of these three formal functions to the two phrases of the theme is somewhat complicated. Since the first phrase contains presentation *function* exclusively, we can easily enough label it a "presentation phrase," thus recognizing its unique formal function.

The second phrase, however, combines together (or *fuses,* to use the technical term) continuation and cadential functions. For reasons of practicality, it seems desirable to use a single word to describe this second phrase. The decision to label it a "continuation phrase" is motivated by the fact that the continuation function is usually more salient throughout the entire phrase than is the cadential function, which does not normally appear until later in the phrase.

The terms presentation and continuation are thus used in two different, but complementary, ways: (1) to identify the individual *phrases* of the sentence; and (2) to label the first and second *formal functions* of the sentence.

Later on in the text, we discuss some situations in which *cadential* can be used to label a phrase as well as a function. For now, however, we can observe

that the final *idea* of the sentence can be identified by its unique formal function as a "cadential idea."

Presentation Phrase

A presentation phrase begins with a 2-m. *basic idea.* The first appearance of the basic idea emphasizes tonic harmony, usually in root position. For that reason, we can speak of a *tonic version* of the basic idea. The basic idea is itself made up of individual *motives*; these may eventually become detached from the idea and developed later in the theme.

The basic idea is then repeated, either by restating the tonic version again, a process that can be termed *exact repetition*, or by bringing a *dominant version* of the basic idea, a process termed *statement-response repetition.* (A third, less common way of repeating the basic idea—sequential repetition—is discussed later in the chapter.)

The underlying harmony of the entire presentation phrase is tonic prolongational; the lack of a distinct cadential progression within the phrase prohibits the formation of a cadence to end the phrase.

Continuation Phrase

In the continuation phrase, continuation function *destabilizes* the harmonic, tonal, and rhythmic processes established in the presentation, and cadential function brings closure to the theme.

Continuation function is characterized by four processes:

1. Phrase-structural *fragmentation;* that is, a reduction in the length of the constituent units of the phrase (relative to the prior phrase)
2. An acceleration in the rate of harmonic change
3. An increase in surface rhythmic activity, such as the use of shorter durational values (compared to the prior phrase)
4. Sequential harmonic progressions (with the added possibility of *model-sequence* technique)

At least one, but often a number, of these characteristics will be found in a continuation phrase.

A continuation phrase can end with any one of the three basic cadences: most often a *perfect authentic cadence* (PAC), sometimes a *half cadence* (HC), rarely an *imperfect authentic cadence* (IAC). The final unit of the phrase, the cadential idea, is supported by a cadential progression. The melodic-motivic material of the theme is often *liquidated,* that is, systematically eliminated, toward the end of the continuation phrase, such that the content of the cadential idea is fairly formulaic, rarely resembling the basic idea.

Let's return to our opening example in order to illustrate in greater detail the ideas just discussed.

Example 2.1: the opening basic idea brings the fundamental melodic material of the theme. Within this basic idea, we can readily identify two motives (labeled "a" and "b"): the first, an ascending arpeggio in quarter notes, and the second, a "turn figure" featuring triplet sixteenth notes.

When it first appears, the basic idea is fully grounded by tonic harmony in root position. We can thus speak of a tonic version (or *statement*) of the basic idea. A dominant version (or *response*), supported by a dominant seventh in first inversion (V^6_5), occurs in the following two measures. Taken together, the two appearances of the basic idea form a presentation phrase.

When the dominant resolves to tonic at the beginning of m. 5, we see that a complete prolongation of tonic harmony supports the two appearances of the basic idea. A presentation is thus defined not only by its melodic-motivic content but by its harmonic organization as well.

By repeating the basic idea, the composer sets up strong expectations for a continuation of some kind. In the second half of the theme, we can recognize three main features of continuation function:

1. *Fragmentation*: **m. 5 brings a 1-m. unit that is repeated in m. 6. Since the size of the units in the preceding presentation was two measures in length, the reduction in size to 1-m. units creates fragmentation of the grouping structure.**
2. *Harmonic acceleration*: **compared to the presentation phrase, where the harmony changes every two measures, the continuation brings a steady increase in the rate of harmonic change throughout the phrase.**
3. *Increased rhythmic activity*: **by largely eliminating the ascending quarter-note motive "a" (the leaping grace note is all that remains of that motive), the focus on the turning motive "b" (with its triplet sixteenths) at the beginning of the continuation results in greater overall activity of the surface rhythms.**

The final two measures of the phrase bring a cadential idea, supported by the cadential progression I^6–II^6–$V\left(\begin{smallmatrix}6&5\\4&3\end{smallmatrix}\right)$. Since the final harmony of the progression is dominant, the theme concludes with a half cadence.

Note that the cadential idea grows naturally out of the preceding measures: the continuational processes of fragmentation, harmonic acceleration, and increased surface-rhythm activity extend all the way to m. 8. Thus the two functions of continuation and cadential are *fused* within the single "continuation phrase."

Let's Practice

Example 2.2 illustrates another 8-m. sentence. Answer these questions.

1. What is the term for the opening 2-m. unit?
2. What "version" of the basic idea is found in mm. 11–12?
3. What kind of harmonic progression underlies the opening four bars?
4. What is the name of the first 4-m. phrase?
5. What continuational features are found in the second 4-m. phrase?
6. What is the term for the final 2-m. unit?
7. With which cadence type does the theme close?

EXAMPLE 2.2 Mozart, Rondo in D, K. 485, 9–16

More Details

Basic Idea

Most classical themes begin with a 2-m. basic idea. The idea itself usually contains various motives. As a 2-m. unit, the basic idea is *small* enough to group with other ideas into phrases and themes, but *large* enough to be broken down (fragmented) in order to develop its constituent motives. Indeed, the opening material of a classical theme typically undergoes integration into larger formal units as well as disintegration into smaller motivic elements. The 2-m. basic idea is just the right size to act as the starting point for both of these processes.

Melodic Content

The melodic content of a basic idea can often be described as *characteristic*, as opposed to *conventional*. A characteristic melody uniquely defines a theme

as an individual, one different from other themes. A conventional melody, on the contrary, is relatively interchangeable from piece to piece. A characteristic melody will normally appear at the very beginning of a thematic unit, while a conventional melody is typically used for interior passage work or cadential closure.

The melody of a basic idea typically projects an "opening up" of melodic space through ascending gestures, as in Example 2.1. (Ex. 2.2 is somewhat exceptional in that the melodic contour of the basic idea has a "closing down" character; the sense of opening up is thus delayed until the start of the continuation phrase.)

Now and then, a potentially confusing situation arises when the 2-m. basic idea itself consists of a repeated 1-m. motive.

EXAMPLE 2.3   Beethoven, Piano Sonata in G, Op. 14, No. 2, i, 1–4

Example 2.3: the 2-m. basic idea is made up of a 1-m. motive that is repeated exactly. The full idea is then repeated sequentially up a step in mm. 3–4, as is discussed shortly.

It might be tempting in such cases to consider the 1-m. motive as the real basic idea, but such an interpretation results in a misleading analysis of the overall theme.

Although it is easy to focus attention on the melody, it is important to understand that the basic idea is the *complete* unit of music in all of its parts, including its harmonic, rhythmic, and textural components. *The basic idea is much more than just its "tune."*

Boundaries of the Basic Idea

When we say that the basic idea is a 2-m. unit, this does not mean that its literal duration is two complete measures of music. Sometimes the idea is slightly longer or shorter. It is more accurate to say that the basic idea embraces *two metrical downbeats.*

EXAMPLE 2.4 Haydn, String Quartet in C, Op. 33, No. 3, ii, 1–2

Example 2.4: the opening basic idea lasts one beat more than two full measures. Yet we still identify a "2-m. basic idea," as defined by the presence of two metrical downbeats (shown by the arrows). (See Chap. 5, Ex. 5.26, for the full theme that follows from this basic idea.)

Sometimes, the basic idea lies fully within the bar lines of the first two measures, as in Example 2.2. More often than not, the basic idea begins with an *upbeat* (or *anacrusis*) and finishes before the end of the second measure, as shown in Example 2.5.

EXAMPLE 2.5 Haydn, Piano Sonata in B-flat, H. 41, ii, 1–4

Determining the exact boundaries of the basic idea (or all grouping units, for that matter) is always a matter of interpretation and may legitimately vary according to the listening habits of the individual musician. The "phrasing" (or slurring) notated by the composer can sometimes be a guide, but it can often be misleading, since the classical composers tend to place slur marks within the bar lines as a matter of convention.

Use your best musical instincts when bracketing the boundaries of the basic idea, and avoid letting the bar lines overly influence your decision.

Repetition of the Basic Idea

In most formal contexts, important melodic-motivic material is stated more than once. When musical ideas are restated immediately (that is, without any intervening material), then we speak more specifically of a *repetition*. The basic idea is thus repeated within the presentation phrase of the sentence.

We can identify three basic types of repetition: *exact*, *statement-response*, and *sequential*. This distinction is essentially based on the *harmonic* context of the restated units, not on their *melodic* content.

Exact Repetition

In this type, the underlying harmony of the restatement is essentially the same as the original (allowing for minor variants). Note that the melody of such an exact repetition may be varied, even transposed to other scale degrees that are supportable by the original harmony of the basic idea.

Typical harmonic plans in exact repetition are shown in Figure 2.1.

basic idea			exact repetition		
I_____			I_____		
I_____	V_____		I_____	V_____	
I_____	V_____	I_____	I_____	V_____	I_____

FIGURE 2.1   Harmonic patterns for exact repetition

EXAMPLE 2.6   Mozart, Piano Sonata in C, K. 330, i, 1–4

Example 2.6: the opening 2-m. basic idea, firmly set in tonic harmony, is repeated in mm. 3–4 with the same harmonic support. The melodic content of this exact repetition is identical except for the slight rhythmic ornamentation at its beginning.

Example 2.5: the basic idea and its repetition are supported entirely by tonic harmony (with neighboring dominants). Because the harmonic context remains the same, we identify an exact repetition here even though the melody of the repeated version lies a third higher than the original version.

EXAMPLE 2.7   Beethoven, Bagatelle in G minor, Op. 119, No. 1, 1–4

g: I^6 ———— $(V^4_3$ I$)$ V^6 I $(V^6$ It$^{+6})$ V

Example 2.7: in the repeat of the basic idea, the melody is transposed down a third. But the harmonic support of both versions is essentially the same (I–V), so we still speak of an exact repetition.

Statement–response Repetition

In this type, the *statement* emphasizes tonic harmony, whereas the *response* emphasizes dominant. The statement and response can also be termed a *tonic version* and a *dominant version* respectively. The melody of the response is frequently transposed stepwise to accommodate the change in harmonic support.

The differing harmonic emphases of the two versions are signaled primarily by their *initial* harmonies: the statement begins with I, the response with V.

A variant of this type sees the subdominant (IV) substituting for the dominant to create the response.

Some typical harmonic plans are shown in Figure 2.2.

statement		response	
I _____		V _____	
I _____	V_____	V _____	I _____
I _____	II (or IV) _____	V _____	I _____
I _____		IV _____	

FIGURE 2.2   Harmonic patterns for statement-response repetition

The following examples illustrate the statement-response repetition of a basic idea within a presentation phrase.

EXAMPLE 2.8 Mozart, Violin Sonata in A, K. 402, i, 1–4

Example 2.8: the "statement" form of the basic idea is supported exclusively by tonic harmony; the "response" form, by dominant.

EXAMPLE 2.9 Mozart, Piano Sonata in G, K. 283, i, 1–4

Example 2.9: the "tonic" version (statement) moves from I to V, the "dominant" version back from V to I. Note that the two versions are identified by their *initial* harmonies.

EXAMPLE 2.10 Mozart, String Quartet in C ("Dissonance"), K. 465, i, 23–26

Example 2.10: the tonic version of the basic idea moves to an embellishing pre-dominant (IV) prior to the appearance of V⁶ at the start of the dominant version. Observe that the melody of the response rises by a step; this is a typical melodic alteration in statement-response repetition.

EXAMPLE 2.11   Mozart, Piano Sonata in C, K. 309, iii, 1–4

Example 2.11: the response version is supported by subdominant harmony in place of dominant.

Sequential Repetition

In this type, the original, also termed a *model*, is completely transposed to another scale degree to create a *sequence*. Thus sequential repetition can also be termed *model-sequence technique*. Both the melody and the harmony (as well as all accompanying material) are transposed by the *same* interval and direction (for example, stepwise ascending).

Some typical harmonic plans are shown in Figure 2.3.

model	sequence
I _____	II _____
I _____	VI _____

FIGURE 2.3   Harmonic patterns for sequential repetition

Because the overall harmonic support of a presentation phrase must be tonic prolongational, sequential repetition (with its implied sequential progression) is rarely used at the beginning of the sentence. When it is, the sense of a broader tonic prolongation usually emerges at some later point within the theme.

Examples 2.3 and 2.12 illustrate the sequential repetition of a basic idea within a presentation phrase.

Example 2.3: almost all of the basic idea—its melodic and harmonic components—is transposed by an ascending step in the sequential repetition. (Only the bass voice remains fixed on the tonic scale degree.)

EXAMPLE 2.12   Beethoven, Violin Sonata in A, Op. 30, No. 1, ii, 1–4

Example 2.12: the basic idea is repeated sequentially down a third.

STATEMENT-RESPONSE VS. SEQUENTIAL

You can't tell the type of repetition *by looking at the melody alone. Rather, you must consider the* harmonic context *in order to make an accurate identification.*

It is especially easy to confuse statement-response *repetition and* sequential *repetition when the melody is transposed by a step.*

Compare Examples 2.10 and 2.3. Both see their melody rise by a step. But the first case is a statement-response repetition because the harmony changes from I to V. The second case is sequential, since both the melody and the underlying harmony are transposed up by a step.

Tonic Prolongation

By definition, a presentation phrase is supported by a progression that prolongs tonic harmony (usually in root position). The boundaries of the prolongation often enough occur within the scope of the presentation itself (as in Exs. 2.6 and 2.10).

If a response version of the basic idea is supported entirely by dominant, then the overall tonic prolongation may not be completed until the arrival on I at the downbeat of the continuation phrase (as in Ex. 2.1).

Every now and then, a tonic prolongation consisting of a number of harmonies may not return to its opening tonic until after the continuation phrase is already under way.

EXAMPLE 2.13 Beethoven, Piano Sonata in G, Op. 14, No. 2, i, 1–8

Example 2.13: the sequential repetition of the basic idea on II^4_2 pushes the remaining harmonies of the prolongation (V^6–I) into the continuation phrase. The arrow at the downbeat of m. 6 shows the completion of the overall tonic prolongation.

Presentation Phrase vs. Presentation Function

The opening unit of the sentence is a *phrase* insofar as these four measures group together to form a coherent whole, which distinguishes itself from the following group of measures (the continuation phrase). This phrase, a constituent part of the *grouping structure* of the sentence, serves a distinct *formal function*, also termed *presentation*.

Presentation function creates a solid structural beginning for the theme by establishing its melodic-motivic content within a stable harmonic-tonal environment. The initial statement of the basic idea sets forth the fundamental material of the theme, and the immediate repetition of the idea fully "presents" it as such to the listener. The underlying tonic prolongational progression provides the requisite harmonic stability.

The basic idea is also an initiating formal function, one that resides at a lower level in the structural hierarchy. When the basic idea is repeated, the sense of formal initiation is made all the stronger. Thus presentation function,

which embraces two statements of the basic idea, can be considered to *enhance* the overall sense of formal initiation.

In many cases, the label that we give to an idea or a phrase reflects its formal function, as is the case with basic idea and presentation. But the labels "idea" and "phrase" on the one hand, and "basic idea" and "presentation" on the other hand, refer to different phenomena: the former are terms of *grouping structure*, and the latter are terms of *formal function*. This distinction between grouping structure and formal function will be developed more extensively as we proceed in our study of classical form.

FOCUS ON FUNCTION

Formal Functionality and Musical Time. *The concept of* formal function *is central to the theory and analysis of classical form proposed in this textbook. Since it is not an easy term to define, the "Focus on Function" text boxes will help to clarify the concept.*

Most fundamentally, formal functionality relates to some general notions of time. In many situations in our life, we can experience the sense of beginning *something, of* being in the middle *of something, or of* ending *something.*

For example, you are now at the beginning of your course on musical form, and at some point you will experience the sense of being in its middle (especially around the time of a midterm exam). Eventually, you will come to the end of the course (with great success, we hope!).

These general temporalities can also apply to passages of music. Within a theme, some portion of the music expresses the sense of initiating the theme; other portions suggest being in its middle; and other portions bring the theme to a close. The specific terms that we apply to these portions of music refer to the formal functions *of the theme.*

At this point, we have identified three phrase *functions of the sentence theme type: presentation, continuation, and cadential. And we have identified these functions as initiating, medial, and concluding. In addition, we have also recognized two* idea *functions—basic idea and cadential idea— that operate at a lower level in the structural hierarchy of the work. These functions express a sense of formal beginning and ending respectively.*

Continuation Function

The presentation phrase of a sentence establishes the fundamental content of the theme within a relatively stable phrase-structural and harmonic context: the units of structure are clearly defined as two measures in length, and the tonic prolongational progression creates harmonic solidity. Within the presentation, moreover, the effect of repetition combined with the absence of any cadential closure sets up strong expectations for ensuing material that will bring

something new, something that will permit the theme to acquire momentum and drive.

It is precisely the function of continuation to destabilize the formal context established by the presentation and to provide greater mobility to the theme. With continuation function, we feel that we are "in the middle" of various melodic, harmonic, and rhythmic processes; thus continuation is a *medial* formal function.

Continuation function is characterized by four compositional devices: (1) phrase-structural fragmentation, (2) acceleration in the rate of harmonic change, (3) increase in surface rhythmic activity, and (4) sequential harmonies. Although often closely related to each other within a given continuation, these are distinct and independent processes. Moreover, none of them is a necessary condition of the function.

Fragmentation

The most typical sign of continuation function is the immediate breaking down of the 2-m. unit size (established in the presentation) into smaller segments. This process of shortening the units is termed *fragmentation*.

The individual fragments are often made clear through repetition, which helps to define their boundaries. One common situation sees m. 5 of the theme becoming a fragment by virtue of its being repeated in m. 6, as in Example 2.14, or even in m. 7, as in Example 2.15. (See also Exs. 2.1 and 2.2, above.)

EXAMPLE 2.14 Mozart, Piano Sonata in C, K. 330, i, 1–8

EXAMPLE 2.15   Mozart, Piano Sonata in C, K. 309, iii, 1–8

At times, a further stage of fragmentation into half-measure units takes place in m. 7 of the theme; see Example 2.16 (see also ahead, Ex. 2.24).

EXAMPLE 2.16   Mozart, Piano Sonata in D, K. 311, iii, 1–8

Sometimes, fragmentation does not occur until after the continuation phrase has already begun.

Example 2.13: the continuation begins by opening up a large ascending melodic gap that is immediately filled in by descending scalar motion. This entire melodic process embraces the downbeats of mm. 5 and 6, so effectively the continuation begins by maintaining the same 2-m. grouping structure as in the presentation. Within m. 6, Beethoven introduces half-bar fragments (having effectively bypassed the 1-m. stage of fragmentation), which continue all the way to the cadence at m. 8.

A similar situation occurs when the continuation starts as though it were going to restate the entire basic idea for a third time, but before reaching its conclusion the idea leads into new material that brings about the fragmentation; see Example 2.17.

EXAMPLE 2.17 Mozart, String Quartet in C ("Dissonance"), K. 465, i, 23–30

FRAGMENTATION AND GROUPING STRUCTURE

The process of fragmentation exclusively concerns the length of the musical units regardless of how the melodic content of the fragments relates to the preceding material. In some cases, the fragmented units contain motives derived from the basic idea (see Exs. 2.1 and 2.15); in other cases, the fragments bring entirely new melodic-motivic material (Exs. 2.2, 2.14, and 2.16).

To make this point more graphic, think of the cereal section of your local supermarket. The many cereals come packaged in boxes of varying size. If we take down from the shelf random boxes of different sizes, it might happen that the boxes contain the same cereal in some cases, but not in other cases. The difference in the size of the boxes is akin to the "grouping structure" of a theme, such that the larger boxes are like a basic idea and the smaller ones are like fragments. The contents of the boxes, however, are akin to the melodic-motivic materials of the basic ideas and the fragments.

In short, fragmentation relates exclusively to the "packaging" of the material and can be identified if the grouping units become shorter no matter what the melodic-motivic relationships among the groups may be.

Acceleration of Harmonic Rhythm

Continuation function typically brings a faster rate of harmonic change compared to that of the presentation. In some cases, this harmonic acceleration is evident right on the surface of the music, especially when a single harmony supports each basic idea and each fragment; see Example 2.15.

At times, however, it can be tricky to determine whether or not the harmonies of the continuation change at a faster rate, especially when the basic idea itself contains multiple harmonies. In such cases, the harmonies within the basic idea may be merely ornamental and may not seem to affect the broader sense of harmonic rhythm, which seems to speed up in the continuation phrase.

EXAMPLE 2.18   Beethoven, Bagatelle in G minor, Op. 119, No. 1, 1–8

Example 2.18: each statement of the basic idea might initially be seen to contain four harmonies. But we have the impression that the second and third harmonies serve more to embellish the first, as shown by their being placed in parentheses in the analysis. As a result, the effective harmonic rhythm of the presentation phrase is one harmony per measure. The situation changes in the continuation, where we quite clearly experience the sense of two harmonies in each of mm. 5–7, thus an acceleration in relation to the presentation phrase.

Even if the continuation phrase brings ornamental harmonies, we may nonetheless want to recognize harmonic acceleration as a principal grounds for identifying continuation function.

EXAMPLE 2.19   Mozart, Violin Sonata in A, K. 402, i, 1–8

Example 2.19: the continuation phrase begins with a new 2-m. unit (mm. 5–6), thus maintaining the grouping structure already seen in the presentation. To compensate for the absence of fragmentation, Mozart accelerates the harmonic rhythm within these measures.

To be sure, the IV chord introduced on the third beat of m. 5 (and preceded by its own dominant) is a neighboring chord within a root-position tonic prolongation; nevertheless, in comparison to the lack of any ornamental chords within the presentation, this embellishing of tonic in the continuation effects a sense of greater harmonic activity.

Simply to ignore the subdominant harmony of mm. 5–6 in an analysis of the harmonic rhythm is to miss an important way in which the composer expresses continuation function despite the lack of fragmentation.

As the previous two examples show, identifying harmonic acceleration is not a mechanical procedure, but rather one that relies on a good deal of musical judgment and experience. Perhaps for that reason, there are few examples in the literature where harmonic acceleration alone is responsible for the sense of continuation function; rather, that process is used in conjunction with the other continuational criteria (fragmentation, faster surface rhythm, sequential progressions).

Increase in Surface Rhythmic Activity

Both fragmentation and harmonic acceleration bring about a general sense of increased rhythmic action that is appropriate for giving the continuation a sense of thematic mobility, of its truly seeming to be "in the middle" of things. As well, such rhythmic animation can be created by the durational values of the individual events lying at the very surface of the musical texture. The durational patterns formed by the attack points of every note in a passage create varying rates of activity. In comparison to the presentation, continuation function frequently features shorter note values (or a greater quantity of the same note values), hence an increased motion in the surface rhythm.

> **Example 2.17: the eighth-note motive of the basic idea comes to dominate the rhythmic texture of the continuation phrase, thus giving rise to accelerated surface rhythms.**

> **Example 2.18: the change from predominantly quarter notes in the presentation to eighth notes in the continuation projects an obvious acceleration in rhythmic activity.**

Increasing the surface rhythm is particularly effective in the absence of harmonic acceleration, as seen in Example 2.16.

Harmonic Destabilization; Sequential Progressions

Continuation function is typically supported by one or more tonic prolongational progressions, though the tonic prolongation of the continuation may be less stable than that of the presentation. Compare, in Ex. 2.1 above, how the presentation phrase prolongs root-position tonic with a neighboring V^6_5, while the continuation moves the tonic from root position to the less stable first inversion via a passing V^4_3.

A particularly effective way of destabilizing the harmony is through the use of sequential progressions.

EXAMPLE 2.20   Haydn, Piano Sonata in B-flat, H. 41, ii, 1–8

> Example 2.20: at the start of the continuation, the V_3^6/II (which substitutes for an expected I) initiates a descending-fifth sequential progression, whose completion on I at the end of m. 6 leads to the cadential progression that closes the theme.

At times, the sequential progression may support genuine model-sequence technique (sequential repetition).

EXAMPLE 2.21   Beethoven, String Quartet in F, Op. 135, iii, 3–10

Example 2.21: the continuation phrase brings a descending-fifth sequential progression (see the root analysis) that leads to tonic in the second half of m. 9. This progression supports the fragmentation, whose individual units are repeated sequentially (model-sequence technique).

Sequential harmonies appear infrequently in simple 8-m. sentences, especially those that function as a main theme. In such a formal context, the composer does not normally want to overly destabilize the harmonic environment so early on in the movement.

But there is another reason for the rarity of sequential harmonies in sentences lasting only eight bars: there is often too little "room" between the onset of the continuation and the requisite cadential progression at the close of the theme to include enough harmonies to make the sequence palpable. As a result, sequential harmonies tend to be used when the continuation function is *extended* (see Chap. 5), and thus more space is available for projecting the sense of sequence.

TAMING THE TERMS

Sequential Progression vs. Model-Sequence Technique. *It is important to distinguish the general situation of sequential progressions of harmony from the specific case of model-sequence technique.*

Harmonic sequence, as discussed in Chapter 1, is a particular way of arranging a succession of harmonies according to a consistent root motion (such as descending fifths, or ascending steps).

Model-sequence technique is a form of repetition: *a given unit (model) is repeated through a complete transposition of its content (sequence).*

Model-sequence technique will always be supported by an underlying sequential progression. But it is possible to encounter harmonic sequences without there necessarily being an associated process of model-sequence technique, as seen in Example 2.20.

Cadential Function

The sentence closes with a cadence, a rather formulaic melody that normally brings a falling contour and that is supported by a cadential harmonic progression.

Correctly identifying cadences is one of the most important tasks in formal analysis. Cadences define the principal goals of thematic organization since they are responsible for effecting closure of the fundamental melodic and harmonic processes within themes.

Basic Cadence Types

There are only three basic cadences in tonal music: two kinds of *authentic* cadence and one *half* cadence (HC).

Authentic cadences are distinguished on the basis of the final scale degree in the soprano voice:

- A *perfect* authentic cadence (PAC) ends with the tonic scale degree in the soprano.
- An *imperfect* authentic cadence (IAC) ends with the third degree.

THE MYTH OF THE PLAGAL CADENCE

Almost every textbook on music defines a "plagal cadence" as the motion from IV to I. But in fact, this harmonic motion does not create a genuine cadence in music of the classical style or in any music of the 18th and early 19th centuries. (There are a small number of late-19th-century works where a kind of plagal cadence can be said to arise.)

Most passages that theorists have called plagal cadence are not real cadences as such, but rather are postcadential codettas *(see Chap. 5).*

There are no genuine plagal cadences in music of the classical style!

The melodic content of cadences is normally conventional, in that many of the same gestures are used in piece after piece. The general melodic contour of a cadence is descending, thus reflecting the original sense of cadence as "to fall" (Latin, *caderer*). In this sense, a cadential melody distinguishes itself from the melody of a basic idea, which is more characteristic or idiosyncratic and which often ascends in order to open up melodic space.

Put somewhat differently, cadential material often arises when the composer systematically *liquidates* the characteristic melodic and rhythmic motives introduced in the basic idea. Strictly speaking, any elimination of a characteristic motive represents liquidation, and thus in cases in which the continuation phrase begins with ideas that contrast with the presentation (see, for instance, Exs. 2.2 and 2.13), complete liquidation takes place immediately. But liquidation is more palpable as a process when the elimination is gradual, reaching its completion in the cadential function.

LIQUIDATION

Schoenberg was the first to introduce the notion of melodic-motivic liquidation, which he defined as follows: "Liquidation *consists in gradually eliminating characteristic [motivic] features, until only uncharacteristic ones remain,*

(continued)

Liquidation continued:

which no longer demand a continuation. Often only residues remain, which have little in common with the basic motive."[2]

Liquidation is especially associated with cadential formal function, but it may also occur within continuation function as well. Indeed, phrase-structural fragmentation often results in a degree of motivic liquidation, especially when the fragmented unit eliminates some motivic content of the original basic idea.

Example 2.22 shows some standard cadence formulas used in the classical style.

EXAMPLE 2.22 — Classical cadences: (a) Beethoven, Piano Sonata in C, Op. 2, No. 3, iii, 15–16; (b) Haydn, Piano Trio in D, H. 16, iii, 7–8; (c) Mozart, Piano Sonata in B-flat, K. 333, ii, 20–21; (d) Haydn, Piano Sonata in B minor, H. 32, ii, 9–10; (e) Haydn, Piano Sonata in D, H. 24, i, 3–4; (f) Mozart, Piano Sonata in F, K. 332, i, 211–12; (g) Haydn, Piano Sonata in A, H. 30, iii, 7–8; (h) Beethoven, Piano Sonata in C minor, Op. 10, No. 1, iii, 3–4.

Example 2.22: (a) A simple PAC with a basic melodic descent from $\hat{3}$ to $\hat{1}$. The complete harmonic progression begins with tonic in root position.

(b) A PAC, whose melodic descent from $\hat{5}$ to $\hat{1}$ is first supported by an initial tonic in first inversion.

(c) The $\hat{5}$–$\hat{1}$ descent of this PAC is highly decorated.

(d) This conventional PAC figure, beginning on the leading tone, is known today as the galant cadence, since it was used regularly by composers of the "preclassical" or galant style.

(e) An IAC, whose melodic descent from $\hat{6}$ to $\hat{3}$ relates to the galant pattern that Robert Gjerdingen[3] has identified as a "Prinner."

(f) The melodic descent appears as though it were going to reach $\hat{1}$ but turns up to $\hat{3}$ to create an IAC.

(g) A simple HC; the incomplete progression I–V is commonly employed in half cadences.

(h) This version of an HC is typically called a phrygian cadence, due to the characteristic half-step motion in the bass. During the Baroque era, this cadence type normally saw the use of a pre-dominant IV⁶; in the classical style, the chromatic augmented-sixth (Italian or French) more typically appears.

Annotating Cadences

Correctly annotating the basic cadences in the score can sometimes present difficulties. As a general rule, you are encouraged to place the label PAC, IAC, or HC (enclosed in a box) at that place where *the final harmony of the cadential progression first appears*. This is the moment that marks the *cadential arrival,* the point in time when we say, "Here is the cadence; the thematic process has achieved its fundamental closure."

This moment of cadential arrival can sometimes seem confusing when the sense of melodic closure does not correspond to that of harmonic closure. Very often, the melody does not reach its goal until after the final cadential harmony has appeared.

Example 2.22g: the final harmony of the half cadence is marked by the dominant with six-four embellishment (the four being implied); the resolution of the six-four to five-three brings about the melodic closure, but harmonic closure has already been achieved when the root of the dominant appears on the downbeat of the measure. The symbol for the HC is thus placed at the beginning of the bar, not when the suspensions are resolved.

(See Exs. 2.15 and 2.20 for a similar use of the cadential six-four to mark the moment of half-cadential arrival.)

A similar situation arises with the "triple suspension" configuration that often elaborates an authentic cadence (see ahead, Ex. 3.9, m. 8). In this case, the appearance of the root of the tonic in the bass voice signals the moment of cadential arrival, even while the upper voices find their melodic resolutions after this point in time.

TAMING THE TERMS

Cadence and Cadential. *The terms* cadence *and* cadential *can be used in at least three distinct ways.*

1. *We speak of the* cadential arrival *as the specific moment in time that marks the structural end of a theme. More simply, this is "the cadence," the point where a symbol such as PAC would be placed in the analysis (as discussed in the section "annotating cadences").*
2. *We speak of* cadential function *as the time span leading up to this point of arrival; that is, the idea or phrase within the theme that communicates to the listener that "the cadence" is forthcoming. This passage is cadential in the sense that it creates the requisite conditions for thematic closure by means of specific harmonic, melodic, and phrase-structural devices.*
3. *We speak of a* cadential progression *as a particular type of harmonic progression used to confirm a tonality (see Chap. 1). A cadential progression is required in order to have cadential function, but the progression may also be used in formal contexts that do not necessarily give rise to genuine cadences (such as in codettas, to be discussed in Chap. 5). Be careful not to confuse the three kinds of cadential progression (authentic, half, and deceptive) with the three types of basic cadence (PAC, IAC, and HC): the basic cadences employ either the authentic or half-cadential progression, and the deceptive cadential progression is used for various cadential deviations (also to be discussed in Chap. 5).*

Cadence in the Sentence Form

The sentence can end with any of the three basic cadence types (PAC, IAC, and HC).

The boundaries of the cadential function are almost always defined by the boundaries of its supporting cadential progression.

The cadence of the sentence typically starts at m. 7 (or with its upbeat), which is where the cadential progression tends to begin. The moment of cadential arrival usually falls on the downbeat of m. 8, though more rarely the final harmony of the progression may conclude later within that bar (see ahead, Ex. 2.23, m. 8).

In some cases, we can recognize a distinct cadential idea in mm. 7–8 that seems to stand apart from the preceding continuational materials (see Exs. 2.14, 2.19, and 2.20). At other times, the cadence emerges directly out of the melodic-motivic content of the continuation (see Exs. 2.16, 2.17, and 2.18).

Presentation Phrase and Cadence

Now that we have a good sense of the notion of cadence, we can understand better why a presentation phrase does not end cadentially. In most cases, of

course, the end of a presentation has no capacity to create cadence because of the lack of any cadential progression.

Occasionally, however, the presentation closes with a root-position dominant resolving to a root-position tonic, a progression that has obvious cadential potential (though such a progression can also be seen as prolongational).

Beethoven, Piano Sonata in C, Op. 2, No. 3, i, 1–8

> Example 2.23: the V^7–I motion from m. 3 to m. 4 raises the possibility of seeing the presentation phrase being closed with an IAC. Countering this view is the way in which Beethoven keeps the melody active with the final leap up to C; we recognize no "falling" line typical of a cadence.

But there is no cadence at the end of the first phrase in the prior example—or any presentation phrase—for a more fundamental reason. Inasmuch as the basic idea itself functions to *begin* a theme, a repetition of that idea must also express the same function of beginning. Indeed, rather than bringing any sense of ending, the repetition of an opening idea actually reinforces the formal initiation. In order to effect thematic closure, an idea must be brought forward that *contrasts* with the initiating idea; it is this idea itself (assuming that it has the requisite harmonic support) that creates the sense of ending.

Many theorists teach that all phrases end with a cadence. We are learning that this is not always the case. Indeed, we now understand why the opening phrase of the sentence brings no cadential closure.

Continuation⇒Cadential; Expanded Cadential Progression (ECP)

As defined at the opening of this chapter, the second half of the 8-m. sentence combines continuation and cadential functions into one 4-m. phrase. The presence of two different functions in a single group can more technically be termed form-functional *fusion*.

Fusion poses a problem of terminology because formal units are preferably labeled according to their primary functional expression. The decision

normally to call the second half of a sentence a *continuation* phrase reflects the fact that in the majority of cases continuation function is more prominently displayed than cadential function. Not only does the phrase begin with continuation function, but also the processes of fragmentation, harmonic acceleration, and increased surface rhythm often carry on into the cadential material.

In some cases, however, the cadential component vies for equal expression with the continuation function, or even surpasses it. Cadential function acquires this greater status when a single cadential progression begins in m. 5 of the theme and is stretched out to support the entire 4-m. phrase. This *expanded cadential progression* (ECP) thus brings a more emphatic expression of cadential function to the phrase than is usually the case (as when the cadential progression first arises in m. 7 of the theme).

Even though cadential function is present from the very start of the phrase, characteristics of continuation function, such as fragmentation and harmonic acceleration, are usually found within the phrase as well.

In order to indicate the striking presence of both functions, the term *continuation⇒cadential* is employed here, where the symbol ⇒ stands for "becomes" (thus "continuation becomes cadential") and denotes a *retrospective reinterpretation* of formal function. In other words, what we expect to be a continuation phrase (following, as it does, a presentation) is understood retrospectively to be a cadential phrase based on an expanded cadential progression, a phrase that nevertheless contains continuational characteristics.

A tip on analytical notation: as an exception to the practice of indicating all cadential progressions with a horizontal square bracket, an expanded cadential progression is identified instead with the abbreviation ECP placed at the lower right of the initial harmony of the progression (this, to avoid an overly long bracket).

RETROSPECTIVE REINTERPRETATION (⇒)

Because of how listeners perceive music, we sometimes find ourselves in situations where our initial interpretation of formal functionality needs to be revised as the music moves forward in time.

In other words, as we first hear a passage, we may believe that it expresses such and such a function; but as the music continues, and we perceive more information, we may change our opinion and come to believe that a different formal function is more appropriately at hand.

This kind of retrospective reinterpretation *plays itself out in a number of contexts in classical form. It is thus useful to have a shortcut symbol to represent such situations. Following its introduction by theorist Janet Schmalfeldt, the double arrow (⇒), which is read as "becomes," has been adopted by many scholars and is employed often in this text.[4]*

The notion of retrospective reinterpretation strongly relates to that of form-functional fusion, yet the two ideas are not identical. The former concerns a dynamic process of listening, whereby we change our interpretation

(continued)

> Retrospective Reinterpretation continued:
>
> *of a functional situation in light of our hearing new musical material; the latter refers more generally to the presence of two formal functions occurring within the same grouping unit (such as a phrase). The symbol ⇒ is restricted to cases of retrospective reinterpretation, not to all situations involving fusion. In fact, a "slash" (/) is used in later chapters to indicate thematic fusion, such as the fusion of main theme and transition functions (see Chap. 14, p. 502).*

Here are some sentences featuring an expanded cadential progression supporting the entire second phrase.

EXAMPLE 2.24   Haydn, String Quartet in D minor, Op. 42, i, 1–8

Example 2.24: following a regular 4-m. presentation featuring a statement-response repetition of the basic idea, the expected continuation phrase brings obvious fragmentation (in two stages lasting through the end of m. 7) and an increased rate of harmonic change.

The entire 4-m. phrase is supported by a single expanded cadential progression. Cadential function is thus prominent within the phrase as a whole, though continuational characteristics are evident as well. The term *continuation⇒cadential* aptly describes the functional situation. (The harmony in m. 5 could alternatively be analyzed as tonic in root position, because the viola note lies literally below that of the cello; yet the sonority of the latter probably projects the real bass of the harmony.)

Note that when the abbreviation ECP is placed after the first harmony of the cadential progression, it is unnecessary (and would overly clutter the analysis) to use horizontal brackets for the rest of the harmonies of the cadential progression.

EXAMPLE 2.25:   Mozart, String Quartet in A, K. 464, ii, 1–8

Example 2.25: the second phrase is supported by an ECP and thus can be termed continuation⇒cadential. Unlike the previous example, however, continuation function is not nearly so well expressed in this phrase because of the manifest lack of fragmentation. Instead, mm. 5–6 bring a new 2-m. idea, which is repeated in mm. 7–8. A sense of continuation function is nonetheless projected by the slight increase in harmonic and surface-rhythm activity.

The final cadence of this theme is somewhat ambiguous. Hearing a PAC here is not out of the question, but it is probably best interpreted as an IAC, since the principal melodic tone in m. 8 is C♯ (resolving the repeated Ds of the previous measure); the motion down to A would thus be a melodic embellishment.

Finer Points

"Real" vs. "Notated" Measures

All of the examples of sentences that we have studied up to now are eight measures long. There are cases, however, where a composer notates what appears to be a 4-m. or 16-m. sentence. Yet in those cases, we still seem to experience the sense that the theme contains eight *real* measures of music, even though there are more or fewer *notated* measures. Two situations of a discrepancy between real and notated measures typically arise in music of the classical period.

1. In a relatively slow movement (but also often enough in a *moderato* tempo, esp. with Haydn), we may perceive that a single real measure actually occupies only half of a notated measure. We can use the formula R = ½N as a shortcut for this relationship of real (R) to notated (N) measures.

2. Triple-meter scherzo movements typically feature real measures that embrace two notated measures; thus R = 2N. A fast duple-meter outer movement may also be notated in this way.

SOME HISTORICAL BACKGROUND

"Compound Meter." *The situation of R = ½N relates to what 18th-century theorists described with their general concept of "compound meter." Somewhat different from our modern conception, a compound meter was understood to bring two simple meters together into a single measure.*

One very common situation saw two measures of a simple duple meter (2/4) combined into one measure of compound quadruple meter (4/4). In this case, the simple meter represents a "real" measure, while the compound meter is what is "notated."

18th-century theorists also observed that cadences normally occur on the downbeats of simple meters, so that in the case of compound meters the cadence may very well occur in the middle of the notated measure without violating that basic principle. In fact, a standard cue for compound meter is the regular appearance of midbar cadences.

The definitions of formal units presented in this study are given in terms of real measures. Thus the sentence form discussed in this chapter contains eight real measures, whether or not the theme is notated as four, eight, or sixteen measures. Here are examples of sentences illustrating these two situations.

EXAMPLE 2.26   Mozart, Piano Sonata in F, K. 332, ii, 1–4 (R = ½N)

Example 2.26: in this adagio movement, each notated measure seems to hold two real measures, and thus we can recognize the presence of an 8-m. sentence notated as a 4-m. theme. The presentation phrase brings another case of the response version of the basic idea built on the subdominant as a substitute for the dominant. Notice that the cadence appears in the middle of (notated) m. 4. The appearance of cadences midbar is a typical sign of R = ½N.

EXAMPLE 2.27   Beethoven, Symphony No. 5 in C minor, Op. 67, i, 6–21 (R = 2N)

Example 2.27: cases of R = 2N normally arise with fast tempo *triple* meters (as in the scherzo genre). Here, this famous theme takes the form of an 8-m. sentence notated as sixteen measures of *duple* meter. Given the *allegro con brio* tempo and the nature of the musical materials, we clearly experience each notated measure as a single "beat" of a larger real measure.

Whether or not in a given movement the sense of the real measures corresponds to the notated measures is a matter of interpretation based on a number of factors. In order to avoid confusion, *every case of a discrepancy between real and notated measures is from now on indicated in the text*. In other words, you should assume that, for all of the remaining examples, R = N unless otherwise specified to the contrary.

Modulating Sentence

All of the themes presented thus far close in the key in which they begin. Occasionally, though, the continuation phrase modulates to a new, closely related key. Most often the new key is the dominant region of the opening key (for example C major modulating to G major), though the mediant ("relative major") is frequently used if the opening key is minor (C minor to E♭ major).

EXAMPLE 2.28 Haydn, Piano Trio in E, H. 12, iii, 1–8

Example 2.28: following the fragmentation in mm. 5–6, the cadential idea quickly brings a modulation to the dominant region, as confirmed by a PAC. Note that the end of the presentation is one of those cases that might suggest cadence given the clear V⁷–I harmonic progression. But as was already discussed (in connection with Ex. 2.23), such an interpretation would be faulty, since the progression supports an obvious repetition of the basic idea and thus does not create the appropriate conditions for any formal *ending*. The fragmentation that follows brings another V⁷–I progression, and for similar reasons (the sense of repeating the fragment) there is no cadence at m. 6. After such an emphatic emphasis on the home-key tonic, the sudden modulation brings a welcome harmonic contrast.

Reviewing the Theory

Here are some exercises to help you review points of theory.

Answer These Questions

1. Which theorist first described the main characteristics of the sentence?
2. The "continuation phrase" embraces which formal function(s)?
3. What are the four main characteristics of continuation function?
4. What are the three types of repetition that can be found within presentation phrases?
5. What type of harmonic progression is used to support a presentation phrase?
6. What is potentially confusing when a 2-m. basic idea is composed of two repeated 1-m. motives?
7. These harmonic patterns are each indicative of which type of formal repetition?
   a. I–V | V–I
   b. I–V | I–V
   c. I–II | V–I
   d. I–V | II–VI
8. Where does cadential function begin?
9. What are the three basic cadence types?
10. Where in the score do we place the symbol for a cadence?
11. What is an expanded cadential progression?
12. What does the double-arrow symbol ($\Rightarrow$) mean in the expression "continuation$\Rightarrow$cadential"?

True or False?

1. The presentation phrase of a sentence ends with a cadence.
2. The continuation phrase of a sentence ends with a cadence.
3. A basic idea contains just a single motive.
4. The "fragments" found in the continuation phrase almost always consist of melodic-motivic material similar to that of the opening basic idea.
5. A sentence may end with a half cadence.
6. The tonic prolongation of a presentation phrase may extend into the continuation phrase.
7. The boundaries of a basic idea are indicated by the bar lines.
8. If the melody of the basic idea is repeated up a step, then this is a sure sign of sequential repetition.
9. There are no plagal cadences in music of the classical style.

10. The situation of R = 2N was described by 18th-century theorists as "compound meter."
11. A sentence must begin and end in the same key.

Multiple-choice Questions

Choose a letter (there may be more than one) that correctly answers the question.

1. Which term is an expression of temporal *initiation*?
   a. Presentation
   b. Continuation
   c. Basic idea
   d. Cadence
2. Which is *not* a characteristic of continuation function?
   a. Harmonic acceleration
   b. Cadential progression
   c. Model-sequence technique
   d. Fragmentation
3. Which term is associated with formal repetition?
   a. Response
   b. Tonic version
   c. Liquidation
   d. Exact
4. Which term refers to a formal function?
   a. Fragmentation
   b. Cadential
   c. Dominant version
   d. Real measure

Examples for Analysis

The following examples will give you an opportunity of putting into practice the analytical skills you are beginning to acquire.

Annotate the score in the manner shown in the examples above.

Feel free to "break into prose" by adding written-out commentary in cases where the annotations alone cannot explain the subtleties or complexities of the music. (But avoid repeating in prose what is clearly indicated in the score annotations.)

Here are some general guidelines for annotating the score:

- Indicate the formal analysis *above* the score.
- Use horizontal brackets to show the exact boundaries of the formal units within a phrase: basic ideas, cadential ideas, fragments, models, sequences. After the first unit of fragmentation, it is not necessary to

label each subsequent unit, though each should still be indicated by a bracket (see Ex. 2.20, mm. 5–6); the same applies in cases of multiple "sequences" that follow a "model." *Important: do not automatically place brackets from bar line to bar line. Use your musical intuition to determine exactly where ideas begin and end.*

- Place the labels for phrases (presentation, continuation) at the beginning of the phrase; *do not bracket entire phrases.*
- Indicate the harmonic and cadential analysis *below* the score.
- Use a horizontal bracket to indicate the boundaries of the cadential progression. *Exception:* in the case of an expanded cadential progression, use the abbreviation ECP (directly after the first harmony of the progression) and omit the bracket.
- Indicate the three basic cadence types with the abbreviations PAC, IAC, and HC enclosed in square boxes.
- Place the label for cadences directly underneath the arrival of the final *harmony* of the cadential progression. *Note:* the melody of the cadential idea may end after the point of cadential arrival, as defined by the harmony.

EXAMPLE 2.29   Beethoven (?), Sonatina for Piano in G, Anh. 5, i, 1–8

EXAMPLE 2.30   Mozart, Fantasy for Piano in D minor, K. 397, 12–19

EXAMPLE 2.31 Mozart, String Quartet in F, K. 590, ii, 1–8

EXAMPLE 2.32 Haydn, Piano Trio in D, H. 7, iii, 1–8

EXAMPLE 2.33 Mozart, Piano Sonata in F, K. 332, iii, 50–57

EXAMPLE 2.34   Beethoven, Piano Trio in B-flat, Op. 11, ii, 1–8

EXAMPLE 2.35   Haydn, Piano Sonata in E minor, H. 34, ii, 1–8

Model Composition

1. Complete Example 2.36 to create a nonmodulating, 8-m. sentence that ends with either a half cadence or a perfect authentic cadence. Use statement-response repetition for mm. 1–4, and fragment the phrase structure into 1-m. units for mm. 5–6. Analyze the harmony, form, and cadence.

EXAMPLE 2.36 Model composition, sentence, no. 1

2. Write an 8-m. sentence using the basic idea in Example 2.37. Have the continuation phrase modulate to the minor-dominant region (A minor) as confirmed by a PAC.

EXAMPLE 2.37 Model composition, sentence, no. 2

The Period

The *period*, another fundamental theme type, has at its basis the idea that a musical unit of weak cadential closure is repeated so as to produce stronger cadential closure. As a result, the two units group together to form a higher-level whole.

The idea of a weaker cadence yielding to a stronger cadence may occur in a variety of formal situations. The term *period*, however, will be restricted to two distinct theme types: the simple, 8-m. period (treated in this chapter) and the compound, 16-m. period (to be treated in Chap. 6).

The Basics

The period (like the sentence) is an 8-m. theme built out of two phrases: a 4-m. *antecedent* phrase, followed by a 4-m. *consequent* phrase.

The labels for these phrases also refer to the two formal functions of the period: an initiating *antecedent* and a concluding *consequent*. (Unlike the sentence, the period does not bring a specific *medial* formal function.)

FOCUS ON FUNCTION

Formal Type vs. Formal Function. *The terms* sentence *and* period *refer to formal* types, *in this case* theme types. *Each theme type embraces a conventional set of* phrase functions. *Thus the sentence contains the functions of presentation, continuation, and cadential. The period contains the two functions of antecedent and consequent.*

It is useful to keep in mind the difference between a formal type *and a formal* function. *A function relates to some temporal sense of beginning, being-in-the-middle, or ending. A type, on the contrary, does not have any predetermined temporal location; the sentence form, for example, is not necessarily associated with a beginning, middle, or end of anything. Later we will see that certain theme types are used in specific contexts where they fulfill a formal function, as when a sentence or period takes on the initiating function of* main theme *of a movement.*

Antecedent Phrase

An antecedent phrase begins with a 2-m. basic idea (just like in the sentence), followed by a 2-m. *contrasting idea* leading to a *weak* cadence, usually a half cadence (HC) but sometimes an imperfect authentic cadence (IAC).

Consequent Phrase

The consequent phrase repeats the antecedent by bringing a *return* of the original basic idea. A contrasting idea, which may or may not resemble the one in the antecedent, leads to a *stronger* cadence, usually a perfect authentic cadence (PAC), or more rarely an IAC (if the antecedent ended with an HC).

EXAMPLE 3.1   Mozart, *Eine kleine Nachtmusik*, K. 525, ii, 1–8

Example 3.1: as with the presentation of a sentence, the antecedent phrase of a period begins with a 2-m. basic idea. The same features of a basic idea discussed in connection with the sentence apply to the period as well. Instead of the basic idea being repeated, however, mm. 3–4 of the antecedent phrase bring a contrasting idea that leads to a weak cadence of some kind. Here, a very brief half-cadential progression I–V brings a half cadence on the downbeat of m. 4.

It is difficult to generalize about the nature of a contrasting idea; we can note, though, that it often has characteristics of continuation function, such as fragmentation, an increased rate of harmonic change, and harmonic sequence. In this theme, mm. 3–4 (including upbeat) reveal obvious fragmentation and a degree of harmonic acceleration.

The basic idea returns (with a slightly more animated accompaniment) in mm. 5–6 to signal the start of the consequent phrase. In many periods, the following contrasting idea is based on that of the antecedent. Here, however, the contrasting idea brings new material for the consequent. Most importantly, of course, the contrasting idea must end with a cadence that is stronger than the one closing the antecedent. In this theme, the entire contrasting idea is supported by an authentic cadential progression beginning with I^6, leading to a PAC on the downbeat of m. 8. Note: not only is the cadence of the consequent stronger than that of the antecedent, but the lengths of their cadential progressions vary as well, with that of the consequent phrase being considerably longer than that of the antecedent.

SOME HISTORICAL BACKGROUND

Period. *The term* period *already arises in 18th-century theory to describe any thematic unit ending with a cadence (usually a PAC).*

In the mid-19th century, the German theorist Adolph Bernhard Marx[1] introduced the more modern idea that the period consists of two symmetrically organized phrases of differing cadential strength: a Vordersatz *(antecedent; lit. "fore-phrase") and* Nachsatz *(consequent; lit. "after-phrase").*

Early in the 20th century, Schoenberg[2] restricted the notion of period to those situations in which the consequent can be said to repeat the antecedent by beginning with the same melodic-motivic ideas.

Until recently, the period was the standard term used by North American theorists to describe any two-phrased thematic unit, no matter how the phrases relate to each other. Any first phrase followed by any second phrase could be considered a period of some kind.

The concept of period used in this text, in the tradition of Schoenberg, narrows the definition to those cases where the first and second phrases begin with similar material and exhibit a cadential differentiation of weak to strong.

(continued)

> Some Historical Background continued:
>
> *Many textbooks today refer to a "contrasting period," in which the consequent begins with material that differs from that of the antecedent. This kind of thematic formation is not considered a period in this text; rather, it will be treated as a* hybrid *theme (as discussed in the next chapter).*

Let's Practice

EXAMPLE 3.2   Mozart, Piano Sonata in D, K. 311, ii, 1–8

Example 3.2 illustrates another 8-m. period. Answer these questions.

1. What is the term for the opening 2-m. unit?
2. What is the term for the second 2-m. unit?
3. What are the "contrasting" elements in mm. 3–4?
4. With what kind of closure does the first phrase end?
5. What is the term for the first 4-m. phrase?
6. How does the second phrase begin?
7. With what kind of closure does it end?
8. What is the term for the second phrase?

More Details

Basic Idea

The antecedent phrase of an 8-m. period begins with a 2-m. basic idea.

All of the characteristics of a basic idea discussed in connection with the presentation of a sentence also apply to the antecedent of a period. In fact, it is not always possible to predict whether a given basic idea will give rise to a sentence or period (or some other formal structure).

Which form results from a given basic idea depends largely on the two bars of music that follow: in a sentence, the basic idea is immediately repeated, and in a period, the basic idea is juxtaposed with a contrasting idea, one that brings a weak cadence.

Contrasting Idea

The contrasting idea achieves its "contrast" with the basic idea most obviously by means of melodic-motivic content. In the clearest cases, the contrasting idea introduces distinctly different motives from those of the basic idea. Contrast may also be achieved, or at least supported, by secondary features such as texture, dynamics, and articulation.

EXAMPLE 3.3   Haydn, Piano Trio in C, H. 27, iii, 1–4

Example 3.3: the basic idea features a clear rhythmic motive (two sixteenths and an eighth note) and an ascending, leaping motion. The contrasting idea brings running sixteenth notes that fill in the melodic space opened up by the basic idea with a stepwise descent. Though the two ideas are almost entirely different, they share at their ends the upward-leaping eighth notes, which create a slight rhyming effect.

Example 3.4: the contrasting idea shares no features whatsoever with those of the basic idea. Note that this antecedent phrase ends with the less common IAC.

EXAMPLE 3.4   Mozart, Piano Sonata in B-flat, K. 281, i, 1–4

In cases where the basic and contrasting ideas seem to be built from the same (or similar) motives, then a change in contour or melodic directionality will often bring the essential contrast.

EXAMPLE 3.5 Haydn, Symphony No. 99 in E-flat, iv, 1–4

> Example 3.5: the melodies of the basic idea and contrasting idea are very similar; indeed, their rhythmic organization is identical. The element of contrast resides largely in the directionality of the contour, with the basic idea ascending at its end while the contrasting idea descends.

In addition to distinguishing the melodic component of a basic idea from its contrasting idea, it is just as important (if not more so) to recognize the differing harmonic progressions supporting each idea. The basic idea usually has tonic harmony at its basis; the contrasting idea must close with a cadential progression. In cases where the contrasting idea seems to resemble the basic idea because of shared motives, the underlying harmonies distinguish one idea from the other.

> Example 3.5: the basic idea is supported by a tonic prolongational progression. The contrasting idea brings a half-cadential progression.

EXAMPLE 3.6 Mozart, Piano Concerto in F, K. 459, i, 72–75

> Example 3.6: the basic idea opens with a 1-m. rhythmic motive, one that Mozart used to start a number of his piano concertos. The beginning of the next idea at m. 3 brings back this same motive, which might lead the listener to suspect that the basic idea is being repeated in the manner of a presentation phrase. But the motive is supported by a completely different harmonic progression, one that brings about an HC to end the contrasting idea of an antecedent phrase.

A contrasting idea often contains characteristics of *continuation* function, such as fragmentation, an accelerated harmonic or surface rhythm (or both), and even a hint of sequential harmonies.

> **Example 3.7: the 2-m. contrasting idea (mm. 3–4) displays most of the characteristics of a full 4-m. continuation phrase: fragmentation (into half-measure units), marked harmonic acceleration, a stepwise-ascending sequence, and a concluding half-cadential progression.**

EXAMPLE 3.7   Haydn, Symphony No. 100 in G ("Military"), iv, 1–4

If the contrasting idea is entirely supported by a cadential progression, as seen in mm. 3–4 of Example 3.3, then it effectively resembles a "cadential idea" ending the sentence form.

WHAT CONSTITUTES CONTRAST?

The notion of an idea being contrasting *must be understood in the sense of its being "not a repetition." In some cases, the difference between the basic idea and contrasting idea is striking; in other cases, the contrast may be minimal. At all times, however, the second idea must be sufficiently distinct from the first such that we do not perceive it to be a repetition, for then we might very well believe that a presentation was in the making.*

In cases where the contrasting idea strongly resembles the basic idea, the return *of the basic idea at the start of the consequent phrase (mm. 5–6) makes it clear that this is where the real restatement occurs and that the preceding idea (mm. 3–4) functions as contrasting.*

Though we are using the term contrasting idea *to distinguish that unit from the basic idea, the expression "complementary idea" also conveys well the sense in which the second idea differs from the first.*

Weak Cadential Closure

A basic idea followed by a contrasting idea does not in itself constitute an antecedent. Essential to this function is the presence of a weak cadence that effects partial closure of the phrase.

Both the half cadence and the imperfect authentic cadence can be considered weak, because each leaves unclosed some harmonic or melodic process. Of the two, the HC, with its combination of harmonic and melodic incompleteness, is decidedly weaker than the IAC, which results in melodic incompleteness alone.

The vast majority of antecedent phrases end with an HC, no doubt to magnify the sense of cadential differentiation. The use of an IAC to end an antecedent (see Ex. 3.4) is much less common. A perfect authentic cadence cannot be used to close an antecedent phrase, since this strong cadence achieves complete harmonic and melodic closure. (An exception to this rule is discussed in a later section, "Reinterpreted Half Cadence.")

CADENTIAL STRENGTH: SYNTACTICAL VS. RHETORICAL

The three basic cadence types express varying degrees of syntactical cadential strength (or weight):

- *The perfect authentic cadence is strongest*
- *The half cadence is weakest*
- *The imperfect authentic cadence is of moderate strength (stronger than HC, weaker than PAC)*

For the specific purpose of analyzing form, all cadences of the same type are considered to have the same syntactical *strength.*

Other factors, such as the cadence's metrical position and its dynamic intensity and texture, do not alter the syntactical strength. These factors do, however, determine the rhetorical strength *that a particular cadence may make. For example, some cadences played on a downbeat by a full ensemble with a* forte *dynamic may have a powerful impact; other cadences, appearing on an upbeat and set in a thin texture and soft dynamics, may be understated in their effect.*

Two cadences of varying rhetorical strength may still function to create an equivalent sense of formal closure if they have the same syntactical strength (because they are of the same cadential type).

Return of the Basic Idea

In order for the consequent phrase to project the sense of "repeating the antecedent," it begins by bringing back the original basic idea. This return of the basic idea can take a variety of forms, analogous to those discussed in connection with the repeat of the basic idea in the presentation phrase of a sentence.

Most typically, the consequent begins with an *exact* return of the basic idea; that is, the basic idea is supported by the same harmony as in the opening two bars of the theme. Examples 3.8 and 3.9 illustrate this technique.

EXAMPLE 3.8   Haydn, Piano Trio in C, H. 27, iii, 1–8

EXAMPLE 3.9   Haydn, Symphony No. 100 in G ("Military"), iv, 1–8

An exact restatement of the basic idea might sometimes undergo extensive "variation" technique, yet the fundamental melodic profile still projects a clear sense that the opening idea has returned.

EXAMPLE 3.10   Mozart, Piano Sonata in B-flat, K. 333, ii, 1–8

> **Example 3.10:** the basic idea of the consequent highly embellishes the melody of the antecedent's basic idea, even to the extent of bringing a new melodic highpoint (the G on the third beat of m. 5). As well, the harmonic support at the beginning of the consequent, although still tonic prolongational at its basis (beginning on I, ending on VI in m. 6 as a tonic substitute), is considerably enriched compared to the harmonies underlying the opening basic idea. (Note: the motion from V to VI at the end of the idea is a deceptive "resolution," not a deceptive cadence; basic ideas do not end with cadences!)

On occasion, the basic idea of the consequent takes the form of a "dominant version" in relation to a "tonic version" in the antecedent; the overall harmonic design of the period thus projects a statement-response character (ant: I–V, cons: V–I); see Example 3.11.

EXAMPLE 3.11 Haydn, Piano Trio in E, H. 28, i, 1–4 (R = ½N)

A less stable harmonic expression arises when the basic idea of the antecedent is restated sequentially in the consequent, usually by being transposed up a step into the supertonic region; see Example 3.12.

EXAMPLE 3.12   Mozart, Piano Sonata in D, K. 576, i, 1–8

TAMING THE TERMS

Restatement, Repetition, Return. *In most formal contexts, important melodic-motivic material is stated more than once. It is useful to distinguish among the terms associated with the basic notion of "saying something again."*

The general term used to described this process is restatement: *"the opening basic idea is restated many times throughout the piece."*

The restatement of prior musical material can be termed a repetition *if it occurs immediately, without any intervening material: "the opening basic idea is repeated in the two following measures."*

A restatement that occurs following some intervening, contrasting material can be termed a return: *"the basic idea returns at the start of the consequent phrase (after an intervening contrasting idea)."*

Consider this: "The consequent phrase repeats the antecedent by bringing a return of the original basic idea." This usage expresses the notion that nothing stands between the antecedent and consequent, but the two statements of the basic idea are separated by intervening material (the contrasting idea of the antecedent).

Strong Cadential Closure

The consequent closes with a contrasting idea leading to a strong cadence, almost always a PAC. The use of an IAC is rare; see Example 3.13.

EXAMPLE 3.13 Mozart, Piano Concerto in D minor, K. 466, ii, 1–8

The contrasting idea of the consequent usually resembles that of the antecedent, though it can also be built out of entirely new melodic-motivic material; see Example 3.14.

EXAMPLE 3.14 Mozart, Piano Sonata in B-flat, K. 281, i, 1–8

The cadential progression of the consequent often begins earlier within the phrase than that of the antecedent, especially if the latter ends with a half cadence (which is usually the case). Since the final harmonies of both phrases normally occupy analogous positions (e.g., downbeats of mm. 4 and 8), then the penultimate dominant of the consequent must be shifted backwards in relation to the ultimate dominant of the antecedent; as well, the initial tonic or pre-dominant (or both) will appear earlier in the consequent than in the antecedent.

> **Example 3.15: the cadential progression of the antecedent begins with the pre-dominant V^4_3/V in the middle of m. 3. In the consequent, the pre-dominant IV is shifted back to the beginning of m. 7 in order to accommodate the penultimate dominant in the second half of that measure.**

EXAMPLE 3.15   Mozart, Piano Concerto in F, K. 459, i, 72–79

When the contrasting idea of the consequent is supported entirely by the cadential progression, it resembles the "cadential idea" closing a sentence.

> **Example 3.15: seeing as the contrasting idea of the consequent is harmonized exclusively by the cadential progression, it would not be unreasonable to label this a "cadential idea"; see also Example 3.14.**

As a result of these various alterations, the consequent phrase acquires a more powerful cadential expression relative to the antecedent, due not only to

the type of cadence but also to the greater temporal weight accorded the cadential progression.

Boundary Processes: Lead-in, Elision

The boundaries between the antecedent and consequent phrases of the period are usually well articulated: the end of the former is distinguished clearly from the beginning of the latter. At times, various techniques may be used to blur these boundaries. Such techniques usually promote rhythmic continuity from one phrase to the next.

Lead-in

A *lead-in* (a very useful term, introduced by William Rothstein)[3] consists of a brief melodic idea that links the end of the antecedent with the beginning of the consequent. (Lead-ins are not confined to periods; they may be used in other formal contexts as well.)

The lead-in functions largely to generate rhythmic continuity and flow from one phrase to the next; see Example 3.13, m. 4.

> **Example 3.10: the lead-in (m. 4) is extraordinarily elaborate, which undoubtedly helps set up the embellished form of the basic idea, discussed earlier.**

With a lead-in, we have the impression that its melodic material belongs neither to the weak cadence (at the end of the antecedent) nor to the return of the basic idea (at the beginning of the consequent). In other words, a lead-in could easily be eliminated without upsetting the melodic, harmonic, and formal organization of the phrases.

The effect of rhythmic continuity between the phrases can also be produced by maintaining the accompanimental figuration through the half cadence and into the return of the basic idea.

> **Example 3.15: the steady eighth-note accompaniment of the antecedent phrase continues without pause directly into the consequent. Since there is a clear rest in the melody part, we would not speak of a lead-in here.**

Non-elision of Antecedent with Consequent

Sometimes, m. 4 of the antecedent maintains a powerful sense of rhythmic drive all the way to the downbeat of m. 5. We might be tempted to say in such cases that, rather than ending with a half cadence (in m. 4), the antecedent closes with an authentic cadence (in m. 5). But m. 5, of course, is also the beginning of the consequent.

When the *end* of one formal unit directly coincides with the *beginning* of the subsequent unit, then we term this boundary process *elision.* An elision

creates a pronounced sense of rhythmic and formal continuity and has its appropriate uses in various places within a musical work—*but not within a period*.

First of all, the progression of the harmonies may not truly give rise to an authentic cadence at m. 5 (if, say, the dominant becomes inverted before resolving to the tonic). But even if such a cadence were possible harmonically, an elision would result in the antecedent becoming five bars in length compared to the four bars of the consequent. The symmetrical phrase structure, which seems to be an important component of the period structure, would be broken. Finally, and more importantly, it would seem that the perception of repeating a unit of weak closure with one of stronger closure is obscured if the boundaries between the units are not clearly separate.

In short, an examination of the classical repertory reveals that *an antecedent phrase does not elide with a consequent phrase*.

EXAMPLE 3.16   Haydn, Piano Trio in E-flat, H. 30, iii, 1–16 (R = 2N)

Example 3.16: because of the continuous rhythmic motion into the downbeat of m. 9, we might be tempted to hear an IAC closing the antecedent at that point. But the bass note B♭ in m. 7 is filled in with stepwise motion leading up to the E♭ in m. 9, and the resulting change to the $\substack{6\\3}$ position on the third beat of m. 8 undermines the potential for the dominant to function as the "penultimate" harmony of an authentic cadential progression. Instead, the dominant (in root position) on the downbeat of m. 7 must be construed as an "ultimate" dominant ending a half-cadential progression. Thus antecedent and consequent do not elide, despite the rhythmic continuity into the latter phrase.

END VS. STOP

When it comes to cadences, many musicians confuse two distinct notions—end and stop.

All cadences represent the formal end *of fundamental harmonic and melodic processes within a theme. Many cadences also bring the musical motion to a* stop, *with silence (notated as rests) immediately following the cadential material (see the half cadences in Exs. 3.8 and 3.14).*

But the stopping of musical motion is not an essential component of cadence: a cadence may occur even when the motion continues into the next formal unit. Example 3.16 just discussed is a fine case of half-cadential closure in the absence of any cessation of rhythmical activity.

Likewise, the music may stop even at places that are not cadences, such as the rhythmic break in m. 3 of Example 3.2.

In short, rhythmic stop *and* formal end *are entirely different musical phenomena; they often operate together, but they are conceptually (and perceptually) distinct.*

Finer Points

Antecedent (and Consequent) as "Mini-sentence"

As mentioned earlier, the contrasting idea of the antecedent (as well as that of the consequent) will often bring features associated with the continuation function of the sentence, such as fragmentation and harmonic acceleration.

The notion of the contrasting idea as continuational becomes even more apparent in cases where the basic idea itself is composed of a 1-m. motive that is immediately repeated, in the manner of a "small presentation." The entire antecedent then resembles the sentence theme type.

Example 3.17: the antecedent phrase is structured like a miniature sentence. The basic idea itself contains a 1-m. statement that is immediately repeated as a response, thus suggesting presentation function. The contrasting idea (mm. 3–4) features fragmentation, harmonic acceleration, and cadential closure, like a continuation. The consequent phrase is organized like the antecedent but closes with a strong PAC.

EXAMPLE 3.17   Mozart, Piano Sonata in A, K. 331, i, 1–8

Though there is nothing so terribly wrong with labeling both the antecedent and consequent phrases of Example 3.17 as sentences, it does create some potential confusion if we recognize as fully legitimate a real 4-m. sentence, whose initiating basic idea is only one real measure. It is perhaps preferable, therefore, to speak of a *mini-sentence*, or somewhat more formally, of a *sentential* antecedent. We should also note that such a miniature sentence rarely appears on its own but rather tends to come in pairs—antecedent and consequent.

As discussed in the previous chapter, the case of a "notated" 4-m. sentence under the circumstances of R = ½N (see Chap. 2, Ex. 2.26) presents itself as a genuine sentence theme type. It can be difficult at times to determine whether a given case represents R = N (as in Ex. 3.17 just discussed) and R = ½N. We will encounter somewhat similar difficulties when distinguishing between a simple 8-m. period and the compound 16-m. period, presented in Chapter 6.

Modulating Period; Cadential Strength

Most periods conclude in the key in which they begin. Now and then, the consequent phrase modulates, and the theme closes with a PAC in a related tonality; see Example 3.18.

Haydn, Symphony No. 99 in E-flat, iv, 1–8

Unlike the consequent, which is free to modulate, an antecedent phrase closes in the same key in which it begins. (One major exception to this rule is discussed in the next section.)

Note that in a modulating period, the two cadences reside in different keys. Although the opening key is in some sense *stronger* than the second key from a tonal perspective, the comparative strengths of the cadences themselves continue to follow the norm: weak to strong. In other words, the HC of the opening key remains weaker than the PAC of the related key. We can therefore understand that *the syntactical strength of a cadence is determined on the basis of its type, not on its tonal context.*

Reinterpreted Half Cadence

That an antecedent must close with a weak cadence is fundamental to the definition of the function. In some cases, however, a presumed antecedent appears to modulate to the dominant region, closing there with a perfect authentic cadence.

Two principles of antecedent function would thus be violated: that it close with a weak cadence, and that it not modulate. Nonetheless, when the home key is immediately reinstituted at the beginning of the consequent phrase, the sense of modulation is instantly canceled, and we can recognize instead that the antecedent has closed with a *reinterpreted half cadence*, as this particular cadential formation can be termed.

Example 3.19: the opening 4-m. phrase, consisting of a basic idea followed by a contrasting idea leading to a cadence, sounds very much like an antecedent. Yet we can also recognize that at the very surface of the harmonic activity, m. 3 brings a quick modulation to D major, the dominant region of the home key, G. The cadential formation at the end of the phrase is therefore a PAC. When the music returns emphatically to G major at the beginning of the consequent, however, it is easy to hear that the D major harmony at the end of the antecedent marks a *reinterpreted* HC in the home key.

EXAMPLE 3.19   Haydn, String Quartet in G, Op. 64, No. 4, i, 1–8

ANOTHER CASE OF RETROSPECTIVE REINTERPRETATION

The reinterpreted half cadence offers a good example of retrospective reinterpretation. Considering the music only as far as the cadential arrival itself, we perceive the sense of authentic cadence (in the new key). But when the music moves forward into the consequent phrase, we revise our cadential interpretation and understand instead a kind of "half cadence" to have taken place.

It is important to recognize that both interpretations are valid for the temporal context within which they are being made.

As with continuation⇒cadential (from the previous chapter), the symbol ⇒ stands for "becomes" and represents the retrospective reinterpretation. Thus in the case of a reinterpreted half cadence, a PAC "becomes" an HC.

It must be emphasized that the cadential formation in mm. 3–4 of the example just discussed is, on the musical surface, a literal PAC. Only in the broader context of antecedent-consequent functionality does it become a reinterpreted half cadence. Thus the distinction between a regular half cadence and a reinterpreted one must clearly be kept in mind.

The reinterpreted half cadence arises only rarely in simple 8-m. periods. We revisit the topic again, in Chapter 6, in connection with the compound 16-m. period, where the reinterpreted half cadence is more frequently used.

Sentence vs. Period

Now that you have been introduced to the two fundamental 8-m. theme types, we can compare them in light of their similarities and differences.

Similarities:

- Both themes are normatively eight measures in length, divided into two 4-m. phrases.
- Both themes end with a cadence.
- Both themes begin with a 2-m. basic idea, which is restated at some point in the theme.

Differences:

- The sentence has one cadence; the period has two cadences.
- The sentence can end with any cadence type (PAC, IAC, or HC); the period cannot end with an HC.
- In the sentence, the basic idea is *repeated* within the presentation phrase; in the period, the basic idea *returns* at the start of the consequent phrase.

In addition to these technical differences, the sentence and period present differing aesthetic qualities. The sentence projects the character of mobility and forward drive because of the open-ended nature of the presentation and the destabilizations offered by the continuation. The period, on the contrary, projects the character of balance and repose owing to the similar construction of the antecedent and consequent, both of which bring a degree of cadential closure.

Reviewing the Theory

Answer These Questions

1. Does the term *period* refer to a formal *type* or a formal *function*?
2. In an antecedent phrase, what formal unit follows the basic idea?
3. Does the basic idea that is used to begin a period differ in any fundamental respects from a basic idea used to begin a sentence?
4. What are the main ways in which a contrasting idea "contrasts" with the basic idea?
5. If a contrasting idea is supported entirely by a cadential progression, then what other term could be used to label that idea?
6. What are the three cadence types, ranked from strongest to weakest?
7. What is the difference between *repetition* and *return*?
8. Why does the authentic cadential progression of the consequent usually start earlier in the phrase than does the half-cadential progression of the antecedent?
9. What is the difference between *ending* and *stopping*?
10. What is a mini-sentence?
11. How can a PAC become reinterpreted as an HC?

True or False?

1. The period form contains a medial phrase function.
2. The period and sentence are formal functions.
3. A contrasting idea may feature continuational characteristics.
4. Most antecedent phrases end with an HC.
5. An antecedent phrase may end with a PAC.
6. The consequent phrase may bring a dominant version of the basic idea.
7. The contrasting idea of the consequent is the same as that of the antecedent.
8. The antecedent may elide with the consequent.
9. An HC in the home key is stronger than an IAC in a related key.

Multiple-choice Questions

Choose a letter (there may be more than one) that correctly answers the question.

1. Which cadence can be used to end an antecedent phrase?
    a. Half cadence
    b. Imperfect authentic cadence
    c. Perfect authentic cadence

2. Which cadence can be used to end a consequent phrase?
    a. Half cadence
    b. Imperfect authentic cadence
    c. Perfect authentic cadence

3. Which term describes a "boundary process"?
    a. Liquidation
    b. Elision
    c. Restatement
    d. Lead-in

4. Which features are similar to both the sentence and the period?
    a. Both themes contain two cadences.
    b. Both themes begin with a basic idea.
    c. Both themes usually end with a PAC.
    d. The basic idea returns in the course of the theme.

Examples for Analysis

Annotate the score in the manner shown in the examples in the text.

Feel free to "break into prose" by adding written-out commentary in cases where the annotations alone cannot explain the subtleties or complexities of the music. (But avoid repeating in prose what is clearly indicated in the score annotations.)

Follow the general guidelines for annotating the score presented in the previous chapter.

EXAMPLE 3.20   Mozart, Piano Sonata in B-flat, K. 333, iii, 1–8

EXAMPLE 3.21   Haydn, Piano Sonata in F, H. 9, iii, 1–8

EXAMPLE 3.22   Beethoven, String Quartet in B-flat, Op. 18, No. 6, ii, 1–8

EXAMPLE 3.23 Haydn, String Quartet in C, Op. 50, No. 2, iii, 1–8

EXAMPLE 3.24 Beethoven, String Quartet in G, Op. 18, No. 2, i, 187–94

EXAMPLE 3.25 Mozart, Piano Sonata in B-flat, K. 281, iii, 1–8

EXAMPLE 3.26   Beethoven, Piano Sonata in D, Op. 10, No. 3, i, 23–30

Model Composition

1. Use the opening basic idea in Example 3.27 to create a nonmodulating, 8-m. period. End the antecedent with a half cadence. Begin the consequent with a restatement of the basic idea (possibly varied, but don't overdo it!), ending that phrase with a PAC. Analyze the harmony, form, and cadences.

EXAMPLE 3.27   Model composition, period, no. 1

2. Write an 8-m. period using the basic idea shown in Example 3.28. Have the consequent phrase modulate to the relative major (G major). Tip: in the return of the basic idea, change the final note in the bass.

EXAMPLE 3.28 Model composition, period, no. 2

Hybrid Themes

Now that you have been introduced to the two fundamental 8-m. theme types—the sentence and the period—it is only natural to think that most simple themes should fit into one category or the other.

But actual compositional practice is considerably more complex. Many themes are difficult to classify within a rigid binary model of sentence and period. Some are entirely nonconventional and must be treated on a completely individual basis. But many others have aspects that resemble in some ways the two fundamental theme types: these are *hybrid* themes.

The Basics

Consider the theme in Example 4.1.

EXAMPLE 4.1   Mozart, Piano Sonata in C, K. 330, ii, 1–8

Example 4.1: the theme begins with a 2-m. basic idea followed by a contrasting idea ending with an HC. It is thus a standard *antecedent* phrase of the type that begins a *period*.

But the second phrase does not bring a return of the basic idea, as we would expect of a consequent. Rather, the phrase begins with new material that fragments the preceding 2-m. ideas into 1-m. units and modulates to the dominant region. In other words, the phrase projects the typical features of a *continuation*, just like the second half of a *sentence*.

This theme, in other words, *begins like a period but ends like a sentence*: it is a *hybrid* of the two theme types. Here we see one type of hybrid, which we can identify by its two constituent phrase functions: *antecedent + continuation*. Three other hybrid types are built using combinations of antecedent, consequent, continuation, and cadential functions.

The initiating function of presentation is not used in hybrid themes; instead, a new phrase function, the *compound basic idea*—itself a hybrid of a presentation and an antecedent—finds a place at the beginning of two of the hybrid types.

SOME HISTORICAL BACKGROUND

Hybrid Themes. *The idea of hybrid themes developed in this chapter is new to the theory of musical form. In the past, most of the themes analyzed here as hybrids would likely have been considered some kind of "period," the first phrase of which would be labeled an antecedent, and the second a consequent.*

The term "contrasting period" would often be applied to those themes whose basic idea does not return at the beginning of the second phrase. Though there is nothing necessarily inaccurate about such a label, it fails to identify the specific continuation and cadential functions typically associated with this second phrase.

The four main types of hybrids are:

1. Antecedent + continuation
2. Antecedent + cadential
3. Compound basic idea + continuation
4. Compound basic idea + consequent

Antecedent + Continuation

This hybrid, the most frequently found type in the repertoire, has already been discussed and illustrated in Example 4.1.

Antecedent + Cadential

Like the previous type, this hybrid begins with an antecedent phrase. The second phrase, however, displays minimal characteristics of continuation function (such as fragmentation, harmonic acceleration, and sequence). Since the phrase is supported entirely by an *expanded cadential progression* (ECP), it exclusively projects a *cadential* function.

> **Example 4.2: the first phrase is a regular antecedent closing with an HC in m. 4. The next phrase brings new material built over an expanded cadential progression. Since the music continues to group itself into 2-m. units, like the antecedent, there is no sense of fragmentation; neither is there any acceleration of the harmonic rhythm. (In fact, the harmonies slow down somewhat.) Given the lack of any continuational features, the phrase is best labeled "cadential."**

EXAMPLE 4.2   Beethoven, Violin Sonata in D, Op. 12, No. 1, iii, 1–8

Compound Basic Idea + Continuation

In this hybrid type, the opening 4-m. phrase is neither an antecedent nor a presentation, but rather a combination (hybrid) of the two, a new phrase function

that bears the rather complicated term *compound basic idea*. The second phrase is a continuation.

A compound basic idea consists of a 2-m. basic idea followed by a 2-m. contrasting idea (like an antecedent), *but it does not close with a cadence.* The underlying harmonic support for the entire phrase is tonic prolongational (like a presentation).

Example 4.3: at first glance, the opening phrase might seem to be a regular antecedent, since the basic idea is followed by a contrasting idea ending with a dominant triad in m. 4. But because that dominant first appears in m. 3 to support the entire contrasting idea, we cannot identify a specific progression to create an HC in the final measure of the phrase. Indeed, the phrase contains a single I–V^7 tonic prolongation. Because of the lack of cadence, the opening phrase must be defined as a *compound basic idea*. The following phrase is a typical continuation featuring fragmentation and harmonic acceleration and closing with a PAC.

EXAMPLE 4.3 Haydn, Piano Sonata in C, H. 35, i, 1–8

This hybrid type, one that arises frequently in the repertory, very much resembles a *sentence*. The essential difference is that mm. 3 and 4 do not repeat the basic idea but instead bring contrasting material.

Compound Basic Idea + Consequent

Like the previous type, this hybrid begins with a compound basic idea. Measures 5 and 6 of the theme, however, bring back the opening basic idea in the manner of a *consequent* phrase.

Example 4.4: the first phrase is a compound basic idea; the absence of any harmonic motion into m. 24 prohibits us from recognizing any cadence there. The second phrase brings back the initial basic idea (now supported by dominant harmony), and the subsequent contrasting idea brings an emphatic PAC to close the theme.

EXAMPLE 4.4   Beethoven, String Quartet in G, Op. 18, No. 2, iv, 21–28

This hybrid, an infrequently occurring type, strongly resembles a *period*. The only essential difference is that the contrasting idea in mm. 3–4 of the theme does not bring a weak cadence.

FOCUS ON FUNCTION

Labeling Themes by Phrase Functions. *Just as the hybrids are labeled in terms of their constituent phrase functions, so too can we speak of the period as "antecedent + consequent" and the sentence as "presentation + continuation" (remembering that the continuation phrase combines continuation and cadential functions). In fact, it is just as important to keep in mind the phrase functions for the sentence and period as for the hybrids.*

Considering all of these phrase functions, we can now divide them into basic temporal categories:

- Initiating functions: presentation, antecedent, compound basic idea
- Medial function: continuation
- Concluding functions: cadential, consequent

We can thus see that the conventional theme types (sentence, period, hybrids) bring a syntactically appropriate *combination of functions; that is, the logical ordering of the temporalities of beginning, being-in-the-middle, and ending are respected by all of these themes.*

(continued)

> Focus on Function continued:
>
> *We also can understand why a combination such as "consequent + presentation" or "continuation + antecedent" would be temporally (and thus functionally) illogical or nonsyntactical.*

Let's Practice

EXAMPLE 4.5   Beethoven, Rondo for Piano in G, Op. 51, No. 2, 1–8

Example 4.5: answer these questions.

1. What is the label for the opening 4-m. phrase? Why?
2. Why can we not consider the second phrase a consequent?
3. What is the best functional label for the second phrase? What are the specific characteristics of the function(s) displayed in this phrase?

EXAMPLE 4.6   Mozart, String Quartet in B-flat, K. 589, iii, 1–8

Example 4.6: answer these questions.

1. What is the term for the first 2-m. unit?
2. What is the term for the second 2-m. unit?
3. Is there a cadence at the end of the first phrase?
4. What label applies to the entire first phrase? Why?
5. What label applies to the second phrase? Why?

More Details

Hybrid Type: Antecedent + Continuation

This hybrid type is relatively easy to identify because its constituent phrase functions appear much the same as they do in the first half of a period and the second half of a sentence. Although we label the final phrase a continuation, it still fuses together the individual functions of continuation and cadential, just as in the sentence form. Unlike a sentence, though, this hybrid almost always closes with a PAC to complement the weaker cadence ending the antecedent.

In this hybrid type, the beginning of the continuation phrase may not feature a marked acceleration of the rate of harmonic change, because the immediately preceding contrasting idea usually speeds up the harmonic rhythm in the approach to the weak cadence ending the antecedent. In such a case, clear fragmentation will usually signal the continuation function.

EXAMPLE 4.7   Beethoven, Piano Sonata in C minor ("Pathétique"), Op. 13, ii, 1–8

> **Example 4.7: following the relatively increased harmonic rhythm leading to the HC at m. 4, the rate of harmonic change at the beginning of the second phrase seems somewhat slower. But the fragmentation into 1-m. units projects the continuation function, even in the absence of harmonic acceleration.**

If, on the contrary, the continuation phrase does not fragment the grouping structure, then some perceptible harmonic acceleration will likely be found to express the continuation function.

> **Example 4.8: Because of the lack of fragmentation, the second phrase is not obviously continuational. Yet that function is expressed nonetheless by an increased harmonic rhythm and a considerably more active bass line (in comparison to the antecedent).**

EXAMPLE 4.8　Beethoven, Symphony No. 2 in D, Op. 36, ii, 1–8

Like the period and sentence, the second phrase of this hybrid type may bring about a modulation to a closely related key. Examples 4.1 and 4.8 illustrate modulating hybrids of this type.

Hybrid Type: Antecedent + Cadential

A second hybrid type features an antecedent followed by a phrase built exclusively with an expanded cadential progression. In the context of a sentence, such a phrase would usually contain continuational features along with the ECP and would thus be labeled "continuation⇒cadential."

But in the context of a theme that starts like a period, as suggested by an initial antecedent, the situation is different: not only do we not necessarily expect an ensuing continuation, but the phrase supported by the ECP often displays few continuational characteristics, if any. Thus following an antecedent, the second phrase of this hybrid type can be considered exclusively *cadential* in function.

Example 4.9: the antecedent phrase itself is a "mini-sentence" (see Chap. 3, p. 88). The basic idea is made up of two 1-m. motives (like a miniature presentation), and the contrasting idea has manifest continuational traits. The following phrase is entirely cadential, for it does not suggest continuation function in the least: the new 2-m. melody projects no sense of fragmentation, and the rate of harmonic change diminishes considerably.

EXAMPLE 4.9 Haydn, String Quartet in G, Op. 64, No. 4, ii, 1–8

Hybrids of this type (antecedent + cadential) rarely modulate: there is simply no place for a modulating progression to occur from the weak cadence ending the antecedent (which must be in the opening key) to the immediately following expanded cadential progression.

Compound Basic Idea

By definition, an antecedent contains a basic idea followed by a contrasting idea leading to a weak cadence. If a cadence does not appear at the end of the phrase, then an essential component of antecedent function has been lost. What, then, is the function of such a phrase?

Inasmuch as the lack of cadential closure creates a sense of open-endedness, the phrase takes on the character and function of a higher-level basic idea. Thus the term *compound basic idea* can be applied to a phrase consisting of a simple basic idea and a contrasting idea that does not end with a cadence.

By virtue of its melodic-motivic content, a compound basic idea resembles an antecedent. In light of its underlying harmony, which is usually (but not always) tonic prolongational, a compound basic idea resembles a presentation. Thus the 4-m. phrase itself represents a *hybrid* of antecedent and presentation functions.

> ### TAMING THE TERMS
>
> **Compound Basic Idea.** *The term* compound basic idea *is, to be frank, rather awkward, since the other phrase functions are identified by a single word.*
>
> *The choice of the term was made, however, to help reinforce the idea that this phrase is an* initiating *formal function (like a basic idea). The qualifier "compound" suggests its residing at a higher structural level (the 4-m. level) than a simple 2-m. basic idea.*
>
> *Finally, the term* compound basic idea *will come more into its own when we examine in Chapter 6 the* compound sentence, *a (real) 16-m. theme. We learn there that this theme type begins with a compound basic idea that is repeated to create a large-scale presentation (of 8 measures).*

Hybrid Type: Compound Basic Idea + Continuation

In this hybrid type, the open-ended quality of the initiating compound basic idea—its lack of cadence—motivates well a following continuation phrase. This hybrid is very close to the sentence theme type except that a contrasting idea appears in place of repeating the basic idea. And like the sentence, this hybrid may end with any of the cadential types, including a half cadence.

Like the sentence, the second phrase of this hybrid can sometimes be supported by an ECP. In such cases (and unlike that of antecedent + cadential just discussed), the phrase usually features prominent continuational characteristics as well. The label *continuation⇒cadential* is thus applicable in these cases. (On the contrary, if an ECP-supported phrase following the compound basic idea appears to have few or no continuational features, then labeling the phrase as exclusively *cadential* would be appropriate enough.)

EXAMPLE 4.10   Haydn, Symphony No. 95 in C minor, iii, 1–8

Example 4.10: the first phrase is a compound basic idea because the underlying tonic pedal destroys any potential for cadential closure. The following phrase has an ECP at its basis. Since it also features marked acceleration in harmonic rhythm, the phrase is best labeled continuation⇒cadential.

The continuation phrase of this hybrid type may very well effect a modulation to a closely related key; see Example 4.11.

EXAMPLE 4.11   Haydn, Piano Trio in F, H. 6, ii, 1–8

Hybrid Type: Compound Basic Idea + Consequent

Following a compound basic idea, the use of a consequent phrase is motivated by the effective technique of bringing back the opening basic idea after an intervening contrasting idea, just as happens in the period form. But this hybrid differs from the period in one crucial respect: it lacks a weak cadence in m. 4 of the theme.

More often than with the period, the return of the basic idea in mm. 5–6 is supported by a different harmony. In some cases this results in delaying the completion of the opening tonic prolongation (supporting the compound basic idea) until the consequent is already under way.

> **Example 4.12: in mm. 3–4, the contrasting idea of the compound basic idea is supported by II, which continues on into the following phrase until the arrival of V^7–I in mm. 6–7. Thus a single tonic prolongation underlies the first seven measures of the theme, which then closes with a simple cadential progression. (The absence of pre-dominant in this cadential progression is due not only to the lack of space but also to the earlier prominence of supertonic harmony in mm. 3–5.) The second phrase has consequent function, as marked by the return of the basic idea.**

EXAMPLE 4.12   Haydn, Symphony No. 87 in A, iii, 1–8

Note that the increased harmonic activity within the second phrase of Example 4.12 imparts a degree of continuational expression as well. Indeed, the consequent phrase within this hybrid category frequently accelerates the harmonic rhythm in comparison to the preceding compound basic idea, whose tonic prolongation generally brings a relatively slow rate of harmonic change.

Finer Points

Hybrid Themes in Relation to the Sentence and Period

As has already been discussed, the hybrid themes, depending on their type, resemble more or less a sentence or period. The relationship between the hybrids and the more fundamental forms can be situated on a spectrum of formal possibilities, where the sentence and period occupy the two extreme positions; see Figure 4.1.

sentence	hybrid	hybrid	hybrid	hybrid	period
pres+cont	cbi+cont	ant+cont	ant+cad	cbi+cons	ant+cons

FIGURE 4.1   Relation of the hybrids to the sentence and the period

- The hybrid type compound basic idea + continuation is very much like a sentence, except that the basic idea is not repeated.
- The hybrid type compound basic idea + consequent closely resembles a period.
- The hybrid type antecedent + continuation brings aspects of the sentence and period in equal measure.
- The hybrid type antecedent + cadential is somewhat more periodic, since continuational traits are missing.

Appearances of the Basic Idea

An important difference among theme types concerns the number of statements of the basic idea within the boundaries of the theme. In the sentence and period, the basic idea appears *twice*; the same holds for the hybrid type compound basic idea + consequent.

