

Analyzing

CLASSICAL
FORM

*An Approach
for the Classroom*

WILLIAM E. CAPLIN

Analyzing Classical Form

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William E. Caplin

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Printed in the United States of America
on acid-free paper

*To my family,
Marsha, Adam, and Rebecca*

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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

Many people contributed to my being able to write and produce this textbook. First and foremost, I want to acknowledge the enormous help provided by my research and teaching assistant, Andrew Schartmann, who not only set all of the musical examples and constructed the companion website but contributed important ideas on all aspects of the concept, organization, and contents of the text. It is hard for me to imagine how I could have accomplished the task without his ongoing efforts and support.

In the preface to *Classical Form*, I cited many scholars—Janet Schmalfeldt in particular—who helped me develop the ideas of that book; their contributions continue, of course, to find expression in *Analyzing Classical Form*. I want to acknowledge some additional colleagues who have especially helped me refine these ideas as well as develop new ones: Joseph Auner, Pieter Bergé, Poundie Burstein, Suzannah Clark, David Cohen, Robert Gjerdingen, James Hepokoski, Nathan Martin, Julie Pedneault-Deslauriers, Dean Sutcliffe, Michel Vallières, Steven Vande Moortele, and James Webster.

I was stimulated to undertake this project by Janet M. Beatty, former executive editor of higher education at Oxford University Press, and its completion was supervised by Suzanne Ryan, executive editor of music; they, along with their staff, provided important input in the production of this work. In addition, I thank the anonymous reviewers who read earlier versions of this textbook and offered many useful ideas for its improvement. At all stages, I received considerable feedback and suggestions from my teaching assistants and students at the Schulich School of Music.

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.

Research for this textbook has been generously provided by grants from the Social Sciences and Humanities Research Council of Canada.

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
- IV⁶ = first-inversion subdominant
- V⁴₃ = 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, $\flat$ II, secondary (applied) dominants of the dominant (such as VII⁷/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 Vogler³ later in that century and then popularized by the German theorist Gottfried Weber⁴ 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 Schoenberg⁶ and

(continued)

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

a) I (V⁹) I b) I (V⁴) I⁶ c) V (IV⁶) V⁶ d) I (VI) I⁶ e) I_{ped.} (IV) V⁷ I

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

authentic

a)  $I^6 \quad II^6 \quad V \quad 7 \quad I$

b)  $I^6 \quad IV \quad V \quad I$

c)  $I^6 \quad II^6 \quad V(7) \quad 7 \quad I$

half

d)  $I^6 \quad II^6 \quad V$

e)  $I \quad V$

deceptive

f)  $I^6 \quad II^6 \quad V \quad 7 \quad VI$

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, VII⁶/V, I⁶).

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, I⁶–II⁶–V⁷–I (authentic cadential); I⁶–II⁶–V (half cadential).

An *incomplete* cadential progression lacks an initial tonic or a pre-dominant; for example: I⁶–V⁷–I or II⁶–V⁷–I (authentic); I–V or II⁶–V (half). An incomplete authentic cadential progression may even lack both initial tonic and pre-dominant; for example, V⁷–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

c: I V⁶ I I^{6_{seq.} (VII⁶)}

55 VI⁶ V⁶ 56 IV⁶ (Fr⁺⁶) V(♯) (♯)

Example 1.4: the opening four bars prolong tonic harmony in root position by means of a subordinate dominant in first inversion (V^6), 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 IV^6 (further embellished by the Italian augmented sixth).

Note that the IV^6 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

Allegro assai

D: I ped. (V) I (IV V) I V^7 seq. II V^7 I II^6 $V(\frac{6}{7})$ I

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

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The musical score is for the first movement of Haydn's String Quartet in G major, Op. 54, No. 1. It is in 3/4 time and marked "Allegro con brio". The score is written for four strings: Violin I, Violin II, Viola, and Cello/Double Bass. The key signature has one sharp (F#). The score is divided into three systems. The first system contains measures 1 through 4. The second system contains measures 5 through 7. The third system contains measures 8 through 10. The notation includes various dynamics such as *f* (forte), *sf* (sforzando), and *p* (piano), as well as articulation like *staccato*. The score shows a variety of rhythmic patterns, including eighth and sixteenth notes, and rests. The first system begins with a *f* dynamic in the Violin I part, followed by a *staccato* marking. The second system features a *p* dynamic in the Violin I part. The third system shows a *sf* dynamic in the Violin I part. The score concludes with a *p* dynamic in the Violin I part.