In the other three hybrid types (antecedent + continuation, antecedent + cadential, and compound basic idea + continuation), the basic idea appears just *once.* Themes built out of these hybrids are thus advantageously used in some larger-scale formal contexts where the composer wishes to avoid overemphasizing the basic idea. (Such formal situations are discussed in later chapters.)

Hybrid themes containing a single statement of the basic idea are also useful in themes that modulate to a related tonal region (usually the dominant). In such cases, the hybrid can be more effective than a period in consolidating the sense of the new key. With the period, the consequent phrase usually sees the return of the basic idea in mm. 5 and 6 supported by tonic harmony of the opening key; as a result, there is little room left within the 8-m. span of the theme for the modulation to take place. In the case of the hybrid, however, the use of a continuation phrase provides more space within which to effect the change of key.

Phrase Ambiguities

Presentation vs. Compound Basic Idea

When the initiating phrase of a theme is supported by a straightforward tonic prolongation (such as I–V or I–V, V–I), then the primary difference between understanding that phrase as a presentation or a compound basic idea is its melodic-motivic content.

In many cases, the situation is clear-cut: either the basic idea is obviously repeated (to make a presentation) or significantly different material brings a contrasting idea (to make a compound basic idea).

But in some cases, the distinction between "repetition of the basic idea" and "new contrasting material" is ambiguous, especially when the melodic "background" of the two ideas is similar. Consider an example.

EXAMPLE 4.13 (a) Beethoven, Piano Sonata in E-flat, Op. 31, No. 3, iii, 1–4; (b) ibid.

Example 4.13a: on the musical surface, the idea in mm. 3–4 seems to contrast with the basic idea that opens the theme, insofar as the basic idea features prominent melodic leaps in the context of dotted rhythms, and the contrasting idea brings stepwise motion within a more uniform rhythmic profile. From this perspective, we could appropriately analyze the phrase as a "compound basic idea."

But lying behind the surface is a more consistent melodic scaffold (as shown by the scale-degree labels in Ex. 4.13b), in which the descending stepwise motion from $\hat{1}$ to $\hat{7}$ is matched by $\hat{4}$ to $\hat{3}$. We could thus see mm. 3–4 as a kind of "varied repetition" of the basic idea in mm. 1–2. From this second perspective, we could analyze the phrase as a "presentation."

Which is the "correct" analysis: compound basic idea or presentation? Clearly both are viable, so long as we identify the criteria that we use to support each interpretation.

Consequent vs. Continuation

The opening of the second phrase of a simple theme can also give rise to functional ambiguity when what seems at first like the return of the basic idea to begin a consequent is modified in ways that suggest instead the beginning of a continuation.

EXAMPLE 4.14   (a) Haydn, Piano Trio in C minor, H. 13, i, 1–8; (b) 5–6

Example 4.14a: the antecedent phrase distinguishes a basic idea from a contrasting idea. Note the dotted sixteenth-note rest in m. 2 that helps separate the melody of these ideas with a brief pause. The basic idea itself is supported by a clear tonic prolongation.

The second phrase could also be seen to begin with a return of the basic idea, as analyzed in the example, especially if we focus attention on the melody, which brings the identical set of pitches as the opening basic idea. In this sense, the phrase could be viewed as a *consequent*.

But if we consider the harmonic support more carefully, we see that the downbeat of m. 6 brings a VI harmony in place of the I^6 back at m. 2. To be sure, the submediant could be seen to prolong tonic, thus reinforcing our sense that the basic idea has returned. At the same time, however, the VI projects a distinctly *sequential* quality, and the sense of sequence is made all the stronger by the parallel tenths between the soprano and bass on the downbeats of mm. 5 and 6. Moreover, the VI becomes a pivot chord to effect a modulation to the relative major, thus further destabilizing the harmonic context.

Now let's turn to the grouping structure at the beginning of the second phrase. Of course we could hear the phrase divided into two 2-m. ideas, as analyzed in the example. But we could also hear the C♭ in the melody on the last eighth-note beat of m. 6 grouping backwards to the C♮, and thus see a parallelism in the melodic organization that suggests fragmentation into 1-m. units, as shown in Example 4.14b. In short, all of the characteristics just described point toward viewing the phrase as a *continuation*.

Here, then, a degree of ambiguity arises since we can legitimately interpret the second phrase as a consequent or as a continuation. Both views can be supported by focusing on selected details of the musical organization.

Other "Hybrid" Possibilities

Presentation + Consequent?

Of the logically possible ways in which the various phrases of the sentence and period can be combined to make a hybrid, one pattern is conspicuously absent: a theme that begins with a presentation and ends with a consequent.

As shown in Figure 4.2, such an arrangement of phrases brings a threefold statement of the basic idea. The resulting redundancy of material within an excessive tonic prolongation likely explains why this potential type of hybrid rarely occurs in the repertory.

presentation		consequent	
basic idea	basic idea	basic idea	contrasting idea
(1)	(2)	(3)	

FIGURE 4.2   Uncommon hybrid type: presentation + consequent

Two Case Studies

The four main hybrid types do not cover all of the possible situations in which elements of the sentence and period might be combined. Now and then, cases arise that call for individual treatment.

Example 4.15: on the surface, this example seems like a standard 8-m. period. But consider some of the details of the constituent phrases. The 2-m. basic idea consists of a 1-m. motive that is repeated sequentially. Moreover, the theme begins directly on a destabilizing I⁶ harmony and continues with a relatively rapid progression of harmonies that are largely sequential until the pre-dominant at m. 3. In short, the opening four measures display many of the characteristics of a *continuation phrase*, such as might end a sentence or hybrid. In fact, it is easy enough to construct a possible presentation phrase that could precede the beginning of this theme, something like that shown in Example 4.15b (with apologies to Beethoven!).

Does this mean that we should withdraw the labels "antecedent" and "consequent" for the two phrases of the original theme and replace them with "continuation" and "continuation repeated"? By no means. The point is for us not to be forced into making a choice one way or the other (though of course an individual may have a personal preference), but rather to acknowledge the multiplicity of meanings expressed by the phrases and thus to appreciate the complexities presented by the theme.

EXAMPLE 4.15   (a) Beethoven, Andante for Piano in F ("Andante favori"), WoO 57, 1–8; (b) rewritten version

A second example presents another set of issues related to the analysis of simple themes.

EXAMPLE 4.16   (a) Beethoven, Piano Sonata in F minor, Op. 2, No. 1, ii, 1–8

> **Example 4.16a:** like the previous example, we confront a theme that appears to be a regular period, with an antecedent phrase ended by an HC and a consequent that seems to bring a return of the opening basic idea. Again, let's look closely at the details.
>
> In the first place, the entire basic idea does not return in mm. 5–6, but rather just its first half: starting on the downbeat of m. 6, the melody leaps dramatically upward to propel the music beyond the upper range of the high C achieved in the prior phrase. As well, the harmonic rhythm suddenly accelerates as the music moves into the cadential progression closing the theme.
>
> Why doesn't Beethoven simply restate the entire basic idea? A rewritten version of the opening six measures quickly reveals the problem; see Example 4.16b.

After hearing the HC in m. 4, we can readily perceive that the basic idea itself *sounds like another half cadence!* The effect of a threefold statement of the same material renders this rewritten version weak and ineffectual.

We can imagine that, if Beethoven had considered for a moment the possibility of bringing back the entire basic idea, he rejected it in favor of a phrase that seems more like a *continuation* than a consequent. In fact, we realize that mm. 3–4, despite bringing what seems at first to be a half cadence, can be heard as a varied *repetition* of the basic idea (which itself has the "content" of a half cadence). From these perspectives, the theme could be understood as bringing a presentation followed by a continuation. In short, the theme could justifiably be labeled a sentence rather than a period.

Again, we are not required to consider one or the other of these analytical readings as the valid one. The goal of a formal analysis is not to make a definitive interpretation but rather to raise—and relish—any reasonable alternatives that may present themselves.

What the two prior examples show is that the labeling of phrase functions is not a mechanical procedure; the obvious first choice for a label may not prove to be the only interpretation. At all times, try to use your musical instincts, in combination with the theoretical principles presented here, to explore beneath the obvious surface of a theme's formal organization.

ANALYTICAL COMPLEXITY

Be careful to avoid the tendency to "slap down" a quick, formal label and call it quits for the analysis. Rather, be encouraged to probe the many musical details that may call for a more nuanced interpretation, one that highlights ambiguities and multiplicity of perspectives.

Music of the classical style may seem straightforward on the surface, especially in relation to the polyphonic intricacies of a Bach fugue or the chromatic densities of a Wagner opera. But behind the apparent simplicity of texture and directness of expression, music by the classical composers (especially that of Haydn, the least appreciated of the three masters) is rich in subtleties and presents complexities of compositional technique unrivaled by other composers, especially in the realm of musical form.

Reviewing the Theory

Answer These Questions

1. How does a compound basic idea resemble an antecedent? How does it differ?
2. Which hybrid type begins like a period but ends like a sentence?

3. Which hybrid most resembles a sentence?

4. Which hybrid most resembles a period?

5. Why is the phrase combination cadential + compound basic idea not syntactically acceptable as a hybrid theme?

6. Which hybrid types have the potential of employing an ECP in their second phrase?

7. Which hybrid type restates the basic idea at some point within the theme?

8. Under what circumstances can it be difficult to distinguish a given phrase as a presentation or a compound basic idea?

True or False?

1. In the hybrid antecedent + cadential, the second phrase exhibits continuational features.

2. A compound basic idea is normally supported by a tonic prolongational progression.

3. In the hybrid antecedent + continuation, the second phrase fuses continuation and cadential functions.

4. Like the sentence and period, all of the hybrid types may modulate to a closely related key.

5. A compound basic idea consists of a simple basic idea that has been expanded to cover four measures of music.

6. In the hybrid type compound basic idea + consequent, the return of the basic idea is frequently harmonized differently from its appearance at the beginning of the theme.

Multiple-choice Questions

Choose a letter (there may be more than one) that correctly answers the question.

1. Which formal function expresses the sense of temporal initiation?
   a. Continuation
   b. Compound basic idea
   c. Cadential
   d. Presentation

2. Which formal function expresses the sense of temporal conclusion?
   a. Compound basic idea
   b. Continuation
   c. Consequent
   d. Cadential

3. Which is a "logical" combination of phrase functions?
    a. Cadential + continuation
    b. Presentation + continuation
    c. Presentation + consequent
    d. Continuation + antecedent

Examples for Analysis

EXAMPLE 4.17 Haydn, Symphony No. 98 in B-flat, iv, 1–8

EXAMPLE 4.18 Mozart, Fantasia for Organ in F minor, K. 608, 75–82

EXAMPLE 4.19 Haydn, Piano Sonata in D, H. 24, iii, 1–8

EXAMPLE 4.20 Beethoven, Violin Sonata in E-flat, Op. 12, No. 3, ii, 1–8

EXAMPLE 4.21 Beethoven, Violin Sonata in C minor, Op. 30, No. 2, iii, 1–8

EXAMPLE 4.22   Beethoven, Piano Sonata in F minor, Op. 2, No. 1, iii, 66–73
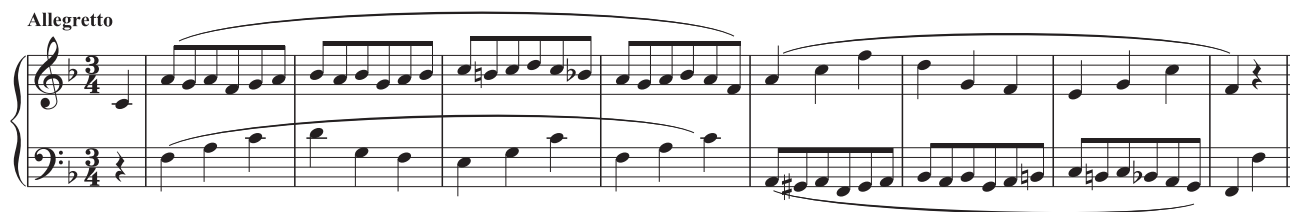
EXAMPLE 4.23   Beethoven, Piano Sonata in A, Op. 2, No. 2, ii, 1–8

Model Composition

1. Complete the idea shown in Example 4.24 to make an 8-m. hybrid theme (of any type), modulating or nonmodulating.

EXAMPLE 4.24   Model composition, hybrid, no. 1

2. Write a hybrid of the type antecedent + cadential using the basic idea of Example 4.25.

EXAMPLE 4.25 Model composition, hybrid, no. 2

Phrase Deviations, Cadential Deviations, and Framing Functions

This chapter brings together three main topics to complete our study of simple theme types: phrase deviations, cadential deviations, and framing functions. Though the compositional techniques associated with these topics are quite diverse, their use results in simple themes that last more or less than eight real measures.

The Basics

Phrase Deviations

Phrases of themes may deviate from their "theoretically defined" lengths. The ideas within the phrases may also be altered. To be more precise, it is best to describe these deviations in reference to the formal functions that are affected by the various techniques. The four standard techniques are *extension, expansion, compression,* and *interpolation.*

It is important to stress from the outset that the concept of deviation refers to situations that depart from the theoretical models for a variety of appropriate compositional goals. *The notion of formal deviation is not meant in any pejorative or negative sense.* On the contrary, many deviations are of special aesthetic interest and beauty.

DEVIATION VS. "DEFORMATION"

The term deformation *has gained currency in reference to a theory of musical form proposed by James Hepokoski and Warren Darcy.[1] Though deformation and deviation might seem synonymous in that both refer to the transgression of some theoretical norm, these theorists use the former term "to mean the stretching of a normative procedure to its maximally expected limits or even beyond them."*

The concept of deviation employed in this study refers to more modest compositional techniques, ones that are employed routinely throughout the classical repertory and that are far less extreme in their aesthetic effect than the cases of deformation described by Hepokoski and Darcy.

Extension

A formal function is *extended* when extra material is added in order to stretch out the function in time. The technique of extension brings *more material than is necessary* in order to express the function. So it is often possible (though not always) to reconstruct a more normative version by eliminating the extension.

EXAMPLE 5.1 (a) Mozart, Piano Sonata in F, K. 280, i, 1–13; (b) reconstructed version

(continued)

EXAMPLE 5.1 *Continued*

Example 5.1a: the opening 4-m. phrase brings a compound basic idea. Measures 5 and 6 see clear fragmentation into 1-m. units, thus signaling continuation function. (Note that the tonic prolongation initially supporting the compound basic idea is only completed at m. 6.)

Though the fragmentation is evident here, these two bars (5 and 6) do not bring any other continuational traits, such as acceleration of the harmony or the surface rhythm. So it is not surprising that Mozart *extends* the continuation with additional material that has precisely these characteristics: a sudden flurry of sixteenth notes in the melody of m. 7 and a marked increase in harmonic drive in m. 8.

Measure 9 brings the cadential function that promises to conclude the theme in the following bar. In actuality, the cadence is *evaded*—a cadential deviation to be discussed below—and the music "backs up" to the passage of extension for another try at the cadence, which concludes regularly with a PAC at m. 13.

A reconstructed version, Example 5.1b (eliminating both the extension and the evaded cadence), shows how the theme could have been expressed as a normative 8-m. structure, though Mozart's version is clearly preferable.

Expansion

A formal function is expanded when its constituent members are internally lengthened. We have already seen the idea of expansion in connection with an

"expanded cadential progression," and indeed, of all the standard phrase functions, the cadential one is most typically subjected to expansion techniques. Initiating functions can also be expanded, but continuation function, with its characteristic processes of fragmentation and harmonic acceleration, is inherently less suited to this phrase deviation.

Example 5.2a: the basic idea is internally enlarged to three measures by means of a rhythmic *hemiola*, in which the melody projects a slower-paced 3/2 meter, rather than the 3/4 meter projected by the lower voices. The repetition of the basic idea results in a 6-m. presentation phrase.

Example 5.2b reconstructs a normative version of the presentation, in which the hemiolas have been eliminated. The essential motivic content of the basic idea is now easily accommodated to two bars of a standard 3/4 meter.

The *expanded* basic ideas motivate an even more extended continuation, to be discussed below. (The annotations "main theme" and "transition/sub. theme" refer to analytical matters that are taken up in Chap. 18, where this theme is discussed in relation to minuet form.)

EXAMPLE 5.2 (a) Mozart, Symphony No. 40 in G minor, K. 550, iii, 1–14; (b) reconstructed version of the presentation phrase

TAMING THE TERMS

Extension vs. Expansion. *Distinguishing between processes of extension and expansion is useful and important, but also confusing at times.*

Extension typically results from "adding on" or "stringing together" extra units of some material. Expansion arises from taking a component unit and "swelling it out" from the inside, so to speak.

You can get an idea of the difference between these two processes by thinking of the party clown who makes funny shapes out of balloons. Extension is akin to the clown taking a number of little balloons and tying them together to make a bigger object. Expansion is akin to taking a single balloon and blowing it up to make a large, single shape.

Interpolation

If entirely new, *unrelated* material is inserted between two logically succeeding formal functions, we can say that this material has been *interpolated* into the theme. The impression we have is that the interpolated material does not partake of either of its surrounding functions and can easily be eliminated without disturbing the formal syntax.

EXAMPLE 5.3   (a) Mozart, Piano Concerto in F, K. 459, ii, 1–10; (b) reconstructed version

EXAMPLE 5.3 *Continued*

Example 5.3a: Following a tutti statement of the basic idea, the violins alone play an ascending chromatic eighth-note figure at the upbeat to m. 3. The tutti texture resumes with the contrasting idea in the following two measures. Seeing as the rising chromatic figure belongs neither to the basic idea (which is clearly over on the downbeat of m. 2) nor to the contrasting idea, we can say that the figure has been *interpolated* into the antecedent phrase. (A similar interpolation occurs in the consequent phrase with the upbeat to m. 8.) Both interpolations can easily be deleted to yield a structurally sound 8-m. period, as shown in Example 5.3b.

Compression

A formal function is compressed when its constituent members are shortened in relation to the norms. Unlike the other types of deviation, it is less easy to reconstruct a normative version.

Example 5.4: the continuation phrase is reduced in scope to just two measures. Yet we can still recognize the basic functional components of the phrase: m. 5 brings both the fragmentation (into half-measure units) and the harmonic acceleration typical of continuation function, and m. 6 contains the half-cadence formula to close the theme.

EXAMPLE 5.4   Haydn, String Quartet in B♭, Op. 50, No. 1, ii, 1–6

SOME HISTORICAL BACKGROUND

Phrase Deviations. *From the very beginning of theories of form (in the mid-18th century), theorists understood that although most phrases or themes lasted four or eight measures, others were less symmetrical in structure. So many of the phrase structural techniques described above have long been identified in the theoretical literature.*

Even Hugo Riemann,[2] who notoriously insisted that every theme (he called them all "periods") be understood in relation to a single 8-m. model, understood the flexibility of actual thematic structures found in the musical repertory.

The treatment of phrase deviations in this book, though similar to accounts given by many other theorists, emphasizes the form-functional *contexts in which such deviations take place.*

Cadential Deviations

In some formal situations, an *authentic* cadence is promised but does not actually occur. Three types of cadential deviation are responsible for the failure to realize an implied authentic cadence: the *deceptive* cadence, the *evaded* cadence, and the *abandoned* cadence. (These deviations do not apply to half cadences.) Following any of these cadential deviations, the music usually "backs up" to previous material and makes another try for the authentic cadence; sometimes, however, entirely new material follows the deviation.

Deceptive Cadence

A *deceptive* cadence arises when the final root-position tonic of an implied authentic cadence is replaced by some other harmony (usually VI) or by tonic in first inversion. The resulting series of harmonies thus creates a deceptive cadential progression (as defined in Chap. 1). The event supported by the replacement of the tonic groups with the preceding music such that this event still represents the *goal* of the ongoing phrase.

EXAMPLE 5.5   Mozart, Piano Sonata in A minor, K. 310, iii, 1–20 (R = 2N)

Example 5.5: this 8-m. period (R = 2N) promises to close with a PAC at m. 16. Instead, the cadential dominant resolves to VI, and the resulting deceptive cadence motivates a repetition of the contrasting idea (with an important melodic variant, one that allows the line to reach a climax on the high A in m. 18). The theme finally ends with a PAC at m. 20.

The use of the deceptive cadence thus *extends* the overall consequent function, by bringing an additional statement of the contrasting idea.

DECEPTIVE CADENCE VS. DECEPTIVE RESOLUTION

Most students first learn about the "deceptive cadence" in their elementary studies of harmony, where the term tends to be used whenever a V resolves to VI.

It is important, however, to distinguish a deceptive resolution of the dominant (as this progression can be called) from a genuine deceptive cadence. The latter should be recognized only when there is a truly cadential situation in the making—that is, when the circumstances for thematic closure are imminent.

The motion from V to VI occurs in a variety of contexts, many of which are entirely noncadential, and you are strongly advised to avoid labeling every such harmonic progression a "deceptive cadence." Save that term only for cases where you could change the submediant into a tonic and then recognize a genuine cadence at that moment.

Speak freely of deceptive "resolutions"; speak with caution of deceptive "cadences."

Evaded Cadence

An *evaded* cadence arises when the final cadential tonic of an implied authentic cadence fails to appear. The music that immediately follows the cadential dominant does not really belong to (or group with) the preceding music. Rather, what appears at the moment of expected cadential arrival marks the start of another phrase (or idea), one that usually gives the impression of "backing up" in order to repeat the prior continuation or cadential material. Thus the evaded cadence often projects the sense of "let's try this one more time and see if we can finally make it to the end."

> **Example 5.1:** the extended continuation leads to a cadential progression at m. 9 that promises to close the theme with a PAC on the downbeat of m. 10. But that moment fails to bring the final tonic of the cadential progression; instead, the music in m. 10 clearly refers to what we heard back at m. 7, thus running through the extended continuation and cadential material "one more time." The final tonic at m. 13 brings the PAC that was promised earlier at m. 10.

Evaded cadences arise infrequently in simple main theme contexts (such as those being considered for most of the examples in Part I of this text). They appear much more regularly in subordinate themes and other loosely organized sections of sonata form and other full-movement formal types; so the topic will be raised again and illustrated more fully in later chapters.

A tip on analytical notation: the horizontal bracket indicating the cadential progression in m. 9 of Example 5.1a is interrupted by a double slash

(//), which signals that the cadential dominant is suddenly broken off just prior to its anticipated resolution to tonic. This symbol also graphically shows that the following harmony does not belong to the cadential progression.

Abandoned Cadence

A cadence is *abandoned* when, in the context of a potentially occurring authentic cadence, something goes awry with the cadential dominant. Two situations typically give rise to cadential abandonment:

1. The cadential dominant is *undermined* if it is originally placed in first or second inversion or if it becomes so inverted after initially appearing in root position.
2. The cadential dominant is *omitted* altogether.

In the case of an evaded cadence, the cadential dominant is locked firmly into root position, and so the "problem" concerns the absence of an event associated with the final tonic. With the abandoned cadence, on the contrary, the problem concerns the cadential dominant itself, which is either undermined or omitted.

Like cadential evasion, cadential abandonment is rarely used in the context of simple main themes. The technique is thus broached again in later chapters.

> **Example 5.6: the second phrase of this sentence begins directly with an expanded cadential progression. The arrival of the dominant in root position sets up expectations for cadential closure. But in the course of m. 7, the dominant becomes undermined when the bass line ascends stepwise, such that the harmony is inverted to its six-five position, thus rendering the resolution to the tonic at m. 8 as noncadential. (Note that even after reaching the tonic, the bass continues to press up to I⁶ in a manner that denies all the more any sense of genuine cadence.)**
>
> **The failure to realize the expected cadence motivates a repeat of the continuation⇒cadential phrase, which this time sees the dominant harmony residing entirely in root position until its resolution to tonic, which finally brings the PAC.**

EXAMPLE 5.6 Beethoven, Violin Sonata in E♭, Op. 12, No. 3, i, 1–13

EXAMPLE 5.6   *Continued*

Framing Functions

The principal boundaries of a theme are marked by the beginning of the basic idea and the moment of cadential closure. Two additional formal functions can *frame* these boundaries. A *thematic introduction* can precede the theme's beginning, and *postcadential* material can follow its end.

Postcadential function takes two forms depending upon the cadence: either as a *closing section*, following an authentic cadence, or as a *standing on the dominant*, following a half cadence.

Thematic Introduction

A *thematic introduction* is a short unit, rarely more than two measures, but sometimes just one or two chords. Its motivic content is minimal so as not to project any sense of being a basic idea. It often consists exclusively of

accompanimental figurations that continue after the beginning of the theme. Most thematic introductions prolong tonic harmony in root position. (A thematic introduction is not to be confused with a "slow introduction," which precedes the exposition section of sonata form, as discussed later in Chap. 16.)

EXAMPLE 5.7   Beethoven, Piano Sonata in B♭, Op. 22, ii, 1–12

Example 5.7: the accompanimental "vamp" figure in the left-hand part of m. 1 constitutes a thematic introduction. Note that the theme (a hybrid: compound basic idea + continuation⇒cadential) does not literally *begin* until the upbeat to the following measure; we thus count m. 2 as the "first" bar of the theme, which is preceded by a 1-m. introduction.

Closing Section

Any theme that closes with a perfect authentic cadence may be followed by a *closing section*. This unit prolongs both the tonic harmony and the tonic melodic scale degree achieved by the cadence. A closing section may begin in the measure following the cadence or else *elide* with the moment of cadential arrival.

A closing section comprises a series of *codettas*. An individual codetta can be as short as a single chord or as long as a 4-m. phrase. Its motivic content

often differs from the music used to end the theme, but sometimes immediately preceding cadential material will continue to be used within the codetta.

The melody of a codetta tends to revolve around the tonic scale degree (Î) or else has that scale degree as its melodic goal. In either case, the codetta avoids reopening melodic space in a manner that might suggest a new basic idea. The harmony of a codetta is most often tonic prolongational, though cadential progressions may appear as well.

If the closing section consists of different codettas, then we usually observe a process of fragmentation of the grouping structure, whereby each new codetta is shorter than the preceding one.

> **Example 5.7: the theme cadences on the downbeat of m. 9, at which point a 1-m. codetta appears, whose melodic line descends from 5̂ down to Î, while supported by a V–I harmonic progression. The "content" of this codetta thus resembles a cadence, though its function is decidedly *postcadential*. The codetta is repeated down an octave in the following bar, after which fragmentation brings a series of one-beat codettas to round out the closing section as a whole.**

Standing on the Dominant

A postcadential *standing on the dominant* has many of the same features as a closing section except that it is supported entirely by a prolongation of dominant harmony. A standing on the dominant can be used after most half cadences, with one significant exception: *the antecedent of a period (when ending with an HC) is rarely followed by a standing on the dominant.*

Like a closing section, an extensive standing on the dominant may bring a variety of ideas, usually in a way that brings about fragmentation of the grouping structure.

Since simple themes seldom use this framing function, the standing on the dominant is not discussed any further here but will be brought up again and illustrated in later chapters where appropriate.

FOCUS ON FUNCTION

Temporal Framing. *The framing formal functions are expressions of the general temporal functions* before-the-beginning *and* after-the-end.

Although there is something a bit paradoxical about saying that the first material we hear occurs "before the beginning" and that the last thing we hear takes place "after the end," such framing temporalities occur in many familiar, real-life contexts.

On any given day, for example, your theory class on musical form technically begins *when your instructor starts to present the topic for that day. The class* ends *when your instructor says that time is up. But there also exists the* before-the-beginning *time when you and your friends enter the class, take your seats, get out your textbook and scores, and share recent gossip. And when the bell rings (or the instructor calls it quits for the hour), then you enter into an*

> **Focus on Function continued:**
>
> after-the-end *phase of putting back your materials, shuffling out the door, or perhaps hanging around to ask your instructor some additional questions.*
>
> *These periods of time that frame the actual class are surely part of its full experience, even if they do not belong within the literal boundaries of the class time. Likewise, the functions of introduction and closing section (or standing on the dominant) "belong" to the theme that they frame.*

Let's Practice

EXAMPLE 5.8   Beethoven, Piano Sonata in D, Op. 10, No. 3, iv, 1–9

Example 5.8: answer these questions.

1. What is the label for the first 4-m. phrase?
2. Does the second phrase bring back the full 2-m. basic idea?
3. What cadential deviation is found in this theme?
4. Does the theme bring any phrase deviations?
5. What is the overall theme type that best applies to this theme?

EXAMPLE 5.9   Beethoven, Symphony No. 7 in A, iii, 1–24 (R = 2N)

EXAMPLE 5.9   *Continued*

Example 5.9: answer these questions.

1. What formal function is exhibited by mm. 3–10?
2. The various grouping, harmonic, and rhythmic processes of mm. 11–16 express which formal function?
3. In which measure does the theme find thematic closure? What kind of cadence closes the theme?
4. Are there any framing functions at work in connection with this theme?

More Details

Phrase Deviations

Common Extensions

Here are some common situations in which *extension* is used in simple themes:

- Extending an idea by repeating some of its material, either literally or in some varied form (sometimes highly ornamented). Repeating the material with a change to a softer dynamic can even give the effect of an "echo."

Example 5.10: the 2-m. basic idea is extended by an additional measure when the second half of the idea is repeated. Though not specifically indicated by the composer, the performer may wish to impart a subtle change in dynamics in mm. 3 and 9 in order to create a slight echo effect.

EXAMPLE 5.10   Mozart, Rondo in F, K. 494, 1–12

- Extending a continuation with additional fragments, often supported by sequential harmonic progressions.

> **Example 5.2: the expanded presentation (discussed above) motivates an even more extended continuation. The upbeat to m. 10 brings four fragments—two more than are ordinarily needed to express the function—within the context of a descending-third sequential progression.**
>
> **This fragmentation follows on a third statement of the basic idea (mm. 7–9). Such an additional repetition might be considered part of an extended presentation, but since the supporting harmony no longer prolongs the initial tonic (introducing instead a modulation to the dominant region), the repeated idea is better seen as initiating the continuation.**

- Extending continuation or cadential functions (or both) by repeating earlier material following a cadential deviation. Cases of such extension have already been seen in Examples 5.1, 5.5, 5.6, and 5.8.
- Extending continuation or cadential functions (or both) by repeating earlier material following an *imperfect* authentic cadence (IAC). In principle, this cadential type is sufficient to close a theme, but often the composer wishes to bring even stronger cadential closure and does so by repeating some or all of the prior phrase. On occasion, the final phrase of a theme ending with a PAC will be repeated in order to extend the theme.

EXAMPLE 5.11   Beethoven, Piano Sonata in C, Op. 2, No. 3, i, 1–13

Example 5.11: the continuation phrase concludes at first with an IAC (on a weak metrical position). A brief lead-in introduces a repeat of the continuation, and the slight cadential expansion pushes the stronger PAC over on to the downbeat of m. 13.

EXTENSION VS. INTERPOLATION

Extensions often result from adding on units of the same, or similar, melodic-motivic content.

But the process of extension can also arise with the use of different, contrasting material, such as the extension of continuation function seen in Example 5.1, m. 7.

As a result, it is easy to confuse extension with interpolation, which always inserts completely unrelated material into the theme. The difference between these two deviation techniques lies not only in the nature of the added material but also in the relation of that material to the form-functional context.

(continued)

> Extension vs. Interpolation continued:
>
> *In the case of extension, we have the impression that the newly added material continues to express the ongoing function. With interpolation, the newly added material does not seem to belong to either of its immediately preceding and following functions.*
>
> *In the classical repertory, extension is a much more frequently occurring deviation than interpolation.* When in doubt, opt for the former interpretation, *unless you are completely sure that the newly inserted material does not belong functionally to its surrounding material.*

Symmetrical vs. Asymmetrical Deviations

Deviations may result in grouping structures that are *symmetrical* (5 + 5, 6 + 6) or *asymmetrical* (4 + 6). In the case of an asymmetrical deviation, the first phrase is almost always the normative length (4 measures), while the second phrase is longer or shorter. It is rare for the first phrase to be altered and the second phrase to exhibit the regular length.

In the period (and the periodic hybrid compound basic idea + consequent), the distinction between symmetrical and asymmetrical deviations is particularly significant. Even more than with the sentence (or the sentential hybrids), the 4 + 4 grouping structure of the period suggests a symmetrical organization, since the consequent repeats the antecedent rather than bringing something essentially new (as does the continuation of the sentence).

For this reason, phrase deviations in the period frequently take place in a way that maintains the sense of equilibrium between the phrases: if the antecedent is lengthened or shortened, the consequent is likely to be altered in the same way (though different phrase deviations may be used in the two phrases).

Example 5.12a: the 10 measures of this period exhibit a symmetrical 5 + 5 grouping structure. A reconstructed normative version, Example 5.12b, reveals that the theme has undergone two alterations. First, the HC ending the antecedent (m. 4) is *extended* by an extra measure of dominant harmony. Second, the contrasting idea of the consequent (mm. 8–10) is *expanded* by an additional measure.

This second change allows the descending eighth-note motive of the consequent's contrasting idea to maintain its original tonic support (compare Ex. 5.12a, m. 3 to m. 8) and also permits the new cadential melody (mm. 9–10) to correspond rhythmically with that of the half-cadential extension (mm. 4–5).

Despite the apparent symmetry in grouping structure (5 + 5), a certain asymmetrical quality is nonetheless projected by how the cadence points define a 4 + 6 pattern.

EXAMPLE 5.12   (a) Haydn, String Quartet in G, Op. 54, No. 1, iii, 1–10; (b) reconstructed version

Cadential Deviations

Grouping Context vs. Harmonic Context

Traditional views on the kinds of cadential deviations presented in this chapter tend to focus on how the *harmony* of the standard authentic cadence becomes altered in some way, thus giving rise to the deviation. Many definitions of the deceptive cadence, for example, mention only that the final tonic must be replaced by some other harmony than tonic in order for the sense of deception to be created.

In this text, the question of harmonic changes associated with cadential deviations is surely important. But equally important—indeed, even more so in distinguishing between deceptive and evaded cadences—is the *grouping structure* associated with the deviation.

In the case of the deceptive cadence, the musical event supported by the harmony that replaces the final tonic belongs entirely to the ongoing cadential process; it thus functions as the final event, the goal, of the phrase. Like an authentic cadence, a deceptive cadence has a distinct moment of arrival, after which the subsequent phrase begins. The event that follows the cadential dominant groups *backwards* with that dominant (and with the rest of the cadential progression).

On the contrary, the evaded cadence arises when everything is prepared for the final event to arrive (at some clearly predestined moment in time), yet the sense of a goal event fails to materialize. Instead, the event that appears where the goal was expected to occur is not heard as belonging to the ongoing cadential process; rather, it belongs already to the subsequent phrase. In other words, the event that follows the cadential dominant groups *forward* with the next phrase, thus creating a salient disruption in the grouping structure, because *the cadential group fails to finish before a new group begins*.

This sense of grouping disruption is what allows an evaded cadence to arise even if the cadential dominant literally resolves to a root-position tonic. That tonic is heard not as an *ending* tonic but rather exclusively as a *beginning* tonic. (If it were heard as both a beginning and an ending simultaneously, then an *elided* authentic cadence would be created.)

EXAMPLE 5.13 Mozart, Piano Sonata in C, K. 309, iii, 13–19

Example 5.13: the theme promises to close with a PAC on the downbeat of m. 16, and indeed the cadential dominant does resolve to a root-position tonic at that moment. But the melodic-motivic material being supported by that tonic clearly references the downbeat of m. 13 (at the beginning of the example). We thus hear the music backing up in order to run through the continuation phrase "one more time." The tonic of m. 16 groups *forward* with the repeated continuation, not *backward* with the cadential progression, and so the sense of evaded cadence is well projected.

TAMING THE TERMS

"One More Time" Technique. *Janet Schmalfeldt coined the expression "one more time" technique specifically in connection with evaded cadences, such as the one just discussed in Example 5.13 (and also in Ex. 5.1), where following the evaded cadence the music backs up and tries for the cadence "one more time."[3]*

But returning to prior material after the failure to achieve an expected PAC can also occur after an IAC (as in Ex. 5.11), a deceptive cadence (Ex. 5.5), or an abandoned cadence (Ex. 5.6).

Whether the one more time technique should be applied beyond the evaded cadence or not (and theorists ultimately have no control over how their terms are used by other theorists, instructors, and students), it is important to recognize that, unlike the other cadential situations, an evaded cadence results in a marked disruption to the grouping structure in such a way as to make the sense of "let's try that one more time and see if we can finally reach the goal" a more palpable and dramatic effect.

Abandoning the Cadential Progression

In some cases of cadential abandonment, we can locate an ending point for the phrase and speak of this moment as the "abandoned cadence" proper. Such a situation occurs in Example 5.6 on the downbeat of m. 8, where we sense that the arrival on a promised authentic cadence has been denied.

In other cases, however, we recognize that a cadential progression is abandoned without being able to specify a precise moment of denied arrival. In such situations, the cadential abandonment does not occur at the very end of the ongoing thematic process. Rather, the abandoned cadential progression is followed immediately by a new cadential one (bringing thematic closure), or else the abandonment is followed by further tonic prolongation, which eventually yields to a final cadential progression.

It may even be the case that the phrase closes with an HC, even if an authentic cadential progression had been promised but then abandoned.

Example 5.14: following a standard presentation phrase, the continuation begins at m. 5 with tonic harmony that quickly shifts to first inversion, thus signaling the potential for the onset of an expanded cadential progression. The move to IV on the downbeat of the following measure seems to confirm that possibility, and even the shift to IV^6 could still be understood as prolonging a cadential pre-dominant.

But when the bass line continues upward to support V^6 resolving to I, we recognize that the cadential progression has been abandoned (by inverting the

dominant). The progression IV⁶–V⁶–I is thus understood as prolongational, which leads to a quick half-cadential progression, with I as a linking harmony. The sentence thus ends with an HC in m. 8.

Though we can speak of a cadential progression that is abandoned, there is no particular moment within the continuation phrase that represents a denied arrival and where we could place the label "abandoned cadence" (as we could do in Ex. 5.6, m. 8).

Finally, when the sentence is repeated in mm. 9–16, we see that Beethoven now realizes the potential for an expanded cadential progression in order to make a genuine continuation⇒cadential phrase in mm. 13–16. (The overall form of the theme is a compound period, as is discussed in the following chapter.)

EXAMPLE 5.14   Beethoven, Piano Sonata in C minor, Op. 10, No. 1, ii, 1–16

Framing Functions

Dynamics of Framing Functions

The two basic framing functions—introductory and postcadential (closing section, standing on the dominant)—frequently exhibit a distinct *dynamic* process.

The term *dynamic* is used here in a broader sense than merely "intensity of sound" (loud-soft, crescendo-decrescendo). Rather, dynamic activity involves the systematic growing or diminishing of tension and excitement created by a variety of musical means, such as changes in texture, rhythmical activity, timbre, and (of course) intensity.

A thematic introduction typically features what Wallace Berry[4] has termed a *progressive* dynamic, that is, one in which there is an increasing buildup of energy and anticipation. Berry also speaks of a *recessive* dynamic, which brings about a diminution and dissolution of tension and excitement. This type of dynamic is often associated with a closing section.

EXAMPLE 5.15   Beethoven, String Quartet in F, Op. 135, iii, 1–4

Example 5.15: a progressive dynamic is clearly manifested in the thematic introduction (mm. 1–2) not only by the actual crescendo but by the accumulating texture. Moreover, the lack of melodic material creates an anticipation for the appearance of a distinctive melody at the beginning of the theme (shown earlier in Chap. 2, Ex. 2.21).

Example 5.16: a rather agitated, *forte* continuation phrase concludes with a PAC at m. 32. There follows a closing section characterized by smoothly flowing eighth notes, a stabilizing tonic pedal, and a *calando* ("diminuendo") leading down to *pianissimo*, all of which create a clear sense of recessive dynamic.

EXAMPLE 5.16   Mozart, Piano Sonata in F, K. 332, iii, 27–35

Not all closing sections display a recessive dynamic. Frequently enough, the energy achieved in reaching the cadence is either sustained or further increased by the series of codettas following the cadence.

EXAMPLE 5.17   Mozart, Piano Sonata in C, K. 330, iii, 13–20

Example 5.17: the energy built up as the continuation phrase approaches the PAC at m. 16 is at least sustained, if not further enhanced, when the closing section, bringing a flurry of triplet sixteenth notes, elides with the cadence.

Codetta: Structure and Content

It is somewhat difficult to generalize about the structure and content of codettas, since they come in various sizes and shapes. In some sense, it is easier to "recognize" a codetta when you hear one than it is to "define" precisely just what makes it a codetta. (The examples of codettas that follow are taken from different places within a movement, not just at the end of a simple main theme.)

Size. Most codettas tend to be one or two measures in length, but their size is quite variable. At one extreme, a codetta can consist of just a single chord; at the other extreme, an individual codetta can make up a full 4-m. phrase. (Rarely, a single codetta can be stretched out to five or six measures, but such a procedure would risk the possibility of the codetta becoming a complete theme in its own right.)

Harmony. The harmonic content of a codetta most often sees a prolongation of the tonic harmony achieved by the immediately preceding PAC. A tonic pedal is frequently employed because of its highly stabilizing effect. Other prolongations include a simple alternation of tonic and dominant harmonies.

EXAMPLE 5.18   Mozart, Piano Sonata in A, K. 331, iii, 116–27

Example 5.18: the codettas of this closing section (beginning at m. 122) are built exclusively on root-position tonic harmony, with no other intervening harmonies.

Example 5.19: this highly energetic closing section (mm. 112ff.) is filled with a variety of codettas, all supported by simple tonic prolongations.

EXAMPLE 5.19 Haydn, Piano Sonata in E♭, H. 52, i, 111–16

One progression that is highly characteristic of a codetta brings a marked emphasis on the subdominant harmony, often including a tonicization of that degree (V^7/IV).

Subdominant emphasis within a codetta functions as a dynamic counterweight to the dominant harmony preceding the final tonic of the cadence. Whereas the cadential dominant creates tension for its resolution to the tonic, the subdominant acts as an agent of relaxation and thus helps create the recessive dynamic so characteristic of codettas.

EXAMPLE 5.20   Mozart, String Quartet in E♭, K. 428, ii, 90–96

Example 5.20: at m. 92, the tonic pedal in the cello and the chromatic line in the second violin (8̂–♭7̂–6̂–♮7̂–8̂) are typical features of a codetta whose harmonic progression emphasizes the subdominant.

A codetta can also be supported by a cadential progression. In some cases, the progression is different from the one that actually closes the theme. In other cases, the progression may be similar, in which case the entire codetta usually resembles the cadential idea (a situation to be discussed shortly).

Example 5.21: the codetta (mm. 20–23), which is repeated, is built over an expanded cadential progression. The ECP is different from the cadential progression closing the theme in mm. 17–19.

EXAMPLE 5.21   Beethoven, Violin Sonata in A, Op. 30, No. 1, i, 16–27

EXAMPLE 5.22   Mozart, Piano Trio in G, K. 496, ii, 8–12

A codetta is sometimes harmonized with a deceptive cadential progression, after which a repeat of the codetta brings the authentic cadential version. This situation is akin to a deceptive cadence followed by a PAC, except that in the context of a closing section, we cannot speak of genuine cadences.

> **Example 5.22: the theme cadences in m. 8, after which follow two codettas based on the same material as the cadence itself. The first codetta (m. 9) brings a deceptive resolution of the dominant to VI, after which the repeated codetta resolves normally to I (m. 10). Additional half-bar codettas in mm. 11–12 complete the closing section.**

Melody. The melodic content of a codetta frequently circles around the tonic scale degree in a manner that "prolongs" the melodic goal of the PAC. In Example 5.18, the melody of the codettas simply jumps back and forth between Î and Ĝ, and Î and Ŝ. Example 5.19 is more elaborate, but the melody of most of the codettas begins and ends on the tonic (see the scale-degree annotations in the score).

If the melody of a codetta more actively engages other scale degrees, then it will normally end on the tonic. In its role as an *after-the-end* function, the codetta will avoid opening up melodic space in a manner that would signal a formal *beginning*.

EXAMPLE 5.23   Haydn, Piano Sonata in E♭, H. 49, ii, 120–24

> **Example 5.23: the opening codetta (mm. 121–23) begins on Ĝ and descends stepwise to Î. The final tonic chord is repeated by an additional one-bar codetta. Note the emphasis on subdominant harmony within the initial codetta.**

At times, the melodic-motivic content of the codetta resembles (or is identical to) the cadential idea that closes the theme.

EXAMPLE 5.24 Beethoven, String Quartet in F, Op. 135, iii, 8–13

Example 5.24: the theme closes in m. 10 with a melody in the first violin that is then immediately taken up by the cello to make the first of several codettas. The cadential tune is brought back up to the first violin, after which a new half-bar codetta completes the closing section.

Particularly in scherzo movements, the codettas are often built directly out of the same material as the cadence itself in order not to disrupt the intensity of the prevailing rhythmic drive. Consider again what happens at the end of Example 5.9 from the "Let's Practice" section above.

Now and then, a single codetta remains melodically open on $\hat{3}$ or $\hat{5}$, after which a repeat of the codetta closes the melody down on $\hat{1}$.

Example 5.25: following the cadence at m. 135, the first codetta emphasizes the fifth scale degree, not only by the sixteenth-note triplet motives but also when the melody leading into m. 137, which promises to close on $\hat{1}$, suddenly leaps up to $\hat{5}$. Upon repetition, the melody closes as expected on the tonic (at m. 139). A new, final codetta emphasizes subdominant harmony as well as bringing back the sixteenth-note triplet motive, this time hovering high above on $\hat{1}$.

EXAMPLE 5.25   Mozart, String Quartet in D minor, K. 421, iv, 134–42

CADENCE VS. CODETTA

Many musicians fail to distinguish between cadences and codettas. For example, we often hear something like "the piece finishes with a cadence that is repeated a number of times" or "the last bar of the piece brings a decisive cadence emphasizing the tonic." But the very final measures of a work rarely bring cadences. Instead, these configurations are almost always codettas, *which follow an earlier-appearing PAC.*

In many cases, such codettas cannot even be considered cadences because they lack the required harmonic support (their harmonies are tonic prolongational, not cadential). But when a codetta is supported harmonically by a cadential progression (and especially if its melodic component resembles the PAC that closes the theme), it is easy to confuse codettas with cadences.

(continued)

> **Cadence vs. Codetta continued:**
>
> *The so-called plagal cadence (often as an "Amen" figure) is another instance of this problem, for almost all such identified cases really involve a codetta (e.g., I–IV–I), whose emphasized subdominant is typical of an after-the-end function.*
>
> *If you are tempted to speak of "additional cadences" that follow the final cadence of a theme, consider instead whether these are better understood as codettas.*

Finer Points

Contrasting Idea Replaced by Continuation Phrase

In some periodic situations, the formal position that would ordinarily be filled by a 2-m. contrasting idea is replaced by a full 4-m. phrase that has the standard features of a continuation.

The resulting phrase deviation could be seen as a form of phrase *expansion*, in that what was expected to be a 2-m. unit within either the antecedent or the consequent (or both) is inflated to become a 4-m. unit.

EXAMPLE 5.26 Haydn, String Quartet in C, Op. 33, No. 3, ii, 1–10

> Example 5.26: in this periodic hybrid (compound basic idea + consequent), what would have been a contrasting idea in mm. 7–8 (corresponding to mm. 3–4 in the opening phrase) is replaced by a 4-m. unit (mm. 7–10) whose fragmentation and model-sequence technique leading to a cadential idea resembles a regular continuation phrase.

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This expansion of the consequent is motivated by the shift to the supertonic region for the return of the basic idea in mm. 5–6. It would be possible, of course, for the final cadential idea (mm. 9–10) to have just been tacked on after m. 6, but the model-sequence passage creates a more satisfying sense of "returning back to the tonic" prior to the cadential confirmation.

Glancing back at the opening 4-m. unit, we might be tempted to see it as an antecedent phrase closing with an IAC because of the V^7–I progression from the last beat of m. 3 to the downbeat of m. 4. But the harmony of m. 3 *as a whole* is better understood as V_3^6 (which is embellished by the passing chord on beat 2 and the V^7 on beat 3), thus resulting in noncadential closure for the phrase.

Codetta Closes with Cadence; Cadence of Limited Scope

If an individual codetta occupies the length of a full phrase of four measures, it may itself be concluded with a brief cadential idea. In such cases, it is important to understand that the structural scope of that cadence is limited to the boundaries of the codetta and does not otherwise affect the processes of cadence that were responsible for closing the theme proper.

Cadences of limited scope can arise in some other formal contexts (to be dealt with in later chapters), but their appearance in closing sections is by no means rare.

EXAMPLE 5.27   Mozart, Violin Sonata in E minor, K. 304, i, 18–28

> **Example 5.27:** the theme concludes with a PAC in m. 20. What follows is a closing section consisting of a repeated 4-m. codetta. The codetta, however, is itself closed with a clear cadential progression.
>
> Within the limited scope of the codettas, these cadential figures have a genuine cadential function. From the perspective of the theme as a whole, however, they participate within a broader *postcadential* function and thus cannot be considered true cadences.

A tip on analytical notation: in order to distinguish cadences of limited scope from regular cadences used for thematic closure, the cadential abbreviation is placed in parentheses, rather than in a box. (Compare Ex. 5.27, mm. 24 and 28 to m. 20.)

Boundary Process: Melodic Overlap

In Chapter 3, we learned about the boundary processes of lead-in and elision. Another kind of boundary process arises now and then in closing sections: *melodic overlap*. (I also discuss this boundary process in connection with other formal contexts as appropriate.)

Melodic overlap resembles elision in that the goal of the melody of one group occurs on the downbeat beginning the next group. Unlike elision, however, we do not have the impression that the entire measure defined by this downbeat belongs to the prior group. In other words, the measure prior to the melodic overlap is the final measure of the group, while the moment of melodic overlap represents essentially the beginning of the next group.

> **Example 5.7:** as discussed above, the theme concludes with a PAC in m. 9. This bar also sees the beginning of a closing section made up of codettas. In other words, we can recognize a clear sense of elision between the end of the theme and the beginning of the closing section.
>
> But what are the boundaries of these codettas? Beginning on the downbeat of m. 10, we clearly hear that the codetta of m. 9 starts to be repeated. But unlike that earlier moment, we do not necessarily have the impression of a genuine elision of codettas. In other words, we do not hear that the first codetta really includes the whole of m. 10.
>
> Nonetheless, there is a distinct sense that the melody of the first codetta *overlaps* with that of the second codetta (as shown by the overlapping brackets). A similar melodic overlap occurs on the downbeat of m. 11, when a new, shorter codetta begins and is repeated three times.

> **Example 5.16:** melodic overlap is well illustrated by this closing section. Each of the codettas making up the section begins and ends on the tonic scale degree, thus creating a clear melodic overlap. To be sure, the closing section *elides* with the end of the theme; that is, the theme concludes in m. 32, which is simultaneously the first bar of the closing section. But after that, there is no further elision, just melodic overlaps. We hear the first two codettas as *1-m.* units, followed by a *half-bar* codetta, whose repetition is expanded to cover a full bar.

Reviewing the Theory

Answer These Questions

1. What are the four main types of phrase deviation?
2. Expansion technique is especially associated with which formal function?
3. What are the three main types of cadential deviation?
4. What is the difference between a deceptive *resolution* and a deceptive *cadence?*
5. How is an evaded cadence created?
6. A closing section comprises a series of which smaller structures?
7. A codetta can often be said to prolong which harmony and which scale degree in the melody?
8. The effect of an "echo" is associated with which phrase deviation?
9. What typically happens if a theme first ends with an IAC?
10. Symmetrical deviations are normally associated with which theme type?
11. Which compositional processes can give rise to a progressive dynamic?
12. Why do we say that the cadential idea ending a 4-m. codetta is a "cadence of limited scope"?

True or False?

1. Expansion technique is appropriate for continuation function.
2. Extension is much more prevalent in the repertory than interpolation.
3. Interpolated material does not participate in the ongoing processes of formal syntax.
4. For many cases of phrase deviation, it is possible to reconstruct a more normative version of the passage.
5. Following a cadential deviation, the music usually brings new material.
6. A thematic introduction normally prolongs tonic harmony.
7. A codetta is usually supported by a cadential progression.
8. Most classical compositions literally end with a cadence.
9. The event that replaces the final tonic of a deceptive cadence groups *backwards* with the preceding music.
10. Codettas tend to emphasize dominant harmony, often by tonicizing that harmony.

Multiple-choice Questions

Choose a letter (there may be more than one) that correctly answers the question.

1. Which phrase deviation technique brings "more material than is necessary" in order to express a given function?
   a. Interpolation
   b. Extension
   c. Expansion
2. The "one more time" technique was specifically termed in reference to which cadential deviation?
   a. Deceptive cadence
   b. Evaded cadence
   c. Abandoned cadence
3. Which technique can give rise to an abandoned cadence?
   a. Invert the cadential dominant.
   b. Substitute a different harmony for the final tonic.
   c. Omit the cadential dominant.
   d. Eliminate the final tonic.
4. Which harmonic progression is *not* characteristic of a codetta?
   a. Tonic prolongational
   b. Sequential
   c. Cadential
5. Which boundary process is often associated with a closing section?
   a. Elision
   b. Lead-in
   c. Melodic overlap

Examples for Analysis

EXAMPLE 5.28   Haydn, Symphony No. 101 in D ("The Clock"), ii, 1–10

EXAMPLE 5.29   Beethoven, Piano Sonata in F, Op. 10, No. 2, i, 1–12

EXAMPLE 5.30   Haydn, String Quartet in F minor ("Razor"), Op. 55, No. 2, iv, 1–6

EXAMPLE 5.31   Mozart, Piano Concerto in F, K. 413, ii, 9–15 (R = ½N)

EXAMPLE 5.32 Mozart, Violin Sonata in C, K. 403, ii, 1–12

EXAMPLE 5.33 Beethoven, Piano Sonata in C minor ("Pathétique"), Op. 13, iii, 1–17

(continued)

EXAMPLE 5.33   *Continued*

EXAMPLE 5.34   Mozart, Piano Sonata in C, K. 330, i, 1–16

EXAMPLE 5.35 Haydn, String Quartet in B♭, Op. 50, No. 1, i, 1–12

EXAMPLE 5.36 Haydn, String Quartet in G, Op. 54, No. 1, ii, 1–12

(*continued*)

EXAMPLE 5.36   *Continued*

EXAMPLE 5.37   Mozart, Piano Sonata in C, K. 279, ii, 1–6

EXAMPLE 5.38   Beethoven, Piano Sonata in C minor, Op. 10, No. 1, i, 1–31 (R = 2N)

EXAMPLE 5.39 Mozart, Piano Sonata in G, K. 283, i, 1–10

EXAMPLE 5.40 Mozart, Piano Sonata in A minor, K. 310, i, 1–10

Model Composition

1. Complete the idea in Example 5.41 to make a theme (sentence, period, or hybrid) that features one or more of the phrase-deviation techniques discussed in this chapter.

EXAMPLE 5.41   Model composition, deviation techniques, no. 1

2. Use the idea in Example 5.42 to make a theme (period or hybrid) that features one or more of the phrase-deviation techniques discussed in this chapter.

EXAMPLE 5.42   Model composition, deviation techniques, no. 2

Compound Themes

The *simple* themes (sentence, period, and hybrids) are defined as eight measures in length, though the use of various phrase and cadential deviations as well as the addition of framing functions can alter the actual size of the theme. The notational device of R = 2N can give rise to themes that appear to be 16 measures, but, as already discussed, such cases *sound* like simple 8-m. themes.

Two *compound themes*—the *compound period* and the *compound sentence*—are constructed out of 16 *real* measures. The basic functional components of the period and sentence are present in the compound versions of these theme types, but the structure of these functions is internally more complex. Like simple themes, compound themes may be subjected to deviation techniques.

The Basics

Compound Period

The compound period is a 16-m. theme type built out of two 8-m. thematic units, fulfilling antecedent and consequent functions. These 8-m. units can be referred to as a *compound antecedent* and a *compound consequent*.

The compound 8-m. antecedent is built as one of three simple theme types:

1. 8-m. sentence (presentation + continuation)
2. 8-m. hybrid (compound basic idea + continuation)
3. 8-m. hybrid (antecedent + continuation)

The compound antecedent usually closes with a half cadence (either regular or reinterpreted), but rarely with an IAC.

The compound 8-m. consequent repeats the antecedent but closes with a PAC.

EXAMPLE 6.1 Beethoven, Piano Sonata in A-flat, Op. 26, i, 1–16

Example 6.1: this theme illustrates well a 16-m. period whose compound antecedent is constructed as a hybrid antecedent + continuation. The initial 4-m. antecedent is followed by a continuation featuring fragmentation into 2-beat units (which develop the upward fourth leap at the beginning of the basic idea), a marked acceleration of the harmony, and a second half cadence to close the compound antecedent.

The return of the opening basic idea is saved for mm. 9–10 to signal the start of the compound consequent, which closes with a PAC to complete the entire theme.

"DOUBLE PERIOD"

Most textbooks on musical form would call the kind of theme shown in Example 6.1 a "double period." Such a term implies a structure made up of two periods, or of a period within a period. As is discussed later, the embedding of a simple period within a large-scale period rarely arises in classical themes, so the term "double period" is not used in this text.

Compound Sentence

The compound sentence is a 16-m. theme type built out of an 8-m. *compound presentation* followed by an 8-m. *continuation* that ends with a cadence (usually a PAC, sometimes an HC, rarely an IAC).

The compound presentation consists of a 4-m. compound basic idea and its repetition (either exact, statement-response, or sequential). The entire presentation is supported by a tonic prolongational progression (and thus does not end with a cadence).

The continuation features the standard characteristics of that function (fragmentation, harmonic acceleration, increased surface rhythms, and harmonic sequence). Typically, though, the initial fragmentation sees the grouping size reduced to *two* measures (in relation to the preceding 4-m. compound basic ideas).

EXAMPLE 6.2   Beethoven, Piano Concerto No. 3 in C minor, Op. 37, i, 1–16

Example 6.2: the 8-m. compound presentation features statement-response repetition of a 4-m. compound basic idea (c.b.i.). (Note the melodic overlap between the basic and contrasting ideas.)

The continuation develops the second motive ("y") from the initial 2-m. basic idea within the context of phrase-structural fragmentation and harmonic acceleration. (The opening motive "x" from the basic idea is also present in the bass voice.) The harmony brings a descending-third sequential progression, which helps project continuation function all the more. The continuation closes with a standard PAC.

TAMING THE TERMS

A "Compound" Continuation? *The opening unit of the 16-m. sentence can rightly be called a* compound *presentation, because its internal organization is more complex than that of the presentation of the simple sentence. (The same can be said for both the compound antecedent and consequent of the 16-m. period.)*

But the structure of a continuation *of the compound sentence, though often longer than that found in a simple sentence, is not any more complex in its structure; so there is little reason to speak of a "compound continuation."*

Let's Practice

EXAMPLE 6.3   Mozart, Piano Sonata in C, K. 545, ii, 1–16

EXAMPLE 6.3   *Continued*

Example 6.3: answer these questions.

1. Does the first 4-m. phrase close with a cadence? If so, which type?
2. What is the name of the first 4-m. phrase?
3. Does the second 4-m. phrase close with a cadence? If so, which type?
4. What is the name of the second 4-m. phrase?
5. What is the label for the entire opening 8-m. unit?
6. What is the label for the second 8-m. unit? Which features in the music justify that label?

EXAMPLE 6.4   Mozart, Piano Quartet in G minor, K. 478, i, 1–16
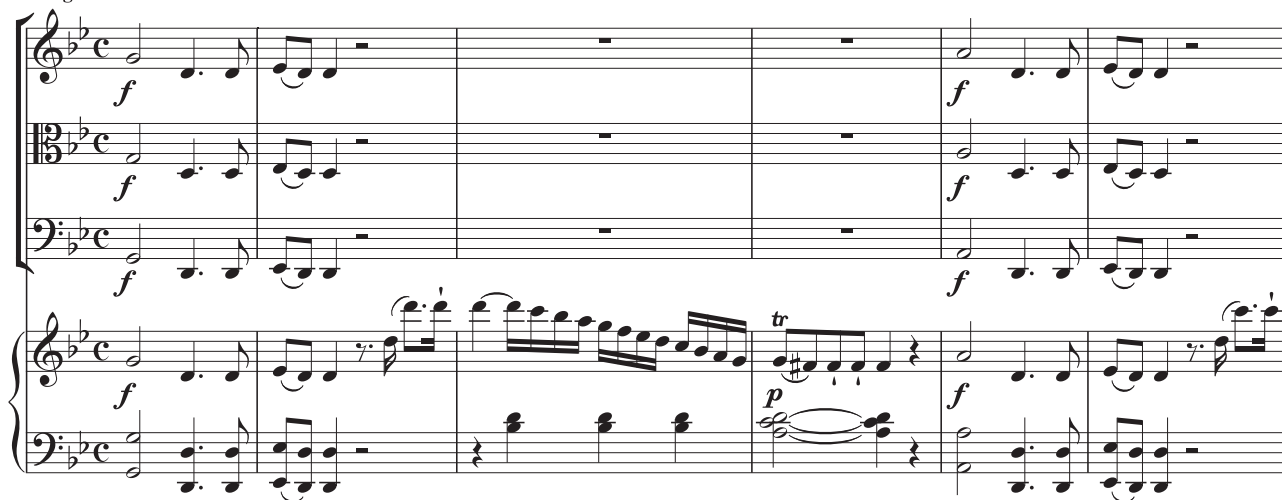
(continued)

EXAMPLE 6.4   *Continued*

Example 6.4: answer these questions.

1. What is the best label for the opening 4-m. unit? Why?
2. What kind of repetition is exhibited in mm. 1–8?
3. Does m. 8 end with a cadence?
4. What is the label for the entire opening 8-m. unit?
5. What is the label for the second 8-m. unit? Which features in the music justify that label?
6. Does the theme end with a cadence? If so, what type?

More Details

Compound Period

As we discussed in Chapter 3, the period concept has as its basis the idea that a unit with weak cadential closure is repeated to close with a stronger cadence. The sense of the first unit being "repeated" is most clearly articulated by having both units begin with the same music. Just as with the simple period, what signals the "repeat" of the consequent in the compound period is a return of the initial basic idea. (In fact, the entire first 4-m. unit usually returns as well.)

In order for the sense of consequent function to emerge with full force, it is important that the return of the basic idea (in mm. 9–10) sound fresh, and so it should not "return" at any earlier point in the theme.

For this reason, the compound antecedent does not normally end with a simple consequent phrase, which would bring a premature return of the basic idea at m. 5 and thus spoil the effect of the required return at m. 9.

The compound consequent is modeled on the previous antecedent, except that, like the simple period, the cadential component of the consequent is usually more emphatic than that of the antecedent. As a result, the final 4-m. phrase of the theme often features an expanded cadential progression.

Most compound periods fall into one of three main categories, which are labeled in reference to the phrase functions making up the antecedent unit.

Compound Antecedent = Presentation + Continuation (Sentence)

A compound period from this category is made up of two 8-m. sentences. This type represents the full-fledged development of the simple period whose 4-m. antecedent has a sentential design (see Chap. 3, p. 88).

Note that the restatement of the basic idea within the opening presentation is heard as a *repeat*, and so it does not poorly anticipate the real *return* of the basic idea at the start of the compound consequent.

EXAMPLE 6.5 Beethoven, Piano Concerto No. 2 in B-flat, Op. 19, iii, 1–17

Example 6.5: both halves of this theme are organized as standard sentences. Note that the consequent is expanded by one bar so that the final cadence becomes more emphatic than that of the antecedent.

Normally, such cadential emphasis occurs by starting the cadential progression earlier in the consequent relative to the antecedent (see Chap. 3, p. 85). If Beethoven had done that, the fragmentation in mm. 13–14 would probably have been followed directly by the cadential progression in mm. 16–17. In this sense, m. 15 would be superfluous and we could recognize an "extension" of the continuation function there.

In other words, the continuation is "extended," thus resulting in an overall "expansion" of the consequent. We see from this example that the relation of extension and expansion can at times be complicated to describe.

In the previous example, the continuation phrases of both the antecedent and the consequent units were largely identical, save for the slight expansion in the latter. Sometimes, however, the continuation phrase of the compound consequent differs from that of the antecedent. Typically in such cases, that phrase is supported by an ECP (and thus labeled continuation⇒cadential) in order to throw greater weight onto the final PAC. (See again the discussion of Ex. 5.14, mm. 13–16.)

CADENTIAL EXPANSION IN THE CONSEQUENT

Given the parallel construction of the period form, it's easy to think that the consequent is automatically structured just like the antecedent. This is largely true, especially at the opening of each unit.

But as a general rule, the cadential progression of the consequent is often expanded in relation to the progression that ends the antecedent, just as we saw in connection with the simple period. Indeed, the use of a 4-m. ECP to close a compound period is analogous to a regular 2-m. cadential progression supporting the final contrasting idea in a simple period.

Compound Antecedent = Compound Basic Idea + Continuation (Hybrid)

In this category, the compound antecedent (and consequent) is constructed as a hybrid theme compound basic idea + continuation (or continuation⇒cadential).

The term *compound basic idea* gains in appropriateness more in the context of compound themes than in the simple hybrids, where it was first introduced: a 4-m. compound basic idea occupies the same hierarchical position within a 16-m. period as a 2-m. basic idea within an 8-m. period.

Example 6.6: traditional theory would perhaps identify a "plagal" cadence at the end of the first phrase. But the subdominant in m. 4 functions simply to embellish the tonic prolongation supporting the compound basic idea.

Just as the two contrasting ideas within a simple period need not contain the same material, so may the two continuation phrases in a 16-m. period also exhibit diverse melodic-motivic content, as in this example.

EXAMPLE 6.6   Mozart, Piano Concerto in A, K. 488, i, 1–16

Compound Antecedent = Antecedent + Continuation (Hybrid)

In this category, the hybrid type antecedent + continuation lies at the base of the compound antecedent (and consequent).

Here, the cadential situation is somewhat more complex than that seen in the other categories, for not only must the compound antecedent end with a weak cadence in m. 8 but so too must the simple antecedent close with a weak cadence in m. 4.

Among the various cadential options that are available to the composer, it seems that we can make only one generalization: the compound antecedent itself ends with some kind of *half cadence* (either a regular HC or a reinterpreted one,

as is discussed shortly), not an imperfect authentic cadence. (Some additional complexities of cadential distribution in this category of compound period are dealt with in "Finer Points" below.)

As in all cases of the compound period, the second phrase of the compound consequent may be supported by an expanded cadential progression, and thus the consequent may resemble the hybrid type antecedent + cadential.

EXAMPLE 6.7   Mozart, String Quartet in C ("Dissonance"), K. 465, iv, 1–16

Example 6.7: the compound antecedent contains two half cadences: one at m. 4, closing the simple antecedent, and a second at m. 8, closing the continuation (and the compound antecedent as a whole). In the compound consequent, the opening antecedent closes again with an HC (at m. 12), but note that it is

somewhat weakened in its effect when the bass moves down a step to create a V^4_2 chord at just the moment when the upper voices resolve the $^6_4$ appoggiaturas.

The final phrase is built over an ECP. Although it might seem that mm. 13–14 are harmonically quite active, all of the chords serve to prolong the pre-dominant harmony of the cadential progression. The structure of the compound consequent thus takes the form of the hybrid antecedent + cadential, though some marked continuational characteristics are also present in the final phrase.

Reinterpreted Half Cadence

The concept of the *reinterpreted half cadence*, introduced briefly in Chapter 3, involves the situation where the antecedent of a period modulates to the dominant region of the home key, as confirmed by a PAC. When the music immediately returns to the home key to begin the consequent, we strongly have the impression that the PAC is converted, retrospectively, into a kind of half cadence, the appropriate formal closure for an antecedent.

Relatively rare in simple 8-m. periods, the reinterpreted half cadence appears more frequently in the compound 16-m. period. In such cases, the initial sense of PAC in the new key seems entirely appropriate as the close of the simple theme that makes up the compound antecedent.

Example 6.8: this compound period begins with a 4-m. antecedent, closing with an IAC. The following phrase brings the standard features of continuation function, especially as signaled by the fragmentation into 1-m. units. Measure 6 sees the tonic harmony "pivot" to become IV in the key of B-flat, the dominant region of the home key, E-flat. The resulting cadential progression brings a PAC to close the simple hybrid theme (antecedent + continuation).

When the upbeat to the basic idea returns the music back to the home key for the start of the compound consequent (m. 9), we understand, in retrospect, that the PAC becomes a reinterpreted HC to close a compound antecedent. At m. 16, the continuation closes with an IAC, thus motivating a new continuation phrase (with a hint of sequential harmonies) that closes at m. 20 with a PAC.

EXAMPLE 6.8   Mozart, Piano Trio in B-flat, K. 502, ii, 1–20

EXAMPLE 6.8 *Continued*

Compound Sentence

Compared to the simple 8-m. sentence, the compound 16-m. sentence defines a larger structural scope; this is due to its beginning with a repeated 4-m. *compound basic idea*. The term now comes fully into its own in the context of this theme type, since it clearly functions as an analogue to the simple basic idea of the 8-m. sentence.

Because it projects a more expansive structure than the simple sentence, the compound sentence is often used to begin large, public genres, such as the symphony and concerto; it is less frequently found opening a smaller, private genre, such as the solo or duo sonata.

Compound Presentation

The opening presentation of the 16-m. sentence has the same basic functional elements as the presentation of a simple sentence: an open-ended initiating unit is immediately repeated in the context of tonic prolongational harmonies.

The compound basic idea is most often repeated as a dominant response to an opening tonic statement; exact repetition is less frequent, and sequential repetition is rare.

EXAMPLE 6.9   Beethoven, Violin Concerto in D, Op. 61, i, 1–18

Example 6.9: following a 1-m. thematic introduction given by the solo timpani (whose succession of four quarter notes serves as the fundamental rhythmic motive of the movement), the statement of a 4-m. compound basic idea (I–V) is repeated as a response (V–I).

FOCUS ON FUNCTION

Statement-Response vs. Antecedent-Consequent. *When a tonic version of a compound basic idea is repeated with a dominant version, we can sometimes have the impression that an antecedent phrase is being followed by a consequent phrase (to make up a period form).*

When the motion from I to V occurs at m. 4 of the theme and the motion from V to I occurs at m. 8 (as in Ex. 6.9, mm. 5 and 9, just examined), the sense that the opening unit is an antecedent (ending with a half cadence) and the repeated unit is a consequent (ending with an authentic cadence) is strong, especially if the harmonies are in root position.

But we must be careful to observe that most often in these situations, there is only a single harmonic progression underlying each 4-m. phrase (even if some local embellishing harmonies may appear along the way). In other words, there is no distinctly cadential progression that "ends" some prior prolongational progression; instead, the entire situation is exclusively prolongational, and we will want to hear the initial 8-m. unit as an open-ended presentation, rather than as some closed periodic structure.

Continuation

The continuation unit of the compound sentence has the same essential functional elements as the continuation phrase of the simple sentence: continuational characteristics include fragmentation, harmonic and surface-rhythm accelerations, and sequential harmonies. Continuation function then fuses with cadential function to bring thematic closure with any of the three cadence types (though the PAC is most often used).

Because the compound presentation consists of two 4-m. phrases (structured as compound basic ideas), the first stage of fragmentation in the continuation usually results in 2-m. ideas, which may further fragment to one-bar units as the function proceeds.

Example 6.9: the continuation begins by fragmenting the prior 4-m. units (as defined by the repeated compound basic idea) into 2-m. ideas (which develop the

rhythmic motive first stated in the thematic introduction). At m. 14, the continuation is extended through harmonic acceleration, and the cadential function, expanded by one additional measure, closes the theme with a PAC.

ANALYZING FRAGMENTATION

It can sometimes be difficult to recognize fragmentation in situations involving multiple levels in the grouping structure.

If we consider the presentation of Example 6.9 to consist of alternating 2-m. ideas (a basic idea followed by a contrasting idea, followed again by basic and contrasting ideas), then we fail to hear the fragmentation beginning at m.10, which continues to group the music into 2-m. units.

Instead, we must identify the fragmentation in relation to the "largest" grouping unit that is defined by repetition—in this case, the 4-m. compound basic idea. We would then hear that the shift to a 2-m. unit (at m. 10), which itself is repeated, clearly projects the process of phrase-structural fragmentation.

Compressed Continuation

Whereas it is in the nature of the period to maintain a balance between its antecedent and consequent functions, the sentence, with its forward-striving character, has less need to preserve symmetry of grouping structure. In particular, the formal functions of continuation and cadence can often be fully expressed in fewer than the eight measures offered by the model form.

In particular, many compound sentences compress their continuation and cadential functions into a single 4-m. continuation phrase, like that of a simple sentence. The use of an ECP to support a continuation⇒cadential phrase is also common.

Even when the continuation is compressed, however, the composer may restore a semblance of symmetrical organization by repeating the continuation phrase or by adding a postcadential extension, thus stretching the theme back to its normative 16-m. length.

Example 6.10: the presentation is followed by a 4-m. continuation⇒cadential phrase that ends with a deceptive cadence in m. 12. Failure to realize a genuine cadence motivates a repetition of the phrase, which brings the expected PAC. The repetition also reestablishes phrase-structural symmetry when eight measures of continuation and cadential function now match the preceding 8-m. presentation.

EXAMPLE 6.10   Mozart, Clarinet Trio in E-flat, K. 498, i, 1–16

Standing on the Dominant

If the compound sentence ends with an HC, the arrival on dominant harmony may be reinforced by a postcadential *standing on the dominant*, a formal unit that is analogous to a closing section that follows a PAC (see Chap. 5, p. 135). (The use of a standing on the dominant at the end of a simple sentence is very rare.)

Unlike a closing section, which typically brings a recessive dynamic following the cadential goal, a standing on the dominant tends to reinforce the dynamic energy associated with the instability of "ending" on dominant harmony.

EXAMPLE 6.11   Haydn, Symphony No. 83 in G Minor ("The Hen"), i, 1–16

Example 6.11: a compressed continuation leads to an HC in m. 12. Although the theme has technically ended at this point, a subsequent 4-m. standing on the dominant extends the passage to 16 measures, thus restoring a sense of balance with the presentation. The standing on the dominant itself is structured as a series of repeated one-bar units, just like the codettas of a closing section.

Finer Points

Compound Period

Appearance of Consequent Function

As discussed earlier, the importance of projecting a clear consequent function for the compound period means that the composer must be careful to withhold the return of the opening basic idea until the beginning of the second half of the theme (mm. 9–10).

Some themes in the repertory seem, at first glance, to violate this general principle, inasmuch as measures 5–6 bring melodic-motivic material resembling the basic idea, thus suggesting a "lower-level" consequent within the compound antecedent.

But a closer look at this "basic idea" reveals it to be supported by different harmonies. And so when the idea returns again in m. 9—this time with its original harmonic support—we can more readily hear this to be the moment that more genuinely articulates the true consequent function of the period.

EXAMPLE 6.12   Haydn, Symphony No. 93 in D, iv, 1–16

Example 6.12: the theme opens with a compound basic idea built over a tonic pedal. The next phrase appears to bring back the basic idea (mm. 5–6) in the manner of a 4-m. consequent, but the supporting harmonies, which are entirely different from those of the opening basic idea, accelerate the harmonic rhythm and thus suggest continuation function. A more exact return of the basic idea in mm. 9–10, with its initial harmonization, signals the real consequent of this theme. The last phrase (mm. 13–16) brings an unambiguous continuation expressed foremost by fragmentation.

Cadential Distribution

When the compound antecedent (and consequent) is built as the hybrid antecedent + continuation, the distribution of cadences within the theme presents some complexities.

In order to create a pattern that conforms to the most "syntactical" distribution of cadential weights, the following scheme would seem obvious: the use of a weak HC for m. 4, a stronger IAC for m. 8, a matching weak HC at m. 12, and the strongest cadence, a PAC, at m. 16. But curiously, this pattern is rarely found, most likely because an IAC rarely ends any kind of antecedent.

Instead, a variety of cadential patterns are typically found, some of which might seem to violate normal syntax, as when, for example an opening HC at m. 4 is followed by another HC at m. 8.

EXAMPLE 6.13   Haydn, Piano Sonata in C minor, H. 20, i, 1–8 (R = ½N)

Example 6.13: the opening antecedent closes with a simple half cadence at the end of (notated) m. 2. The continuation phrase that follows also closes with an HC, to end the compound antecedent. In the compound consequent, it is interesting to note that Haydn changes the first phrase from an expected antecedent into a compound basic idea, which has the effect of avoiding a third HC.

Example 6.7: as with the previous theme, this one also brings two half cadences in a row. And even though Mozart also writes a third HC to end the opening antecedent of the compound consequent (at m. 12), he weakens the effect of that cadence by allowing the bass to drop down a step (as discussed earlier).

The use of a *reinterpreted* HC at the end of the compound antecedent is particularly helpful in creating a successful arrangement of cadential weights.

Example 6.8: the opening IAC at m. 4 is followed by a reinterpreted HC at m. 8. From the perspective of the compound antecedent itself, the cadence in m. 8 is appropriately heard as a genuine PAC in the key of the dominant, so as to retain the pattern of a weaker cadence (IAC) followed by a stronger one (PAC).

From the perspective of the entire compound period, the cadence at m. 8 is best heard as an HC (reinterpreted), so that it can be paired with a stronger PAC (in the home key) at the end of the theme.

TAMING THE TERMS

Half Cadence vs. Reinterpreted Half Cadence. *Both the regular half cadence and the "reinterpreted" half cadence end with dominant harmony of the opening key. But their effect is very different, and it is important to distinguish carefully between them.*

In particular, the reinterpreted HC is successfully used in formal contexts where a regular half cadence would be less appropriate, such as that just discussed in connection with Example 6.8.

Real vs. Notated Measures

The distinction between real and notated measures (introduced in Chap. 2) sometimes comes into play when distinguishing between simple and compound themes. In some cases, such as that seen in Example 6.13, the notation suggests that we are confronting a simple theme; but in the context of the movement as a whole, it becomes clear that R = ½N, in which case we understand that the theme is actually compound.

Another source of potential confusion can arise when what appears to be a 16-m. compound theme should, in light of the movement as whole, be interpreted better as a simple theme, because R = 2N. And in some problematic cases, it is not always clear just which relationship between real and notated measures (and thus simple and compound themes) is involved.

In the end, this distinction is often not of great importance, and we should not forget that there is no essential difference in the formal functions of a simple theme versus a compound theme. To help you avoid potential confusion in your analytical work, all cases where real measures do not correspond to notated measures are identified throughout the text.

Reviewing the Theory

Answer These Questions

1. Compound themes are defined as constructed out of how many real measures?
2. What labels are used to identify the principal functional elements of the compound period?
3. What labels are used to identify the principal functional elements of the compound sentence?
4. A compound presentation is constructed out of which phrase functions?
5. In the continuation of a compound sentence, the first stage of fragmentation usually results in groups of what size?
6. What signals the onset of a compound consequent?
7. Why is "double period" an inappropriate label for the compound period?
8. Why is a reinterpreted half cadence appropriately used at the end of a compound antecedent, when that antecedent is built as the hybrid antecedent + continuation?
9. Under what circumstances is it easy to confuse a compound presentation with a period?
10. When the continuation of a compound sentence is compressed to a 4-m. phrase, how can the composer restore a semblance of symmetrical organization to the theme?
11. If a compound sentence ends with an HC, what postcadential function may follow?

True or False?

1. A compound antecedent usually closes with an HC of some kind.
2. A compound antecedent can be constructed as a hybrid compound basic idea + consequent.
3. A compound presentation does not end with a cadence.
4. The repeat of the basic idea in mm. 3–4 of a compound antecedent (built as a sentence) can spoil the effect of the subsequent compound consequent.

5. A reinterpreted half cadence is appropriately used midway through a compound period.
6. The second phrase of a compound consequent is often supported by an ECP.
7. A compound presentation rarely sees sequential repetition of the compound basic idea.
8. The continuation of a compound sentence is frequently extended beyond its normative eight measures in length.
9. The use of a standing on the dominant is rare in the case of a simple sentence.
10. The case of R = ½N does not arise with compound themes.

Multiple-choice Questions

Choose a letter (there may be more than one) that correctly answers the question.

1. Which group of phrase functions is typically used to build a compound antecedent?
   a. Presentation + continuation
   b. Compound basic idea + consequent
   c. Antecedent + cadential
   d. Antecedent + consequent

2. Which cadence can be used to end a compound sentence?
   a. PAC
   b. IAC
   c. HC
   d. Reinterpreted HC

3. The compound sentence is especially associated with which genre?
   a. Duo sonata
   b. Symphony
   c. Solo sonata
   d. Concerto

4. Which succession of cadences is typical of a compound period when the compound antecedent is constructed as the hybrid antecedent + continuation?
   a. HC, HC, HC, PAC
   b. HC, IAC, HC, PAC
   c. HC, HC (reinterpreted), HC, PAC
   d. IAC, HC (reinterpreted), HC, PAC

Examples for Analysis

EXAMPLE 6.14   Haydn, Symphony No. 104 in D ("London"), i, 17–32

Allegro

EXAMPLE 6.15   Beethoven, Piano Sonata in B-flat, Op. 22, iv, 1–18

Allegretto

(continued)

EXAMPLE 6.15   *Continued*

EXAMPLE 6.16   Mozart, String Quartet in A, K. 464, i, 1–16

EXAMPLE 6.17 Mozart, Violin Sonata in B-flat, K. 454, ii, 1–21

EXAMPLE 6.18 Haydn, Piano Sonata in E, H. 31, i, 1–8 (R = ½N)

EXAMPLE 6.19 Beethoven, Bagatelle in E-flat, Op. 126, No. 3, 1–16

EXAMPLE 6.20   Beethoven, String Quartet in F, Op. 59, No. 1, iii, 1–16

EXAMPLE 6.21   Mozart, Symphony No. 40 in G minor, K. 550, i, 1–20

EXAMPLE 6.22   Haydn, Piano Sonata in E-flat, H. 49, i, 1–12

Model Composition

1. Using the basic idea of Example 6.23, write a compound period made up of two hybrid themes.

Build the compound antecedent as "antecedent + continuation," which modulates to the dominant region, ending there with a reinterpreted half cadence. Have the continuation phrase begin with model-sequence technique and fragmentation.

Build the compound consequent as "antecedent + cadential," which begins and ends in the home key. The antecedent should be modeled closely on that of mm. 1–4. The cadential phrase will be supported by an expanded cadential progression, normally beginning with I⁶.

EXAMPLE 6.23   Model composition, compound period, no. 1

2. Use the basic idea in Example 6.24 to write a compound period whose nonmodulating antecedent is built as a hybrid compound basic idea + continuation.

EXAMPLE 6.24   Model composition, compound period, no. 2

The Small Ternary (Rounded Binary)

This chapter introduces the third fundamental theme type (after the sentence and period), the *small ternary*. Two basic notions lie at the heart of this three-part design: (1) a relatively closed thematic unit is juxtaposed with a structurally open unit of contrasting content and formal organization, and (2) the original unit is brought back in a manner that ensures complete closure of the theme.

The Basics

As its name suggests, the small ternary consists of three main sections, typically labeled with letters: *A–B–A′* (read A′ as "A-prime"). These sections can also be labeled with terms that indicate their formal function: A = *exposition*, B = *contrasting middle*, A′ = *recapitulation*.

FOCUS ON FUNCTION

Labeling the Sections of Small Ternary Form. *The functional terms proposed here for the first and third sections of the small ternary obviously relate to those traditionally used to label the main sections of* sonata form: *exposition and recapitulation. (The term for the second section of the small ternary—contrasting middle—is used in place of the sonata form's "development.")*

As we will learn when we study sonata form, the meanings of the terms exposition *and* recapitulation *differ in some respects from how they are used in the small ternary form. But for both formal types, they refer to the "exposing" of the fundamental ideas in the first section followed by a return ("recapitulation") of those ideas in the third section; standing in*

(continued)

> Focus on Function continued:
>
> *between is a second section that is "contrasting" (or "developmental") in some way.*
>
> *To avoid confusion, it will often be useful to use the letter names (A, B, and A´) when referring to the small ternary, keeping in mind that those letters have specific functional meanings.*

If the exposition (A) is repeated and if the contrasting middle (B) and recapitulation (A´) are repeated together, then the resulting form is traditionally termed a *rounded binary*. The repetitions of the sections are usually indicated with repeat signs, but the repetitions may be written out in order to introduce variations. *From a functional point of view, the small ternary and rounded binary are identical forms.*

Exposition (A)

The exposition section is a relatively *tight-knit* 8-m. theme. (The concept of tight-knit, in contrast to *loose*, formal organization is discussed shortly in "More Details.")

The A section closes with a PAC, either in the *home key* or, after a modulation, in a newly established *subordinate key* (V, III). Just which tonal region is used as the subordinate key depends largely on the *modality* of the home key. If the home key is major, then the subordinate key is usually the "dominant" region of that key. If the home key is minor, then the subordinate key is most often the "mediant" (relative major); now and then, the subordinate key will be the "minor dominant." Figure 7.1 summarizes these relationships of keys and tonal regions.

	Major	**Minor**
Home Key	I (C major)	I (C minor)
Subordinate Key	V (G major)	III (E-flat major)
		V (G minor)

FIGURE 7.1   Key relationships

Because both its opening and closing harmonies are I (even when modulating to a new key), we can say that the A section emphasizes *tonic* harmony (in contrast to the following B section, which emphasizes the dominant).

The A section is usually built as a simple period. The simple sentence or any of the other hybrid types can also be used to make up the A section. Less often, the exposition features a compound theme, or even an entirely nonconventional form (though in that case, it still ends with a PAC).

Contrasting Middle (B)

The contrasting middle achieves its contrast with the prior A section primarily through harmonic-tonal and phrase-structural means, and only secondarily through melodic-motivic means. The formal organization of the contrasting middle is decidedly *looser* than the exposition. (The distinction between tight-knit and loose organization is developed below.)

   The contrasting middle tends to emphasize *dominant* harmony of the home key. It often begins with V and almost always ends with that harmony (usually in the form of a half cadence), thus preparing the way for the return of the opening basic idea harmonized by I.

   The phrase structure of the contrasting middle typically consists of:

- A *standing on the dominant*
- A *continuation phrase* ending with an HC

(Other phrase-structural options for the B section are discussed in "More Details," below.)

   Contrast with the earlier A section is sometimes achieved when the B section introduces new melodic-motivic material and accompanimental patterns. In addition, the texture may become denser and more polyphonic.

   The contrasting middle always starts in the measure following the end of the exposition; *the A and B sections never elide.*

Recapitulation (A´)

The recapitulation (A´) brings back the fundamental melodic-motivic material of the exposition entirely in the context of the home key.

The recapitulation must minimally satisfy two main requirements: (1) it begins by restating the initial *basic idea* from the A section, and (2) it closes with a *perfect authentic cadence* in the home key. As well, if the A section has modulated, then the A´ section must be *adjusted* to remain in the home key.

At times, the recapitulation brings back the same phrase structure as the exposition (though tonally adjusted if necessary). More typically, however, the A´ section is *compressed* into a single *consequent* phrase, one that begins with the initial basic idea and closes with a PAC. This compression eliminates various redundancies that are unnecessary for expressing recapitulatory function. Now and then, the A´ section is *extended* (in relation to the A section) in order to "develop" various motives introduced in the prior sections.

Whether or not the recapitulation undergoes any *structural changes* (in tonality, harmony, or phrase structure) in relation to the exposition, it may at any time experience various *ornamental changes* (in melody, texture, dynamics, instrumentation).

ROUNDED BINARY: TWO PARTS OR THREE PARTS?

One of the most vigorous debates in the history of theory concerns whether the "rounded binary" ‖: A :‖ ‖: B A´:‖ *consists essentially of two or three parts.*

Advocates of the binary view argue that (1) the two repeated parts are often similar in length, (2) the B section is structurally dependent on the subsequent A´ section, and (3) when the first part modulates, the overall tonal process—the movement away from, and ultimate return to, the home key—expresses a fundamentally bipartite shape.

Supporters of the ternary position argue that the binary view minimizes two significant aspects of formal expression: the notion of a truly contrasting middle, and the idea of recapitulating the opening material.

Once the arguments of both sides are sorted out, the theoretical conflict would seem to disappear, since the opposing positions are incompatible neither with each other nor with the empirical facts presented by the music. Both views say something important about formal organization in this theme type, and there is no reason to reject completely one or the other.

The present study emphasizes the ternary approach because of its greater compatibility with issues of formal functionality but uses the term rounded binary *to distinguish those cases where the repetition of sections comes into play.*

EXAMPLE 7.1   Mozart, *Eine kleine Nachtmusik*, K. 525, ii, 9–16

Example 7.1: the A section, a regular 8-m. period, was discussed already in connection with Example 3.1.

The B section begins with a new 2-m. idea at the upbeat to m. 9; the idea is repeated in the following two measures. Since the new idea and its repetition are supported by a dominant prolongational progression, the entire contrasting middle can be said to consist of a *standing on the dominant*. Note that we cannot identify a cadence at the end of the B section, because it contains no harmonic progressions other than a prolongation of dominant.

The A´ section is a single 4-m. phrase based on, but not identical to, the A section. The return of the basic idea, which had originally been supported by a firm tonic pedal, now receives harmonic intensification through a brief descending-fifth sequential

progression. The contrasting idea, whose version resembles that of mm. 7–8 of the exposition, is given a more active harmonic setting to match that of the basic idea.

The resulting *consequent* phrase is not directly related to either one of the constituent phrases of the exposition. In his use of dynamic markings, however, Mozart suggests that the *piano* basic idea refers to the original antecedent (see Ex. 3.1, mm. 1–4) and that the *forte* contrasting idea refers to the original consequent (mm. 5–8). In this way, the 4-m. recapitulation embodies elements of the entire 8-m. exposition.

EXAMPLE 7.2 Haydn, Piano Sonata in D, H. 37, iii, 1–20

Example 7.2: in this rounded binary version of the small ternary form, the A section is built as an 8-m. hybrid (compound basic idea + continuation⇒cadential), whose second phrase modulates to the subordinate key of A major (dominant of the home key, D).

The B section begins with a descending-fifth sequential progression, which brings the music back to the home key, as confirmed by the quick half-cadential progression into m. 12. The harmonic sequence, along with the clear fragmentation in mm. 9–10, projects a *continuation* function for this single phrase, which makes up the whole of the B section.

The A′ section models the exposition, except that the second phrase is *adjusted* to remain in the home key, closing there with a PAC at m. 16. Note that a more typical bass line for the final phrase would have seen the motion from F♯ (3̂) moving up to G (4̂) and then to A (5̂) for the cadence. Haydn, instead, has the bass approach the dominant from above; in this way, the C♮ in m. 17 directly opposes itself to the C♯ of m. 5, thus directing the music toward the flat side of the tonal spectrum and counteracting any possibility of the music modulating again to the dominant.

CLOSURE OF THE A SECTION

SK: PAC or Reinterpreted HC? *If the A section of a "rounded binary" modulates to the dominant region as a subordinate key (SK), then the immediate return to the home key for the repeat of the section might lead us to think that it initially closed with a* reinterpreted half cadence, *and we might wonder whether we just heard the antecedent unit of a compound period.*

To be sure, when the A section begins to be repeated, we might believe that a compound consequent is in the making. But when the section once again modulates and closes with a PAC, we understand (at least in retrospect) that this is the A section of a rounded binary form and not a compound period.

In this case, the need for an A section to be fully closed (with a perfect authentic cadence) should override our original thought that the section ended with some kind of half cadence. We should therefore speak of the final cadence of the A section as a PAC, not as a reinterpreted HC.

Let's Practice

Example 7.3: answer these questions.

1. What is the structure of the A section?
2. In which measure does the B section end? What formal device signals its end?
3. How does this B section "emphasize" the dominant?
4. How does the structure of the A′ section compare to that of the exposition?
5. Which "version" of the overall theme type best applies to this example?

EXAMPLE 7.3   Haydn, Variations for Piano in F minor, H. XVII:6, 30–49

Example 7.4: answer these questions (the A section has already been analyzed in Chap. 4, Ex. 4.16a).

1. In the absence of repeat signs, what are the principal signals that define the three sections of this ternary form?
2. What is the underlying harmonic support for the B section?
3. What functional label best applies to the internal organization of the B section?
4. Does the B section close with a cadence? If so, what type?
5. How is the A´ section formally structured?
6. Why does Beethoven provide a different harmonic support for the return of the basic idea in mm. 13–14?

EXAMPLE 7.4   Beethoven, Piano Sonata in F minor, Op. 2, No. 1, ii, 1–16

More Details

Tight-knit vs. Loose Formal Organization

Our study of the small ternary leads us for the first time (but hardly the last) to a topic of major importance for the analysis of classical form: the distinction, first observed by Arnold Schoenberg,[1] between *tight-knit* and *loose* formal organization.

These two terms, of course, are somewhat vague metaphors (recalling that most music-theoretical terms are metaphorical in origin). And it is not easy to provide simple definitions other than to note that tight-knit organization promotes structural *stability,* while loose organization promotes structural *instability*.

Many musical parameters (that is, modes of compositional organization) contribute to whether a particular passage is perceived as more or less tightly knit or loose: tonality, cadence, harmony, grouping structure, functional efficiency, motivic material, and thematic conventionality.

	TIGHT-KNIT ——————→			**LOOSE**
tonality	home key (I)	subordinate key (V)	distant keys (III, ♭VI)	modulating
harmony	prolongation of I	prolongation of I^6	prolongation of V	sequential
	diatonic		modal mixture	chromatic
cadence	PAC	HC	cadential evasion	no cadence
grouping structure	symmetrical (4 + 4)	symmetrical (6 + 6)		asymmetrical (4 + 3 + 5)
functional efficiency	efficient	redundant (via extensions, etc.)		ambiguous
motivic material	uniform			diverse
thematic conventionality	period	sentence		nonconventional types

FIGURE 7.2 Tight-knit versus loose organization

The following criteria will be organized around these parameters, and Figure 7.2 summarizes the essential points.

Tonality. From the point of view of tonality, a given unit (that is, a particular passage of music) is most tightly knit if it begins and ends in the home key. It is less tightly knit if it opens and closes in a subordinate key. An even looser expression is achieved if a unit modulates.

Cadence. The syntactical strength (or weight) of a cadence correlates directly to the distinction between tight-knit and loose. Closing a unit with a PAC contributes to an overall tight-knit expression; an IAC makes for a less tightly knit unit; and an HC is responsible for a looser organization. The evasion or abandonment of a potential cadence—or the lack of a cadence altogether—results in a significantly looser form.

Harmony. The extent to which the underlying harmony of a given unit is functionally stable or unstable affects its tight-knit or loose organization. Authentic cadential progressions and tonic prolongational progressions have the most tightly knit harmonic expression; dominant prolongations create a looser expression. Sequential progressions are also loose, especially to the extent that the individual links within the sequential chain of chords are harmonically nonfunctional. The greater a progression is chromatically altered, the more tonally destabilizing, and hence looser, it becomes.

Grouping structure. Symmetrical grouping structures are relatively tight-knit in formal organization. Conversely, the more asymmetrical, the looser the form. Symmetries based exclusively on exponentials of two (e.g., 2 + 2, 4 + 4, 8 + 8, 16 + 16) are more tight-knit than those based on three, five, and combinations of these with two (e.g., 3 + 3, 5 + 5, 6 + 6).

Functional efficiency. Formal units that express their component functionality in an efficient manner are more tightly knit than those whose functions obtain a degree of redundancy through repetitions, extensions, expansions, and interpolations.

Motivic uniformity. The presence of uniform melodic-motivic and accompanimental material contributes to a unit's tight-knit organization. A unit filled with diverse motives and frequently changing accompanimental patterns acquires a looser expression.

Thematic conventionality. Conventional theme types (period, sentence, hybrid) are more tightly knit than nonconventional designs, which project a looser organization. Among the conventional types, the period is the most tightly knit, the sentence is least tightly knit: hybrids are more or less tightly knit to the extent that they resemble the period or sentence.

These criteria can obviously interact with each other in a number of ways. At times, they may work together to create an unequivocally tight-knit or loose expression. At other times, they may conflict with one another so that some factors contribute to a tight-knit organization while others make for a looser one. The latter situation renders comparison particularly difficult, and at times it may not be possible to determine, say, which of two units is looser than the other, because different criteria are responsible for the formal loosening.

As a general rule, the A section of a small ternary is tight-knit; the B section, loose. The A´ section is more or less tight-knit or loose depending on how it is structured, as is explained below.

Exposition (A)

Most small ternary expositions are built as conventional theme types of the kind discussed in the previous chapters: sentence, period, hybrids. They usually occupy eight measures, but the use of phrase and cadential deviations along with framing functions may result in a shorter or longer section.

The exposition is the most tightly knit section of the small ternary form. The section obtains its tight-knit organization from its emphasis on tonic harmony (it both opens and closes with that harmonic function, even if it modulates), its closing with a PAC, its symmetrical grouping structure, and its conventional thematic design.

The A section may remain in the key in which it opened, but many times it *modulates* to a closely related, subordinate key. Eventually, the music returns to the home key, in the B or A´ sections that follow.

SOME HISTORICAL BACKGROUND

The A Section: Modulating or Nonmodulating? *Some theorists identify fundamentally different forms based on the tonal organization of the first section. The well-known text by Douglass Green,[2] for example, distinguishes between themes as "continuous" and "sectional" depending on whether they modulate or else remain in the home key.*

To be sure, the tonal organization of the A section has major consequences for the remainder of the theme. Nevertheless, this study recognizes both the modulating and nonmodulating small ternary as the same formal type, because of the many other functional features that do not depend on this tonal distinction.

Nonconventional Form

On occasion, the A section takes a nonconventional form, though even then it may bring functional elements of one or more of the conventional theme types.

EXAMPLE 7.5   Haydn, Capriccio for Piano in G ("Acht Sauschneider müssen sein"), H. XVII:1, 1–14

Example 7.5: the exposition consists of an opening basic idea, which is extended by one bar when its second half is repeated in m. 3. A simple cadential idea brings the section to a close with a PAC. From a phrase-functional point of view, the section can be said to consist exclusively of a *consequent* phrase, and thus the overall form of the section is nonconventional.

EXAMPLE 7.6 Mozart, String Quartet in E-flat, K. 428, iv, 1–34

(continued)

EXAMPLE 7.6   *Continued*

Example 7.6: this nonconventional A section is built out of two complete thematic units: the first a nonmodulating hybrid (compound basic idea + consequent), closing with a PAC in the home key; the second a modulating period, closing with a PAC in the subordinate key (V).

Even though the music returns to the home key upon repetition of the A section (as well as at the beginning of the B section), we should not be tempted to identify a reinterpreted half cadence at m. 16: in principle, A sections exhibit authentic cadential closure, even if the cadence confirms a related tonality of the home key.

Closing Section

Since the A section of a small ternary closes with a PAC, that cadence may at times be followed by a single codetta (as seen ahead in Ex. 7.14, m. 9) or a full closing section consisting of multiple codettas.

Example 7.7: following a modulating 8-m. period, the exposition ends with a brief closing section, which consists of a 1-m. codetta that is immediately repeated. The final *fortissimo* Ds in m. 10 can also be regarded as a codetta, thus bringing about fragmentation in relation to the preceding codettas.

Although the flurry of running sixteenth notes in mm. 8–9 might appear to counter a sense of recessive dynamic, their placement immediately following the cadential figure in m. 7 has a certain recessive effect nonetheless: it is as though a spring was wound up in m. 7 and finally released in the closing section, thus dissipating the accumulated energy of the theme.

EXAMPLE 7.7 Haydn, Piano Sonata in G, H. 40, ii, 1–24

Contrasting Middle (B)

The contrasting middle of the small ternary is more *loosely* organized than the preceding exposition. This looser organization is achieved by a variety of means, foremost among them being *harmonic*. The B section often starts on the home-key dominant and, with few exceptions, concludes with that harmony. (In some cases, the section consists entirely of a single dominant prolongation.) Prominent sequential progressions within the B section can reinforce this harmonic instability all the more.

The contrasting middle also achieves a looser organization through *phrase-structural* means. The B section is usually less symmetrical than the A section and frequently undergoes extensions, expansions, etc. Occasionally, the B section contains an 8-m. sentence ending with an HC; but the period form is rarely (if ever) used. Most typically, however, the individual phrase functions identified within the B section do not normally come together to yield a conventional theme type.

Whereas the B section contrasts with the A section primarily by means of harmony and phrase structure, the appearance of new melodic-motivic material can create contrast as well. The B section may also feature prominent changes in dynamics, articulation, texture, and accompanimental figuration. The use of polyphonic devices, especially motivic imitation among the voices, often distinguishes the contrasting middle from the exposition, which is usually more homophonic in texture.

Standing on the Dominant

In the simplest cases, the B section is supported exclusively by dominant harmony (either literally or prolonged). The formal function of this passage can more technically be termed a *standing on the dominant*.

Typically a new 2-m. idea is introduced and repeated. If the section is longer than four measures, fragmentation may then ensue (look ahead to Ex. 7.10 for an illustration).

Example 7.5: the entire B section prolongs V^7**. Observing the right-hand part alone, we might identify a 1-m. unit that is simply repeated three times. But the octave-leaping gesture of the left-hand part groups mm. 6–7 into a single 2-m. idea, which is repeated in mm. 8–9.** *Remember: when identifying repeated units, make sure not to overlook the largest-sized units* **(see again the text box "Analyzing Fragmentation" in Chap. 6).**

NO CADENCE AT END OF STANDING ON THE DOMINANT

It is easy to automatically place an HC label at the end of a standing on the dominant, especially, as in Example 7.5, where the final event brings a fermata, to create a clear "stop" in the musical motion.

(continued)

No Cadence at End of Standing on the Dominant continued:

But it would be a mistake to recognize any cadential closure in these situations, because a standing on the dominant implies the absence of any harmonic change. And if there is no harmonic change, there can be no cadential progression *to bring about any kind of cadence.*
A standing on the dominant does not end with a cadence!

Continuation Phrase

The contrasting middle of a small ternary can acquire a looser organization by being built in a manner that resembles the second part of a sentence, that is, as a *continuation phrase*.

Typically, sequential harmonic activity, often supporting model-sequence technique, creates a sense of harmonic destabilization appropriate for the looser expression of this section.

When built as a continuation, the B section usually closes with an HC in order to set up strong expectations for the resolution to tonic at the beginning of the recapitulation.

Example 7.7: the melody of the B section immediately suggests model-sequence technique, although the organization of the sequential repetition is rather subtle. The material might appear to group into 1-m. units as defined by the bar lines; yet the actual model does not begin until the middle of m. 11. The sequence then appears a third lower in mm. 12–13. Hence, the first half of m. 11, which brings the opening motive ("x") from the original basic idea, does not actually participate in the sequential plan.

The model would seem to be sequenced again in mm. 13–14, but Haydn breaks the descending-third pattern and starts the idea a fourth lower instead. Moreover, whereas the harmony on the third quarter of m. 13 would have been VII⁶/V (in order to maintain the sequence a fourth lower), the bass note has been chromatically lowered to E♭, so that it can descend to D, rather than ascend to F♯ (again, according to the sequence). All of these alterations to the original model ultimately convert it into a conventional half-cadence idea, which brings the B section to a close.

Example 7.6: the B section begins in m. 17 with model-sequence technique built out of imitations of the basic idea's opening motive. The sequential organization, however, is not straightforward. The model itself lasts a measure and a half, and the sequence compresses the model by bringing simultaneously the motive of the violins with its inverted version in the viola and cello.

There follows an expanded cadential progression leading to an HC on the downbeat of m. 24. (The postcadential standing on the dominant that elides with this cadence is discussed later.)

Seeing as the continuation function (as expressed by the sequential activity) seems to occupy a distinctly different "group" from the following cadential function (supported by the ECP), these two functions are *not* fused, as they often are in a standard continuation phrase of the sentence. As a result, we are justified in applying the individual labels "continuation" and "cadential" to the two groups that contain these respective functions. (When we study subordinate themes in a sonata-form exposition, we frequently encounter continuation and cadential functions appearing in their own separate groups.)

Looser Sentential Structure

Because the contrasting middle of the small ternary is more loosely organized than the preceding exposition, conventional theme types infrequently appear in the B section. Indeed, the period and its most related hybrid (compound basic idea + consequent) are never found there.

Occasionally, however, the contrasting middle is distinctly *sentential* in design. In such cases, the supporting harmonies are usually rendered less stable or the grouping structure less symmetrical than in a regular tight-knit sentence. The resulting looser organization is thus appropriate for a contrasting middle.

EXAMPLE 7.8   Haydn, Piano Sonata in E-flat, H. 49, iii, 1–24

EXAMPLE 7.8   *Continued*

> **Example 7.8: the B section is built as an 8-m. sentence. Note how the underlying harmonies significantly loosen the form. First, the presentation prolongs tonic in first inversion (rather than in the stabler root position); moreover, the opening harmony is a dominant seventh (as is so typical of most B sections).**
>
> **Second, the continuation phrase features an extensive stepwise-descending sequential progression, which continues to prolong the I^6 of the presentation, leading ultimately to an HC. Compared to the hybrid theme of the A section, with its 6-m. tonic pedal and closing PAC, the sentence of the B section is distinctly looser in formal expression.**

Postcadential Standing on the Dominant

Whenever the contrasting middle ends with an HC, a postcadential *standing on the dominant* may be added to reinforce the ultimate dominant and create an even more powerful expectation of the forthcoming return to tonic harmony at the start of the recapitulation.

Two devices are typically found within this standing on the dominant to help prepare for the recapitulation.

1. The musical texture is often systematically reduced, ending the section with just a single voice. The effect of this textural dissolution is to "clear the stage," so to speak, so that the return of the basic idea sounds fresh against a prior background of minimal activity.
2. The standing on the dominant may bring motives that are derived from, and thus serve to "anticipate," those of the upcoming basic idea.

The beginning of the standing on the dominant may follow in the measure directly after that of the half cadence. Or the standing on the dominant may *elide* with the cadence (that is, begin at the same moment as the cadential arrival).

> **Example 7.6:** the B section closes structurally with the HC at m. 24, which elides with the beginning of a brief standing on the dominant. Note the reduction in texture such that the section literally concludes with just a single voice revolving around the dominant pitch B♭.
>
> The motivic content of the standing on the dominant can be said to relate to the basic idea only minimally (that is, via the two slurred eighth notes). Rather, mm. 24–25 are better seen to anticipate the *contrasting idea* (mm. 29–30). Perhaps Mozart avoids referring explicitly to the basic idea itself because those motives were already featured prominently in the preceding model-sequence passage (mm. 17–19).

TAMING THE TERMS

Dominant Prolongation vs. Standing on the Dominant. *It is important to distinguish between a* prolongation of the dominant *and a* standing on the dominant.

The first expression refers to a specific harmonic progression. The second expression defines a formal function, *whose harmonic support is always a dominant prolongation.*

It is also important to distinguish between two contexts in which a standing on the dominant takes place: (1) as the internal formal function of a complete B section, and (2) as a postcadential function that follows the concluding HC of the B section.

In the first context, the standing on the dominant is not postcadential; it does not extend the harmony of a half cadence. Instead, it follows upon a prior PAC, and for that reason it could never elide *with that cadence.*

A true postcadential standing on the dominant, on the contrary, can elide with the half cadence that it reinforces, as seen in Example 7.6, m. 24.

Recapitulation (A´)

Recapitulation = Exposition

Easiest to analyze, though relatively infrequent in the repertoire, is when the recapitulation reproduces the same basic structure as the exposition. This can happen, of course, only when the exposition does not modulate but remains fully in the home key. Example 7.5 is a simple case in point.

Although the A´ section may be structurally identical to the A section, changes in intensity, texture, instrumentation, and accompanimental patterning, along with a host of melodic and harmonic embellishments, may arise. We can speak of these as *ornamental changes*, as opposed to the *structural changes* that emerge from differences in the harmonic progression, basic melodic patterning, grouping structure, and formal functions.

ANALYZING A RECAPITULATION

There is a very simple, almost mechanical, procedure for analyzing a recapitulation (or any type of restatement, for that matter): compare *the exposition to the recapitulation bar by bar (or even note by note if necessary) and observe every change from one section to the other.*

Then, take note whether each change is a structural *one or an* ornamental *one.*

Finally, ask, and try to answer, the why *question: Why has the composer made the change? What musical purpose is served by the change? And if there are no changes, ask why that may be the case as well.*

You may not always come up with a clear answer to the why question, but it's almost always worth the effort, and most of the time, especially after you have practiced this mode of analysis for a while, you will begin to make many interesting observations and hypotheses about musical composition.

Tonal Adjustment

One of the most common structural changes that a recapitulation can undergo relative to the exposition involves the tonal *adjustment* that must take place if the prior A section has modulated to a subordinate key. Because the small ternary form must end in the key in which it begins, the recapitulation must be rewritten in such a way as to avoid the modulation and remain in the home key.

Example 7.8: the recapitulation is adjusted by turning toward the subdominant of the home key (mm. 21–22) at the point in the exposition where the tonic moved to a pre-dominant harmony of the subordinate key (mm. 5–6). (A similar turn to the subdominant was discussed earlier in connection with Example 7.2, mm. 17–18.)

Except for the tonal adjustment, the A´ section is closely modeled on the A section.

If a significant amount of music from the exposition appears in the subordinate key, then that music (or at least an obvious variant of it) will usually appear in the recapitulation placed back into the home key.

EXAMPLE 7.9 Mozart, Piano Sonata in B-flat, K. 570, ii, 13–24 (R = ½N)

Example 7.9: the exposition is built as a hybrid antecedent + continuation, which right at the beginning of the second phrase modulates to the subordinate key (here, the less common "minor-dominant" region).

The B section begins with a model that emphasizes the dominant of the subdominant of the home key (HK: V/IV), and it continues with a sequence of that

model down a step (V/III). Fragmentation in m. 19 leads to a closing HC in the middle of m. 20. The internal structure of the B section can thus be said to express an overall *continuation* function.

The recapitulation brings back a tonally adjusted version of the exposition. The music of the continuation phrase (mm. 23–24), though not identical, is clearly modeled on the same phrase from the exposition (mm. 15–16), but now fully set in the home key.

Compressed Recapitulation

The recapitulation of a small ternary is frequently compressed in relation to the exposition. The shorter length is usually achieved by eliminating material that was essential to the structure of the A section but is now functionally redundant in the A´ section.

If the exposition is built as an 8-m. period, then a compressed recapitulation typically eliminates both the interior HC and the return of the basic idea. Since the A´ section itself is directly preceded by a prominent dominant at the end of the B section, additional dominant emphasis created by an HC within the A´ section is generally dispensable. A second appearance of the basic idea can also be omitted because this idea has by now been sufficiently established in the listener's memory to not require any further restatement.

As a result of these deletions, the recapitulation is reduced to a single 4-m. *consequent* phrase. This phrase is sometimes identical to the second half of the original period; at other times, the phrase resembles a linking together of the basic idea from mm. 1–2 with the contrasting idea from mm. 7–8. (It is even possible for the new consequent to bring a contrasting idea unrelated to either one from the exposition.) See again the discussion of Example 7.1 for a clear case of a compressed recapitulation that eliminates both a redundant HC and return of the basic idea.

A recapitulation may also be compressed in ways, and for reasons, that are unique to the individual theme.

EXAMPLE 7.10   Beethoven, Piano Sonata in D, Op. 28, ii, 1–22

EXAMPLE 7.10 *Continued*

Example 7.10: the A section is constructed as an 8-m. period, whose consequent begins with a sequential return of the basic idea (in the major-mode III region). But rather than actually modulating to that region (as might well be expected given the minor modality of the home key), the consequent modulates instead to the minor-dominant region, closing there with a PAC.

The B section returns directly to the home key with a standing on the dominant, whose additional fragmentation extends the section to eight measures. Note that the melodic line continually circles around the upper G and lower C♯, thus outlining the interval of a diminished fifth.

The A´ section begins with a return of the basic idea (which restores a perfect-fifth leap), but before moving on to the expected contrasting idea, Beethoven sequences the second half of the basic idea down a step into the major-mode VII region. He then moves the same idea back up to its original tonic position, after which he continues with a tonally adjusted cadential idea to bring the section to a close. With an overall length of six measures, the A´ section represents a compression of the original 8-m. A section.

Though we could say that the A´ section takes the form of an expanded consequent (whose basic idea has been extended), we could also somewhat more precisely say that the section consists of a basic idea followed by a new *continuation* phrase, as expressed by the fragmentation and sequential activity.

Given that Beethoven could have composed a simple 4-m. consequent by attaching mm. 21–22 directly onto mm. 17–18, why does he extend the basic idea by sequencing it down a step? There are perhaps three reasons: (1) inasmuch as the B section was extended to eight measures, a 4-m. A´ section might have seemed too short in relation to the prior sections; (2) the sequence brings a whiff of the major mode, to compensate for the elimination in the recapitulation of mm. 5–6 (as a redundant restatement of the basic idea); and (3) the melodic interval of the sequence in m. 19 outlines a perfect fifth (G–C♮), thus "correcting" the tritone G–C♯ emphasized at the end of the B section.

Example 7.6: for the recapitulation, Mozart eliminates redundant material by combining the compound basic idea from the first theme with the consequent phrase from the second theme, now adjusted to remain in the home key.

In the new context of the recapitulation, however, this second phrase no longer has the same function as it did in the exposition. In the first place, the second phrase does not restate the basic idea of the section (mm. 27–28); secondly, the harmonic and surface-rhythm activity of the phrase is significantly increased in relation to the preceding compound basic idea. For these reasons, material that once functioned as a *consequent* in the A section now functions as a *continuation* in the A´ section.

Expanded Recapitulation; Motivic Development

As we learn in later chapters, a contrasting middle is functionally analogous to a development section of sonata form. So one might believe that the "development" of melodic-motivic material within a small ternary is most appropriately confined to its B section; indeed, we can witness motivic development in the sequential activity of Example 7.7, mm. 11–14.

But the development of motives from the A section can also occur in the A´ section, as seen in connection with the stepwise sequences in Example 7.10, mm. 18–20.

At times, such development can generate an *expansion* of the recapitulation relative to the exposition. The A´ section can also be lengthened by various other phrase and cadential deviations.

EXAMPLE 7.11 Beethoven, Piano Sonata in E-flat, Op. 7, ii, 1–24

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Example 7.11: the exposition takes the form of a nonmodulating 8-m. sentence. Note that the basic idea itself consists of two motives: a stepwise ascent and a leaping dotted-rhythm figure (bracketed in the score). The continuation exclusively "develops" the stepwise motive, first ascending (m. 5) and then descending (m. 6).

The following B section brings a standing on the dominant, which comprises three varied statements of a new 2-m. idea.

The recapitulation begins in m. 15 with a return of the basic idea from the opening of the movement. Rather than repeating the idea, as in the exposition, Beethoven immediately introduces a new continuation phrase. He can eliminate a second statement of the basic idea (with its resulting melodic-motivic redundancy) and still preserve a strong sense of tonic prolongation, because a complete I–V–I motion is accomplished within the basic idea itself, rather than within the complete 4-m. presentation, as is so often the case.

The continuation phrase of the recapitulation is entirely different from that of the exposition. Rather than developing the stepwise motive from the basic idea, the new continuation develops the leaping dotted-rhythm motive by means of fragmentation into one-beat units within an ascending-stepwise sequential progression. Measure 19 brings the cadential progression, which leads to a deceptive cadence when the dominant resolves to the mysterious VII$^{4}_{2}$/II.

A second continuation then begins in m. 20, which, like the exposition, develops the first motive of the basic idea, but now with massive *fortissimo* chords in a highly dramatic outburst. The sudden *pianissimo* at the upbeat to m. 23 signals a return to the cadential idea of m. 19, and the following PAC brings closure to the theme as a whole.

In this example, we see how the composer draws entirely new consequences from the melodic-motivic material of the basic idea and thus creates a recapitulation whose structure and character differ markedly from that of the exposition.

Finer Points

Contrasting Middle (B)

**Dominant Emphasis vs. Standing on the Dominant**

A contrasting middle section may begin and end with the dominant, without necessarily being supported by a prolongation of that harmony. The initial dominant may function instead as a subordinate chord within a tonic prolongation.

Example 7.12: the B section appears at first glance to be a simple standing on the dominant. Yet the V$^{6}_{5}$ chords on the downbeats of each measure have a strong tendency to resolve to the following tonics. Since the dominants are thus subordinate to the tonic, not vice versa, we can conclude that, until the very final chord (m. 12), the B section is actually supported by a tonic prolongation. We must reject, therefore, our initial interpretation of a standing on the dominant.

Nevertheless, dominant harmony receives considerable emphasis within the section: not only are the initial and final harmonies dominant in function, but that harmony also falls on metrically strong positions within the measures. Melodic stasis on the fifth scale degree further emphasizes the sense of dominant.

As is discussed below, the section ends with a dominant arrival rather than an HC.

EXAMPLE 7.12 Beethoven, Piano Sonata in G minor, Op. 49, No. 1, ii, 7–16

TONIC PROLONGATION OR DOMINANT PROLONGATION?

In a series of alternating dominant and tonic harmonies, it can often be difficult to decide which is the primary, prolonged harmony and which is the subordinate harmony.

Thus the alternating harmonies could be heard as either:

- *A tonic prolongation: (V)–I–(V)–I–(V)–I, etc., or*
- *A dominant prolongation: V–(I)–V–(I)–V–(I)–V, etc.*

It is impossible to give guidelines in advance on which harmonic reading is preferable. Instead, you will usually have to "use your ears" and let the particular melodic-rhythmic context alone help you determine the correct harmonic analysis.

Modulating B Section; Retransition

Another way for a contrasting middle to "emphasize the dominant" is for the section to modulate to the dominant region and confirm it as a subordinate key by means of a PAC.

Following that cadence, there usually appears a passage of music whose purpose is to bring back the home key in preparation for the recapitulation. This *retransition* function, as it traditionally is termed, may be as short as a single chord (HK: V^7) or may be a more extended passage featuring model-sequence technique leading to the home-key dominant.

A contrasting middle that modulates to the dominant usually follows upon an exposition that has remained in the home key. (If the A section itself modulates to the dominant, the B section either moves on to other related regions or else, more typically, returns quickly to the home key.)

EXAMPLE 7.13   Haydn, Symphony No. 101 in D ("The Clock"), iv, 7–22

Example 7.13: following a nonmodulating A section, the B section opens directly in the dominant region with an 8-m. hybrid. Measures 9–12 bring a compound basic idea prolonging I^6 (of the subordinate key), after which an exclusively cadential phrase, as supported by an ECP (but containing little in the way of continuational characteristics), confirms the new key with a PAC in m. 16.

The next 4-m. phrase has retransition function: a brief model and sequence in mm. 17–18 leads to a home-key HC at m. 20. The recapitulation starts immediately thereafter.

Noncadential Ending; Dominant Arrival

If the contrasting middle is built entirely as a standing on the dominant, then, as we have already discussed, the section "ends" without any cadential closure, because there has been no actual cadential progression to effect a cadence.

But even if the B section includes greater harmonic activity, two situations can lead to the B section concluding on dominant harmony without a cadence:

1. The absence of any distinct half-cadential progression
2. The presence of a potential half-cadential progression, one whose final dominant is rendered unstable, either by being inverted or by containing a dissonant seventh (or both).

In either situation, the appearance of the ending dominant can be termed a *dominant arrival*, a cadential deviation of the half cadence.

> **Example 7.12: following a tonic prolongation (with dominant emphasis, as discussed above), the move to dominant harmony at the end of the section (m. 12) cannot be construed as an HC because the dominant is inverted and contains a dissonant seventh; the final V$^6_5$ therefore marks a *dominant arrival*. Note that Beethoven adds a fermata over this final chord of the section; in this way he prompts us to hear the dominant as an "ending" harmony despite its noncadential status.**

Sometimes the final dominant of the B section appears at a point that *precedes* what otherwise seems to be the "end" of the section. The impression we have is that the music gets "stuck" on the dominant too early, and by the time the section plays itself out, we understand that the dominant has ended up being the final harmony of the section. In such a situation, we can speak of a *premature dominant arrival*.

> **Example 7.14: the contrasting middle opens in m. 10 with a new 2-m. idea, which is then repeated in the following two measures. Despite the unison texture, the idea clearly implies V^7/VI. The next two measures see the root of this dominant, C, repeated as a dotted-rhythm figure within a *poco ritardando*. This gesture suggests that the section is coming to a close and sets up strong expectations for a root-position F harmony to mark the beginning of something new. From what we have heard so far, we might believe that the entire section has been constructed as a standing on the dominant, not of the home key but of the submediant.**
>
> **But in mm. 16–17 Beethoven surprises the listener (and at the same time concedes that he has indeed brought the "wrong" dominant) by resuming the original tempo and shifting the dotted-rhythm figure up to D♭, the seventh of the home-key dominant, which is arpeggiated in mm. 18–19. That the fermata over the dominant E♭ (m. 19) marks the literal end of the B section is confirmed in**

the following measure when the basic idea from the A section returns to mark the beginning of the recapitulation.

Although the B section conforms to the norm by closing with a dominant of the home key, this final harmony is not associated with any cadence because no harmonic progression leads into the downbeat of m. 19. Just where the dominant harmony actually arrives is not immediately evident on first hearing, although in retrospect we can identify the repeated D♭s in m. 16 as the onset of that harmony. Yet this measure possesses no cadential quality since it does not represent a phrase-structural end. Inasmuch as the harmonic goal of the B section (beginning at m. 16) fails to coincide with its melodic and phrase-structural goal (m. 19), we can speak of a premature dominant arrival at m. 16 and recognize that the contrasting middle concludes without a cadence.

EXAMPLE 7.14   Beethoven, Piano Sonata in E-flat, Op. 31, No. 3, ii, 1–20

Recapitulation (A´)

Change in Formal Function

When the recapitulation is compressed or expanded in relation to the exposition, the internal formal functions of the A´ section are usually altered in some way. But even when the recapitulation remains the same size as the exposition, some change in the formal functions may occur.

> **Example 7.7:** the recapitulation begins in m. 15 and closes with a PAC in m. 22, thus creating the same 8-m. length as the exposition (excluding the closing sections). But Haydn fills these eight measures with a different set of formal functions. Rather than following the opening basic idea (mm. 15–16) with a contrasting idea (as in the exposition) and a potentially redundant HC, he immediately brings fragmentation and model-sequence technique, thus projecting continuation function.
>
> Following a midphrase pause at m. 18 (a typical Haydnesque gesture), he resumes the musical activity with more fragmentation, which "develops" the characteristic dotted-rhythm motive ("x") from the very opening of the theme and eventually extends the continuation out to six measures.
>
> Finally, he reinforces the correspondence between the A and A´ sections by bringing back the closing section from the exposition, transposed into the home key, of course.

Tight-Knit or Loose?

As discussed earlier, the A section of the small ternary is always more tightly knit than the B section, which exhibits various loosening devices. But the question remains, How does the A´ section stand in relation to its prior sections as regards tight-knit and loose organization?

There is no simple answer. Each case must be evaluated on its own terms. But some generalizations can guide us in the matter.

Recapitulation versus exposition. If the outer sections of the small ternary are constructed identically, then they would seem to possess the same degree of tight-knit expression.

If the two sections differ in form, however, the A´ is usually organized more loosely than the exposition. The techniques used to compress or expand a recapitulation are generally associated with formal loosening.

If the recapitulation exhibits a different set of formal functions from that of the exposition, the new functional arrangement is usually looser.

There is one principal exception to the rule that an altered recapitulation is looser than its corresponding exposition. If the A section is modulatory and the A´ section is identical in organization except for being tonally adjusted to remain in the home key, the latter section would appear to be more tightly knit than the former section (according to the criterion of tonality).

Recapitulation versus contrasting middle. If it is modeled closely on the exposition, a recapitulation usually retains its tight-knit expression relative to the immediately preceding contrasting middle.

If, however, the recapitulation is manifestly looser than the exposition, then both the contrasting middle and the recapitulation appear loosely organized.

In some cases it is possible to say with some degree of certainty that one section is looser than the other. In many cases, however, the comparison proves problematic, and we profit more by analyzing the specific loosening techniques associated with each section than by trying to decide which is looser.

Let us apply these criteria to some of the examples discussed in this chapter and attempt to characterize their component sections as relatively tight-knit or loose.

Example 7.1: the exposition (not shown here, but see Ex. 3.1) contains a fully symmetrical period, one that begins and ends in the home key and thus expresses a very tightly knit organization. The contrasting middle is distinctly looser: the section is supported exclusively by a dominant prolongation, its thematic design is nonconventional (it is neither a period, sentence, nor hybrid), and it closes without a cadence.

The recapitulation is more difficult to classify. On the one hand, it lies entirely in the home key and expresses its functional requirements (a restatement of the basic idea in the home key and a confirmation of that key by a PAC) most efficiently; for this reason the recapitulation represents a relatively tight-knit structure, especially in relation to the contrasting middle.

Compared with the exposition, on the other hand, the recapitulation is somewhat looser in expression because it does not contain a conventional thematic design (its consequent phrase being only one-half of a period) and because of the slight chromatic inflection and loss of tonic pedal supporting the basic idea. The A´ section thus stands between the two extremes of tight-knit and loose as defined by the A and B sections respectively.

Example 7.8: the exposition and recapitulation have the same basic formal structure: a tight-knit hybrid. But owing to its modulatory tonal organization, the A section is rendered somewhat looser compared to the A´ section, which remains throughout in the home key. Here, then, is one instance where the recapitulation is more tightly knit than the exposition.

Example 7.11: the exposition is unquestionably the most tightly knit section of this ternary form. The recapitulation—with its phrase-structural asymmetry, prominent sequences, extensive chromatic enrichment, and cadential deception—is markedly looser in formal expression.

It is more difficult to compare this loose recapitulation with its preceding contrasting middle, which also has a loose expression because of an emphasis on dominant harmony, a lack of cadential closure, and a nonconventional thematic design.

But compared with the A´ section, the B section is relatively more unified in its melodic-motivic material, has greater symmetry of phrase structure (2 + 2 + 2), and is decidedly less chromatic. Thus the contrasting middle is not obviously looser than the recapitulation, as is usually the case; in fact, the former section may well be interpreted as somewhat more tightly knit than the latter section.

TIGHT KNIT VS. LOOSE: A "RELATIVE" DISTINCTION

It can be easy to think of a given passage as tight-knit or loose in some absolute sense: every period is tight-knit, and every nonconventionally organized unit is loose.

But in actual musical contexts, the distinction should be understood at all times as a relative one. A given passage may exhibit tight-knit characteristics only in comparison with some other passage (normally within the same movement), which may be looser in some way or another.

In a particular compositional situation, for example, an 8-m. sentence may be more tightly knit than some other passage; yet in another context, that same sentence might appear as looser in structure.

There is no absolute condition of a given passage being tight-knit or loose; every case is relative to the entire compositional setting.

Reviewing the Theory

Answer These Questions

1. In the rounded binary version of the small ternary form, which sections are repeated?
2. The A section closes with which cadence type(s)?
3. What are the primary means for how the B section contrasts with the A section?
4. What are the two most common techniques for structuring a contrasting middle?
5. What are the two main requirements that an A´ section must fulfill?
6. Which two elements of a periodic A section are often eliminated as redundant in a compressed A´ section?
7. What is the difference between a "dominant prolongation" and a "standing on the dominant"?
8. Why is the final harmony of the B section usually a dominant?
9. Why is the B section rarely, if ever, constructed as a period?
10. If the B section modulates to, and confirms, a subordinate key, which formal function is then used to bring the music back to the home key?

True or False?

1. The small ternary and rounded binary are fundamentally the same form.
2. The A section of a small ternary always remains in the home key.
3. The B section emphasizes dominant harmony.
4. The end of the A section typically elides with the beginning of the B section.
5. The structure of the A´ section is usually altered in relation to the A section.
6. If the A section modulates, the A´ section will always require some kind of tonal adjustment.
7. A half cadence is found at the end of a standing on the dominant.
8. The B section is looser in organization than the A section.
9. As a rule, a sentence is looser than a period.
10. Motivic development may take place in the recapitulation.

Multiple-choice Questions

Choose a letter (there may be more than one) that correctly answers the question.

1. Which of these tonal regions is *not* likely to become a subordinate key?
   a. V
   b. III
   c. VI
   d. minIV
2. Which of these characteristics promotes formal *loosening*?
   a. Diversity of melodic-motivic material
   b. Ending with a PAC
   c. Tonic prolongational progressions
   d. Nonconventional thematic organization
3. Which of these characteristics promotes *tight-knit* formal organization?
   a. Sequential harmonies
   b. Symmetrical grouping structures
   c. Weak cadential closure
   d. Periodic formal organization
4. Which change is considered *ornamental*?
   a. Change in dynamics
   b. Change in tonality
   c. Change in grouping structure
   d. Change in instrumentation

5. Which change is considered *structural*?
    a. Change in formal function
    b. Change in harmony
    c. Change in accompanimental patterning
    d. Change in texture

6. Which technique is characteristic of a postcadential standing on the dominant?
    a. Reduction in the texture
    b. Elision with a prior PAC
    c. Anticipating motives of the upcoming basic idea
    d. Model-sequence technique

Examples for Analysis

EXAMPLE 7.15   Mozart, Piano Sonata in D, K. 576, ii, 1–16

EXAMPLE 7.16   Beethoven, Piano Sonata in A, Op. 2, No. 2, ii, 1–19

EXAMPLE 7.17 Mozart, Clarinet Quintet in A, K. 581, iv, 1–16

EXAMPLE 7.18 Haydn, Piano Sonata in C, H. 48, ii, 1–30

(continued)

EXAMPLE 7.18   *Continued*

EXAMPLE 7.19   Haydn, Piano Sonata in C, H. 48, i, 1–26

EXAMPLE 7.19 *Continued*

EXAMPLE 7.20 Haydn, String Quartet in F, Op. 77, No. 2, iii, 1–22

(continued)

EXAMPLE 7.20 *Continued*

EXAMPLE 7.21 Mozart, Piano Sonata in D, K. 284, iii, 1–17

Model Composition

1. Write a small ternary theme using the material shown in Example 7.22. The exposition should contain an 8-m. period that modulates to the dominant region and closes there with a PAC. The B section should be built as a continuation phrase using model-sequence technique. The recapitulation should be made up of an "adjusted" consequent phrase based on the period of the exposition.

EXAMPLE 7.22 Model composition, small ternary, no. 1

2. Write a small ternary using the basic idea in Example 7.23. The A section should be constructed as a nonmodulating period or periodic hybrid. Build the B section as a standing on the dominant. Write the A´ section in such as way as to bring some changes to the formal functions of the A section, including the use of model-sequence technique or a deceptive cadence.

EXAMPLE 7.23   Model composition, small ternary, no. 2

The Small Binary

In this chapter you learn about the last of the basic theme types, the *small binary*. Though related to the small ternary in many respects, the small binary differs from it in some important ways and thus calls for its own treatment here.

The Basics

As its name suggests, the *small binary* is akin to the small ternary except that it consists fundamentally of two *parts*. Indeed, in its external shape, the small binary resembles the "rounded binary" version of the small ternary in that each of the two parts normally lasts eight (real) measures, closes with a cadence, and is repeated (usually with repeat signs, but sometimes written out to introduce variations).

The essential difference between these forms is that the small binary does not recapitulate its opening materials; the initial basic idea, harmonized by tonic of the home key, does not return later in the theme.

Unlike the small ternary, whose three sections have unique and well-defined formal functions, the two parts of the small binary are less distinct in overall functional meaning. Since it is difficult to propose specific terminology for the constituent parts of the form, they are identified instead by the relatively neutral terms *part 1* and *part 2*. In each part, however, it is usually possible to identify specific functional components conventionally associated with the sentence, period, or small ternary.

FOCUS ON FUNCTION

Labeling the Parts of the Small Binary. *Throughout this text, every effort is made to interpret formal units in terms of the specific function that they serve in the temporal unfolding of the musical work.*

At times, however, it is not possible to supply a ready-made form-functional label to a unit, and it becomes necessary to revert to

(continued)

Focus on Function continued:

a more neutral term that indicates a generalized sense of temporality. Speaking of the small binary as consisting of two parts, which are simply numbered 1 and 2, is an example of where a functional interpretation says nothing more than that a first part (initiation) is followed by a second part (conclusion).

We might think it feasible to employ the letter names associated with the small ternary to the small binary, but neither of the two obvious options is successful, since the letters themselves have functional meanings.

Thus to speak of the two parts of the small binary as A and B would suggest a structure that consists of an exposition followed by a contrasting middle. Likewise, to label the two parts of that form as A and A´ would suggest an exposition followed by a recapitulation. Neither of these functional configurations accurately represents what happens in the small binary theme type.

The small ternary and small binary often differ in how they distribute their melodic-motivic material. The second part of the small binary usually begins with ideas that directly relate to the beginning of the first part; such a motivic connection helps project the sense of bipartite structure as well as dampen expectations for a subsequent recapitulation of the basic idea. The rounded binary, on the contrary, usually begins its contrasting middle with material that differs from the opening idea of the theme.

More than any other theme type, the small binary emphasizes a sense of structural symmetry by regularly appearing in its normative length of 16 real measures (8 + 8). Thus the standard phrase deviations of extension, compression, and the like are infrequently found in the form.

The small binary tends to be used in movements that feature multiple recurrences of a theme, such as a rondo or a theme and variations. By using this theme type, the composer can minimize an overexposure of the basic idea, since that idea will not be recapitulated in the course of the theme itself. The small binary is especially appropriate for variation forms, where the return of the basic idea can be reserved to mark the beginning of each new variation.

Part 1

The first part of the small binary is most often built in the same way as the exposition of the rounded binary, namely, as a simple 8-m. theme. The first part may remain in the home key or modulate to a subordinate key. Unlike an A section, the first part may close with a half cadence.

Part 2

The second part of the small binary often begins with a unit, usually four measures long, that is functionally equivalent to a contrasting middle (B section).

The phrase that follows this B section may express a variety of functions. Four patterns are typically found:

1. *Contrasting middle + continuation.* The material within the continuation phrase often relates to some material from the first part.
2. *Contrasting middle + cadential.* The unit is supported by a single expanded cadential progression.
3. *Contrasting middle + new consequent.* The unit is constructed like a consequent phrase (basic idea + contrasting idea) except that the basic idea is *new* (i.e., not the one beginning the first part; otherwise, a recapitulation would be created).
4. *Contrasting middle + further dominant prolongation.* The dominant harmony concluding the B section is sustained into the following phrase. That harmony often resolves deceptively to VI, after which the phrase concludes with a PAC.

The second part of the small binary sometimes contains no contrasting middle. In that case, the entire part may only bring continuational or cadential material. Occasionally, the second part will take the form of a loosely organized sentence.

Like the end of the A´ section of the small ternary, the second part of the small binary always ends with a PAC in the home key.

Figure 8.1 will help you distinguish between the *rounded* binary (small ternary) and the *small* binary.

Rounded Binary	Small Binary
Always has a recapitulation	Never has a recapitulation
Always has a contrasting middle	Sometimes lacks a contrasting middle
A section ends with a PAC	Part 1 may end with an HC
May exhibit a variety of grouping patterns	Is usually symmetrical (8 + 8)
B section usually begins with new material	Part 2 often begins motivically like part 1

FIGURE 8.1   Rounded binary vs. small binary

EXAMPLE 8.1   Haydn, Piano Trio in A-flat, H. 14, ii, 1–16

Example 8.1: the first part consists of a simple 8-m. sentence, whose continuation phrase modulates to the subordinate key of B major (dominant of the home key). In all essential respects, then, this first part of the small binary is identical to what might be found in the A section of a small ternary.

Following the repeat of the first part, the second part begins at m. 9 with a "dominant version" of the opening basic idea. This appearance cannot be taken as a "recapitulation," in the sense of a small ternary, because there has been no intervening contrasting middle. Instead, this version of the basic idea leads to an HC at m. 12, and the 4-m. unit closed by this cadence, with its emphasis on dominant harmony, projects a clear contrasting middle (B section).

At this point, Haydn could have brought the original basic idea back at mm. 13–14, and we would have recognized that a small ternary form was clearly in the making. Instead, he forgoes a return of the basic idea (it had just appeared, after all, in mm. 9–10) and follows the contrasting idea with a 4-m. continuation phrase, which is modeled on the one from the first part of the form (mm. 5–8) but adjusted to remain in the home key, as confirmed by the concluding PAC.

SOME HISTORICAL BACKGROUND

Small Binary. *The account of the small binary theme type presented here is inspired by the description of this form given by Erwin Ratz,[1] who, more than any other of Schoenberg's many renowned students, transmitted and developed his teacher's theories of musical form, paying particular attention to the idea of* formal functions. *(Schoenberg, himself, does not discuss the small-binary theme type in his writings, though he probably taught elements of it to his students.)*

Curiously, though, Ratz seems to have misunderstood the fundamental way in which this form differs from the small ternary. According to him, "The small binary is differentiated from the small ternary above all by the absence of a functionally contrasting middle section."

As we have seen, however, a small binary may very well include a contrasting middle. What truly distinguishes the two theme types is the presence or absence of a recapitulation of the opening basic idea.

Let's Practice

Example 8.2: answer these questions.

1. How is part 1 of this small binary structured?
2. With what kind of cadence does this part close?
3. Why can we not consider part 1 to be an A section of a small ternary form?

EXAMPLE 8.2   Beethoven, Variations for Piano in E-flat, Op. 35, 66–81

4. Does part 2 begin with a contrasting middle? If so, what features of that function are present?
5. How should we label the final phrase of part 2? Why?
6. Why might we be tempted to consider the final phrase as bringing a kind of "recapitulation"?

More Details

Part 1

In many cases, the first part of the small binary is indistinguishable from the A section of the small ternary. See Example 8.1, and Examples 8.6 and 8.7 below. It is not until we hear more music that we necessarily suspect that a small binary may emerge as the overall theme type.

Ending with Half Cadence; Failed Consequent
Often enough, the first part departs from the norms of an A section by ending with an HC, rather than a PAC, which is normally required of a small ternary exposition.

If part 1 is built as a sentence closing with an HC (as in Ex. 8.2), then the form-functional organization is not problematic; we can usually identify a clear

presentation phrase followed by a continuation. (A similar situation obtains if part 1 is built as the sentential hybrid compound basic idea + continuation.)

But in situations where periodic functions seem to come into play, then the fact that the first part ends with a weak cadence proves more difficult to interpret. In such cases, the second phrase can give the impression of being a consequent that does not achieve its promised strong cadential closure, and so we can speak in that case of a *failed consequent*.

EXAMPLE 8.3 Beethoven, Violin Sonata in A, Op. 30, No. 1, iii, 1–8, 17–24

Example 8.3 (to save space, the written-out repetition of the parts, mm. 9–16, 25–32, has been omitted): the opening phrase of part 1 is a compound basic idea, supported entirely by a tonic prolongation. The return of the basic idea in varied form (mm. 5–6) suggests that a consequent phrase is in the making, one that would ordinarily close with a PAC, to complete the hybrid theme. Instead, this second phrase concludes with an HC.

Though the internal organization of the second phrase—a basic idea followed by a contrasting idea leading to an HC—is suggestive of an *antecedent*, in the context of the first part as a whole, we much more have the impression that an implied *consequent* has "failed" to materialize because of the weak cadential closure. The resulting structure is a nonconventional form: compound basic idea + failed consequent.

EXAMPLE 8.4   Haydn, Piano Sonata in E, H. 31, iii, 1–16

Example 8.4: the opening phrase of part 1 is a standard antecedent. When it begins to be repeated at m. 5, we expect a consequent phrase to close with a PAC. Surprisingly, however, the phrase modulates to the submediant region and ends there with an HC.

Like the previous Example 8.3, the combination of basic idea + contrasting idea leading to an HC suggests that the second phrase might be considered a second antecedent. But in this case, the modulation to another region disallows this interpretation (recalling that antecedent phrases do not modulate). Instead, interpreting the second phrase (mm. 5–8) as a failed consequent seems best to model our hearing experience.

SMALL BINARY VS. COMPOUND PERIOD

In cases where the first part of a small binary ends with an HC, one might be tempted, especially on first hearing, to think that the entire 8-m. unit is functioning as the compound antecedent of a 16-m. period.

And, indeed, when the opening unit begins to be repeated (which is almost always the case), we might expect that a compound consequent was in the making.

But when the unit ends a second time with an HC, we realize that the compound period option is no longer viable, since the antecedent of any period is never *repeated prior to the onset of the consequent.*

The whole effect of a periodic formation is that the first repetition of an opening unit brings stronger cadential closure; that is, if an antecedent begins to be repeated, it must close with a strong cadence to give the impression of a consequent, and thus realize the period form.

If a presumed compound antecedent is fully repeated, we should instead reinterpret that structure as the first part of a small binary.

Part 2

The first thing you should observe when confronting the second part of a small binary is whether or not it begins with a contrasting middle (B section).

If so, then there are four options for what will occur after that contrasting middle: (1) a continuation, (2) a cadential phrase (supported by an ECP), (3) a "new" consequent, and (4) further dominant prolongation.

Contrasting Middle + Continuation

Following a contrasting middle, a passage with continuational characteristics brings the second part to a close with a PAC. The melodic-motivic content of this continuation may relate back to a continuational passage from the first part or bring new material.

If the contrasting middle itself is built as a continuation (a frequent situation, as discussed in Chap. 7, p. 211), then the second part as a whole consists of two continuation phrases: the first closing with an HC, the second with a PAC.

Example 8.5: this *gigue*-**like variations theme begins with an antecedent leading to an HC at m. 4. A highly varied "dominant version" of the opening basic idea returns in mm. 5–6 to propose a consequent, which "fails" when the music suddenly modulates to the submediant region, closing there with an HC (similar to what happens in Ex. 8.4). This move to the submediant is motivated by the chromatic E–D♯ pitch configuration in m. 7, which itself refers back to the same configuration in m. 2.**

The second part opens with two bars of model-sequence technique (emphasizing the chromatic D–C♯ pitch configuration from m. 1), leading then to a home-key HC. With its emphasis on dominant harmony at both the beginning and the end of the phrase, this continuation clearly functions as a contrasting middle.

A second model-sequence passage then begins the final phrase, which leads to the closing PAC. Again, we can identify clear continuational characteristics defining the phrase. Note that in this second continuation of part 2, Haydn eliminates all references to the chromatic material of previous phrases and (except for the G♯ in the viola in m. 13) sustains a completely diatonic expression all the way to the end of the theme.

EXAMPLE 8.5   Haydn, String Quartet in G, Op. 33, No. 5, iv, 1–16

EXAMPLE 8.5 *Continued*

Contrasting Middle + Cadential

If the second part of a small binary begins with a contrasting middle, the phrase that follows may be supported solely by an expanded cadential progression.

In some circumstances, continuational characteristics may be present within this phrase, such as the sense of harmonic acceleration following a contrasting middle built as a standing on the dominant, as can be seen in Example 8.2.

In other cases, the final phrase may be seen to serve a more exclusively cadential function, as in the next example.

Example 8.6: this theme for variations by Mozart, which was likely influenced in general style by Haydn's theme in the previous Example 8.5, has a rather complicated phrase structure, one that features three expanded cadential progressions.

The first part of this binary theme might initially be understood as a period, whose consequent phrase brings back a rather varied, "dominant version" of the basic idea (again, like Haydn's theme). But note that the I⁶ in m. 6 already brings the start of a cadential progression, when it moves to the pre-dominant and dominant harmonies in the following measures. And if we hear the VII⁴₃ at m. 5 as an embellishment of the I⁶, then we can recognize an ECP supporting the entire phrase, thus suggesting an overall hybrid structure (antecedent + cadential) for part 1. Since this whole unit ends with a PAC, it could just as well be heard as the A section of a potential small ternary.

The second part features an elaborate contrasting middle, which modulates to the III region as confirmed by the PAC in m. 16. The opening phrase might seem at first to be an antecedent, except that its modulating tonal scheme suggests we can better understand its primary function to be a *transition* (a formal function we study later in connection with sonata form). The second phrase, supported by an ECP, confirms the new key with continuation⇒cadential function. Following the

cadence, a third phrase brings the music back to the home key, ending there with an HC; it thus serves a *retransition* function (to match the transition that opened the contrasting middle).

With the contrasting middle now complete, the possibility of this theme emerging as a small ternary would be realized if Mozart were to recapitulate the opening basic idea. Instead, he brings another ECP, one that dramatically emphasizes the Neapolitan harmony as pre-dominant. This final phrase is exclusively *cadential* in that it projects no continuational characteristics (as was the case with the prior ECP in mm. 13–16).

EXAMPLE 8.6   Mozart, String Quartet in D minor, K. 421, iv, 1–24

(continued)

EXAMPLE 8.6 *Continued*

Contrasting Middle + "New" Consequent

The final phrase of a small binary can sometimes be built out of a *new* 2-m. idea followed by a contrasting idea that leads to a PAC. If this 2-m. idea were identical to the basic idea opening the first part (instead of being new), the phrase would function as a consequent, and an overall small ternary form would result.

But when this final phrase brings a different 2-m. idea, there is no sense of recapitulation, and the theme becomes a small binary.

What then, is the function of this final phrase? Although a corresponding "antecedent" is not present, we can still consider the phrase a "consequent," since its internal characteristics are identical to that formal function.

> Example 8.3: the second part of this binary begins in m. 17 with a 4-m. contrasting middle built as a standing on the dominant.

The following phrase (mm. 21–24) brings a 2-m. idea followed by a contrasting idea, which itself closes with a PAC. The phrase has no continuational characteristics, and unlike a cadential phrase, its supporting harmonies do not make up an expanded cadential progression.

Instead, the phrase is best described as a *consequent*, even though it has no immediately preceding antecedent. Nonetheless, the 2-m. idea beginning this consequent is clearly derived from the opening measures of the standing on the dominant, and thus within the second part a periodlike relation obtains between the B section and the following consequent.

Contrasting Middle + Further Dominant Prolongation

Another common procedure for constructing part 2 of a small binary is to prolong the goal dominant of the contrasting middle well into the subsequent phrase. Frequently, the dominant resolves deceptively to VI, after which a PAC closes the theme.

In such cases, the resulting phrase cannot be easily described using any of the labels for the conventional phrase functions.

EXAMPLE 8.7   Haydn, Piano Sonata in E, H. 22, iii, 1–16

Example 8.7: the first part of this small binary is built as a periodic hybrid (compound basic idea + consequent), which modulates to the subordinate key. (The second phrase might also be viewed as a continuation, given the new modulating harmonic support of the "basic idea.")

The opening phrase of the second part makes up a contrasting middle, closing with an HC in the home key. The following phrase, unlike most of those examined up to now, does not begin with the tonic (in order to resolve the dominant ending the previous phrase). Instead, the dominant continues to be prolonged, only to resolve deceptively on the last beat of m. 14 (this is not a deceptive *cadence!*). The last two measures bring the concluding PAC.

Inasmuch as the final phrase features a new idea (mm. 13–14) followed by a cadential idea, we might be tempted to consider it a consequent. But the lack of tonic support for the new idea weakens the sense of consequent function.

Absence of Contrasting Middle

The second part of a small binary is sometimes built without a clearly discernible contrasting middle. Instead, part 2 may be organized along the lines of a conventional theme type (most often a sentence, rarely a period).

At other times, a distinctly looser structure may result, one that brings continuation or cadential functions exclusively.

Even though the second part may not contain a complete contrasting middle (with its ending on the home-key dominant), the beginning of the part may strongly suggest this function, such as emphasizing dominant harmony or immediately bringing model-sequence technique.

Example 8.4: the grouping structure of the second part resembles a sentence, but the initial four measures display model-sequence technique, and the resulting lack of tonic prolongation prohibits us from speaking of a true presentation phrase.

The entire second part thus functions as a large 8-m. continuation (such as that found in the second half of a compound sentence). (The incomplete texture in mm. 14–16 makes it difficult to interpret the supporting harmonies and thus to determine whether the model is repeated sequentially a second time in mm. 13–14.)

Example 8.8 (to save space, the written-out repetition of the parts, mm. 9–16, 25–32, has been omitted): part 1 of this small binary is built as a regular 8-m. sentence, ending with an HC.

Part 2 is constructed as a similar sentence, this time ending with a PAC. Note that the presentation phrase brings a dominant version ("response") followed by a tonic version ("statement"), and this looser arrangement of the ideas is appropriate for its central position within the theme. Indeed, an even looser *sequential* repetition is suggested when the music leads from V to I (mm. 17–19) and then from I to IV (mm. 19–21) to begin the continuation.

As discussed earlier in this chapter (see the text box "Small Binary vs. Compound Period," we might be tempted to label part 1 a compound antecedent and part 2 a compound consequent. If there were no repeats of the parts, this analysis might be viable. But given the repetition scheme, the sense of small binary, rather than any kind of period, makes a more compelling interpretation.

EXAMPLE 8.8   Beethoven, String Quartet in C-sharp minor, Op. 131, iv, 1–8, 17–24

Reviewing the Theory

Answer These Questions

1. What is the fundamental difference between a small ternary and a small binary?
2. Why are letter labels (for example A–B or A–A´) inappropriate for use with the small binary form?

3. Each part of the small binary usually consists of how many (real) measures?
4. What is a "failed" consequent?
5. What does it mean to say that part 2 may end with a "new" consequent?
6. If, in the second part, dominant harmony is prolonged past the contrasting middle, to what harmony does the dominant usually resolve?

True or False?

1. Part 1 of a small binary remains in the home key.
2. The second part of a small binary contains a contrasting middle.
3. The small binary does not bring a return of the basic idea in its second part.
4. Part 2 often begins with motivic material that refers to the beginning of part 1.
5. Part 2 begins typically by emphasizing dominant harmony.
6. Phrase deviations are frequently used in the small binary form.

Multiple-choice Questions

Choose a letter (there may be more than one) that correctly answers the question.

1. Which cadence type can be used to end part 1 of a small binary?
   a. PAC
   b. IAC
   c. HC
2. In the second part, which unit typically follows a contrasting middle?
   a. A cadential phrase
   b. A compound basic idea
   c. A standing on the dominant
   d. A continuation phrase
3. Which is characteristic of *both* a rounded binary and a small binary?
   a. The theme is divided into two sections (or parts), each of which is normally repeated.
   b. The first section (or part) can end with an HC.
   c. The second section (or part) includes a contrasting middle.
   d. The initial basic idea returns at the beginning of the second section (or part).

Examples for Analysis

EXAMPLE 8.9   Haydn, Piano Trio in G, H. 25, i, 1–21

EXAMPLE 8.10 Mozart, Piano Sonata in B-flat, K. 281, iii, 52–67

EXAMPLE 8.11 Mozart, Piano Trio in G, K. 564, ii, 1–16

EXAMPLE 8.11 *Continued*

EXAMPLE 8.12 Haydn, Piano Sonata in E minor, H. 34, iii, 1–18

EXAMPLE 8.13 Beethoven, Piano Sonata in E, Op. 109, iii, 1–16

Model Composition

Use the basic idea in Example 8.14 to create a small binary theme.

EXAMPLE 8.14 Model composition, small binary

Sonata Form

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Sonata Form

An Overview

Now that you have learned the basic theme types used in classical form, you are ready to consider how these thematic units can be used in larger formal structures. The second part of this textbook focuses on *sonata form*, the pre-eminent full-movement form in the classical period. This chapter presents an overview of the form, to be fleshed out in detail in the remaining chapters of this part.

Most instrumental cycles (sonatas, quartets, symphonies, etc.) have at least one movement in sonata form. In most cases, this is the first movement, but the slow movement and finale are often written in sonata form as well.

Sonata form is important not just because of its frequency of use; many historians and theorists consider it to be the period's most highly developed and complex compositional design, the one in which composers reveal their greatest technical skill and expressive potential.

Moreover, sonata form continued to exert enormous influence over compositional practice in later musical styles, and it remained a viable form, albeit highly modified, at least until the middle of the 20th century.

As an overview, this chapter presents only "the basics" of sonata form, as illustrated primarily by a single example, the opening movement of Beethoven's Piano Sonata in F minor, Op. 2, No. 1. The slow movement from Mozart's Piano Sonata in G, K. 283, lets you practice identifying the basic components of sonata form.

"More details" and many "finer points" are included in the remaining chapters of Part II.

SOME HISTORICAL BACKGROUND

Sonata Form. *The basic elements of sonata form were first described by theorists in the last decade of the 18th century, including important accounts by H. C. Koch,[1] Francesco Galeazzi,[2] and August Kollmann.[3]*

The first fully developed description of the form was given by Antoine Reicha[4] in the early 19th century, and the even more comprehensive theories of A. B. Marx[5] had an enormous influence throughout the rest of that century.

Important 20th-century treatises on sonata form include those by Arnold Schoenberg[6] and Erwin Ratz[7] (which, as already discussed, are highly influential on this textbook). The writings of D. F. Tovey[8] have exerted a powerful impact on many historians and critics, among them Charles Rosen,[9] whose own work on sonata form dominated North American thinking in the latter decades of the 20th century.

A recent, important treatise by James Hepokoski and Warren Darcy[10] offers a theory of sonata form that differs in a number of respects from the one presented here.

Large-scale Formal Structure

Sonata form consists of three required sections, each of which has a unique *section function*: *exposition*, *development*, and *recapitulation*.

The exposition is almost always repeated (with repetition signs, though sometimes written out in order to introduce variations). The development and recapitulation together are sometimes repeated.

The resulting structure ‖: Exposition :‖‖: Development—Recapitulation:‖ thus resembles the "rounded binary" version of the small ternary, with the three sections corresponding to the A, B, and A´ sections of that form.

Two optional functions may frame the form: a *slow introduction* may precede the exposition, and a *coda* may follow the recapitulation. These sections are not discussed in this chapter; see Chapters 15 and 16 for a complete treatment of these framing functions.

LANDMARKS OF SONATA FORM: OVERALL STRUCTURE

The major landmarks of sonata form are normally easy to identify.

The beginning of the exposition is obvious enough (even if preceded by a slow introduction, because there is a change to a fast tempo).

The end of the exposition is also clearly articulated by the repetition structure. Usually there are notated repeat signs to guide you. But if not, the written-out repeat clearly defines the boundaries of the exposition.

(continued)

> Landmarks of Sonata Form: Overall Structure continued:
>
> *The development begins right after the close of the exposition, and its end is made evident enough by the start of the recapitulation, which brings back the same materials of the exposition in the home key.*
>
> *The one major landmark that can cause difficulty is determining the end of the recapitulation and the beginning of the coda. This topic is addressed in detail in a later chapter, but for now the general rule is that the recapitulation ends when it no longer corresponds with the exposition.*

Large-scale Tonal Structure

Sonata form is often described as creating, and then resolving, a *dramatic conflict* of tonalities, namely between the home key and a closely related subordinate key. This conflict is established in the exposition, intensified in the development (through the exploration of additional tonal areas), and resolved in the recapitulation.

The exposition begins in the *home key* (I), confirmed by a cadence (usually a PAC, but possibly an IAC or an HC). The exposition then modulates to the *subordinate key*, confirmed by a PAC. As a general rule, we can say that *the exposition emphasizes major modality*, since even in minor-mode movements most of the exposition sounds in the major-mode subordinate key.

The development often explores one or more additional tonal regions, termed *development keys*; these are normally confirmed by an HC, less often by a PAC. In major-mode movements, the development keys are the *minor*-mode regions of VI, III, and II. In minor-mode movements, the development keys are the minor-mode regions of IV and V; see Figure 9.1. In contrast to the exposition, *the development tends to emphasize minor modalities*. Toward the end of the development, the home key is restored (and usually confirmed with an HC or dominant arrival).

The recapitulation begins in the home key and remains there throughout, though a move toward the subdominant region (not confirmed as a genuine key) typically occurs early in the section. Toward its end, the recapitulation eventually reconfirms the home key with a PAC.

Exposition

The exposition presents most of the melodic-motivic material that is used throughout the entire movement and establishes its fundamental tonal conflict.

The exposition contains three principal *thematic functions*: *main theme*, *transition*, and *subordinate theme*.

Main Theme

The main theme introduces the principal melodic-motivic material of the movement.

The theme is relatively tight-knit in its formal organization and often is structured as a conventional theme type, such as those treated in Part I of this book (sentence, period, hybrid, etc.).

	Major	**Minor**
Home Key (HK)	I (C major)	I (C minor)
Subordinate Key (SK)	V (G major)	III (E-flat major)
		V (G minor)
Development Keys (DK)	VI (A minor)	IV (F minor)
	III (E minor)	V (G minor)
	II (D minor)	

FIGURE 9.1 Key relationships

The main theme confirms the home key through cadential closure of some kind, usually a PAC, sometimes an HC (especially in minor-mode movements), or more rarely an IAC.

An exposition occasionally contains two distinct main themes, each ending with a PAC, to make up a *main theme group*.

TIGHT-KNIT VS. LOOSE ORGANIZATION

The distinction between tight-knit and loose formal organization, which was first introduced in Chapter 7 on the small ternary form, now comes to assume major prominence throughout our study of sonata form.

As a general rule, the main theme of a sonata defines a standard of tight-knit organization for the movement as a whole, to which all of the other sections can be compared as more or less loosely organized.

It must be stressed that the expression of tight-knit and loose form is not absolute, but always relative *to a given movement. Thus we might observe that a given main theme seems rather loose compared to main themes from other movements, but such a comparison has little analytical worth.*

What is important is the degree to which a given main theme is tight-knit in relation to the units that follow (transition, subordinate theme, development section) and how these units are rendered looser in relation to that initial main theme.

EXAMPLE 9.1   Beethoven, Piano Sonata in F minor, Op. 2, No. 1, i, 1–8

Example 9.1: as discussed earlier at the start of Chapter 2, the main theme of this exposition is a model sentence form (indeed, it is almost as if Beethoven were showing in his first published piano sonata that he could write the "perfect" sentence).

Tight-knit organization is expressed in a number of ways. Harmonic and tonal stability are created by both clear establishment of the home-key tonic in the presentation phrase and cadential confirmation of that key at the end of the continuation.

The melodic material is unified through the use of motives derived exclusively from the basic idea, and the grouping of this material into two 4-m. phrases is highly symmetrical.

Finally, the constituent phrase functions (presentation, continuation, and cadential) are presented in the most compact and efficient manner possible. Every detail of the musical organization contributes to the functional expression, and nothing can be eliminated without obscuring an aspect of that functionality.

Transition

The transition functions to *destabilize the home key* in order for the subordinate key to emerge as a rival tonality. The transition also begins to the *loosen* the formal organization (as initially defined by the tight-knit main theme).

Most transitions *modulate* to the subordinate key, closing there with an HC (or dominant arrival). A minority of transitions are *nonmodulating*, closing instead on dominant harmony of the home key.

The phrase structural organization is usually based on the sentential functions of presentation, continuation, and cadential; periodic formations are rarely found in transitions.

FOCUS ON FUNCTION

A Hierarchy of Formal Functions. *In Part I, we learned that themes (most of which illustrated there were* main themes*) are constructed out of various formal functions associated with the ideas and phrases making up the themes.*

As we move beyond main themes, we see that the same phrase functions (presentation, antecedent, continuation, cadential) are also used to construct the other thematic functions *of sonata form, such as the transition, the subordinate theme, and the "core" of the development (to be discussed below), though these functions usually acquire a looser formal expression.*

Indeed, what distinguishes the approach to analyzing classical form in this textbook from all prior approaches is this emphasis on identifying the constituent formal functions, at all levels of structure, throughout the entirety of the full-movement form.

EXAMPLE 9.2   Beethoven, Piano Sonata in F minor, Op. 2, No. 1, i, 9–20

Example 9.2: the transition begins with a restatement of the main theme's basic idea in the lower voice. The appearance of this idea in a C-minor harmony throws the prevailing tonal context into doubt, for this minor harmony would not normally be interpreted as dominant in the home key of F minor. (A genuine dominant harmony contains the leading tone of the key.) Instead, these measures suggest tonic in C minor, analogous to the harmonic-tonal context at the beginning of the main theme (Ex. 9.1, mm. 1–2).

The basic idea is neither repeated (as in a presentation phrase) nor juxtaposed with a contrasting idea (in the manner of an antecedent). Rather, it is followed by four measures that display features of continuation function: fragmentation into 1-m. units (cf. mm. 5–6 of the main theme), acceleration of harmonic rhythm, and a descending-fifth sequential progression.

In mm. 15–16, the tonal context is finally clarified when the continuation phrase concludes with an HC in the subordinate key of A-flat major. Beethoven then extends the sense of arrival by twice repeating the half-cadence idea, thus creating a postcadential standing on the dominant for four measures.

How does this transition express a looser organization? Most obviously by its harmonic and tonal instability in relation to the main theme. At first, the sense of home key is disrupted by the C-minor harmony, which seems to function as a new tonic. But the key of C minor never receives cadential confirmation; nor is its tonic even prolonged by a dominant (as in mm. 3–4 of the main theme). The subsequent move to A-flat, the genuine subordinate key, renders the transition modulatory. Additional harmonic instability is imparted by the sequential progression and by dominant emphasis within the postcadential area.

In addition to harmonic-tonal means, the transition acquires a looser organization by virtue of its asymmetrical grouping structure: 2 mm. (basic idea) + 6 mm. (continuation) + 4 mm. (standing on the dominant). Moreover, the formal functions of these groups, though fully identifiable, are not as efficiently expressed or as clearly defined as are those in the main theme. For example, the continuation is *extended* by two measures over its typical 4-m. length within a tight-knit sentence. Since these two measures are not essential for establishing continuation function, their presence creates a degree of redundancy that loosens the functional expression. As well, the moment of cadential arrival at m. 16 is somewhat obscured by the repetition of the half-cadence gesture within the standing on the dominant. (Which dominant chord—m. 16, m. 18, or m. 20—represents the real cadence?) Finally, the lack of a full presentation phrase renders the transition's beginning less solid, and thus looser in expression, than the opening of the main theme.

FORMAL LOOSENING: A SIGN OF COMPOSITIONAL WEAKNESS?

The description of the loosening features in this transition might give an initial impression of compositional weakness of some sort.

But speaking of an "absent presentation," a "functional inefficiency," or a "cadential obscurity" is not meant to imply faulty structure of any kind.

On the contrary, these loosening techniques are entirely appropriate to the transition's fundamental functions, namely, to destabilize the home key, effect a modulation to the subordinate key, and motivate the appearance of the subordinate theme, which eventually confirms the new key.

Structural loosening does not reflect compositional inadequacy. Rather, deft handling of loosening devices is a sure sign of compositional skill.

Subordinate Theme

The subordinate theme functions to confirm fully the subordinate key. For this reason, the theme must close with a PAC in the new key.

The subordinate theme usually brings contrasting material to that found in the main theme and shapes the material into a distinctly looser form. The various loosening devices associated with a subordinate theme often involve extensions and expansions, such that this theme is almost always considerably longer than the main theme.

A typical aesthetic goal of the subordinate theme is to delay and dramatize the arrival of the anticipated PAC so that its eventual appearance provides a powerful sense of confirming the subordinate key and thus allowing, at least temporarily, that key to gain a sense of structural superiority over the home key.

Many expositions contain *multiple* subordinate themes, each closing with a PAC, to create a *subordinate theme group*. The final cadence of the theme (or group of themes) is usually followed by a *closing section* consisting of codettas. In some cases, the closing section is itself followed by a brief *retransition*, which brings the music back to the home key for the repeat of the exposition.

EXAMPLE 9.3 Beethoven, Piano Sonata in F minor, Op. 2, No. 1, i, 20–48

EXAMPLE 9.3   *Continued*

Example 9.3: the subordinate theme begins with a new 2-m. basic idea. (This "new idea" is actually an inverted variant of the main theme's basic idea, Ex. 9.1, mm. 1–2.) With the repetition of this basic idea in mm. 23–24, the melodic-motivic requirement for presentation function is fulfilled. As for the harmonic requirement—the presence of a tonic prolongation—the situation is complicated.

At first glance, mm. 21–24 would seem to prolong dominant harmony (of A-flat major) as a result of the bass pedal. But temporarily ignoring the pedal, we can also hear a tonic prolongation (shown in brackets), since the goal of the melody, the A♭ on the third beat of m. 22 (and m. 24), demands to be supported by this harmonic function. In this latter interpretation, the tonic is not merely a neighboring chord to the preceding and following dominant; rather, the dominant is subordinate to the tonic. We can thus recognize two levels of harmonic activity in this phrase: (1) a surface level containing the tonic prolongation, which satisfies the harmonic requirement of presentation function; and (2) a deeper level containing the dominant prolongation (created by the bass pedal), which undermines, but does not obliterate from our perception, the lower-level tonic prolongation. This complication in the harmonic structure contributes from the very start to a looser expression of the presentation function. (Note that the hint of modal mixture given by the F♭s also adds to the harmonic loosening.)

A continuation phrase starts in m. 25 when the basic idea begins to be repeated again; but before reaching completion, the melodic line leads abruptly into a new eighth-note motive ("x"). The continuation develops this motive,

fragments the preceding 2-m. units of the presentation phrase into half-measure segments, and accelerates the harmonic rhythm. Moreover, the continuation function is *extended* way beyond the normal 4-m. length of a tight-knit sentence.

The continuation reaches a climax at m. 33 with a prominent arrival on I^6. At this point too, the melodic-rhythmic material changes when motive "x" gives way to a long, descending scale passage, now supported by an expanded cadential progression. But the anticipated cadence is first evaded at m. 37, and the entire *cadential* phrase is then repeated to close with the long-awaited PAC on the downbeat of m. 41.

Following its structural closure with the PAC, the theme concludes with a postcadential *closing section*, made up of three 2-m. codettas (mm. 42–48), the final codetta extended by a bar.

Compared to the main theme, the subordinate theme features a host of loosening techniques, all of which render the latter more than three times longer than the former. Note, in particular, that whereas the tight-knit sentence normally fuses continuation and cadential functions into a single "continuation phrase," these two functions in the subordinate theme are given their own distinct phrases, possessing different melodic-motivic content and harmonic progressions.

Finally, the processes of cadential expansion and evasion highly dramatize the struggle to gain the cadential goal—the required confirmation of the subordinate key. The built-up energy needed to achieve the cadence is then released through the closing section, whose slower rhythmic values and disjunct textures help dissipate the accumulated tension.

LANDMARKS OF SONATA FORM: EXPOSITION

When you are listening to a sonata exposition for the first time, try to identify these landmarks:

- *A home-key (HK) cadence (usually a PAC) that marks the end of the main theme.*
- *A subordinate-key half cadence (SK: HC) and standing on the dominant, which mark the end of a (modulating) transition. If the transition is non-modulating, then it ends with a home-key half cadence (HK: HC).*
- *An SK: PAC, which marks the end of a subordinate theme.*
- *Any additional SK: PACs, which mark the end of any additional subordinate themes.*
- *A closing section made up of codettas, which follows the end of the subordinate theme (group).*
- *A retransition that leads the music back to the home key for a repeat of the exposition.*

(continued)

Landmarks of Sonata Form: Exposition continued:

Note that most of these "landmarks" are cadences defining the end of thematic units.

The beginning of these units may also be marked by salient melodic-motivic material (such as a new "tune"). But, as you will see when you study sonata form in more detail, such markers are a less reliable source of formal articulation than the cadences that establish thematic closure.

Let's Practice

EXAMPLE 9.4   Mozart, Piano Sonata in G, K. 283, ii, 1–14 (R = ½N)

(continued)

EXAMPLE 9.4 *Continued*

Example 9.4: answer these questions on the exposition section of this slow-movement sonata form. (Note that each "real" measure is one-half of a notated measure.)

1. In which (notated) measure, and with which formal device, does the main theme end?
2. What is the form of the main theme? Which aspects of the theme project a *tight-knit* formal organization?
3. In which (notated) measure, and with which formal device, does the transition end? Is the transition modulating or nonmodulating?
4. What is the underlying form of the transition? What *loosening* features are found there?
5. Where is the SK: PAC that marks the end of the subordinate theme?
6. What is the formal organization of the subordinate theme? How does it compare to the main theme? What loosening techniques are used in the subordinate theme?
7. Does the exposition include a closing section? If so, where?
8. What is the formal function of the final two beats in m. 14 (first ending)?

Development

The development section brings about a high degree of tonal and phrase-structural instability along with an intensity of emotional expression, thus motivating a restoration of stability that is eventually accomplished by the recapitulation.

The development largely manipulates and recombines melodic-motivic material of the exposition, but it may introduce some new ideas as well.

The development intensifies the tonal conflict (established in the exposition) by exploring more remote minor-mode tonal regions (esp. VI and III) and by way of sequential harmonic progressions. In relatively long development sections, one or more *development keys* will be confirmed, usually by an HC, sometimes by a PAC.

Toward the end of the development, the home key returns, as confirmed by an HC (or dominant arrival), which is further emphasized by a standing on the dominant, marking the literal end of the development section.

Pre-core/Core Technique

Development sections are considerably less conventional in their phrase-structural organization than expositions are. Unlike an exposition, which almost always brings the three functions of main theme, transition, and subordinate theme, we cannot predict in advance which component parts a given development may contain.

One mode of organization, however, appears frequently: the *pre-core/core* technique. The *core* of a development establishes a relatively large-sized *model* (4–8 mm.), which is *sequenced* one or more times. Subsequent fragmentation leads to an HC (or dominant arrival) of either the home key or a development key, after which there appears a standing on the dominant. The core of the development typically projects an emotional quality of instability, restlessness, and dramatic conflict.

A core is usually preceded by a *pre-core*, a passage of lesser emotional intensity than the core. It is difficult to generalize how a pre-core is formally organized; a number of specific techniques are discussed in Chapter 13 on development sections.

LANDMARKS OF SONATA FORM: DEVELOPMENT

The most prominent landmark of a development section is the establishment of a relatively large-sized model that is then sequenced. This model marks the beginning of a core. The subsequent sequence of the model leads to fragmentation, an eventual HC (or dominant arrival), and a final standing on the dominant.

The material that precedes this landmark (the identification of the model) normally constitutes the pre-core.

The final two events of the core (the HC, and standing on the dominant) represent the second major landmark of a development section. If this HC is in the home key, the recapitulation normally appears next. If the cadence is in a development key, more developmental material usually (but not always) follows.

The development section from Beethoven's first piano sonata features pre-core/core technique, though the final standing on the dominant, divided into two distinct parts, is more extensive than usual (especially considering the relatively small size of the preceding exposition).

> **Example 9.5:** the development section opens with a pre-core, which brings the main theme's basic idea, still in the subordinate key. The idea is then extended by an additional bar. A "dominant version" of the basic idea appears, but its corresponding extension (m. 54) leads the music to the dominant of the development key, B-flat minor (HK: IV) at m. 55.
>
> The resolution of the augmented sixth to the dominant suggests a half-cadential progression, but whether a genuine HC arises is questionable, since m. 54 seems to group more with its preceding two measures (as an extension of the basic idea) than with m. 55. As a result, the lack of a clear cadence renders the pre-core structurally incomplete.
>
> Unlike the tight-knit main theme, which consisted of a clear sentence, the loosely organized pre-core seems only to contain the initiatory presentation function. The core, which follows, thus seems like a magnified "continuation" to this presentation.

EXAMPLE 9.5   Beethoven, Piano Sonata in F minor, Op. 2, No. 1, i, 49–55

> **Example 9.6:** the core begins by setting up an 8-m. model, based on subordinate-theme material. At the upbeat to m. 64, the model begins to be sequenced up a step. But, exceptionally, the sequence remains incomplete when the continuation phrase of the model is eliminated, and in its place a new 2-m. model

is established at m. 68, thus bringing about phrase-structural fragmentation. (Seeing as we have already heard the material of the full model twice before—as the opening of the subordinate theme in the exposition and its repeat—it would be highly redundant to have to hear it fully again.)

This new model is then sequenced down a step in mm. 70–71. The model begins to be sequenced again when it unexpectedly leads into yet another 2-m. model (mm. 73–74). Further fragmentation occurs at m. 79, at which point 1-m. segments prepare for the home-key half cadence.

This short core does not cadentially confirm a development key, but it does prominently tonicize the minor-mode regions of IV (B-flat minor) and V (C minor).

EXAMPLE 9.6   Beethoven, Piano Sonata in F minor, Op. 2, No. 1, i, 55–81

(continued)

EXAMPLE 9.6 *Continued*

EXAMPLE 9.7 Beethoven, Piano Sonata in F minor, Op. 2, No. 1, i, 81–102

EXAMPLE 9.7   *Continued*

Example 9.7: the final part of the core contains an extensive standing on the dominant, made up of two parts. The first part continues the steady eighth-note accompanimental patterning but brings a new motive, one that was not featured at any point up to now in the work. Various versions of the motive are collected into a 4-m. idea (mm. 82–85), which is repeated with variations (mm. 86–89) and then followed by fragmentation into 2-m. units, leading to the dissolution of texture in mm. 93–94.

The second part of the standing on the dominant begins at m. 95 and signals the imminent return of the main theme by reintroducing the sixteenth-note triplet figure (motive "b") from the opening basic idea.

SENTENTIAL GROUPING STRUCTURES

The grouping structure *of a core often strongly resembles an extended (compound) sentence.*

But be careful. There is one important functional difference that should prohibit us from regarding a core as a sentence theme type: the opening model and its sequence together do not prolong tonic harmony of a key, and thus they cannot legitimately be identified as forming a genuine presentation.

The grouping structure of a standing on the dominant may also resemble a sentence. Yet here, the idea of a genuine sentence must be completely rejected because of the lack of any real harmonic activity and cadential articulation within the standing on the dominant.

Many formal units of a classical movement present a grouping structure that resembles the sentence but do not truly create this theme type. *The term* sentence *is best reserved for (relatively) tight-knit themes featuring clear presentation and continuation phrases.*

Let's Practice

EXAMPLE 9.8 Mozart, Piano Sonata in G, K. 283, ii, 15–24 (R = ½N)

Example 9.8: answer these questions on the development section from the slow-movement sonata form whose exposition was presented in Example 9.4.

1. Where does the core begin? How large is the model? Is the complete model repeated sequentially?
2. Where does the core end? Does the core confirm a development key? If so, which one, and by what means?
3. Is there a pre-core? If so, what formal function lies at its basis?
4. What is exceptional about the way the development section ends?

Recapitulation

The recapitulation resolves the tonal conflict of the movement by bringing back most of the material of the exposition firmly in the context of the home key. The start of the recapitulation is signaled by the return of the main theme's basic idea (in the home key).

The basic thematic units of main theme, transition, and subordinate theme return in order, but they usually undergo a number of significant *structural* changes in harmonic-tonal organization and phrase structure. In addition, the recapitulation may bring about a range of *ornamental* changes (in instrumentation, dynamics, accompanimental patterning, texture, and so forth).

Main Theme

Most often, the main theme returns without any significant structural alterations. Ornamental changes of some kind, however, are likely to occur, especially in chamber and orchestral genres.

The most significant structural change of the recapitulation's main theme involves its closure. In the exposition, the main theme is required to end with a cadence so that the home key can be confirmed prior to its being abandoned in favor of the subordinate key. In the recapitulation, on the contrary, the home key will necessarily become confirmed in the course of the subordinate theme, so a cadence at the end of the main theme is no longer required and may sometimes be omitted.

Transition

The most important structural change required of the transition is that it no longer modulate to a new key. Rather, it must be *adjusted* to remain in the home key. (If the exposition's transition was nonmodulating, then it need not necessarily be altered, but for variety's sake, it often is.)

Typically, the transition emphasizes the subdominant region so that the return to the tonic for the beginning of the subordinate theme sounds fresh. Moreover, this tonicized subdominant may then easily function as the pre-dominant leading to the home-key dominant that marks the end of the transition.

ANALYZING A RECAPITULATION

As we discussed in connection with the A´ section of the small ternary form, the principal analytical method involves comparison.

The same holds true for analyzing the recapitulation of sonata form. Work through the section (bar by bar) and compare how the various parts of the recapitulation relate to the exposition, noting all structural and ornamental changes along the way.

(continued)

Analyzing a Recapitulation continued:

Take full advantage of asking the why question in order to suggest compositional rationales for the changes that are made.

Some of these changes are mandated by the general requirements of sonata form (such as adjusting the transition and transposing the subordinate theme). But many others are specific to the individual work.

EXAMPLE 9.9   Beethoven, Piano Sonata in F minor, Op. 2, No. 1, i, 101–119

Example 9.9: the main theme returns structurally unchanged. The principal ornamental differences see a more emphatic rhythmical expression, which is due to the greater dynamic intensity and the placement of the accompanimental chords of the continuation on strong metrical positions (mm. 105–108).

At the beginning of the transition, the basic idea returns in F minor (rather than C minor, as in the exposition; see again Ex. 9.2, m. 9). This change immediately signals that the transition will be adjusted to remain in the home key. Note

that the sequential progression in mm. 111–14 tonicizes B-flat minor, the sub-dominant region. Indeed, the IV^6 of m. 114 can then serve as the pre-dominant of the half-cadential progression leading to the HC at m. 117.

Unlike the exposition, where the HC idea was repeated several times within a standing on the dominant (see Ex. 9.2, mm. 15–20), the cadential articulation in the recapitulation is somewhat downplayed (indeed, we might even hear a "pre-mature dominant arrival" at m. 117 rather than a real HC). This change is perhaps motivated by the enormous emphasis on the home-key dominant found at the end of the development and the further emphasis provided by the pedal at the begin-ning of the subordinate theme.

Subordinate Theme

As a general rule, the subordinate theme (or theme group) returns as it origi-nally appeared in the exposition, except that now the theme is transposed into the home key.

Just as the subordinate theme in the exposition needs to confirm the subor-dinate key with a PAC, so too must the subordinate theme in the recapitulation provide perfect authentic closure in the home key. And like the exposition, this PAC is often highly dramatized, especially through the use of evaded cadences and expanded cadential progressions. Indeed, the final PAC of the recapitula-tion is sometimes made even more emphatic than that of the exposition, so that the home key can emerge as fully victorious.

DIFFERENCES AMONG THE CLASSICAL COMPOSERS

Although this book normally treats the three main classical composers as if they write in the same basic manner as regards musical form, in some formal contexts their compositional styles are quite divergent.

One major difference that distinguishes Haydn from Mozart and Beethoven involves the sonata-form recapitulation. Whereas the two latter composers normally bring their subordinate-theme groups largely unaltered, Haydn, almost as a rule, effects major structural changes to the entire reca-pitulation, including a substantial reworking of the subordinate theme.

Other differences among the classical composers will be noted in later chapters where appropriate.

Example 9.10: the subordinate theme returns with no structural alterations except for being transposed into the home key. Because the main theme in both the exposition and recapitulation closed with an HC, the PAC closing the subor-dinate theme provides the first *full* cadential confirmation of the home key in the entire movement.

Ornamental changes in the recapitulation largely involve the placement of passages in different registers (compared to the exposition), a type of variation often encountered in solo piano works.

Another ornamental change, one that is easily overlooked (or better, "mis-heard"), involves the scale degrees used in the long, descending scale passages within the cadential phrase. Due most likely to range limitations of Beethoven's piano keyboard (the highest available note being F), the scales start on the tonic degree, rather than the sixth degree as in the exposition. As a result, both sets of scales use the same pitches, starting with the highest pitch of the instrument (compare mm. 132–33 to mm. 33–34, shown in Ex. 9.3).

EXAMPLE 9.10   Beethoven, Piano Sonata in F minor, Op. 2, No. 1, i, 119–40

(continued)

EXAMPLE 9.10 *Continued*

Following the final PAC of the recapitulation, the closing section normally returns intact. In the absence of a genuine coda, the closing section may be extended in order to impart a more decisive sense of conclusion to the movement as a whole.

> **Example 9.11: the closing section begins like that of the exposition, except that Beethoven uses a German augmented-sixth chord for the pre-dominant harmony (as befits the minor modality). The section is then extended, relative to its appearance in the exposition (see Ex. 9.3, mm. 42–48), to form a complete sentence, whose continuation is stretched to eight measures. The resulting structure could even be considered a "second" subordinate theme. (The concept of "false closing section" to begin a subordinate theme is discussed later in Chap. 12, p. 389.)**

EXAMPLE 9.11 Beethoven, Piano Sonata in F minor, Op. 2, No. 1, i, 140–52

Let's Practice

EXAMPLE 9.12 Mozart, Piano Sonata in G, K. 283, ii, 24–39 (R = ½N)

Example 9.12: answer these questions on the recapitulation section from the slow-movement sonata form whose exposition was presented in Example 9.4.

1. Does the main theme undergo any structural changes? If so, what are they?
2. How does the transition become adjusted to remain in the home key?
3. Does the subordinate theme undergo any structural changes? If so, what are they?
4. This movement includes a brief *coda*, which follows the recapitulation. Where does the coda begin, what material does it reference, and how is it structured?

Exposition (I): Main Theme

This chapter, the first of three on the sonata exposition, treats in detail the *main theme,* the *initiating* function of the exposition. (The following two chapters explore the transition and subordinate theme, the exposition's medial and concluding functions respectively.)

The Basics

The main theme presents the principal melodic-motivic material of the sonata form in a stable tonal and phrase-structural context.

Tonal stability is achieved by the main theme beginning and ending in the home key of the movement and always closing with one of the three cadence types (most often a PAC, sometimes an HC, rarely an IAC).

Phrase-structural stability is achieved by the main theme acquiring a generally tight-knit organization relative to the more loosely organized thematic functions of transition and subordinate theme.

Many main themes are structured as conventional theme types of the kind that we have examined in Part I of this book. The sentence form—with its dynamic momentum pushing toward a single cadence—is particularly suitable for opening a sonata exposition. The period form—with its symmetrical phrasing that emphasizes closure—is used less often. Ternary forms are relatively uncommon, and the small binary rarely begins a movement in sonata form.

Main themes can also be organized nonconventionally, though they still retain a degree of tight-knit expression (compared to later thematic regions).

If the main theme ends with a PAC, then a *closing section* consisting of codettas may follow. A main theme ending with an HC may, analogously, lead to a standing on the dominant. A main theme may also be preceded by a *thematic introduction*. (See again Chap. 5 for a discussion of these framing functions.)

A sonata exposition may sometimes open with a *group* of two main themes. In such cases, each theme concludes with a PAC; the second theme of the group may also be followed by a closing section.

More Details

Conventional Theme Types

The main theme of a sonata exposition is often built as one of the conventional tight-knit theme types. Among those, the sentence is more likely to be chosen over the period, probably for reasons having to do with their differing aesthetic effects (see the text box). Hybrids of the sentence and period are also suitable for main themes. The small ternary and small binary are used much less frequently, owing most likely to their formal complexity.

SENTENCE VS. PERIOD: AESTHETIC EFFECTS

Due to the nature of their internal organization, the sentence and period theme types project quite differing aesthetic effects. As explained by Erwin Ratz:

> *In the case of the period we have a symmetrical structure that has a certain "repose in itself" due to the balance of its two halves, which are more or less equal.… The 8-m. sentence, however, contains a certain forward-striving character due to the increased activity and compression in its continuation phrase, making it fundamentally different in construction from the symmetrical organization of the period.[1]*

Since sonata form is inherently the most dynamic of the various full-movement forms, the sentence is especially well suited to initiate that formal type.