(continued)

EXAMPLE 1.6 *Continued*

9

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 (I₄⁶) 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 V₄⁷, 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 (II^6) is more often employed for this function.

Both II^6 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 ($\flat II^6$) 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 IV^6 , II^4_3 , $\flat II$).

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 ($\sharp\hat{4}$), 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 VII^7/V ; the less-dissonant $V^{\sharp}_3/V$ and V^6/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 $\sharp\hat{4}$, they are usually built over the sixth degree of the natural minor scale ($\flat\hat{6}$). (On occasion, however, these harmonies may be repositioned so that $\sharp\hat{4}$ 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

a) I_{ped.} (IV V⁷) I

b) I_{ped.} (V⁷ IV V⁷) I

c) V_{ped.} (I V I V VII⁷) V

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

a) I (V) I b) I (V⁵) I c) I (VII⁷) I d) I⁶ (V⁴) I⁶ e) I (IV) I

f) I (IV⁶) I g) I (IV⁶ V⁵) I h) I (IV⁵ V⁵) I i) I (III⁴ V⁵) I

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

a) I (VII⁶) I⁶ b) I (V⁴) I⁶ c) I (m⁷_p) I⁶ d) I (V⁵_p) I⁶ e) IV⁶ (I³_p) IV

f) V (IV⁶_p) V⁶ g) I (IV⁶) I⁶ h) I (V⁴) I⁶

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 $\frac{7}{4}$ 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 $\text{II}^{\frac{6}{4}}$ (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

a) I (VI) I⁶
 b) I⁶ (VI) II^ᶠ
 c) IV (II) V
 d) I (V⁶) VI
 e) IV⁶ (I^ᶠ)_p II^ᶠ
 f) I (III)_p IV
 g) II (IV)_p V
 h) I ⁷ IV

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

Example 1.11 displays two basic authentic cadential progressions in C major, labeled a) and b). Both progressions are shown in a two-staff format (treble and bass clefs).

Progression a) consists of the following chords and notes: I^6 (C major, first inversion), II^6 (D minor, first inversion), V (G major, root position), 7 (F major, seventh chord), and I_1 (C major, first inversion). The notes are: C4, E4, G4, C5, F4, C4, G2, C3, F2, C2, G1, C1.

Progression b) consists of the following chords and notes: I^6 (C major, first inversion), IV (F major, root position), V (G major, root position), and I_1 (C major, first inversion). The notes are: C4, E4, G4, C5, F4, C4, G2, C3, F2, C2, G1, C1.

Note that the initial tonic is usually placed in first inversion and that the pre-dominant is typically II^6 (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.

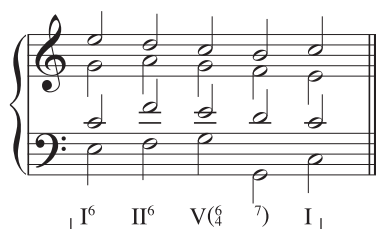
But actual compositional practice does not back up that presumption. Whether or not a composer chooses to employ a complete or incomplete cadential progression normally depends on many circumstances unique to the given context.

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

a) I⁶ ♭II⁶ V I

b) I⁶ II⁶ (VII⁷) V I

c) IV (V⁶/₄) V I

d) ♭II⁶ (VII⁷) V I

e) (♭II⁶) (VII⁷) V(⁶/₄) I

f) II V I

g) IV⁶ V⁷ I

h) I⁶ Gr⁶ V(⁶/₄) I

The most frequently employed embellishment of pre-dominant function appears over $\hat{4}$ 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 $\sharp 4$. Although the first chord is spelled like $\text{VII}^{\flat}_3$, it does not have dominant function but rather serves in this context as a replacement for the pre-dominant $\text{II}^{\flat}_6$ 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