The location of a given movement within the instrumental cycle as a whole can also influence the choice of main-theme type. Thus a fast, first-movement sonata form particularly favors the use of the sentence (or the sentential hybrids). On the contrary, a periodic organization is likely to be chosen for a finale movement, where a somewhat lighter, more relaxed emotional affect is often projected. (Finale movements are also frequently constructed in one of the *rondo* forms, typically featuring a main theme built as a period; see Chap. 19.) Unlike the outer movements, there seems to be no particular preference for the formal construction of main themes in slow-movement sonata forms.

Though a sonata-form main theme is always more tightly knit than the subsequent thematic functions of the exposition (transition and subordinate theme), a main theme may nonetheless feature phrase-structural deviations of

the kind discussed in Chapter 5. Just as the choice between sentence or period is often based on where the movement is found within the entire cycle, so too does movement position affect the prominence of deviations: main themes of first-movement sonata forms are more likely to exhibit extensions and expansions than those of finale movements.

Seeing as the basic tight-knit themes were discussed and exemplified in detail in Part I of this text, it is not necessary here to give additional examples of sonata main themes built as conventional forms.

Nonconventional Theme Types

Many sonata forms begin with main themes that are *nonconventional* in organization; that is, they cannot be easily accommodated by such standard categories as sentence, period, hybrid, and small ternary. First-movement forms in particular are likely to feature nonconventionally organized main themes. (Slow-movement and finale main themes are usually conventional.)

It would be convenient if we could, in principle, distinguish a nonconventional theme from a conventional one that "deviates from the norm"; however, the distinction is not always so clear-cut, and even some of the examples to be discussed may be understood as extreme deviants of a particular conventional type.

Although thematic nonconventionality is a criterion of loose formal organization, a nonconventional main theme is usually more tightly knit than the subsequent thematic units of the movement. Indeed, many nonconventional main themes are eight measures in length. Sometimes, however, a main theme may be sufficiently loose in organization to resemble a subordinate theme. In such cases, comparison with the actual subordinate theme of the movement reveals the former theme to be more tightly knit.

ANALYZING NONCONVENTIONAL THEMES

Many students who are comfortable analyzing conventional theme types often feel at a loss when confronted with a movement that begins with a theme that is not easily characterized as a sentence, period, hybrid, or ternary.

When dealing with such situations, you should first understand that there may not be a ready analysis at hand. And unlike the case of conventional theme types, you can't easily use a top-down *analytical approach, that is, starting with a large-scale view of the theme as, say, a sentence or period and then working down to the level of the phrases, eventually moving further down to the individual ideas and fragments.*

(continued)

Analyzing Nonconventional Themes continued:

Instead, it is usually better to take a bottom-up *approach to analyzing a nonconventional theme. First, consider its harmonic organization. After that, begin to group the material into basic units right on the surface of the piece. Then try to establish higher-level groupings that embrace the lower-level ones.*

Once your grouping analysis is accomplished, try to assign some sense of formal function to the groups. Even though the theme may be nonconventional, its component units usually exhibit some logical sense of functionality, even if we can speak only very generally of an "initiating function," a "medial function," or a "concluding function."

Most of the time, however, it is possible to recognize many of the units as some of the standard formal functions, such as basic idea, continuation, cadential idea, etc. What makes the theme nonconventional is that these functions do not organize themselves in standard ways, not that there is no sense of functionality at all.

If we cannot generalize about typical characteristics of nonconventional themes—if we could, then they would no longer be nonconventional—it is usually possible to situate a good number of them within one (or more) of the following groups.

Eight-measure Themes

Some main themes are organized in a nonconventional manner but still occupy eight measures, just like the simple sentence, period, or hybrid. As a result, the nonconventional theme retains a distinct sense of tight-knit organization despite its formal irregularities. Most often, the grouping structure of the eight measures is asymmetrical, yet the internal units nonetheless manifest a definite expression of phrase functionality.

Example 10.1: the grouping structure of this 8-m. theme is 2 + 3 + 3. The opening two measures contain a standard basic idea (itself subdivided 1 + 1). The following three measures are continuational in expression, as the bass line rises from the first to the third scale degree and the surface rhythmic activity of the melodic line increases significantly. The final three measures bring cadential function to close the theme with an HC.

Although this main theme is clearly more sentential than periodic, the lack of repetition of the basic idea to make a presentation phrase and the sense that the continuation and cadential functions occupy completely distinct groups (rather than being fused together into a single phrase) discourage us from recognizing a genuine sentence here, even a highly deviant one.

EXAMPLE 10.1   Haydn, String Quartet in G Minor ("Rider"), Op. 74, No. 3, iv, 1–8

EXAMPLE 10.2   Mozart, Symphony No. 38 in D ("Prague"), K. 504, i, 37–45

Example 10.2: the lack of melodic profile in m. 37 implies introductory function. In the following measures, harmonic instability and a sense of fragmentation project a strong continuational quality, which is maintained up to the IAC at m. 43. (The authentic cadence is imperfect, because the violin line in m. 43 ends on F♯, the third scale degree; the tonic scale degree sounding above on the downbeat of that measure belongs to the winds and brass.) Eliding with the cadence is a 2-m. codetta containing fanfare motives.

The direct move from an introduction to a continuation, thereby circumventing any clearly defined initiating unit, renders this theme highly nonconventional. Yet despite its irregularities, it occupies the standard eight measures. Note that the codetta, which fills out the 8-m. span, emphasizes root-position tonic and thus compensates for the minimal expression of this harmony at the opening of the theme.

Example 10.3: the opening three measures are supported by root-position tonic, and the move to VI in m. 4 can be seen to prolong this harmony. But the change in surface harmony combined with a change in articulation (from staccato to legato) permits m. 4 to group with the following measure, supported by V^6. An HC on the second beat of m. 6 marks the structural end of the theme. The final harmony of the cadence is further prolonged by a standing on the dominant, consisting of twofold repetition of the half-cadence idea in mm. 7 and 8. The resulting grouping structure (3 + 3 + 2) creates an asymmetrical subdivision of the 8-m. theme. (Measure 6 could also be seen to group motivically with its following two measures, thus yielding a 3 + 2 + 3 structure.)

From a form-functional point of view, mm. 1–3 are clearly initiating, yet interpreting these measures either as an expanded basic idea or a compressed presentation seems somewhat unconvincing. Measures 4–6 bring continuation and cadential functions, and mm. 7–8 are postcadential. The theme is clearly related to the sentence, but that theme type remains insufficiently expressed.

EXAMPLE 10.3 Haydn, Piano Sonata in E minor, H. 34, i, 1–8

EXAMPLE 10.3 *Continued*

standing on the dominant
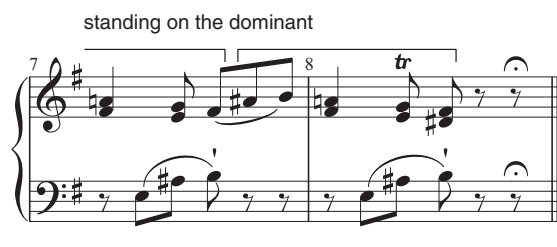
Tonic Pedal; Fanfare Gestures

Some main themes begin with a long tonic pedal, over which may be found gestures that evoke a heraldic, fanfare style. Such powerful passages are ideal for projecting a strong opening, especially in the public genres of symphony or overture. They often obscure, however, a clear sense of basic idea and its repetition, or the juxtaposition of a basic idea with a contrasting idea. The lack of a conventional initiating function thus makes it difficult to classify such a theme as one of the standard types.

EXAMPLE 10.4 Haydn, Symphony No. 97 in C, i, 14–25

Example 10.4: all the orchestral forces combine in unisons and octaves to sound out a series of fanfarelike gestures. The texture becomes somewhat fuller beginning at m. 21, and the move to I^6 in the following bar initiates a cadential progression leading to closure at m. 25.

The internal grouping structure of the opening eight measures is ambiguous enough to make it almost impossible to demarcate a conventional basic idea and contrasting idea. To be sure, the theme has a general sentential quality about it: the cadential function is obvious, and there is a general acceleration of rhythmic activity within the course of the opening eight measures. But it is difficult to distinguish clearly between presentation and continuation functions. The theme is thus best regarded as nonconventional in organization.

Omission of Initiating Function

Some main themes are nonconventional because they lack a clear sense of functional initiation. In such cases, the theme seems to start "in the middle" or "toward the end," that is, with continuation or cadential functions.

This formal anomaly has already been seen in connection with Example 10.2, in which after a 1-m. introduction the instability of the material immediately expresses continuation function.

EXAMPLE 10.5   Haydn, Symphony No. 90 in C, i, 14–33

Example 10.5: the slow introduction ends, unusually, on a pre-dominant VII$^6_5$/V, whose resolution to V^6 (along with the change of tempo) marks the beginning of the main theme. The first 4-m. unit is characteristic of a continuation phrase, ending with a PAC in m. 20. Presumably, this cadence could mark the end of the main theme, one that is clearly too short to constitute a conventional theme type.

The following material, with metrical emphasis on the subdominant (albeit within a tonic prolongation), suggests either a series of codettas or else the beginning of a contrasting middle. As the music proceeds, however, we learn that the new 2-m. unit (mm. 21–22) and its repetition (23–24) can be understood as a presentation phrase, one that leads to a continuation at m. 25, which ultimately ends with the same 4-m. phrase that opened the exposition. (The "false closing section" that arises here is explained in the next chapter, in the section "Opening Strategies" and in connection with Ex. 11.8.)

The entire thematic complex (mm. 17–32) is highly nonconventional, even though a logical succession of phrase functions is clearly expressed.

(The notion of omitting an initiating function is discussed again, and illustrated more fully, in connection with subordinate themes; see Chap. 12, p. 390.)

Large-scale Presentation

In some expansive works by Beethoven, the main theme acquires an overall sentential form, but the initiating units are enlarged beyond what would normally be found in the compound basic idea of a compound sentence.

The immediate repetition of this opening unit, occasionally sequential in nature, creates a large presentationlike unit, upon which a continuation follows. This continuation is often "compressed" in relation to the grouping size proposed by the presentation.

At times, the opening unit might be sufficiently large that it appears to close with its own cadence (though, of course, never a PAC in the home key; otherwise it would suggest that the theme itself was completed). Such a cadence, however, should be seen as one of "limited scope" (see Chap. 5, p. 155), since it does not bring any real sense of closure for the sentential theme as a whole.

Example 10.6: the main theme begins in A minor with a 9-m. unit, whose internal subdivisions are difficult to parse. The final V–I progression in C major (m. 27) might suggest an IAC in that key, but in the overall context of the theme this progression really functions as a simple tonicization of III in A minor rather than a genuine cadence. When the entire unit is repeated (with the melodic material now taken by the piano, which even plays a small cadenza at the end), the sense of a large-scale presentation emerges.

The following music is clearly continuational in nature, as the bass line drives up from $\hat{1}$ to $\hat{5}$ to create a PAC in A minor. This 9-m. continuation phrase is "compressed" in relation to the 18 measures making up the presentation.

EXAMPLE 10.6   Beethoven, Violin Sonata in A minor ("Kreutzer"), Op. 47, i, 19–45

Loose Organization

Some main themes are constructed in a manner considerably less tightly knit than would ordinarily be expected. At times, the loosening techniques resemble those associated with a subordinate theme (which you will learn about in a later chapter), such as redundant repetitions, cadential extensions and expansions, and internal dominant arrivals.

Although the theme's form-functional characteristics may be like those of a subordinate theme, the melodic, rhythmic, and textural aspects are usually typical of a main theme (especially in the use of "opening up" gestures and marked discontinuities of rhythm and texture, a topic to be treated below). As a rule, a loosely organized, nonconventional main theme is still more tightly knit than the subordinate theme appearing later in the exposition.

Example 10.7: the opening eight measures give the initial impression of being a simple sentence, but the absence of harmonic activity within the "continuation" (mm. 5–8) and the resulting lack of cadence disallows this interpretation. Instead, the entire 8-m. group, supported by a single harmonic progression, can be seen as the primary initiating unit of the theme.

The following measures have a definite continuational quality, although the actual grouping organization is somewhat obscured by various imitations and recombinations of scalar motives first presented in mm. 9–12. At m. 16, a sudden modulation to the dominant region (E major) brings an IAC, which is extended postcadentially to m. 20.

When the initial basic idea returns in the home key, we recognize the previous authentic cadence in E to be a reinterpreted HC in A and can view the entire first part of the theme as a highly expanded antecedent. The rest of the consequent is made up of the antecedent's continuation (somewhat extended), which leads to a PAC at m. 32.

Although the theme has a certain periodic structure, the various repetitions, expansions, and extensions render it quite loose relative to most main themes in the classical repertory. But if we compare this theme with the subsequent subordinate theme (see ahead, Chap. 12, Ex. 12.8), we readily perceive that the latter—with its omission of initiating function, modal shift, chromatic sequences, and expanded cadential progressions—expresses an even looser organization.

EXAMPLE 10.7   Beethoven, Piano Sonata in A, Op. 2, No. 2, i, 1–32

Finer Points

Main-theme Group

A sonata exposition may begin with two distinct main themes to form a *main-theme group*. In this case, each theme closes with a PAC in the home key.

Main themes in the group are usually constructed out of different melodic-motivic material, and each takes on its own phrase structure. One (or both) of the themes may even present a nonconventional form.

EXAMPLE 10.8 Mozart, Symphony No. 39 in E-flat, K. 543, i, 26–71

(continued)

EXAMPLE 10.8   *Continued*

Example 10.8: the main-theme group of this symphonic exposition consists of two themes, each ending with a PAC in the home key (mm. 54, 71). The first main theme is structured as a compound period, whose consequent varies the content of the antecedent through the use of invertible counterpoint: that is, the melodic material initially presented in the upper voice in the antecedent is shifted to the bass voice in the consequent, and the bass line of the antecedent is shifted (with melodic variants) to the upper voice of the consequent. The closing PAC elides with the beginning of the second main theme, which is constructed as a hybrid featuring an extension of the opening compound basic idea and the repeat of the continuation⇒cadential phrase following a deceptive cadence (m. 65).

Sometimes, the melodic-motivic content of the first main theme is used again in the second theme. In such cases, there are a spectrum of possibilities ranging from what seems to be a merely varied repeat of the first theme to one whose phrase structure is more extensively altered.

EXAMPLE 10.9   Beethoven, Violin Sonata in A, Op. 30, No. 1, i, 1–19

EXAMPLE 10.9   *Continued*

continuation (ext.)

cresc.

cresc.

tr

tr

f

II⁶   V(⁶₄   ⁷)   I

PAC

> **Example 10.9: the exposition opens with an 8-m. main theme whose internal structure is perhaps best explained as a hybrid (compound basic idea + continuation). The continuation develops the suspension figure first appearing at the end of the opening phrase (see bracket in right-hand part of the piano).**
>
> **A second main theme elides with the end of the first theme. This second theme begins to repeat the material of the first one, but the continuation is extended and the cadential idea is expanded.**
>
> **The PAC in m. 19 is followed by a closing section (see Ex. 5.21) consisting of two 4-m. codettas, each of which is supported by an expanded cadential progression.**

Character and Affect

Even since the mid-19th century, when the music theorist A. B. Marx proposed the now notorious distinction between a *masculine* main theme and a *feminine* subordinate theme,[2] listeners have come to believe that a main theme features a highly charged, aggressively assertive character, against which stands a quietly lyrical and tender subordinate theme.

To be sure, some sonata forms, especially in the public genre of the symphony or in minor-mode works of a *Sturm und Drang* ("storm and stress") style, bring main and subordinate themes conforming to this stereotype.

But an examination of the broader classical repertory suggests, on the contrary, that main themes frequently exhibit a hesitancy and sense of uncertainty within the course of their unfolding: they commonly bring sudden, striking changes in texture, dynamics, and articulation, along with marked discontinuities in rhythmic momentum. In fact, it is often not until the beginning of the transition that the movement seems finally to "get under way" (a point to be developed in the next chapter).

Example 10.7: the basic idea itself brings a diversity of durational values (eighth note, quarter note, four sixteenth notes, quarter note) and articulations (staccato, legato) followed immediately by a rest. The "continuation" at m. 5 brings steady staccato quarter notes, which again come to a stop at m. 8. The change to eighths at m. 9 then yields to a more polyphonic texture and an articulation change to legato in mm. 11ff. The remainder of the theme continues to bring regular changes in rhythm, texture, dynamics, and articulation.

In some cases, of course, the main theme may feature the lyrical, songlike character that one so often associates with subordinate themes (as witnessed in Ex. 10.9). The first main theme of Example 10.8 also brings a passage that is clearly gendered feminine but then juxtaposed with the masculine style of the second main theme.

FOCUS ON FUNCTION

Main Theme vs. Introduction. *The hesitancies and uncertainties projected by the openings of some expositions can lead to confusion about formal functions. In such cases, indeed, the main theme may seem to possess an "introductory" character.*

We must be careful, however, not to confuse such main themes with an actual introduction: despite the theme's textural, dynamic, and rhythmic instabilities, it still contains sufficient tonal, cadential, and phrase-structural solidity to function as the true formal beginning of the exposition.

In some cases, of course, the main theme proper may be preceded by a genuine thematic introduction *or the exposition, as a whole, may be preceded by a* slow introduction *(to be discussed in Chap. 16).*

Reviewing the Theory

Answer These Questions

1. Which theme type is most suited for opening the first movement of a sonata form?
2. A closing section may appear if the main theme closes with what kind of cadence?
3. A theme that begins with tonic pedals and fanfare gestures may obscure which formal markers?
4. What "effect" is created by a theme that omits an initiating function of some kind?
5. How many distinct themes can be found in a main-theme group?

True or False?

1. The small binary is rarely used to open a sonata-form movement.
2. A main theme may include a postcadential standing on the dominant following a perfect authentic cadence.
3. The period theme type is less often used to open a first-movement sonata form than the sentence.
4. Finale movements are prone to feature main themes built non-conventionally.
5. Like conventional themes, nonconventional ones may contain eight measures.

Multiple-choice Questions

Choose a letter (there may be more than one) that correctly answers the question.

1. Which cadence type can be used to end a main theme?
    a. Half cadence
    b. Imperfect authentic cadence
    c. Perfect authentic cadence
    d. All of the above
2. Which technique can be found in connection with nonconventional main themes?
    a. Loose phrase-structural organization
    b. The lack of a final cadence
    c. Long tonic pedals
    d. Omission of an initiating function
3. Main themes regularly exhibit discontinuities in which musical parameter?
    a. Durational values
    b. Articulation
    c. Metrical organization
    d. Tempo

Examples for Analysis

EXAMPLE 10.10   Beethoven, Piano Sonata in E-flat, Op. 31, No. 3, i, 1–8

EXAMPLE 10.11   Haydn, String Quartet in E-flat, Op. 50, No. 3, i, 1–8

EXAMPLE 10.12 Haydn, Piano Sonata in E-flat, H. 25, i, 1–12 (R = ½N)

EXAMPLE 10.13 Mozart, Piano Sonata in F, K. 280, ii, 1–8

EXAMPLE 10.14   Beethoven, Piano Sonata in E, Op. 14, No. 1, i, 1–13

EXAMPLE 10.15   Mozart, Piano Sonata in F, K. 332, i, 1–22

EXAMPLE 10.16   Beethoven, Piano Sonata in B-flat, Op. 22, i, 1–11

EXAMPLE 10.17   Haydn, Piano Trio in E-flat, H. 30, i, 1–16

EXAMPLE 10.17 *Continued*

Exposition (II): Transition

The second thematic function making up a sonata-form exposition is the *transition*. The term *bridge* is sometimes encountered here because this section leads from the main theme to the subordinate theme. The transition is thus a *medial* thematic function within the exposition.

The Basics

The transition of a sonata exposition serves three primary functions:

1. *To destabilize the home key*, so that the subordinate key can emerge as a competing tonality within the exposition
2. *To loosen the formal organization*, a form of phrase-structural destabilization
3. *To liquidate characteristic motivic material* (especially toward the transition's end), in order to "clear the stage" for the entrance of the subordinate theme

The harmonic goal of a transition is *dominant harmony*, most often of the subordinate key but occasionally of the home key. This dominant is usually articulated by means of a *half cadence*, though a noncadential *dominant arrival* (see Chap. 7, p. 224) may be used now and then for an even looser formal effect.

Transitions can be classified into three basic categories depending on their tonal organization.

1. *Modulating transition*. Most transitions destabilize the home key by actually modulating to the subordinate key (ending there with dominant harmony).

2. *Nonmodulating transition.* A significant minority of transitions remain in the home key. That key is thus destabilized by the transition ending with dominant harmony in contrast to the main theme, which, in such cases, has ended on tonic harmony (with a PAC). The subordinate theme then begins with a direct modulation to the subordinate key.

3. *Two-part transition.* In this category, a nonmodulating first part (ending HK: HC) is followed by a modulating second part (ending SK: HC). The second part begins in the home key, though not necessarily with tonic harmony, and often alludes to the opening material of the main theme.

A transition typically opens by employing one of these compositional strategies:

- New melodic-motivic material, supported by tonic harmony of the home key
- Material drawn from the beginning of the main theme, also supported by the home-key tonic
- *A false closing section*, a series of codettas to the main theme that are retrospectively understood to function as the real beginning of the transition
- An immediate shift to a nontonic region (usually VI)

As a thematic unit of the exposition, a transition is constructed out of the same basic *phrase functions* associated with main themes. The sentential functions of presentation, continuation, and cadential are most commonly employed. The periodic function of antecedent occurs now and then, though a true consequent (which, by its very nature must lead to a tonic goal, an authentic cadence) is seldom found.

In comparison to the main theme, the transition acquires a *looser* formal organization. (To appreciate better the discussion throughout the rest of this chapter, you are encouraged at this point to review the criteria of tight-knit and loose formal organization presented in Chap. 7 at the beginning of "More Details," and summarized in Fig. 7.2).

Loosening devices in transitions include:

- Extension of continuation function
- Expansion of cadential function
- Omission of an initiating function
- Asymmetrical grouping structure
- Modal shift
- Tonicization of remote regions
- Nonconventional formal structures

Most transitions conclude with a postcadential *standing on the dominant*, which typically features a liquidation of motives and texture in order to prepare the way for the appearance of subordinate-theme material. Frequently, a prominent "gap" in the musical texture precedes the onset of the subordinate theme, a device that has recently been termed a *medial caesura*.

TAMING THE TERMS

Medial Caesura. *The theory of sonata form recently proposed by James Hepokoski and Warren Darcy gives special prominence to the textural gap—the silence—that often accompanies the very final moment of the transition.[1]*

These theorists propose that this gap, which they term a medial caesura, *provides a fundamental means of distinguishing between two types of sonata exposition: (1) a "two-part exposition," whose first part closes with a medial caesura, a device that is necessary for "opening up" space to permit the appearance of a subordinate theme (which initiates the second part of the exposition); and (2) a "continuous exposition," which omits both a medial caesura and—by necessity—a subordinate theme.*

The form-functional perspective developed in this textbook acknowledges the medial caesura as an important characteristic of how many transitions reach their culmination, but it does not see the device as a prerequisite for subordinate-theme function. Rather, the viewpoint advocated here recognizes that all sonata expositions contain a subordinate theme (or at least the major elements of subordinate-theme function) and sees the distinction between two-part and continuous expositions as a matter of textural *and* rhythmic *organization, with little functional (syntactical) significance.*

In their work, Hepokoski and Darcy discuss many techniques by which composers may "fill in" the gap created by the medial caesura with actual music. Here, the term is restricted to those cases where there exists a literal caesura created by a moment of silence, or else a fermata on the final sounding sonority of the transition.

Example 11.1: the exposition begins in G minor with a simple sentence, closing with an HC at m. 8. By ending with this cadence type, the opening 8-m. unit suggests the possibility of its functioning as a compound antecedent, an interpretation that seems even more secure when the sentence begins to be repeated, in the manner of a compound consequent.

But the consequent "fails" to materialize when the music modulates to the subordinate key of B-flat major at m. 12 and ends there with another HC at m. 15.

The listener is thus prompted to give up the idea of a main theme built as a compound period, and to reinterpret the first sentence alone as the exposition's main theme; the second sentence then functions as a modulating transition.

Loosening characteristics of the transition (relative to the main theme) include the modulating tonal structure, the asymmetrical grouping structure (4 + 3), and slight expansion of the half-cadential progression, which supports the compressed continuation phrase.

EXAMPLE 11.1   Beethoven, Piano Sonata in G minor, Op. 49, No. 1, i, 1–17

WHERE DOES A TRANSITION BEGIN?

You might be tempted to locate the beginning of the transition in Example 11.1 at m. 12, the moment when the "consequent" of the main theme departs from its course and the modulation takes place.

To be sure, this moment marks the end of main-theme material, but from a more strictly formal point of view the moment represents neither an end (of the main theme) nor a beginning (of the transition). Rather, m. 12 stands very much in the middle of a formal process, one that clearly begins at m. 9, with a presentation phrase.

EXAMPLE 11.2 Mozart, Piano Sonata in D, K. 576, i, 15–27

Example 11.2: the main theme of this exposition (shown above in Ex. 3.12) is repeated with a new polyphonic texture and melodic ornamentations in mm. 9–16. (The final two measures are shown in Ex. 11.2.) Measure 16 sees the start of a new accompanimental pattern, but the next formal unit doesn't technically begin until the following measure. A 2-m. idea brings new material that strongly projects the quality of a codetta (beginning on the tonic scale degree and descending stepwise to the tonic at its end). The idea is largely repeated in the following two measures, thus implying the presence of a closing section.

But as the music beginning at m. 20 acquires a clear continuation function (harmonic acceleration, fragmentation, sequential harmonies), we understand—in retrospect—that the new material at m. 17, which seemed at first to be postcadential, actually serves an initiating function (a presentation phrase) for

the exposition's transition; thus the closing section proves to be "false." Seeing as the music remains entirely in the home key, ending there with an HC at m. 26 and a brief standing on the dominant, we recognize the essential features of a non-modulating transition.

The brief eighth-note rest following the standing on the dominant provides a clear medial caesura, which functions as an appropriate (but not required) textural cue for the onset of the subordinate theme (shown in Ex. 12.3, below).

Let's Practice

EXAMPLE 11.3   Haydn, Piano Sonata in E-flat, H. 49, i, 13–26

Example 11.3: answer these questions on this transition (the preceding main theme is shown in Ex. 6.22).

1. Is the transition modulating or nonmodulating?
2. Which one of the four principal strategies for opening a transition (see above) does Haydn employ?
3. The transition begins with which initiating phrase function?
4. Which harmony is used to pivot the music into the key of B-flat major? In which measure does this pivot take place?
5. In which measure does the transition reach its *structural* end? With what formal device?
6. What functional label best applies to the passage from the upbeat of m. 21 to the fermata at m. 24?

EXAMPLE 11.4   Beethoven, Piano Sonata in C minor, Op. 10, No. 1, i, 28–59 (R = 2N)

Example 11.4: answer these questions (the transition begins at m. 32).

1. Is the transition modulating or nonmodulating?
2. Which one of the four principal strategies for opening a transition (see above) does Beethoven employ? Why is this choice particularly appropriate here? (Hint: consider what happens in the main theme and closing section, shown in Ex. 5.38.)
3. Why can we say that the transition does not begin with a standard functional initiation? What phrase-functional label is best applied to mm. 32–48?
4. Is there an authentic cadence on the downbeat of m. 56? Why or why not?

More Details

Style, Character, Dynamics

In comparison with main themes, transitions less often contain melodic material that would be characterized as tuneful (of course, not all main themes are necessarily tuneful). Rather, transitions frequently feature "passage work":

arpeggiations and scale patterns projecting a "brilliant style" (see ahead, Exs. 11.6, 11.11, and 11.19).

Transitions are often the first place in the movement where a conventional accompanimental pattern, such as an *Alberti bass*, appears. Such patterns bring a continuous rhythmic propulsion and forward drive, which helps support the generally increased dynamic momentum generated by the transition. Indeed, the beginning of the transition is often the moment when the movement seems to be "getting under way."

CONVENTIONAL ACCOMPANIMENTAL PATTERNS

The classical period, with its newfound emphasis on a distinctive upper-voice melody, developed a number of conventionalized rhythmic-contour patterns to accompany that melody.

Three particularly common patterns have been termed by music historians the Alberti bass, *the* drum bass, *and the* murky bass *(see Ex. 11.5a–c). All three give rise to variants related to their basic shapes.*

These patterns can be found at any place within a classical movement, including the main theme, where they are typically associated with the medial phrase functions of continuation and contrasting middle. They are also prominently associated with the medial "thematic" functions of transition and core of the development.

EXAMPLE 11.5   Conventional accompanimental patterns: (a) Alberti bass, (b) drum bass, (c) murky bass

Boundary Processes: Accompanimental Overlap, Elision

Two boundary processes are frequently associated with the end of the main theme and the beginning of the transition: *accompanimental overlap* and *elision*. It is important to keep the difference between these processes clearly in mind.

Accompanimental Overlap

An accompanimental overlap occurs when the moment of a theme's cadential arrival brings with it the new accompanimental figuration of the next thematic unit, whose first true downbeat occurs in the following measure.

Example 11.2 illustrates this technique well. The main theme ends on the downbeat of m. 16, at which point the new, continuous accompanimental pattern (an Alberti-bass variant) appears. As the next thematic unit gets under way, it becomes clear that the first genuine "downbeat" of that unit—the measure that we want to count as "bar one"—occurs at m. 17 (with its melodic pickup). In other words, it is only the accompaniment itself that overlaps with the end of the main theme, not the structural beginning of the transition. (An additional case of accompanimental overlap can be seen ahead in Ex. 11.10, m. 21.)

Elision

As discussed already (see Chap. 3, p. 86), an elision occurs when the cadential arrival of one theme corresponds with the moment when the next theme structurally begins. A single complete measure thus functions simultaneously as both an ending and a beginning.

Cases of structural elision between the main theme and the transition can be observed ahead in Examples 11.6, m. 13; 11.8, m. 16; 11.19, m. 17; and 11.20, m. 19.

An elision often resembles an accompanimental overlap to the extent that the moment of cadential arrival also corresponds to the onset of a new accompanimental pattern. But the two techniques differ fundamentally with respect to where the next thematic unit begins:

- In an accompanimental overlap, the theme begins in the bar following the cadence.
- In an elision, the new theme begins at the very moment of cadential arrival.

Both of these boundary processes generate a greater degree of rhythmic continuity than would be the case if no overlap of any kind occurred. And of the two, elision makes a more powerful effect, since the overlap involves not only a matter of texture (the accompaniment) but a matter of structure as well.

Modulation Techniques

In the case of a modulating transition, you want to be observant of some standard procedures for how the music can move from the home key to the subordinate key.

In major-mode movements, the subordinate key (almost always the dominant region of the home key) is usually reached by means of a *pivot-chord* modulation. One simple pivot sees the home-key tonic becoming the subdominant of the subordinate key, which then can move easily to the dominant (see ahead, Ex. 11.12, m. 18).

Often, there is a prominent move to the submediant (VI), which pivots to become the pre-dominant II in the subordinate key (Exs. 11.8, m. 34; and 11.10, m. 23). Indeed, such a move to VI is so common that it is akin to "waving a flag" that the modulation is about to take place.

Sequential progressions are also effective in creating a smooth modulation to the new key (Ex. 11.14, mm. 89–92). In such cases, however, it is not always possible to identify just which specific harmony within the sequence is the actual pivot chord; rather, a number of the harmonies can be understood to lie within both the home and the subordinate keys.

In minor-mode movements, the modulation to the relative major (the conventional subordinate key) also tends to employ the home-key IV (Ex. 11.1, m. 12) or VI (Ex. 11.9, mm. 29–30), pivoting to become II or IV respectively.

If the subordinate key is the minor dominant, then the modulation usually takes place along lines similar to major-mode movements.

Opening Strategies

New Material

Many transitions begin with new material supported by the home-key tonic. This opening is commonly used after the main theme has closed with a PAC, and less often after an HC.

At first, the listener cannot be sure whether the new material represents the start of a transition or possibly a second main theme, for only the subsequent modulation to the new key, or a goal dominant in the home key, can confirm that a transition has indeed been under way. (A second main theme would close with another PAC in the home key.)

Example 11.6: the main theme (analyzed earlier in Ex. 5.11) closes with a PAC at m. 13. This moment also sees the appearance of new, highly dramatic, melodic-motivic material in continuous sixteenth-note motion and a *fortissimo* dynamic—in short, a perfect exemplar of the "brilliant style." Seeing as m. 13 is also the "first" measure of the next thematic unit, we can recognize a structural elision between the main theme and this nonmodulating transition. (Indeed, the entire effect of a sudden bursting out with new material would be undercut if it were to take place in the measure following the cadence.)

EXAMPLE 11.6 Beethoven, Piano Sonata in C, Op. 2, No. 3, i, 11–26

Main-theme Material

This opening is typically employed when the main theme ends with a half cadence. In such cases, we have the initial impression that the main theme may not yet be over. Since the HC can be heard to close a large-scale antecedent, the return of the opening basic idea implies the start of a matching consequent. Once the music no longer corresponds to the antecedent and modulates to the new key, we understand in retrospect that the return of the basic idea marked the beginning of the transition and that the prior HC truly closed the main theme. Example 11.1 well illustrates this procedure.

The strategy of beginning the transition like a repetition of the main theme can also be used when the latter has closed with an authentic cadence.

Frequently in such cases, the beginning of the transition elides with the end of the main theme, as seen in Example 11.20, m. 19.

If the transition is nonmodulatory, the combined main theme and transition can sometimes give the impression of being a kind of "reversed period" (that is, a consequent followed by an antecedent). We might thus see the entire passage as a single main theme. Closer examination of such cases reveals, however, that "re-reversing" the units into a normative antecedent-consequent succession is usually not satisfactory, and we are better off understanding the situation as a main theme (ending with a PAC) followed by a nonmodulating transition (ending with an HC).

EXAMPLE 11.7   Mozart, Violin Sonata in C, K. 403, i, 1–9 (R = ½N)

Example 11.7: the opening four measures are constructed as a sentence (R = ½N) ending with a PAC. The sentence is repeated in the following four measures but ends this time with an HC in m. 8. The overall structure thus suggests a compound period whose constituent functions have been reversed: a compound consequent is followed by a compound antecedent.

This use of *phrase*-functional labels is fine as far as it goes, but it leaves open the question of how logical it can be for the composer simply to reorder the syntactical units. Once we recognize that the two units have specific *thematic* functions, namely a main theme followed by a nonmodulating transition, then the formal syntax becomes more convincing.

Note that the "antecedent" introduces a number of chromatic embellishments (the A♭ at the end of m. 6; the F♯ and B♭ in m. 8). This chromatically inflected antecedent would not likely be followed by a purely diatonic consequent, such as that of mm. 1–4. From the perspective of the thematic functions, however, the chromaticism in mm. 5–8 contributes to destabilizing the home key, thus helping to fulfill one of the central functions of a transition.

False Closing Section

A main theme that ends with a PAC can be followed by a closing section consisting of codettas. When this occurs, the end of the closing section and the subsequent beginning of the transition usually are separated by a distinct break in rhythmic motion, as in Example 11.4, at m. 31.

On occasion, however, such codettas merge directly into material that no longer seems part of a closing section but rather is more typical of a transition. In these cases, the codettas appear at first to have a postcadential function in relation to the main theme, but they are then understood retrospectively to initiate (usually as a presentation) the transition proper. We can thus refer to this situation as a *false closing section*, one that "becomes" ($\Rightarrow$) the initiating unit of the transition.

Example 11.8: the main theme closes with a PAC on the downbeat of m. 16. At this same moment, the violin sounds a new 2-m. idea of obvious codetta character and repeats it in mm. 18–19. The piano then takes over the same music in a somewhat embellished manner at m. 20.

Just before reaching completion, however, the music moves off to VI (m. 24), a signal that the preceding passage, which seemed like a closing section to the main theme, functions instead as the beginning of the transition. The music that follows is continuational, leading to a home-key HC at m. 26 and a broad standing on the dominant.

(The passage up to this point constitutes the first part of a two-part transition, whose second part is to be discussed below.)

EXAMPLE 11.8 Haydn, Piano Trio in E-flat, H. 30, i, 15–44

EXAMPLE 11.8 *Continued*

Nontonic Region

Most transitions begin with tonic of the home key to provide a firm footing for the later destabilization of tonality. In some compositional contexts, however, harmonic stability at the opening of the transition might be unnecessary or even redundant. If the main-theme area strongly emphasizes tonic harmony—through the use of a closing section or multiple main themes (or both)—the

transition may begin directly in a nontonic region of the home key in order to advance the process of tonal destabilization.

The nontonic region used in the majority of cases (both in major and minor) is the submediant (VI). This harmony is particularly effective because it creates an immediate modal contrast and can easily function as a pivot to the new key. Yet at the same time, VI continues to function as a tonic substitute, thus in some sense still prolonging that harmony and also serving to project a sense of formal initiation for the transition.

EXAMPLE 11.9 Mozart, Violin Sonata in E minor, K. 304, i, 27–39

Example 11.9: the main theme, built as a small ternary, is followed by a closing section, which has already been discussed in Example 5.27. As a result of this structure, the listener has been presented with two genuine PACs in the home key (one ending the A section, the other the A´ section), and two additional PACs of limited scope in the closing section. In short, the opening 28 measures have strongly emphasized tonic of the home key.

Consequently, it is no surprise to see Mozart moving away from E minor harmonies at the start of the transition, which brings a new 2-m. basic idea in the context of prolonging a C-major harmony, VI of the home key. (The overall structure of the transition is discussed below.)

Phrase-structural Organization; Loosening Devices

Sentential Organization

Most transitions employ the phrase functions associated with the sentence theme type: presentation, continuation, and cadential. These functions, however, typically appear in a *loose* manner, either through phrase-structural means (extension, expansion, compression, redundant repetitions) or by various harmonic-tonal destabilizations (modal shift, chromaticism, tonicization).

Example 11.8: as discussed, the opening codetta-like ideas in mm. 16–19 ultimately function as new basic ideas that create an opening presentation phrase. But rather than leading directly to a continuation, the piano part projects the sense that the entire presentation is to be repeated, which is what largely occurs in the next four measures, though the final bar of that group (m. 24) is somewhat altered to suggest that the continuation function is already beginning there. Measures 24–26 bring a compressed continuation leading to the home-key HC (which, with the subsequent standing on the dominant, concludes the first part of the transition).

The redundant repetition of the presentation phrase, along with the compression of the continuation, helps to create a loose formal context, appropriate for a transition.

SENTENCE OR "SENTENTIAL"?

As we begin to consider more loosely organized formal structures in this chapter (and especially in the ones that follow), we are going to observe that many thematic regions of a classical movement employ the formal functions associated with the sentence theme type.

Should we label all such themes as sentences? *There is no simple answer to this question. In some cases, the loosening techniques do not necessarily exceed the kinds of deviations discussed and illustrated in Chapter 5.*

But much of the time, the length and complexity of the formal organization vastly differs from the norms of a simple 8-m. sentence such that to assign that label seems more problematic. In those cases, we speak more generally of a sentential *or* sentence-like *organization of the thematic unit and restrict the term* sentence *to more tightly knit manifestations of that theme type.*

Nonconventional Organization

Frequently, the formal organization of the transition yields a *nonconventional* formal design: though we can still recognize the standard phrase functions (or at least various modifications of them), they are combined in a manner that does not conform to any one of the basic theme types.

Example 11.6: the transition begins with a 2-m. basic idea (ascending arpeggios), followed by a 2-m. contrasting idea (descending scale); the lack of cadence allows us to consider these four measures as a compound basic idea. The basic idea returns at

m. 17, and now two options present themselves: either the entire compound basic idea will be repeated to create a compound presentation (to be followed by a continuation), or the contrasting idea will be reformed to make some kind of cadence. Here, the contrasting idea is extended and reharmonized to create an HC at m. 21.

What is the function of this second phrase? Taken entirely in isolation, a basic idea followed by a contrasting idea leading to an HC would be considered an antecedent. However, seeing as this phrase clearly follows a preceding compound basic idea, our expectation is not of a second "initiating" phrase but rather of some "closing phrase," that is, a consequent. If the cadence at m. 21 were a PAC, we would encounter the standard hybrid (compound basic idea + consequent). But such cadential closure would project the sense of a "second" main theme. So in order for the passage to fulfill its intended thematic function of transition, Beethoven must allow the anticipated consequent to "fail," having it end instead with an HC.

The resulting phrase structure is thus nonconventional. This functional situation, along with the 1-m. extension and the chromatic alternations in mm. 19–20, contributes to the loosening of the transition, compared to the more conventionally organized main theme.

Example 11.9: the transition has an oddly periodic quality to it. After beginning with a new basic idea in C major (see the discussion above), a contrasting idea quickly modulates to G major (the expected subordinate key), ending there with an IAC. When the music returns immediately back to C, however, we can understand the cadence to have been a reinterpreted HC and thus assign an overall antecedent function to this opening phrase. (As such, the "key" of C major is barely confirmed, and it should best be understood as a tonicized VI of E minor, not a genuine key in its own right.)

A regular consequent in mm. 33–36 might be thought to emerge, for its cadential idea (mm. 35–36) also modulates, this time to D major (a most remote key in relation to C major!), ending with a PAC. But when the music continues on in G major at m. 37 to begin the subordinate theme, we can recognize again a reinterpreted HC, which would be a fitting enough close for the transition. Like the case at the end of Example 11.6, we wouldn't think of this "second" phrase, especially given its modulating structure, as being an antecedent. So the idea of a failed consequent seems to be an acceptable interpretation.

The resulting formal organization as a whole is thus nonconventional, and, especially given the widely fluctuating tonal centers, appropriately loose for a transition.

Omission of Initiating Function

Most transitions open with an appearance of new material in the context of the home-key tonic; typically, the opening phrase is a presentation, a compound basic idea, or an antecedent. Now and then, the initiating function is fulfilled by the appearance of just a single statement of the basic idea (especially possible

if that idea has already been heard before, such as at the beginning of the main theme; see Ex. 9.2).

In some cases, however, the transition acquires a markedly looser formal expression by starting directly with continuation function, thus bypassing entirely a clear sense of formal initiation. The most evident sense of beginning with a continuation occurs when the music presents a model for sequential repetition.

EXAMPLE 11.10 Mozart, Violin Sonata in B-flat, K. 454, ii, 21–29

Example 11.10: the main theme, shown earlier in Example 6.17, closes with a PAC on the downbeat of m. 21. At this point an accompanimental overlap introduces a more continuous, flowing pattern in the piano, while the violin sings a lyrical melody at the top of the texture.

With the opening 2-m. unit, the harmony shifts immediately to a tonicization of the submediant region, which pivots to become II in the subordinate key of B-flat major. The harmonic organization continues to realize a descending-fifths sequential progression as the idea is repeated (with some melodic variations) in mm. 24–25. In the subsequent phrase, the music still retains a two-bar grouping while being supported entirely by an expanded cadential progression (ECP). The arrival on V at m. 29 achieves the HC that marks the close of the transition.

It is tempting to analyze the opening 4-m. phrase as a presentation, seeing as a new "basic idea" is immediately repeated. But the requisite tonic prolongation of that initiating function does not appear; rather, the harmonic context is manifestly sequential. So it is preferable to recognize that the opening phrase brings *model-sequence* technique and to assign it the functional label of continuation. The second phrase, bringing no new continuational features, can be identified exclusively as cadential in function.

In the absence of model-sequence technique, the sense of beginning with continuation function can be expressed by the use of relatively short groups (those that are less than two bars in length), relatively fast harmonic changes, and a highly active surface rhythm.

EXAMPLE 11.11   Mozart, Piano Sonata in G, K. 283, i, 16–22

Example 11.11: this nonmodulating transition begins with a 1-m. idea that is immediately repeated a step higher. The continuous elaborated eighth-note figuration that follows seems clearly continuational, eventually leading to the home-key HC at m. 22.

But how do we interpret the opening two measures? We could say that they bring a new 2-m. basic idea, one that contains two 1-m. motives. But we could also perceive these motives already projecting a sense of fragmentation and thus view the entire transition as having continuation function up to the HC.

To be sure, fragmentation is normally perceived in relation to larger groups of the same thematic unit. But we are so accustomed in the classical style to understanding repeated one-bar units as fragments that their appearance at the start of a new thematic unit, especially one whose overall functionality is "medial," may signal continuation function in the absence of a prior formal initiation.

THE SIZE OF A TRANSITION

Knowing that the transition constitutes one of three principal formal functions of the exposition, you may come to believe that the transition should occupy about one-third of the exposition as whole.

Very rarely is this the case. Rather, the transition is frequently quite short, often taking up less than eight measures and even sometimes only four (see Exs. 11.15, 11.17, and 11.20).

Many passages that more traditional approaches to sonata form have identified as belonging to the transition are better understood, from the form-functional perspective advocated here, as belonging to the opening part of the subordinate-theme group.

Closure

The close of the transition is typically marked by a liquidation of melodic-motivic material, a reduction in texture, and sometimes a break in rhythmic activity—a medial caesura—to set off the entrance of the subordinate theme.

The final harmony of the transition is a dominant, of either the subordinate key or the home key. This dominant is often given temporal emphasis, by means of a standing on the dominant, in order to arouse the listener's expectations for a tonic resolution (at the beginning of the subordinate theme). The use of a fermata on the very final sonority of the transition is also an effective device for "extending" the dominant, as well as signaling a medial caesura.

At times, the final dominant of the transition is not associated with a structure that can legitimately be called a half cadence. In most of those cases, we can speak instead of a *dominant arrival*. Now and then, the final dominant doesn't even project a sense of "ending," and the transition moves directly into the subordinate theme without any closure whatsoever (this topic is discussed in "Finer Points," below).

Half Cadence

A transition can be concluded most definitively by means of a half cadence. According to the rule, the dominant of an HC must initially appear as a triad in

root position. A subsequent prolongation, however, may introduce a dissonant seventh (see Ex. 11.12, m. 26) or even invert the harmony.

The dominant harmony of the half-cadential progression of a transition is very frequently approached by a pre-dominant featuring $\sharp\hat{4}$ (the "leading tone" of the dominant) in the bass voice; VII^7/V or V^6_5/V are common harmonies used for this purpose (see Ex. 11.1, m. 14). If the HC is approached by the root-position V^7/V, then the implied effect of a modulation to the dominant might provoke the sense of a "reinterpreted" HC.

A variant progression sees $\sharp\hat{4}$ placed in an upper voice, supported by an augmented-sixth harmony as pre-dominant. This standard signal for the impending end of a transition may arise naturally owing to a modal shift (that is, a move to the minor mode of the subordinate key) that often occurs in the later portions of a transition (see Ex. 11.23).

Standing on the Dominant

A postcadential standing on the dominant serves to prolong the final harmony of the HC (or dominant arrival), often with the dynamic effect of either sustaining (and even reinforcing) that arrival or of dissipating it, so as to clear the stage for the entrance of the subordinate theme.

The harmonic prolongation of the dominant can be accomplished in a variety of ways, such as a literal extension of that harmony (a relatively rare occurrence), a pedal-point prolongation involving one or more neighboring chords (Ex. 11.8, mm. 37–41), a more extensive set of subordinate harmonies bringing a change of bass (Ex. 11.6, mm. 21–26), or the use of half-cadential progressions (Chap. 9, Ex. 9.2, mm. 17–20).

Most typically, the standing on the dominant brings a new 2-m. idea that is repeated one or more times and then fragmented or otherwise liquidated. The opening idea, of course, may sometimes be larger or smaller.

TAMING THE TERMS

Labeling the Units of a Standing on the Dominant. *We don't have a convenient way to label the opening idea of a standing on the dominant. In the case of the analogous* closing section *(following a PAC), we would refer to that idea as a* codetta; *but that expression has traditionally never been used in the context of a standing on the dominant.*

We also shouldn't use the label basic idea, *since a standing on the dominant doesn't constitute a complete theme; moreover, basic ideas, like codettas, are normally supported by tonic harmony.*

In the absence of a standard term, we are left just speaking generally of a "new idea" to start the standing on the dominant. (Perhaps a future music theorist will find an appropriate expression that grabs the imagination of musicians.)

EXAMPLE 11.12 Haydn, String Quartet in B-flat, Op. 50, No. 1, iv, 13–34

Example 11.12: the transition closes with an HC at m. 24. (The unusual opening of this transition is discussed below.) The subsequent standing on the dominant features a new 2-m. idea supported by accented neighboring chords built over the lowered-sixth degree of the new key. The idea is repeated twice, and on the second repetition Haydn even feigns the effect of a fermata (m. 30). He pushes the music forward, however, with liquidational material that strongly drives right on through to the beginning of the subordinate theme.

Although the melodic line at the end of the transition leads decisively to tonic harmony at m. 34, this moment must not be interpreted as an IAC. The harmony prolonged from m. 24 on is the *ultimate* dominant of a half-cadential progression, not a *penultimate* dominant of an authentic cadential one.

WHERE DOES THE TRANSITION END?

The final portion of the standing on the dominant can sometimes give the strong impression of being an extended up-beat (anacrusis) to the start of the subordinate theme. This dynamic process can give rise to confusion about where the transition actually ends.

The drive to resolve the energy of the prolonged dominant onto tonic harmony at the start of the subordinate theme can sometimes lead students to identify a "point of arrival" at that moment and to identify this new initiation as a cadence, one marking the end of the transition.

It is important, however, not to confuse the idea of "resolution of dominant to tonic" with "arrival at a functional end."

Remember: the initial tonic of the subordinate theme signals the beginning *of the unit, not the* end *of the transition (which is marked earlier by the HC).*

Sometimes, material from the half cadence itself is used to construct the standing on the dominant (or at least the first part of it). In such cases, we would normally identify the first appearance of the half-cadential dominant as marking the HC proper and then include the repetition of the half-cadence ideas as belonging to the standing on the dominant. Example 9.2, mm. 17–20, illustrates this technique well.

Finally, it should be noted that not all transitions end with a standing on the dominant. (Slow movements in particular do not generate sufficient dynamic tension to prompt a postcadential unit.) In such cases, the subordinate theme begins immediately after the HC (see Exs. 11.1, 11.7, and 11.9).

Dominant Arrival

At times, the final harmony of the transition—the dominant of either the subordinate or home key—is not associated literally with a half cadence. In some cases, the final dominant does not appear in the context of a genuine half-cadential

progression; yet that dominant gives the impression of being an "ending" harmony. In other cases, a cadential progression is present, but for a variety of reasons the appearance of the final dominant fails to create a true cadence.

As explained earlier in Chapter 7 (under "Finer Points"), the term *dominant arrival* distinguishes such situations from actual half cadences.

Dominant arrival with no cadential progression. The final dominant of a transition is not always achieved by a genuine half-cadential progression. Sometimes the progression is in the making but fails to be fully realized because the dominant includes a dissonant seventh. At other times, a cadential progression is not even implied when the final dominant appears.

In both cases, the dominant can still appear to be an ending harmony, because (among other possibilities) it may mark what sounds like the beginning of a standing on the dominant, it may feature liquidation and reduction in texture, or it may be especially elongated relative to its preceding harmonies.

EXAMPLE 11.13 Haydn, String Quartet in E-flat, Op. 50, No. 3, i, 13–18

Example 11.13: the continuation phrase of the transition modulates to the subordinate key by leading to the new tonic in m. 14 noncadentially (because the dominant harmony on the downbeat of that measure becomes inverted). When the continuation is repeated, the harmonic progression is somewhat altered in order to conclude at m. 17 on V^6_5, thus creating a dominant arrival.

Again, this dominant cannot be considered cadential because of its inversion. Yet it projects the sense of being an "ultimate" dominant, because it clearly appears to be the harmonic goal of the transition. To reinforce that sense, Haydn even adds a fermata, which creates a medial caesura. The subordinate theme begins directly in the following measure.

Frequently, the moment of dominant arrival does not seem to coordinate with what we hear to be the end of various melodic or grouping processes. In these cases, the music seems to get stuck "too early" on the dominant. We can speak in such situations of a *premature* dominant arrival.

EXAMPLE 11.14   Beethoven, Symphony No. 4 in B-flat, Op. 60, i, 81–108

EXAMPLE 11.14 *Continued*

Example 11.14: the transition, which begins 16 measures earlier with a tonic pedal (not shown), continues at m. 81 (the start of this example) with a new tonic prolongation, which, on repetition, completes itself on the downbeat of m. 89. The rest of the bar continues with II$^{4}_{3}$/III, which initiates model-sequence technique supported by a descending-fifth progression (as shown by the analysis of the roots). The last harmonic link in the sequential chain is the dominant of the subordinate key at m. 92, which then emerges as the final, noncadential harmony of the transition.

The ongoing melodic activity, however, is not concluded until the downbeat of m. 95, after which new material appears for the standing on the dominant. Since the harmonic goal considerably precedes the melodic goal, we can speak of a premature dominant arrival at m. 92.

SEQUENCE VS. CADENCE

A sequential progression, especially a descending-fifth one, can sometimes end with harmonies suggestive of a cadential progression (e.g., II–V–I). As a result, you might be tempted to analyze the final unit of the model-sequence pattern as a cadential idea.

In most cases, this would be a mistake: since the final unit is a repetition of a prior unit, it would not normally be heard to function as a closing unit, one that distinguishes itself from what is being repeated. A cadential idea should normally be different from what precedes it, in order to acquire a genuine concluding function.

For this reason, the classical composers usually write a distinct cadential progression, which follows the sequential progression, to effect cadential closure. If a thematic unit seems to "end" with the conclusion of the sequence, as in Example 11.14, then we experience the sense of a "noncadential" ending.

Dominant arrival with cadential progression. Even if the final harmonic progression of the transition seems to be cadential, various factors can obscure, or even destroy, a sense of true cadential closure, especially if the final dominant harmony appears to arrive "too early."

> Example 11.15: a pre-dominant II⁶ in m. 9 leads in the following measure to a cadential six-four. In a typical half cadence, the six-four would resolve quickly to a five-three chord, and the moment of cadential arrival would be easily associated with the entrance of the dominant's root in the bass voice (that is, with the six-four; see Ex. 11.1, m. 8).
>
> In the example here, the six-four chord is itself prolonged (by neighboring dominant sevenths) for more than two measures before resolving to the five-three position on the second beat of m. 12. The resulting noncoordination of the harmonic arrival (m. 10) and the melodic-motivic arrival (m. 12) obscures the sense of half cadence, and since the dominant harmony appears before the end of the phrase unit, we can speak of a premature dominant arrival in m. 10.

EXAMPLE 11.15   Haydn, Piano Sonata in C, H. 21, ii, 7–12

> Example 11.16: a highly polyphonic transition (beginning much earlier) effects a modulation to the new key, E major, toward the end of m. 32. That key is confirmed in the following bar with the half-cadential progression I–VII⁶/V–V.
>
> Do we want to recognize a genuine HC in the middle of m. 33? The ongoing polyphony hardly makes this moment sound like an end. That point seems more to be reached on the downbeat of m. 36, where the following standing on the dominant prepares the way (with motivic diminutions) for the entrance of the subordinate theme at m. 40. It is thus preferable in this case to speak of a premature dominant arrival in m. 33.
>
> It is interesting to note the *sforzandi* in the cello starting with the dominant arrival. It's as though Mozart were saying, "Yes, I really do mean for you to hear this dominant as the final harmony of the transition."

EXAMPLE 11.16 Mozart, String Quartet in A, K. 464, iv, 29–41

STRUCTURAL END VS. LITERAL END

For most of the transitions that we have been studying in this chapter, it is important to distinguish between their structural end *and their* literal end.

The former arises with the moment of half cadence or dominant arrival; the latter occurs just before the entrance of the subordinate theme and is often associated with a medial caesura.

Sometimes, of course, these two moments occur simultaneously (when the very last event is an HC). But they often arise at different points in time, which we must carefully tease apart whenever we confront the question, "Where does the transition end?"

Finer Points

Unusual Opening Strategies

Whereas the majority of transitions begin with one of the four typical opening strategies described above, some other procedures are employed now and then. Three, in particular, occur frequently enough to warrant mention.

Later Portions of the Main Theme

Although many transitions begin with material taken from the opening of the main theme (especially its basic idea), some open with material appearing later on in the main theme. For example, the transition might start out as though the continuation phrase of the main theme were being repeated but then leads off "somewhere else."

Another possibility is for the transition to take up the cadential idea of the main theme.

> Example 11.12: the main theme closes with a PAC in m. 16; the true melodic line lies in the second violin (the alto voice in mm. 15–16). (The first violin plays a newly added subsidiary idea.)
>
> The transition begins when the first violin repeats the cadential gesture in mm. 17–18 and develops this idea all the way to the HC at m. 24. The accompanying voices sound the head motive "a" from the basic idea of the main theme.

B Section

If the main theme is built as a small ternary, the transition sometimes starts out with material of the B section, giving the impression that the B and A´ sections are going to be repeated (in the manner of a rounded binary).

EXAMPLE 11.17   Beethoven, Piano Sonata in E-flat, Op. 31, No. 3, ii, 28–35

Example 11.17: the main theme is constructed as a small ternary (as discussed in connection with Ex. 7.14). The upbeat to m. 29 brings back music from the beginning of the contrasting middle (one octave higher). But the supporting V^7/VI harmony, which gave the impression of being the "wrong" dominant back at mm. 10–15 (see Ex. 7.14), now serves as the "real" (and only!) harmony of the transition.

The use of a single harmony in a transition is most unusual. Beethoven compensates for the lack of harmonic progression by writing a *modulating* subordinate theme (to be discussed in Ex. 12.14, in the next chapter).

A´ Section

The main theme may be in the process of forming itself as a small ternary, but its A´ section, rather than closing with a home-key PAC, may instead depart from the path of the prior A section and lead to dominant closure. We understand, in retrospect, that the A´ section has "become" a transition.

EXAMPLE 11.18   Beethoven, Piano Sonata in C, Op. 2, No. 3, iv, 1–29

(continued)

Example 11.18: measures 1–8 and 9–18 make up the A and B sections of a small ternary. (The internal organization of the opening eight measures is most nonconventional, especially since it is not even clear that they close with a PAC; in light of what follows, however, these measures must be interpreted as an A section.)

The return to the basic idea at m. 19 signals an obvious recapitulation, one that would normally bring an authentic cadence to close the main theme. But the melodic D♯ in m. 22 steers the music toward the subordinate key, and the section closes instead with an HC in m. 29. The A´ section of the ternary is thus left incomplete, and we understand retrospectively that the functional beginning of a modulating transition occurs at m. 19.

(This example is actually taken from a movement in rondo form, not sonata form; the structure of its main theme and transition, however, could just as well have occurred in the latter formal type.)

Two-part Transition

The process of tonal destabilization sometimes takes place in two distinct stages, thus yielding a *two-part transition*. Following a main theme ending with a PAC, the first part leads to an HC (or dominant arrival) *in the home key*; the second part, beginning still in the home key, then modulates to the subordinate key. In other words, the two-part transition essentially combines a nonmodulating transition with a modulating one.

Example 11.8: the first part of the transition begins, as discussed above, with a false closing section to the main theme and leads to an HC in the home key at m. 26. A second part then begins at m. 33 with V⁷/VI, whose resolution pivots to become II of the subordinate key. The transition then ends at m. 37 with an HC, which elides with a standing on the dominant.

Though the second part does not begin with tonic of the home key, we still can hear the opening two harmonies in that key, namely as tonicizing the submediant (the submediant being in this context a functional "substitute" for the tonic). Of course, the submediant can then provide the conventional pivot for the modulation to the subordinate key.

Note that the second part omits an initiating function and starts instead directly with a continuation, as signaled by the model-sequence technique. The model itself is made up of motives derived from the basic idea of the main theme (shown in Ex. 10.17), which Haydn also uses at the beginning of the subordinate theme (mm. 42–43).

As seen in Example 11.8, the second part of the transition frequently alludes to the opening material of the main theme.

Sometimes the second part begins with the basic idea from the main theme in its original harmonic context, that is, supported by tonic harmony. The resulting structure then resembles the case, discussed in "unusual beginnings" above (see Ex. 11.18), where what seems to be an A´ section of a small ternary is retrospectively understood as the beginning of the transition.

Figure 11.1 illustrates these two formal situations in relation to three cadentially defined units. Unit 1 is the very opening material of the exposition, closing with a PAC in the home key; unit 2 remains in the home key and ends with an HC; and unit 3 modulates to the subordinate key, ending with an HC.

	Unit 1 ends HK: PAC	Unit 2 ends HK: HC	Unit 3 ends SK: HC
Ternary Main Theme	A section	B section	A´⇒Transition
Two-Part Transition	Main Theme	Transition part 1	Transition part 2

FIGURE 11.1 Ternary main theme vs. two-part transition

The key question in distinguishing between these two situations concerns the status of unit 2: Is it the B section of the main theme, or the first part of the transition? Once a decision is made, the status of units 1 and 3 becomes clarified. Two factors can be helpful in this respect:

1. We can recall that, in principle, the A and B sections of a small ternary must not elide (see the statement in Chap. 7, p. 197). So if unit 1 ends

at the same moment as unit 2 begins, then we must consider the latter to be the first part of the transition (and not a B section).

2. The B section of a ternary often emphasizes the home-key dominant directly at its beginning, whereas a transition tends at first to emphasize the home-key tonic. So if unit 2 begins with a dominant emphasis (and doesn't elide with unit 1), we are inclined to consider it a B section. This is exactly the situation that we encounter in Example 11.18.

EXAMPLE 11.19   (a) Beethoven, Piano Sonata in B-flat ("Hammerklavier"), Op. 106, i, 1–8; (b) 16–20; (c) 31–40

(continued)

EXAMPLE 11.19 *Continued*

Example 11.19: the main theme begins with mottolike fanfare chords functioning as the basic idea of a sentence, ending with an HC at m. 8. The continuation phrase is then repeated (not shown) and highly extended, ending eventually with a powerful PAC, which elides with the beginning of a second sentential unit (see Ex. 11.19b). This unit eventually ends with a long standing on the dominant (Ex. 11.19c), which liquidates the texture and dissipates the accumulated energy, only to yield suddenly to a bursting forth of the opening fanfare chords at m. 35. The repeated basic idea suddenly moves to the dominant of the subordinate key (G major) in the middle of m. 37, thus marking a dominant arrival; this third unit ends with a standing on the dominant beginning at m. 39 and lasting until the start of the subordinate theme (m. 47, not shown).

The return of the fanfare chords at m. 35 (Ex. 11.19c) has a striking "recapitulatory" character, and so we might be tempted to hear this moment as articulating an A′ section, which is then retrospectively understood as the start of a modulating transition. But problematic in this account is the fact that the music at m. 17 (Ex. 11.19b) hardly sounds like the beginning of a contrasting middle (B section). First, it strongly emphasizes the home-key tonic; second, it elides with the end of the first unit. As a result, it is better here to understand the main theme concluding at m. 17, at which point we would recognize the beginning of a two-part transition.

Omission of Concluding Function

Now and then, the final dominant of a transition gives no sense of being an ending harmony whatsoever. The dominant does not appear to be the goal of the progression; it receives no emphasis, and it resolves directly to tonic at the beginning of the subordinate theme with little or no rhythmic break. As a result, the transition is left without any kind of functional closure.

In such cases, the composer usually finds a clear way to articulate the sense that the subordinate theme has actually begun (such as the appearance of a basic idea in the context of a presentation phrase). At other times, the subordinate theme *fuses* with the transition—a process discussed in the following chapter.

EXAMPLE 11.20 Mozart, Piano Sonata in C minor, K. 457, i, 17–27

Example 11.20: the transition begins in m. 19 with the 2-m. basic idea from the main theme. The idea is then repeated in the bass voice, now supported by the dominant of the subordinate key.

By the end of m. 22, the listener does not expect this dominant to be the goal harmony of the transition: there is no cadential articulation, no standing on the dominant, and no temporal extension. Moreover, a repetition of a 2-m. idea tends to reinforce formal *initiation* and not create formal *closure*.

Nevertheless, the following material clearly expresses the sense of a new beginning by bringing a presentation phrase supported by a root-position tonic in the subordinate key. There is no reason, therefore, not to consider m. 23 the start of the subordinate theme, even though the transition lacks a functional end. (This passage is discussed again in the following chapter; see Ex. 12.5.)

Reviewing the Theory

Answer These Questions

1. What is the harmonic goal of a transition?
2. A modulating transition closes in which key?
3. Which specific postcadential function is found after the end of most transitions?
4. Where is a medial caesura located?
5. What is the difference between an accompanimental overlap and a structural elision?
6. If a transition begins with main-theme material, then the main theme has typically closed with which type of cadence?
7. What is "premature" about a premature dominant arrival?
8. How do we know if a transition has omitted its ending function?

True or False?

1. The transition is a *medial* thematic function.
2. The transition may end with a PAC that elides with the onset of the subordinate theme.
3. Most transitions bring about a modulation to the subordinate key.
4. The beginning of the transition is located at the point where the music begins to modulate to the new key.
5. Conventionalized accompanimental patterns (such as an Alberti bass) are typically associated with initiating formal functions.
6. The appearance of submediant harmony typically signals the start of the modulation to the new key.
7. A dominant arrival may arise if that harmony is inverted or contains a dissonant seventh.
8. The first part of a two-part transition closes in the home key.

Multiple-choice Questions

Choose a letter (there may be more than one) that correctly answers the question.

1. The transition serves which primary functions?
    a. To modulate to the subordinate key
    b. To destabilize the home key
    c. To loosen the formal organization
2. Which of the following are opening strategies for a transition?
    a. Beginning with main-theme material
    b. Beginning with tonic harmony of the subordinate key

    c. Beginning with nontonic harmony of the home key
    d. Beginning with a genuine closing section
3. Which of these loosening devices can possibly be found in a transition?
    a. Omission of initiating function
    b. Modal mixture
    c. Closing with a PAC
    d. Symmetrical grouping structures
4. Which of these are conventional accompanimental patterns?
    a. Murky bass
    b. Harp bass
    c. Vivaldi bass
    d. Drum bass

Examples for Analysis

EXAMPLE 11.21   Haydn, Piano Trio in E-flat, H. 22, iii, 9–23. The transition begins at the very start of the excerpt; the beginning of the subordinate theme is indicated in the score

(continued)

EXAMPLE 11.21 *Continued*

[Subordinate Theme]

EXAMPLE 11.22 Haydn, String Quartet in D minor, Op. 42, i, 9–14. The transition begins at the very start of the excerpt; the beginning of the subordinate theme is indicated in the score. The main theme can be seen in Example 2.24

Andante ed innocentemente

[Subordinate Theme]

EXAMPLE 11.23 Mozart, Piano Sonata in F, K. 332, i, 19–40. The excerpt begins toward the end of the main theme and concludes at the very end of the transition

EXAMPLE 11.24 Mozart, Clarinet Trio in E-flat, K. 498, i, 15–26. The excerpt begins toward the end of the main theme; the beginning of the subordinate theme is shown in the score

EXAMPLE 11.25   Beethoven, Piano Sonata in G, Op. 14, No. 2, i, 7–27. The excerpt begins toward the end of the main theme; the beginning of the subordinate theme is shown in the score

EXAMPLE 11.26 Beethoven, Violin Sonata in F ("Spring"), Op. 24, i, 9–40. The excerpt begins toward the end of the main theme; the beginning of the subordinate theme is shown in the score

(continued)

EXAMPLE 11.26 *Continued*

[Subordinate Theme]

EXAMPLE 11.27 Beethoven, Piano Sonata in C minor, Op. 10, No. 1, ii, 15–23. The excerpt begins toward the end of the main theme and concludes at the very end of the transition

Exposition (III): Subordinate Theme

The third thematic function making up a sonata-form exposition is the *subordinate theme.* This large-scale *concluding* thematic function within the exposition is characterized principally by its contrast with the main theme, looser formal organization, and required ending with a perfect authentic cadence in the subordinate key.

The Basics

The subordinate theme of a sonata exposition serves three primary functions:

1. *To contrast* with the main theme, in order to support thematically the tonal contrast of home and subordinate keys
2. *To loosen the formal organization*—especially through extensions and expansions—to give rhetorical and dramatic weight to the subordinate key
3. *To confirm* the subordinate key with a perfect authentic cadence

Contrast with the main theme is usually provided by the introduction of new melodic-motivic material, though Haydn is well known for opening his subordinate themes with the basic idea of the main theme (the so-called monothematic exposition). The opening melodic material of many—but by no means all—subordinate themes is tuneful and lyrical in nature and often set in a *piano* dynamic. But unlike a main theme, subordinate themes display diverse motivic ideas, and toward the end of the exposition they tend especially to become highly energetic, dramatically charged, and dynamically aggressive as the music approaches the confirming PAC.

The phrase-structural organization of most subordinate themes is sentential; thus, we regularly find presentation, continuation, and cadential functions. A periodic form may sometimes arise (usually with an extended consequent). Structures resembling a small ternary rarely occur, for when a subordinate-theme idea yields to new material, the idea is not normally brought back within the context of the theme itself.

A subordinate theme usually employs *loosening* devices that effect structural lengthening (extensions, expansions) and introduce various modes of harmonic destabilization (modal mixture, chromaticism, tonicization). These are some typical loosening techniques:

- Extending or repeating a presentation function
- Weakening the opening tonic prolongation of a presentation
- Extending the continuation function with model-sequence technique
- Extending the cadential function through evaded cadences and the "one more time" technique
- Expanding the cadential function by means of expanded cadential progressions
- Omitting an initiating function

A subordinate theme may initially lead to a half cadence (or dominant arrival) as a temporary structural goal. Because all subordinate themes must eventually close with a PAC, such a half cadence must be seen as *internal* to the theme itself. Following an internal HC, the theme typically carries on with new continuational or cadential material. Sometimes, an internal HC articulates the end of the first part of a *two-part subordinate theme*.

A relatively short exposition may bring just a single subordinate theme. Most expositions, especially those used in opening movements and finales, contain multiple subordinate themes. With such a *subordinate-theme group*, each theme must close with a PAC in the subordinate key. As well, one of the themes may be relatively tight-knit, though the group as a whole will be looser than the main theme.

The final PAC in the subordinate key is usually followed by a postcadential *closing section*, consisting of one or more *codettas*. The closing section itself may be followed by a brief *retransition*, which helps effect a smooth return to the home key for the repeat of the exposition.

TAMING THE TERMS

Subordinate Theme. *A variety of terms have traditionally been used in connection with what we are here calling a subordinate theme, among them "second theme," "secondary theme," and "second subject."*

This terminology, however, suggests a numbering scheme starting from the "first theme" (i.e., main theme) that often cannot be sustained in analysis: a given subordinate theme is not necessarily the literal "second" theme of a movement.

The term "subordinate" theme—which, needless to say, does not imply a theme of inferior aesthetic value—has the advantage of relating directly to the expression "subordinate key," the tonal region confirmed by this theme.

EXAMPLE 12.1   Mozart, Piano Sonata in C, K. 545, i, 13–28

Example 12.1: this subordinate theme divides itself clearly into three phrases as defined by their melodic-motivic material. And each phrase has its unique formal function—presentation, continuation, and cadential—*loosened* in ways typical of a subordinate theme.

The presentation (mm. 14–17) is loosened through harmonic means: the opening progression prolongs tonic harmony in first inversion (rather than the more usual root-position prolongation of a tight-knit theme).

Continuation function (mm. 18–21) is extended by means of model-sequence technique, which traverses a complete descending-fifths sequential progression. Note that the final link of the sequence V⁶–I cannot be thought to create a cadence because the dominant is inverted.

The cadential function (mm. 22–26) is supported by an expanded cadential progression beginning with the pre-dominant II⁶. That Mozart bypasses an initiating I⁶ for the progression is explainable by this harmony already having been "expanded" in the prolongation of the presentation phrase.

Note that the continuation and cadential functions have their own unique grouping units. Unlike the case of a tight-knit *sentence*, whose continuation and cadential functions are *fused* into a single four-bar phrase, the looser *sentential* structure of this subordinate theme clearly separates the medial and concluding functions one from the other.

The PAC ending the theme is followed by a brief closing section (mm. 26–28), consisting of a 1-m. codetta (which is repeated an octave lower) and a tiny fragment of repeated tonic chords.

Let's Practice

EXAMPLE 12.2   Beethoven, Piano Sonata in C minor, Op. 10, No. 1, i, 56–105 (R = 2N)

(continued)

EXAMPLE 12.2   *Continued*

Example 12.2: answer these questions (the preceding transition is shown in Ex. 11.4).

1. In which measure appears the PAC that signals the close of the subordinate theme? Are there any earlier cadences? If so, which ones, and where are they located?

2. What phrase-functional label best applies to mm. 56–63? (Remember: R = 2N.)

3. What phrase-functional label best applies to mm. 64–70? (Hint: consider the "variation technique" employed here.) What alternative functional label might be suggested by this passage?

4. What phrase-functional label best applies to mm. 71–77?

5. The latter part of the theme features considerable cadential expansion. Which harmonic function is especially expanded here?

6. What is the label best assigned to mm. 95–105? Describe the internal organization of this passage.

7. Is there a PAC at m. 104? Why, or why not?

More Details

Contrasting Nature of the Subordinate Theme

Without question, the principal source of contrast between main and subordinate themes lies in the realm of tonality: the former resides in the home key, and the latter in the subordinate key.

Traditionally, however, the subordinate theme has been thought to create contrast with the main theme primarily by the nature of its melodic-motivic material. And to be sure, many sonata-form expositions see the subordinate theme comprising ideas that differ largely from those contained in the main theme.

It occurs regularly enough—and most especially in Haydn—that material of the subordinate theme is based on material of the main theme, a technique resulting in what theorists and historians have called a "monothematic exposition." Yet even in these cases, main-theme material usually appears only at the very beginning of the subordinate theme, with considerably different melodic ideas being introduced as the theme progresses.

"MASCULINE" VS. "FEMININE"

Today, we generally reject the typical 19th-century position—such as that proposed by A. B. Marx[1]—which held that a dynamic, "masculine" main theme stands in opposition to a lyrical, "feminine" subordinate theme. The frequent absence of such gendered contrast in music of the classical composers has largely rendered this distinction moot.

It is interesting to note, however, that Marx's position is subtler than what we often think today. He makes it explicit that by being masculine the main theme is no more important, or dominating, within the form than the feminine subordinate theme.

In fact, in a dialectical manner typical of his mode of thought, he sees the union of masculine and feminine (akin to the marriage of a man and woman) as essential to the fundamental nature of a sonata-form exposition (and recapitulation).[2]

Though we often think of the main theme as masculine—especially in symphonic genres—it is actually more often the case that the material of the transition typically conforms to this stereotypical gendering.

A more comprehensive approach to thematic contrast—especially one that addresses phrase-structural organization head-on—is offered by Schoenberg and Ratz,[3] who view the subordinate theme as *loosely* organized in relation to a relatively *tight-knit* main theme. Indeed, this view is fully confirmed by the empirical evidence: in the classical repertory, subordinate themes (or theme groups as a whole) are, with rare exceptions, more loosely organized than their preceding main themes. (Please review again the criteria of tight-knit and loose formal organization presented in Chap. 7, and summarized in Fig. 7.2.)

Looser Sentential Functions

Most subordinate themes are constructed out of the three sentential functions: presentation, continuation, and cadential. One or more of these functions usu-

ally acquires a loose organization by means of various compositional techniques, many of which are described in the following sections.

Presentation Function

Presentation function can be loosened by an additional repeat of the basic idea, by repeating the entire presentation itself, or by weakening the tonic prolongation supporting the presentation.

Additional repetition of the basic idea. A presentation phrase can be extended by repeating the opening basic idea once again. This third statement of the idea renders the grouping structure somewhat asymmetrical and promotes a degree of functional redundancy—two criteria of loose organization.

Example 12.3: the first of two subordinate themes begins in m. 28 with a varied, canonic statement of the basic idea found in the opening measures of the movement (see Ex. 3.12, mm. 1–2).

The idea is then sequenced a step higher into the supertonic region. (This sequence in II matches a similar one at the beginning of the consequent phrase in the main theme, Ex. 3.12, mm. 5–6.) But this sequential repetition now creates a harmonic-formal predicament: because II does not normally function as a neighboring chord to I or as a passing chord to I⁶, the music cannot easily progress to tonic at m. 32 to form a regular 4-m. presentation.

So Mozart repeats the basic idea once again, this time within dominant harmony, and the return to I on the downbeat of m. 34 completes the tonic prolongation.

EXAMPLE 12.3 Mozart, Piano Sonata in D, K. 576, i, 28–58

(continued)

EXAMPLE 12.3 *Continued*

Repetition of the presentation phrase. Another way of loosening the presentation is to repeat the entire phrase before the continuation begins.

Example 12.4: the subordinate theme begins with a 4-m. presentation that is immediately repeated with variation technique. Observe that the final measure of the repeated presentation (m. 31) *elides* with the beginning of the continuation; such elision of presentation and continuation phrases is rarely found with the tight-knit sentence, since it would disrupt the grouping symmetry.

(Note that the subordinate theme in the first movement of this sonata, shown in Ex. 12.2, also features a repeated presentation and an elided continuation.)

EXAMPLE 12.4   Beethoven, Piano Sonata in C minor, Op. 10, No. 1, ii, 24–44

EXAMPLE 12.4   *Continued*

A repeated 4-m. presentation could be seen to engender an even larger, 8-m. presentation, thus suggesting the onset of a compound sentence. But the presentation of that theme type consists of a repeated compound basic idea, not a repeated simple presentation.

The difference between these two situations is significant: with a repeated compound basic idea, the 2-m. basic idea appears twice, but with a repeated presentation the basic idea appears four times. Thus the former situation has a distinctly tighter and more integrated expression than the latter, whose looser organization is especially appropriate for subordinate themes (and, for that reason, is seldom found with main themes).

Weakening of tonic prolongation. Presentation function can acquire a loose expression if its supporting tonic prolongation is weakened or destabilized. The strongest and stablest prolongation features the tonic in root position, with subordinate harmonies located on weak metrical positions. This is what we find most often in the presentation phrases of tight-knit sentences.

A tonic prolongation can be weakened by inverting the prolonged harmony, placing the subordinate harmonies on metrically accented positions, or undermining the prolongation with a dominant pedal. Example 12.1, mm. 14–17, illustrates an opening prolongation of tonic in first inversion.

> **Example 12.4: the presentation phrase ends up prolonging a root-position tonic, but that position does not appear until the very end of the prolongation (m. 27). Further weakening is created by the metrical emphasis of dominant harmony on the first bar of the basic ideas.**

A tonic prolongation can be significantly weakened if all the constituent harmonies of the progression are placed over a dominant pedal (in the bass voice), one that continues from the end of the preceding transition.

In such situations, the listener can experience the sense of two prolongations, on different hierarchical levels of the passage—a tonic prolongation at the lower (foreground) level and a dominant prolongation at a higher

(middle-ground) level. An instance of this technique has already been discussed and illustrated in connection with Example 9.3, mm. 21–24.

Continuation Function

In a tight-knit main theme, continuation function is usually fused with cadential function to make a single continuation phrase. In the context of a looser subordinate theme, the same form-functional fusion may take place (see Exs. 12.4, mm. 31–35; and 12.5, mm. 28–30, 44–48).

More typically, however, the functions of continuation and cadential are accorded their own distinct groups, as defined by melodic-motivic content, rhythmic patterning, accompanimental figuration, and so forth. Thus a continuation phrase (or group of phrases) within a subordinate theme often does not end with a cadence, which is saved for a phrase (or group of phrases) of uniquely cadential function.

Continuation function achieves its looser expression primarily by means of *extension*; that is, the constituent units (usually fragments) are repeated a greater number of times than would be necessary to express the function. Model-sequence technique is especially suitable for extending continuation function, as seen in Example 12.1, with its complete circle-of-fifths sequential progression in mm. 18–21.

Another way for the composer to extend continuation function is to delay fragmentation by creating units of repetition that are initially the same size as those found in the presentation. In the absence of fragmentation, the sense of continuation must be expressed by other characteristics, such as acceleration of harmonic change, quicker surface rhythms, or harmonic sequence. Fragmentation can then appear somewhat later within the continuation, sometimes in the context of another distinct phrase, thus extending the function.

Example 12.3: the continuation begins at m. 34 with a new 2-m. idea, which is then repeated exactly. Because the prevailing 2-m. unit size is not reduced, we cannot speak of fragmentation at the beginning of the continuation. Compared with the presentation, however, the continuation immediately accelerates the rate of harmonic change.

Fragmentation eventually occurs with the change of material at m. 38, and thus continuation function is extended into this new phrase. At the same time, m. 38 marks the onset of a cadential progression, and so the new phrase fuses continuation and cadential functions.

Thus within the theme as a whole, continuation function is sufficiently extensive to embrace two distinct phrases, the final one serving cadential function as well.

Extension of Cadential Function

Most cadential extensions occur when a promised perfect authentic cadence fails to materialize, thus motivating the appearance of one or more cadential units to effect the requisite closure. The expected PAC can remain unfulfilled if in its place the composer writes an IAC. A cadential deviation—a deceptive, evaded, or abandoned cadence—is even more typically used to extend cadential function (see Chap. 5 for a review of these cadential deviations).

Although the techniques just described may involve extending cadential function only, continuational material is frequently implicated as well. Following the failure to realize the implied cadence, the subsequent music may bring back a prior continuation, or even introduce a new one, before leading to cadential material, which again attempts to close the theme. (Rarely does an initiating function, such as a presentation or compound basic idea, follow directly on an unrealized PAC.)

Imperfect authentic cadence. Since a subordinate theme is required to close with a PAC in the subordinate key (any exception to this rule calls for special explanation), the appearance of an IAC signals that the theme has not yet reached its true end. Typically in such cases, the preceding phrase (be it continuational or cadential) is repeated, leading then to a PAC. This situation is clearly illustrated in Example 12.2 at m. 76; the repeated phrase is itself subjected to further extension and expansion.

FOCUS ON FUNCTION

Antecedent-Consequent Relationships. *When a phrase ending with an IAC is repeated to close with a PAC, a certain sense of antecedent-consequent functionality is expressed.*

The resulting structure should not normally be considered a period, *however, since the passage in question does not function as a self-contained, tight-knit theme (and seldom contains other characteristics of a true antecedent or consequent phrase, such as a 2-m. basic idea followed by a 2-m. contrasting idea).*

Moreover, the phrase ending with the IAC sometimes elides with the beginning of the following phrase, a situation that does not obtain with a genuine period.

Deceptive cadence. Now and then, a subordinate theme brings a *deceptive cadence* in place of an expected authentic cadence. Like the case of closing with an IAC just discussed, the ongoing phrase is usually taken up again and leads to a final PAC.

Example 12.5: starting at m. 44, a continuation phrase promises to close with a PAC on the downbeat of m. 48. A deceptive cadence ensues instead, and the continuation begins to be repeated. The enormous expansion of pre-dominant harmony that follows is discussed below.

EXAMPLE 12.5   Mozart, Piano Sonata in C minor, K. 457, i, 23–59

(continued)

EXAMPLE 12.5 *Continued*

Evaded cadence. The most common way of extending cadential function in a subordinate theme is through the use of an *evaded cadence*, in which the prevailing harmonic and melodic processes (often accompanied by distinct rhythmic and textural ones) fail to reach their projected goal.

More specifically, the musical event that directly follows the cadential dominant is perceived to group with subsequent material, not with the material leading up to that dominant. The event that appears when the cadential dominant progresses to another harmony does not sound like a structural end, but rather like a new beginning. The music supported by the cadential dominant is thus left "hanging in the air" without a sense of formal resolution (although the dominant may well receive harmonic resolution, say, to tonic).

The sense of cadential evasion can be projected by many factors. For example, a distinct change in texture, dynamics, and accompanimental patterning often helps mark a new beginning.

Moreover, the melodic line is usually interrupted in its projected resolution to the tonic (or, rarely, third) scale degree. Indeed, the melody often leaps back up to the fifth scale degree in order to start another descent toward the tonic in subsequent cadential passages. At other times, the melody moves to the tonic degree, but one that lies in a different register, so that the normal stepwise resolution is avoided. Even if the melody resolves as expected, the sense of evaded cadence may still be projected by a variety of other musical forces.

In most evaded cadences, the cadential dominant moves to I^6, which is appropriate because the inverted form of the tonic prohibits the listener from construing a true cadence at that point. Moreover, the I^6 can then easily function as the beginning of another cadential progression, one that may be evaded again or may finally bring an actual cadence. In order to lead more smoothly into the I^6, the cadential dominant may move to V^4_2 just prior to the cadential evasion.

Example 12.6: measure 25 sees the appearance of a short cadential progression to close a second subordinate theme, which began at m. 20. Both the melody and bass lines are clearly heading for the tonic scale degree at the downbeat of m. 26. But the cadence is evaded when the bass leaps down to the third scale degree to

bring tonic in first inversion. The dramatic change of dynamics and texture, combined with the sudden shift to the minor mode, creates the impression of a new beginning, despite the melodic resolution to the tonic scale degree.

The material following an evaded cadence is sometimes new, as in the preceding example. Frequently, however, the composer employs the "one more time" technique (see the text box in Chap. 5, p. 143) by repeating previously heard ideas and leading them again to a potential cadence. Another evasion may occur, or else genuine cadential closure finally results.

EXAMPLE 12.6   Haydn, String Quartet in B minor, Op. 64, No. 2, i, 13–34

EXAMPLE 12.6 *Continued*

Example 12.7: a cadential idea beginning in m. 58 is evaded at the downbeat of m. 60. The subsequent material obviously represents a return to the beginning of m. 58 to run through the cadential idea "one more time." The PAC is eventually achieved on the downbeat of m. 62.

EXAMPLE 12.7   Haydn, Piano Sonata in C, H. 35, i, 36–67

(continued)

Most cadential evasions employ a I^6 to thwart the expected resolution of the cadential dominant. But an evaded cadence can also arise if that dominant is followed by other harmonies, including some built on the sixth degree of the scale (VI, IV^6, and even VII^6/V).

A cadential evasion can occur even if the cadential dominant moves to a root-position tonic, as long as there is sufficient disruption of melody, texture, dynamics, register, and so on to counter our perceiving a structural end when the I chord appears. In such cases, the "one more time" technique can sometimes be helpful in projecting the sense of cadential evasion. As soon as we hear previous cadential material starting over, we realize that a cadential arrival has not yet occurred.

Example 12.8: the subordinate theme promises to close with a PAC on the downbeat of m. 88. But even though a root-position tonic appears at that moment, this harmony seems not to represent the "end" of the prevailing thematic processes. Rather, we have more the sense of a cadential evasion and a return to an earlier moment—namely, the downbeat of m. 84—for a "one more time" repetition of the cadential phrase, which finally closes with the PAC at m. 92.

EXAMPLE 12.8   Beethoven, Piano Sonata in A, Op. 2, No. 2, i, 58–116

(continued)

EXAMPLE 12.8 *Continued*

THE PERFORMER'S ROLE

In some situations of potential formal ambiguity, the performer can play a decisive role.

In Example 12.8, the pianist can help project the sense of cadential evasion by making sure not to allow the root-position tonic at the down-beat of m. 88 to sound like the goal of the prevailing phrase. Instead, a slight breath (Luftpause) before the tonic can help make it sound like a new beginning.

Abandoned cadence. A genuine cadence can fail to materialize if the cadential root-position dominant is inverted, or even eliminated. In this way, a promised cadence becomes *abandoned*. (See again Chap. 5, p. 132.)

Cadential function can be abandoned in a number of ways. Sometimes the dominant may initially appear in root position, as expected, but then be altered to a first or second inversion before resolving to the tonic. Another possibility is for an expected cadential dominant to appear initially in inversion. Finally, dominant harmony may be omitted entirely.

AN IMPORTANT EXCEPTION

The idea that inverting the cadential dominant normally gives rise to an abandoned cadence has one important exception: in the case of an evaded cadence, it sometimes occurs that the root-position dominant moves to its "third" inversion (V_2^4) before proceeding on to I^6, to create the evasion (see, for instance, Ex. 9.3, m. 36).

In this situation, the chordal seventh in the bass voice can be explained as a "passing tone" and the V_2^4 can be understood as an embellishment of a root-position dominant.

In other words, this situation doesn't engender the impression of a substantial change of position normally associated with an abandoned cadence, and so we can still recognize the sense of an evaded cadence. (See also the text box "An Exception to the Rule," in Chap. 1).

Following an abandoned cadence, the music typically acquires a *new* continuation function. (A sense of "one more time" technique tends not to be associated with cadential abandonment.) At some point, however, a genuine cadential progression appears, which eventually leads to a PAC.

Example 12.6: following the evaded cadence on the downbeat of m. 26, an expanded cadential progression begins with I^6 and leads to a pre-dominant Neapolitan sixth. The radical reduction of texture at m. 28 makes a precise harmonic analysis difficult, but this measure can likely be construed as VII^7/V (the notated A♭ is heard enharmonically as G♯), thus continuing to prolong pre-dominant harmony.

The following measure (likely interpreted as VII_5^6/IV) breaks away from the cadential progression, and by the time harmonic clarity is restored at m. 31, the dominant seventh appears in first inversion and thus cannot function as a cadential harmony.

Thus the cadential function initiated with the I^6 at m. 26 is abandoned and is restored only with the appearance of the pre-dominant II^6 at m. 32. Then a new expanded cadential progression finally reaches closure on the downbeat of m. 34.

> ### AESTHETIC EFFECT OF CADENTIAL EXTENSION
>
> *The techniques of cadential extension just discussed give rise to very different aesthetic effects.*
>
> *The use of either an IAC or a deceptive cadence provides a temporary goal to the theme, albeit one that is insufficiently conclusive. We know that more has to happen, but at least some sense of closure has occurred (more so with the IAC than with the deceptive cadence).*
>
> *The evaded cadence makes a considerably more dramatic effect: the imminent closure of the theme is thwarted at the last second and then quickly attempted again. The lack of any event representing formal closure, combined with the breaking off of a highly goal-directed process just before its completion, arouses a powerful expectation for further cadential action. This effect is particularly well suited to subordinate themes, since dramatizing the subordinate key is a principal aesthetic objective of the classical style. Establishing the subordinate key as a foil to the home key is made all the more effective if the struggle to gain its cadential confirmation is hard-won.*
>
> *The aesthetic effect of the abandoned cadence is much less dramatic, since the cadential progression loses its sense of direction, and the music tends to wander off somewhere else before returning on track toward another cadence. But the resulting formal loosening created by such cadential abandonment is pronounced and thus entirely appropriate for use with subordinate themes.*

Expansion of Cadential Function

Cadential function can be enhanced, often markedly so, by means of an expanded cadential progression (ECP), which supports one or more complete phrases within the theme. These phrases are typically characterized by distinct melodic ideas and accompanimental textures.

Such phrases are often exclusively cadential in function, since continuation function is usually featured in the preceding phrase. Now and then, however, a phrase supported by an ECP also contains some continuational elements (such as fragmentation).

The majority of expanded cadential progressions comprise all four harmonic functions (initial tonic, pre-dominant, dominant, and final tonic). Occasionally the preceding continuation concludes with tonic harmony and the cadential phrase then begins directly with a pre-dominant (see Ex. 12.1, m. 22).

In many simple expanded cadential progressions, no one harmony is given special emphasis over the others (see Exs. 12.1, mm. 22–26; and 12.3, mm. 38–41). Often, however, one of the harmonies leading to the final tonic is prominently expanded in relation to the others. If the cadential expansion

is sufficiently large, the entire progression may provide the harmonic support for several phrases, each having its own distinct melodic-motivic content.

Expansion of the dominant. The most easily recognizable case of prominent cadential expansion occurs when the dominant is considerably lengthened, thereby delaying as long as possible its resolution to the tonic. In most cases, the dominant is first sounded with its six-four embellishment, and this "dissonant" sonority usually receives the greatest expansion in the phrase, thus raising a powerful expectation for resolution to the five-three sonority.

The heightened dramatic expression inherent in a broad dominant expansion makes it ideal for use in operatic and concerto genres, but it is often found in the symphonic, chamber, and solo-sonata repertories as well.

> **Example 12.2: a simple expanded cadential progression supports the continuation phrase in mm. 71–77. Following the IAC, the repetition of the phrase leads to a highly expanded cadential six-four starting at m. 82.**
>
> **The same harmony continues to sound as a new phrase begins at m. 86, with the return of main-theme material. The cadential six-four doesn't resolve until the very last moment (m. 93) before the PAC.**

Expansion of the pre-dominant. The pre-dominant may, on occasion, achieve prominence in an ECP. In such cases, the composer typically employs a variety of pre-dominant harmonies in a single progression.

> **Example 12.5: following the deceptive cadence at m. 48, the repeat of the continuation phrase leads to an ECP at m. 51 that features a 6-m. expansion of the pre-dominant II^6 (further embellished by VII^7/V), which leads to the cadential six-four (m. 57) and the closing PAC (m. 59).**

Expansion of the initial tonic. The initial tonic of an ECP is usually placed in first inversion. Indeed, the classical composers often use the prominent arrival on I^6 as a cue for the onset of an ECP. When expanded, this initial tonic is frequently embellished by a neighboring dominant seventh in third inversion. This use of V^4_2 works especially well because of the voice-leading rule demanding its resolution to I^6.

> **Example 12.7: the first subordinate theme begins with a large expansion of the first-inversion tonic. I^6 is initially prolonged by conventional V^4_2 chords (mm. 36–39) and then is further expanded by a more complex succession of neighboring harmonies in mm. 39–40.**
>
> **The progression continues with the appearance of the pre-dominant II^6 in mm. 42–43 and concludes with root-position dominant resolving to tonic at m. 45.**

The overall harmonic support for the theme is therefore cadential. Of the component harmonies making up the cadential progression, the initial tonic receives the greatest expansion.

(The notion that this subordinate theme begins directly with a cadential progression, thus expressing cadential function at the very start of the theme, is discussed later in the section on "Beginning with Cadential Function.")

Internal Half Cadence (Dominant Arrival)

As has been said repeatedly, a subordinate theme must end with a perfect authentic cadence in order to fulfill one of its primary functions: to confirm fully the subordinate key, so that it can temporarily reign supreme over the home key.

Sometimes, a subordinate theme seems instead to end with either a half cadence or a dominant arrival. The goal dominant may be further prolonged by a postcadential standing on the dominant.

Although we recognize a certain sense of ending to the theme, we also know that a more conclusive PAC must eventually follow. Since more subordinate-theme material will invariably be heard, we can speak of an *internal half cadence* (or internal dominant arrival) in a single subordinate theme. (To simplify the rest of the discussion, all further references to internal half cadences assume the possibility of that cadence being replaced by a dominant arrival.)

WHY AN INTERNAL HC?

The appearance of an internal HC is often explained by how the transition ends.

If the transition is nonmodulating, then the absence of an emphasized subordinate-key dominant at the end of the transition can be rectified by an internal HC within the subordinate theme.

As well, if a modulating transition lacks an ending function, then the subordinate-key dominant is also left unemphasized as a cadential goal. Such a situation motivates a subsequent internal HC.

In other words, most sonata-form expositions feature a partial confirmation of the subordinate key through half-cadential closure at some point prior to the full confirmation by a PAC. This partial confirmation typically takes place at the end of a modulating transition. Failing that, the subordinate-key dominant most often finds its cadential articulation within the subordinate theme proper, in the form of an internal half cadence or dominant arrival.

There are two main strategies for how the subordinate theme proceeds following an internal HC: (1) a resumption of continuation or cadential function, which eventually leads to a final PAC; or (2) the establishment of a new basic idea in the context of an initiating function (such as a presentation) to begin the second part of a *two-part subordinate theme.*

Resumption of Continuation or Cadential Function

The idea of a half cadence "internal" to a single subordinate theme is well expressed when the cadential dominant is followed by further continuation. In the absence of any new initiating idea, there is little sense that another theme is beginning. The continuation eventually leads to a cadential unit of some kind to close the theme with a PAC. (See Ex. 12.9.)

In some cases, a new continuation is bypassed, and the internal HC is followed directly by a cadential function. (See Ex. 12.10.)

Example 12.9 (this excerpt is taken from a sonata-rondo form, but it illustrates the topic of internal HC especially well): a nonmodulating transition ends with an HC (m. 23) in the home key, D major, and a 3-m. standing on the dominant ensues. The subordinate theme then begins directly in the subordinate key of A major with a basic idea (taken from the main theme) sounding in the left-hand part. A repetition of this idea creates a presentation, whose subsequent continuation leads to an internal HC at m. 34 and ten measures of standing on the dominant.

When this internal dominant finally resolves at m. 44, the material that follows has more the character of a continuation than of a new beginning: the ideas are brought in 1-m. units, the prolonged tonic is placed in the less stable first inversion, and the triplets maintain the highly active rhythms introduced in the second part of the standing on the dominant. Sequential activity beginning in m. 46 further expresses continuation function, which culminates in the cadential idea of mm. 49–50.

EXAMPLE 12.9   Mozart, Piano Sonata in D, K. 576, iii, 22–50

EXAMPLE 12.9 *Continued*

EXAMPLE 12.10 Mozart, Symphony No. 36 in C ("Linz"), K. 425, i, 50–71

Example 12.10: the transition concludes without a clear sense of ending function in m. 53 when there appears at the upbeat to the following measure a new 2-m. basic idea, supported by root-position tonic of the subordinate key; the repetition of the idea creates a presentation phrase. A highly compressed continuation of a single bar (m. 57) leads to a large ECP, beginning with the pre-dominant II^6 and eventually continuing with another pre-dominant V$^6_5$/V at m. 64.

If the downbeat of m. 66 had brought the expected cadential six-four, then the ongoing ECP would have shortly cadenced with a PAC to close the subordinate theme. Instead, the harmony at that measure seems more like an *ultimate* dominant than a penultimate one, and so we have the sense of an internal HC eliding with two bars of standing on the dominant.

What follows at m. 68 is a new cadential phrase beginning with an embellished I^6, and the theme finally achieves closure with the PAC at m. 71.

Two-part Subordinate Theme

At times, the material that follows an internal HC sounds more like the beginning of another subordinate theme than the continuation of the ongoing one. Such a situation arises when the internal HC leads to a new initiating function, such as a presentation or compound basic idea.

Rather than speaking in these cases of *two* subordinate themes—one ending with an HC, the other with a PAC—it seems more theoretically sound to maintain the fundamental principle that all subordinate themes must close with an authentic cadence and to identify a single *two-part subordinate theme*.

Example 12.5: the lack of ending function for the transition (see the discussion of Ex. 11.20) motivates an internal HC and standing on the dominant (mm. 30–35). Measure 36 brings a new compound basic idea, whose repetition (mm. 40–43) creates a compound presentation.

This strongly initiating function could be taken as the start of a new subordinate theme (indeed, many theorists would identify here the beginning of the "real" subordinate theme of this exposition; see text box). But given that a thematic process in the subordinate key was clearly started back at m. 23 and led at first to an internal HC at m. 30, we can identify m. 36 as the beginning of the *second part* of a two-part subordinate theme.

TO BEGIN BEFORE HAVING ENDED

Most theorists and historians would probably see the subordinate theme of Mozart's C-minor Sonata (Ex. 12.5) beginning at m. 36. They would note, in particular, the prominent HC at m. 30, the standing on the dominant, and the medial caesura (downbeat of m. 34) as typical features marking the end of the transition.

This view, of course, ignores the fact that a genuine thematic structure—with clear beginning, middle, and ending functions—appears in mm. 23–35, one that resides fully in the subordinate key of E-flat major. In short, we can recognize here a structure that conforms to the requirements of a subordinate theme (except for not ending with a PAC, which is what motivates the "second" part to appear at m. 36).

> **To Begin Before Having Ended continued:**
>
> *What is surely problematic for many is the idea that a transition can "be over" without its having possessed a distinct "ending" function. We have to learn to accept, however, the possibility that something new can begin without there having been an ending to what precedes this new beginning.*
>
> *To be sure, such a situation creates a "disruption" in the formal syntax, but not necessarily a fundamental violation of the syntax. As an analogy, we could imagine a situation where a speaker begins a sentence but before actually completing it (even though its ending is implied) moves right on to start another sentence. There is a clear disruption to the initial sentence, but not necessarily a complete loss of comprehension.*

Other Forms of Dominant Expansion Within a Subordinate Theme

Not every passage involving an expansion of dominant harmony in a subordinate theme can be considered an internal HC and standing on the dominant. For this to happen, the dominant must be experienced as the *ultimate* harmony of an ongoing cadential progression.

For example, the dominant of an expanded cadential progression, such as that in Example 12.2, mm. 82–93, functions as a *penultimate* harmony, and so we would not recognize an internal HC in this subordinate theme.

And in some cases, a dominant that is neither ultimate nor penultimate may undergo major expansion within the theme without our speaking of an internal HC and standing on the dominant.

> **Example 12.8:** the harmony in the second half of m. 74 is the dominant-functioning VII$^6_5$. This harmony is then expanded for nine measures, after which the I^6 of m. 84 signals the onset of an ECP.
>
> Does the diminished-seventh chord of m. 74 mark a dominant arrival, and is the subsequent prolongation of that harmony a standing on the dominant? No, because m. 74 does not represent the harmonic *goal* of the previous progression. In a broad stepwise-ascending pattern in the bass (which starts at the very beginning of the subordinate theme), the VII$^6_5$ functions as a passing chord between I (m. 72) and I^6 (m. 84).
>
> The highly dramatic gesture associated with this expanded diminished-seventh chord cannot go unnoticed. The harmonic stasis on a dissonant sonority, combined with violent disruptions of dynamics and register, sets up powerful expectations for resolution, which is provided by the sixteenth-note flurry (mm. 84–85) of the ECP.

Subordinate-theme Group

We have just discussed how a two-part subordinate theme can give the impression of being two independent themes in their own right, except that the first does not end with a PAC. Situations of two-part subordinate themes, however, are relatively rare in the classical repertory.

By contrast, many classical sonata expositions, perhaps even the majority, contain multiple subordinate themes, *each of which ends with a PAC in the subordinate key.* We can speak in this case of a *group* of subordinate themes, just as we have already spoken of a group of main themes (see Chap. 10, p. 298). Typically, a subordinate-theme group consists of two themes. But many large expositions contain three or four subordinate themes.

The use of multiple subordinate themes is one of the principal means for the classical composer to enlarge the formal dimensions of the musical composition, for a greater number of loosening techniques can be employed there than would be possible in the confines of a single theme. Indeed how such loosening techniques are dispersed among the various themes of the group is usually of significant analytical interest.

TAMING THE TERMS

Labeling Multiple Subordinate Themes. *The functional relationship among multiple subordinate themes is difficult to define—and thus to label—since the individual themes can exhibit such a range of formal expression.*

As a result, we adopt here a more functionally neutral labeling system that simply numbers the themes according to their order of appearance. We thus speak of a "first" or "second" subordinate theme, without trying to characterize them any further.

This system, however, does have its pitfalls, especially in cases where a second or third subordinate theme clearly repeats the content (though possibly altered in some way) of a prior theme, as occurs now and then. Do we speak of a "repetition of theme number 1" or do we just respect the numbering system and speak of theme 2? There is no easy answer to this question, one that is raised again, with more specific details, in the text box "Counting the Themes" later in this chapter.

Boundary Processes

To maintain rhythmic continuity among multiple subordinate themes, the end of one theme may *elide* with the beginning of the next. That is, the final tonic of the PAC functions simultaneously as the initial tonic of the subsequent theme.

Example 12.8: the elided cadence at m. 92 is particularly effective in helping to reinvigorate the rhythmic activity for the second subordinate theme following the long note values of the pre-dominant and dominant harmonies of the ECP closing the first theme.

An even more typical means of promoting continuity between two subordinate themes occurs by means of an *accompanimental overlap*, where the

accompanimental figuration of a new subordinate theme enters at the same time as the PAC of the prior subordinate theme. The new theme, however, does not literally begin (as marked by its first "downbeat") until the measure following the PAC. A clear case of accompanimental overlap between a first and second subordinate theme can be seen in Example 12.6, m. 20.

Tight-Knit vs. Loose

In many subordinate-theme groups, each individual theme is relatively loose in its formal organization, though different loosening devices are usually distributed among the themes. For example, one theme might end with a series of cadential evasions, whereas a second theme concludes with a prominent expanded cadential progression. Or one theme might extend continuation function with model-sequence activity, whereas another significantly compresses the continuation.

Frequently, however, one of the themes in a group is significantly more tightly knit. This tight-knit theme often occurs in the first position with the group (especially with Mozart), so that the following theme (or themes) then effect a looser organization. Now and then, a tight-knit theme might stand between two looser themes in order to create a formal contrast within the group. And at times, the final theme might be more tightly knit than the others, thus imparting a distinctly "closing" quality to that theme. (The distinction between closing "theme" and closing "section" will be addressed shortly.)

EXAMPLE 12.11   (a) Mozart, Clarinet Quintet in A, K. 581, i, 42–79;
(b) rearrangement of harmonies in mm. 58–61

(continued)

EXAMPLE 12.11 *Continued*

(continued)

EXAMPLE 12.11 *Continued*

(continued)

EXAMPLE 12.11 *Continued*

Example 12.11: the subordinate theme is first constructed as a tight-knit sentence, whose continuation is compressed into three measures.

The theme begins to be repeated in m. 50 with the clarinet taking up the basic idea. But the change to the minor mode already signals what is to become a significantly looser organization. The music moves off in m. 54 toward a prominent tonicization of ♭VI and major cadential expansion (features to be discussed in greater detail below).

Example 12.8: a second subordinate theme begins in m. 92 with a 4-m. presentation whose repetition elides with the continuation, which closes with a PAC in m. 104. Although such repetition and elision effect a degree of formal loosening, the second subordinate theme as a whole is much more tightly knit than the first subordinate theme, with its chromatic sequences and cadential evasions.

MULTIPLE PERFECT AUTHENTIC CADENCES

The concept of multiple themes within a subordinate-theme group brings with it the notion that a sonata exposition will contain multiple perfect authentic cadences in the new key.

Is one of these PACs more important than the others? Some theorists have suggested that, as a general rule, the "first" SK: PAC is of greatest structural import, since it is the cadence that achieves the principal tonal goal of the exposition. (Hepokoski and Darcy, for example, refer to this PAC as the "essential expositional closure.")[4]

Other theorists focus on the highly dramatic cadential arrival that often occurs in the final subordinate theme (after a massive ECP, say) as the moment of greatest cadential articulation.

In this study, no distinction is made among the PACs as regards their "formal" or "structural" strength. From a purely syntactical point of view, all perfect authentic cadences are equally strong, in that they fulfill the necessary requirements for thematic closure.

From a rhetorical point of view, however, cadences can display a range of expression: some may seem rather weak and tame, others highly dramatic and assertive. There seems to be, however, no way to generalize about the various degrees of rhetorical strength or weakness that the multiple PACs of an exposition project. In some cases, the first cadence is rhetorically the strongest (as in Ex. 12.8, m. 92); in other cases, the final cadence has the greatest rhetorical strength (Ex. 12.11, m. 65); and sometimes the various cadences do not distinguish themselves as more or less strong or weak.

It is thus recommended here to take each subordinate-theme group on its own terms and analyze the various rhetorical differences among cadences ad hoc. In any event, we want to remember that from a formal perspective all PACs, no matter what their rhetorical expression, are structurally the same: each successfully closes its individual subordinate theme within the group.

Closing Section

Any thematic unit closing with a PAC can give rise to a postcadential *closing section*, which prolongs the tonic harmony achieved by the cadence and reinforces

the sense of cadential arrival. Since every subordinate theme is required to end with a PAC, the potential for the appearance of a closing section regularly arises.

In movements containing a single subordinate theme, the closing section immediately follows the cadence closing that theme. In movements containing a subordinate-theme group, the closing section follows the cadence ending the last theme of the group. Rarely is a closing section omitted from an exposition.

In this respect, subordinate themes differ from main themes, which only occasionally include a closing section. This difference is the result of the greater energy built up in the course of achieving the cadential goal of a subordinate theme, compared with that typically generated by a main theme.

Thus a subordinate theme (group) almost always demands a postcadential passage either to dissipate the accumulated energy or, sometimes, to sustain that energy even further beyond the actual moment of cadential closure.

The closing section of an exposition usually contains several codettas. Typically, the first is repeated and then followed by a second, which may or may not be repeated; a third may then also appear. In such cases, the subsequent codetta is usually shorter than the previous one, thus creating phrase-structural fragmentation within the closing section.

> **Example 12.8: the subordinate-theme group concludes with a PAC at m. 104. There elides a 4-m. codetta, which is repeated at m. 108 (with melodic overlap). A second codetta at m. 113 brings about fragmentation, and the final two chords (mm. 115–16) could even themselves be thought of as 1-m. fragments.**

Thanks to the fragmentation, a general sense of compression of musical material is usually expressed in a closing section, whereas the expansion of ideas is rare. (The closing section of Ex. 12.11, mm. 66–79, is thus exceptional in that the first 4-m. codetta is expanded to six measures upon repetition.)

The melodic content of most closing sections contrasts markedly with the cadential ideas closing the subordinate theme. The material usually consists of conventionalized scalar or arpeggiated patterns. On occasion, however, the codettas can establish more significant motivic references, especially when ideas from the main theme return to round out the whole exposition.

> **Example 12.7: the closing section begins at the upbeat to m. 63 with a 2-m. codetta clearly derived from the basic idea of the main theme (see Ex. 4.3). The codetta is immediately repeated, after which fragmentation brings a new 1-m. codetta devoid of motivic content.**

CLOSING SECTION VS. "CLOSING THEME"

Traditional theories of sonata form refer to a "closing theme," which directly follows the "second subject" and brings the exposition to a close. Unfortunately, the concept of closing theme is usually not defined with any precision, and the term tends to be applied indiscriminately to a range of formal contexts. (The theory of sonata form by Hepokoski and Darcy also develops a notion of closing theme, and the definition of where it arises— namely, after their "essential expositional closure"—is more rigorously formulated than most other accounts.)[5]

In light of the formal categories established in this study, what is traditionally called a closing theme *can most often be identified as either a true subordinate theme (usually the last of a group) or a collection of codettas, what we have here termed a closing* section.

Indeed, it is not normally possible to identify a specific thematic function that can be considered closing, as opposed to a subordinate theme. For this reason, the notion of closing "theme" is not adopted in this study.

False Closing Section

Within a subordinate-theme group, a true closing section appears only after the final theme of the group.

The PAC of any of the prior themes, however, may be followed by material with the prominent characteristics of a codetta (such as a tonic pedal, a prolongation of the tonic scale degree in the soprano voice, a generally recessive dynamic; see Chap. 5, p. 147). The subsequent development of this material, however, is revealed retrospectively to function as the beginning of a new subordinate theme.

In most cases, the codetta-like idea can be reinterpreted as a basic idea, whose repetition creates a presentation phrase. We can thus say that the new theme begins with a *false closing section*, a situation we have already encountered as a possible strategy for the beginning of a transition (see Chap. 11, Ex. 11.8).

Example 12.6: the first subordinate theme (to be discussed in greater detail below) ends with a PAC in m. 20. The following idea has the character of a codetta, as expressed by the tonic pedal and the octave descent from the tonic scale degree in the melody. Subsequent fragmentation over the tonic pedal further suggests a closing section.

When the bass line starts to become more active in the second half of m. 23, however, we realize that a more fully developed thematic unit is in the making, and the evaded cadence at m. 26 destroys any lingering sense of a closing section. We thus reinterpret the implied closing section as "false" and recognize the establishment of a new basic idea, followed directly by continuation function, to launch a second subordinate theme.

On occasion, an exposition does not contain a closing section. Instead, a false closing section appears, which is extended into becoming a genuine subordinate theme (the last of the group) through the addition of continuation and cadential functions. The resulting theme tends to be relatively tight-knit.

Retransition

The final codetta of the closing section is sometimes followed by a *retransition*, a passage that functions to bring the music back to the home key and lead smoothly to a repeat of the exposition.

The material of the retransition sometimes grows directly out of the final codetta (see Ex. 12.14, mm. 60–61). At other times, the content of the retransition is quite different from the closing section. On occasion, the retransition anticipates main-theme motives in order to prepare for the repeated exposition.

Finer Points

A variety of compositional techniques are regularly employed to loosen the formal organization of a subordinate theme. The next sections highlight some of these additional loosening devices.

Omission of Initiating Function

A subordinate theme can acquire a significant sense of formal loosening by giving the impression of starting *in medias res* (literally, "in the middle of things"). In some cases, the theme starts with a continuation or cadential function instead of a standard initiating function (such as a presentation or compound basic idea). Another possibility is for the initiating function to be replaced with a standing on the dominant built over that harmony from the end of the transition.

FOCUS ON FUNCTION

Intrinsic vs. Contextual Functionality. *The notion of a theme "beginning" with a medial or concluding function poses a theoretical conundrum. How can a passage be a continuation if it is not preceded by some other material that it "continues"? How can a phrase appearing at the beginning of a theme be cadential if there is no other earlier phrase that is being "closed"?*

Since formal functionality essentially involves how music expresses its logical location in a temporal spectrum consisting fundamentally of beginnings, middles, and ends, the idea that a middle (continuation) or an end (cadential) can serve to articulate a structural beginning seems, on the surface, absurd.

(continued)

Focus on Function continued:

Yet one of the special properties of music is the capacity to express a sense of its intrinsic *temporal function independent of its* contextual *location. Because formal functions are so conventionalized, because they are so well defined by their specific characteristics, we can sometimes identify a given function without necessarily taking into account its actual position in a theme.*

To be sure, if the contextual placement of a given function is different from its intrinsic temporal expression—if a medial function appears as a beginning, for example—a kind of formal "dissonance" results. If the dissonance is carefully controlled, it may be suitable for expressing a loose organization. Too great a formal dissonance, however, can produce an illogical succession of formal functions.

Beginning with Continuation Function

The most effective way of expressing continuation function at the start of a theme is by means of sequential harmonic progressions, usually in connection with model-sequence technique.

Since the other continuational characteristics (fragmentation, harmonic acceleration, increased surface rhythm) create their most palpable effect in relation to an immediately preceding initiating function, they are infrequently used by themselves to begin a theme. They may, however, accompany the presence of sequential harmonies.

A continuation function replaces a true structural beginning most often with a second or third subordinate theme of a group. In this way, the start of the new theme can be understood to "continue" the subordinate group as a whole.

Example 12.7: a PAC in m. 45 closes the first of two subordinate themes. (The structure of the first theme is examined in the next section.) The second theme begins directly with a 1-m. model, which is sequenced by descending thirds. The 1-m. size of the model creates fragmentation in relation to the preceding 2-m. cadential idea (mm. 44–45). The theme can thus be said to begin with a continuation, bypassing a more conventional presentation (or other initiating function).

Example 12.8: the first of two subordinate themes begins with a shift to the minor mode (itself a loosening device discussed in a later section) and introduces a 3-m. model, which is then sequenced twice by the interval of an ascending minor third. A new 2-m. model (mm. 70–71) is then sequenced by ascending steps.

All this harmonic and phrase-structural instability is highly indicative of continuation function. Here, the effect of beginning with a continuation is especially bold because the function begins the *first* of two subordinate themes, and thus the theme group as a whole lacks a sense of structural initiation.

> The more tightly knit second subordinate theme, which was discussed above, emphasizes its own presentation function (by being repeated) and therefore compensates for the lack of formal initiation in the first theme.

Beginning with Cadential Function

A subordinate theme occasionally begins directly with an expanded cadential progression and thus projects a sense of that function, despite the lack of any previous material that the cadence would bring to a close.

> **Example 12.7:** as already discussed, the first of two subordinate themes is supported by a single ECP, and so one functional label—cadential—can be assigned to the theme as a whole.
>
> It must be acknowledged, of course, that the expanded I^6 starting this theme possesses a degree of harmonic stability. Therefore, in an overall cadential function the opening measures project a sense of structural beginning. Nonetheless, the 5-m. unit supported by I^6 cannot easily be identified as a conventional initiating function. Instead, the grouping structure more resembles a continuation than either a presentation or compound basic idea.

EXAMPLE 12.12   Beethoven, Piano Sonata in E-flat, Op. 31, No. 3, i, 46–53

> **Example 12.12:** the subordinate theme starts with tonic harmony in first inversion and progresses quickly to IV two measures later (m. 48). The pre-dominant harmony is further prolonged by subordinate chords in the following measure, after which dominant harmony underlies mm. 50–51.

Thus from its start, the theme is supported by an ECP, and we can experience the sense of a cadential function replacing a more standard initiation. Before reaching its end, the progression leads deceptively to VI at m. 52, after which a highly compressed cadence formula brings the theme to a close.

Beethoven's decision to begin this theme with cadential function was surely related to his adopting the same procedure for the main theme, shown earlier in Example 10.10.

Beginning with Standing on the Dominant

The boundary between transition and subordinate theme can become somewhat blurred when the dominant from the end of the transition is held over to provide harmonic support for a standing on the dominant at the beginning of the subordinate theme.

Such a standing on the dominant would not be followed by one of the standard initiating functions (presentation, compound basic idea), for we would then have the impression that the standing on the dominant belongs to the end of the transition and that the initiating function is the true structural beginning of the subordinate theme. Instead, the standing on the dominant at the structural beginning of the theme yields directly to continuation or cadential functions.

In most cases when a subordinate theme begins with a standing on the dominant, a marked change of melodic-motivic material helps indicate where the transition ends and the subordinate theme begins. Now and then, the transition has its own standing on the dominant that differs from the one beginning the subordinate theme, and this change of material helps clearly signal that a new theme is under way despite the retention of dominant harmony.

EXAMPLE 12.13 Beethoven, String Quartet in D, Op. 18, No. 3, i, 43–59

(continued)

EXAMPLE 12.13 *Continued*

Example 12.13: the transition contains a broad-scale model-sequence pattern, the last link of which is shown at the beginning of this example. (The cadential progression within the sequence creates a cadence of "limited scope.") The sudden change to triplet rhythms at m. 45 accompanies an expanded German augmented-sixth harmony, which leads to an HC on the downbeat of m. 47. The twofold repetition

of this half-cadential gesture (mm. 48–51) creates a standing on the dominant, the last event of the transition proper.

From m. 51 on, dominant harmony continues to sound, but the entry of completely new melodic-motivic material helps to signal that a subordinate theme may be in the making. After four bars of this new standing on the dominant, a 4-m. continuation phrase leads to a clear PAC in the subordinate key (m. 57), thus confirming our suspicion that a subordinate theme has begun at m. 51.

The highly symmetrical and compact organization of this theme renders it very tight-knit, even though a more conventional initiating function is replaced by a standing on the dominant. So we can expect that more subordinate-theme material will follow to loosen the form. And when the new standing on the dominant returns again at m. 58 to initiate a highly expanded repetition of the theme, we are fully convinced that the same dominant emphasis at m. 51 began a subordinate theme and did not belong to the prior transition.

STANDING ON THE DOMINANT VS. WEAK TONIC PROLONGATION

When considering subordinate themes that begin with a dominant pedal, it is necessary to distinguish cases of a genuine standing on the dominant, as seen in the previous example, from those in which the dominant pedal is used to undermine what is otherwise a prolongation of tonic harmony. The latter situation was considered earlier in connection with weakening the tonic prolongation of a presentation phrase.

The essential difference between the two situations lies in the nature of the prolongation implied by the melodic-motivic material:

- *If the material implies a tonic prolongation, we can speak of a presentation that becomes looser as a result of the dominant pedal (as discussed in connection with Ex. 9.3).*
- *If the material implies a dominant prolongation, we can speak of a theme that begins with a standing on the dominant (as in Ex. 12.13).*

Expanded Periodic Design

Antecedent and consequent functions occur less frequently in subordinate themes than do the sentential functions of presentation, continuation, and cadential. In some cases, one of the themes of a subordinate-theme group may take the form of a tight-knit period. Otherwise, when periodic functions appear, the antecedent usually retains its conventional size of four or eight measures, but the consequent is often expanded in order to create a looser organization.

Example 12.3: a second subordinate theme begins at the upbeat to m. 42 with a 4-m. antecedent phrase. The following consequent is expanded by means of an ECP in mm. 48–53.

Note that the opening motive of the new basic idea beginning this theme is derived from the contrasting idea of the main theme (see Ex. 3.12). Although the pitches and rhythm are clearly related, the new tonal context changes the scale-degree functions and thus obscures our hearing a direct connection between these ideas.

Expanded Repetition of a Subordinate Theme

If a complete subordinate theme, one ending with a PAC, first appears as relatively tight-knit, the theme will sometimes begin to be repeated and then undergo significant expansion to render it considerably looser in formal expression. This expanded repetition is especially likely if the original theme itself omits an initiating function. But even a tight-knit theme beginning with a normal initiation may receive an expanded repetition.

Example 12.7: the second subordinate theme, as discussed, begins at m. 46 with continuation function and quickly closes with a PAC at m. 50. Since this close seems so abrupt, it is no surprise that Haydn immediately takes up the same material again for what sounds like a repeat of the theme.

This time, however, it is more loosely organized, for the model and each subsequent sequence are extended by means of internal repetition. In addition, the cadential idea is evaded at m. 60 and repeated with "one more time" technique to bring a PAC in m. 62.

Example 12.11: the opening subordinate theme is relatively tight-knit in formal organization, closing with a PAC at m. 49. The theme begins to sound again, this time shifting into the minor mode. (The repeat of the basic idea is varied, but the basic melodic structure is evident enough.) The continuation is then extended (to explore more remote tonal areas) and the theme closes with an enormous expanded cadential progression.

COUNTING THE THEMES

As discussed in an earlier text box ("Labeling Multiple Subordinate Themes"), the situation of repeating a subordinate theme (and typically expanding it in the process) creates a dilemma for determining the number of subordinate themes in a group. Normally, that number should correspond to the number of PACs closing those themes.

But with Example 12.7, do we want to call the theme beginning at m. 51 "subordinate theme number 3" when it so obviously is an expanded repeat

(continued)

> Counting the Themes continued:
>
> *of subordinate theme 2? Likewise, in Example 12.11, it is surely convenient to speak of a single subordinate theme that is repeated (and expanded).*
>
> *In these cases, it seems more practical to show the motivic relationship between a theme and its expanded repetition by giving it the same "numerical label," even though the literal number of themes in the group may not be fully reflected by that label.*

Harmonic-tonal Loosening

The use of modal shift (moving from major to minor or vice versa), chromaticism, tonicizations of more remote regions, and modulation from one key to the next helps to promote formal loosening. These techniques are typically associated with subordinate themes.

Modal Shift

Almost all subordinate themes reside in the major mode; even in minor-mode movements, the subordinate theme usually lies in the relative major. Nonetheless, a change from major to minor is frequently encountered somewhere within a subordinate theme (or theme group).

Such a modal shift introduces a broader spectrum of pitches and pitch relationships and, similar to the use of chromaticism, creates a looser formal expression. That this modal shift can be considered a loosening device is confirmed by the general absenc e of this technique in tight-knit main themes.

Except at the final cadence of the theme (or theme group), a modal shift can take place anywhere in the theme; as a general rule, however, this technique tends to occur in connection with continuation function. Among the examples discussed in this chapter, modal shifts also can be found at the initial tonic of an ECP (see Ex. 12.6, m. 26) and at the beginning of an expanded repeat of a subordinate theme (see Ex. 12.11, m. 50).

A modal shift is particularly dramatic when it occurs at the beginning of the subordinate theme (see Ex. 12.8). No matter where the modal shift takes place, the major modality is ultimately restored, at least by the final cadence of the theme (or in the case of a theme group, by the cadence of the last theme).

Tonicization of Remote Regions

A shift to minor mode in the subordinate theme brings into play tonal regions, such as ♭III, ♭VI, ♭VII, and ♭II, that would otherwise be considered remote in a strictly major-mode context. The prominent tonicization of these regions is another loosening device typical of subordinate themes (but not of main themes).

Example 12.11: the repeat of the subordinate theme begins at the upbeat to m. 50 with a shift to the minor mode. A presentation phrase is followed by a continuation, whose descending-fifth sequential progression leads the music into the ♭VI region.

The following passage, beginning at m. 58, consists of an ingenious variation of an ECP, in which the typical bass-line ascent is actually found in the viola part. A rewritten version of this progression (Ex. 12.11b) inverts the chords to make the bass line more conventional. In this form, the augmented triad in m. 58 can be understood as a chromatic variant of the initial cadential tonic (thus the B♯, rather than the C♮ of the original notation). The following diminished-seventh sonority substitutes for the pre-dominant built over the fourth degree in the bass.

In Mozart's actual placement of these chords (Ex. 12.11a, mm. 58–60), we perceive that the sustained C♮ in the bass voice implies a prolongation of ♭VI throughout mm. 58–59, thus reinforcing the tonicization of that region. The diminished seventh VII⁶₅/V of m. 60 obscures any further sense of C major, but it is not until the arrival of the cadential six-four in the following measure that the music regains its tonal bearings firmly in the subordinate key of E major.

Example 12.8: the modal shift and ascending-third sequential progression at the beginning of the theme results in a tonicization not only of ♭III (of the normal subordinate key of E major) but also of a region that is a tritone removed from the key (B-flat major, effectively ♭III/♭III), which is the most distant possible tonal relationship.

Modulating Subordinate Theme

The most radical loosening of the subordinate theme by means of harmonic-tonal devices occurs when the theme begins in a key other than that in which it ends. Examples of such a *modulating subordinate theme* are seen most often in Beethoven and reflect this composer's greater use of more far-reaching tonal relationships than those employed by Haydn and Mozart.

In all cases of modulating subordinate themes, the goal subordinate key, that in which the theme closes with a PAC, is the dominant region of the home key. The key in which the theme begins can vary, but the submediant (VI) region in major-mode movements and the mediant (relative major) in minor-mode ones are usually favored. This initial key is already established by its dominant at the end of the transition.

Example 12.14: the unusual nature of the preceding transition—consisting of a single harmony V/VI—has been discussed in connection with Example 11.17. The expected resolution of the dominant would be to F minor, the normal submediant of the home key, A-flat major. But instead, a sudden *fortissimo* outburst heralds a surprising shift to the major mode and initiates a 4-m. model to begin the subordinate theme.

At m. 39, the model is sequenced down a fifth into B-flat (IV of VI), which functions as the pivot harmony (V) for the modulation to the true subordinate key, E-flat. The fragmentation in mm. 43–48 is supported by an expanded cadential I⁶. The rest of the cadential progression in mm. 49–50 brings the concluding PAC.

The use of a modulating subordinate theme makes perfect sense, given the complete lack of harmonic activity within the transition itself. As a result, a certain sense of "transition function" resides within the subordinate theme because of its modulating structure.

Following the PAC, Beethoven writes a long closing section (mm. 50–59) emphasizing root-position tonic. In so doing, he compensates for the complete absence of that harmony—and its attendant initiating function—within the structural boundaries of the modulating subordinate theme.

EXAMPLE 12.14 Beethoven, Piano Sonata in E-flat, Op. 31, No. 3, ii, 33–63

EXAMPLE 12.14 *Continued*

Thematic Introduction

As discussed in Chapter 5, a theme is sometimes preceded by a brief thematic introduction. In the case of a main theme, the harmony of the introduction normally emphasizes tonic (of the home key).

The structural beginning of a subordinate theme may also be preceded by a thematic introduction. In this case, the underlying harmony may be the dominant, which is prolonged from the end of the transition and resolved to the tonic at the beginning of the subordinate theme. The opening measure of Example 12.1 well illustrates this situation.

Another type of thematic introduction occasionally found with subordinate themes is created when tonic harmony (of the subordinate key) and a new accompanimental pattern start on the downbeat of the measure following the end of the transition; the basic idea then begins later in that measure, so that the downbeat of the next measure must be seen as the actual "first" bar of the theme. The openings of Examples 12.7, 12.8, and 12.11 illustrate this technique.

(It is interesting to observe that this latter type of thematic introduction is rarely encountered with main themes, although the opening of Mozart's Symphony No. 40 in G minor, see Ex. 6.21, is a notable exception.)

Obscured Boundary Between Transition and Subordinate Theme

Most sonata-form expositions (especially those by Mozart and Beethoven) feature an unmistakable demarcation of the transition and the subordinate theme; the transition clearly ends with an HC (or dominant arrival) and the subordinate theme begins with an obvious initiating function (presentation, compound

basic idea). The use of a medial caesura also aids in articulating the boundary between these two thematic functions.

In some expositions (especially by Haydn), the boundary between these functions is obscured. Such situations often pose difficulties of analysis, and in extreme cases it may not be possible to distinguish with certainty where one function ends and the other begins.

An obscuring of the boundary between transition and subordinate theme can arise out of three basic situations:

1. The transition lacks a concluding function.
2. The subordinate theme lacks an initiating function.
3. Both the transition's end and the subordinate theme's beginning are missing.

In the first two cases, it is still possible to recognize a clear boundary between the thematic functions if there are marked contrasts in melodic material, textural patterns, and rhythmic activity. If those contrasts are rendered less clear, an obscuring of the thematic boundaries becomes more evident.

Transition Lacks Concluding Function

The possibility of the transition lacking a concluding function has already been raised in Chapter 11, in connection with Example 11.20 (see also Ex. 12.5 in this chapter). There it was pointed out that for the boundaries to be clear, the subordinate theme needs to begin with a clearly defined initiating function that distinguishes itself fully from the transition. The new presentation that arises in mm. 23–26 of Example 12.5 is sufficiently distinct, and entirely stable, to signal the start of the subordinate theme.

In some cases, however, the sense of subordinate-theme initiation is less clear, as in the following example.

Example 12.15: the transition begins in m. 64 with a 4-m. presentation, whose constituent basic idea is taken directly from that of the main theme. The phrase is then repeated, but in the context of dominant harmony of the subordinate key, C minor. The phrase is repeated again (mm. 72–75), now supported by the root-position tonic of the new key.

The melodic material finally changes at m. 76, where a new 2-m. idea embellishes tonic in first inversion (by means of neighboring $\flat\text{II}^6$ and VII^6 chords, which suggest a potential descending stepwise sequence). After a repetition of the new idea, the implied sequence is fully realized in mm. 80–83. The sequence gives way to a cadential idea that is evaded at m. 86, at which point a repetition of the sequence finally leads to a PAC at m. 96, marking the end of the subordinate theme.

But where exactly did this theme begin? From a harmonic point of view, the root-position tonic at m. 72 is the only likely possibility, and indeed a 4-m.

presentation could be said to begin at that moment. From a melodic, rhythmic, and textural point of view, however, m. 72 stands right in the middle of various processes begun at m. 64, and the first real change to something new does not occur until m. 76. Indeed, the phrase beginning at that point can also be regarded as a presentation.

In a conflict between harmonic considerations on the one hand and melodic, textural, and rhythmic ones on the other, preference should normally be given to the powerful, form-defining role of harmony. Thus the prolongation of I in mm. 72–75 projects a stronger sense of formal initiation than the prolongation of I^6 in mm. 76–79. Moreover, since no point in this passage can be seen to articulate a genuine sense of "ending" for the transition, it is more logical and consistent to consider the transition to conclude in the subordinate key with dominant harmony (mm. 68–71) rather than with tonic (mm. 72–75).

To be sure, an interpretation of m. 72 as the beginning of the subordinate theme (with m. 76 marking the continuation function) emerges only in retrospect. In the "real time" experience of this passage, little besides the harmony suggests that this moment represents a structural beginning.

EXAMPLE 12.15 Beethoven, Piano Sonata in F minor ("Appassionata"), Op. 57, iii, 64–96

(continued)

Subordinate Theme Lacks Initiating Function

This topic was raised earlier in this chapter, where the possibility of "begin-ning" a subordinate theme with a continuation function, a cadential function, or a standing on the dominant was discussed and illustrated. In all of the cases cited (Exs. 12.7, 12.8, 12.12, and 12.13), sufficient contrast with preceding mate-rial made it self-evident that the start of the subordinate theme distinguishes itself from the preceding transition, which ended with its own standing on the dominant.

In the absence of a strong contrast of texture and rhythm, however, the boundary becomes more obscure.

Example 12.6: the beginning of this subordinate-theme group is especially dif-ficult to determine because little in the way of any rhythmic, textural, or dynamic change helps articulate the boundary between the transition and the first subor-dinate theme.

> After the transition arrives on the dominant of the subordinate key (downbeat of m. 15), a new melodic idea, featuring a chromatic stepwise descent, prolongs the half cadence by means of another half-cadential progression. This idea begins to be repeated at the upbeat to m. 17 and is further extended by fragmentation and descending six-three chords in a way that suggests continuation function. A brief cadential idea then closes the theme with a PAC at m. 20. The "false closing section" that follows is a further signal that a subordinate theme has reached closure at that point.
>
> The only viable place to identify the beginning of a subordinate theme is with the standing on the dominant in the middle of m. 15.

Example 12.6 is perhaps subject to a different interpretation. Rather than finding the standing on the dominant to mark the beginning of the subordinate theme, we might rather see this dominant emphasis as analogous to an "internal HC and standing on the dominant" found in the middle of a subordinate theme, with the following continuation or cadential materials marking a "resumption" of ongoing subordinate theme processes.

In this situation, we could understand that what would normally be two events—an HC as ending the transition and an HC as internal to the subordinate theme—conflate into a single event. And what results can be described as a *fusion* of transition and subordinate-theme functions. In such cases of form-functional fusion, it is not possible to find an appropriate initiating moment for the subordinate theme, even in retrospect.

> Example 12.16: the home-key dominant of mm. 47–52 marks the end of what we might first hear as a simple nonmodulating transition. But when the next passage, beginning at m. 53, continues on in the home key, we reinterpret the previous unit as the first part of a two-part transition.
>
> The second part modulates quickly to the subordinate key and would seem to end with an HC at m. 61 and the subsequent standing on the dominant. When that harmony resolves to tonic at m. 66, the new music is supported quite clearly by cadential progressions all the way to the PAC at m. 74. Such expanded cadential activity is typical of subordinate-theme function. The question of where that function begins, however, is difficult to answer.
>
> Unlike some subordinate themes that truly begin with cadential function, the music from m. 66 onward expresses little sense of initiation if any, and thus it is difficult to hear this point as the beginning of a discrete subordinate theme. Rather, this cadential unit seems to arise in a way that strongly resembles an internal HC and standing on the dominant, which is then followed by the resumption of a cadential phrase (see Ex. 12.10, mm. 66–71). The passage from mm. 53–74 appears, therefore, as a single unit, one that fuses transition and subordinate-theme functions.

EXAMPLE 12.16   Haydn, Symphony No. 93 in D, i, 46–77

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A tip on analytical notation: when encountering cases of form-functional fusion at the thematic level (for example, involving transition and subordinate-theme functions), it isn't always possible to determine just where the first function ends and the second function begins. For that reason, there is no clear spot on the score where the second functional label can be positioned. (At which measure would we place the label for "subordinate theme" in Ex. 12.16?)

The annotation method proposed here (and shown in the preceding and following examples) is to label the beginning of the thematic unit in question with both functions, thus *transition/subordinate theme*, with the slash (/) indicating the *fusion* of the two functions within the single unit.

No Boundary Markers Between Transition and Subordinate Theme

In a small number of situations, we encounter a sonata-form exposition in which we cannot identify either a clear concluding function for the transition or an initiating function for the subordinate theme. Yet essential elements of both functions are nonetheless present (thus permitting us even to identify an exposition).

Transition function is expressed by a modulation to the new key, and subordinate-theme function is expressed by perfect-authentic closure in that key. As well, the kinds of cadential extensions and expansions typically associated with subordinate themes are normally present.

In these cases, the concept of form-functional fusion comes fully into play; that is, we encounter what appears to be a single thematic unit embracing the two functions of transition and subordinate theme.

Example 12.17: the main theme closes with a PAC at m. 12. The next thematic unit begins with block chords (taken from the basic idea of the main theme), which quickly effect a modulation to the subordinate key of B-flat. (The label "presentation" is questionable here owing to the lack of tonic prolongation.) The progression IV^6–V^7 in mm. 16–17, which leads to a flurry of sixteenth-note activity, could potentially have marked a dominant arrival and standing on the dominant, especially if m. 19 had brought a new initiating basic idea to mark the beginning of the subordinate theme.

But as the music progresses, we learn that mm. 17–18 constitute a model that is repeated sequentially (down a fifth) in mm. 19–20, and thus continuation function is projected, one that is further extended by the new ascending-stepwise sequence in mm. 21–22.

The goal of the sequence is root-position tonic on the downbeat of m. 23, which yields to another passage of sixteenth-note scales. The marked sense of motivic and textural liquidation found in mm. 23–24 is highly suggestive of an expanded cadential function, and when the following measure brings the pre-dominant II^6, that impression is largely confirmed.

The cadential progression is briefly abandoned, however, when the V^4_2 on the last beat of m. 25 pushes the bass down to the third scale degree, supporting I^6, and a second, compressed cadential progression brings a PAC to close the thematic unit that began back at m. 13.

The cadential passage in mm. 23–27 is entirely typical of what would be found in the final phrase of a subordinate theme. As well, the powerful ascending sequential pattern of the two previous bars is probably better associated with a subordinate theme than with a transition: the sequence expresses the sense of fully "being in" the new key, unlike the kind of sequencing we normally find in a transition, which is largely responsible for effecting the modulation. (Here, on the contrary, the music modulated to the new key as far back as m. 15, as shown in the harmonic analysis.)

In short, the whole thematic unit begins clearly as a transition at m. 13 but ends as a subordinate theme (m. 27). Just where one function ends and the other begins is not definable, since there is no clear functional articulation of these boundary moments. Transition and subordinate-theme functions thus fuse into a single unit.

EXAMPLE 12.17 Mozart, Violin Sonata in E-flat, K. 380, i, 11–27

(continued)

EXAMPLE 12.17 *Continued*

Reviewing the Theory

Answer These Questions

1. What are some ways in which a subordinate theme may contrast with the preceding main theme?
2. By what means can an opening tonic prolongation of a subordinate theme become "weaker"?
3. What are the cadential requirements for all themes of a subordinate-theme group?
4. Why is an HC associated with a subordinate theme considered "internal"?
5. What are the basic requirements of a two-part subordinate theme?
6. What conditions give rise to an accompanimental overlap?
7. What harmonic-tonal processes help to loosen a subordinate theme?
8. What circumstances obtain when transition and subordinate-theme functions are fused?

True or False?

1. Periodic functions (antecedent, consequent) are frequently employed in subordinate themes.
2. Subordinate themes normally contain a variety of melodic-motivic material.
3. Within a subordinate theme, continuation and cadential functions frequently occupy distinct phrases.
4. Ending a cadential phrase first with an IAC and then restating that phrase with a closing PAC gives rise to a period form within the subordinate theme.
5. The most "dramatic" means of extending cadential function is through an abandoned cadence.
6. An internal HC can be motivated by a prior nonmodulating transition.
7. One of the themes in a subordinate-theme group may be tight-knit in its organization.
8. All perfect authentic cadences are of the same weight syntactically.

Multiple-choice Questions

Choose a letter (there may be more than one) that correctly answers the question.

1. The subordinate theme serves which primary functions?
   a. To loosen the formal organization
   b. To modulate to the new key
   c. To confirm the new key with a PAC
   d. To provide formal "balance" with the main theme
2. Which of these techniques can be responsible for loosening a subordinate theme?
   a. Ending the theme with a dominant arrival
   b. Weakening the opening tonic prolongation
   c. Extending the cadential function through evaded cadences
   d. Eliding the presentation with the continuation
3. A dominant arrival can result from which conditions?
   a. The dominant is followed by a standing on the dominant.
   b. The dominant appears initially as inverted.
   c. Dominant harmony is expanded within an ECP.
   d. The dominant includes a dissonant seventh.
4. What functional unit can substitute for the structural initiation of a subordinate theme?
   a. A continuation phrase
   b. A false closing section
   c. A cadential phrase
   d. A standing on the dominant

Examples for Analysis

Because of limitations of space, it is not feasible here to provide complete subordinate-theme groups. Instead, the examples given below use individual subordinate themes to illustrate various formal techniques. Instructors and students are encouraged to consult the complete expositions from which these examples are taken.

In addition to the excerpts given here, the following movements are especially recommended for the analysis of complete subordinate-theme groups:

- Haydn, Piano Sonata in E-flat, H. 52, i
- Mozart, Piano Sonata in F, K. 332, i
- Mozart, Piano Sonata in B-flat, K. 333, i
- Mozart, Violin Sonata in E minor, K. 304, i
- Beethoven, Piano Sonata in E, Op. 14, No. 1, i
- Beethoven, Violin Sonata in E-flat, Op. 12, No. 3, i

EXAMPLE 12.18 Beethoven, Piano Sonata in G, Op. 14, No. 2, i, 26–47. The excerpt shows the first of two subordinate themes. For the main theme of this exposition, see Example 2.13; the complete transition is shown in Example 11.25

(continued)

EXAMPLE 12.18   *Continued*

EXAMPLE 12.19   Haydn, Piano Sonata in E-flat, H. 49, i, 25–64. The excerpt contains the complete subordinate theme (or subordinate-theme group). For the main theme of this exposition, see Example 6.22; the complete transition is shown in Example 11.3

(continued)

EXAMPLE 12.19 *Continued*

EXAMPLE 12.20   Mozart, Violin Sonata in B-flat, K. 454, ii, 30–48. The excerpt contains the complete subordinate theme (or subordinate-theme group). For the main theme of this exposition, see Example 6.17; the complete transition is shown in Example 11.10

(continued)

EXAMPLE 12.20 *Continued*

EXAMPLE 12.21 Haydn, String Quartet in E-flat, Op. 33, No. 2, i, 12–32
(R = ½N). This excerpt begins toward the close of the main theme
and concludes at the end of the exposition

EXAMPLE 12.21   *Continued*

(continued)

EXAMPLE 12.21 *Continued*

EXAMPLE 12.22 Beethoven, Piano Sonata in F, Op. 10, No. 2, i, 19–55. The excerpt includes the subordinate theme (or theme group) but does not include the closing section, which begins directly after the end of the excerpt

EXAMPLE 12.22   *Continued*

EXAMPLE 12.23 Mozart, String Quartet in B-flat, K. 589, i, 25–45. The excerpt begins toward the close of the transition and concludes at the end of the first subordinate theme

EXAMPLE 12.24 Haydn, String Quartet in D minor, Op. 42, i, 13–33. The excerpt contains the subordinate theme (excluding the closing section). For the main theme, see Example 2.24; the transition is shown in Example 11.22

Development

The second large-scale section of sonata form is termed *development*. This central section, which stands between the exposition and the recapitulation, functions to generate the greatest degree of tonal and phrase-structural instability within the movement and thus motivates the restoration of stability that is accomplished by the recapitulation.

The Basics

Unlike the exposition, to which the listener can bring considerable expectation as to how it will be structured (namely, that it will contain the functions of main theme, transition, and subordinate theme), the development section is considerably less conventional in its formal organization. The listener can rarely know in advance just how a given development will be organized and just which material it will contain.

FOCUS ON FUNCTION

Development vs. Contrasting Middle. *In light of its formal placement and function, a development is a higher-level analogue to the contrasting middle of the small ternary form.*

Like a contrasting middle, a development features looser organization than its preceding section, emphasis on sequential progressions, avoidance of authentic cadential closure in the home key, and ending on dominant harmony (normally of the home key).

A development is distinguished from a contrasting middle, however, by its greater length and complexity of organization. Whereas a contrasting middle is a relatively short unit, a development can sometimes exceed the size of the entire exposition. If a contrasting middle rarely consists of more than a single thematic unit, a development usually contains multiple units. A contrasting middle often remains entirely in the home key; however, a development regularly explores other tonal regions.

Tonal Organization

The one relatively conventional aspect of a development involves its tonal organization. Beginning typically in the subordinate key, most development sections then spend some time exploring the "minor-mode" tonal regions of the home key and eventually return to the home key, ending there with dominant harmony.

The minor-mode regions of a major-mode home key are, in order of importance, the submediant (VI), the mediant (III), and the supertonic (II). The minor-mode regions of a minor-mode home key are the subdominant (IV) and the dominant (V). Recall that in a minor key, the dominant region is minor because tonicizable regions are based on the "natural" minor scale. (See again Fig. 9.1, which summarizes the key relationships within a sonata-form movement.)

If any one of these minor-mode regions is confirmed by cadential function of any kind, then we can speak of these as *development keys*. A development key is most typically confirmed by an HC, less often by an authentic cadence. A development key can even be partially confirmed by means of a cadential deviation (deceptive, evaded, or abandoned).

With its emphasis on minor-mode regions, the development section thus contrasts markedly with the exposition, which tends to reside largely in a major-mode subordinate key.

MAJOR-MODE DEVELOPMENT KEYS

Two exceptions arise to the usual situation of using minor-mode regions as development keys.

First, the major-mode subdominant region sometimes appears early on in the development, even to the extent of being confirmed as a true development key. In such a case, however, another minor-mode development key appears later in the development in order to provide modal contrast with the exposition.

A second exception is found in some cases where modal borrowing results in a wider range of development keys. Beethoven, who more than Haydn and Mozart expands the tonal spectrum in his works, often employs development keys borrowed from the parallel minor of the home key, such as ♭VI, ♭III, and ♭II. Although these are "major-mode regions," their close relationship to the parallel minor creates sufficient contrast with the keys of the exposition. Excerpts from Beethoven's Piano Sonata in G, Op. 14, No. 2, i, to be discussed later in this chapter (see Exs. 13.7, 13.8, and 13.13) illustrate such modal borrowing.

Phrase-structural Organization

The most common phrase-structural process associated with a development section is the *pre-core/core* technique.

Core

The *core* consists of these elements (in order):

- Establishment of a large-scale model, usually lasting four to eight measures
- Sequential repetition of the complete model, one or more times
- Fragmentation into smaller grouping units; the fragments themselves may be built as a model for sequential repetition or else express a general continuational function
- A half cadence (or dominant arrival) in either a development key or the home key
- A standing on the dominant

The core typically projects an emotional quality of instability, restlessness, and dramatic conflict. The dynamic level is usually *forte*, and the general character is often one of *Sturm und Drang* (storm and stress).

The core normally brings a marked increase in rhythmic activity projected by conventionalized accompanimental patterns (such as an Alberti bass or a murky bass), which imparts a kind of "chugging" effect. Polyphonic devices—imitation, canon, fugal entries—can contribute further to the complexity of the texture.

A particularly large development section may contain two cores. The first always ends in a development key, the second usually in the home key.

Pre-core

The *pre-core*, a passage of variable tonal and phrase-structural organization, arises at the very beginning of the development and stretches up to the onset of the core.

The pre-core may consist of one or two thematic units. Often, one or both of these units may remain *incomplete*, that is, lacking one of its full complement of functional elements, most typically, a concluding function.

The melodic-motivic content at the beginning of the pre-core is typically drawn from:

- The main theme's basic idea
- Codettas from the exposition's closing section
- New material, not found in the exposition

Melodic ideas from the transition and subordinate-theme group are rarely brought back in the pre-core, at least toward its beginning.

Multiple Cores

If a core of the development ends in a development key, then a *second* core may follow, this one closing with dominant harmony of the home key, in preparation for the recapitulation. A second core normally contains melodic-motivic material that differs from the first core.

Multiple cores are normally used in large-scale works; symphonic movements by Beethoven are especially likely to contain more than one core. For reasons of space, none of the examples in this chapter illustrate multiple cores, though the core shown in Example 13.3 is the first of two cores (the second one is not included in the example).

Retransition

If a development section contains a core ending in a development key, then a *retransition* may be added to bring the music back to the home key for the beginning of the recapitulation.

The retransition is typically a complete phrase or even a full thematic unit. Model-sequence technique may be found there in order to effect the modulation, but the model will be small (usually no larger than a single measure) so as not to give the impression of being another core.

Typical Formal Plans

Figure 13.1 illustrates three typical formal plans that can be found in a development section.
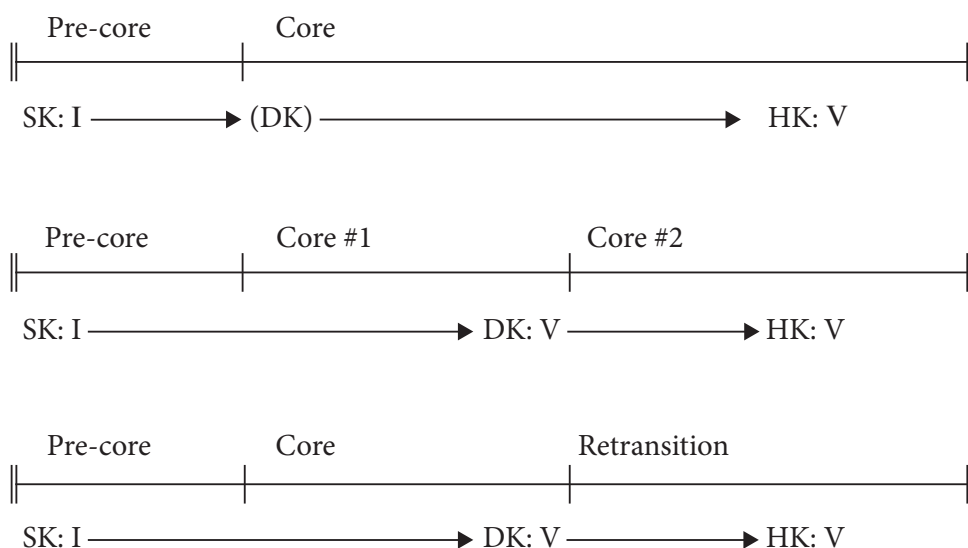
FIGURE 13.1   Typical formal plans

1. The first plan sees the use of a single core, one that leads to dominant of the home key.
2. The second plan shows the use of two cores; the first ends in a development key, the second back in the home key.
3. The third plan features a single core that ends in a development key, followed by a retransition that returns the music to the home key.

EXAMPLE 13.1 Mozart, Piano Sonata in A minor, K. 310, i, 50–81

(continued)

EXAMPLE 13.1 *Continued*

Example 13.1: the pre-core begins with material derived from the main theme (see Ex. 5.40). The phrase-structural organization is sentential, beginning in the subordinate key of C major and modulating, via an enharmonic reinterpretation, to the dominant of E minor, a development key of A minor, the home key. (An alternative interpretation of the phrase structure will be presented later in the chapter.)

The half cadence ending the pre-core elides with the beginning of the core, which sets up a 4-m. model (mm. 58–61) of *Sturm und Drang* character. The model is sequenced twice down a perfect fifth (mm. 62–65 and 66–69).

Fragmentation occurs at m. 70 with a new 1-m. idea, which itself becomes a model for sequential repetition, now by stepwise descent. (Although the pattern of

sequential repetition changes, the underlying harmonic progression continues to be that of descending fifths.) Measure 73 sees further fragmentation into one-beat units, and a cadential progression brings a home-key HC in the following bar.

A postcadential standing on the dominant ensues, leading eventually to the recapitulation at m. 80.

ANALYZING A DEVELOPMENT SECTION

In confronting a development section, your first step should be to see whether it uses pre-core/core technique. To do so, it is necessary in the first instance to identify a core. So you should look first for the establishment of a large-scale model, usually four to eight measures long, which is sequenced at least once.

Then look toward the end of the core to find the HC (or dominant arrival) that marks the structural end of the core. The final boundary of the core occurs at that point where the standing on the dominant plays itself out.

After determining the presence of a core, return to the beginning of the development section in order to analyze the pre-core, which will stretch up to the beginning of the core.

Move, then, to later portions of the development. If the core that you first identified closes in a development key, observe whether there is a second core or a retransition, either of which would bring the music back to the home key.

If you can't identify a core, then you will have to consider some other options for the organization of the development, a number of which are discussed in later sections of this chapter.

Let's Practice

EXAMPLE 13.2 Mozart, Violin Sonata in B-flat, K. 454, ii, 49–74

(continued)

EXAMPLE 13.2 *Continued*

Example 13.2: answer these questions (the main theme is shown earlier in Ex. 6.17; the transition, in Ex. 11.10; and the subordinate theme, in Ex. 12.20).

1. In which measure does the core begin?
2. The model of the core resides in which measures? Hint: the model itself ends with a PAC of "limited scope" (see Chap. 5, p. 155), which elides with its repetition.
3. The model is sequenced in which direction and by what interval? What harmonic technique does Mozart use to effect the move from one tonal region to the next?
4. Which measure brings the onset of fragmentation? What is the size of the fragments?
5. The pre-core begins in which measure? In which measure does it end?
6. What is the phrase-structural organization of the pre-core?
7. In which measure does the development reach its *structural* end? By what means?
8. Does the development conclude with a standing on the dominant?

More Details

Melodic-motivic Material

The melodic-motivic material of a development normally derives from that of the exposition. This material is often subjected to significant variation, transformation, and recombination.

But new ideas may also appear. Mozart, in particular, likes to introduce melodies that have no obvious connection to the exposition.

Haydn, by contrast, generally restricts his developments to motivic and accompanimental patterns from the earlier section. Moreover, he sometimes brings back expositional material in the development in an order similar to that of the earlier section. Such developments illustrate well the concept of "rotational" form—the recurrent recycling of musical materials in a given order—stressed by Hepokoski and Darcy in their theory of sonata form.[1]

"DEVELOPMENT" AS MOTIVIC PROCESS

The term development *has at least two meanings. The first refers to the central section of a sonata form (and some other forms, as discussed in later chapters). That is the primary meaning used in this chapter.*

The second meaning involves the idea of "developing" motivic material, that is, the systematic manipulation and transformation of musical ideas. Of course, this sense of development can take place at any point in the

(continued)

"Development" as Motivic Process continued:

musical form, but writers have noted that such motivic work is particularly associated with the central section of sonata form, especially in Beethoven.

Other terms frequently found in the theoretical literature—"working out," "elaboration," and "free fantasia"—emphasize this aspect of the development section, as does the German expression Durchführung *(literally, "leading through").*

Core

With its emphasis on sequential organization, a core strongly projects the sense of "being in the middle." Indeed, the metaphor of "core" emphasizes its medial position, its placement within the "heart" of the form. In this sense, the core is strongly akin to continuation function: the opening part of a core, with its pervasive model-sequence technique, often appears as a magnified continuation. And, as we will see, the core often follows directly after a presentational unit.

But the core as a complete formal construct consists of more than the model-sequence passages. It also embraces a functional conclusion, as articulated by a half cadence (or dominant arrival) and a postcadential standing on the dominant. In this sense, a core is comparable to other thematic units within the form, such as a main theme, a subordinate theme, and, most especially by virtue of how it ends, a transition.

The next sections elaborate in greater detail aspects of how a core can be structured. These points are illustrated by a set of examples that follow the general discussion.

SOME HISTORICAL BACKGROUND

Core, Development. *The term "core" (*Kern*) was first introduced by Erwin Ratz.[2] The entire discussion of pre-core/core technique presented in this textbook is highly inspired by Ratz, though many refinements, as well as some differences, are introduced. For example, Ratz does not consider the standing on the dominant to belong to the core proper.*

Schoenberg's treatment of the development (which he calls an "elaboration") attends more to issues of tonal flux and motivic play than to conventional techniques of phrase structure.[3]

Earlier theories of form are devoted almost exclusively to the idea of development as "motivic transformation" and say practically nothing about this section's phrase-structural organization.

The most recent treatment of development sections, by Hepokoski and Darcy, focuses largely on their notion of "rotational" form.

Model

The model of a core is constructed as a relatively long unit, normally four to eight measures. The model must be sufficiently large to project a sense of structural beginning, as well as to permit extensive fragmentation.

Now and then, a relatively short development section may contain a core built with a 2-m. model. Models that exceed eight measures are rare in the classical style, but see Example 13.5, discussed later, for a 10-m. model. (Beginning already with Schubert, however, and continuing on through Romantic and post-Romantic styles, the model can become an enormous, multipart unit.)

The model itself may contain repeated material, but because of the need to sequence the entire model, these internal repetitions cannot always be easily classified according to the standard types (exact, statement-response, and sequential). In the case of sequential repetition within the model itself, the composer must make sure that the larger-scale sequencing of the full model remains distinctly perceptible.

The melodic-motivic content of a model may be drawn from any previous material of the movement, or it may be new. If the model is quite long, it may contain a variety of ideas taking up a number of distinct phrases of differing formal function.

Sequence

Following its initial statement, the model is sequenced one or more times. Although a single sequential pattern may be used throughout (such as a descending fifth or an ascending second), the pattern often changes in the course of the core.

The structure of the model is normally retained in its sequenced version (see Ex. 13.1, mm. 62–65). Sometimes, however, the sequence alters the model, especially if it consists of several phrases. In such cases, the first phrase usually conforms to the original model, but subsequent phrases may be changed or eliminated.

If the model is large, even the first sequence may not be entirely complete, as was discussed in Chapter 9 in connection with Beethoven's Piano Sonata in F minor, Op. 2, No. 1 (see Ex. 9.6).

Fragmentation

Most cores produce an extensive process of fragmentation, which breaks down the grouping structure defined by the model (and its sequences) and eventually motivates a formal close to the core.

The passage of fragmentation may continue to employ ideas from the model or it may bring about a change in musical content. The fragmentation itself may even establish a new model for sequential repetition.

Now and then, however, the sequential process becomes exhausted at the onset of fragmentation (or sometime after that point), and the rest of the core is supported instead by prolongational progressions of the kind found in a regular continuation phrase.

Concluding Function

The great majority of cores have as their harmonic goal a *dominant* of either the home key or a development key. A core thus tends to end along the lines of a transition.

Most often, the fragmentation leads to an HC. Frequently, though, a genuine cadence fails to materialize, and a dominant arrival, sometimes a premature one, results instead. On rare occasions, the core leads to a distinctly new section (another core or a retransition) without being closed by any concluding function.

Sometimes a core ends with an authentic cadential progression in a development key. An actual authentic cadence may arise, or it may be evaded or abandoned, in which case cadential closure may not be achieved.

A HISTORICAL PERSPECTIVE

In most instrumental works of the high-Baroque style, almost every tonal region explored beyond the home key receives confirmation by means of a PAC.

With the rise of sonata form in the "pre-classical" (or "galant") era, that idea continued to find expression, and most of the thematic units of the development section close with a PAC in a development key, most typically the submediant (VI).

Eventually, composers of the high-classical style began to loosen the thematic units of the development (such as the core) by having them end with dominant harmony, usually in the form of an HC. Confirming a development key with an authentic cadence thus becomes the exception, rather than the norm, as was the case earlier in the 18th century.

Even further loosening, especially in the hands of Beethoven, led to replacing the HC with a dominant arrival, a technique seen more in later works of the classical era than in earlier ones.

Standing on the Dominant

The half cadence (or dominant arrival) closing a core is usually followed by a standing on the dominant. This postcadential unit is often highly extended by means of several distinct sections, each with its own melodic-motivic content.

If the standing on the dominant occurs at the end of the development, then anticipatory motives derived from the basic idea of the main theme often appear to help prepare for the beginning of the recapitulation.

Examples

The following examples illustrate the points just discussed in the previous sections.

EXAMPLE 13.3 Haydn, Piano Sonata in E-flat, H. 49, i, 84–107

Example 13.3: the first of two cores starts with a 4-m. model beginning on the second beat of m. 84; the model is sequenced twice by descending thirds. The model itself consists of a repeated 2-m. idea (taken from the first subordinate theme of the exposition; see Ex. 12.19, mm. 29–30) that is initially supported by a simple tonic prolongation (mm. 84–86).

In the manner of an exact repetition, the idea starts again on the local tonic, but m. 87 replaces an implied V^4_3 with V^4_3/VI in order to effect the descending-third sequence.

The final sequence of the model concludes at m. 96 on ♭II of the original development key (C minor), which pivots to become VI in the new development key of F minor (HK: II). A broad process of fragmentation then begins with a reduction of the previous 4-m. model into a new 2-m. unit (mm. 97–98) and a further reduction to 1-m. segments starting at m. 101.

The beginning of the fragmentation also ends the sequential activity, and the rest of the core is supported by prolongational progressions eventually leading to an HC (in F minor) at m. 103 and a subsequent standing on the dominant. A second core, not shown, follows immediately thereafter.

Example 13.4: the core begins at m. 72 with a 2-m. idea, whose melody and harmonic support are then transposed a third lower. On hearing this descending-third sequence, we might assume that the model is two measures long. But the sequential pattern is broken when the next appearance of the idea (m. 76) is transposed a fourth higher, followed again by a descending third.

A more consistent pattern of repetition emerges when we recognize the ascending-stepwise sequence of a 4-m. model. Note that when the melody of the 2-m. idea descends a third at mm. 74 and 78, the bass line ascends by a half step, thus blurring somewhat the sense of sequence at this level of structure. As a result, the broader ascending-stepwise sequence of the true model emerges with greater clarity.

Following the augmented-sixth chord in m. 80, the dominant of E minor (HK: VI) has the potential of being the goal harmony of the core. But the music presses on, and the tonic at m. 82 marks the beginning of a compressed cadential progression. The deceptive resolution of the dominant in m. 83 leads to another try at the cadence, which is then evaded when m. 84 brings back ("one more time") the same material as mm. 82–83.

The expected PAC is finally achieved on the downbeat of m. 86, which is followed by a brief closing section made up of codettas. All of this cadential and postcadential activity is typical of a subordinate theme, except, of course, that it takes place in a minor-mode development key rather than the subordinate key of the movement.

EXAMPLE 13.4 Mozart, String Quartet in G, K. 387, i, 72–87

(continued)

EXAMPLE 13.4 *Continued*

EXAMPLE 13.5 Mozart, String Quintet in E-flat, K. 614, i, 87–109

EXAMPLE 13.5 *Continued*

(continued)

EXAMPLE 13.5 *Continued*

Example 13.5: the model begins in m. 90 with an entirely new 2-m. basic idea in A-flat, the subdominant region of the home key. A-flat could also be considered VI of the upcoming development key of C minor (HK: VI), especially in light of its appearing first as a deceptive resolution of the V^7/VI harmony that underlies the pre-core, which is discussed later in this chapter.

The basic idea is then repeated exactly to create a presentation phrase. A second repetition (m. 94) begins, but the idea is suddenly liquidated as the harmony departs from the tonic prolongation (of A-flat). As a result, continuation function is clearly expressed. This function is further reinforced at the upbeat to m. 97 by fragmentation involving motives from the opening of the movement.

The new supporting V^6_5 eventually resolves at m. 100 to bring a stepwise-descending sequence of the entire 10-m. model, one that has a decidedly sentential organization. The presentation phrase of the model is sequenced a step lower at mm. 100–103. The harmonic plan is then altered in mm. 104–6 so that the continuation (mm. 107–9) is transposed down a fifth in relation to the original model. (The remainder of the core is not shown or discussed.)

EXAMPLE 13.6   Mozart, Symphony No. 36 in C ("Linz"), K. 425, i, 119–38

Example 13.6: the pre-core (to be discussed later) ends at m. 128 with a PAC in the development key of A minor (HK: VI). The model of the core (based on the retransition at the end of the exposition, mm. 119–22) then begins with an extended upbeat that maintains tonic harmony (of A minor). The rest of the model tonicizes IV in that key (mm. 130–33).

In the sequential repetition, the bulk of the model is sequenced down a step to tonicize III (in A minor; mm. 135–38). The extended upbeat (mm. 133–34), however, does not follow the sequential pattern. An exact sequence of this upbeat would have taken place in a G-minor harmony, a step lower than the A minor of the model.

But the appearance of G minor at this point would be awkward following directly on the D minor of the model. (The awkwardness would result because the D-minor harmony would sound like a "minor dominant" in relation to the following G-minor harmony.) Instead, Mozart retains D minor from the end of the model into the beginning of the repetition and brings an implied G harmony (VII$^4_3$/III) first at m. 135.

EXAMPLE 13.7 Beethoven, Piano Sonata in G, Op. 14, No. 2, i, 80–100

(continued)

EXAMPLE 13.7 *Continued*

[Retransition (with false recapitulation)]

Example 13.7: the core begins in m. 81 with a 5-m. model that is sequenced down a step at m. 86. Fragmentation occurs at m. 91 when the final idea of the model is itself repeated sequentially.

A further sequence begins at m. 93 supported by the dominant of E-flat major (HK: ♭VI). This harmony is then extended all the way to the fermata at m. 98, which marks the end of the core. In retrospect, we understand that the V at m. 93 is the harmonic goal of the core and thus marks a premature dominant arrival.

Pre-core

Now and then, the development section starts directly with its core. That is, a relatively large model for sequencing is established immediately following the exposition's closing section (or retransition).

More often, however, the dramatic character projected by a core usually requires it to be set up by material of lesser emotional intensity. This section, termed a *pre-core*, permits the composer to explore a variety of phrase-structural options before launching into a process of extensive model-sequence technique.

The pre-core typically begins with tonic of the subordinate key, thus retaining the harmony from the end of the exposition. The pre-core may then remain entirely in that key, or, more frequently, modulate to a development key for the beginning of the core.

Unlike the core's character of ongoing restlessness, the pre-core is generally more relaxed yet also somewhat hesitant and anticipatory. The dynamic level tends to be soft and the rhythmic motion is frequently discontinuous (or at least less active than the subsequent core). If the core often bursts out with *Sturm und Drang,* the pre-core can be likened to the calm before the storm.

The dynamic, rhythmic, and textural characteristics that distinguish the pre-core from the core thus parallel in many respects the difference between the main theme, with its discontinuities in these parameters, and the transition, which is more continuous.

Beginning the Pre-core

Whereas the core may draw on any ideas from the prior exposition, the opening of the pre-core is usually restricted to material derived from the basic idea of the main theme or from the closing section at the end of the exposition. Rarely does the very opening of the pre-core refer directly to the transition or subordinate-theme group (Ex. 13.6 is an exception, discussed later in this chapter). Like the core, the pre-core may also introduce entirely new material.

Main theme's basic idea. In a sonata-form movement, the repetition of the exposition before the onset of the development forges a link between the end of the exposition and the beginning of the main theme. An effective variation on this original link can be created when the pre-core refers again to the main theme's basic idea, this time, of course, in a different tonal context.

> **Example 13.8: the return of the main theme's basic idea (see Ex. 2.13) at the beginning of the pre-core is marked by a change of mode. Our first impression is that the music has been shifted into the parallel minor of the home key. As the pre-core continues, however, we can better understand the G-minor region as VI in the development key of B-flat (HK: ♭III).**

EXAMPLE 13.8 Beethoven, Piano Sonata in G, Op. 14, No. 2, i, 64–82

EXAMPLE 13.8 *Continued*

Closing section material. Beginning the pre-core with material from the closing section of the exposition promotes a continuity of motive, rhythm, and texture from the end of that section into the beginning of the development.

> Example 13.9: the pre-core develops the right-hand motive ("x") in m. 62 of the closing section, thus creating an effective link between the exposition and the development. Yet the motive in m. 65 sounds different because it is metrically displaced to enter one beat earlier.

EXAMPLE 13.9 Haydn, Piano Sonata in E-flat, H. 49, i, 60–86

(continued)

EXAMPLE 13.9 *Continued*

New material. The beginning of the pre-core may feature material that is not obviously related to anything appearing earlier in the movement. Mozart particularly favors this approach; it is one rarely used by Haydn and Beethoven. Although the pre-core may give the initial appearance of being new, its motivic material may sometimes be understood to derive from earlier ideas through motivic transformation.

Example 13.2: on the surface the opening of the pre-core would seem to bring new material. But embedded within the melody at m. 50 is the opening motive of the basic idea, the ascending leap of a fourth and the stepwise descent (see Ex. 6.17), which is repeated with an expanded leap in the following measure. The texture also recalls the main theme. The rest of the pre-core is completely new.

Phrase-structural Organization

Pre-cores can be structured in a variety of ways, employing many kinds of formal functions. For the sake of classification, pre-cores can be differentiated at first as *complete* or *incomplete* thematic units.

A pre-core is formally complete if it contains a full complement of initiating, medial, and concluding phrase functions. Some pre-cores of this type resemble a new main theme because of their tight-knit construction; others resemble a transition because of their looser, modulatory organization. (A pre-core does not normally feature loosening techniques associated with a subordinate theme.)

An incomplete pre-core is made up of one or two phrase functions and usually lacks a concluding function of some kind; sometimes, however, a unit of formal initiation may be omitted.

A more complex pre-core can be constructed out of *multiple* thematic units, which themselves may be complete or incomplete.

Complete thematic unit: tight-knit pre-core. The pre-core may take the form of a relatively tight-knit sentence, period, or hybrid. By virtue of its placement at the very beginning of the development, a tight-knit pre-core is analogous to a main theme.

Indeed, such a pre-core is often based on material from the actual main theme of the exposition. In that case, the formal organization of the pre-core usually is somewhat looser than that of the main theme. The essential difference between the two units, however, is tonal: whereas the main theme resides in the home key, the pre-core either continues the subordinate key or is set in a development key.

A tight-knit pre-core is particularly common in the works of Mozart, but it sometimes appears in Haydn and Beethoven as well.

EXAMPLE 13.10 Mozart, Piano Sonata in B-flat, K. 333, i, 64–71

Example 13.10: the pre-core begins in the subordinate key with material derived from the basic idea of the main theme (whose appearance at the start of the reca-pitulation is shown ahead in Ex. 13.12, mm. 94–95). This material, together with

the remainder of the pre-core, forms an 8-m. sentence ending with a PAC in m. 71. Although this theme is relatively tight-knit with respect to grouping structure and functional efficiency, its greater use of chromaticism makes it looser than the original main theme.

Complete thematic unit: transition-like pre-core. A pre-core can be formed in a way that resembles a transition. The phrase structure is usually sentential, and the harmonic goal is the dominant of a development key.

Like most transitions, this type of pre-core is modulatory. Sequential progressions are often found here, but if they are used to support model-sequence technique, the model must be sufficiently small so as not to suggest the beginning of the core proper.

Example 13.9: a pre-core of polyphonic texture begins in the subordinate key with a basic idea extended to three measures (mm. 65–67). A large continuation featuring model-sequence technique eventually leads to an HC (m. 76) and a standing on the dominant of the development key, C minor (HK: VI).

Notice that the 1-m. model and sequences contained in this continuation do not give the impression of a core, since their unit size is too small to mark the beginning of a new section.

(The presentation phrase that follows the standing on the dominant is discussed shortly.)

Incomplete thematic unit. A pre-core can be constructed out of one or more phrase functions that, taken as a whole, do not constitute a complete thematic unit. A concluding function is usually missing, although the lack of an initiation may also give rise to the thematic incompleteness. Pre-cores of this type tend to be relatively short.

Example 13.6: the pre-core begins in an unusual manner, for it uses material from the cadential area of the first subordinate theme; see Example 12.10 in the previous chapter. There, an internal HC at m. 66 is prolonged by a standing on the dominant for two measures, after which a cadential phrase brings the theme to a close.

This same material is brought back at the beginning of the pre-core and transposed into the development key, A minor (HK: VI). The prolonged dominant of mm. 123–24 leads again to a cadential phrase, but one that closes the pre-core, which must be seen as incomplete because of the lack of any initiating function.

(The label "transitional introduction" for mm. 123–24 is explained in "Finer Points" later in the chapter.)

Multiple thematic units. A small number of relatively large pre-cores are constructed out of two thematic units. One (or both) of them is usually incomplete.

Example 13.8: the pre-core consists of two parts: the first is complete, and the second incomplete. As was already discussed, the first part opens like the main theme but, rather than closing with a cadence, ends with a premature dominant arrival (m. 68) and a subsequent standing on the dominant of B-flat (HK: ♭III).

The second part begins at m. 74 by bringing back the compound basic idea from the first subordinate theme of the exposition (see Ex. 12.18, mm. 26–29). The idea begins to be repeated (m. 78), but the chromatically rising bass line already creates a continuation that leads to a sudden outburst at m. 81, marking the beginning of the core. The second part of the pre-core is thus left without structural closure.

The core has already been characterized as a kind of magnified continuation, due to its extensive sequential activity. This idea is especially relevant when the core itself is preceded by a presentation, which constitutes the only function of an incomplete second part to the pre-core.

Example 13.9: what was described earlier as a transition-like pre-core (mm. 65–80) is actually the first part of a multiple pre-core. The resolution to the tonic (of C minor) at the upbeat to m. 81 brings a second part, which consists only of a presentation phrase based on the beginning of the first subordinate theme (see Ex. 12.19, mm. 25–28). The core (shown in Ex. 13.3) then begins at the extended upbeat to m. 85.

Although the presentation in mm. 81–84 belongs by definition to the pre-core (in that it still precedes the beginning of the core), this phrase undoubtedly groups more intimately with the core than with the first part of the pre-core. Indeed, the opening two measures of the model (mm. 85–86) appeared earlier in the first subordinate theme as the beginning of a continuation phrase following this same presentation. Here in the development, the core really seems like a magnified continuation, which logically succeeds an initiating presentation.

Retransition

In this textbook, the term *retransition* has been used for those passages that modulate back to the home key in preparation for the return of some previous opening material. Retransitions have been identified with reference to the end of the contrasting middle of a small ternary and the end of an exposition following a closing section.

Although most developments express a general retransitional function, in that they all eventually return from a subordinate or development key to the home key, only some developments include a specific passage whose primary function is retransitional.

TAMING THE TERMS

Retransition. *Traditional theories of form normally recognize a "retransition" at the end of most development sections, especially in connection with what we term in this text a standing on the dominant.*

There is a problem with this traditional usage, however. By the time the standing on the dominant begins, the home key has already been achieved, as confirmed by the half cadence (or dominant arrival).

If the term retransition *is to be used for most developments, and if its meaning is to remain consistent with how it is used in other portions of the movement, it should be applied before the standing on the dominant, presumably in connection to where the modulation to the home key takes place. But this modulation usually occurs within some broader sequential passage of the core and rarely marks the beginning of a new unit within the development.*

For this reason, it would seem preferable to restrict the term retransition *to those passages, separate from the core, whose* primary *function is to return the music back home and to prepare for the return of the main theme.*

Typically, a retransition is a complete phrase, or even a full thematic unit, that follows the cadential articulation of a development key. The modulation back to the home key occurs somewhere within the retransition, which then leads to an HC (or dominant arrival) of the home key. Following that concluding function, there usually occurs a standing on the dominant, just like what would be found at the end of a core.

Example 13.11: toward the end of the development section, the development key of G minor (HK: VI) is confirmed with a PAC at m. 85. (The details of how this cadence comes about are discussed in the section "Finer Points," below.)

The final part of the development then begins with what at first sounds like codettas to this PAC but is retrospectively understood as a false closing section to initiate a retransition. The modulation back to the home key occurs at m. 87, and the subsequent HC at m. 91 confirms the tonal return.

The retransition itself ends with a postcadential standing on the dominant (mm. 91–96).

EXAMPLE 13.11 Haydn, Piano Sonata in B-flat, H. 41, i, 84–99

At times, the retransition may consist exclusively of a standing on the home-key dominant, but only when that harmony directly follows the dominant of the preceding development key.

Example 13.12: a unit that substitutes for a core (discussed in "Finer Points" below; see ahead, Ex. 13.14) concludes with an HC and standing on the dominant of the development key, G minor (HK: VI). Following that dominant, Mozart reintroduces immediately the dominant of the home key at m. 87 and writes another standing on the dominant of this key for the remainder of the development.

EXAMPLE 13.12 Mozart, Piano Sonata in B-flat, K. 333, i, 86–95

Although this passage contains just a single harmony, it can nonetheless be considered a distinct retransition, for it seems not to belong to the preceding unit, whose formal processes have played themselves out by the end of m. 86.

False Recapitulation

A retransition sometimes starts with reference to the opening material from the main theme, usually in the development key just confirmed by a prior HC. This effect can be characterized as a *false recapitulation*. Eventually, the music returns to the home key for the true recapitulation.

Example 13.13: as discussed in connection with Example 13.7, the core concludes on the dominant of E-flat (HK: ♭VI). Following the fermata at m. 98, a new part begins just like the main theme (see Ex. 2.13) but still in the prevailing development key. Although the gesture is recapitulatory, the tonal requirements of a genuine recapitulation are not met. Therefore, following the opening presentation, the music modulates back to the home key, as confirmed

by the HC in m. 107 and substantial standing on the dominant (most of which is not shown).

The real recapitulation begins at m. 125 (not shown). The music from the beginning of the false recapitulation to the real recapitulation thus functions as a retransition.

EXAMPLE 13.13 Beethoven, Piano Sonata in G, Op. 14, No. 2, i, 98–108

Finer Points

Development Sections Without a Core

Many classical development sections are not organized by means of the pre-core/core technique. Such developments may indeed begin with a unit whose character and structure is like a pre-core, and they usually end with an extensive standing on the dominant of the home key.

Missing, however, is a genuine core, a well-articulated process involving a large-scale model, its sequence, and subsequent fragmentation. Haydn, in

general, constructs his development sections without a core, whereas Mozart and Beethoven omit the core only now and then.

In place of a core, a *core substitute* employing a variety of phrase-structural options may appear. Sometimes the core substitute is a *pseudo-core*, a unit whose dynamics, rhythm, texture, and emotional character strongly resemble those of a core but whose material is not organized by model-sequence technique. At other times, the development consists of *themelike units* formed along the lines of a transition or subordinate theme.

Frequently enough, of course, the development is organized in unique ways that do not permit ready classification. Even in those cases, however, it is often possible to find hints of pre-core/core technique or the kinds of themelike units just mentioned.

Pseudo-core

As described earlier, the core of a development typically expresses restlessness, instability, and *Sturm und Drang*, as well as bringing a relatively loud dynamic, thicker textures, and continuous rhythmic activity (a "chugging" effect).

The appearance of these traits strongly suggests a core, even when the musical material is not organized by processes of model, sequence, and fragmentation. Such a *pseudo-core*, as this core substitute can be termed, sometimes features a prominent sequential organization of the harmonies, but they are not used to support the extensive model-sequence repetitions essential to a core proper.

At other times, the pseudo-core appears to lack harmonic definition and takes on the improvisatory style of a "fantasia" or "toccata." In such cases, a prominent linear progression of the bass line may help achieve coherence amid the seeming harmonic rambling.

A pseudo-core is usually preceded by a unit that functions as a pre-core and generally closes with an HC (or dominant arrival) followed by a standing on the dominant.

> **Example 13.14: at the final cadence of the tight-knit pre-core, the music suddenly shifts into the minor mode and introduces a continuous Alberti-bass accompaniment supporting a restless melody of running sixteenth notes and syncopated quarter notes. The character of the music leading up to the HC in G minor (HK: VI) at m. 81 is highly suggestive of a core.**
>
> **Yet at no point can we identify a model that is sequentially repeated. Even the harmonic progressions propose little in the way of sequential organization (though a descending-fifth sequence is suggested by the roots of the harmonies at m. 73, G; m. 75, C; and m. 77, F). Instead the harmonies seem more tightly controlled by the bass line, which oscillates chromatically between F and G (until the descent to D at m. 81).**

EXAMPLE 13.14 Mozart, Piano Sonata in B-flat, K. 333, i, 71–86

Transition-like Unit

In place of a core, the central section of the development may be occupied by a thematic unit whose tonal and phrase-structural organization resembles a transition. This transition-like core substitute, which follows upon a distinct pre-core, begins in one key with a standard initiating function (presentation, compound basic idea), modulates to some other key (development or home), and closes with an HC or dominant arrival.

Model-sequence technique of modest scope may appear somewhere in this unit (usually in connection with a continuation function), but not in a way that gives rise to a genuine core.

EXAMPLE 13.15 Haydn, Piano Trio in F-sharp minor, H. 26, ii, 17–30

(continued)

EXAMPLE 13.15 *Continued*

Example 13.15: the development begins with a pre-core that resides entirely in the development key of A major (HK: ♭III). This pre-core is identical to the main theme, except for its tonal setting.

At m. 20, a new themelike unit begins with a 1-m. basic idea (see the note at the end of this analysis), whose varied repetition creates a sense of presentation function, though the harmonic prolongation is broken by means of a descending-fifth sequential progression, which persists into the subsequent continuation (see the root analysis).

The move to VII$^6_5$ at m. 24 brings a premature dominant arrival to mark the end of harmonic activity for this transition-like unit. The rest of the development plays itself out over a prolonged dominant of the home key.

(Note: the very slow tempo and compressed scope of the thematic material suggest that in this movement, each notated measure contains more than one real measure of music. But since the notated 3/4 meter cannot be divided into two equal beats, the formula R = ½N cannot literally apply.)

EXAMPLE 13.16 Haydn, Piano Sonata in B-flat, H. 41, i, 56–86

EXAMPLE 13.16 *Continued*

Example 13.16: this complex development section consists of four parts. The first part (mm. 56–67) begins with a 4-m. unit (to be defined shortly as a "transitional introduction") that leads to a relatively tight-knit theme, based on material from the main theme (see Ex. 13.11, mm. 97–98), but now set in the development key, E-flat (HK: IV). This part is thus comparable to a pre-core, despite the absence of a genuine core in what follows.

(The relatively rare use of the subdominant region as a confirmed development key arises early in the development section in order to make way later for a more typical minor-mode development key, as will be discussed momentarily.)

The second part of the development (mm. 68–76) begins with a compound basic idea, whose initial harmony is heard as tonic in E-flat but which, by the end of the idea in m. 71, is easily reinterpreted as IV in the home key. A brief cadential idea leads to an HC at m. 73. Because of its modulating structure up a fifth (from E-flat to B-flat) and its ending on dominant harmony, the formal organization of this second part resembles a transition.

At this point in the form, we might be led to consider this return to the home-key dominant as marking the end of the development, except that the section would be rather short and it would be unusual for there to have been no exploration of a minor-mode region. So it is not entirely surprising when the home-key dominant moves at m. 75 directly to the dominant of G minor (HK: VI)—a more conventional development key—which is fully confirmed in the third part of the development, to be discussed shortly.

Subordinate Themelike Unit

A core substitute can resemble a subordinate theme if its harmonic goal is an authentic cadence of a development key and if it features loosening devices such as an extended continuation, an expanded cadential progression, and evaded, deceptive, or abandoned cadences.

Unlike a genuine subordinate theme, which must always close with a PAC, a subordinate-themelike unit can promise authentic cadential closure but never achieve a true cadential arrival.

Frequently, the unit begins in one tonal region or key and modulates to another key, where it receives authentic cadential closure (or the promise of such closure).

Example 13.16: the third part of this development (mm. 77–85) begins with a 2-m. basic idea in the development key of G minor (HK: VI). The following two measures can be seen as a varied repeat, thus creating a presentation phrase. At the same time, however, m. 80 also initiates a continuation, as expressed by fragmentation and increased rhythmic activity.

An expanded cadential progression begins at m. 82 but is momentarily abandoned on the downbeat of m. 84. A subsequent compressed cadential progression in the same measure finally confirms the development key. (The sense of cadential abandonment arises because of our uncertainty as to the position of the dominant on the downbeat of m. 84, which is due to the reduction of texture to a single part in the previous measure.) The concluding PAC is followed by a brief closing section (mm. 85–86), which as discussed earlier proves to be false, in order to initiate the retransition (see Ex. 13.11).

This core substitute thus resembles a loosely organized subordinate theme because of the obscuring of functional boundaries (in m. 80), the expanded cadential progression, and the abandoned cadence.

In a number of respects, the first three parts of this development are modeled on the organization of an exposition: the pre-core is tight-knit like a main theme, the second part resembles a transition, and the third part is suggestive of a subordinate theme. In fact, this relationship of development to exposition is also supported by the melodic-motivic material. The pre-core is based on ideas from the exposition's main theme, the second part draws on the continuation phrase of the first part of the subordinate theme (mm. 25–34), and the third part is based on the second part of the subordinate theme (mm. 35–42).

DIFFERENCES AMONG THE CLASSICAL COMPOSERS

As noted several times within this chapter, the development section is one place where the classical composers reveal some marked differences in compositional approach.

Haydn, as a general rule, does not employ the pre-core/core technique, though some prominent-enough examples do arise in his oeuvre. Instead, he tends to write transition-like or subordinate themelike units in place of a core. Moreover, Haydn frequently has his development section run through material of the exposition in roughly the same order (that is, main-theme material, followed by transition material, followed by subordinate-theme material), thus exemplifying formal "rotation" (see Ex. 13.16, just discussed, for a good illustration of this procedure).

Mozart employs pre-core/core technique regularly, but he tends to restrict the overall scope of his development sections, which are usually quite shorter in length than the surrounding exposition or recapitulation. More than the other classical composers, Mozart begins his development sections with a tight-knit pre-core. In addition, he likes to introduce new material into the development, something rarely found in Haydn.

Beethoven extends the tonal scope of his development sections to include regions arising out of modal borrowing. Like Mozart, he tends to use the pre-core/core technique and to introduce new ideas, but as with Haydn, the size of his development sections is usually comparable to those of the exposition and recapitulation. More than his mentors, Beethoven employs dominant arrivals in place of half cadences.

Transitional Introduction

Sometimes the pre-core begins immediately in a new key (or region). In such cases, the opening harmony is either a dominant or else a harmonic progression that leads to dominant harmony, and the music takes on the character of an extended upbeat to the start of the next unit (which may still be part of the pre-core or the beginning of the core).

The formal function of this upbeat gesture is rather complex and thus presents a terminological dilemma. On the one hand, it gives the impression of appearing "before the beginning" and therefore seems to function as introductory. On the other hand, its harmonic basis, with emphasis on dominant harmony of a new region, imparts the sense of transition function.

The expression *transitional introduction* perhaps best describes what happens.

Example 13.5: the pre-core begins at m. 87 directly with dominant harmony of the development key, C minor (HK: VI). The single phrase making up this pre-core is well identified as a *transitional introduction* since it has a strong before-the-beginning character and also effects the tonal change from the subordinate key (at the very end of the exposition) to the new development key.

The core begins when the dominant resolves deceptively at m. 90, giving the impression that the A♭ harmony is itself the VI region of the development key.

Example 13.16: the initial material of the pre-core picks up a motive from the end of the exposition's closing section, now supported by ♭VI of the subordinate key. When the idea is repeated (mm. 58–59), the harmony shifts to the dominant of E-flat, the first development key of the section.

The pre-core then has its true functional initiation when that dominant resolves to tonic to support a presentation phrase (as discussed earlier). The opening passage of the pre-core thus clearly exemplifies the idea of a transitional introduction.

Example 13.6: the opening 2-m. idea of the pre-core could be considered a kind of transitional introduction because it effects the modulation to the new development key of A minor (HK: VI).

Unlike most transitional introductions, however, the resolution of the dominant prolongation within these two bars leads not to a new initiating function but rather to a new cadential function, which, as discussed earlier, concludes the pre-core by confirming the development key with a PAC.

Example 13.1: from the point of view of motive and grouping structure, the pre-core is organized like an extended 8-m. sentence, one that modulates from the subordinate key to the dominant of the development key, E minor (HK: minV). In this sense, the pre-core is transition-like.

Some interesting details of harmony, however, do not entirely support this interpretation. First, the tonic prolongation of the presentation is disrupted by a move to the dominant of IV (appearing first at m. 53 as VII$^4_2$/IV). Second, the "continuation" phrase starts by prolonging this harmony but then reinterprets it enharmonically as an augmented-sixth chord of E minor.

A more global view of the pre-core would see its being supported by a single harmony (until its very end), one whose root is C and whose initial function as dominant of F (HK: IV) becomes transformed at the last moment into the pre-dominant of the new development key (E minor). As such, the entire pre-core could be considered a transitional introduction.

Unusual Endings

The final harmony of the development is usually the dominant of the home key. Two exceptional situations, however, can motivate a different harmony at the end of the section.

First, if the recapitulation does not begin with the home-key tonic, the final harmony of the development is usually one that leads most naturally into the recapitulation's opening harmony.

EXAMPLE 13.17 Haydn, Symphony No. 92 in G ("Oxford"), i, 121–30

Example 13.17: the recapitulation begins in m. 125 with the dominant seventh of the home key, just as at the start of the exposition (m. 21). In order to set up this unusual beginning, Haydn closes the development with the pre-dominant V$^4_3$/V.

A second exception arises when the composer ends the development with a harmony that can function as a substitute for the normal home-key dominant, such as V/VI, but also V/III. Both of these harmonies contain the leading tone of the home key, a necessary condition for dominant functionality.

In order to mitigate an abrupt resolution to the tonic (which is due to a cross-relation between the harmonies), the texture at the very end of the development is usually reduced to a single voice. (Of course such a textural reduction, as part of a broader liquidation process, is a common feature of developments even when ending with the home-key dominant.)

> **Example 13.18: the development ends with V/VI, which resolves directly to I at the beginning of the recapitulation (m. 124). The potentially offensive cross-relation of C♯ (in V/VI) and C♮ (in I) is avoided by the reduction in texture just before the recapitulation.**

EXAMPLE 13.18 Beethoven, Violin Sonata in F ("Spring"), Op. 24, i, 118–27

(continued)

EXAMPLE 13.18 *Continued*

A FINAL NOTE

Formal analysis of development sections can be extremely difficult, since the variety of techniques employed by the classical composers is enormous and highly diverse.

The "generalities" offered here only begin to scratch the surface of what you will find when you begin to look at many other examples from the literature. Be prepared, then, to encounter situations that do not entirely conform to what you have seen so far, and be flexible when using the tools given in this chapter.

In many cases, you will have to adopt an ad hoc approach and simply describe, as best as you can, the general harmonic/tonal plan and the grouping structure. A clear "form-functional analysis" may not automatically arise, but you should be able to account for the general ways in which the fundamental units of the development present themselves in time.

Reviewing the Theory

Answer These Questions

1. What are the standard development keys in a major-mode home key?
2. What is the normal size (in measures) of the model for a core?
3. An "incomplete" pre-core normally lacks what?
4. What are the key signs for the presence of a core?
5. What signals a false recapitulation?
6. What is required in order to speak of a minor-mode region being "confirmed" as a development key?
7. Which music theorist coined the term *core*?
8. What are the characteristics of a pseudo-core? How does it differ from a real core?

9. What harmonies can "substitute" for the dominant at the very end of a development?

10. What are the characteristics of a transition-like core substitute?

True or False?

1. A development key is normally confirmed by a PAC.

2. The process of fragmentation within the core may give rise to model-sequence technique.

3. The final standing on the dominant of a development is termed *retransition*.

4. Melodic ideas from the exposition's transition often appear in a pre-core.

5. Mozart's development sections are normally shorter (in relation to the other sections of the form) than are Haydn's.

6. The core can be likened to an amplified continuation.

7. The pre-core typically witnesses an increase of dynamic energy that culminates in the beginning of the core.

8. Each part of a "multiple pre-core" is an incomplete thematic unit.

9. A tight-knit pre-core of a development is analogous in certain ways to the main theme of the exposition.

10. A transitional introduction begins with dominant harmony.

Multiple-choice Questions

Choose a letter (there may be more than one) that correctly answers the question.

1. Which of these are standard development keys in a minor-mode home key?
    a. The submediant (VI)
    b. The subdominant (IV)
    c. The minor dominant (minV)
    d. The relative major (III)

2. Which are characteristic features of a core?
    a. Restlessness
    b. Ending with a medial caesura
    c. *Sturm und Drang*
    d. *Piano* dynamic

3. A pre-core can typically begin with what kind of material?
    a. Material from the exposition's closing section
    b. Material from the exposition's subordinate theme
    c. New material
    d. Material from the exposition's main theme

4. The final standing on the dominant of a development typically features:
   a. Cadential expansions
   b. Liquidation of texture
   c. Anticipation of motives from the main theme's basic idea
   d. Fragmentation
5. Which of these can be considered a core substitute?
   a. Subordinate themelike unit
   b. Retransition
   c. Transitional introduction
   d. Pseudo-core

Examples for Analysis

In addition to the examples given below, the following movements are especially recommended for the analysis of complete development sections:

- Mozart, Piano Sonata in F, K. 332, i
- Mozart, Piano Sonata in C minor, K. 457, i
- Mozart, Violin Sonata in E minor, K. 304, i
- Beethoven, Piano Sonata in C, Op. 2, No. 3, i
- Beethoven, Piano Sonata in E-flat, Op. 31, No. 3, i
- Beethoven, Piano Sonata in C ("Waldstein"), Op. 53, i
- Beethoven, String Quartet in F, Op. 18, No. 1, i

EXAMPLE 13.19   Beethoven, Piano Sonata in D, Op. 10, No. 3, i, 119–87

EXAMPLE 13.19 *Continued*

EXAMPLE 13.19 *Continued*

EXAMPLE 13.20 Mozart, Piano Sonata in F, K. 547a, i, 79–122. The excerpt starts at the very beginning of the development section

(continued)

EXAMPLE 13.20   *Continued*

[RECAPITULATION]

EXAMPLE 13.21 Haydn, String Quartet in G, Op. 64, No. 4, i, 39–62. The excerpt starts at the beginning of the development section. The main theme is shown above in Example 3.19

(continued)

EXAMPLE 13.21   *Continued*

[RECAPITULATION]

EXAMPLE 13.22   Beethoven, Piano Sonata in E, Op. 14, No. 1, i, 61–92. The excerpt starts at the beginning of the development section. The main theme is shown above in Example 10.14

EXAMPLE 13.22 *Continued*

[RECAPITULATION]

EXAMPLE 13.23 Haydn, Piano Trio in C, H. 21, i, 56–93

(continued)

EXAMPLE 13.23 *Continued*

(continued)

EXAMPLE 13.23 *Continued*

EXAMPLE 13.23 *Continued*

[RECAPITULATION]

EXAMPLE 13.24 Mozart, Piano Sonata in F, K. 280, iii, 78–111. The excerpt starts at the beginning of the development section

[RECAPITULATION]

Recapitulation

The third section of sonata form is termed *recapitulation*. This is the final section of the form unless a coda, an optional part, follows the recapitulation (as is discussed in the next chapter). The recapitulation functions to resolve the principal tonal and melodic processes left incomplete in the earlier sections. As well, it provides symmetry and balance to the overall form by restating the melodic-motivic material of the exposition.

The Basics

As a general rule, the recapitulation brings back, in the same order, the three basic thematic units of the exposition. We therefore conventionally speak of the "main theme," "transition," and "subordinate theme (group)" of the recapitulation. As we will learn in the course of this chapter, however, the names for these units may be the same, but their formal functions in the recapitulation differ from those in the exposition.

TAMING THE TERMS

Sonata Recapitulation vs. Small-Ternary A′ Section. *The formal functions of a sonata recapitulation resemble in some key ways those of the recapitulation (A′) in the small ternary theme type. (To avoid further confusion in usage, the term* recapitulation *will refer to sonata form, while* A′ section *will refer to the small ternary.)*

Like an A′ section, a recapitulation minimally realizes its functions by beginning in the home key with the basic idea of the main theme, by adjusting the following material so that it remains in the home key, and by confirming that key with a concluding PAC.

(continued)

Taming the Terms continued:

Also like an A´ section, the recapitulation frequently modifies the formal organization of the exposition by eliminating functional redundancies and developing earlier motivic material.

But whereas an A´ section is often considerably shorter than its prior A section (sometimes as much as one-half), a recapitulation is roughly the same length as the earlier exposition.

An Analytical Methodology: Comparison

Because the recapitulation is largely modeled on the exposition, the methodology most appropriate to adopt in analyzing a recapitulation is one of *comparison.* In short, you are encouraged to begin your analysis of a recapitulation by comparing it—bar by bar—with the exposition and identifying any changes that the recapitulation makes in relation to the earlier section.

When making this comparison, it is useful to recognize two basic types of changes that may occur: structural and ornamental (see again the text box "Analyzing a Recapitulation" in Chap. 7). You are also encouraged to ask (and to try to answer) why these changes are made.

Structural changes involve harmonic-tonal organization, melodic-motivic material, grouping structure, and formal functions. These changes are motivated primarily by fundamental differences in the function of the recapitulation, as compared with the exposition. Structural changes may also be prompted by the content and organization of the development section (as, for example, when a certain idea is eliminated from the recapitulation because of its extensive use in the development).

Ornamental changes involve dynamics, instrumentation, register, texture, accompanimental figuration, melodic embellishments, and the like. These changes are motivated by general aesthetic concerns for variety and by the particular expressive values that the composer wishes to convey in the movement.

Most of this chapter focuses on structural changes in the recapitulation, since they most directly affect its formal organization. Ornamental changes are observed and explained as they arise in the examples.

Harmonic-tonal Organization

Unlike the exposition, which features a dramatic opposition between the home key and the subordinate key, and with the latter eventually "winning out" over the former, the recapitulation normally remains throughout in the home key; very rarely does another key receive cadential confirmation within the recapitulation.

In order to avoid monotony, however, the recapitulation often explores the *flat-side* tonal regions of the home key, that is, those regions whose key

signatures have more flats than that of the home key, such as the subdominant (IV), the supertonic (II), and regions derived from modal mixture (♭VI, ♭III, and ♭II). Tonicizations of these regions are especially likely to arise in the main theme and transition units of the recapitulation.

The subordinate theme (group), by contrast, remains entirely in the home key and is usually harmonized in the same basic way as that of the exposition.

With some exceptions (to be mentioned later in "Finer Points"), the recapitulation begins with the home-key tonic, which resolves the dominant harmony at the end of the development. Seeing as the goal harmony of the development is dominant—an *ultimate* dominant—we must avoid the temptation to recognize an authentic cadence when it resolves to tonic in order to initiate the recapitulation. Especially when the opening tonic appears with great dynamic force, it may give the misleading impression that the motion from V to I has a cadential quality.

RECAPITULATION: A GOAL OR A REBEGINNING?

From the perspective of the overall form, the recapitulation, as a whole, functions as the "end" of the sonata form. But this quality of ending emerges with full force only toward the conclusion of the section, and especially in connection with the final PAC of the subordinate-theme area.

At its very beginning, the recapitulation normally gives the impression of "rebeginning" the form. Almost always with Haydn and Mozart, the recapitulation opens just as it did at the start of the exposition, which reinforces all the more the character of "starting over again."

But with Beethoven (and continuing on in Romantic and post-Romantic styles), the start of the recapitulation is often given an entirely different dynamic, usually one that is louder, more forceful, and more dramatically charged than how the exposition opened.

In those cases, especially, the effect of apotheosis at the beginning of the recapitulation may give the impression that, from its start, the recapitulation is the structural goal of the form, and such an aesthetic quality may further reinforce a misguided interpretation that the recapitulation begins with an authentic cadence.

Structural Changes

This section discusses the principal structural changes typically observed for the three main units of the recapitulation: main theme, transition, and subordinate theme (including the closing section).

Main Theme

The recapitulation's main theme brings, at a minimum, a return of the basic idea of the exposition's main theme. Most often, the main theme has the same basic structure in the recapitulation as it did in the exposition. At other times, however, the main theme may undergo one or more structural changes:

- The deletion of thematic restatements (such as a repeated continuation phrase or an A´ section)
- A newly added passage featuring model-sequence technique (a procedure that has been termed a "secondary development")
- An emphasis on flat-side tonal regions (to help alleviate harmonic-tonal monotony)
- The deletion of the home-key cadence (since the home key will necessarily be confirmed later in the subordinate theme)

Transition

The transition is that part of the recapitulation most likely to witness structural changes. In all cases, a modulating transition in the exposition must be *adjusted* in the recapitulation to remain in the home key, ending there with dominant harmony, so that the subordinate theme can enter with tonic of that key.

The most typical adjustment sees the music shift toward the flat-side subdominant region, even briefly, so that the tonicized IV harmony can eventually take on the role of pre-dominant, leading to the final home-key dominant of the transition. Thus the flat-side shift to the subdominant is balanced by a "sharp-side" shift back to the home key, the latter shift being analogous to the sharp-side shift from the home key to the subordinate key found in the exposition.

Other structural changes typically observed in the transition:

- Deletions or compressions of passages emphasizing the home-key tonic (to avoid harmonic monotony)
- Additional passages of model-sequence technique (secondary development)

Subordinate Theme (Group)

The subordinate theme is—especially in the hands of Mozart and Beethoven—the least likely unit of the recapitulation to undergo structural changes, except, of course, for being tonally adjusted into the home key. (Haydn, who as a rule alters his recapitulations considerably more than his younger composers, frequently subjects his subordinate themes to various structural changes.)

"SONATA PRINCIPLE"

The observation that the subordinate theme of the recapitulation is regularly structured like that of the exposition has been explained by some historians and critics (especially Edward T. Cone and Charles Rosen) in relation to what they call the "sonata principle."[1]

This principle holds that all of the material appearing in the subordinate key *in the exposition should be transposed back into the* home key *in the recapitulation.*

Hepokoski and Darcy have recently challenged the validity and significance of the sonata principle, noting especially the major alterations regularly given the recapitulation's subordinate theme by Haydn (and now and then by Mozart and Beethoven).[2]

Even if the sonata principle should be viewed more as a "tendency" than as a "rule," it is still worth speculating on why the later classical composers (Mozart and Beethoven) seem satisfied to retain the subordinate theme's structure most of the time. A simple answer to this question continues to remain elusive.

If the subordinate theme does undergo some additional structural changes, they are likely to involve:

- Deleting passages that might be deemed redundant for various reasons (such as those that result from writing a "monothematic" exposition, which, if left unaltered in the recapitulation, would give rise to two home-key statements of main-theme material)
- Expanding the cadential area more than that of the exposition (so that the most powerful cadence in the entire form confirms the *home* key)

The closing section that follows the final PAC is normally retained in the recapitulation as it appeared in the exposition, though if a coda is not present, the section may be extended to provide a greater sense of "after the end" for the movement as a whole.

Example 14.1: the main theme of the recapitulation (not shown) is identical to the first statement of that theme in the exposition (see Ex. 3.12). The theme begins to be repeated at m. 107 with a polyphonic variation, just as in the exposition (Ex. 14.1b shows the antecedent phrase from the exposition), but then quickly shifts to tonicize the flat-side subdominant region (Ex. 14.1a, mm. 110–12).

At m. 113, a new passage of model-sequence technique, which "develops" the material of the polyphonic passage, shifts the music sharp-side (m. 116) and eventually restores diatonic progressions in the home key. Further continuation at

m. 118 draws on material from the exposition's transition (see Ex. 11.2, mm. 24ff.) and brings a formal conclusion with an HC (m. 120) and subsequent standing on the dominant of the home key.

Although the thematic unit beginning at m. 107 and leading to the HC opens with main-theme material, it serves the overall formal function of transition for the recapitulation.

Note that the material from the exposition's transition that is eliminated in the recapitulation (Ex. 11.2, mm. 17–23) emphasizes root-position tonic and thus is quite dispensable at this point in the form: the rest of the recapitulation brings a sufficient expression of the home-key tonic. As well, the recapitulation deletes the repeat of the main theme (except for its polyphonic opening) as redundant material unessential to the recapitulation's principal functions.

EXAMPLE 14.1 (a) Mozart, Piano Sonata in D, K. 576, i, 107–121; (b) 9–11

(continued)

EXAMPLE 14.1 *Continued*

standing on the dominant

Main Theme
antecedent

b)

Example 14.2: the subordinate theme of the recapitulation retains the same structure as that of the exposition (compare Ex. 12.1) but is transposed instead into the home key of C major.

To keep the music in an appropriate register, the melody is at first transposed down a fifth (while the accompaniment is moved a fourth higher). At the upbeat to m. 65, the melody is then transposed up a fourth (compared with the exposition) so that it will not descend too low.

The cadential phrase (mm. 67–71) witnesses ornamental changes in harmony and rhythm, with the goal of creating greater intensity for the cadential arrival. The pre-dominant II^6 is prolonged by VII^7/V, and the sixteenth notes in m. 69 help make the following trill all the more climactic.

EXAMPLE 14.2 Mozart, Piano Sonata in C, K. 545, i, 58–73

(continued)

EXAMPLE 14.2 *Continued*

Let's Practice

Example 14.3: compare the transition from the recapitulation, shown here, with that of the exposition, shown in Example 11.3. Account for any structural or ornamental changes in relation to the general theory given above. The subordinate theme of the recapitulation begins at the second beat of m. 158. In that light, what is unusual about how the transition ends?

EXAMPLE 14.3 Haydn, Piano Sonata in E-flat, H. 49, i, 144–60

(continued)

EXAMPLE 14.3   *Continued*

More Details

Thematic Functions of the Recapitulation

By restating the material of the exposition in roughly the same order as it earlier appeared, the recapitulation thus fulfills what Hepokoski and Darcy emphasize as a formal *rotation*.[3] And thus it is conventional to label the constituent thematic functions of the recapitulation with the same terms employed in the exposition: main theme, transition, subordinate theme (including the closing section).

This practice is rooted in the traditional notion that formal units are defined primarily by their musical content, and not necessarily by their formal function. Yet as convenient as this usage may be—and for the sake of tradition, it is maintained here—this labeling scheme obscures the significantly different formal functions that these units serve in the recapitulation. The following discussion compares these differences.

Main theme. The main theme of the exposition functions:

- To introduce and fix in the mind of the listener the principal melodic-motivic ideas of the movement,
- To establish and confirm the home key by means of a cadence (usually authentic but possibly half), and
- To define the degree of tight-knit organization with which the more loosely organized units in the movement can be compared.

At the beginning of the recapitulation, these functions are no longer required or even necessarily appropriate. The melodic-motivic material is well known by

this point in the movement. The home key was reestablished toward the end of the development and definitely receives ultimate confirmation later in the recapitulation (in the subordinate-theme area). And a defining tight-knit organization need not be expressed yet again.

Instead, the main theme of the recapitulation functions primarily to signal the sense of "return" and "rebeginning." In addition, the theme's starting on a home-key tonic harmonically resolves (at a local level) the dominant expressed at the end of the development.

Transition. In the exposition, the transition functions:

- To destabilize the home key in order to establish a contrasting subordinate key, and
- To loosen the form (as defined by the main theme).

In the recapitulation, the transition continues to fulfill these general functions, but the home key is destabilized for completely different reasons, namely, to permit the subordinate theme to sound fresh when transposed into the home key and to prevent the recapitulation from becoming tonally monotonous.

Subordinate theme. In the exposition, the subordinate theme functions:

- To provide the formal means of confirming the subordinate key as the tonal antagonist of the home key, and
- To loosen the formal organization, primarily by means of extensions and expansions, so that the rival key acquires sufficient temporal weight to counterbalance its inherent structural subordination.

The recapitulation resolves this fundamental conflict of tonalities when, following the sonata principle, the subordinate theme is transposed back into the home key. The subordinate theme retains its loose organization, but now its expansiveness serves to endow the home key with the greatest power of expression in the movement.

The functional differences just described account for many of the structural changes that typically take place in a given recapitulation. The remainder of this chapter systematically examines such changes as well as those motivated by the preceding development section.

Structural Changes: Main Theme

In many recapitulations, the main theme is organized just as it was in the exposition, although ornamental changes may be included. Sometimes, however, the main theme undergoes particular structural changes because of its new formal function in the recapitulation.

The opening of the recapitulation's main theme usually features what has traditionally been called a "double return," that is, (1) a return of the basic idea of the exposition's main theme, and (2) a return of tonic harmony of the home key. For some theorists, both returns must take place at the same time in order to speak of a genuine sense of recapitulation.

But as we will later see in the section "Finer Points," these returns are sometimes not coordinated with each other; or one of them—the return of the opening basic idea—may be missing altogether. (There will always be a return of home-key tonic somewhere in the recapitulation.)

For this reason, the concept of recapitulation in this study does not depend entirely on a "double return" but relies on the appearance of other functional obligations as well.

Deletion of Thematic Restatements

Since the main theme's melodic-motivic material is by now quite familiar to the listener, a restatement of ideas, which was appropriate in the exposition (in which the material is heard for the first time), is often eliminated in the recapitulation, especially if those ideas were prominently exploited in the development section.

If the entire main theme was repeated in the exposition, the recapitulation usually states the theme just once (as we observed in connection with Ex. 14.1). If the main theme was originally constructed as a small ternary, then the A (or A´) section alone is likely to be used in the recapitulation.

Additional Model-sequence Technique

In the main theme of the recapitulation, the composer may throw new light on some old ideas (especially those not treated in the development) by means of a newly composed passage using model-sequence technique.

"SECONDARY DEVELOPMENT"

The highly influential historian Charles Rosen speaks of this new model-sequence passage as a secondary development.[4]

This term is handy as an informal description (and indeed is used here), but it is potentially misleading: the new sequential passage does not usually resemble how sequences are organized in a real development. Unlike in a core, the model of a secondary development is generally short, and the sequential activity is rarely modulatory.

Emphasis on Flat-side Tonal Regions

The harmonic plan of the main theme is sometimes altered in a way that emphasizes the flat side of the tonal spectrum—regions that introduce chromatically lowered scale degrees, such as the subdominant (IV), the lowered mediant (♭III), and the Neapolitan (♭II). (The music historian Donald Francis Tovey liked to refer to extra, inserted passages in such flat-side tonal regions as "purple patches.")[5]

Deletion of the Home-key Cadence

Since there is ample opportunity to confirm the home key later in the recapitulation (in the subordinate theme), a cadence to end the main theme is dispensable in the recapitulation. A subsequent closing section may also be omitted because the home key hardly requires reinforcement at this point in the form.

Examples

The following examples illustrate the techniques just discussed.

EXAMPLE 14.4   Beethoven, Piano Sonata in A, Op. 2, No. 2, i, 242–52

Example 14.4: the main theme in the exposition (shown in Ex. 10.7) has a decidedly loose organization. The recapitulation opens with the same antecedent-like unit (Ex. 10.7, mm. 1–20, not reproduced in Ex. 14.4). But rather than continuing as in the exposition, the final phrase is sequenced down a step (m. 244) into the

"flat" region of D major and then is sequenced again up a fifth (m. 248) in order to end the main theme on the home-key tonic.

Besides adding this brief secondary development, Beethoven eliminates a restatement of the initial basic idea (as in mm. 21–22 of the exposition) and the final cadence.

EXAMPLE 14.5   Mozart, Piano Sonata in G, K. 283, i, 72–85

Example 14.5: the initial presentation phrase is sequenced up a step (mm. 76–79) and is then followed by a new continuation (compare Ex. 5.39), which briefly tonicizes the flat-side subdominant region.

The appearance of a sequential passage is particularly appropriate here, since it compensates for the lack of a core in the preceding development section. (There, a unit resembling a pre-core is followed directly by a standing on the dominant of the home key, after which the recapitulation begins.)

The new continuation (mm. 80–83) ends on I^6, after which the nonmodulating transition immediately follows. As a result, the main theme receives no cadential closure.

The nonmodulating transition that follows (not shown) is identical in the recapitulation to that in the exposition (see Ex. 11.11). Of course, a nonmodulating transition does not, in principle, have to be adjusted in the recapitulation or be otherwise altered, yet it often is. But here, Mozart can easily leave the transition as it originally was because the main theme already provides a secondary development and flat-side emphasis.

Structural Changes: Transition

The transition section of the recapitulation is almost always altered in relation to the exposition. If the original transition is modulatory (which occurs in the great majority of cases), then the one in the recapitulation must be tonally adjusted.

The adjustment can be accomplished by any number of harmonic and phrase-structural means and can occur at any place in the transition. Frequently, the subdominant region is tonicized, thus promoting (in the sense of a pre-dominant) a logical succession to the dominant to end the transition.

By tonicizing the subdominant region, and thus shifting one step to the flat side of the tonal spectrum, the return back to the home-key dominant represents a shift to the sharp side, which is analogous to the sharp-side shift that takes place in the exposition's transition; see Figure 14.1.

Exposition

G (♯): V

C (♮): I

Recapitulation

C (♮): I   C (♮): V

F (♭): I
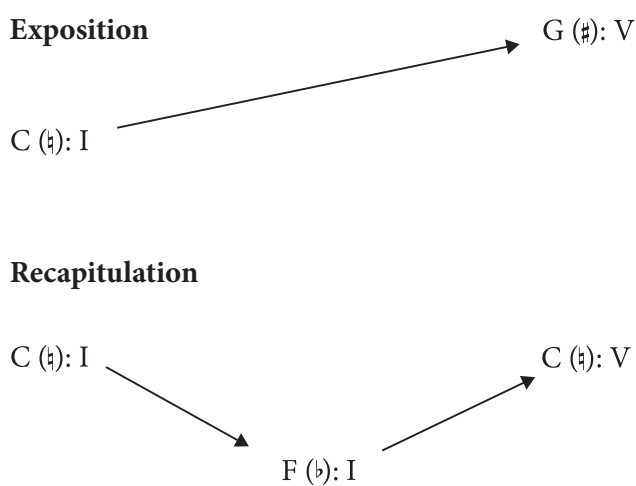
FIGURE 4.1 Tonal shift in the transition

Figure 14.1: this figure compares the tonal shift in the transition with those of the recapitulation. In the case of a C-major home key, the transition of the exposition modulates from C to G, thus shifting one step to the sharp side (shown by the upward arrow). In the recapitulation, the transition may first shift one step

to the flat side (downward arrow) by tonicizing F major but then shift back in a sharp-wise direction (upward arrow) in order to end the transition with dominant harmony of the home key.

In this way, the goal dominant of the transition in both sections is achieved by means of a sharp-side shift: in the exposition the shift yields a new key, and in the recapitulation the shift yields the original key, but one that now sounds "fresh," thanks to its being approached from the flat side.

If the exposition's transition is nonmodulatory, a tonal adjustment is not necessary, and the transition may even retain its original structure (as just discussed in connection with Ex. 14.5). Typically, however, an originally nonmodulating transition may still feature some of the conventional alterations that help achieve greater harmonic-tonal variety, especially if the preceding main theme of the recapitulation remains unaltered.

In addition to changes brought about by tonal adjustment, certain other alterations are regularly encountered, some of which are similar to those discussed for the main theme.

Deletions and Compressions

The transition in the recapitulation often deletes or compresses a substantial portion of the material used in the exposition. (In the most extreme case, the entire transition may be eliminated.)

The deleted passages are usually taken from the beginning of the transition, where they generally function to prolong the home-key tonic. Extensive tonic prolongation is needed in the exposition in order to reinforce the home key before modulating. Conversely, such a prolongation can easily be omitted in the recapitulation because the upcoming subordinate theme usually provides abundant tonic emphasis.

If the exposition contains a two-part transition, the composer often (but not always) deletes some material from each part (especially the modulating passages from the second part) so that the transition in the recapitulation is compressed into a one-part nonmodulating structure. Otherwise, the use of a two-part transition in the recapitulation would yield two half cadences in the home key, which would be potentially redundant.

Additional Model-sequence Technique

The transition in the recapitulation often includes music that does not correspond directly to the exposition. These passages, which usually extend an existing continuation (or create a new one), normally employ model-sequence technique in the sense of a secondary development. Indeed, motives not prominently featured in the development section proper are frequently given special treatment here.

Emphasis on Flat-side Regions

Since both the main and the subordinate themes of the recapitulation generally stress diatonic harmonies in the home key, the transition offers the best opportunity for composers to create a significant harmonic-tonal contrast in the recapitulation. To that end, they typically tonicize the flat side of the tonal spectrum, particularly if they leave the main theme relatively unaltered (and thus focused on the home-key tonic).

The specific reason flat-side keys are emphasized (rather than sharp-side ones) has already been discussed in connection with Figure 14.1.

Examples

The following examples illustrate the techniques just discussed.

EXAMPLE 14.6   Beethoven, Symphony No. 4 in B-flat, Op. 60, i, 351–70

Example 14.6: the transition in the recapitulation opens with a compound basic idea (mm. 351–54) taken from the middle of the transition in the exposition (see Ex. 11.14, mm. 81–84). Thus, an enormous passage built over a tonic pedal (mm. 65–80, not shown in Ex. 11.14) is deleted in the recapitulation.

Also deleted is the repetition of the compound basic idea (Ex. 11.14, mm. 85–88), so that m. 355 of the recapitulation brings a new, highly extended continuation featuring motivic play and an ascending-stepwise sequence in the sense of a secondary development.

At m. 369, the transition conforms again to that of the exposition by concluding with the same standing on the dominant (compare Ex. 11.14, mm. 95–106).

Example 14.7: the sudden appearance of the home-key parallel minor at the very beginning of the transition marks a shift to the flat side of the tonal spectrum (compare Ex. 11.7, m. 5).

The music then moves even further in that direction by tonicizing A-flat major, the lowered submediant. Measure 42 sees the beginning of a new model-sequence passage, which does not correspond to anything in the exposition. The transition ends with a premature dominant arrival of the home key on the downbeat of m. 44.

Both tonal and modal balance is finally restored at the beginning of the subordinate theme, when the music shifts in the sharp direction to project a more palpable sense of C major as the home key.

EXAMPLE 14.7   Mozart, Violin Sonata in C, K. 403, i, 39–46 (R = ½N)

Example 14.8: the transition begins at m. 118 with a canonic variation of the exposition's basic idea (see Ex. 11.20, mm. 19–20) and then moves quickly to introduce new material in a tonicized ♭II region (mm. 121–24). This Neapolitan then functions as an expanded pre-dominant (which also embraces the following VII$^6_5$/V) in order to achieve the home-key HC in m. 126.

(The remainder of the transition is examined later in connection with the subordinate theme.)

EXAMPLE 14.8　Mozart, Piano Sonata in C minor, K. 457, i, 117–32

Example 14.9: the opening seven measures of the transition are the same as those of the exposition (compare Ex. 11.8, mm. 16–22). The change of mode at m. 158 initiates a new passage, one not found in the earlier section. The music leads eventually to an HC and a standing on the dominant of the home key (m. 164), corresponding to the end of the transition in the exposition (Ex. 11.8, mm. 37–41).

Haydn has thus compressed what was originally a two-part transition in the exposition into a single unit. He does so by eliminating material from the exposition that would be either redundant or functionally inappropriate in the

recapitulation—namely, most of the first part (containing additional tonic pro-longations and another home-key standing on the dominant) and the beginning of the second part (containing main-theme material and the modulation to the new key).

EXAMPLE 14.9 Haydn, Piano Trio in E-flat, H. 30, i, 152–71

(continued)

EXAMPLE 14.9 *Continued*

[Subordinate Theme]

Structural Changes: Subordinate Theme (Group)

As a general rule, the subordinate theme (or theme group) returns as it originally appeared in the exposition, except for being tonally adjusted into the home key.

DIFFERENCES AMONG THE CLASSICAL COMPOSERS

Mozart and Beethoven regularly follow the practice of maintaining the same structure of the subordinate theme in the recapitulation as in the exposition. Only occasionally do their subordinate themes exhibit major structural changes.

Haydn, on the contrary, typically alters this area in the recapitulation. His difference in approach is somewhat owing to his tendency to write a "monothematic" exposition, which, as will be discussed shortly, normally motivates a significant structural change in the recapitulation's subordinate theme.

But even when Haydn writes a standard exposition with contrasting material for main and subordinate themes, he usually restructures the subordinate-theme area of the recapitulation, presumably in response to his own particular aesthetic goals, ones that clearly differ from his younger contemporaries, who seem more wedded to the idea of formal symmetry and the sonata principle.

Like the main theme and transition, the subordinate theme in the recapitulation may delete material that is stated more than once in the exposition. But it is also typical for the cadential area of the subordinate theme to undergo greater expansion than it received in the exposition. As a result, the most rhetorically

powerful cadential emphasis in the form is accorded the confirmation of the home key instead of the subordinate key.

The composer sometimes alters the thematic structure of the subordinate theme more substantially. Sometimes these changes are made for expressive and dramatic goals unique to the individual work. But some particular compositional situations arising in the exposition regularly lead to major alterations in the recapitulation, as described in the next sections.

"Monothematic" Exposition

One such situation involves the so-called monothematic exposition, the use of the same basic idea for both the main theme and the subordinate theme. If the original structure of the subordinate theme is retained in the recapitulation, then the basic idea would occur in the home key twice: first in the main theme and second in the tonally adjusted subordinate theme.

To avoid a potential redundancy, the composer normally deletes the second appearance of the basic idea. (The first appearance, of course, is needed to signal the beginning of the recapitulation.) But simply omitting the basic idea at the start of the subordinate theme may not suffice, for a theme cannot necessarily begin logically with, say, the continuation function that formerly followed the basic idea (and its repetition).

Therefore the composer must usually alter the theme more substantially or even eliminate it altogether (this latter option being possible in the case of multiple subordinate themes). Haydn, who writes a large number of monothematic expositions, typically uses these procedures, but some striking examples are found in Mozart as well.

Example 14.10: following the close of the transition (discussed earlier in Ex. 14.1), Mozart begins the subordinate theme of the recapitulation with material from the *second* subordinate theme of the exposition (see Ex. 12.3, mm. 42ff.). He does so presumably to avoid a redundant appearance of the main theme's basic idea in the home key, which would arise from using the first subordinate theme (Ex. 12.3, mm. 28ff.).

Some kind of change is especially needed here, because earlier in the recapitulation (Ex. 14.1, mm. 107–9), main-theme material is used to begin the transition in an imitative manner that strongly resembles the beginning of the exposition's first subordinate theme.

In the recapitulation, the "second" subordinate theme is now normalized to become a conventional 8-m. period (mm. 122–29). (In the exposition, the consequent was lengthened by means of an expanded cadential progression.) The theme begins to be repeated, but at m. 136, just at the point where the cadential expansion in the exposition occurred (Ex. 12.3, m. 48), the music becomes significantly more chromatic and, in the following measure, stops rather abruptly with an air of uncertainty on V^6/VI (m. 137).

Measure 138 then initiates an enormous interpolation of the *first* subordinate theme from the exposition. But again to avoid a redundant home-key statement of the basic idea, Mozart transposes it into VI (thus resolving the previous dominant) and converts what was originally an initiating tonic prolongational passage (Ex. 12.3, mm. 28–34) into a fully sequential one. Indeed, this model-sequence is now suitable as a further continuation of the repeated subordinate theme, begun at m. 130.

To close the theme, Mozart brings at m. 148 the expanded cadential progression from the exposition's first subordinate theme (Ex. 12.3, mm. 38–41) and, in mm. 152–55, appends to it the end of the expanded cadential progression from the second subordinate theme (mm. 50–53). The resulting cadential area is thus more expansive than either of those in the exposition. In fact, by interpolating the exposition's first subordinate theme into a repetition of its second subordinate theme, Mozart has fashioned in the recapitulation a single theme of considerably greater complexity and structural scope.

EXAMPLE 14.10 Mozart, Piano Sonata in D, K. 576, i, 122–55

(continued)

EXAMPLE 14.10   *Continued*

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Two-part Subordinate Theme

The use of a two-part subordinate theme in the exposition can sometimes lead to major structural changes in the recapitulation. In the exposition, an internal HC and standing on the dominant often serve to emphasize dominant harmony of the subordinate key, especially if the previous transition is nonmodulating.

Were the two-part subordinate theme left intact in the recapitulation, two cadential articulations of the home-key dominant would result: the HC of the transition and the internal HC of the two-part subordinate theme. Therefore, either the first part of the subordinate theme is deleted or portions of it are assimilated into the preceding transition. The second part of the theme then follows as the actual theme in the recapitulation.

> **Example 14.8:** the transition of the recapitulation concludes in mm. 126–30 with material that earlier functioned as the internal HC and standing on the dominant in the subordinate theme (see Ex. 12.5, mm. 30–35). The first part of that theme (mm. 23–29) is deleted in the recapitulation, and the second part now functions as the subordinate theme of that section. (Note that the "new idea" tonicizing ♭II, mm. 121–22, is related to the deleted basic idea of the exposition's first subordinate theme both by its lyrical style and by a loose motivic inversion.)

Modulating Subordinate Theme

If the exposition contains a modulating subordinate theme, the tonal adjustment in the recapitulation is more complicated than usual. In some cases, the subordinate theme can still give the impression of modulating by beginning in some other tonal region (of the home key) and eventually returning to emphasize the tonic region. In other cases, the theme begins directly on the home-key tonic and so loses some if its modulatory character.

EXAMPLE 14.11 Beethoven, Piano Sonata in E-flat, Op. 31, No. 3, ii, 136–49

Example 14.11: the transition ends on V/VI, just as in the exposition (see Ex. 11.17, m. 34). The subordinate theme begins "off tonic" in the ♭VII region and eventually "modulates" back to the tonic of A-flat by the end of m. 149. (To make a smooth progression from V/VI at the end of the transition to ♭VII at the beginning of the subordinate theme, Beethoven introduces the octave D♭, which at first sounds like a deceptive resolution of the secondary dominant but which then functions as the dominant of ♭VII.)

Closing Section, "Retransition"

The closing section of the subordinate theme (group) usually reappears in the recapitulation largely the same as in the exposition. If the recapitulation is followed by a coda, the final codettas of the closing section are sometimes altered or eliminated.

In the absence of a genuine coda, the closing section may be extended in order to impart a more decisive sense of conclusion to the entire movement. Example 9.11 illustrates this technique.

If the exposition closes with a retransition leading back to the home key, the recapitulation may very well bring a similar passage, this time leading to the subdominant region for the beginning of the coda. This "retransition," however, no longer fulfills its nominal function, since it does not return to the home key. Because this passage modulates to some other region (usually the subdominant), it functions more as a "transition" to the coda (see in the next chapter Exs. 15.3, mm. 230–31; and 15.4, mm. 265–68).

Finer Points

Additional Features of the Recapitulation

Influence of the Development

The content and organization of the development section seem at times to influence changes made in the recapitulation.

We have already observed one such case. In Example 14.5, the added sequence in the main theme (mm. 76–79) was "explained" by its seeming to compensate for the lack of a core in the development. Here are some other cases.

Example 14.8: in the course of converting a two-part subordinate theme in the exposition into a one-part theme in the recapitulation, Mozart deletes the opening phrase of the first part (compare Ex. 12.5, mm. 23–26). As a result, this tuneful passage never receives a proper "recapitulation" in the home key (as required by the sonata principle).

Nonetheless, this presentation phrase did appear earlier in the development section as the last part of the pre-core (mm. 79–82, not shown) in order to set up the core. There, this music is set in F minor (HK: IV) and thus at least receives a minor-mode setting, if not a true recapitulation into the minor mode of the home key proper.

Example 14.7: the use of explicit model-sequence technique in mm. 42–43 is especially apt in light of the rather brief development section (not shown), in which sequential organization is conspicuously absent (despite the exploration of various tonal regions of the home key).

A CAUSAL CONNECTION?

To speak of the development influencing the recapitulation is not to suggest a causal connection between these sections. What happens in the former does not necessarily determine what will happen in the latter: the classical repertory abounds in counterexamples to disprove such a claim.

Rather, it is more a question of the appropriateness *of occurrence. When we attend carefully to certain events in the development, we may come to believe that it is particularly fitting that some other event does—or does not—occur in the recapitulation.*

That a given idea is highly exploited in the development, for example, makes it appropriate that the idea be deleted in the recapitulation, without raising expectations that it necessarily will not appear.

Greater Rhythmic Continuity

The exposition of a movement often contains prominent interruptions in rhythmic activity, such as rests and fermatas, particularly in the main theme and at the end of the transition (with a medial caesura).

The recapitulation often removes such discontinuities in order to foster greater rhythmic momentum. Following an emotionally charged development section, the flow of events may seem too inhibited if the music is regularly checked in its progress by too many stops and starts.

EXAMPLE 14.12   Mozart, Clarinet Trio in E-flat, K. 498, i, 74–83

Example 14.12: the presentation phrase of the main theme in the exposition (see Ex. 6.10, mm. 1–8) is marked by rhythmic breaks in each even-numbered measure. In the recapitulation, these gaps are filled in (and the grouping structure somewhat extended) by newly added imitations of the initial 2-m. basic idea.

> **Example 14.9:** by compressing the exposition's two-part transition into a single part, Haydn also eliminates a pronounced pause in the rhythmic momentum arising from the caesura at the end of the first part (see Ex. 11.8, m. 32).

Fusion of Main Theme and Transition

The main theme and transition usually remain discrete units in the recapitulation, just as they were in the exposition. Now and then, however, they *fuse* into a single thematic structure.

This formal compression is usually brought about by eliminating the end of the main theme and the beginning of the transition and by attaching the close of the latter to what remains of the former. In some cases, all of the material of the exposition's transition is eliminated, and main-theme material, which closed with an authentic cadence in the exposition, ends with a half cadence.

This form-functional fusion is often accompanied by the same alteration techniques used in a recapitulation for both main themes and transitions, such as deleting unnecessary repetitions, adding new model-sequence technique, and emphasizing flat-side tonal regions.

> **Example 14.13** (though this example is taken from a movement in concerto form, it illustrates particularly well the fusion process): the main theme and transition in the exposition occupy two distinct sections. Example 6.2 gives the main theme version found in the opening ritornello of this concerto; the main theme of the solo exposition has the identical form.
>
> The recapitulation begins with the same 8-m. presentation (mm. 309–16, not shown) but then introduces an entirely new continuation (mm. 317–26), which sequentially develops the final motive of the compound basic idea.
>
> Rather than ending with an authentic cadence, as in the exposition, the continuation leads to an HC at m. 326, and the subsequent standing on the dominant corresponds to that found at the end of the transition in the exposition. As a result of these manipulations, the two formal functions of main theme and transition are fused into a single grouping unit.

EXAMPLE 14.13   Beethoven, Piano Concerto No. 3 in C minor, Op. 37, i, 317–30

Example 14.14: the opening six measures of the recapitulation are essentially the same as the main theme of the exposition, except that the final chord is VI rather than I. Thus instead of closing with a PAC, the theme brings a deceptive cadence in m. 45.

The following cadential phrase leads not to the expected authentic cadence but rather to a home-key HC (m. 48) in preparation for the subordinate theme. All of the material from the exposition's transition (see Ex. 11.15) is deleted, but the final cadential phrase of the recapitulation's main theme, ending with an HC, nonetheless assumes transition function as well.

EXAMPLE 14.14 Haydn, Piano Sonata in C, H. 21, ii, 40–50

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Deviations from the Norm

The recapitulation can deviate from the norms described throughout this chapter in so many ways as to preclude an exhaustive discussion here. Here are some types of deviation (each of which has multiple occurrences in the repertory) illustrating some of the possibilities that may arise.

Deletion of the Main Theme's Opening

Some recapitulations delete the opening material of the main theme. At times the transition may be eliminated as well, and the recapitulation begins directly with the subordinate-theme area. Although deviant in the high-classical style, this procedure is normative in midcentury works and has its roots in Baroque binary dance forms.

FOCUS ON FUNCTION

Recapitulation Without Main Theme? *As a result of deleting the opening of the main theme, the large-scale form of a sonata movement would seem to be analogous more to the small binary than to the small ternary.*

Indeed, it might be questioned whether we should even speak of a "recapitulation" function when the main theme's basic idea is not brought back. This requirement, above all others, distinguishes the small ternary from the small binary, and in the case of the latter, recapitulation function is not recognized even if material occurring later in the first part is brought back at the end of the second part.

But since it is so traditional in theories of sonata form to label the large-scale section following the development a recapitulation, the practice is maintained here despite these theoretical concerns. After all, one of the principal functions of a recapitulation—to restore to the home key any material originally presented in the subordinate key (the sonata principle)—is nevertheless fulfilled even when significant parts of the main theme and transition are eliminated.

If the recapitulation deletes the opening of the main theme, these ideas usually return later in the movement. This procedure is often referred to as a "reversed" (or "inverted") recapitulation. Caution must be exercised in speaking in this manner, however, for it suggests that the composer can simply shift around the main and subordinate themes almost mechanically.

Yet a careful examination of individual cases reveals that either main-theme ideas are incorporated into the actual subordinate-theme area of the recapitulation or else they occur as part of a subsequent coda and thus do not belong to the recapitulation proper.

Example 14.15: the development section ends with a dominant arrival in mm. 86–87, after which the recapitulation begins with the cadential idea of the main theme (see Ex. 10.11, mm. 5–8), thus bypassing the opening ideas of the theme. That the opening of the main theme is deleted is not entirely surprising given how pervasive it was during most of the prior development section, even appearing at one point in the home key (see the viola part in Ex. 14.15b, mm. 64–66). This cadential material then leads quickly to an HC at m. 93 (Ex. 14.15a), thus giving rise to a fusion of main theme and transition functions.

The first of two subordinate themes then follows. Here, Haydn uses only the "second part" of the exposition's subordinate theme, the first part being based on main-theme material, in the sense of a monothematic exposition (compare Ex. 11.13, m. 18, with Ex. 10.11, m. 1).

The subordinate theme ends at m. 111 (see Ex. 14.15c), at which point Haydn brings a completely unexpected "grand pause." When the music starts up again, it does not lead to the closing section but instead introduces the opening phrase of the main theme, in a way that imitates how the recapitulation "should" have begun. Rather than following this phrase with its unison cadential idea (the one that actually initiated the recapitulation; see Ex. 14.15a), he adds a considerably more expanded cadential progression (Ex. 14.15c, m. 116) that stretches to the PAC at m. 123.

As in the main theme, the cadential idea is repeated, but now considerably extended and seemingly abandoned by the downbeat of m. 128 (it is difficult to give a clear harmonic reading of these measures, on account of the unison texture), after which a standard cadential formula brings the theme to a more decisive close. The closing section from the exposition is then immediately picked up, and the recapitulation ends shortly thereafter.

If we compare the main theme of the exposition (Ex. 10.11) with the theme beginning at m. 114 (Ex. 14.15c)—the one based on main-theme material—we clearly see that the latter is considerably looser in organization. Indeed, we could say that this theme functions as a "second" *subordinate theme* within the recapitulation (one that makes up for the fact that the "first part" of the exposition's subordinate theme was deleted in the recapitulation).

EXAMPLE 14.15 (a) Haydn, String Quartet in E-flat, Op. 50, No. 3, i, 86–95; (b) 62–69; (c) 111–30

(continued)

EXAMPLE 14.15 *Continued*

[Subordinate Theme 1]

II⁶   V⁶₅ ⌣ V
HC

V⁶₅

I

b)

Allegro con brio   DEVELOPMENT   (main-theme material from exposition)

(continued)

EXAMPLE 14.15 *Continued*

c)

"REVERSED" RECAPITULATION

Example 14.15 provides a good example of what some historians and theorists have called a "reversed" (or "inverted") recapitulation, whereby the order of main and subordinate themes is switched.

Although this notion is useful on an entirely descriptive level, it suffers from some of the same theoretical deficiencies that we encountered previously with the idea of a "reversed" period (see Chap. 11 at the discussion of Ex. 11.7), namely, the question of how logical it is simply to shift around syntactical units.

As we see from our examination of Example 14.15, the melodic-motivic material may be reordered in the recapitulation, with subordinate-theme ideas coming before main-theme ones. But the passage containing main-theme material does not function as the main theme of a recapitulation; rather, this material is refashioned to function as a subordinate theme, thus exhibiting loosening devices associated with that function.

As discussed often throughout this book, we must distinguish between the musical content and the formal function of this content. Our terminology sometimes confuses this distinction, as here, in the case of the so-called reversed recapitulation.

Main Theme Beginning in the Subdominant

The "double return" of the main theme and the home key is often cited as a hallmark of classical sonata form. But a few examples from the repertory see the main theme return in the context of subdominant harmony. (The first movement of Mozart's Piano Sonata in C, K. 545, presents a well-known example of a recapitulation that begins in the subdominant region.)

Like the deletion of opening main-theme ideas just discussed, the use of the subdominant in place of the tonic at this point in the form has antecedents in Baroque and pre-classical practice. The question of whether a true recapitulation is at hand is also raised by this tonal procedure.

When the recapitulation begins in the subdominant, a tonic setting of main-theme ideas may appear later in the movement, most likely in the coda.

Subordinate Theme Beginning in the Subdominant

Another deviation occurs when the tendency for the recapitulation to explore flat-side regions is exploited to the extent that the subordinate theme itself begins in the subdominant region. To prepare for the theme's entrance, the transition is adjusted to conclude with the dominant of that region.

Shortly after the subordinate theme has begun, it is further adjusted in order to remain centered in the home-key tonic. (A case of the recapitulation's subordinate theme appearing at first in the subdominant region, and then

being adjusted back into the tonic region, appears in one of the "Examples for Analysis" at the end of this chapter.)

Reviewing the Theory

Answer These Questions

1. What methodology is most applicable to the analysis of a recapitulation?
2. Why can the home-key cadence found at the end of the exposition's main theme be deleted in the recapitulation?
3. What is a "secondary development," and where is it likely to be found?
4. What is the concept of formal "rotation," and how is it manifest in a sonata recapitulation?
5. What is the standard way for a modulating transition of the exposition to become adjusted in the recapitulation?
6. A "double return" refers to which two characteristics at the beginning of a recapitulation?
7. The use of a monothematic exposition typically brings about what structural change in the recapitulation?
8. How might something that happens in the development influence a structural change in the recapitulation?
9. What functional changes are effected in order to fuse the main theme and transition within the recapitulation?
10. Which one of the classical composers is most likely to alter the structure of the subordinate theme in the recapitulation?

True or False?

1. The resolution of dominant to tonic harmony at the beginning of the recapitulation results in an authentic cadence.
2. A modal shift from major to minor makes available a variety of flat-side tonal regions.
3. The submediant harmony is used to facilitate the tonal adjustment of the recapitulation's transition.
4. The recapitulation's subordinate theme is likely to exhibit the addition of new model-sequence technique.
5. A nonmodulating transition in the exposition necessitates structural changes in the recapitulation.
6. The sonata principle relates primarily to the subordinate theme of the recapitulation.
7. A secondary development brings about a new core within the recapitulation.

8. The tonal regions of the subordinate theme in both the exposition and the recapitulation emerge out of a sharp-side tonal shift.

9. A two-part transition in the exposition is typically restructured into a one-part transition in the recapitulation.

10. Greater continuity within the recapitulation is typically achieved by filling in rhythmic gaps that originally appeared in the subordinate theme group of the exposition.

Multiple-choice Questions

Choose a letter (there may be more than one) that correctly answers the question.

1. Structural changes in the recapitulation involve which musical parameters?
   a. Dynamics
   b. Harmonic organization
   c. Texture
   d. Grouping structure

2. Which structural changes are likely to be found in the recapitulation's transition?
   a. A new emphasis on the subdominant tonal region
   b. Deletion of the home-key cadence
   c. Additional model-sequence technique
   d. Deletion of passages in the exposition featuring tonic emphasis

3. Which of these represent a deviation from the norms for how a recapitulation is structured?
   a. Beginning the subordinate theme in the subdominant
   b. A shift to flat-side tonal regions within the main theme or transition
   c. Omitting the basic idea of the main theme
   d. Extending the closing section in order to create a greater sense of closure for the movement as a whole

Examples for Analysis

EXAMPLE 14.16 Beethoven, Piano Sonata in G, Op. 14, No. 2, i, 131–54. The exposition's main theme, transition, and first subordinate theme are shown in Examples 2.13, 11.25, and 12.18 respectively

EXAMPLE 14.17   Mozart, Piano Sonata in F, K. 332, i, 153–76. The exposition's main theme group and transition are shown in Examples 10.15 and 11.23

EXAMPLE 14.18 Beethoven, Piano Sonata in C minor, Op. 10, No. 1, i, 184–247. The exposition's main theme, transition, and subordinate theme (or theme group) are shown in Examples 5.38, 11.4, and 12.2

EXAMPLE 14.19   Beethoven, Piano Sonata in F, Op. 10, No. 2, i, 115–73. The exposition's main theme and subordinate theme (or theme group) are shown in Examples 5.29 and 12.22. The exposition's transition is deleted from the recapitulation

(continued)

EXAMPLE 14.19 *Continued*

EXAMPLE 14.20 Haydn, Piano Sonata in E-flat, H. 49, i, 158–90. The exposition's main theme, transition, and subordinate theme (or theme group) are shown in Examples 6.22, 11.3, and 12.19

[Trans.] [Subordinate Theme]

EXAMPLE 14.20   *Continued*

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EXAMPLE 14.21   Haydn, String Quartet in D minor, Op. 42, i, 66–96. The exposition's main theme, transition, and the subordinate theme are shown in Examples 2.24, 11.22, and 12.24

Andante ed innocentemente

EXAMPLE 14.21 *Continued*

Chapter 15

Coda

A movement in sonata form may contain two sections that frame the movement as a whole: a slow introduction and a coda. This chapter treats the *coda,* an "after-the-end" function that follows the recapitulation. (The slow introduction, a much less commonly occurring section, is discussed in the next chapter.)

The Basics

The coda is an optional section that follows the recapitulation and is thus fully distinct from it. Inasmuch as the fundamental melodic, harmonic, and tonal processes of the movement are completed within the recapitulation, the coda has no "essential" function to serve. Rather, it is there, as Schoenberg says, because "the composer wants to say something more."

SCHOENBERG'S VIEW OF THE CODA

Schoenberg writes:
  Since many movements have no codas, it is evident that the coda must be considered as an extrinsic addition. The assumption that it serves to establish the tonality is hardly justified; it could scarcely compensate for the failure to establish the tonality in the previous sections. In fact, it would be difficult to give any other reason for the addition of a coda than that the composer wants to say something more.[1]
  Although Schoenberg speaks rather flippantly about the coda's appearing merely because the composer has more to say, it is clearly the case—as is detailed in this chapter—that this final section allows the composer to say things that could not have been appropriately said in earlier sections.

Seeing as the recapitulation brings fundamental tonal closure to the movement, the coda rarely initiates any changes of tonality that might undermine its primary expression of after-the-end. Thus the coda remains in the home key, although various tonal regions may be briefly explored. In fact, prominent tonicizations and sequential progressions frequently occur early in a coda to provide harmonic contrast between the end of the recapitulation and the end of the coda, both of which emphasize the home-key tonic. The ascending-stepwise pattern, which naturally projects an increasingly intense emotional excitement, seems to be the most popular sequence within codas. The coda itself will eventually bring a perfect authentic cadence in the home key, after which this final confirmation of the key is typically reinforced by a closing section to conclude the coda proper.

For reasons to be discussed more fully later one, it is often difficult to perceive just when a coda has begun. For that reason—and largely for the purposes of analytical consistency—we can adopt a general rule: *the coda starts at that point where the music of the recapitulation stops corresponding to the exposition*.

Frequently, this moment does not sound like a "beginning" and may indeed occur as part of an ongoing continuation function (as marked by model-sequence technique) that issues from the recapitulation's closing section. Eventually, however, an initiating function may appear ("Oh, here is where the coda really begins"), but only after the coda has already been under way.

Even more than with a development section, it is difficult to predict how a given coda will be formally organized, although certain procedures do occur with some degree of regularity. A coda normally consists of at least one thematic unit—a *coda theme*—that ends with a home-key PAC. (Multiple coda themes may also be present within a lengthy coda.)

TAMING THE TERMS

Coda vs. Codetta. *Inasmuch as "coda" and "codetta" are such similar terms, it's often difficult to distinguish one from the other. Despite its diminutive suffix, a codetta is not a "little coda"; nor is a coda a large codetta. Rather, the two structures are essentially different in regard to both hierarchical location and formal organization.*

A codetta follows a PAC and resides on a hierarchical level comparable to that of basic, contrasting, and cadential ideas. A relatively small unit— rarely more than four bars in length—a codetta prolongs root-position tonic and circles melodically around the first scale degree.

By contrast, a coda follows a recapitulation and resides on a hierarchical level comparable to that of an exposition, development, and recapitulation. A coda is a relatively large unit, containing one or more coda themes.

The coda itself ends with a closing section comprising a series of codettas.

Coda themes are usually built so as to resemble the loose organization of a subordinate theme, especially because of a highly expanded cadential area. Occasionally, however, a coda theme is structured as a simple, tight-knit type (sentence, period, or hybrid). At times, the initial unit of a coda is comparable to a transition, in that its principal harmonic goal is the dominant. Such a unit may also include model-sequence organization suggesting the core of a development, although the sequencing is nonmodulatory and the harmonies remain closely bound to the home key.

Though the coda does not function to complete the form (that is the role of the recapitulation), it nevertheless can serve a variety of *compensatory* functions by giving the composer one last opportunity of "making up" for various events or procedures that could not be fully treated in the main body of the movement.

Such compensatory functions include:

- Imparting a circular design to the overall form by recalling main-theme ideas
- Restoring expositional material deleted from the recapitulation
- Referencing ideas from the development section
- Shaping a concluding dynamic curve that differs from (or surpasses) that of the recapitulation
- Realizing implications generated by various compositional processes that have been left unrealized in earlier sections

Example 15.1: the closing section of the recapitulation ends with a flurry of sixteenth-note scale runs and a final neighbor-note figure, as seen in mm. 272–73. The downbeat of m. 274 is the place where the recapitulation stops corresponding to the exposition (which, after the sixteenth-note flurry, brings a series of quarter-note tonic chords as a final codetta; see Ex. 15.1b). Thus this moment must be identified as the start of the coda.

For the coda, Beethoven retains the quarter-note motion, but rather than being tonic chords, as in the exposition, he introduces an ascending scale pattern for two bars, which projects an overall harmony of V^7/IV. Following the first fermata, he sequences this scale down a third, to project V^7/II and a second fermata. Given the fermatas, this passage resembles a "transitional introduction," such as that found sometimes at the beginning of a development (see Chap. 13, p. 459).

In what now seems like the beginning of a coda theme proper, the harmonic sequence continues at m. 282 with V^7/V. A new model brings a more rhythmically active countermelody in the first violin, which itself leads, at m. 284, to a motivic reference to the opening basic idea of the main theme, immediately imitated in the viola one bar later. The model is itself repeated sequentially, now in the context of the home-key dominant. This model-sequence technique involving 4-m. groups is suggestive of a "core" of a development, except that the harmonic areas remain closely allied with the home key.

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At m. 290, we would expect the dominant to resolve to tonic, but the music remains "stuck" on the dominant for another four bars, somewhat in the manner of a premature dominant arrival and standing on the dominant. Once the music that follows brings a clear continuation function, which eventually leads to an expanded cadential progression (mm. 298–302) and a final PAC, we can recognize that the coda theme is structured less like a core and more like a subordinate theme, one that includes an internal dominant arrival followed by a "new continuation."

The coda concludes with its own closing section built with material that resembles the beginning of the closing sections of both the exposition and the recapitulation (not shown).

The one compensatory function found within this coda relates to the music of the "new continuation" (which follows the internal dominant arrival and standing on the dominant). These measures, 294–99, bring back ideas from the exposition's main theme (mm. 13–17) that Beethoven deleted in the recapitulation when he fused together the main theme and the transition.

EXAMPLE 15.1 (a) Beethoven, String Quartet in F, Op. 18, No. 1, i, 272–313; (b) 111–14

EXAMPLE 15.1 *Continued*

(continued)

EXAMPLE 15.1 *Continued*

b)

Allegro con brio **EXPOSITION** closing section

C: I …
(V)

Let's Practice

EXAMPLE 15.2 (a) Mozart, Violin Sonata in B-flat, K. 454, i, 143–59; (b) 58–65

a)

Allegro

(continued)

EXAMPLE 15.2 *Continued*

b)

Example 15.2: answer these questions on the short coda of this violin sonata. (The closing section of the exposition is given in Ex. 15.2b.)

1. The coda "technically" begins in which measure? Why?
2. Where is the PAC that marks the end of the coda theme?
3. What motivates the repetition (in mm. 151–52) of the eighth-note chords that appeared in mm. 149–50?
4. What do we call the unit from m. 153 to m. 159?
5. From a phrase-structural point of view, what alternative beginning point could be identified for the "coda theme"? How would the phrase functions within that entire theme then be analyzed?
6. Look at the list of possible "compensatory functions" that are often found in codas (see p. 521) and consider which one of them is applicable in this case. (Hint: look at the dynamic markings at the end of the exposition in comparison to the coda.)

More Details

Melodic-motivic Material of the Coda

The melodic-motivic content of a coda may draw on any prior material presented in the movement. The reappearance of main-theme material is particularly common, for reasons to be discussed later in the section "Compensatory Functions." New material may even be encountered, though in such cases the composer tends to use highly conventionalized "passage work," often in connection with cadential or postcadential areas.

The composer normally avoids introducing new, salient material that might call for further development and avoids initiating new processes that cannot be completed. Both these situations could raise expectations of further continuation and counter the classical aesthetic ideal that once the music finally stops, the listener should have no desire to hear anything more in the movement.

The rare insertion of new, highly characteristic material in the coda—such as the funereal music in the first movement of Beethoven's Ninth Symphony—suggests extramusical or programmatic intentions that go beyond the strictly internal relationships within the movement.

Start of the Coda

Unlike an exposition, development, or recapitulation, whose beginning is usually articulated by a clear initiating function (or at least a manifest change in the musical material), the onset of the coda is often not so readily perceived.

In many cases, the coda is obviously under way before it expresses any sense of formal initiation. For this reason, the "start" of the coda is best located at the

moment when the music of the recapitulation no longer corresponds to that of the exposition, even if this moment is not perceived as a structural beginning.

On a few occasions, the start of the coda is unambiguous: the closing section of the recapitulation is clearly over, rhythmic continuity is broken, the texture changes, and a new initiating unit (such as a basic idea or presentation) begins the coda.

Sometimes the notation indicates that the coda starts after the double-bar lines that instruct the performer to repeat the development and recapitulation together. Mozart, in particular, often separates his codas from the two prior sections by means of this notational device. But we must be careful: there are many cases, especially in Haydn, where the coda itself is included within the repetition scheme, and we cannot exclude the possibility that a genuine coda exists even when a double-bar line and repeat signs occur at the very end of the movement (thus requiring the coda to be performed again along with the development and recapitulation).

Often, the coda begins with a medial, or even a concluding, function, and a true structural beginning is not expressed until later in the coda, if at all. A coda frequently starts directly with a new model-sequence passage (see Ex. 15.1, mm. 274ff.) or repeats sequentially the last idea of the recapitulation (as in Ex. 15.2, mm. 147ff.).

If the exposition closes with a retransition leading back to the home key, the recapitulation may conclude with a similar "retransition" leading to the subdominant (or occasionally the supertonic); the coda typically starts somewhere in this passage.

The following examples treat cases in which the coda's start cannot easily be identified by the listener.

EXAMPLE 15.3 Mozart, String Quintet in G minor, K. 516, i, 230–35

Example 15.3: the recapitulation ends at m. 231 with a "retransition" leading to the subdominant region for a repeat of the development and recapitulation (as indicated by the double bar and repeat signs). The coda starts in the following measure by continuing the retransition material, now adjusted so that the music remains firmly in the home key.

A functional beginning, however, is not sensed until m. 235 with the return of the main theme's basic idea. The start of the coda is thus indicated notationally at m. 232, even though this moment in time is not aurally perceived as a formal beginning.

EXAMPLE 15.4   Mozart, Symphony No. 36 in C ("Linz"), K. 425, i, 264–87

Example 15.4: the recapitulation ends with a reference to the retransition of the exposition (see Ex. 13.6, mm. 119–22). This "retransition" begins to move to the

subdominant at m. 267 but becomes redirected toward the supertonic in the following measure. Measure 269 then marks the start of the coda, since this is where the music departs from the path of the exposition.

Example 15.5: the recapitulation ends at m. 244 with the PAC closing the second subordinate theme. The coda then starts by sequencing up a third (literally down a sixth) the cadential idea, which is fragmented in the following measures.

By starting the coda in a broader model-sequence process (already begun at the end of the recapitulation), a functional continuation, not an initiation, is expressed. Indeed, a true sense of structural beginning does not appear until very late in the coda (see ahead Ex. 15.8), when main-theme material is brought back a final time.

EXAMPLE 15.5 Haydn, Symphony No. 97 in C, i, 236–64

Phrase-structural Organization of the Coda

A major distinguishing feature of a coda, as opposed to a closing section consisting of codettas, is the presence of at least one thematic unit that concludes with a perfect authentic cadence. This *coda theme*, as it may be labeled, is frequently

organized along the lines of a subordinate theme; that is, the theme typically contains the standard loosening devices associated with that thematic function. (The material content of a coda theme now and then employs ideas originally found in the subordinate theme area, but more often than not it uses material taken from other sections of the movement.)

The cadential function of the coda theme is especially prone to loosening through extension and expansion. By these means, considerable emphasis can be accorded to the final cadence of the movement.

FOCUS ON FUNCTION

Coda Theme. *It is useful to identify the thematic unit (or units) appearing in a coda with some kind of label, and so the term* coda theme *has been proposed here to serve that purpose.*

Unlike other terms that identify themes, however, coda theme does not imply any particular formal function except that the thematic unit occurs within the scope of the coda. Thus unlike "main theme" or "subordinate theme," which have particular formal characteristics associated with their functions, coda theme does not imply such functional specificity.

Coda theme is thus a functionally neutral label, akin, in that respect, to the "pre-core" of the development section.

Example 15.6 (specific loosening devices typical of a subordinate theme are highlighted here in italics): the coda starts at m. 265 when the final cadence of the recapitulation's subordinate-theme group is evaded by VII^6/V, which then leads to a half cadence at m. 267 and eight measures of standing on the dominant. The reduced orchestration and change to *piano* at the upbeat to m. 276 signal the beginning of the first coda theme.

A new presentation (built with material similar to the preceding standing on the dominant) is supported by a *weak tonic prolongation* owing to the metrical placement of the harmonies (dominant on strong measures, tonic on weak measures). (This hypermetrical interpretation assumes that, in general, odd-numbered measures from the beginning of a group are metrically stronger than even-numbered ones.) The following continuation⇒cadential phrase (mm. 280–87) is supported by an *expanded cadential progression*, whose pre-dominant is embellished by neighboring chords.

The concluding PAC at m. 287 elides with a second coda theme, one that brings a *modal shift* to minor and that *omits an initiating function* by beginning directly with model-sequence technique. The music leads quickly to an *internal dominant arrival* at m. 293; the subsequent standing on the dominant is followed at m. 301 by a new *expanded cadential progression*, whose initial I^6 is prolonged by the conventional V^4_2. The theme achieves powerful closure with the PAC at m. 309.

EXAMPLE 15.6   Haydn, Symphony No. 104 in D ("London"), iv, 261–312

(continued)

EXAMPLE 15.6 *Continued*

[Coda Theme 3 (fr. M.T.)]

Although coda themes are normally loose in structure, a conventional tight-knit organization appears now and then. Most often such themes are based on the main theme of the exposition, and sometimes they even duplicate its form. A tight-knit coda theme can also be derived from other material in the movement.

Most coda themes close with a PAC in the home key. Therefore, depending on whether they are constructed in a tight-knit or loose manner, their formal organization will resemble either a main or a subordinate theme. Some units of a coda, however, conclude with an HC (or dominant arrival). In such cases, the passage resembles the kinds of structures found in a transition or development. A half cadence usually appears early in a coda, especially when the section starts without any obvious sense of functional beginning.

Example 15.5: as mentioned earlier, the initial unit of the coda begins with a sequential repetition of the cadential idea from the end of the second subordinate theme. The coda continues at m. 250 with further model-sequence technique based on this model and eventually arrives on an HC at m. 261, followed by a standing on the dominant.

The extensive sequential activity in this opening unit is comparable to a transitional or even developmental passage. (The entire unit from m. 246 to m. 267 could also be analyzed as closing with an internal HC, thus forming the first part of a two-part coda theme, analogous to a two-part subordinate theme.)

Example 15.7: the coda begins at m. 202 by eliding with the final cadence of the recapitulation's second subordinate theme. The music at this point appears to function as a closing section, but after a fairly extensive tonic prolongation the dramatic appearance of the F♯ seventh chord in m. 214 throws into doubt the prevailing harmonic-tonal context.

When this striking sonority eventually leads to a dominant arrival of the home key at m. 222 (by means of an intervening B-minor six-four, mm. 218–21), we understand that the F♯ seventh chord functions to be an unusual chromatic pre-dominant (built on the raised-fourth scale degree).

The resulting dominant arrival at m. 222 is premature, since nothing here suggests the end of any phrase-structural process. A subsequent standing on the dominant stretches from m. 226 to m. 237, after which main-theme material returns (shown earlier in Ex. 3.8). (Exs. 15.7b and 15.7c are discussed later in this chapter.)

EXAMPLE 15.7 (a) Haydn, Piano Trio in C, H. 27, iii, 199–261; (b) 66–75; (c) 88–93

(continued)

EXAMPLE 15.7 *Continued*

EXAMPLE 15.7 *Continued*

(continued)

EXAMPLE 15.7 *Continued*

b) **EXPOSITION**
Subordinate Theme 1

G: V($^6_4$ ^{7}) //   VII^6/V ————————————— (III$^6_4$)   V^7/III
(V)   ev. cad.

EXAMPLE 15.7 *Continued*

Most codas end with a closing section (made up of codettas) that follows the final PAC of the home key. The melodic-motivic content of this closing section may be new (see ahead Ex. 15.11, mm. 103ff.), or it may be based on material appearing earlier in the movement. Sometimes the closing section is extremely short, or it may be omitted altogether.

If the material of the exposition's closing section is deleted in the recapitulation (because the composer either employs new material for the recapitulation's closing section or else starts the coda immediately after the subordinate-theme group), the coda likely restores that deleted material as its own closing section (see the later discussion of Ex. 15.7, in the section "Restoration of Deleted Material"). When that is the case, the coda can sometimes give the impression of being interpolated in, rather than following on, the recapitulation. Haydn frequently employs this technique, which, given his tendency to significantly rewrite the recapitulation vis-à-vis the exposition, can create considerable ambiguity as to whether or not the movement contains an independent coda.

Compensatory Functions

In addition to its primary function of expressing an after-the-end, most codas also treat compositional matters not directly implicated in the movement's more fundamental tonal and formal processes (these are generally completed in the recapitulation). Various scholars have drawn attention to how the coda disposes of "unfinished business" (Charles Rosen), effects "thematic completion" (Joseph Kerman), and achieves the true "culmination" of the movement (Robert P. Morgan).[2]

FOCUS ON FUNCTION

Coda as "Conclusion" vs. Coda as "After-the-end". *Insofar as the coda wraps up loose ends left hanging from earlier sections, it functions as the movement's genuine conclusion. This characterization would seem to clash with our understanding of a coda expressing an after-the-end formal function.*

These conflicting functional interpretations can be reconciled by acknowledging that the highly complex organization of a classical instrumental movement gives rise to many compositional processes beyond the fundamental tonal, melodic, and phrase-structural ones initiated by the exposition and ultimately completed by the recapitulation.

Whereas the coda does not normally involve these primary processes—and thus appears after-the-end—those other, secondary processes often attain closure only in the coda, thus finally allowing the movement to conclude.

A major reason that the coda takes on these roles is that the preceding recapitulation is highly constrained in how it can deal with ideas arising earlier in the movement. Since the recapitulation is normally required to bring back material from the exposition in essentially the same order, there is little opportunity, say, for recalling the main theme late in the movement, for referring to ideas arising in the development, or for shaping a new dynamic curve to end the movement.

As a result, the coda offers the opportunity to compensate for the inappropriateness of earlier sections to achieve these and other compositional goals. Five *compensatory functions* of a coda are regularly observed in the classical repertoire.

Recollection of Main-theme Ideas

The notion that the musical material at the beginning of a movement should return toward its end—thus lending a kind of circularity to the overall form—gained a certain currency in the classical period. In fact, some full-movement forms (large

ternary, five-part rondo, and sonata-rondo) require a return of the main theme (or at least a significant portion of it) toward the close of the movement.

But other formal types, such as the sonata and minuet, call for the return of the main theme only at the beginning of the recapitulation. In these forms, if the composers wish to bring back main-theme material late in the movement, they normally have to place it in a coda. Indeed, this is perhaps the coda's principal compensatory function, for most codas refer at some point to main-theme ideas.

> **Example 15.7: the return at m. 238 of main-theme material imparts a distinctly rondo character to this sonata-form finale. The series of deceptive cadences (mm. 245 and 247) loosens the structure (in the sense of a subordinate theme) and thus creates a greater sense of cadential arrival than originally found in the main theme itself (compare Ex. 3.8).**

EXAMPLE 15.8   Haydn, Symphony No. 97 in C, i, 279–93

> **Example 15.8: main-theme material appears for a final time at m. 279 of the coda. In its original version (see Ex. 10.4), the fanfare opening, with its exclusively tonic support, is eventually followed by a cadential phrase (mm. 22–25) to close the theme.**
>
> **In the coda, the root-position tonic is retained obsessively to the end, thus prohibiting any cadential activity. As a result, material that functioned as a main theme at the beginning of the exposition (and the recapitulation) now functions as a closing section at the end of the coda.**

Restoration of Deleted Material from the Recapitulation

To fulfill its own particular formal functions, the recapitulation frequently deletes passages that appeared in the exposition. The possibility of "recapitulating" this deleted material is offered by the coda.

Example 15.7: the dramatic tonicization of B minor occurring at mm. 214–21 was already described as an unusual prolongation of pre-dominant harmony (built on ♯$\hat{4}$ in the bass). Beyond the passage's function of leading to a dominant arrival, its appearance here is surely motivated by a similarly dramatic tonicization of B minor (SK: III) in the course of a new continuation passage that follows an evaded cadence in the exposition's subordinate theme; see Example 15.7b, mm. 69–70.

If Haydn had wanted to bring back this same continuation in the recapitulation, he would have had to transpose it down a fifth into E minor for the purpose of tonal adjustment. So in order to "recapitulate" a comparable harmonic event *at its original tonal level*, he deletes that continuation from the recapitulation and instead introduces a new B-minor tonicization into the coda.

Another deleted passage from the recapitulation reappears at the end of the coda's closing section (Ex. 15.7a, mm. 255–61). This series of reversed "oomp-chink" ideas would ordinarily have been placed at m. 202 to serve as the closing section of the recapitulation along the lines of the exposition, shown in Example 15.7c.

Instead, Haydn writes a different closing section at m. 202 (Ex. 15.7a), consisting of running sixteenth notes (probably to create a greater sense of rhythmic momentum leading up to the dramatic F♯ seventh outburst at m. 214). At the final cadence of the coda (m. 249), he brings back a new series of running sixteenth notes but eventually (at m. 255) restores the closing section deleted from the recapitulation in order to conclude the coda as he concluded the exposition.

Reference to the Development Section

Whereas the recapitulation requires the composer to rework the exposition, opportunity is not necessarily found to treat material of the development section within the recapitulation proper. If the composer wishes to refer to ideas from the development, the logical place to do so is in the coda, especially at its start.

Indeed, the opening of that section lends itself well to recalling the opening of the development, because both follow upon similar material, namely, the closing section of the exposition and recapitulation. Moreover, the early part of the coda is an appropriate place to destabilize the prevailing emphasis on home-key tonic, especially through the use of model-sequence technique, which may resemble passages from a development.

"TERMINAL" DEVELOPMENT

The analogous formal positions of development and coda—both following on similar sections (exposition and recapitulation)—have led some earlier theorists to view the coda as a "terminal" development, particularly in the hands of Beethoven.

(continued)

"Terminal" Development continued:

But this view, which has now largely fallen into disrepute, fails to differentiate the fundamentally different tonal and formal organizations displayed by the development and coda. To say that the coda refers to material from the development is not to claim that the former functions, or structures itself, like the latter.

Example 15.4: the opening of the coda (m. 269) clearly derives from the core of the development (see Ex. 13.6, mm. 128ff.). Indeed, the rest of the coda (except the last seven measures) "develops" this material, though entirely in the stable context of the home key.

Although the original source for the ascending "jagged" line and its subsequent linear descent is the retransition at the end of the exposition (Ex. 13.6, mm. 119–22), the extensive treatment of this idea in the core gives the impression of its being "new" material, largely unrelated to what happens in the exposition. For this reason, it is appropriate for the material to appear again, this time adjusted back into the home key. The coda provides the logical place for this "recapitulation" of material "exposed" in the development.

Shaping a New Dynamic Curve

If a sonata-form movement ends with the closing section of the recapitulation, the final *dynamic curve* of the movement normally conforms to that established by the closing section of the exposition. For example, if the exposition's closing section features a recessive dynamic leading to *piano* and then concludes suddenly with several *forte* codetta chords, this same dynamic pattern usually reappears at the close of the recapitulation.

In some cases, however, how the exposition ends dynamically is not suitable for ending the complete movement, and thus the composer may very well use a coda to shape a new dynamic curve. Some of the most striking examples are in works by Beethoven, in which an extensive passage of progressive dynamic leads to a powerful climax in the movement (for example, the first-movement codas in the Third and Seventh Symphonies feature well-known examples of enormous orchestral crescendos).

The coda can also close with a marked recessive dynamic, sometimes leading to a complete dissolution of the texture (see, for example, Beethoven's *Coriolanus* overture).

Example 15.9: matching the exposition, the closing section of the recapitulation (mm. 164–67) ends within a prevailing *forte* dynamic (the actual *forte* symbol first appears earlier at m. 160). The opening coda theme continues with *forte* until the PAC at m. 176, where the dynamic suddenly shifts to *piano*.

This softer dynamic continues throughout the coda's closing section (except for some occasional *forte* accents), and the final codetta brings the dynamic level even further down to *pianissimo*. The coda thus provides an opportunity for Mozart to change completely the dynamic curve for the close of the movement compared to how the recapitulation (and exposition) ends.

EXAMPLE 15.9   Mozart, Piano Sonata in C minor, K. 457, i, 164–85

Realization of Unrealized Implications

Many of the compositional processes initiated in a work imply particular modes of continuation. Some of these implications are realized immediately, others are deferred until later in the movement, and still others may never be realized at all.

The coda gives the composer the last opportunity of realizing an earlier implication, often one that would not have found an appropriate realization in other sections of the movement. These implications usually arise in relation to the main theme, particularly a "problem" or "disturbance" that is not resolved until the coda.

Example 15.10: the return to main-theme ideas in the coda (m. 144) realizes an interesting implication engendered by the expressive turn to minor at mm. 22–25 of the exposition's main theme (Ex. 15.10b). Since a modal shift is most unusual in a main theme, its use here implies that the theme may return later, expunged of this minor-mode disturbance. Indeed, an explicit modal shift is eliminated in the coda's version of the theme, although Mozart continues to make oblique reference to the minor mode by means of the C♭s in the lower voice of mm. 151 and 155.

A different implication is realized when the coda version of the theme closes with a PAC (m. 158), which was eliminated in the recapitulation (Ex. 15.10c). There, the modal shift at m. 91 leads the music into the remote region of C-flat minor (notated as B minor). The appearance of C-flat minor at m. 96, of course, is itself a realization of the implication that the pitch C♭ in mm. 22–25 (Ex. 15.10b) may later be exploited as a significant tonal region.

EXAMPLE 15.10   (a) Mozart, Symphony No. 39 in E-flat, K. 543, ii, 144–61; (b) 20–27; (c) 91–96.

(continued)

EXAMPLE 15.10 *Continued*

Example 15.11: the coda begins with an explicit reference to the main theme. In the exposition, this theme is constructed as a compound period (see Ex. 5.14), whose constituent antecedent and consequent units are simple sentences.

In the coda, the 4-m. presentation is brought back intact (mm. 91–94), but the continuation is markedly different from either version of the exposition (Ex. 5.14, mm. 5–8 and mm. 13–16). There the continuation brings striking intensification in both rhythm and melody (the use of the double-dotted eighth and thirty-second figure and the rapid ascents leading first to the high A♭ in m. 6 and then to F in m. 14).

This prominent increase in rhythmic and melodic activity is appropriate enough for the beginning of a movement, where the composer strives to "open up" a variety of compositional processes. The implication for a simpler continuation is ultimately realized in the coda (mm. 95–102), where the continuation phrases (and the subsequent codettas) have a decidedly "closing down" character, owing to the linear descent from the fifth scale degree in generally even note values.

EXAMPLE 15.11   Beethoven, Piano Sonata in C minor, Op. 10, No. 1, ii, 89–112

Reviewing the Theory

Answer These Questions

1. How does one determine where the coda "starts"? Why does that moment not necessarily sound like a "beginning"?
2. Which sequential progression is most popularly used in codas?
3. What is the difference between a coda and a codetta?
4. Coda themes tend to be organized like which other thematic function?
5. Most coda themes end with which kind of cadence?
6. What aesthetic goal is achieved by the coda recalling main-theme material?
7. Why is it that developmental ideas are more appropriately recalled in the coda than elsewhere in the form?

True or False?

1. The coda makes up the last part of the recapitulation.
2. The coda may start directly with model-sequence technique.
3. Coda themes usually end with an HC (or dominant arrival).
4. Highly expanded cadential progressions are commonly featured in codas.
5. The coda may be included in the repeat of the development and recapitulation.
6. A half cadence and standing on the dominant often appear early in a coda.
7. The final event of a coda (and thus of a movement) is typically a PAC.

Multiple-choice Questions

Choose a letter (there may be more than one) that correctly answers the question.

1. Which of these are compensatory functions of the coda?
    a. Recalling main theme materials
    b. "Adjusting" the music to remain in the home key
    c. Shaping a new dynamic curve
    d. Referencing ideas from the development section

2. Which is likely to occur at the start of the coda?
    a. The appearance of a tight-knit theme (often based on the main theme)
    b. Material that extends the closing section of the recapitulation
    c. A shift toward the subdominant region
    d. A series of evaded cadences

Examples for Analysis

The following excerpts have been chosen to illustrate some of the techniques associated with codas. In some cases, you will have to consider events that occur earlier in the movement (which, unfortunately for lack of space, cannot be shown here).

EXAMPLE 15.12   Beethoven, Piano Sonata in E-flat, Op. 31, No. 3, i, 218–53. The excerpt starts with the end of the closing section of the recapitulation. The coda starts on the downbeat of m. 220. The material of mm. 246–49 is derived from the transition. The exposition's main theme and first subordinate theme are shown in Examples 10.10 and 12.12

(continued)

EXAMPLE 15.12 *Continued*

EXAMPLE 15.13 Haydn, Piano Sonata in E-flat, H. 49, i, 188–218. The excerpt starts with the end of the recapitulation's closing section, shown in Example 14.20. The exposition's main theme, transition, subordinate theme (or theme group), and the development's first core are shown in Examples 6.22, 11.3, 12.19, and 13.3 respectively

EXAMPLE 15.14   Mozart, Piano Sonata in F, K. 332, iii, 225–45. The excerpt begins with the end of the recapitulation's closing section. The coda starts on the downbeat of m. 227. The material of the coda is based on the end of the main-theme group, which is shown in Example 5.16

EXAMPLE 15.15 Beethoven, Violin Sonata in A minor, Op. 23, i, 220–52. The excerpt begins with the end of the recapitulation (the repeat signs, along with the first and second endings, instruct the performer to repeat the development and recapitulation together). Note the *fortissimo* dynamic at the end of the recapitulation's closing section; the exposition closes in the same manner

Slow Introduction

The exposition of a fast sonata movement is optionally preceded by a *slow intro-duction*, which functions as a "before-the-beginning" of the entire movement. Only a small minority of sonata forms begin with a slow introduction, and they occur most often in the "public" genres of symphony or overture. Slow intro-ductions appear now and then in the chamber repertoire, especially the string quartet, but only rarely in the solo sonata.

The Basics

Of all the large-scale units of classical form, slow introductions are the least predictable in their organization, and so it is difficult to generalize about their internal phrase structure and formal functionality.

TAMING THE TERMS

Slow Introduction vs. Thematic Introduction. *Just as a coda must be distinguished from a codetta, so too must a slow introduction be dif-ferentiated from an introduction that precedes a theme, even though both express the temporal function of before-the-beginning. And like the difference between coda and codetta, a slow introduction differs from a thematic introduction with respect to both its location in the movement's structural hierarchy and the complexity of its formal organization.*

A thematic introduction resides on a hierarchical level comparable to that of a basic idea, contrasting idea, etc. This short unit is normally sup-ported by a tonic prolongation and generally has no melodic profile (see Chap. 5, p. 133).

Conversely, a slow introduction resides on a level comparable to that of an exposition, development, recapitulation, and coda, and it normally consists of one or more thematic units.

Slow introductions usually contain their own prominent melodic-motivic material, supported by a variety of harmonic progressions. Many introductions articulate their cadences in a way that suggests an overall bipartite or tripartite formal organization, and some large ones contain four or more distinct parts. In general, however, slow introductions tend toward formal loosening, only rarely projecting conventional theme types.

In the majority of cases, the harmonic goal is dominant of the home key, but now and then a slow introduction closes with an authentic cadence that elides with the beginning of the exposition.

A slow introduction typically invokes a solemn, serious tone, and yet it also arouses a strong sense of anticipation for the livelier character expressed by the rest of the movement. Fanfare motives are typically encountered, yet these motives, and others of a "stately" nature found within the introduction, are often tempered by a general sense of hesitancy and uncertainty, so as not to give the impression that the movement has truly begun.

EXAMPLE 16.1   Mozart, Violin Sonata in B-flat, K. 454, i, 1–15 (R = ½N)

EXAMPLE 16.1   *Continued*

Example 16.1: this slow introduction opens with a majestic fanfarelike basic idea (R = ½N). A contrasting idea in m. 2, lyrical yet somewhat limping and hesitant, ends on a dominant seventh, thus ruling out a potential HC at that point.

The resulting compound basic idea is repeated (mm. 3–4) to create a compound presentation. The following continuation⇒cadential phrase is itself preceded, quite unusually, by an "introductory" vamp and brings greater rhythmic continuity than does the presentation, in which each of the constituent ideas is followed by a rest. The IAC at m. 7 motivates a repetition of the phrase, which eventually closes with a PAC at m. 9.

The remaining music of the introduction brings a standing on the dominant. Since this passage directly follows full cadential closure, it resembles a typical contrasting middle (B section). But the implied small ternary becomes *truncated* when the resolution to tonic at m. 14 initiates the exposition of the movement, rather than bringing a return of the opening fanfares.

Let's Practice

EXAMPLE 16.2   Beethoven, Piano Sonata in C minor ("Pathétique"), Op. 13, i, 1–13 (R = ½N)

(continued)

EXAMPLE 16.2 *Continued*

attacca subito il Allegro

Allegro di molto e con brio

Example 16.2: answer these questions on this slow introduction.

1. On the basis of its cadential organization, this slow introduction can be divided into how many parts? Identify each cadence by type and location.
2. What is the formal organization of mm. 1–5 (R = ½N)?
3. What is the formal organization of mm. 5–11? What loosening devices are exhibited in these measures?
4. In what respects does the overall formal organization of the introduction resemble one of the conventional theme types?

More Details

Not surprisingly, slow introductions are used most often to open the first movement of an instrumental cycle, in which case they also provide a sense of introduction to the work as a whole. On occasion, however, Beethoven opens a finale movement with a slow introduction, as in his First Symphony.

Whereas some slow introductions are relatively short, others, such as the opening of Beethoven's Second and Seventh Symphonies, are so extensive as to occupy a significant proportion of the movement as a whole. A slow introduction itself can even open with a thematic introduction.

Style and Affect

A notable characteristic of slow introductions in the classical style is the special way in which they unite the expression of two seemingly incompatible affective worlds: the realm of the stately, heraldic, and solemn is combined with the realm of the anticipatory, uncertain, and unstable.

The sense of solemnity is expressed by the slow tempo, fanfare gestures, tutti textures, dotted rhythms, and an initial *forte* dynamic. The sense of anticipation is created by marked discontinuities in such dimensions as melody, rhythm, texture, and dynamics, instabilities of harmonic progression, minor modality, and chromaticism (at times extreme). To be sure, some slow introductions play down, or even lack, a stately character, but they almost always contain something of the uncertain and hesitant.

BAROQUE ANTECEDENTS

The stately and heraldic qualities of the classical slow introduction surely derive from the high-Baroque "French overture" style, which is associated with an introductory movement (or part of a movement) and is characterized by fanfare gestures, double-dotted rhythms, and an overall courtly sense of pomp and circumstance.

Generally lacking in the French overture, however, is the anticipatory, hesitant gestures that typify the slow introduction of a classical sonata form. Thus the later style period dramatizes the sense of introduction by making it a more premonitory event.

Tonal, Phrase-structural, and Motivic Organization

Slow introductions typically begin with tonic harmony of the home key and, in short introductions, remain in that key throughout. In multipart introductions, a brief modulation typically occurs (see Ex. 16.2 as well as the two examples discussed below). Prominent tonicizations and an emphasis on minor modality (in movements that are otherwise in major) are common.

In the majority of cases, the harmonic goal is the dominant of the home key, articulated by an HC (or dominant arrival) and followed by a standing on the dominant. This harmonic emphasis is most appropriate, of course, for building up a powerful expectation for home-key tonic at the start of the exposition. Often enough, however, introductions close with an authentic cadence that elides with the beginning of the exposition (see again, Ex. 16.2). In some exceptional cases, the moment representing the structural end of the introduction actually occurs somewhat after the exposition has begun (see Ex. 10.5, m. 20).

As befits their expression of uncertainty and instability, slow introductions are usually loose in formal organization, although tight-knit theme types do appear now and then. Many introductions are bipartite or tripartite in form (as articulated by cadences), and some larger ones contain four or more distinct parts.

Many slow introductions by Haydn and Mozart present melodic-motivic material having no immediately obvious relation to the rest of the movement. But in some of their late works, and in many by Beethoven, the slow introduction hints at ideas that are more fully realized later on.

EXAMPLE 16.3   Haydn, Symphony No. 104 in D ("London"), i, 1–21 (R = ½N)

Example 16.3: the opening basic idea (R = ½N), a *fortissimo* fanfare motive sounded by the full orchestra, immediately creates an air of dignified solemnity. Note, however, that a degree of uncertainty is already projected by this idea and its immediate repetition in m. 2: the fermatas prohibit the establishment of rhythmic continuity and metrical definition, and the lack of a harmonic third raises doubt about the mode.

The following continuation clarifies the modality and establishes a regular pulse, yet the character of the ideas is hesitant and unsure (especially with the leading tone dangling at the end of mm. 3 and 4). At the same time, the continued use of the fanfare rhythms maintains an impression of the heraldic.

The continuation modulates to the relative major and closes there with a PAC on the downbeat of m. 7. Because of the marked discontinuity of dynamics, texture, and melodic line from the end of m. 6 to the downbeat of m. 7, it is possible to consider the PAC to be evaded. Although such an interpretation is feasible, it is probably not preferred, since a cadential evasion usually motivates a repetition (in the sense of "one more time") and subsequent true authentic cadential closure, neither of which occurs here. (Similar potential evasions arise at mm. 14 and 17.)

The cadence at m. 7 elides with a new thematic unit, one that brings back the opening fanfare motive. This passage clearly parallels the first one but acquires a looser expression because of the model-sequence technique at the beginning of the continuation (mm. 9–10). A modulation back to the home key is confirmed by the PAC at m. 14.

A second return of the fanfare idea brings several surprises: measure 15 appears unexpectedly *pianissimo,* and the descending leap is enlarged by a step, thus reaching down to the subdominant, which initiates a final cadential progression. Note that despite the fermata, the dominant seventh harmony of m. 16 is penultimate and that the resolution to tonic at the beginning of the exposition creates an elided cadence to mark the end of the introduction. (This final cadence could also be heard as evaded, in which case the introduction would end without genuine cadential closure.)

The overall form emerges as a highly deviated small binary (part 1 = mm. 1–7, part 2 = mm. 7–14), followed by a closing section (mm. 14–17). Several unusual features of this interpretation, however, must be mentioned. First, the two parts of a real small binary are never elided, as is the case here. Second, the "closing section" brings a stronger sense of closure (which is due to a more expanded cadential progression) than does the end of the second part. Such irregularities, of course, are not surprising in light of the nonconventional form normally taken by a slow introduction.

Example 16.4: the introduction begins with a compound basic idea sounded by the violin alone. The lack of piano accompaniment immediately creates a textural gap, which adds a degree of uncertainty to what is otherwise a stately sarabande-like gesture. The next phrase brings back the compound basic idea, now played exclusively by the piano, and the immediate shift to minor, typical of an introduction, permits a smooth modulation to the mediant (C major).

Subsequent fragmentation, beginning with the upbeat to m. 9, leads to an HC in that key (m. 13), followed by a brief standing on the dominant (lasting to the middle of m. 14). The formal situation thus far resembles a compound sentence. Problematic in this interpretation, of course, is the lack of tonic prolongation at the end of the compound presentation.

At the downbeat of m. 15, the expected dominant of C major is modally inflected to become a G-minor triad. This harmony allows the music to tonicize D minor, and the introduction itself literally ends on this sonority, which is then understood to be IV in A minor, the home key of the movement as a whole.

Ending an introduction on a minor triad is unusual, since that chord cannot be construed as a dominant, the more conventional ending harmony. But the logic of Beethoven's strategy immediately becomes clear when we hear the exposition's basic idea (mm. 19–20), supported at first by the pre-dominant IV (the D-minor harmony) and then leading to the dominant. (See Ex. 10.6 for the rest of the main theme.)

Rather than choosing a harmony whose resolution would bring the pre-dominant at the start of the exposition, Beethoven introduces this harmony in advance, toward the end of the introduction, and simply sustains it for the new beginning. In addition to anticipating the opening harmony of the main theme, the end of the introduction also anticipates that theme's melody, since the violin part repeatedly sounds the opening motive E–F from the beginning of m. 16 onward.

EXAMPLE 16.4   Beethoven, Violin Sonata in A minor ("Kreutzer"), Op. 47, i, 1–20

(continued)

EXAMPLE 16.4 *Continued*

Reviewing the Theory

Answer These Questions

1. Which genres are most likely to contain a slow introduction?
2. What two seemingly incompatible "affective states" are frequently found together in a slow introduction?
3. Most slow introductions end with what kind of cadence?

True or False?

1. The final PAC of a slow introduction may elide with the beginning of the exposition.
2. Slow introductions tend to be tight-knit in formal organization.
3. Many slow introductions are bipartite or tripartite in form.

Multiple-choice Question

Choose a letter (there may be more than one) that correctly answers the question.

1. Which are characteristic features of a slow introduction?
   a. Fanfare motives
   b. Hesitant, "limping" gestures
   c. Modal mixture
   d. Ending on dominant harmony

Examples for Analysis

The following excerpts have been chosen to illustrate some of the techniques associated with slow introductions.

EXAMPLE 16.5 Beethoven, Piano Sonata in E-flat, Op. 81a ("Lebewohl"), i, 1–22. Note that, exceptionally, the slow introduction continues on into the beginning of the Allegro tempo. The main theme proper begins on the downbeat of m. 21

EXAMPLE 16.6   Beethoven, Symphony No. 1 in C, Op. 21, i, 1–16. The main theme begins on the downbeat of m. 13

Other Full-Movement Forms

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Slow-Movement Forms

This chapter examines three formal types often found in slow movements: large ternary form, theme and variations form, and sonata without development form. Slow movements also feature regular sonata form, though often modified in ways that are considered at the end of the chapter (see "Finer Points"). Another typical slow-movement form, the five-part rondo, is discussed with the other rondo forms in Chapter 19.

The Basics

Most instrumental cycles in the classical period contain at least one movement that is performed in a slow or moderately slow tempo (Adagio, Largo, Andante). This movement normally occupies an interior position in the cycle and is usually set in a contrasting tonality—typically the subdominant—of the cycle's overall key. Sometimes the slow movement is set in the contrasting modality of that key.

Though we are treating theme and variations in a chapter on slow movements, this formal type is found frequently enough in outer movements, especially in moderate to fast finales. (In fact, most of the examples of theme and variation form discussed in this chapter happen to be taken from finale movements.) Likewise, the sonata without development is sometimes used in overtures written in a fast tempo.

FORMAL SIMPLICITY IN SLOW-MOVEMENT FORMS

If all the movements of an instrumental cycle were constructed with the same degree of formal complexity, the slow movement would last considerably longer than the other movements, because of the slower pacing of its events. Thus to maintain a relatively consistent length among the movements, composers often select an inherently simpler formal type for the slow movement.

(continued)

> **Formal Simplicity in Slow-movement Forms continued:**
>
> *Compared with the highly elaborate schemes of the sonata, the sonata-rondo, and the concerto (the most common fast-movement formal types), the forms used in slow movements—large ternary, theme and variations, sonata without development, and five-part rondo—are less complex in their formal organization.*
>
> *If composers choose to write a slow movement in regular sonata form, they normally do not exploit all its resources, so as to prevent the movement from becoming excessively long (see "Finer Points," below).*

Large Ternary

The full-movement *large ternary* form is used almost exclusively in slow movements. The form was especially cultivated by Haydn, but a good number of large ternaries are found in the works of Mozart and Beethoven as well.

As its name implies, the large ternary consists of three parts. The two outer parts, both of which function as a *main theme*, normally have the same basic musical content, though the return of the main theme is frequently embellished. The second part—termed an *interior theme*—creates its most evident contrast with the main theme through modal shift, though sometimes the interior theme is set in another tonal region.

First Part, Main Theme

The main theme is normally constructed as a complete small ternary (or sometimes, a small binary). It begins in the home key and ends there with a PAC. Most often, a subordinate key is confirmed somewhere within the main theme, usually at the end of its A section, but sometimes within its B section.

There is no need to illustrate main themes of a large ternary since their formal organization so rarely deviates from the norms established in Part I of this book.

Second Part, Interior Theme

The interior theme contrasts with the main theme largely through its being set in the opposite modality. A major-mode main theme is thus followed by an interior theme set in the minor mode of the same key. The Italian expression *minore* is often added by the composer to indicate this modal shift. (A minor-mode main theme may be contrasted by a major-mode interior theme, termed *maggiore*.)

The interior theme can take a variety of formal plans, but most often it is related—more or less—to the small ternary (or small binary) form. In some cases, the small ternary is complete, closing with a PAC, after which a retransition is usually added to bring the music to the home-key dominant, to set up the return of the main theme (whose tonic opening resolves the harmonic instability).

More frequently, however, the small ternary is left formally incomplete, in that its A´ section or both its B and A´ sections together are eliminated or transformed in some way. In some cases, the A´ section fails to achieve its PAC, and a half cadence or dominant arrival emerges instead. At other times, the A´ section is completely eliminated, and the theme ends with its B section (on the home-key dominant), thus resulting in a *truncated small ternary* (A–B). In each of these cases, the ending of the interior theme on dominant harmony helps motivate all the more the return of the main theme in the third part of the form.

Third Part, Return of Main Theme

Because the main theme of a large ternary essentially resides in the home key, the return of that theme does not require any tonal adjustment. The third part is thus most often structured the same as the first part though often with considerable ornamental changes. A coda, which can be quite extensive (especially with Beethoven), may follow the main theme's return and may sometimes reference motivic material from the interior theme.

EXAMPLE 17.1   Haydn, String Quartet in G minor ("Rider"), Op. 74, No. 3, ii, 23–41

(continued)

EXAMPLE 17.1 *Continued*

Example 17.1: the interior theme of the large ternary form of this movement begins with a shift to E minor, the *minore* of the home key, using an inverted version of the main theme's initial motive (compare mm. 38–39). The opening eight bars are built as a sentence, which modulates to the submediant region of C major, closing there with a PAC at m. 30. This modulating unit can thus function as the A section of an overarching small ternary form (or possibly the first part of a small binary).

The contrasting middle begins with a sequential passage in the following measure, which leads the music back to the opening key of E minor, ending there with a half cadence on the downbeat of m. 37. We could now expect a return of the interior theme's basic idea, which would initiate an A´ section. Instead, the music shifts back to major and reintroduces the main theme, now more highly embellished than in its original setting.

The interior theme thus takes the form of a truncated small ternary (A–B), since an anticipated A´ section is fully eliminated.

Theme and Variations

Theme and variations can refer to (1) an instrumental genre, (2) a compositional procedure, or (3) a formal category.

1. As a genre, theme and variations is well represented in the works of the classical composers, either as an independent movement or as one movement of an instrumental cycle.
2. Nearly every movement of a classical work employs variation technique in some way. In slow movements, especially, the restatement of a thematic unit is usually subjected to ornamental variations of the kind typically found in a theme and variations proper.
3. As a category of classical form, theme and variations is the least complex of the full-movement formal types and presents the fewest problems of formal analysis. The basic plan is simple: a main theme, constructed as either a small ternary or small binary, is followed by an indefinite number of varied repetitions.

"DOUBLE VARIATIONS" FORM

A related formal type uses two themes as the basis for variation. Haydn regularly employs this "double variations" form (or "alternating variations," as Elaine Sisman terms it),[1] and several examples appear in the works of Beethoven.

In Haydn's practice, the second theme is a minore *(or* maggiore*) whose opening idea is often, but not necessarily, derived from that of the first theme. Throughout the movement, the themes alternate with each other and become varied on each reappearance.*

The main theme of a variations movement is invariably constructed as a small ternary or small binary, the former appearing only somewhat more frequently than the latter. That the small binary achieves such prominence in themes for variation—in most other formal contexts, it is used much less often than the small ternary—is due, no doubt, to the absence of recapitulation within its boundaries. Since theme and variations form brings multiple restatements of the initial basic idea, the composer can avoid overexposing it by constructing the theme as a small binary, in which the return of the basic idea then functions exclusively to mark the beginning of each variation.

Following the theme, the initial variations tend to involve ornamentations of the theme's melody, so that the relation of the variation to the theme is made quite evident. As the variations progress, the melodic framework often disappears, though the fundamental harmonic-formal plan remains intact. At some point in the set, one of the variations shifts mode, becoming a *minore* if the home key is major or a *maggiore* if the home key is minor. Toward the latter part of the movement, a distinctly slower variation often appears (usually marked Adagio). And the last variation—the finale—is frequently set in a faster tempo than that of the theme.

The variations that follow the main theme normally adhere not only to its overall form (as ternary or binary) but also to its specific arrangement of phrase functions. The formal aspect of a theme, however, is occasionally altered. Three standard procedures are typically encountered:

1. The formal structure of the theme may change in one of the variations, usually as a result of harmonic modifications in the *minore*.
2. Passages of extension or interpolation are sometimes added, most often immediately before the final variation.
3. The final variation may have appended to it a brief closing section or even be followed by a full-fledged coda.

It is impossible to generalize about the overall form of a variations movement. Rarely, if ever, does it project a binary, ternary, rondo, or sonatalike design. Nonetheless, it is sometimes possible to discern a broad, overarching shape to the movement. Most typically, earlier variations are relatively simple in style and texture, becoming increasingly more complex with each variation. A systematic acceleration in rhythmic activity (which is due to a shortening in the durational values of the notes) is often observable, especially in the early part of the movement.

A given variation, especially one that changes tempo and meter, can sometimes reference one of the standard movement types of an instrumental cycle. The variations movement of Mozart's Piano Sonata in A, K. 331, is especially striking in this respect: variation 4 has the pastoral quality often associated with the "trio" of a minuet movement, variation 5 sounds like a slow-movement in "opera seria" style, and the quick-paced variation 6 has the character of many finale movements in Mozart's instrumental oeuvre.

Sonata Without Development

As its name so baldly indicates, *sonata without development* is a two-part form consisting of a sonata exposition followed immediately by a recapitulation, to which a coda may (optionally) be appended.

Although the sonata without development form is used most often in slow movements, it is occasionally found in fast movements of an instrumental cycle, and it sometimes serves as the basis of a single-movement overture. The form is employed most often by Mozart, but significant examples appear in the works of Haydn and Beethoven as well.

SOME HISTORICAL BACKGROUND

Sonata Without Development. *This formal type has received many names in the theoretical literature. Beside being called sonata without development by enough theorists to justify its continued use here, the term "sonatina form" (in the sense of "little sonata") has also been regularly employed, though this usage is problematic since the form is not particularly associated with actual pieces labeled "sonatina."*

Other terms found in the theoretical literature include "slow-movement form," "overture form," "cavatina form," and "two-part Adagio form." More recently, Hepokoski and Darcy speak of this as a "type 1" sonata form.[2]

In its general layout, the exposition of a sonata without development is the same as that of a regular sonata form. Unlike the latter, however, the exposition is never repeated, for at least two reasons. First, such a repetition would likely arouse expectations for a contrasting development section (which, indeed, is one explanation for why the exposition is usually repeated in a regular sonata). Second, the immediate appearance of the recapitulation following a repeated exposition would bring a redundant third run-through of the same basic musical content.

In a regular sonata form, the closing section of the exposition is occasionally followed by a retransition, which helps smooth the connection to the repeated exposition (and thereafter to the development). In a sonata without development, a retransition regularly appears in order to lead the music, without a break, into the recapitulation. This retransition can sometimes be relatively long and may even feature model-sequence technique and chromatic harmonies; however, the sense of a true development must not be sufficiently projected (otherwise, we would have to speak of a regular sonata form).

The recapitulation of a sonata without development is constructed in essentially the same manner as that of a regular sonata. The main theme

and transition are often altered to prepare for the transposition of the entire subordinate-theme area into the home key. A secondary development frequently appears in either the main theme or the transition to provide harmonic-tonal contrast and motivic manipulation in the absence of a genuine development section. On occasion, the transition and subordinate theme (group) are entirely eliminated, thus giving rise to a *truncated recapitulation*.

FOCUS ON FUNCTION

Recapitulation Without a Prior Development? *Inasmuch as a fundamental characteristic of any recapitulation is to bring a* return *following some intervening, contrasting unit, the use of this label in connection with a sonata without development form is problematic.*

If a development is eliminated, then the section following the exposition will seem to function more as a repetition *than a return. (See again the discussion of this distinction in Chap. 3, the text box "Taming the Terms: Restatement, Repetition, Return.") Indeed, the listener hearing the movement for the "first time" would not necessarily know that the appearance of the main theme following the exposition marks the beginning of a recapitulation (of a sonata without development) and could just as likely believe that the exposition is simply being repeated according to the norms of sonata form.*

Despite this theoretical difficulty, it seems pragmatic to continue using the term recapitulation *in connection with the sonata without development. In virtually all respects, the construction of this section is identical to that of a regular sonata. Moreover, since the concept of recapitulation also includes the notion of "resolution of tonal conflict," its use here is additionally justified.*

Let's Practice

EXAMPLE 17.2   Haydn, Symphony No. 89 in F, ii, 30–49

EXAMPLE 17.2   *Continued*

Example 17.2: answer these questions on this interior theme of an overall large ternary form. (The main theme returns at m. 48.)

1. What is the form of the opening 8-m. unit?
2. What kind of cadence is promised in the middle of m. 45? If that cadence had appeared, what overall form would it have closed?
3. What happens to the promised cadence? Why?

EXAMPLE 17.3   Mozart, Piano Sonata in D, K. 284, iii, var. 7

(continued)

EXAMPLE 17.3 *Continued*

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Example 17.3: answer these questions on this *minore* variation. The theme is shown above in Example 7.21.

1. How do the opening eight measures compare to those of the theme, as regards harmonic content and phrase functions?
2. Compare the harmonic and formal organization of mm. 128–32 of the variation to those of the theme (mm. 9–13).
3. What is the overall form of the *minore*? Why?

More Details

Large Ternary vs. Small Ternary

Both the small ternary and large ternary are tripartite forms, whose outer sections, which are roughly comparable in musical content, are contrasted by an inner section. For this reason, the letter labels A–B–A´ have traditionally been associated with both forms.

From a form-functional point of view, however, these are manifestly different formal types. In the first place, the large ternary is a full-movement form, whereas the small ternary is usually a theme type, comprising just one part of a complete movement, most often its main theme. (Only a handful of slow movements are constructed exclusively as a small ternary.)

Secondly, the tonal and phrase-structural organization of the two forms essentially differ in at least three ways.

1. Although the exposition (A section) of the small ternary is normally built as a simple theme, the first part of the large ternary is usually constructed as a small ternary (or, occasionally, a small binary).

2. The second part of the large ternary rarely resembles the contrasting middle (B section) of the small ternary: though both may end with dominant harmony (thus helping to set up the return of the opening section), the prominent dominant emphasis that is so typical of a contrasting middle is rarely found in the second part of the large ternary; indeed, that part of the form may very well end with tonic harmony (though not usually of the home key).

3. Whereas the A section of a small ternary may modulate and close in a subordinate key, the first part of the large ternary always begins and ends in the home key, even if there has been an internal modulation. Consequently, the third part of the large ternary does not require any tonal adjustments. Instead, it usually follows the basic tonal and formal plan of the first part.

For these reasons, the large ternary is not a "bigger" version of the small ternary; nor are they primarily analogous forms. (In fact, as we have already discussed, the component parts of the small ternary are more truly akin to the three sections of sonata form.) Consequently, we must adopt a different set of functional labels to distinguish the three parts of the large ternary from those of the small ternary. In particular, we will not adopt the letter labels A–B–A´ for the large ternary, since these letters already are used to indicate the constituent functions of the small ternary form.

As was already mentioned above, the three parts of the large ternary can be functionally characterized as *main theme*, *interior theme*, and (return of) *main theme*. The main theme is normally constructed as a small ternary or small binary, beginning in the home key and always closing there with a PAC. The return of that theme normally brings back this same basic formal and tonal structure.

Large Ternary: Interior Theme

As its name suggests, an interior theme occupies a central position within the form, always standing between statements of a main theme. (An interior theme appears in a similar location in a number of rondo forms, which are to be discussed in Chap. 19.)

The interior theme contrasts with the preceding main theme in a variety of ways. It usually brings changes in melodic-motivic material, texture, and accompanimental figurations, although the opening idea is sometimes derived from that of the main theme.

Modality, Tonality

A striking source of contrast comes from an immediate change in modality, for in the great majority of cases an interior theme is initially set in the minor mode (often labeled *minore* in the score). In the relatively few movements whose main theme is minor, the interior theme shifts to major (*maggiore*).

Although an interior theme usually changes mode, its tonality generally remains the same as that of the main theme. On occasion, however, the theme resides in a related tonal region, such as the submediant (VI), the lowered submediant (♭VI), or the subdominant (IV). The use of ♭VI or IV results in those few instances when the mode does not change to minor.

It is especially important to emphasize that an interior theme is never set primarily in the standard subordinate key of the movement (for a major-mode movement, V; for a minor-mode one, III or V), and in this respect an interior theme differs fundamentally from a subordinate theme.

CHARACTER OF AN INTERIOR THEME

The prominence of minor modality in an interior theme can be likened to the same modal emphasis in the development section of sonata form. Indeed, an interior theme often brings a Sturm und Drang *affect within highly active and rhythmically continuous accompanimental patterns.*

Although these secondary characteristics recall a developmental core, the primary ones of harmony, tonality, and phrase structure most often make the interior theme an entirely different formal entity, though, as we discuss later (in connection with Ex. 17.8, below), a corelike organization may occasionally be found within an interior theme.

Phrase Structure

The formal organization of an interior theme can usually be related more or less to the basic plan of the small ternary (or occasionally the small binary), more specifically one whose A section modulates to a subordinate key of the *minore* (usually the relative major but sometimes the dominant or the lowered submediant).

In some cases, the small ternary (or binary) follows the norm and ends with a PAC in the opening key of the interior theme. This procedure is likely to occur when the theme is set in a nontonic region (VI, ♭VI, IV). The closing authentic cadence is then usually followed by a brief retransition leading to the home-key dominant in preparation for the return of the main theme.

More frequently, however, the small ternary at the basis of the interior theme is left structurally *incomplete*, often in ways that significantly distort the form. Sometimes the lack of authentic cadence leaves the theme open-ended. At other times, the entire A´ section is deleted, and the form becomes *truncated* by ending with dominant harmony of the contrasting middle. And even more extreme, though by no means rare, the contrasting middle of the small ternary may be eliminated, and

the modulating A section is followed directly by a retransition, often substantial in scope. As a result of these distortions, the final harmony of the interior theme is usually the dominant of the home key, to motivate the main theme's return.

It is not necessary here to illustrate interior themes that end with authentic cadences, since the resulting structures simply follow the norms for the small ternary or small binary. Instead, the following examples illustrate progressively distorted versions organized according to a number of regularly recurring techniques.

A´ section (or second part of small binary) initially closed, then reopened.

EXAMPLE 17.4 Haydn, Piano Trio in A-flat, H. 14, ii, 31–35

Example 17.4: the interior theme (mm. 17–34) is built as a small binary, whose first part modulates to III. (The main theme of this large ternary is also a small binary, shown in Ex. 8.1.)

The second part of the interior theme returns to the home key and achieves structural completion with a PAC in the first ending of m. 32. After repeating the second part, however, Haydn reopens the form by bringing a deceptive cadence in the second ending. Additional music leads to a return of the main theme at m. 35 without any further cadential activity.

A´ section (or second part) lacks cadential closure.

EXAMPLE 17.5 Haydn, Piano Sonata in E-flat, H. 52, ii, 28–33

Example 17.5: the A´ section of this interior theme begins at m. 29 and leads through a chromatic descent to the dominant on the third beat of m. 31. The music then gets "stuck" on this harmony. When the main theme returns at m. 33, we understand that the interior theme "ended" with a premature dominant arrival, thus rendering the small ternary (at the basis of the interior theme) formally incomplete.

A´ section eliminated; truncated small ternary.

Example 17.6: the interior theme begins with the usual shift to the minor mode of the home key and modulates to the relative major, closing there with a PAC in m. 40 (not shown). The resulting structure thus forms a unit that could easily function as the A section of a small ternary (or the first part of a small binary), especially when the entire passage is then repeated to close again with a PAC in m. 48 (shown at the beginning of the example).

The subsequent section (mm. 49–56) has the typical characteristics of a contrasting middle, including a modulation back to a home-key HC and a standing

on the dominant. But instead of leading to the implied A′ section, the B section is followed by the main theme of the large ternary. The interior theme thus takes the form of a *truncated small ternary*, consisting of A and B sections only.

EXAMPLE 17.6   Haydn, String Quartet in B-flat, Op. 64, No. 3, ii, 47–58

EXAMPLE 17.7 Haydn, String Quartet in E, Op. 54, No. 3, ii, 25–40

(continued)

EXAMPLE 17.7   *Continued*

B and A´ sections (or second part) eliminated.

Example 17.7: the interior theme begins at m. 25 in the minor mode of the home key and modulates to the relative major, where it closes with a PAC at m. 32. The repetition of this unit reinforces the impression of its being the A section of a small ternary (rounded binary version).

> This section, however, is not followed by a contrasting middle: the cadence in the second ending of m. 32 elides with the beginning of a retransition, which leads to a home-key HC in m. 38 to end the interior theme. The main theme returns in the following measure.

It might be asked why in the previous example, the music in mm. 32 (second ending) through 38 could not be considered a contrasting middle rather than a retransition. To be sure, the distinction between these functions can at times be subtle, but it is nonetheless experientially significant. The main difference rests on the fact that a B section does not, in principle, elide with the end of a small ternary exposition. A retransition, however, often begins with such an elision and thus seems more directly attached to the A section, rather than forming an independent unit (as would a contrasting middle).

Nonconventional organization. Sometimes the interior theme seems not to relate to the small ternary (binary) model of most such themes. In some cases, the interior theme can give the impression of being a *subordinate-theme complex* (consisting of a transition, subordinate theme, and retransition) within the tonal framework of the *minore*. (The idea of subordinate-theme complex is discussed more fully in connection with the various rondo forms in Chap. 19.)

At other times, the interior theme may seem to function more like a genuine development section, as in the next example.

> **Example 17.8:** the main theme (shown earlier in Ex. 7.11) closes with a PAC in m. 24, after which a brief linking passage brings the start of the interior theme in A-flat major, the lowered-submediant region, in the following measure. A 4-m. phrase concludes with a PAC in A-flat, thus giving the impression of being a kind of "consequent." A variant on that same phrase leads to a PAC in F minor, and a third version, now in D-flat major, sounds like a sequential repetition of the first phrase. The entire process brings a clear sense of descending-third sequential motion, and indeed we can speak of a loose model-sequence organization, in which the first sequence (the second phrase, mm. 29–32) brings a "dominant version" of the opening 2-m. idea. From this broader perspective, we can understand the authentic cadences within this passage to be ones of "limited scope."
>
> In short, we have what seems like the core of a development, in which the second sequence breaks down in fragments and arrives on the home-key HC at m. 37. There follows a standing on the dominant, which gets led astray into the ♭VII region (B-flat major) for a retransition with "false recapitulation" (mm. 42–43) and a return back to a home-key dominant arrival at m. 47. The resumption of the standing on the dominant eventually brings back the return of the main theme at m. 51, now securely in the home key.

The overall organization of the interior theme thus takes the form of a sonatalike development section (albeit one that lacks a pre-core). Though this interior theme is not a standard *minore*, all of the various tonal regions explored in the theme relate to the minor mode of the home key.

EXAMPLE 17.8 Beethoven, Piano Sonata in E-flat, Op. 7, ii, 23–52

(continued)

EXAMPLE 17.8 *Continued*

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Large Ternary: Coda

Following the return of the main theme, which normally brings back the same basic structure and musical content of the original main theme, the composer may add an "after-the-end" formal function, either a simple closing section following the final PAC or a full-fledged coda.

One particular advantage of such a coda is that it allows the composer to reference material from the interior theme that would otherwise not be possible within the general plan of the large ternary form. Of course the coda may also bring other compensatory functions appropriate to the individuality of the movement.

Example 17.9: the return of the main theme achieves its formal closure with the PAC in m. 74, which immediately elides with the beginning of the coda. Here, the left hand brings back the opening material of the interior theme (Ex. 17.8, mm.

25ff.), now set into the home key of C major. But rather than leading to a PAC, as in the opening model of the interior theme, the music arrives on an HC at m. 78.

A new continuation begins, one that finds yet another way of developing the dotted motive of the theme's opening basic idea (see Ex. 17.9b, m. 2, as well as the discussion of the main theme in Ex. 7.11), bringing this coda theme to a close with a PAC at m. 84. A brief closing section follows, one that could have brought the movement to its true end.

Yet the placement of the codettas in such a high register doesn't feel entirely conclusive, and so we are not surprised that Beethoven still has more to say. In fact, he brings back at m. 87 the opening ideas of the main theme, now supported by a descending chromatic line in the bass voice. Here, of course, is a standard compensatory function typical of a coda (that is, the return of the opening material of the work to create a circular effect, as discussed in Chap. 15).

But we can recognize perhaps an additional compensatory function here, for what is quite surprising in the third bar of the main theme (Ex. 17.9b) is the tritone leap from C down to F♯ in the bass voice, which then fails to resolve upward to G, as would be expected; instead, the F♯ continues through F♮ all the way down to C. At the upbeat to m. 87 in the coda (Ex. 17.9a), this tritone leap is now "filled in" by stepwise motion, and although the F♯ still "resolves" unusually to the F♮, that pitch now functions cadentially by finally turning around and moving back up to G to create the PAC.

EXAMPLE 17.9 (a) Beethoven, Piano Sonata in E-flat, Op. 7, ii, 72–90; (b) 1–5

(continued)

EXAMPLE 17.9   *Continued*

Theme and Variations: Structural Alterations

Minore

A classical variations movement normally includes one variation written in a modality opposite from the others. This *minore* variation (or *maggiore*, in the rarer case of a minor-mode movement) often changes the original harmonic-tonal organization of the theme.

In some cases, simply shifting the harmonies into minor can result in non-syntactical progressions, and thus new ones must be written. In other cases, the modal shift provides an opportunity for exploring different tonal realms as part of the variation technique per se.

As a result of these changes in harmony and tonality, the internal phrase functions are sometimes altered even while the overall form is retained. At other times, the small ternary at the basis of the theme is restructured to become a small binary for the *minore*, or vice versa. See Example 17.3 for a case where the phrase functions, and thus the overall form, of the *minore* differ from those of the theme (shown in Ex. 7.21).

In more extreme cases, the *minore* can take on a distinctly looser organization, resembling at times the interior theme of a large ternary. Finally, the *minore* can be altered to such an extent that it gives the impression of being a variation of an entirely different theme.

Extensions and Interpolations

Besides creating structural changes within a given variation, the composer can alter the general formal plan by adding passages that function as extensions, interpolations, or links from one variation to the next.

Such additions typically occur just before the final variation, thus breaking the regular succession of variations and drawing attention to the finale by preceding it with something entirely new. The added material is often short, but it can also be a more lengthy, developmental passage.

EXAMPLE 17.10   (a) Mozart, Clarinet Quintet in A, K. 581, iv, 79–86; (b) 99–107

(continued)

EXAMPLE 17.10 *Continued*

Example 17.10: the conclusion of the fourth variation (mm. 79–80) is followed by a brief continuational extension (mm. 81–84), bringing model-sequence technique and a dominant arrival ending with a fermata, all of which set the stage for the Adagio variation that begins at m. 85. (The theme of this variations set is shown in Ex. 7.17, above.)

The conclusion of the Adagio variation is itself followed by another extension (Ex. 17.10b, mm. 101–5), built, like the previous extension, as a continuation phrase, leading this time to a genuine HC. This extension also ends with a fermata, thus breaking again the rhythmic flow and effectively preparing for another change in tempo, the finale's Allegro (the fastest tempo of the movement).

Coda

The final variation is often followed by a genuine coda. Besides serving its usual formal functions, the coda in a variations set has the particular function of breaking the pattern of formal symmetry created by the regular succession of more or less equal-size units (that is, the theme and its variations).

Thus the coda provides the only real opportunity for creating the kinds of structural expansion typically found toward the end of classical movements (such as the enormous cadential expansions in the final subordinate theme of a recapitulation).

The coda also permits the composer to create a circular effect for the overall form, by bringing back the theme (or parts of it) in its original, unvaried version at the very end of the movement.

EXAMPLE 17.11   (a) Beethoven, Piano Sonata in G, Op. 14, No. 2, ii, 81–90; (b) 1–4

(continued)

EXAMPLE 17.11   *Continued*

b)

> **Example 17.11:** the final variation, featuring a flowing sixteenth-note texture, ends at m. 84. There follows a very brief coda, which returns to the original setting of the theme in detached, staccato eighth notes and which is set an octave higher than the opening (see Ex. 17.11b). The closing cadence is slightly expanded, with the final *fortissimo* chord making one last reference to the numerous *sforzando* interruptions that Beethoven sprinkles throughout the theme (and the variations; see Ex. 17.11a, mm. 81–82).

Finer Points

Sonata Form in Slow Movements

Many slow movements are constructed in conventional sonata form. A number of modifications are frequently employed, however, to effect the kinds of formal *compression* typically found in slow movements of any form. For example, an exposition of a slow movement usually contains a single subordinate theme, often one that is relatively tight-knit (though still looser than the main theme). Standings on the dominant are generally held in check, and form-functional fusion is regularly employed.

More specific techniques especially associated with a slow-movement sonata include fusing the transition and subordinate-theme functions, eliminating the entire transition, or reducing the size of the development section.

Transition/Subordinate-theme Fusion
The idea of fusing the transition and subordinate theme into a single grouping unit was explained in Chapter 12 with respect to fast-movement sonatas (see the section "Obscured Boundary Between Transition and Subordinate Theme,"

and Exs. 12.16 and 12.17). In fact, the technique occurs with greater frequency in slow movements. (And we will regularly encounter such fusion again when we consider minuet form in the next chapter.)

Form-functional fusion permits these two expositional functions to be traversed more rapidly than when they occupy their own distinct groups. The process of fusion compresses the form by eliminating a number of phrase-functional elements: the half cadence (and subsequent standing on the dominant) for the transition and an initiating unit (a new basic idea) for the subordinate theme.

Example 17.12: the transition begins after the close of the main theme in m. 9. Model-sequence technique starting in the second half of m. 11 brings a modulation to C major, the first of two subordinate keys. (The use of ♭VII as a subordinate key is somewhat unusual; here, it surely functions as the relative major of the goal subordinate key, A minor). The new key is partially confirmed by the IAC at m. 15 and then is fully confirmed by the PAC two measures later. (A second subordinate theme in the dominant minor follows immediately.)

In this single thematic unit, it is feasible to identify the opening basic idea, as well as the model-sequence activity, with transition function and the cadential units with subordinate-theme function. The middle of m. 13 thus stands as a formal boundary. Yet this moment is recognizable as such only after the fact, for it clearly lies very much "in the middle" and fails to be associated with a sense of either "ending" (of the transition) or "beginning" (of the subordinate theme).

EXAMPLE 17.12   Beethoven, Piano Sonata in D, Op. 10, No. 3, ii, 9–17

Elimination of the Transition

In some sonata expositions, the form becomes compressed when the final cadence of the main theme is immediately followed by the subordinate theme. The lack of transition often results in the emphasis on dominant of the new key becoming shifted into the subordinate theme proper (usually through an internal HC and standing on the dominant).

> **Example 17.13:** the main theme closes with a half cadence in m. 6. (The form of the main theme is nonconventional; it is perhaps best analyzed as an antecedent consisting of extended basic and contrasting ideas.) The next unit begins directly in the subordinate key of G major with main-theme material, thus bypassing any semblance of transition function.
>
> Because the subordinate theme appears so close to the main theme, and because both themes are based on the same material (owing to Haydn's "monothematicism"), we can already predict that the recapitulation will have to be significantly rewritten in order to avoid a redundant, twofold succession of main-theme ideas in the home key.
>
> The recapitulation begins at m. 33 (Ex. 17.13b) with a recomposed version of the main theme, which, like the exposition, closes with an HC (m. 39). There follows, however, a long standing on the dominant, suggestive of a main-theme/transition fusion often found in recapitulations (see Chap. 14, p. 502).
>
> Our expectation for a recapitulation of the subordinate theme is then thwarted when the standing on the dominant emerges as the actual end of the movement. We recognize, therefore, that Haydn has written for this "regular" sonata form a truncated recapitulation, a device more typical of the sonata without development, as is discussed in a separate section shortly.
>
> In light of the close proximity of the main and subordinate themes in the exposition, it would not be surprising if the first part of the subordinate theme were eliminated (or at least modified), but that the entire subordinate theme is discarded is astonishing, indeed. (And perhaps somewhat disappointing as well, for the subordinate theme in the exposition contains a glorious passage featuring a long stepwise descent in the bass, above which a series of motives reach over one another to create a striking climax; mm. 15–18, not shown.)

EXAMPLE 17.13   (a) Haydn, Piano Sonata in E, H. 31, ii, 1–8; (b) 33–49

EXAMPLE 17.13   *Continued*
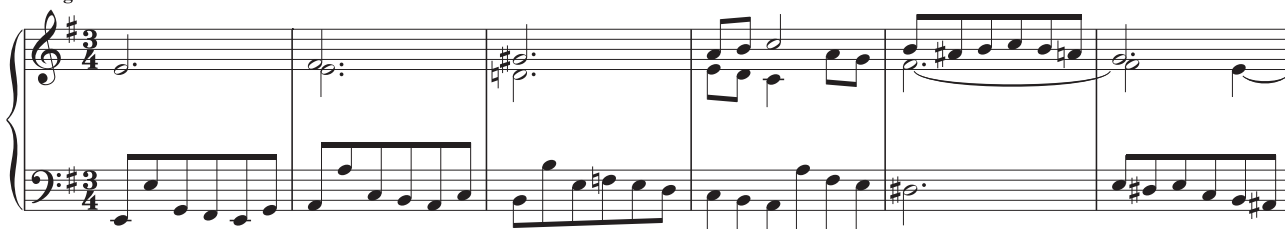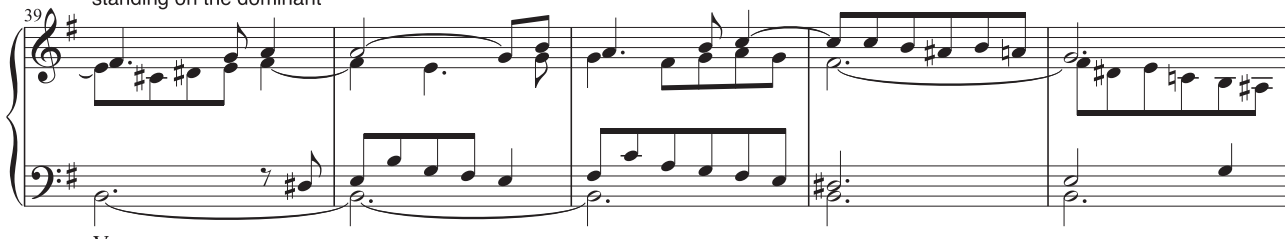
Reduction of the Development

One way of limiting the length of a slow-movement sonata is to reduce the scope of the development. In such cases, the composer forgoes a full-fledged core (although there may be some brief model-sequence activity) and normally does not allow a development key to be cadentially confirmed. At times, the development may be so simple as to resemble a contrasting middle of the small ternary form.

Example 17.14: whereas the development section in a fast-movement sonata form by Haydn tends to be roughly the same length as the surrounding exposition and recapitulation, the development from this slow-movement sonata is less than one-third as long as the exposition.

In these eight measures, Haydn briefly touches on three tonal regions (VI, IV, and II) by means of a descending-third sequential pattern. The final dominant in m. 34 is so weakly articulated that it is unlikely even to be perceived as an "ending" harmony.

EXAMPLE 17.14 Haydn, Piano Trio in A, H. 9, i, 26–36

Sonata Without Development: Truncated Recapitulation

The principal deviation in sonata without development form involves a *truncated recapitulation*. In a number of works by Mozart and Haydn, the exposition is followed only by the main theme, whose structure is the same as that in the exposition. The rest of the recapitulation (transition, subordinate theme, closing section) is eliminated, but a coda may very well be added.

It is interesting to note that with such a truncated recapitulation, the composer creates a form that resembles a large ternary, one whose interior theme has been replaced by a subordinate-theme complex (transition, subordinate theme, closing section). When the main theme of the sonata without development is built as a small ternary (or binary), the resemblance to the large ternary is even greater.

Despite their similarities, it seems preferable to regard the large ternary and sonata without development (truncated recapitulation) as distinct, especially in light of how we would experience the form. Until the transition and subordinate theme are perceived to be eliminated from the recapitulation, the listener has every reason to believe that the movement is a sonata without development. The possibility of reinterpreting the movement as a deviated large ternary can emerge only very much after the fact.

Ending a Slow Movement

Most slow movements end like any other movement, that is, with a final home-key PAC, followed by a closing section. But as a remnant of standard high-Baroque practice, a number of slow movements, particularly by Haydn, end with dominant harmony. The resolution to tonic occurs only at the beginning of the following movement.

Such weaker closure forges a stronger bond between the movements, yet it may undermine the slow movement's independence. And in extreme cases, the slow movement can seem like an introduction to the subsequent movement (see, for example, Beethoven's "Waldstein" Sonata, where the "Introduzione" to the finale is often thought to be the "slow movement" of the work).

A variety of formal contexts and procedures can produce an ending on the dominant. Sometimes the movement closes regularly with a PAC, after which an appended passage leads to a final dominant. At other times, the music finds itself "stuck" rather unexpectedly on the dominant, which becomes de facto the ending harmony. More frequently, an expected closing authentic cadence fails to materialize, and an HC or dominant arrival appears instead (usually after a deceptive cadence). Note that most of these techniques recall the kinds of ending on dominant found at the close of an interior theme, as discussed above.

Example 17.13b: the truncation of the recapitulation results in this slow movement ending on the home-key dominant (the final harmony of the fused main theme and transition). The Presto finale follows immediately after the standing on the dominant.

Reviewing the Theory

Answer These Questions

1. Why does the classical composer normally employ a "simpler" formal structure for a slow movement than for a fast movement?
2. In what ways are the small and large ternary similar? How are they different?
3. The outer sections of the large ternary form can be considered to express which thematic formal function?
4. The interior theme of a large ternary is normally built in reference to which theme type?
5. What is a truncated small ternary?
6. The coda of a large ternary form often references which earlier-appearing material? Why?
7. What is a *maggiore* variation?
8. In sonata without development form, what phrase function typically stands between the closing section of the exposition and the onset of the recapitulation?
9. What is a truncated recapitulation?
10. Why is the exposition section of a sonata without development not repeated?

True or False?

1. A slow movement normally resides in the same tonality and modality as that of the opening movement of the instrumental cycle.
2. An interior theme is never set in the subordinate key of the movement.
3. An interior theme often ends on dominant harmony of the home key.
4. A *minore* variation (of a theme and variations movement) is usually built like a *minore* interior theme of the large ternary form.
5. If an interior theme is set in a contrasting tonality from the main theme, it is likely to end with a PAC.
6. The two themes of a "double variation" reside in contrasting modalities.
7. The finale of a theme and variations is usually set in an Adagio tempo, after which the coda brings a faster tempo to conclude the movement.
8. In slow movements, Haydn tends to prefer the large ternary form, whereas Mozart prefers the sonata without development form.

Multiple-choice Questions

Choose a letter (there may be more than one) that correctly answers the question.

1. How does an interior theme of a large ternary typically contrast with its preceding main theme?
    a. Through a change in modality
    b. Through a change in melodic-motivic material
    c. Through a change in overall formal structure
    d. Through a change in tempo

2. Why is the small binary form used so often for a theme for variations?
    a. The small binary is more "symmetrical" than the small ternary.
    b. Unlike the small ternary, the basic idea does not reappear within the course of a small binary theme.
    c. The small binary is a "simpler" form than the small ternary.
    d. The use of a contrasting middle is inappropriate for a theme for variations.

3. What techniques are typically found to reduce the scope of a slow movement set in regular sonata form?
    a. A reduction in the size of the development section
    b. The use of a truncated recapitulation
    c. The omission of a closing section after the final subordinate theme
    d. Fusion of transition and subordinate-theme functions

Examples for Analysis

Space limitations do not permit including entire movements for analysis. The following pieces are especially recommended to illustrate the three formal types presented in this chapter.

Large ternary: Haydn, String Quartet in D ("The Lark"), Op. 64, No. 5, ii; Mozart, Piano Sonata in C, K. 330, ii; Beethoven, String Quartet in B-flat, Op. 18, No. 6, ii

Theme and variations: Haydn, String Quartet in B-flat, Op. 50, No. 1, ii; Mozart, Piano Sonata in A, K. 331, i; Beethoven, Piano Sonata in E, Op. 109, iii

Sonata without development: Haydn, String Quartet in B-flat, Op. 33, No. 4, iii (unusual subordinate theme); Mozart, Piano Sonata in F, K. 332, ii (exceptional end to transition); Beethoven, Piano Sonata in F minor, Op. 2, No. 1, ii

The following excerpts highlight specific formal techniques discussed in the chapter.

Large Ternary: Interior Theme

EXAMPLE 17.15   Mozart, String Quartet in D minor, K. 421, ii, 27–53. The main theme returns at m. 52

(continued)

EXAMPLE 17.15 *Continued*

EXAMPLE 17.16 Beethoven, Piano Sonata in G, Op. 31, No. 1, ii, 33–66. The main theme ends at m. 34 and returns at m. 65

(continued)

EXAMPLE 17.16   *Continued*

(continued)

EXAMPLE 17.16   *Continued*

EXAMPLE 17.17   Haydn, Piano Trio in G, H. 25, ii, 15–46. The main theme ends in m. 16 (second ending) and returns at m. 45

EXAMPLE 17.17 *Continued*

(continued)

EXAMPLE 17.17   *Continued*

Theme and Variations

EXAMPLE 17.18   Mozart, String Quartet in D minor, K. 421, iv, 97–112 (*maggiore*).
The theme of this variations movement is found in Example 8.6

EXAMPLE 17.18   *Continued*

EXAMPLE 17.19   Beethoven, Violin Sonata in A, Op. 30, No. 1, iii, 97–151 (*minore*).
The theme of this variations movement is found in Example 8.3

(continued)

EXAMPLE 17.19 *Continued*

(continued)

EXAMPLE 17.19 *Continued*

Minuet/Trio Form

Many instrumental cycles of the classical period contain a movement written in the style and form of a minuet. The classical minuet derives from a dance type of the same name used in the Baroque era. Indeed, instrumental cycles from that earlier period often consist of a series of dance-type movements (such as the allemande, courante, sarabande, gigue, bourrée, and gavotte). By the middle of the 18th century, most of the dance types were replaced by other forms (sonata, rondo, large ternary), but the minuet survived and was routinely incorporated into classical genres such as the symphony, quartet, and even the solo sonata.

MINUET "STYLE"

Most dance types feature a defining collection of stylistic traits that can be readily identifiable by a listener. Minuet style is characterized by a triple meter (usually notated as 3/4), a moderate tempo, a preponderance of quarter- and eighth-note rhythmic values (with a smattering of half and sixteenth notes), and a relatively simple, homophonic texture (though imitative passages arise now and then).

Unlike the Baroque minuet, whose phrases almost always begin directly on the downbeat of the measure, the classical minuet frequently features a quarter-note upbeat ("anacrusis") to help "launch" the dance.

In the hands of Haydn and Beethoven, the *scherzo* emerged as a variant style of the minuet, one that features a faster tempo and a livelier, driving character. But since the scherzo does not differ from the minuet as regards formal organization, the two styles are treated together in this chapter in relation to a single formal type. (Despite the claims of some theorists, especially Schoenberg, it is impossible to distinguish "scherzo form" from minuet form.) Reference

to "scherzo" is made only in those situations in which a given movement is undoubtedly in that style and speaking of it as a minuet would be awkward.

The Basics

Minuet/Trio Form

A minuet movement as a whole actually consists of two individual minuets: the *minuet proper* and a *trio* (the labels "Minuet II" or "*alternativo*" are found now and then). The trio contrasts with the first minuet in a variety of ways, among them melodic-motivic content, rhythmic configurations, and texture. The majority of trios reside in the same mode and key as the first minuet, but some shift into the opposite mode or change to a related tonality (especially the subdominant).

Continuing Baroque practice, the minuet proper is performed again after the trio. The restatement of the minuet is not usually written out (unless the composer wishes to introduce ornamental variations). Instead, the expression "Menuet da capo" (or some variant thereof) is indicated in the score. We can thus refer to this restatement as the *da capo* of the minuet. In a few cases, the da capo is followed by a coda (which typically refers back to the contents of the trio) to conclude the movement as a whole.

The form of the entire movement is thus tripartite: minuet proper, trio, minuet *da capo*. And this overall form is termed *minuet/trio form*. The individual parts are themselves composed in *minuet form*.

TAMING THE TERMS

Minuet, Minuet Form. *The use of two minuets in one movement creates a thorny problem of terminology, for* minuet *can be used in at least three ways:*

1. *As a generic term applicable to either of the two minuets of the movement ("all minuets are in triple meter")*
2. *As a more specific term for the first minuet ("the minuet is in major; the trio, in minor")*
3. *As a term for the movement as a whole ("this serenade contains two minuet movements")*

In most situations, the context of the discussion makes it clear how the word is being used, but at times it is useful to speak of the minuet proper *when referring to the first minuet, as opposed to the trio.*

The problem of terminology becomes somewhat more acute with respect to form, because "minuet form" could be used to refer to that of the individual minuets (minuet proper and trio) or to that of the whole movement. In this textbook, the term minuet form *is restricted to the former, and the expression* minuet/trio form *is used for the latter.*

Minuet Form

Most individual minuets in minuet/trio form are built in a way that strongly resembles the small ternary theme type. (A small number, about 10 percent, resemble the small binary.) When analyzing minuet form, therefore, we can continue to use the functional labels of the small ternary (exposition, A; contrasting middle, B; and recapitulation, A´) along with their constituent *phrase functions* (presentation, antecedent, continuation, cadential, standing on the dominant, and so forth).

Because minuet form itself functions as a high-level component of the full-movement minuet/trio form, we want also to identify the extent to which the *thematic functions* of main theme, transition, subordinate theme, and developmental core find expression within minuet form. Of particular importance is whether or not a subordinate key is confirmed, and if so, where and how that confirmation takes place.

Within the minuet exposition (A section), main theme function is expressed by passages residing in the home key, and most prominently by those given home-key cadential confirmation. Transition function is represented by passages that effect a modulation to a subordinate key. Subordinate-theme function manifests itself primarily through passages that confirm the subordinate key with authentic cadential closure and also with loosening devices typical of that function. Given the relatively small scale of the minuet's exposition compared to that of sonata form, the use of form-functional fusion is widespread, especially that of transition and subordinate-theme functions.

If the exposition resides entirely in the home key (ending there with a PAC), then it is usually the case that the establishment of tonal contrast (and conflict) is transferred to the minuet's contrasting middle (B section), and a semblance of transition and subordinate-theme functions is usually expressed there. But if the exposition does modulate, then the contrasting middle is left free to explore other tonal regions (though rarely confirming them cadentially) and employ, to a modest degree, various developmental devices.

The minuet's recapitulation normally follows the same basic course as the exposition, with tonal adjustments made where necessary. More often than with the small ternary, the A´ section of the minuet can become highly extended, especially to balance the preceding B section, which also tends to be larger than the norms of a small ternary's contrasting middle.

Example 18.1: the exposition section of the minuet, already examined in Chapter 5 (see Ex. 5.12), remains entirely in the home key and thus expresses main-theme function for the minuet form as a whole. The B section (shown here) begins with

new material organized into a compound basic idea supported by submediant harmony. This sudden shift to VI, a standard signal for transition function, is found at the start of many contrasting middles of minuet form.

A brief model-sequence pattern (mm. 15–16) brings a modulation to the dominant, which is confirmed as a subordinate key by an expanded cadential progression in mm. 17–20. We can thus identify within this B section a fusion of both transition and subordinate-theme functions. (These thematic functions are indicated in the score as italicized labels placed above the labels for the phrase functions.) A short closing section turns into a retransition when the tonic pedal of the subordinate key becomes dominant of the home key at m. 23.

The recapitulation follows the same course as the exposition (see again Ex. 5.12), and because the A section was nonmodulating there is no need for any tonal adjustment. But in place of the expected PAC, a deceptive cadence appears instead at m. 34 (see Ex. 18.1b), thus prompting an extension of the A′ section.

What comes next is a newly inserted development of exposition motives with a hint of sequential organization; the section closes finally with a PAC at m. 44. Had the recapitulation finished with an authentic cadence at m. 34, the expression of the newly restored home key would not have been sufficient to overcome the more powerful subordinate-key confirmation in the B section.

EXAMPLE 18.1 (a) Haydn, String Quartet in G, Op. 54, No. 1, iii, 11–26; (b) 33–44

(continued)

EXAMPLE 18.1 *Continued*

EXAMPLE 18.1 *Continued*

Let's Practice

EXAMPLE 18.2   Haydn, Symphony No. 101 in D ("The Clock"), iii, 1–28

Example 18.2: answer these questions on this minuet exposition (A section):

1. What simple theme type is the basis of mm. 1–8?
2. When we hear mm. 9–10, what compound theme type do we expect to be in the making? Is this compound theme realized? If so, where, and how, does it reach its conclusion?
3. What is the formal function of the music from the upbeat of m. 21 to the end of the section?
4. Which *thematic functions* (main theme, transition, subordinate theme) are found within this minuet exposition? Explain just how they are expressed in reference to specific harmonic, tonal, cadential, and phrase-structural techniques.

More Details

In this section of the chapter, we examine in greater detail the component parts of *minuet form*, that is, the form of both the minuet proper and the trio. More specific information pertaining exclusively to the trio is given at the end of the section.

Exposition (A)

As with the exposition of a small ternary, the A section of minuet form is usually constructed as a relatively tight-knit, conventional form (sentence, period, or hybrid) and closes with a PAC.

At times the A section is highly expanded and embraces more than one thematic unit, each ending with a PAC. In the most extreme cases, the A section is complex enough to resemble an entire sonata-form exposition.

The A section of the minuet, like that of the small ternary, may either remain entirely in the home key or modulate to a closely related subordinate key. If the modulation does occur, it is interesting to observe the extent to which subordinate-theme function is expressed. If the A section does not modulate, strong expectations will be aroused for the B section to bring some semblance of that function.

SUBORDINATE KEY IN MINUET FORM

In the small ternary theme type, it is of relatively minor concern whether or not the exposition modulates. Because the small ternary as a whole normally serves the role of a main theme within a movement (say, of a sonata or a rondo), the issue of subordinate-key establishment arises primarily in connection with later formal units (such as a transition and a subordinate theme).

(continued)

> **Subordinate Key in Minuet Form continued:**
>
> *In the case of minuet form, however, the appearance of a subordinate key somewhere within the form may well represent the principal tonal contrast of the minuet, and thus the presence or absence of a new key is of particular importance.*
>
> *In cases in which the entire minuet remains nonmodulatory, the companion minuet (either the minuet proper or the trio) usually expresses subordinate-key function. Rarely is a subordinate key not established somewhere in the complete minuet/trio form.*

When the A section of the minuet remains entirely in the home key, its thematic functional expression is exclusively one of main theme. In such cases, the section is relatively short and compact (that is, tight-knit), and it ends with a PAC. (Exceptionally, a nonmodulating A section ends with an HC.)

When the A section modulates to a subordinate key, thematic functionality is more complex. Not only does main-theme function appear (at least in a rudimentary way), but subordinate-theme function also comes to the fore. The sense of transition may be present as well. The extent to which these functions are expressed—the strength of their articulation—depends on a number of factors: the nature of the harmonic progressions in the various keys, the cadences, and the relative degree of tight-knit or loose organization.

Main-theme Function

Main-theme function in a modulating A section always arises by virtue of initial tonic-stabilizing progressions of the home key. If the music modulates before any home-key cadence, main-theme expression will be minimal, and the form of the section is likely to be sentential, with its first (and usually final) cadence being an authentic one in the subordinate key.

Main-theme function is expressed more strongly if the opening music leads to a home-key HC, in which case the form of the section is likely to be periodic, with a matching authentic cadence in the subordinate key. Example 18.2, in "Let's Practice" above, illustrates this formal situation.

The sense of main-theme function is strongest when the music residing in the home key closes with a PAC before the end of the section. This *early authentic cadence*, as it can be called, is followed by another thematic unit, one that begins again in the home key and then modulates, or one that begins directly in the subordinate key.

An early authentic cadence usually closes either a single phrase of exclusively cadential function or a phrase that has the formal characteristics of a consequent. Sometimes the A section is sufficiently complex to yield a complete "main theme" consisting of several phrases, the last one of which closes with an early authentic cadence.

EARLY AUTHENTIC CADENCE

The appearance of an early authentic cadence is typical of minuet form. It is rarely found, however, in the small ternary theme type.

In a small ternary, the juxtaposition of two strong cadences—one in the home key, the other in the subordinate key—would create too great a dramatic conflict so early in a unit that functions as a main theme within some larger formal context.

In the minuet, the early authentic cadence helps to highlight a broader expression of thematic functionality, especially the presence of main-theme function.

Transition, Subordinate-theme Functions

Subordinate-theme function in a modulating A section is always expressed, at least minimally, by a cadential confirmation of the subordinate key. Transition function also emerges if the modulation occurs by means of a harmonic pivot within a phrase. (If a new phrase begins immediately in the subordinate key, the resulting *direct modulation* will not bring any sense of transition.)

The expression of transition and subordinate theme is more palpable when the change of key is accompanied by loosening devices typical of these functions. Frequently, the modulation and the cadential articulation occur in the same phrase, thus creating transition/subordinate-theme fusion. At other times, these functions may occupy their own distinct groups.

Occasionally, a PAC in the subordinate key is followed by a second thematic unit residing in the same key and confirmed by another cadence, a situation that produces multiple subordinate themes.

Closing Section

The final cadence of a minuet exposition is sometimes followed by a closing section. In most cases, its content is entirely new.

Sometimes, however, the closing section consists of prior cadential ideas, thus somewhat obscuring the distinction between cadential and postcadential functions. This happens especially in a scherzo, in which a sudden change of material for the closing section could disrupt the intensity of the prevailing rhythmic drive. (Ex. 5.9, mm. 17–22, shows this situation.)

Examples

The following examples illustrate some of the ways in which thematic functionality can be expressed by a modulating A section. The first example appears back in Chapter 5.

Example 5.2a: in this sentence form, it is possible to recognize the functional elements of main theme, transition, and subordinate theme. Main-theme function is expressed solely by means of the presentation phrase, supported by a firm tonic prolongation in the home key. The lack of any cadential articulation for the key renders the function weak indeed.

The extension of the continuation by means of a harmonic sequence is understandable in light of the phrase serving both transition and subordinate-theme functions. Here, the two functions are fused into a single group.

Example 18.3: the opening eight measures form a hybrid (c.b.i. + cont.) closing with an HC in the home key. The unit thus functions as a compound antecedent in the A section; yet it can also be seen to express main-theme function for the minuet as a whole.

(This movement can also be interpreted as R = 2N without changing the basic purport of the analysis. In that case, the compound basic idea and continuation would be understood as a simple basic idea and contrasting idea. The other formal labels of the movement could be easily adjusted as well.)

The consequent begins in the home key at m. 9, but the end of the opening compound basic idea resolves deceptively to VI (m. 12), which pivots for the modulation into the subordinate key. The rest of the A section is devoted to reinforcing and confirming this key. The functions of transition and subordinate theme are clearly expressed in this passage, although they are fused together, since it is difficult to find a decisive ending for the former or a beginning for the latter.

The A section closes with a cadential idea beginning on the upbeat to m. 19 and ending on the downbeat of m. 21. The rhythmic momentum generated by the running eighth notes is maintained when this idea is immediately repeated and extended.

Where, then, is the cadence? If it is understood to be on the downbeat of m. 23, the downbeat of m. 21 would have to be an evaded cadence. But this interpretation is rather unlikely, since the first beat of that measure is easily heard as the goal of the phrase. Thus it is better to recognize m. 21 as the moment of cadential closure and to view the repeated idea as a codetta, in line with the idea that the closing section of a scherzo often employs the immediately preceding cadential material.

EXAMPLE 18.3 Beethoven, Piano Sonata in E-flat, Op. 7, iii, 1–24

(continued)

EXAMPLE 18.3 *Continued*

/Subordinate Theme
basic idea continuation

Bb: { VI / II ... }
(V)

cadential closing section / codetta (½cad.?)

I ...
PAC
(ev. cad.?)   (PAC?)

EXAMPLE 18.4 Beethoven, Violin Sonata in F ("Spring"), Op. 24, iii, 1–8

A

Main Theme   *Transition/Subordinate Theme*
consequent   consequent

Allegro
molto

F: I ...   V I   I ...   C: V   I   V I
PAC   (V)   PAC
(early)

Example 18.4: the first phrase is built like a simple 4-m. consequent; that is, a basic idea is followed by a contrasting idea that ends with a PAC. That this "initiating" phrase is interpreted here as a consequent can perhaps be more readily understood if the listener imagines its being preceded by an antecedent phrase ending melodically on A, thus implying an IAC.

The second phrase begins in m. 5, as the first does, but it then modulates to the dominant region and closes there with another PAC (m. 8). (Because of its V–I progression, m. 7 could qualify as the cadential arrival; however, the strong rhythmic correspondence between the two phrases makes it difficult to hear that measure as the goal of the theme.)

The two phrases taken together strongly resemble a modulating period, but this interpretation is flawed, since the cadences closing the phrases are of equal weight (despite their differing tonal expressions). Therefore, rather than finding the *phrase*-functional relation of antecedent-consequent with these two phrases, it is preferable to identify their *thematic* expression. The first phrase, with its *early authentic cadence*, brings the main-theme function, and the second phrase fuses (in a highly compressed manner) the transition and subordinate-theme functions.

Example 18.5: the A section opens with a 4-m. phrase supported by an expanded cadential progression. An early authentic cadence in the home key is thus created on the downbeat of m. 4.

The end of the cadential idea is then echoed in the winds (mm. 5–6), after which the music modulates to the dominant region, confirmed cadentially at m. 12. The sense of subordinate-theme function is reinforced when the cadential progression is briefly abandoned at m. 9 (the pre-dominant IV moves to an inverted dominant), after which the cadential progression resumes with V_5^6/V at the downbeat of m. 11.

An additional thematic unit, albeit a rather short one, begins on the second beat of m. 12 and continues until the PAC at m. 18. This unit gives the impression of being a "second" subordinate theme, one that starts directly with continuation function.

The exposition concludes with a brief closing section in mm. 19–20.

EXAMPLE 18.5   Haydn, Symphony No. 98 in B-flat, iii, 1–20

EXAMPLE 18.5 *Continued*

Example 18.6: the opening of the A section resides in the home key and closes with an early authentic cadence in m. 10. Unlike the previous examples, in which main-theme function is expressed by a single phrase, the music here is sufficiently broad to be considered a complete theme, taking the form of an expanded hybrid (ant. + cont.).

A subordinate theme then begins directly in the new key, thus bypassing any sense of transition function.

EXAMPLE 18.6 Mozart, Piano Sonata in A, K. 331, ii, 1–18

EXAMPLE 18.7 Mozart, String Quartet in A, K. 464, ii, 9–28

Example 18.7: the first part of this A section, an 8-m. sentence closing with an IAC (shown back in Ex. 2.25) functions as the main theme of the minuet as a whole.

The following 4-m. unit (mm. 9–12), shown here, accomplishes the modulation and ends with dominant harmony of the subordinate key. This phrase thus functions exclusively as a transition.

A subordinate theme then begins at m. 13 and exhibits many of the loosening devices typical of that function. A presentation in mm. 13–16 is followed by an extended continuation, which leads to a deceptive cadence at m. 24. A new cadential unit (based on the second half of the main theme but also alluding to the continuation of the subordinate theme) brings complete closure at m. 28.

The entire A section of this minuet thus resembles a miniature sonata exposition.

Contrasting Middle (B Section)

The B section of the minuet brings many of the same harmonic, tonal, and formal characteristics of a contrasting middle in small ternary form: loose nonconventional organization, emphasis on the home-key dominant, sequential harmonies, closure in the home key with a half cadence or dominant arrival.

But whereas the B section of the small ternary is relatively simple and short, that of a minuet is usually more complex and often lasts considerably longer than the preceding A section. Thus certain techniques appear there that rarely find a place in the modest scope of the small ternary.

For example, the contrasting middle of a minuet might bring an *interpolated episode* of new material in a relatively remote tonal region. Or a false recapitulation may appear toward the end of the B section. In some cases, the section may even feature model-sequence technique in a manner reminiscent of a developmental core.

An important consideration for the B section's organization and functional expression is whether or not its preceding exposition modulates.

- If the A section has presented main-theme, transition, and subordinate-theme functions, the B section has the opportunity of expressing a rudimentary sense of development by exploring additional tonal regions.
- If the earlier A section is exclusively a main theme (because of its residing entirely in the home key), the B section usually provides the fundamental tonal contrast of the minuet by modulating to, and confirming, a subordinate key.

B Section Follows a Modulating A Section

In cases where the exposition of a minuet is modulatory, the B section is free either to touch on other tonal regions or, quite often, to return to the home key and conclude there with dominant harmony. The phrase-structural organization tends to be loose and nonconventional, with an emphasis on continuational traits (fragmentation, model-sequence, harmonic acceleration).

Brief tonicizations of various regions occur frequently, although it is uncommon for the section to confirm a development key with a cadence. In the simplest cases, the B section consists entirely of a standing on the dominant.

Example 18.8: the B section quickly tonicizes the supertonic region using motivic material from the beginning of the minuet (see Ex. 18.5). Measure 25 brings the start of an interpolated episode, marked by a new melodic idea, an abrupt shift from *forte* to *piano*, and an immediate move into the remote region of A-flat major (VI of the supertonic, C minor).

Measure 31 restores the *forte* dynamic and initiates a return back to the home key, as confirmed by the HC at m. 36. A standing on the dominant concludes the contrasting middle and prepares the way for the recapitulation at m. 41.

EXAMPLE 18.8   Haydn, Symphony No. 98 in B-flat, iii, 21–42

Example 18.9: like the previous example, the B section begins by tonicizing II. But here, Mozart establishes a 4-m. model (mm. 19–22), which is then repeated sequentially down a step (mm. 23–26). A subsequent move to the augmented sixth in m. 28 prepares for the concluding HC. The overall formal organization resembles the core of a development, although the section is relatively short, displays little sense of fragmentation, and lacks the emotional restlessness typical of a sonata-form core.

EXAMPLE 18.9   Mozart, Piano Sonata in A, K. 331, ii, 19–32

B Section Follows a Nonmodulating A Section

If the A section does not modulate, the B section can assume the role of intro-ducing transition and subordinate-theme functions into the minuet. Shifting these expositional functions into the contrasting middle is not, however, required of the form; a number of minuets in the literature remain effectively in the home key throughout, although there may be a prominent tonicization of the subordinate-key region.

Following a nonmodulating exposition, the contrasting middle most often moves to the subordinate key by employing phrase-structural processes typical of transition and subordinate-theme functions. In some cases, the B section begins immediately in the subordinate key, thereby omitting a transition. The section may also include both an interpolated episode and significant mod-el-sequence technique in the manner of a core.

See, again, Example 18.1 for a contrasting middle that presents transition and subordinate-theme functions (fused together), along with a retransition back to the home key.

> **Example 18.10:** following the home-key cadence closing the A section (shown earlier in Ex. 4.12), the B section begins with a 4-m. phrase that quickly modulates to the subordinate key as initially confirmed by the dominant in mm. 11–12. This phrase thus serves as the transition.
>
> There follows a genuine subordinate theme that begins in m. 13 with distinct presentation and continuation⇒cadential phrases. A brief retransition brings back the home key and prepares for the recapitulation at m. 25.

EXAMPLE 18.10   Haydn, Symphony No. 87 in A, iii, 9–26

Recapitulation (A´)

The A´ section of minuet form recapitulates the material initially presented in the A section. In many minuets, this section retains the basic phrase-structural design of the exposition. Unlike a small ternary, which frequently contains a compressed recapitulation, that of a minuet is seldom shorter than the earlier section. In fact, the minuet's recapitulation is more likely to be significantly expanded. In addition, it frequently includes a new closing section, one not found in the exposition.

The substantial expansion in the recapitulation is created by loosening devices typically associated with a subordinate theme. New material may also appear in an interpolated episode. The deceptive cadence in particular is a favorite device for extending the form; indeed, this technique is perhaps found more often in a minuet than in a sonata, in which evaded cadences are more commonly used to extend cadential function.

EXPANSION IN THE A´ SECTION

The tendency to expand the recapitulation of a minuet can be explained on a number of grounds. If the A section is shorter than the B section, as is often the case, then bringing an equally short A´ section might not give the home key enough space to win the battle of conflicting tonalities. And so an expanded recapitulation, one that features the cadential reinforcements typical of a subordinate theme, might be desirable to restore tonal stability to the form. The addition of a new closing section (and even a coda) also helps in this struggle for home-key predominance.

Another, somewhat related explanation sees the expansion of the A´ section as providing a kind of "recapitulation of the subordinate theme" to match the expression of that function in an earlier B section. In other words, if a nonmodulating exposition represents main-theme function and the contrasting middle brings a subordinate theme, then simply bringing back the main theme once again in the A´ section leaves that latter theme unrecapitulated.

An expansion in the A´ section does not literally recapitulate the earlier subordinate theme, for the section must model itself on the exposition, not on the B section. But the looser phrase-structural techniques can suggest such a recapitulation nonetheless. Example 18.1b, discussed earlier, illustrates this situation well.

Example 18.11: the recapitulation opens with the 8-m. antecedent of the exposition (see Ex. 18.3). At m. 51, the music suddenly shifts to minor, and the deceptive resolution at m. 54 brings ♭VI. A subsequent development of this harmony into a tonicized region, using the gesture of mm. 13–14 (Ex. 18.3), eventually leads into an interpolated episode whose IAC at m. 62 actually confirms ♭VI as a development key (in the recapitulation!).

A retransitional passage (still part of the episode) returns the music to the home key, as articulated by the half cadence at m. 70. The sense of this half cadence as a rhythmic goal is undermined, however, by the immediately preceding pause; it is as though the music has withered away, and thus the dominant sounds more like a new beginning than an end. (The gesture of the dramatic pause is itself a hallmark of this scherzo; see m. 54, and in Ex. 18.3, mm. 4, 5, and 12).

A new presentation, beginning with the upbeat to m. 72, is given a modified repetition at m. 76. A continuation⇒cadential phrase follows (m. 80), which is

extended by a series of deceptive cadences. The concluding cadence at m. 86 (no longer ambiguous as in the exposition; Ex. 18.3, m. 21) is reinforced by an entirely new closing section.

From the point of view of thematic functionality, the recapitulation is expanded in such a way that transition and subordinate-theme functions are no longer fused (as they were in the A section) but rather are given their own distinct thematic units (transition, mm. 51–71; subordinate theme, mm. 72–86).

EXAMPLE 18.11   Beethoven, Piano Sonata in E-flat, Op. 7, iii, 51–95

(continued)

EXAMPLE 18.11 *Continued*

Coda

As mentioned earlier, the overall minuet/trio form may close with a coda that follows the da capo. More typically, however, the recapitulation of minuet form may also contain a coda.

We have already observed in the preceding example that, as part of its expansionist tendencies, the recapitulation can include a new closing section. The sense of formal expansion can become even more pronounced if the material following the final cadence is organized in a manner sufficiently complex to require further cadential closure. We then can speak of a *coda* to the minuet itself.

Codas are most likely to appear when the recapitulation is modeled closely on the exposition. The coda then can take over the role of expanding the form, for the same purposes discussed in connection with an enlarged A´ section.

For the most part, codas in minuet form display the same basic features and functions as those described for sonata form in Chapter 15. But unlike the sonata, in which the coda is entirely separate from the recapitulation, the coda in minuet form is more intimately linked to the latter, since it is included in the repetition of the B and A´ sections together (that is, the coda precedes the double-bar and repeat signs).

Example 18.12: the A´ section is structurally identical to the A section (see Ex. 4.12). As pointed out with respect to Example 18.10, the contrasting middle brings transition and subordinate-theme functions, the latter closed by an expanded cadential progression. Thus the cadence confirming the subordinate key (Ex. 18.10, mm. 17–20) is rhetorically stronger than that confirming the home key in the recapitulation (Ex. 18.12, mm. 31–32).

Consequently, Haydn follows the end of the A´ section with a coda made up of a new 6-m. unit, which is repeated identically (mm. 39–44). The principal compensatory function of this coda is to give greater cadential weight (rhetorically speaking, not structurally; all PACs have the same structural weight) to the home key by means of an expanded cadential progression.

EXAMPLE 18.12 Haydn, Symphony No. 87 in A, iii, 31–44

Trio

Most of what we have observed about minuet form holds for both the minuet proper and the trio. The latter, however, can exhibit some stylistic and formal characteristics that distinguish it from the former. First and foremost, a trio must provide a distinct element of contrast while still maintaining the same meter and tempo of the minuet proper.

But unlike many "contrasting" sections of classical form (see text box "'Contrast' as 'Intensity'"), which typically express greater complexity and emotional intensification, the trio of a minuet movement generally brings a quality of simplification and relaxation. In most of its musical parameters, a trio is usually simpler than its preceding minuet: the harmonic vocabulary is more diatonic, the rhythmic patterns are more uniform and continuous, and the texture is less dense.

"CONTRAST" AS "INTENSITY"

The concept of "contrast" in classical form usually entails a sense of formal complication and increased emotionality. That the contrasting middle of the small ternary (and the analogous minuet form) tends to be more complex and intense than the outer parts has been well established. And at a lower level of formal organization, a "contrasting idea" tends to exhibit greater intensity as regards harmony and rhythm in relation to the preceding basic idea.

As a general rule, a "middle function" at any level of structure is more intense than a beginning function (e.g., continuation vs. presentation, development vs. exposition, interior theme vs. main theme, rondo couplet vs. refrain, etc.).

(continued)

> "Contrast" as "Intensity" continued:
>
> *The main exception to this principle is the trio of minuet/trio form. Indeed, the term* trio *itself derives from the 17th-century practice of reducing the texture in this part of a dance movement to just three instruments.*

With respect to formal organization, the trio generally follows the norms of minuet form but can differ from the minuet proper in a number of ways: the trio tends to be shorter and more symmetrically formed, expansions are more likely to be kept under control, and codas occur less often. Many trios, in fact, assume the highly symmetrical proportions of the basic small ternary and small binary forms, for instance, 8 (A) + 4 (B) + 4 (A′).

The most important formal distinction occurs when the composer aims to forge a stronger sense of overall minuet/trio form by making the trio more dependent on the minuet proper. The methods used to achieve this structural dependence include changing the trio's mode or tonality, adding a retransition, and leaving the trio formally incomplete.

By varying the modality or tonality (or both), the trio becomes somewhat dependent on its surrounding minuets, for the change motivates a restoration of the original key somewhere later in the overall form (namely, in the da capo). If the tonality changes, and especially if the tonal region is relatively remote, the composer may add a passage linking the end of the trio with the beginning of the da capo. This retransition, which often anticipates motives of the minuet, aids considerably in integrating the form.

The trio can become even more dependent by remaining structurally incomplete. This situation is very similar to what typically happens at the end of an interior theme in large ternary form. And as with that theme, a variety of techniques can be employed to inhibit closure of the trio.

For example, the A′ section may initially cadence but, when repeated, remain open on dominant harmony (sometimes following a deceptive cadence). Or the recapitulation can begin normally but then get stuck on a dominant, which eventually marks the trio's harmonic end.

Sometimes the trio is truncated (thus consisting of the A and B sections only), with the dominant of the B section leading back to the da capo. If the trio is set in a key different from that of the minuet, then the harmony ending the structurally incomplete trio is normally dominant of the minuet's home key.

Example 18.13: after a minuet in C major, the trio shifts to the minor mode. The music leading up to the double bar ends with an HC (m. 66) in the home key. (This HC suggests that the section could be interpreted as the first part of a binary minuet form, an option to be discussed under "Finer Points.")

A contrasting middle begins with model-sequence technique and closes with a premature dominant arrival at m. 77 and subsequent standing on the dominant.

But rather than bringing a recapitulation of some kind (or some other continuation) and eventual closure in C minor, the marking "Menuetto d.c." instructs the performer to return to the minuet proper. The truncated trio thus remains structurally subordinate to its surrounding minuets.

EXAMPLE 18.13 Haydn, String Quartet in C, Op. 20, No. 2, iii, 57–86

Finer Points

Binary Minuet Form

Whereas most minuets (and trios) are constructed according to minuet form described in the prior section, a few are built along lines that resemble the small binary form. This *binary minuet form* contains two parts, each of which is repeated. In most respects, part 1 resembles the A section of regular minuet form, except that it more frequently closes with a half cadence.

The second part often contains material that functions like a contrasting middle, but this part does not include a recapitulatory articulation (that is, a return of the opening basic idea in the home key). Although the opening does not come back in the normal boundaries of the form, this material may well appear again in a closing section to the second part or even in a coda, thereby fulfilling an obvious compensatory function.

Example 18.14: the minuet opens with a 4-m. phrase supported by an expanded cadential progression. The early authentic cadence at m. 4 marks the end of main-theme function. The next phrase continues in the home key, and a strongly continuational passage at m. 9 directs the music to the dominant, which is con-firmed as the subordinate key by the cadence at m. 12.

(The functional expression of the phrase in mm. 5–8 is ambiguous. Following the cadence, it can be considered a new presentation to begin the transition/sub-ordinate theme fusion. But the nature of the musical material hardly suggests the sense of a new beginning; as well, the phrase is supported by a weak tonic prolon-gation [I⁶] and the new grouping units of two measures represent fragmentation in relation to the previous 4-m. cadential unit. Thus the phrase also projects a strong degree of continuation function.)

The first part of this binary minuet ends with a brief closing section, whose melody reopens by rising strangely up to the fifth scale degree. The peculiarity of the passage should alert us as to what Mozart might eventually do with this gesture.

The second part starts out with a contrasting middle made up exclusively of a standing on the dominant (which lasts until the end of m. 24), after which the music of mm. 5–8 returns in mm. 25–28. The subsequent continuation (m. 29) is adjusted to remain in the home key, and the second part concludes with a PAC at m. 32.

The earlier closing section then brings its strange rise to the fifth degree at m. 36. But rather than letting this degree "hang in the air," as Mozart did at the end of the first part, he uses it as a springboard to recapture the minuet's opening phrase. The relocation of this phrase to a final position is particularly fitting here, not only because it makes up for not having been recapitulated but also because it now finds a more natural location as a cadential unit that closes the preceding material (rather than being the opening phrase of the minuet).

EXAMPLE 18.14   Mozart, Serenade in D ("Haffner"), K. 250, iii, 1–40

Minuet/Trio Form: Functional Relations

The tripartite scheme of minuet, trio, and da capo is highly suggestive of an overall ternary structure. In that sense, the trio is a "contrasting" element standing in the "middle" of the form, and the da capo represents a "return" of the minuet proper.

Employing the functional labels of exposition, contrasting middle, and recapitulation, however, proves unsatisfactory, since the structure of the trio bears no relation to a B section or a development and since the da capo neither tonally adjusts nor structurally alters the original minuet. It would be misleading, therefore, to relate this full-movement form to either the small ternary or the sonata.

Minuet/trio form would seem to have a stronger relationship to the large ternary, especially since the component parts of each are largely modeled on the small ternary (or small binary). Indeed, if the trio resides in a contrasting mode or tonality, and especially if it remains open on dominant harmony, then this middle part functions much like an interior theme standing between the statements of a main theme (the minuet proper).

We must be cautious, however, not to equate the two full-movement forms, despite their obvious similarities. The trio is often not at all like an interior theme, especially when it resides in the same key and mode as the minuet and is fully closed both formally and tonally. In such cases, the complete "movement" seems more like a stringing together of parts than a true integration of those parts into a single form.

Between these two extremes—the trio's total subordination versus its complete independence—lies a spectrum of possibilities, in which the trio stands in a more or less dependent relation to the minuet. For this reason, it is not possible to identify consistent functional relations among the three parts of minuet/trio form, and thus they remain labeled by the relatively neutral terms minuet proper, trio, and da capo.

Reviewing the Theory

Answer These Questions

1. What are the three ways in which the term *minuet* can be used?
2. Most minuets are built in a way that resembles which theme type?
3. Why is it important to consider how a subordinate key is established or confirmed within a minuet?
4. What is an early authentic cadence? What function does it serve? Why do we often find this cadence in minuet form, but rarely in a small ternary theme type?

5. Why is the fusion of transition and subordinate theme functions found more regularly in minuet form than in sonata form?

6. What is an "interpolated episode"? Where is it likely to be found within minuet form?

7. Why is the recapitulation of minuet form typically more expansive than its corresponding A section?

8. How does "binary minuet form" differ from regular minuet form?

9. Why is the boundary between cadential and postcadential functions often blurred in a scherzo?

True or False?

1. The classical minuet typically features an upbeat (anacrusis) opening gesture.

2. The scherzo has the same basic formal plan as a minuet.

3. The da capo of the minuet usually brings many embellishments of the minuet proper.

4. As with a sonata exposition, the exposition of minuet form always modulates to the subordinate key.

5. The contrasting middle of minuet form is typically more expansive than that of a small ternary.

6. As in a sonata form, main-theme function in minuet form must be confirmed by a home-key cadence.

7. The B section of minuet form may bring transition and subordinate-theme functions.

8. Transition function may be eliminated from minuet form.

9. The abandoned cadence is a typical cadential deviation in minuet form.

10. The coda of minuet form is more intimately related to the recapitulation than is the case in sonata form.

Multiple-choice Questions

Choose a letter (there may be more than one) that correctly answers the question.

1. Which are characteristic style traits of the minuet?
    a. Triple meter
    b. Major modality
    c. Moderate tempo
    d. Pervasive sixteenth-note rhythmic values

2. Which of these are typical of how a trio contrasts with its prior minuet?

a. Change in mode

b. Change in tempo

c. Simpler textures

d. More uniform durational values

3. Which of these help the trio become somewhat dependent on the minuet proper (and the da capo)?

    a. The trio resides in a different tonality.

    b. The trio gains greater formal complexity and emotional intensity.

    c. The trio is more symmetrical in structure.

    d. The trio remains structurally incomplete.

Examples for Analysis

EXAMPLE 18.15   (a) Haydn, String Quartet in B minor, Op. 64, No. 2, iii, 1–14; (b) 27–42. Analyze the A section of the minuet (mm. 1–14). Then compare it to the A´ section (mm. 27–42)

a)

(continued)

EXAMPLE 18.15 *Continued*

b)

EXAMPLE 18.16 (a) Beethoven, Piano Sonata in E, Op. 14, No. 1, ii, 63–100; (b) 101–16. The first excerpt (mm. 63–100) contains the trio. The second excerpt shows the coda that Beethoven adds to the minuet/trio movement as a whole. What are the compensatory functions of this coda?

a)

EXAMPLE 18.16 *Continued*

b)

EXAMPLE 18.17 Mozart, Piano Sonata in E-flat, K. 282, ii, Menuetto II, 33–48. The excerpt contains the A section of this trio (Menuetto II)

EXAMPLE 18.18 Haydn, Symphony No. 83 in G minor ("The Hen"), iii, 1–42. The excerpt contains the minuet proper

(continued)

EXAMPLE 18.18 *Continued*

EXAMPLE 18.19 Mozart, String Quartet in B-flat, K. 458, ii, 9–20. The excerpt contains the B section of the minuet proper. The A section is shown in Example 1.25

(continued)

EXAMPLE 18.19 *Continued*

EXAMPLE 18.20 Beethoven, Piano Sonata in A, Op. 2, No. 2, iii, 1–44. The excerpt contains the scherzo (proper)

EXAMPLE 18.20   *Continued*

Rondo Forms

All *rondo* forms in Western art music display the same basic pattern of organization. A principal thematic idea—the "rondo refrain" or "theme"—alternates regularly with two or more contrasting passages, variously termed "couplets," "episodes," or "digressions."

Letters of the alphabet have traditionally been used to help identify rondo forms, such as ABACA, ABACADA, ABACABA, where A stands for the theme or refrain and the other letters refer to the couplets of differing melodic-motivic material.

In the classical era, most rondos can be analyzed in relation to two general types: the *five-part rondo* (ABACA) and the *sonata-rondo* (ABACABA). (Additional variants of these two types are briefly mentioned in "Finer Points" below.)

The Basics

Five-part Rondo

As its name suggests, the *five-part rondo* consists of five principal sections: three appearances of the *refrain* alternate with two *couplets* (thus yielding an ABACA pattern). Like all rondo forms, the refrain (A) always appears in the home key, while the couplets (B, C) are set in either a contrasting key or the *minore* of the home key. (All subsequent references to *minore* assume the possibility of *maggiore* as well.)

The five-part rondo form is used most often for a slow movement within an instrumental cycle, though it sometimes appears as a fast finale. The form rarely serves as a fast opening movement (but see ahead Ex. 19.6, taken from the opening of a piano sonata by Haydn).

Though the use of letters to identify the parts of rondo forms is traditional, this practice has serious limitations and can largely be dispensed with (see the text box "Taming the Terms: Labeling the Parts of Rondo Forms"). In their place, it is more useful to identify the individual parts with labels that generally

distinguish them as either refrains or couplets (numbered according to their position within the form) and a second, complementary set of labels that specify the formal function served by each part.

TAMING THE TERMS

Labeling the Parts of Rondo Forms. *Labeling the rondo's component parts poses a number of theoretical difficulties. The standard use of letters, for example, is deficient in several respects.*

First, like all such schemes, the letters may tell us something about the melodic-motivic material used in the part, but they indicate little about its formal function. Second, the letters can be confused with those representing other forms, especially the small ternary (and its allied minuet form).

For these reasons, it is better to adopt terminology that not only relates more specifically to the rondo but also can reveal the form-functional attributes of its parts.

As summarized in Figure 19.1, the rondo refrain functions as a main theme, which returns twice following the contrasting material of the two couplets. The refrain is almost always a conventional, tight-knit theme closing in the home key with a perfect authentic cadence. The small ternary theme type is commonly used in the refrain of a five-part rondo.

Rondo Term	Formal Function	Tonal Region
refrain 1 (A)	main theme	I
couplet 1 (B)	subordinate theme complex *or* interior theme	V *or* *minore*, (VI)
refrain 2 (A)	first return of main theme	I
couplet 2 (C)	interior theme	*minore*, IV, (VI)
refrain 3 (A)	final return of main theme	I
(—)	(coda)	I

FIGURE 19.1 Five-part rondo form

The first couplet is normally built in one of two ways:

1. As a *subordinate-theme complex,* consisting of a modulating transition, subordinate theme (group), closing section, and retransition
2. As an *interior theme* (like that found in the second part of a large ternary), set in the opposite mode of the home key (*minore*) or in the submediant (VI)

The second couplet is usually an interior theme differing from the earlier couplet in its melodic-motivic material, tonal region, and formal plan.

The two *returns* of the refrain, which are always set in the home key, usually bring back the main theme's complete structure, sometimes with ornamental changes (such as melodic embellishment and textural enrichment). On occasion, an *abridged refrain* brings back just the A (or A′) section of an original ternary, or an *incomplete refrain* may lack a closing PAC in the home key.

Following the final refrain, the movement may end with a coda, a section that is optional to the five-part rondo.

Sonata-rondo

The majority of rondos in the classical style are written in *sonata-rondo* form (ABACABA). Most of these are by Mozart and Beethoven, with only a small number by Haydn. Sonata-rondos are used almost exclusively for fast finale movements, rarely for slow movements (and never as an opening movement).

As its label suggests, the sonata-rondo combines features of the five-part rondo (with its regular alternation of refrains and couplets) and the sonata (with its tripartite organization of exposition, development, and recapitulation). The resulting structure, summarized in Figure 19.2, is perhaps the most complex of the classical forms.

Rondo Term	Formal Function	Tonal Region
refrain 1 (A)	exposition of main theme	I
couplet 1 (B)	exposition of subordinate theme complex	V
refrain 2 (A)	first return of main theme	I
couplet 2 (C)	development *or* interior theme	various *or* IV, VI, *minore*
refrain 3 (A)	recapitulation of main theme	I
couplet 3 (B)	recapitulation of subordinate theme complex	I
refrain 4 (A)	coda (including final return of main theme)	I

FIGURE 19.2 Sonata-rondo form

The rondo aspects of the form are fairly obvious: four statements of the refrain alternate with three couplets, the first and third of which are related by similar melodic-motivic material.

The sonata aspects of the form, however, are more complex:

- The initial refrain and couplet constitute a complete sonata exposition, except that, unlike genuine sonata form, this exposition is never

repeated. The third refrain and couplet constitute a complete recapitulation of the prior exposition.

- When couplet 2 is organized as an interior theme, rather than as a development, the overall form is considerably more like a rondo than a sonata.
- Unlike a regular sonata, the coda is a required element of sonata-rondo, because that section includes the final return of the main theme.

SOME HISTORICAL BACKGROUND

Rondo vs. Sonata. *Though related in many ways through their use of the same basic phrase and thematic formal functions, the classical rondo and the classical sonata derive from completely different sources in the Baroque era.*

The rondo originates largely in France from an instrumental genre (called rondeau*) that features an alternation of refrains closing with authentic cadences in the home key and contrasting couplets.*

The sonata originates (mostly in Italy) out of Baroque binary dance movements. Each part of the binary is repeated. The two parts of the binary, however, do not relate to each other as refrain and couplet: the first part normally closes in a related tonal region (or else on dominant harmony of the home key), and the second part closes with a PAC in the home key.

The binary repetition scheme of the sonata continued to find expression through most of the classical period (with at least the first part, the exposition, required to be repeated). The rondo forms have no such repetition requirements and especially do not repeat expositional material.

Hint: a quick way to determine whether a movement is a sonata form or rondo is to look for an internal repeat sign that divides the movement into two large blocks. If the sign is present, the movement is probably in sonata form. If it is not, the movement is likely a rondo.

EXAMPLE 19.1   Mozart, Piano Sonata in C, K. 545, iii, 9–22

EXAMPLE 19.1 *Continued*

Example 19.1: the first couplet of this five-part rondo consists of a *subordinate-theme complex*. Following a short main theme (built as simple period), the transition begins at the upbeat to m. 9 and consists of a single 4-m. phrase leading to the dominant of the subordinate key, G major.

The subordinate theme, based on material of the main theme, is equally short and concludes with a PAC at m. 16. A 4-m. retransition leads to the return of the main theme (refrain 2) at m. 21.

Such a highly compressed set of thematic functions would be extremely rare in a regular sonata exposition (compare the subordinate theme of the first movement of this sonata, shown in Ex. 12.1). Indeed, the "dramatization" of the subordinate key so characteristic of the sonata is not an aesthetic ideal of the rondo, which often downplays the emergence and confirmation of the subordinate key. Rather, emphasis tends to be thrown upon the continual "return" of the main theme, and so the retransition function tends to become more significant in the rondo than in the sonata. Here, the retransition makes up a full third of the entire subordinate-theme complex.

Note that the arrangement of cadences (HC, PAC) suggests the presence of antecedent and consequent functions for the opening eight measures of this subordinate-theme complex. But the musical content does not permit us to hear the subordinate theme as a repetition of the transition, and so a standard period form does not emerge.

Example 19.2: the second couplet of this sonata-rondo is built as an *interior theme* residing in the submediant region of the home key (VI). The theme itself takes the form of an incomplete small ternary (rounded binary), whose A section, built as a modulating period, receives a written-out repetition, in order to introduce textural variations. The B section continues to emphasize the dominant key of E-flat achieved at the end of the A section, even ending with a PAC in that key at m. 98 (which becomes a reinterpreted HC upon the entrance of the A´ section).

As is often the case with an interior theme, the form remains open-ended (see Chap. 17, "Large Ternary: Interior Theme"). Here, the consequent phrase of the A´ section is rewritten to avoid a PAC in A-flat major (the principal key of the

interior theme) and concludes instead, in the manner of a retransition, on an HC (m. 107) of the rondo's home key, C minor.

An extensive standing on the dominant follows, which brings to a climax, with running sixteenth notes, the systematic acceleration of rhythmic values (from half notes to syncopated half notes, to quarter notes, to eighth notes) taking place within the interior theme itself. A dynamic climax follows at m. 111, after which the rhythmic durations decelerate to triplets (mm. 113ff.), in preparation for the eighth-note rhythms at the main-theme's return (m. 121). We see here how the standing on the dominant of the retransition becomes the most dramatic event of the central couplet, thus raising strong expectations for the return of the rondo refrain.

EXAMPLE 19.2 Beethoven, Piano Sonata in C minor ("Pathétique"), Op. 13, iii, 79–122

EXAMPLE 19.2 *Continued*

Let's Practice

The two examples given here bring the first and second couplets of the slow movement of Beethoven's "Pathétique" sonata, written as a five-part rondo. The rondo refrain, set entirely in the home key of A-flat major, was shown in Example 4.7; this theme is repeated with a fuller texture in mm. 9–16 (the final two measures are shown at the beginning of Ex. 19.3).

EXAMPLE 19.3 Beethoven, Piano Sonata in C minor ("Pathétique"), Op. 13, ii, 15–30

(continued)

EXAMPLE 19.3   *Continued*

Example 19.3: answer these questions.

1. Is this couplet, which begins at m. 17, built as a subordinate-theme complex or as an interior theme?
2. Why can we speak of a *fusion* of two thematic functions within mm. 17–23? Which functions are fused within this passage?
3. What functional labels can be applied to mm. 24–28?

EXAMPLE 19.4   Beethoven, Piano Sonata in C minor ("Pathétique"), Op. 13, ii, 37–52

(continued)

EXAMPLE 19.4 *Continued*

Example 19.4: answer these questions.

1. What thematic function best applies to this couplet (mm. 37–50)?
2. What theme type is the basis of this couplet? Is the theme complete?
3. What is the phrase-structural organization of mm. 37–44?
4. What aspects of rhythmic and textural continuity are retained from the couplet into the return of the refrain?

More Details

This section develops in greater detail aspects of rondo in general (that is, those features applying both to the five-part rondo and to the sonata-rondo), as well as some topics that are more specific to one or the other of these two forms. In many cases, we want to pay special attention to how similar thematic functions are realized differently in rondo forms compared to sonata form.

Main Theme

In general, main themes in rondo forms are more tightly knit than those in sonata form. For example, a rondo theme always closes with a PAC, never an HC. Moreover, rondo refrains tend to be conventional and symmetrical, whereas the looser, nonconventional themes frequently found in a sonata rarely appear.

And unlike the sonata, the use of sentences or sentence-like hybrids for the main theme is shunned in favor of periodic forms. Indeed, the 8-m. period frequently appears in rondo themes, either as the first part of a small ternary (or small binary) or as a stand-alone theme type.

The main theme proper may be followed by a closing section, and at times a second main theme in the home key may even appear as part of the opening refrain.

Subordinate-theme Complex

The first couplet of every sonata-rondo is a *subordinate-theme complex*. The first couplet of the five-part rondo may also be built in this way; indeed, this is the option favored by Mozart. Following the end of refrain 1, the music brings a transition and one or more subordinate themes residing in the conventional subordinate key. A closing section then leads directly into a retransition, which prepares for the return of the refrain.

> **TAMING THE TERMS**
>
> **Subordinate-Theme Complex.** *The idea of identifying the thematic functions of transition, subordinate theme, closing section, and retransition as a single large-scale unit is largely unheard of in connection with sonata form. Indeed, many theories of sonata (including the recent one of Hepokoski and Darcy) see the transition grouping with the main theme as comprising the first half of a "two-part" exposition (the second half being made up of the subordinate theme and closing area).*
>
>   *But the notion of subordinate-theme complex comes into its own in connection with rondo forms: because main-theme function is so strongly associated with the rondo refrain, all other contrasting material is deemed to constitute a couplet.*
>
>   *To be sure, the combination of main theme and subordinate-theme complex gives rise to a regular sonata-form exposition, as is clearly the case in the sonata-rondo. And for the five-part rondo, it would not be wrong to speak of an "exposition" in those cases when the first couplet is a subordinate-theme complex. This terminological practice, however, is not widespread, especially because no comparable "recapitulation" is found within that form.*

The establishment and confirmation of a subordinate key in a rondo are often less emphatic than they are in a sonata:

- A distinct transition is sometimes entirely omitted, in which case the end of the main theme is immediately followed by a subordinate theme beginning directly in the new key. In such cases, the subordinate theme is likely to include an *internal* HC (or dominant arrival) in order to give emphasis to the subordinate-key dominant.
- Whereas a sonata's subordinate theme must always close with a PAC (in the new key), this requirement may sometimes be waived for rondo forms. In some cases, the subordinate theme may lack cadential closure, such that the music moves without interruption into the retransition. The subordinate theme in the recapitulation of a sonata-rondo may also end without PAC closure, thus leading smoothly into the coda.

- In a sonata, the subordinate-theme group is usually formally complex and highly expansive in relation to the main theme. In a rondo, on the contrary, the subordinate theme, like the refrain, can be relatively compressed and simple (see again Ex. 19.1).
- Especially in rondo slow movements, the functions of transition and subordinate theme may be fused into a single thematic unit (as in Ex. 19.3).

As a rule, the tonal conflict of home and subordinate keys—so often dramatized in sonata form—tends to be tempered in rondo forms.

EXAMPLE 19.5   Beethoven, Piano Sonata in D, Op. 10, No. 3, iv, 15–26

Example 19.5: in this sonata-rondo, the transition of the exposition ends at m. 16 with an HC in the new key of A major.

The subordinate theme begins in the following measure and consists of a compound basic idea supported by the progression V^4_2–I^6. The phrase begins to be repeated at m. 21, but following the melodic high point at m. 23, I^6 of the subordinate key is converted into a V^6_5 of the home key, which, following the fermata, leads to a return of the rondo refrain.

The extremely incomplete subordinate theme consists essentially of a weak initiating function (weak because the prolonged tonic is inverted) followed by a brief retransition. Both continuation and cadential functions are eliminated from the form, a situation that would never arise in the subordinate theme of a sonata.

Dramatic intensification in the rondo is generally associated more with the various returns of the refrain than with the appearance of the contrasting couplets. Thus the retransition leading back to refrain 2 is usually longer and more elaborate than what might be found at the end of a sonata exposition, and motives anticipating the refrain's basic idea are often included in order to heighten expectations for its eventual return.

THE "DRAMATIC" ELEMENT OF RONDO FORMS

Unlike sonata movements, rondos are normally not as dramatic in emotional expression; they tend to be lighter and more relaxed in character. Moreover, a sense of tonal conflict early in the form may either be minimized within a subordinate-theme complex or, in the case of a first couplet set as an interior theme, largely absent.

To the extent that drama arises in a rondo form, that aesthetic sense tends to be associated with the return *of the refrain. Thus how this return is set up in the course of a retransition provides the composer with the best opportunity of imparting a dramatic effect within a rondo form.*

Interior Theme

Interior themes find widespread use within rondo forms. (Review the definition and discussion of interior themes in Chap. 17.) The second couplet of most five-part rondos features this thematic function, and the first couplet of that form may also be built as an interior theme, especially in rondos by Haydn. Within a sonata-rondo, the second couplet may also be an interior theme (while the first and third couplets are always a subordinate-theme complex).

As in the large ternary, the interior theme of a rondo is set as a *minore* or in the contrasting tonal regions of the submediant (VI) or the subdominant (IV). And even more often than with the large ternary, an interior theme of a rondo can be structured in diverse ways.

Usually the theme is modeled on the small ternary (or small binary). Sometimes that form is complete. At other times, however, the small ternary underlying an interior theme remains cadentially open or even becomes truncated (when its A´ section is omitted).

Sometimes the couplet is based on a different theme type (such as a sentential structure), or else it is built in a way that cannot be easily assimilated to any of the standard types, in which case it takes on a completely nonconventional form.

No matter how the interior theme is structured, it is normally followed by a retransition, sometimes quite extensive, that leads the music back to the home key in preparation for the return of the main theme. In some cases, retransition function is incorporated into a contrasting middle, if that section is the last part of the couplet (as in a truncated small ternary).

EXAMPLE 19.6   Haydn, Piano Sonata in G, H. 39, i, 17–34

Example 19.6: this couplet, the first one of a five-part rondo, is a *minore* interior theme constructed as a truncated small ternary. As expected, the A section modulates to the relative major. The B section then begins at m. 25 with model-sequence technique and arrives on the home-key dominant at m. 28. After a 4-m. extension, the dominant resolves to the tonic major to initiate the return of the main theme.

Here, retransition "function" (that is, the return to the home key) is built into the contrasting middle, as the final part of the couplet.

Returns of the Main Theme

All returns of the rondo refrain are set in the home key. And the original structure of the refrain may well remain intact on its return. At times, however, the structure of the opening main theme is modified, usually compressed, in some respect or another.

If the theme is built as a small ternary (as is often the case in the five-part rondo), the return of the theme may bring only the A (or A´) section, concluding with a home-key PAC. We can speak in that case of an *abridged refrain*.

Less frequently, the refrain is shortened to the extent that it lacks cadential closure or concludes with a cadence in some other tonal region. Both of these situations result in an *incomplete refrain.*

EXAMPLE 19.7   Haydn, Piano Sonata in E-flat, H. 49, iii, 58–64

Example 19.7: the second refrain of this five-part rondo is left incomplete because it consists only of its modulating A section (the complete refrain, a small ternary, was seen in Ex. 7.8). Although the final cadence (m. 60) of the incomplete refrain 2 is initially understood as authentic in the new key of B-flat, it can be heard as a reinterpreted HC in the home key of E-flat when the second couplet, a *minore*, begins at m. 61.

Example 19.8: refrain 2 of this five-part rondo remains incomplete as the music moves toward the subdominant region at m. 111 and cadences there at m. 114. The beginning of couplet 2 (a development-like fugal passage) elides with the end of the second refrain.

EXAMPLE 19.8   Beethoven, Symphony No. 3 in E-flat ("Eroica"), Op. 55, ii, 105–15

ON THE "FIRST HEARING" OF REFRAIN 2

Our "first" hearing of refrain 2 can elicit quite divergent formal interpretations depending on the structure of the preceding first couplet.

If the first couplet is built as a subordinate-theme complex, the return of the main theme may appear to mark the repeat of a sonata exposition or the beginning of a recapitulation in a sonata without development.

If, in a slow movement, the first couplet is built as an interior theme, the first return of the main theme may suggest the third part of a large ternary. (In a fast movement, the appearance of an interior theme following the main theme would immediately suggest a rondo form because the large ternary is rarely used in those cases.)

In both situations, the rondo form is not fully confirmed until the appearance of couplet 2.

Development

The second couplet of sonata-rondo form is often built as a development section in the sense of a regular sonata. In those cases, the couplet normally contains

a transition-like pre-core followed by one or more cores. In place of a core, the composer may substitute a pseudo-core or some other loosely organized thematic unit (as discussed in Chap. 13).

A sonata-rondo development can follow on refrain 2 in a number of ways. If the refrain is complete, the development begins with a unit that functions as a pre-core, one whose organization resembles a transition. That is, the unit opens in the home key and modulates to a new tonal region for the start of the core (or core substitute).

This transition-like pre-core is usually based on prior ideas, but also possibly on new material. One logical strategy brings back the original transition (from the beginning of couplet 1), which eventually moves to a new tonal region. Another common procedure is for the refrain (or some part of it) to start over again but then lead into new material. In both these techniques, a shift to minor typically signals that the previous exposition will not be repeated (in the sense of a regular sonata form) and that a new couplet is under way.

> **Example 19.9: following what sounds like a regular sonata exposition, the movement's main theme (see Ex. 4.2) reappears intact, closing with a PAC at m. 59. The theme begins to be repeated at m. 60, but the immediate shift to minor reveals that we are not hearing a repeat of a sonata exposition but rather the second refrain and couplet of a sonata-rondo form.**
>
> **At m. 66, the music departs from the plan of the refrain and modulates to ♭III, the key in which a core begins (at m. 77, not shown). The unit in mm. 60–76 thus functions as a transition-like pre-core.**

EXAMPLE 19.9   Beethoven, Violin Sonata in D, Op. 12, No. 1, iii, 58–71

(continued)

EXAMPLE 19.9 *Continued*

If the second rondo refrain is incomplete, the development typically begins in one of two ways:

1. Refrain 2 consists of an antecedent unit. A presumed consequent begins to sound but then departs from the course laid out by the antecedent in order to become a transition-like pre-core.
2. The refrain fails to achieve any cadential closure and merges instead with transitional material. Sometimes it is difficult to discern a clear dividing line between the end of the refrain and the beginning of the couplet.

Example 19.10: the antecedent unit of the refrain closes at m. 87 with a reinterpreted HC. The consequent follows the plan of the antecedent until the second half of m. 93, at which point the music develops sequentially the motive of the continuation phrase.

The consequent thus becomes a transition-like pre-core ending at m. 99, albeit without a sense of dominant closure. A core begins with the upbeat to the next measure.

EXAMPLE 19.10   Mozart, Piano Trio in B-flat, K. 502, iii, 86–103

A number of sonata-rondo developments by Beethoven contain near the end a false recapitulation, in which material from the rondo refrain reappears first in some other tonal region. Indeed, false recapitulations are more common in rondo movements than in sonatas. Since a rondo places its dramatic

emphasis on the return of the refrain, an initial appearance in the "wrong" key, corrected shortly thereafter in the right key, is a particularly effective device.

Of the two basic rondo forms, the sonata-rondo regularly (though not necessarily) features a genuine development section. Now and then, a true development is found as the second couplet in a five-part rondo. At other times, the second couplet might take on a "development-like" aspect, with significant sequential activity and the exploration of a development key, though without an actual core (or core substitute). The fugato passage that follows the incomplete refrain 2 in Beethoven's "Eroica" Symphony (see Ex. 19.8, m. 114) begins in IV and modulates to V(minor), a standard tonal progression for the development section of a minor-mode movement.

Coda

In the five-part rondo, the movement may simply end with the final return of the main theme, though sometimes a new closing section may be added. Optionally, a full-fledged coda may follow (sometimes without a break in texture or rhythm, especially if the final refrain is incomplete). Such a coda, which may be quite extensive, often has strong developmental qualities, introduces new material, makes reference to earlier couplets, or even brings additional statements of the refrain.

In sonata-rondo form, the last couplet is followed eventually by a final restatement of the refrain, thus conforming to the norms of rondo forms in general. In addition, sonata-rondos include a distinct coda that appears after the recapitulation of the subordinate-theme complex. The relation of the final refrain to the coda is complicated (see text box), so to simplify the matter we can say that, like a regular sonata, the coda of a sonata-rondo can be said to start at that point where the music of the recapitulation stops corresponding to the exposition.

CODA VS. FINAL REFRAIN

Most music theorists tend to see the coda of sonata-rondo form as following the final return of the main theme. To be sure, this view is reasonable in those many cases in which the final refrain appears directly after the closing section of the recapitulation.

But sometimes the recapitulation leads into music that is already best understood as belonging to a coda, and the rondo refrain returns only somewhat later. It would seem, then, that there is no consistent relation between the beginning of the coda and the beginning of the final refrain. For that reason, it is perhaps best to say that the former embraces the latter.

In other words, the coda of a sonata-rondo can be said to start at the same place as it does in a regular sonata, namely, at the point where the music no longer establishes a correspondence with the exposition.

In this view, the rondo refrain always appears somewhere in the coda, often at its very beginning, but sometimes only after the coda is under way.

Finer Points

Deviations from the Norm

Many rondos are not as strictly organized as the discussion thus far might suggest. Exceptions to the principles laid out above regularly arise. Quite a number of symphonic finales by Haydn, for example, can rightly be analyzed as either a sonata or a sonata-rondo. Several deviations from the norms appear frequently enough, however, to warrant mention here.

Omitting One Return of the Refrain

Seeing as the sonata-rondo normally includes four appearances of the refrain, the composer may at times feel that this many statements of the same material is unnecessarily redundant and overburdens the form. It would seem, therefore, that omitting one of the four refrains does not significantly impair the rondo effect.

One standard deviation, adopted frequently by Mozart, sees the elimination of refrain 3 at the beginning of the recapitulation. Couplet 2 thus moves directly to couplet 3. In such cases, the end of couplet 2 (development or interior theme) usually brings material from the transition of couplet 1 (subordinate-theme complex) so that couplet 3 (recapitulation) can begin directly with the subordinate-theme group. In other words, the recapitulatory sense of "beginning again" is often more effectively conveyed by subordinate-theme materials than by those of the original transition.

Another option is to eliminate the basic structure of the refrain within the coda, employing instead only the initial motives of the refrain. In fact, where Mozart retains refrain 3 in his sonata-rondo forms, he usually eliminates refrain 4, although its opening motives may pervade the texture of the coda to give at least a minimal sense of "rondo-theme return."

Double-region Couplet

In a number of Mozart's sonata-rondos, couplet 2 is built neither as a single interior theme nor as a development. Instead, the couplet emphasizes two tonal regions: submediant and subdominant. The phrase structural organization of the material, however, does not result in two interior themes, as might be suggested by the use of these particular regions.

It is difficult to generalize about the organization of such a *double-region couplet* because Mozart employs a variety of formal possibilities. Typically, however, each of the two regions is associated with a distinct thematic unit, only one of which may be an interior theme. In some cases, both the units are constructed as simpler main-theme types (sentence, period, or even hybrid), which may be more or less tight-knit or even left incomplete.

Most often the submediant region precedes the subdominant, but the reverse order occurs now and then. The two regions are sometimes linked by a transition, which may range from a short phrase to a lengthy developmental passage.

EXAMPLE 19.11   Mozart, Piano Sonata in B-flat, K. 333, iii, 55–103

(continued)

EXAMPLE 19.11 *Continued*

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Example 19.11: refrain 2 closes at m. 56, after which appears material from the transition that opens couplet 1. At m. 61 the music departs from the path taken by the exposition and continues on to the dominant of VI (m. 64).

The first thematic unit of this double-region couplet (beginning at m. 65) is an 8-m. sentence ending with an HC at m. 72 in the submediant. A brief transitional passage leads to the subdominant region, where a second sentential unit, much more loosely constructed than the first, begins at m. 76.

A promised cadence is evaded at m. 88 and then again two measures later. Indeed, the theme never achieves cadential closure, since m. 90 initiates a retransition leading back to the home-key dominant at m. 103.

> ### DIFFERENCES AMONG THE CLASSICAL COMPOSERS
>
> *Rondo forms tend to be treated somewhat differently by each of the three classical composers. Haydn, as a rule, prefers the five-part rondo form over the sonata-rondo. Within that form, he normally writes the first couplet as an interior theme. Mozart, on the contrary, likes to use a subordinate-theme complex for that same couplet.*
>
> *Indeed, this distinction between Haydn and Mozart obviously relates to these composers' differing orientation toward slow movement forms: the former prefers the large ternary (with its central unit being an interior theme), while the latter cultivates the sonata without development form, which engages transition and subordinate-theme functions.*
>
> *Another composer-specific tendency concerns the tonal region of the interior theme used as the second couplet in the five-part rondo. Here, Haydn favors a minore, Mozart the subdominant.*
>
> *As discussed before, Mozart, more than Haydn or Beethoven, eliminates one of the refrains of the sonata-rondo form, either the third return of the main theme at the beginning of the recapitulation or the basic structure of the theme in the coda.*
>
> *Mozart is the principal composer to employ a genuine double-region couplet. One example by Beethoven appears in the finale of the Wind Octet, Op. 103 (a very early work despite the "late" opus designation), and the finale of his Piano Sonata in D, Op. 10, No. 3, contains a couplet that represents a variant on the Mozartean type.*
>
> *Beethoven's rondo forms tend to conform to the models presented in this chapter, though as always, this composer likes to expand the range of usable tonal areas to those less closely related to the home key. Beethoven also likes to play with the idea of false recapitulation within his rondos, a stunt rarely found in Haydn and never in Mozart.*

Enlargements of Rondo Form: Seven-part Rondo, Nine-part Sonata-rondo

Both the five-part rondo and the sonata-rondo can be enlarged by adding an additional couplet and return of the refrain. In these cases, the couplet is usually organized as an interior theme, one whose melodic-motivic material, tonal region, and formal organization contrast with those of earlier interior themes.

When the five-part rondo is so enlarged, it becomes what might be termed a *seven-part rondo* (ABACADA). It is important to note that whereas the regular sonata-rondo also has seven parts, a genuine seven-part rondo does not contain a couplet that can be construed as the recapitulation of an earlier subordinate-theme complex.

A sonata-rondo can become enlarged into a *nine-part sonata-rondo*. In this case, the extra refrain and couplet are inserted between couplet 2 and the recapitulation.

Reviewing the Theory

Answer These Questions

1. The five-part rondo contains how many statements of the rondo refrain?
2. What is a subordinate-theme complex?
3. What is the difference between an "incomplete" refrain and an "abridged" refrain?
4. How may the expression of a subordinate key in a rondo be less emphatic than is typically the case in a regular sonata?
5. What type of pre-core is usually found at the beginning of a sonata-rondo development?
6. Dramatic intensification in the rondo is typically associated with what formal function?
7. Which two tonal regions are emphasized in a double-region couplet?
8. Where does the coda start in a sonata-rondo form?
9. Which refrain(s) of the sonata-rondo may sometimes be eliminated?

True or False?

1. Each couplet in the sonata-rondo form contains melodic-motivic material that is markedly different from the others.
2. The return of the rondo refrain is sometimes set in the submediant or subdominant regions.
3. Like a regular sonata, the coda is an optional component of a sonata-rondo.
4. Rondo forms derive historically from Italian binary dance movements.
5. Rondo refrains are typified by periodic formal organization.
6. The subordinate-theme complex of a rondo must always bring a PAC in the subordinate key.
7. All sonata-rondo codas contain the rondo's final refrain (or at least significant motives from that refrain).
8. Mozart favors the use of subordinate-theme complexes in his five-part rondos.

Multiple-choice Questions

Choose a letter (there may be more than one) that correctly answers the question.

1. Which formal types are normally associated with the rondo refrain?
   a. Simple sentence
   b. Simple period
   c. Compound sentence
   d. Small ternary

2. Which of these are typical characteristics of a couplet that is built as an interior theme?
   a. Resides in the *minore* of the home key
   b. Is structured as a small ternary
   c. Brings a PAC in the subordinate key
   d. Contains an abridged version of the refrain
3. Which is a "sonata" aspect of the sonata-rondo form?
   a. Repetition of the exposition
   b. Presence of pre-core/core technique
   c. Recapitulation of the subordinate-theme complex
   d. Use of an interior theme

Examples for Analysis

Space limitations do not permit including entire movements for analysis. The following pieces are especially recommended to illustrate the formal types presented in this chapter.

> *Five-part rondo:* Mozart, Piano Sonata in B-flat, K. 570, ii (R = ½N; couplet 1 is analyzed in Ex. 7.9); Beethoven, Piano Sonata in G, Op. 49, No. 2, ii; Haydn, Piano Sonata in A-flat, H. 43, iii (seven-part)
>
> *Sonata-rondo:* Mozart, Violin Sonata in B-flat, K. 454, iii; Beethoven, Piano Sonata in G, Op. 31, No. 1, iv; Mozart, Rondo in F, K. 494 (nine-part; the main theme is analyzed in Ex. 5.10)

The following excerpts highlight specific formal techniques discussed in the chapter.

Five-part Rondo

EXAMPLE 19.12 Mozart, Violin Sonata in E-flat, K. 481, ii, 15–36. The excerpt, which contains the whole of couplet 2, begins with the final cadence of refrain 1; refrain 2 begins at m. 35

(continued)

EXAMPLE 19.12   *Continued*

EXAMPLE 19.13 Haydn, String Quartet in F, Op. 77, No. 2, iii, 52–75. The excerpt contains the A´ section from refrain 2 (beginning at m. 52) and the whole of couplet 2. For comparison, refrain 1 is shown in Example 7.20

EXAMPLE 19.13   *Continued*

Sonata-rondo

EXAMPLE 19.14   Beethoven, Piano Sonata in E, Op. 14, No. 1, iii, 12–32. The excerpt, which contains the whole of couplet 2, begins with the final cadence of refrain 1; refrain 2 begins at m. 31

EXAMPLE 19.15   Beethoven, Piano Sonata in E-flat, Op. 7, iv, 47–65. The excerpt contains the whole of refrain 2, which begins with the upbeat to m. 51. Couplet 3 (*minore*) begins at m. 64

EXAMPLE 19.16   Mozart, Piano Sonata in D, K. 576, iii, 148–89. The excerpt starts with the final cadence of the subordinate-theme group of couplet 4 and continues with the entire coda, which begins at the upbeat to m. 152

(continued)

EXAMPLE 19.16   *Continued*

Concerto Form

Throughout the 18th century, the concerto stood alongside opera and symphony as a principal "public" genre of musical composition. Whereas the Baroque period cultivated a variety of concerto types (such as concerto grosso, ripieno concerto, double concerto, and solo concerto), the high classical period saw the solo concerto—for single instrument and orchestra—emerge as the preeminent concerto type.

A defining feature of this classical concerto is its employment of a formal scheme derived from the Baroque "ritornello form" and strongly infused with elements of classical sonata form. This *concerto form* is used in the first movement of all classical concertos. The form is sometimes found in a slow movement (which also may be written as a sonata, sonata without development, or five-part rondo), but rarely in a finale (which is typically organized as a sonata-rondo, one that may also contain prominent concerto-form elements). This chapter treats the first-movement concerto form exclusively.

SOME HISTORICAL BACKGROUND

Baroque Ritornello Form. *The classical concerto is rooted in the Baroque* ritornello form, *in which* tutti *passages performed by the full orchestra, each termed a* ritornello *(little return), alternate with* solo *passages featuring one or more instruments, accompanied by the orchestra.*

A relatively long opening ritornello *brings the primary melodic-motivic content of the movement, and subsequent ritornellos typically transpose parts of this opening into related tonal regions. A* closing ritornello *brings back the content and structure of the opening ritornello in the home key to create a frame for the movement as a whole.*

Between statements of the ritornello, the solo participates in performing ideas derived from the ritornello but also introduces new, typically virtuosic, material of increasing complexity.

The Basics

As in the Baroque period, the classical concerto brings *ritornellos* played by the orchestra alone; they frame the form and alternate with *solo* sections, which feature the soloist accompanied by the orchestra. Like classical sonata form, the three solo sections function largely the same as an exposition, development, and recapitulation.

Concerto form consists of six principal sections:

1. The *opening ritornello* resembles the thematic organization of a sonata exposition, except that it remains fundamentally in the home key and tends to minimize the loosening devices typical of a sonata.
2. The *solo exposition* is organized essentially the same as a sonata exposition and thus effects a modulation from the home key to the subordinate key along with significant formal loosening.
3. The *subordinate-key ritornello*, which occupies a position analogous to the closing section of a sonata exposition, provides an exclusively orchestral reinforcement of the new key.
4. The *solo development* functions largely the same as a sonata development.
5. The *solo recapitulation* functions as a sonata recapitulation, but it must also "recapitulate" into a single section elements from both the opening ritornello and the solo exposition.
6. The *closing ritornello*, analogous to a sonata recapitulation's closing section, completes the structural frame; this ritornello is usually interrupted by the soloist's *cadenza*.

Concerto form does not contain a section that functions like a sonata-form coda.

AESTHETIC GOALS OF CONCERTO FORM

Unlike the "private" instrumental genres (such as the solo sonata and the quartet) and the more "public" genres of symphony or overture, whose participating players are roughly equal, the classical concerto pits a single instrumentalist against a full orchestra. Because of this inherent inequality, ways must be found to make certain that the soloist can compete effectively against the larger forces of the orchestra while not allowing the latter to be so subordinate that it becomes a mere accompaniment.

Throughout the 18th century, various compositional devices were developed for realizing these aesthetic goals. The techniques used to highlight the solo include assigning it musical ideas not previously sounded by the orchestra, permitting the solo part to have the principal

(continued)

> Aesthetic Goals of Concerto Form continued:
>
> *modulatory action in the movement, and throwing special light on the solo by means of an unaccompanied cadenza interpolated into the form.*
>
> *To ensure that the orchestra is not reduced to an exclusively accompanimental role, the orchestra alone provides a textural "frame" for the opening and closing of the movement. In addition, the orchestra is permitted to appear by itself at least one other time in order to assert its own identity in relation to the solo part.*
>
> *(This summary of the aesthetic goals of concerto form owes much to the writings of Tovey and Rosen.)[1]*

Opening Ritornello

The opening ritornello consists of multiple thematic units that can be identified as functioning along the lines of a main theme, transition, and subordinate theme (group). A genuine sonata exposition does not emerge within this section, however, because these units largely remain rooted in the home key. As a result, the conflict of tonal regions—essential to a sonata exposition—is postponed until the next section of the form, when the soloist finally appears.

In addition to avoiding a tonal conflict, the opening ritornello tends to minimize the loosening of formal organization that typifies the transition and, especially, the subordinate-theme group of a standard sonata exposition. The enormous extensions and expansions used to dramatize the appearance and consolidation of the subordinate key have, in the absence of any real tonal conflict, no logical place in this section of the form.

EXAMPLE 20.1   Mozart, Piano Concerto in E-flat, K. 482, i, 50–76

(continued)

EXAMPLE 20.1 *Continued*

Example 20.1: the transition of this opening ritornello ends on dominant of the home key, after which a new thematic unit, the first of two subordinate themes, begins at m. 51. A simple presentation leads to a continuation⇒cadential phrase to close this tight-knit theme.

A second subordinate theme (mm. 59–72) is more extensive, because of the evaded cadences in mm. 68 and 70. Yet even this theme, together with the first, would unlikely be found as the complete subordinate-theme group in a symphonic sonata-form exposition, especially with the lack of any substantial cadential expansion.

Subordinate-key Ritornello

The subordinate theme of the solo exposition normally concludes with an enormous expanded cadential progression, featuring rapid virtuosic work by the soloist and culminating in the conventional "cadential trill." In a standard sonata exposition, a closing section would follow, one that might either sustain the excitement of the cadential arrival with highly charged music or might instead initiate a recessive dynamic to close the exposition on a more sober note.

In concerto form, this closing section is replaced by the subordinate-key ritornello, a section designed to allow the orchestral forces to emerge from an accompanimental role and participate alone in the reinforcement of the subordinate key. The melodic-motivic content of this section is usually taken from material originally presented in the opening ritornello but eliminated in the solo exposition.

FOCUS ON FUNCTION

Closing Section vs. Subordinate-key Ritornello. *In a sonata-form exposition, the final PAC is followed by a closing section, in which a recessive dynamic frequently helps dissipate the energy accumulated in reaching the cadential goal. At the corresponding place in concerto form, the final cadence is invariably followed by a section for orchestra alone, with the solo remaining silent until the beginning of the development.*

This orchestral passage is clearly the formal analogue of a closing section, but in the majority of cases it is not organized as a series of codettas. Moreover, the dynamic intensity reached by the solo's climax is seldom, if ever, lessened during this section. So even though this passage is located where a closing section might be expected, it displays few characteristics of that formal function.

The subordinate-key ritornello may itself conclude with its own closing section (following a PAC) or remain open-ended on dominant harmony for the beginning of the solo development.

EXAMPLE 20.2 Mozart, Piano Concerto in E-flat, K. 482, i, 196–206

Example 20.2: the subordinate-key ritornello begins at m. 199 following the final cadence of the subordinate-theme group (as heralded by the "cadential trill"). The ritornello (whose initial eight measures are shown in the example) is directly modeled on the second subordinate theme (including the closing section) of the opening ritornello (see Ex. 20.1, mm. 59–76).

This music, which was entirely eliminated in the solo exposition (Ex. 20.8, ahead, shows the melodic-motivic material of the solo's second subordinate theme) now appears transposed into the subordinate key so that the orchestral forces alone can participate in projecting the fundamental tonal conflict of the form.

Closing Ritornello

The closing ritornello frames the overall form and generally alludes strongly to material used in the opening ritornello and, frequently enough, in the subordinate-key ritornello. This final section is usually divided into two parts, separated by a cadenza for the soloist, which is interpolated into the form. The second part concludes with a PAC and then brings its own closing section (usually based on that of the opening ritornello).

The cadenza is conventionally introduced by the appearance of a prominent cadential six-four, and indeed the cadenza itself can often be seen as broadly prolonging that harmony, finally resolving at its end to a dominant seventh to create a PAC, which closes the first part of the ritornello. In the score, the composer usually notates the cadential six-four and the penultimate dominant seventh, both of which are placed under fermata signs, which indicate that an improvised cadenza is to be added by the performer.

EXAMPLE 20.3   Mozart, Piano Concerto in E-flat, K. 482, i, 357–67

Example 20.3: like the subordinate-key ritornello (shown in Ex. 20.2), the closing ritornello beginning at m. 358 is drawn directly from the second subordinate theme of the opening ritornello (Ex. 20.1, mm. 59–76), but now appearing, this final time, in the home key.

The opening presentation (mm. 358–61) is followed by a new continuation leading to the cadential six-four, which marks the beginning of the cadenza. Following that, the rest of the opening ritornello's subordinate theme returns. The movement concludes with the same closing section used to end the earlier ritornellos.

Let's Practice

EXAMPLE 20.4   Mozart, Violin Concerto in A, K. 219, i, 1–39

(continued)

EXAMPLE 20.4   *Continued*

Example 20.4: answer these questions on the opening ritornello of this violin concerto.

1. What are the boundaries of the principal thematic regions (main theme, transition, subordinate theme)? Hint: the transition is very short.
2. What is the overall tonal organization of the ritornello?
3. To what extent are the thematic units relatively tight-knit or loose?

More Details

Opening Ritornello

The opening ritornello initiates the textural frame for the concerto and brings much (though rarely all) of the fundamental melodic-motivic material of the movement. For the orchestra to assume an independent identity in relation to the solo and at the same time to build up expectations for the solo's entrance, the opening ritornello is often relatively long and filled with a variety of musical ideas. These ideas are distributed in ways that strongly suggest the thematic functions of a sonata exposition, except of course that the music remains largely in the home key.

Thematic Functions

The opening ritornello begins with a tight-knit main theme closing with a PAC. (Like a rondo, but unlike a sonata, a concerto main theme does not close with an HC.) The compound sentence is particularly favored for a concerto main theme, but other conventional types (and the occasional nonconventional theme) are found there as well.

The main theme is followed by a more loosely organized thematic region ending with a home-key HC, in other words, a unit that resembles a nonmodulating transition. Unlike sonata expositions, in which the transition can begin like the main theme, the transition of a concerto ritornello almost always begins with new material.

The next thematic unit continues to reside in the home key but, because of its placement following a transition, gives the impression of being a subordinate theme. Indeed, this theme effects a modest degree of formal loosening in relation to the main theme. Additional subordinate themes may follow, and the ritornello eventually ends with a closing section made up of codettas.

Tonal Organization

If the opening ritornello strongly resembles a sonata-form exposition, it lacks one of its principal characteristics: a genuine tonal conflict between home and subordinate keys. In most cases, the ritornello remains entirely in the home key.

In this way, the solo part can be given the opportunity to produce one of the major tonal events of the work, namely, the establishment of the subordinate key. If the orchestra alone does not depart from the home key, then strong expectations are generated for the solo to accomplish this task.

Occasionally the unit following the ritornello's transition begins in the subordinate key but then returns, usually rather quickly, to the home key without cadencing in the new key. Seldom does a modulating transition lead to a theme that confirms the subordinate key.

Phrase-structural Organization

The opening ritornello differs from a regular sonata exposition not only in tonality but also in phrase structure. More specifically, the "subordinate theme" (or themes) is generally more tight-knit than would ordinarily be expected in a sonata exposition of a comparable orchestral movement, such as a symphony or overture.

Formal loosening is kept to a minimum for a number of reasons. First, the home key, in which the subordinate theme resides, does not require any particular emphasis, especially of the cadential kind typically used to consolidate a subordinate key. Second, long extensions of continuation function usually call for sequential treatment, whose developmental potential might undermine the solo part as the bearer of prominent harmonic activity in the movement. Third, major cadential expansions normally bring in material of a virtuosic character best reserved for the solo part.

"DOUBLE EXPOSITION"

Seeing as both the opening ritornello and the solo exposition present an ordered succession (rotation) of expositional functions (main theme, transition, and subordinate-theme group), some theorists speak of a "double exposition" at the beginning of concerto form (analogous to the idea that sonata form itself normally presents its exposition twice).

This idea is somewhat attractive, especially when we consider the solo recapitulation. There, the composer has to find an effective way of "recapitulating," in a single section, material taken from both the opening ritornello and the solo exposition.

But the notion of a double exposition is misleading as well, for it suggests that concerto form is a variant type of sonata form, rather than being an independent form derived from Baroque antecedents that predate the classical sonata. For that reason, the opening section of concerto form is referred to as a ritornello rather than an "orchestral exposition."

Main-theme/Transition Fusion

Sometimes the opening ritornello appears to be divided into two principal parts on the basis of cadential articulations. The first part ends with an HC of the home key; the second begins with completely different material and ends with a PAC, usually followed by a closing section. In such cases, we should not speak of a periodic structure, because by beginning with new material, the second part gives no impression of being a consequent unit of any kind.

Rather, we have the impression that the first part *fuses* main theme and transition functions, a situation that we have discussed in connection with sonata-form recapitulations (see Chap. 14, p. 502) but that rarely appears in an exposition. The second part then corresponds to the subordinate theme. Mozart, in particular, seems to prefer this type of ritornello for more modest concertos, especially those featuring wind instruments.

Example 20.5: the opening ritornello begins with an 8-m. unit ending with an HC, after which a new unit brings differing melodic-motivic content. We therefore have no impression that this second unit is a consequent to the first; rather, as it continues (not shown in the example), it takes on the characteristics of a subordinate theme, with a modest degree of formal loosening and some expanded cadential progressions.

The initial unit could be seen as a standard hybrid (compound basic idea + continuation) and thus could be considered, on its own, the main theme. Yet there is some sense in which the second 4-m. phrase seems not quite to belong to the first phrase; rather, the marked change in dynamics, texture, and melodic profile (the wide leaps) along with the restless harmonic activity all suggest that this material

projects a *transition*, not a main theme. Thus from a thematic perspective, we could recognize the fusion of these two functions within the eight measures.

In the solo exposition, a more normal main theme emerges, whose new continuation phrase, shown in Example 20.5b, belongs very much in the style and character of the opening compound basic idea.

EXAMPLE 20.5 (a) Mozart, Horn Concerto in E-flat, K. 447, i, 1–13; (b) 33–36

Formal Associations of Melodic-motivic Material

Up to this point, we have considered the opening ritornello primarily in light of allowing the orchestra to express its own material while building strong expectations for the entrance of the solo. An additional role is the ritornello's

forging of an initial association between the various musical ideas and their form-functional expression.

Since the subsequent sections of the concerto rarely bring back the content of the opening ritornello in the same order, it is always of analytical interest to observe how ritornello ideas are linked to varying formal units throughout the rest of the movement.

For example, the main-theme material of the ritornello frequently functions to begin the transition in the solo exposition. Likewise, an idea first presented as a subordinate theme in the ritornello may return only in the development.

To be sure, the creation of multiple associations of a given idea with differing formal contexts is a compositional technique found throughout all classical forms. But it is especially prominent in concerto form, in which each of the five subsequent sections has the possibility of granting a new formal interpretation to material originally presented in the opening ritornello.

Solo Exposition

The entrance of the solo initiates the second major section of concerto form. This section functions in essentially the same way as a sonata exposition does and contains the standard thematic functions of main theme, transition, and subordinate-theme group (a single subordinate theme is uncommon).

Unlike a sonata exposition, however, the solo exposition does not conclude with a closing section but ends instead with the final PAC of the subordinate-theme group. The subordinate-key ritornello then follows as the formal analogue of a closing section.

The solo exposition rarely represents a repetition of the opening ritornello, as the "double-exposition" model of concerto form suggests (see earlier text box). Rather, this section almost always contains new material for the solo part to present on its own.

Yet the solo exposition brings back a considerable amount of music presented earlier, allowing the composer to vary the ideas or the formal context in which they are situated. Consequently, the solo exposition can already represent a "development" of material previously heard. Indeed, a solo exposition often contains greater sequential activity than that ordinarily found in a regular sonata exposition.

After a relatively long buildup created by the opening ritornello, the entrance of the solo is a dramatic event. Most often, the musical motion comes to a complete stop at the end of the opening ritornello, thus setting off the solo entrance by a moment of silence. But in some concertos, the solo appears to be overanxious and enters while the orchestra is still in the process of closing the ritornello.

Main Theme

The first unit of the solo exposition usually functions as a main theme. Frequently, this *solo main theme* brings back material of the *ritornello main theme* in the same formal plan. (The terms *ritornello* and *solo* can now be used as adjectives

to distinguish between the main theme, transition, and subordinate themes of the opening ritornello and those of the solo exposition.)

Sometimes, though, the phrase structure is altered, usually by means of loosening devices (such as a cadential extension) or the addition of new material. The ritornello main theme may also be subjected to any number of variation procedures, which, by imbuing it with greater virtuosic character, allow the solo to appropriate the theme for itself.

On occasion, the solo exposition begins with an entirely new theme. This *alternative main theme* tends to appear when the ritornello main theme is highly orchestral in character and not likely to be rendered idiomatically by the soloist. For example, the use of loud, fanfarelike figures for the full orchestra usually are not effective on the piano. In addition, orchestral beginnings that feature a polyphonic texture highlighting different sonorities are not likely to create a similar impression by the homogeneous sound of the solo instrument.

EXAMPLE 20.6   (a) Mozart, Piano Concerto in D minor, K. 466, i, 1–4; (b) 77–88

Example 20.6: the intensely brooding orchestral opening is shown in mm. 1–4. (The same texture continues for another 11 measures, creating a large crescendo.) An alternative main theme, introduced at the beginning of the solo exposition

(Ex. 20.6b), is considerably more pianistic and lyrical in character. Indeed, Mozart never attempts to imitate the texture of the orchestral opening in the piano part at any later point in the movement.

Transition

The choice of material to begin the solo transition seems to be guided, in most cases, by two general principles:

1. The solo section should not reproduce the same succession of ideas found in the ritornello from the main theme to the transition.
2. The use of an alternative main theme prompts the immediate reappearance of material from the ritornello main theme.

A variety of scenarios can be explained by one or both of these principles.

- If the solo main theme is based on the ritornello main theme, the solo transition will begin with new material. This scheme, following principle 1, appears in approximately half of Mozart's mature concertos.
- If an alternative main theme is used in the solo section, an immediately following transition will be based on the ritornello main theme, as proposed in principle 2.
- If, following an alternative main theme, the ritornello main theme is used as a "second" theme making up a main-theme group (according to principle 2), the solo transition will be based on new material (according to principle 1).
- If the solo exposition brings an alternative main theme, the solo transition can be based on the ritornello transition, since the succession of ideas in the solo exposition will be different from that in the opening ritornello (principle 1).

Although most concerto-form movements follow these principles, a significant few bring a solo main theme and transition that largely restate those of the opening ritornello (with the possibility of structural changes and ornamental variations). Such cases reinforce the concept of a "double exposition."

Subordinate-theme Group

As in a regular sonata exposition, the subordinate-theme group of the solo exposition is responsible for expressing and confirming the subordinate key. The group contains at least two themes (each ending with a PAC), but a group of three is extremely common. One or more of the themes is generally based on ideas from the opening ritornello, but new material is almost always added. In fact, the entire solo subordinate-theme group can sometimes be unrelated to the ritornello.

When the solo subordinate theme draws on material from the opening ritornello, that material typically comes from the ritornello's subordinate-theme group. But it may also derive from the ritornello main theme or, especially, the

transition. After all, the latter is often replaced by a new solo transition, and thus ideas from the ritornello transition are free to reappear in the context of the solo subordinate-theme group.

Because each concerto finds its own logical and appropriate way of distributing material, it is difficult to formulate principles for how various ideas appear in the subordinate-theme group. One general tendency, however, is that in the majority of concertos the first subordinate theme is entirely new, most likely in order to aid the solo part in projecting its own melodic-motivic profile. In those cases, the first ritornello subordinate theme usually reappears in the solo exposition as either the second subordinate theme or the second part of a two-part subordinate theme. This latter option is particularly effective, since both the new material and the earlier ritornello theme can be preceded by a standing on the dominant—the one ending the solo transition and the one following the internal half cadence.

EXAMPLE 20.7   Mozart, Violin Concerto in A, K. 219, i, 73–84

Example 20.7: part 1 of the first solo subordinate theme (mm. 74–80) consists of ideas not previously heard. Part 2, beginning at m. 81, brings back material from the subordinate theme of the opening ritornello (see Ex. 20.4, mm. 20–23). Thus the solo part has the opportunity not only to sound its own subordinate theme but also to bring into the new key the subordinate theme originally played by the orchestra in the home key.

As already discussed, the subordinate-theme group of the opening ritornello tends to remain relatively tight-knit. The solo subordinate-theme group, on the contrary, is largely responsible for substantially loosening the form. Most often, one of the themes prominently extends continuation function by means of harmonic sequence, and the cadential areas, especially in the final theme, are greatly expanded.

EXPANDED CADENTIAL PROGRESSIONS AND CONCERTO STYLE

Enormous expanded cadential progressions are a hallmark of the concerto. The rhythmic and dynamic climax of the exposition is normally reached during the expansion of the final cadential dominant, in which the shortest durational values culminate in the "cadential trill," the conventional sign for the close of the solo exposition.

This stylistic element also permeated other genres of the period, such as the solo sonata, and even the string quartet. Indeed, the appearance of a broad ECP leading to a cadential trill immediately brings the idea of concerto to mind, no matter what the genre of the work.

In addition to their normal roles in loosening the structure, the use of extended sequences and expanded cadential progressions opens up considerable structural space for the soloist to display his or her virtuosic abilities. These places in the form are usually filled with figurational passage work that explores the extreme ranges of the instrument and shows off the performer's technique.

The final subordinate theme is often written in a "bravura" style, featuring continuous sixteenth notes. Typically, this *bravura theme* is first presented in a relatively compressed form. The effect of cutting short such hustle and bustle raises expectations that more of the theme will have to appear. And indeed, the theme is then repeated and significantly expanded in accord with the nature of its material.

Example 20.8: the second subordinate theme begins at m. 171 with sixteenth-note arpeggiations (which continue the sixteenth-note runs found at the end of the previous subordinate theme). This bravura theme initially takes the form of a

simple 8-m. sentence, which, in light of the energy accumulated by the rhythmic motion, seems all too short.

Therefore the theme is repeated (m. 178) and expanded by means of model-sequence technique and a cadential progression, whose dominant is stretched to 10 measures (not shown in the example).

EXAMPLE 20.8 Mozart, Piano Concerto in E-flat, K. 482, i, 170–83

Subordinate-key Ritornello

The subordinate-key ritornello fulfills a variety of functions. First, it gives the orchestra another opportunity for sounding its "own" music, now in the context of the subordinate key. As a result, the orchestra is allowed to participate in the tonal conflict lying at the heart of the form, if not as an equal partner then at least as more than a mere accompaniment.

Second, the subordinate-key ritornello frequently brings back ideas from the opening ritornello that were eliminated from the solo exposition. For example, the "second subordinate theme" (including the closing section) from the opening ritornello of Example 20.1, mm. 59–76, is eliminated from the solo exposition (and replaced by the bravura theme shown in Ex. 20.8). This material then reappears to make up the entire subordinate-key ritornello, transposed, of course, into the new key (as already discussed in connection with Ex. 20.2).

A third function of this ritornello is to sustain, and often to intensify, the dynamic level attained by the solo. After all, a climax created by a single instrument, no matter how forceful, can always be superseded by the full orchestral mass.

Finally, the subordinate-key ritornello offers the solo a chance to rest following the virtuosic workout of the exposition and to reappear as a fresh sonority at the beginning of the development section.

To fulfill its dynamic function of sustaining, if not surpassing, the solo's climax, the subordinate-key ritornello usually contains *forte* material of powerful rhythmic vitality and forward drive; soft, lyrical, and tentative gestures are not found in this ritornello, at least not at its beginning. A favorite passage to reappear at the start of the subordinate-key ritornello is the one beginning the transition in the opening ritornello, which typically projects a vigorous, brilliant style. As already pointed out, this material is often eliminated in the solo exposition, for a variety of reasons.

The subordinate-key ritornello is usually structured as a complete thematic unit ending with a PAC in the subordinate key. Its form is often nonconventional, yet it stays rather tight-knit and compressed in relation to the final subordinate theme of the solo exposition.

A brief closing section may follow the final cadence of the ritornello. In some cases, this closing section veers off and modulates to a new tonal region for the beginning of the development. At other times, the ritornello itself fails to close cadentially in the subordinate key before heading off to the next section.

Example 20.9: the subordinate-key ritornello elides with the end of the cadential trill closing the solo exposition (m. 83). The content of this ritornello is taken from the subordinate theme of the opening ritornello, material that is deleted in the solo exposition in order to give the trumpet part its own subordinate theme (based on the main theme, as is typical with Haydn).

Following the descending-stepwise sequence in mm. 85–86, the arrival on I^6 in m. 87 might well signal the beginning of a cadential progression to close the ritornello in the subordinate key. The cadence does not materialize, however, because the sequence is continued further in order to modulate to the development key of C minor (HK: VI). Consequently, the subordinate-key ritornello does not receive cadential closure in B-flat, though it does end with an HC in C minor to set up the ensuing solo development.

EXAMPLE 20.9   Haydn, Trumpet Concerto in E-flat, H. VIIe:1, i, 81–94

Solo Development

The formal organization of a concerto development is, for all intents and purposes, the same as that of sonata form. Only two stylistic and textural features typical of the concerto need be mentioned here.

First, since the solo development of the classical concerto form derives from the "second solo" of the Baroque ritornello form, this section usually begins with a reappearance of the solo part, which was silent during the subordinate-key ritornello.

Second, the development of a concerto tends to be less a working out of prominent motivic material from the exposition than a rhapsodic improvisation, often employing conventional passage work (scales, arpeggiations, and the like). Indeed the intense "motivic work" (*motivische Arbeit*) typical of a symphonic development by Haydn or Beethoven would likely employ polyphonic instrumental textures that might direct attention more to the orchestra than to the solo. Conversely, the use of figurational patterns fosters a greater display of virtuosity from the soloist while the orchestra remains largely in the background.

Solo Recapitulation

The recapitulation of concerto form fulfills some of the same basic functions as a sonata recapitulation, namely, to project a large-scale *return* and to resolve the dramatic conflict of tonalities created by the exposition (and intensified by the development).

Thus, from the perspective of sonata form, one would expect that the organization of a concerto recapitulation would be modeled largely on that of the solo exposition, except, of course, for the necessary adjustments of tonality (as well as eliminating redundancies, adding a secondary development, etc.). And to be sure, a number of concerto movements follow this course.

But to the extent that a concerto brings two different "expositions"—here, the double-exposition model of concerto form comes more into its own—the recapitulation has an additional function: elements of both the opening ritornello and the solo exposition must somehow be "recapitulated" in a single section of the movement.

Sometimes this makes the solo recapitulation, especially at its start, resemble more the opening ritornello than the solo exposition. More often, however, the recapitulation is organized differently from either of the earlier "expositions." In particular, the recapitulation is likely to reintroduce ideas from the opening ritornello that were not used in the solo exposition and that find no place in the subsequent subordinate-key ritornello or development section. As a result, the formal placement of various passages as defined by each of the expositions is significantly altered.

Main Theme

In most cases, the recapitulation begins with main-theme material from the opening ritornello, since the sense of large-scale return is most effectively projected when music from the very beginning of the movement is reintroduced. As in a sonata recapitulation, the form of the theme may be altered and even left unclosed, in which case the main theme and transition functions may fuse (see Ex. 14.13).

If the solo exposition has introduced an alternative main theme, this new theme will seldom be used to begin the recapitulation. Rather, that theme is normally used elsewhere in the movement, such as at the start of the development section (thus making it easier for the composer to dispense with it at the beginning of the recapitulation) or following the original main theme in the recapitulation to make a theme group. In some cases, the alternative main theme never appears again.

Transition

Since the transition of the solo exposition often differs from that of the opening ritornello, usually one or the other is chosen for the recapitulation. Sometimes a completely new transition is written instead.

Subordinate-theme Group

The subordinate-theme group usually offers several opportunities for altering the structure of the recapitulation in relation to the earlier expositions. In most concertos, the solo exposition introduces one new subordinate theme (if not two) and thus does not use one or more of those from the opening ritornello. Consequently, the recapitulation frequently incorporates into its subordinate-theme group some material from the opening ritornello that is not found in the solo exposition.

The first subordinate theme from the opening ritornello is, for a number of reasons, especially likely to be brought back for the first time in the recapitulation. This theme is often eliminated from the solo exposition so as to allow the solo to have its own new subordinate theme. Moreover, the ritornello's first subordinate theme tends to be soft and lyrical in character and thus is generally not appropriate for use in the subordinate-key ritornello.

Consequently, this theme cries out to reappear and be performed by the solo at some point in the recapitulation. And so it may come back:

- In its original position at the beginning of the subordinate-theme group
- Immediately after the opening of the first solo subordinate theme
- At the start of a second subordinate theme

It does not normally return later than this, because a lyrical theme is unlikely to help build the climax needed for the end of the recapitulation.

> **Example 20.10: the first subordinate theme in the opening ritornello (see Ex. 20.1) begins at m. 51 with a quiet and peaceful melody. This theme is then eliminated in the solo exposition, whose subordinate-theme group (Ex. 20.10a) begins with a bold, dramatic shift to the minor mode. Following an internal HC and standing**

on the dominant, a new lyrical melody for the solo initiates the second part of this theme (Ex. 20.10b).

In the recapitulation, the ritornellos' first subordinate theme returns to begin the subordinate-theme group and is played at first by the solo piano (Ex. 20.10c). The lyrical theme from the solo exposition (m. 153) then returns at m. 329 (Ex. 20.10d) to initiate a second subordinate theme.

EXAMPLE 20.10 (a) Mozart, Piano Concerto in E-flat, K. 482, i, 128–31; (b) 152–54; (c) 312–15; (d) 328–30

Closing Ritornello

The end of the solo recapitulation is normally marked by a cadential trill in the solo part and a subsequent PAC. The closing ritornello, performed by the orchestra alone (except for the interrupting cadenza) elides with this cadence to complete the textural frame initiated by the opening ritornello.

Like the subordinate-key ritornello, the closing ritornello is the formal analogue of a closing section in a sonata recapitulation. In addition, the closing ritornello fulfills some of the same functions as that of the earlier subordinate-key ritornello:

- It gives the orchestra a final opportunity for sounding its own music, now, of course, fully rooted in the home key.
- It sustains or intensifies the dynamic climax attained by the solo at the end of the recapitulation.
- It provides one last chance to bring back ideas from the opening ritornello that found no place in other sections of the movement.

In most of Mozart's concertos, and all of Beethoven's, the closing ritornello brings a cadenza for the solo. (Haydn follows the mid-18th-century convention of having the cadenza mark the end of the recapitulation, after which comes the closing ritornello.) Thus the closing ritornello divides itself into a *first part* before the cadenza and a *second part* after the cadenza. The second part always ends with a closing section, usually the same one as that of the opening ritornello.

FOCUS ON FUNCTION

Closing Ritornello vs. Coda. *Inasmuch as the closing ritornello follows the end of the recapitulation, we might think that it functions as the coda of the movement. For a number of reasons, however, this ritornello should not be confused with a genuine coda.*

First, the ritornello generally brings back material in much the same way that it appeared earlier in the work, whereas a coda almost always sets earlier ideas in a fresh formal context.

Moreover, a closing ritornello does not normally feature loosening devices typical of a coda, such as sequential extensions and cadential expansions.

And whereas most codas refer to main-theme ideas for purposes of formal circularity, a closing ritornello rarely contains material from the main theme, preferring instead to create its sense of formal frame through matching closing sections, in the sense of a rhyme.

Finally, the notion that a closing ritornello is not a coda is confirmed when we encounter a genuine coda at the end of the first movement of Beethoven's Emperor Concerto *and thus observe how unlike a regular closing ritornello it is.*

Reviewing the Theory

Answer These Questions

1. The subordinate-key ritornello occupies a position analogous to which formal function in a sonata exposition?
2. Where is the cadenza most typically located in Mozart's and Beethoven's concerto forms?
3. What are the three thematic units making up the opening ritornello?
4. The conventional "cadential trill" marks the end of which formal sections of concerto form?
5. What are advantages and disadvantages of recognizing a "double exposition" within concerto form?
6. What is an alternative main theme?
7. Why are extended sequential passages and enormous expanded cadential progressions especially appropriate for the concerto style?
8. What is a bravura theme? Why is it usually repeated?
9. Why does the solo recapitulation normally not follow the same course of events as the solo exposition?

True or False?

1. The opening ritornello normally modulates to the subordinate key.
2. The opening ritornello brings minimal loosening devices.
3. The closing ritornello functions like a coda to the movement as a whole.
4. As in sonata form, a concerto main theme may end with a half cadence.
5. The solo exposition of a concerto often contains more sequential activity than typically found in a sonata exposition.
6. The solo exposition normally contains multiple subordinate themes.
7. The subordinate-key ritornello avoids using material from the opening ritornello that was deleted in the solo exposition.
8. The subordinate-key ritornello often begins with ideas taken from the opening ritornello's transition.
9. The solo development section tends to focus on extensive manipulation of motivic ideas derived from the various thematic units of the solo exposition.
10. The solo recapitulation seldom begins with an alternative main theme.

Multiple-choice Questions

Choose a letter (there may be more than one) that correctly answers the question.

1. Why might an alternative main theme be used at the beginning of the solo exposition?

    a. To avoid a redundancy with the opening ritornello

    b. Because the ritornello main theme may be unidiomatic for the solo

    c. To give the solo its own "main theme" ideas

    d. To avoid the use of fanfare ideas at the beginning of the solo exposition

2. Which principles guide the choice of material to begin the solo transition?

    a. The solo transition does not normally begin with the ritornello's main theme.

    b. The ideas at the beginning of the solo section should not appear in the same order as those in the ritornello.

    c. If the solo exposition begins with an alternative main theme, then the next sounding material will be based on the main theme of the orchestral ritornello.

    d. If the solo main theme derives from the ritornello main theme, the solo transition will derive from the ritornello transition.

3. Which of these are fulfilled by the subordinate-key ritornello?

    a. The orchestra is given its own music to reinforce the subordinate key.

    b. The subordinate-key ritornello brings back material of the opening ritornello that was deleted in the solo exposition.

    c. A recessive dynamic is created in order to bring a sense of calm before the emotional outbursts of the development section.

    d. The solo part is given a chance to rest.

4. Where does the first subordinate theme of the opening ritornello typically appear in the solo recapitulation?

    a. At the beginning of the subordinate-theme group

    b. As the basis for a bravura theme

    c. Immediately following the opening of the first solo subordinate theme

    d. Shortly before the expanded cadential progression that culminates in the cadential trill

Examples for Analysis

It is rarely fruitful to analyze individual sections of concerto form in isolation. In order to understand the logic of the arrangement of the various parts of the form, it is almost always necessary to consider the entire movement.

    Therefore, this section does not contain excerpts for analysis. Instead, you are advised to examine complete concerto forms. These movements illustrate well the principles set forth in this chapter:

- Mozart, Piano Concerto in B-flat, K. 450, i
- Mozart, Piano Concerto in C minor, K. 491, i
- Beethoven, Piano Concerto in C, Op. 15, i

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Glossary of Terms

This glossary contains definitions of the terms used in this textbook. Most of these terms and definitions are taken from the glossary of *Classical Form,* though some from that earlier work were eliminated here because their associated topics are not included; others, because they have been replaced by new terms.

Terms that are newly added for the glossary of this textbook are identified by an asterisk (*). These include some terms that were used in *Classical Form* but did not appear in the glossary of that book, as well as newly coined terms for the present textbook.

abandoned cadence The failure to realize an implied authentic cadence by eliminating the cadential dominant in root position or by inverting that harmony before its resolution.

abridged refrain In rondo form, a restatement of the refrain that consists of the A or A´ section of an original small ternary (compare **incomplete refrain**).

accompanimental overlap A boundary process involving the simultaneous appearance of the cadential arrival of one thematic unit with a change in the accompanimental pattern of the next unit, whose structural beginning, as defined by its initial downbeat, occurs in the following measure (compare **elision**).

adjustment In a recapitulation, altering material that originally appeared in a subordinate key in such a way as to remain entirely in the home key.

Alberti bass* A conventional accompanimental pattern consisting of arpeggiation figurations (compare **drum bass**; **murky bass**).

alternative main theme In concerto form, a new main theme appearing at the start of the solo exposition.

antecedent An initiating phrase function consisting of a unit that closes with a weak cadence, thus implying a repetition (a consequent) to bring stronger cadential closure.

antecedent phrase The first phrase of the period theme type, containing a basic idea followed by a contrasting idea, which leads to a weak cadence.

authentic cadence A cadential arrival articulated by the final tonic of an authentic cadential progression.

authentic cadential progression A cadential progression whose complete form brings, in order, the harmonic functions of tonic (usually in first inversion), pre-dominant, dominant (in root position), and tonic (in root position).

basic idea An initiating function consisting of a 2-m. idea that usually contains several melodic or rhythmic motives constituting the primary material of a theme.

binary minuet A large-scale bipartite form modeled largely on the small binary theme type.

boundary process* A compositional technique associated with the boundaries of formal units. It is responsible for promoting rhythmic or textural continuity between boundaries or for obscuring the boundaries to some degree.

bravura theme In concerto form, a solo subordinate theme featuring continuous rhythmic activity in sixteenth notes.

cadence* A general term for the engendering of thematic closure.

cadence of limited scope* A cadential idea whose function is limited to the unit of form that it closes (usually a codetta), without participating in any broader sense of thematic closure.

cadential A concluding phrase function that produces the requisite conditions for thematic closure. It is supported exclusively by one or more cadential progressions.

cadential arrival A moment in time marking the structural end of a thematic unit.

cadential idea A concluding idea function consisting of a 2-m. (or shorter) unit, supported exclusively by a cadential progression, that effects (or implies) a cadence.

cadential phrase A phrase supported exclusively by an expanded cadential progression. It does not usually exhibit continuational characteristics.

cadential progression A progression that confirms a tonality by bringing in order its fundamental harmonic functions (initial tonic, pre-dominant, dominant, and final tonic).

cadential six-four* A second-inversion triad, built out of the pitches of the tonic harmony, that functions in a cadential context as dominant harmony with melodic embellishments.

characteristic material Melodic and rhythmic configurations used to define a theme as unique (compare **conventional material**).

closing ritornello The final section of concerto form. It fulfills a similar function as the subordinate-key ritornello, except that it resides entirely in the home key and is usually interrupted by a solo cadenza.

closing section A postcadential phrase function following a perfect authentic cadence. It consists of a group of codettas, often featuring fragmentation and a recessive dynamic.

coda A framing section function that follows on a recapitulation. It contains one or more coda themes to reinforce further the home key and to serve various compensatory functions.

coda theme In a coda, a thematic unit that closes with a home-key perfect authentic cadence. It usually features loosening devices typical of a subordinate theme.

codetta A postcadential function following a perfect authentic cadence and ranging in length from a single chord to a 4-m. phrase. It is supported by a tonic prolongational (occasionally a cadential) progression (compare **closing section**).

compensatory function In a coda, the function acquired by a compositional procedure or event that compensates for procedures or events not occurring in earlier sections. It may serve to recall main theme ideas, restore material deleted from the recapitulation, reference material from the development, shape a new dynamic curve, or realize unrealized implications.

complete cadential progression A cadential progression that contains all the constituent harmonic functions (compare **incomplete cadential progression**).

complete pre-core A pre-core that contains a full complement of initiating, medial, and concluding phrase functions (compare **incomplete pre-core**).

compound antecedent* An initiating phrase function consisting of a simple sentence or hybrid that closes with a weak cadence, thus implying a repetition (a compound consequent) to bring stronger cadential closure.

compound basic idea An initiating phrase function that is a hybrid of a presentation and antecedent. It is a 4-m. phrase consisting of a basic idea followed by a contrasting idea, which does not lead to cadential closure. It is supported by a tonic prolongational progression.

compound consequent* A concluding phrase function that repeats a prior compound antecedent but ends with stronger cadential closure.

compound period* A compound theme type consisting of a compound antecedent and a compound consequent.

compound presentation* An initiating phrase function consisting of a compound basic idea and its repetition, supported by a prolongation of tonic harmony.

compound sentence* A compound theme type consisting of a compound presentation and an 8-m. continuation.

compound theme A more complex version of the simple 8-m. period or sentence (rarely, a hybrid). It is normatively 16 measures in length.

compression An internal shortening of the constituent members of a formal function.

concerto A full-movement form containing six sections: opening ritornello, solo exposition, subordinate-key ritornello, solo development, solo recapitulation, and closing ritornello.

concluding function Any number of formal functions at various hierarchical levels that express the temporal quality of "ending" (compare **initiating function**; **medial function**).

consequent A concluding phrase function that repeats a prior antecedent but ends with stronger cadential closure.

consequent phrase The second phrase of the period theme type. It restates the basic idea from the antecedent, followed by a contrasting (or cadential) idea, leading to strong cadential closure (usually a perfect authentic cadence).

contextual formal function* The formal function of a musical passage based on its actual location (as beginning, middle, or end) within a broader formal context (compare **intrinsic formal function**).

continuation A medial phrase function that destabilizes the prevailing formal context by means of fragmentation, harmonic acceleration, faster surface rhythm, and harmonic sequence.

continuation phrase The second phrase of the sentence theme type. It fuses continuation and cadential functions.

continuation⇒cadential phrase A phrase supported exclusively by an expanded cadential progression. It fuses continuation and cadential functions.

contrasting idea A concluding function consisting of a 2-m. unit that follows and contrasts with (i.e., is not a repetition of) a basic idea.

contrasting middle (B section) A medial function that loosens the prevailing formal organization, emphasizes the home-key dominant, and closes with a half cadence (or dominant arrival). The second unit of the small ternary theme type.

conventional material Melodic and rhythmic configurations widely used within the style and thus potentially interchangeable from piece to piece (compare **characteristic material**).

core A thematic unit of a development consisting of a relatively large model (4–8 mm.), one or more sequential repetitions, fragmentation, a concluding half cadence (or dominant arrival), and a postcadential standing on the dominant.

core substitute A thematic unit standing in place of a regular core in a development. It may be a pseudo-core or be organized like a transition or (modulating) subordinate theme.

couplet In rondo form, a large-scale section situated between, and contrasting with, statements of the refrain.

da capo The third part of minuet/trio form, bringing a return of the minuet proper.

deceptive cadence The failure to realize an implied authentic cadence by replacing the final tonic with another harmony (usually VI, but possibly I^6), which nonetheless represents the end of the prevailing cadential progression.

deceptive cadential progression A variant of the authentic cadential progression in which the final tonic is replaced by a related harmony (usually VI).

deceptive resolution* The resolution of dominant harmony to some harmony that substitutes for tonic (usually VI).

development A medial section function standing between an exposition and a recapitulation. It creates the loosest formal expression in the movement, and it may contain a pre-core, one or more cores (or core substitutes), and a retransition.

development key (DK) A tonal region (besides the home or subordinate keys) that is confirmed, usually in a development section, by some cadential function, though not necessarily by an actual cadence: in major-mode movements, VI, III, and II; in minor-mode ones, IV and V.

direct modulation* A technique of changing tonal orientation whereby the very start of a formal unit is set in a new key without the obvious use of a pivot chord (compare **pivot-chord modulation**).

dominant arrival A noncadential articulation of formal closure marked by the appearance of a dominant harmony near the end of a thematic unit (especially a contrasting middle, transition, retransition, or development) (compare **premature dominant arrival**; **half cadence**).

dominant harmonic function Various harmonies whose primary role is to progress to tonic. All dominant functioning harmonies contain the leading tone.

dominant version A unit (typically a basic idea) whose initial harmonic support is dominant (compare **tonic version**).

double exposition* In concerto form, the combination of both the opening ritornello and the solo exposition as analogous to a repeated exposition in sonata form.

double return* The idea that a recapitulation is fundamentally marked by the simultaneous return of both the opening of the main theme and the tonic of the home key.

double-region couplet In Mozart's rondo forms, a couplet that contains thematic units residing in both the subdominant and the submediant regions.

drum bass* A conventional accompanimental pattern consisting of repeated block chords (compare **Alberti bass**; **murky bass**).

dynamic curve A particular pattern of progressive and regressive dynamics.

early authentic cadence In minuet form, the appearance of a home-key authentic cadence before the end of the exposition (A section).

elided cadence A cadential arrival that simultaneously marks the beginning of the next unit.

elision A boundary process involving a moment of time that simultaneously marks the end of one unit and the beginning of the next unit (compare **accompanimental overlap**; **melodic overlap**).

end An articulation of formal closure (compare **stop**).

evaded cadence The failure of an implied authentic cadence to reach its goal harmony. The event appearing in place of the final tonic groups with the subsequent unit and (usually) represents the beginning of a repetition of a prior continuation or cadential passage.

exact repetition A unit (usually a basic idea) immediately restated in the same harmonic context (although the melody may be altered or transposed to different scale degrees).

expanded cadential progression (ECP) An expansion of the cadential progression to the extent of supporting a complete phrase (of at least four measures) or group of phrases.

expansion An internal lengthening of the constituent members of a formal function (compare **extension**).

exposition (A section) An initiating function consisting of a complete thematic unit ending with an authentic cadence. The first unit of the small ternary theme type.

exposition (full movement) An initiating section function consisting of main theme (group), transition, and subordinate theme (group).

extension The addition of extra units of similar material in order to stretch out a formal function in time (compare **expansion**).

failed consequent A unit that follows an antecedent in the sense of a consequent but does not close with the expected stronger cadence.

false closing section A closing section that is reinterpreted retrospectively as an initiation (usually a presentation) of a subsequent thematic unit.

false recapitulation Near the end of a development or a rondo couplet, the appearance of main-theme material in a tonal region other than tonic of the home key.

five-part rondo A full-movement form in which a refrain alternates with two couplets. Couplet 1 is a subordinate-theme complex or an interior theme, and couplet 2 an interior theme or development-like unit.

flat-side regions* Tonal regions of the home key whose key signatures have more flats than the home key (e.g., IV, II, ♭VI, ♭III, and ♭II).

formal function The specific way a musical passage expresses a more general temporal quality, such as beginning, being-in-the-middle, ending, before-the-beginning, or after-the-end. Depending on the hierarchical level involved, formal functions can be further characterized as idea functions, phrase functions, thematic functions, and section functions.

fragmentation A reduction in the length of units in relation to the prevailing grouping structure. Fragmented units do not necessarily contain melodic-motivic material derived from the preceding units.

framing function Any number of functions at various hierarchical levels that precede the beginning or follow the end of a formal unit.

fusion The combining together, or merging, of two formal functions within a single unit.

galant cadence* A conventionalized type of perfect authentic cadence (or half cadence) regularly used in the galant style, featuring a rapid scalar descent in the melody from $\hat{7}$ to $\hat{3}$.

group A general term for any self-contained "chunk" of music, embracing its complete melodic, harmonic, rhythmic, and textural content. More specifically, it refers to multiple themes (e.g., subordinate-theme group).

grouping structure The organization of discrete, perceptually significant time spans (group, unit, part, section, etc.) at any or all hierarchical levels in a movement.

half cadence (HC) A cadential arrival articulated by the final dominant of a half-cadential progression (compare **dominant arrival**).

half-cadential progression A cadential progression whose complete form brings, in order, the harmonic functions of tonic, pre-dominant, and dominant (triad in root position).

harmonic acceleration An increase in the rate of harmonic change.

harmonic functions The three fundamental harmonies—tonic, dominant, and pre-dominant—that embrace all other harmonic formations in a key.

home key (HK) The principal tonality of a movement. The key in which a movement begins and ends and to which all other keys or tonal regions ultimately relate.

hybrid theme A simple theme type combining functions associated with both the sentence and the period. Four basic patterns are antecedent + continuation, antecedent + cadential, compound basic idea + continuation, and compound basic idea + consequent.

idea Minimally, a 2-m. unit. A constituent member of a phrase.

idea function* The specific formal function accorded to a given idea. It serves as a constituent function of a phrase (compare **phrase function**; **thematic function**; **section function**).

imperfect authentic cadence (IAC) An authentic cadence in which the soprano voice ends on the third scale degree (compare **perfect authentic cadence**).

incomplete cadential progression A cadential progression that omits one or more constituent harmonic functions (compare **complete cadential progression**).

incomplete pre-core A pre-core that does not contain the full complement of initiating, medial, and concluding phrase functions. It typically lacks a cadential function (compare **complete pre-core**).

incomplete refrain In rondo form, a restatement of a refrain that lacks a home-key authentic cadence (compare **abridged refrain**).

initiating function Any number of formal functions at various hierarchical levels that express the temporal quality of "beginning" (compare **medial function**; **concluding function**).

interior theme A medial thematic function, standing between statements of a main theme, that is modeled largely on the small ternary or small binary forms. It resides in the contrasting modality of the main theme (*minore* or *maggiore*) or in the subdominant or submediant regions.

internal half cadence A half cadence appearing within the boundaries of a subordinate theme. It can be followed by a new continuation (or cadential) passage, or it can mark the end of the first part of a two-part subordinate theme.

interpolated episode A passage of strikingly new, unrelated material lying within a relatively remote tonal region and standing apart from the regular succession of formal functions.

interpolation Unrelated material inserted between two logically succeeding formal functions.

intrinsic formal function* The formal function of a passage expressed by its musical content, irrespective of its actual location within a broader formal context (compare **contextual formal function**).

introduction *See* **thematic introduction** or **slow introduction**.

large ternary A tripartite full-movement form consisting of a main theme, an interior theme, and a return of the main theme (compare **small ternary**).

lead-in A boundary process involving a melodic link, usually following a cadential articulation, that helps provide rhythmic continuity between two adjacent formal units.

linking harmony* A harmony that functions both as the last harmony of one progression and the first harmony of the next progression.

liquidation The systematic elimination of characteristic motives.

loose A formal organization characterized by nonconventional thematic structures, harmonic-tonal instability (modulation, chromaticism), an asymmetrical grouping structure, phrase-structural extension and expansion, form-functional redundancy, and a diversity of melodic-motivic material (compare **tight-knit**).

maggiore* A variation or interior theme set in the major mode of a minor-mode home key (compare *minore*).

main theme Initiating thematic function that brings the main melodic-motivic ideas of the movement, establishes and confirms the home key, and defines a standard of tight-knit organization.

main-theme group Two successive main themes, each ending with a perfect authentic cadence.

medial caesura* A prominent textural break or gap, created by a moment of silence or by a fermata on the final sonority, that occurs at the literal end of the transition in order to help highlight the entrance of the subordinate theme.

medial function Any number of formal functions at various hierarchical levels that express the temporal quality of "being in the middle" (compare **initiating function**; **concluding function**).

melodic overlap* A boundary process in which the goal of a unit's melody concludes on the downbeat of the first measure of the next unit (compare **elision**).

mini-sentence* A 4-m. antecedent (or consequent) phrase whose internal organization resembles that of a sentence; the same as **sentential antecedent**.

minore* A variation or interior theme set in the minor mode of a major-mode home key (compare *maggiore*).

minuet A large-scale tripartite form modeled on the small ternary theme type. It consists of an exposition (A), contrasting middle (B), and recapitulation (A′).

minuet proper The first part of minuet/trio form. It is constructed in minuet or binary minuet form.

minuet/trio A tripartite full-movement form consisting of a minuet proper, a trio, and a da capo (of the minuet proper).

modal borrowing (mixture) The use of harmonies containing notes from the opposite modality of the prevailing mode.

modal shift A change of mode within the same tonality.

model A unit established for the purpose of sequential repetition.

model-sequence technique A unit (the model) that is immediately followed by a restatement transposed to a different scale degree (the sequence); the same as **sequential repetition**.

modulating subordinate theme A subordinate theme that begins in a nontonic region (of either the home key or a subordinate key), thus giving the impression of modulating to the subordinate key.

modulating transition A transition that modulates to the subordinate key, ending on dominant harmony of that key (compare **nonmodulating transition**).

modulation The process of changing tonal focus such that a new tonic, confirmed as such by cadential function, is perceived to displace the previous tonic (compare **tonicization**).

monothematic exposition* An exposition whose (first) subordinate theme uses melodic-motivic content similar to that of the main theme's basic idea.

motive A collection of several notes constituting the smallest meaningful melodic or rhythmic configuration.

murky bass* A conventional accompanimental pattern consisting of broken octaves (compare **Alberti bass**; **drum bass**).

neighboring chord In a prolongational progression, a subordinate harmony situated between a prolonged harmony that retains its same position (e.g., I–V^6–I) (compare **passing chord**).

nine-part sonata-rondo A sonata-rondo form extended by an additional refrain and couplet, the latter built as an interior theme.

nonmodulating transition A transition that remains in the home key, ending on dominant harmony of that key (compare **modulating transition**).

notated measure A unit of musical time demarcated by bar lines in the score (compare **real measure**).

"one more time" technique Following an evaded cadence, the repetition of the previous cadential idea or phrase.

opening ritornello The first section of concerto form. It is organized like an exposition but remains in the home key throughout.

ornamental changes In a restatement of any kind, alterations of the melody, durational values, texture, dynamics, and the like of the original unit while retaining its basic tonal, harmonic, and phrase-structural organization (compare **structural changes**).

part A general term for grouping structure, often used in connection with some multipart thematic units (e.g., the first part of a small binary or the second part of a closing ritornello).

passing chord In a prolongational progression, a subordinate harmony situated between a prolonged harmony that changes position (e.g., I–V$^4_3$–I^6) (compare **neighboring chord**).

pedal point In a prolongational progression, the replacement of the bass voice of the subordinate harmonies by the root of the prolonged harmony.

penultimate dominant The dominant harmony of an authentic cadential progression (compare **ultimate dominant**).

perfect authentic cadence (PAC) An authentic cadence in which the soprano voice ends on the tonic scale degree (compare **imperfect authentic cadence**).

period A simple theme type consisting of a 4-m. antecedent phrase and a 4-m. consequent phrase.

phrase Minimally, a 4-m. unit, often (though not necessarily) containing two ideas.

phrase function* The specific formal function accorded to a given phrase. It serves as a constituent function of a theme or thematic unit (compare **idea function**; **section function**; **thematic function**).

phrygian cadence* A type of half cadence in which the bass descends a half-step from ♭$\hat{6}$ to $\hat{5}$.

pivot-chord modulation* A technique of changing tonal orientation whereby a harmony that has a functional meaning in the prevailing key is reinterpreted as having a different meaning in the new key (compare **direct modulation**).

postcadential One of several framing functions that express the sense of "after-the-end." It follows a cadence and prolongs its final harmony, usually with a recessive dynamic.

pre-core The initial unit of a development section, preceding a core or core substitute.

pre-dominant harmonic function Various harmonies whose primary role is to progress to a dominant.

premature dominant arrival A dominant arrival that appears before the end of the prevailing melodic-motivic and phrase-structural processes.

presentation An initiating phrase function consisting of a basic idea and its repetition, supported by a prolongation of tonic harmony.

presentation phrase The first phrase of the sentence theme type.

progressive dynamic A systematic buildup of tension and excitement by various musical means (including intensity, texture, rhythmic activity; compare **recessive dynamic**).

prolongational progression A progression that sustains the perception of an individual harmony through time despite the presence of an intervening chord of different harmonic meaning.

prolonged harmony The harmony that is prolonged by a prolongational progression.

pseudo-core A themelike unit in a development section that resembles a core as regards dynamics, texture, rhythm, and emotional character but that lacks genuine model-sequence technique.

real measure A unit of musical time corresponding to a listener's perception of a "full measure" of music (compare **notated measure**).

recapitulation (A′ section) A concluding function that represents a return (often adjusted and altered) of an earlier exposition. The third unit of the small ternary theme type.

recapitulation (full movement) A concluding section function that brings back, usually modified, an earlier exposition. It resolves tonal conflicts by adjusting all material into the home key.

recessive dynamic A systematic release of tension and excitement by various musical means (including intensity, texture, rhythmic activity) (compare **progressive dynamic**).

refrain The initial section of any rondo form. It functions as a main theme and is usually built as a small ternary or small binary.

reinterpreted half cadence A local authentic cadence in the dominant region of the prevailing key that is reinterpreted retrospectively as a half cadence in that key.

repetition The immediate restatement of a unit (compare **return**).

response *See* **dominant version** (compare **statement**).

restatement The reappearance of any formal unit as either a repetition or a return, with or without ornamental or structural changes.

retransition A formal function that effects a modulation from a subordinate key or development key to the home key, thus preparing for the return of a main theme or an A´ section. It may range in length from a single chord to a multiphrase unit, and it frequently anticipates motives of the main theme's basic idea.

retrospective reinterpretation (⇒)* Changing an analytical interpretation originally formed on the basis of one formal context in light of perceiving a newer context. Through this process, one function "becomes" (⇒) another function.

return A restatement of a unit following an intervening, contrasting unit (compare **repetition**).

rhetorical strength (of cadence)* The strength (or weakness) exhibited by a cadence according to its dynamic, textural, and metrical features (compare **syntactical strength**).

ritornello In concerto form, a section written for the orchestra alone.

ritornello form* A Baroque antecedent of the classical concerto form. It consists of alternating tutti (ritornellos) and solo sections.

rondo Any one of a number of full-movement forms in which a single refrain alternates with two or more couplets.

rotation* Bringing back in a later part of the form (such as the recapitulation) the same ordering of musical events that was established in an earlier part (such as the exposition).

rounded binary A version of the small ternary theme type that first repeats the exposition and then repeats together the contrasting middle and recapitulation (compare **small binary**).

scherzo* A variant of the minuet featuring a faster tempo and livelier character.

secondary development In a recapitulation, a newly added passage featuring model-sequence technique and the tonicization of flat-side tonal regions.

section A general term for grouping structure (e.g., the closing section of a subordinate theme, the development section of a sonata).

section function* The specific formal function accorded to a given large-scale section (e.g., exposition). It serves as a constituent function of a full-movement form (compare **idea function**; **phrase function**; **thematic function**).

sentence A simple theme type consisting of a 4-m. presentation phrase and a 4-m. continuation (or continuation⇒cadential) phrase.

sentential antecedent* A 4-m. antecedent (or consequent) phrase whose internal organization resembles that of a sentence; the same as **mini-sentence**.

sentential (or sentence-like) organization* A thematic organization resembling a sentence, but often considerably looser than the standard sentence theme type.

sequence A sequentially repeated version of a model.

sequential progression A progression that projects a consistent intervallic pattern among the individual voices of the harmonies. It is classified in terms of the intervallic motion of its constituent roots (e.g., descending-fifth sequence, ascending-second sequence).

sequential repetition A unit that is followed by a restatement transposed to a different scale degree; the same as **model-sequence technique**.

seven-part rondo A five-part rondo form extended by an additional refrain and couplet, the latter built as an interior theme.

simple theme* A sentence, period, or hybrid composed of eight real measures. Deviation techniques can render a simple theme more or less than eight measures (compare **compound theme**).

slow introduction A framing section function that expresses the sense of "before-the-beginning." It precedes a full-movement exposition (compare **thematic introduction**).

small binary A bipartite theme type whose parts are normally repeated. It resembles the rounded binary except that the second part contains no recapitulatory function and the first part may end with a half cadence (compare **rounded binary**).

small ternary A tripartite theme type consisting of an exposition (A), contrasting middle (B), and recapitulation (A´) (compare **large ternary**).

sonata A tripartite full-movement form containing an exposition, development, and recapitulation; a slow introduction and a coda may also be added.

sonata principle* The idea that all significant material originally appearing in a subordinate key (in the exposition) must eventually reappear transposed back into the home key (normally in the recapitulation).

sonata-rondo A full-movement form consisting of four statements of a refrain alternating with three couplets. The first refrain and couplet constitute a sonata exposition, the second couplet is either a development section or an interior theme, the third refrain and couplet form a recapitulation, and an obligatory coda brings the final refrain.

sonata without development A bipartite full-movement form consisting of an exposition followed by a recapitulation.

standing on the dominant A postcadential phrase function following a half cadence. It may also follow a perfect authentic cadence at the end of a small ternary exposition to initiate a contrasting middle. It consists of one or more ideas supported exclusively by a dominant prolongation.

statement *See* **tonic version** (compare **response**).

statement-response repetition A tonic version of a unit (usually a basic idea) immediately restated by a dominant version.

stop A cessation of musical activity at any point in a formal unit, not necessarily following a moment of cadential arrival (compare **end**).

structural changes In a restatement of any kind, alterations in the basic tonal, harmonic, and phrase-structural organization of the original unit (compare **ornamental changes**).

subordinate harmony In a prolongational progression, a harmony with a meaning different from that of the prolonged harmony.

subordinate key (SK) A closely related tonal region confirmed by a perfect authentic cadence as the principal contrasting key to the home key: in major-mode movements, the dominant region of the home key, and in minor-mode ones the mediant ("relative major").

subordinate-key ritornello The third section of concerto form. It reinforces the confirmation of the subordinate key, is structured as a thematic unit ending with a perfect authentic cadence, and draws on material from the opening ritornello.

subordinate theme A thematic function that confirms a subordinate key by closing with a perfect authentic cadence. It loosens the formal organization in order to solidify the new key in relation to the home key.

subordinate-theme complex In rondo form, a single couplet consisting of a transition, subordinate theme (group), closing section, and retransition.

subordinate-theme group Two or more successive subordinate themes, each ending with a perfect authentic cadence.

subordinate themelike unit* A core substitute that resembles a subordinate theme in phrase-structural organization. It ends with a perfect authentic cadence in a development key (compare **transition-like unit**).

substitute harmony* A harmony that substitutes for a more basic harmony of a given function (e.g., VI is a harmonic substitute for I).

syntactical strength (of cadence)* The strength of a cadence according to its basic type as half, imperfect authentic, or perfect authentic, in order of increasing strength (compare **rhetorical strength**).

thematic function* The specific formal function accorded to a given thematic unit. It serves as a constituent function of a full-movement form (or a principal section of such a form; compare **idea function**; **phrase function**; **section function**).

thematic introduction A framing function that expresses the sense of "before-the-beginning." It consists of a brief passage prolonging tonic (sometimes, dominant) with a progressive dynamic. It contains minimal melodic activity (so as not to suggest a basic idea) (compare **slow introduction**).

thematic unit A theme or themelike unit.

theme A unit (e.g., a main theme or subordinate theme) consisting of a conventional set of initiating, medial, and ending phrase functions. It normally closes with a cadence but may in certain loose contexts lack cadential closure (compare **themelike unit**).

theme and variations A multipart, full-movement form consisting of a main theme followed by an indefinite number of varied repetitions of that theme.

theme type* A formal type associated with themes, consisting of a conventionalized set of phrase functions.

themelike unit A unit (e.g., a transition or a core) that resembles a theme in formal organization but is usually looser and not required to close with a cadence.

tight-knit A formal organization characterized by conventional theme types, harmonic-tonal stability, a symmetrical grouping structure, form-functional efficiency, and unity of melodic-motivic material (compare **loose**).

tonic harmonic function The central harmony of a key, the one to which all others ultimately relate and derive their meaning.

tonic version A unit (usually a basic idea) whose initial harmonic support is tonic (compare **dominant version**).

tonicization A process of emphasizing a scale degree (besides the tonic) such that it is perceived as a local tonic. A tonicized region does not receive cadential confirmation (compare **modulation**).

transition A thematic function that destabilizes the home key and loosens the formal organization in order for a subordinate key to be established and eventually confirmed.

transition-like pre-core A modulatory thematic unit, usually sentential in form, that leads to dominant harmony of a development key (to begin a core).

transition-like unit* A core substitute that resembles a transition in its phrase-structural organization (compare **subordinate themelike unit**).

transitional introduction A passage built over dominant harmony of a new tonal region. It typically appears at the beginning of a pre-core.

trio The second part of minuet/trio form. It is constructed in minuet or binary minuet form.

truncated recapitulation In sonata without development form, a recapitulation consisting of only the main theme (thus omitting the transition and subordinate theme).

truncated small ternary An incomplete theme consisting of an exposition (A) and a contrasting middle (B). The expected recapitulation (A´) is eliminated.

two-part subordinate theme A subordinate theme whose first part ends with an internal half cadence and whose second part starts with new, initiating material.

two-part transition A transition whose first part is nonmodulatory and closes with home-key dominant and whose second part, often beginning with reference to main-theme ideas, modulates to the subordinate key and closes there with dominant harmony.

ultimate dominant The dominant of a half-cadential progression (compare **penultimate dominant**).

unit A general term for any self-contained "chunk" of music, embracing its complete melodic, harmonic, rhythmic, and textural content.

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References to musical examples in the text appear in parentheses following the citation of work and movement. Pages in italics refer to substantive discussions of the compositions.

Haydn, Joseph

Mozart, Wolfgang Amadeus

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