Example 1.14 displays four authentic cadential progressions (a, b, c, d) in piano style. Each progression is shown in a grand staff with treble and bass clefs. The bass staff includes chord symbols for each measure. Progression a) starts with a root-position tonic (I), followed by a pre-dominant (II⁶), a dominant (V⁶), and a final tonic (I). Progression b) begins with a half-diminished seventh chord (V⁴₂), followed by a pre-dominant (I⁶), a pre-dominant (II⁶), a dominant (V⁷), and a final tonic (I). Progression c) starts with a half-diminished seventh chord (V⁶₂), followed by a pre-dominant (IV), a dominant (V⁷), and a final tonic (I). Progression d) begins with a half-diminished seventh chord (VII⁶₂), followed by a pre-dominant (II⁶), a dominant (V⁷), and a final tonic (I).

The initial tonic can be embellished, especially in expanded cadential progressions, by a neighboring $\text{V}^{\flat}_2$ (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

Example 1.15 displays six half-cadential progressions (a-f) in various keys, showing the relationship between the initial tonic and the final dominant. The progressions are labeled with Roman numerals below the notation:

- a) $\text{II}^6 \text{ V}$
- b) $\text{I}^6 \text{ VII}^7 \text{ V}$
- c) I V
- d) $\text{IV}^6 \text{ V}$
- e) $\text{I}^{\text{tr}6} \text{ V}$
- f) $\text{I IV}^6 \text{ I}^{\text{tr}6} \text{ V}$

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

a) I^6 II^6 V 7 VI

b) II^6 $V(\frac{4}{2})$ VII^7 VI

c) II^6 V VII^6/V

d) II^6 V I^6

e) II^6 $V(\frac{4}{2})$ I^6

f) II^6 $V(\frac{4}{2})$ V^7/IV

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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 $V^{\frac{4}{2}}$ 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 $V^{\frac{4}{2}}$ 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

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

b) I seq. (IV VII III etc.)

c) I seq. (IV⁷ VII⁷ III⁷ VI⁷ II⁷ etc.)

d) I seq. (IV⁶ VII III⁶ VI II⁶ etc.)

e) I seq. (IV⁶ VII⁴ III⁶ VI⁴ II⁶ V⁴ etc.)

f) I seq. (IV V/III V/VI V/II V/V V) I

g) I seq. (IV⁶ V⁴/III V⁶/VI V⁴/II V⁶/V V⁴) I

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

The musical notation for Example 1.18 shows a sequence of five chords in root position on a grand staff. The chords are labeled below the staff as I seq. (V), II, VI, IV, and I⁶. The bass line shows a descending fifth sequence of roots: C, G, D, A, E. The treble line shows the corresponding upper voices for each chord.

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

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

b) I seq. (V^6) VI III^6 IV I^6

c) I seq. (V^6) VI III^6 IV I^6

d) I seq. (V) VI III IV I
[II] 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 $G:I$ 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

a) $I_{\text{seq.}} (VI^6) \quad V^6 \quad IV^6 \quad III^6 \quad II^6 \quad I^6$

b) $I_{\text{seq.}} (VI^6) \quad V^6 \quad IV^6 \quad III^6$ etc.

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

a) $I_{\text{seq.}} (VII^6) \quad I^6 \quad II^6 \quad III^6 \quad IV^6 \quad V^6 \quad I$

b) $I_{\text{seq.}} (VI^6) \quad II \quad VII^6 \quad III \quad I^6 \quad IV \quad II^6 \quad V$

c) $I_{\text{seq.}} (V^6) \quad II \quad V^6 \quad III \quad V^6 \quad IV \quad V^6 \quad V$

d) $I_{\text{seq.}} (V) \quad II \quad V \quad III$ etc.

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., $V(\frac{6}{4} \frac{5}{3})$. 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., $V^7 \curvearrowright II$ (see Ex. 1.5, m. 33) or $IV^6 \curvearrowleft V^4_3$ (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., $\underline{II \ V}$; 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., $\underline{I^6 \ II^6 \ V^7 \ I}$.

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.-(VII⁶-VI⁶-V⁶)-IV⁶-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-V⁷)-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., (°7) for “diminished seventh chord” or (m⁷) 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

28

Andante

5

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

Vivace

p dolce

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

Moderato

29

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

Andante

99

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Part I

Conventional Theme Types

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The Sentence

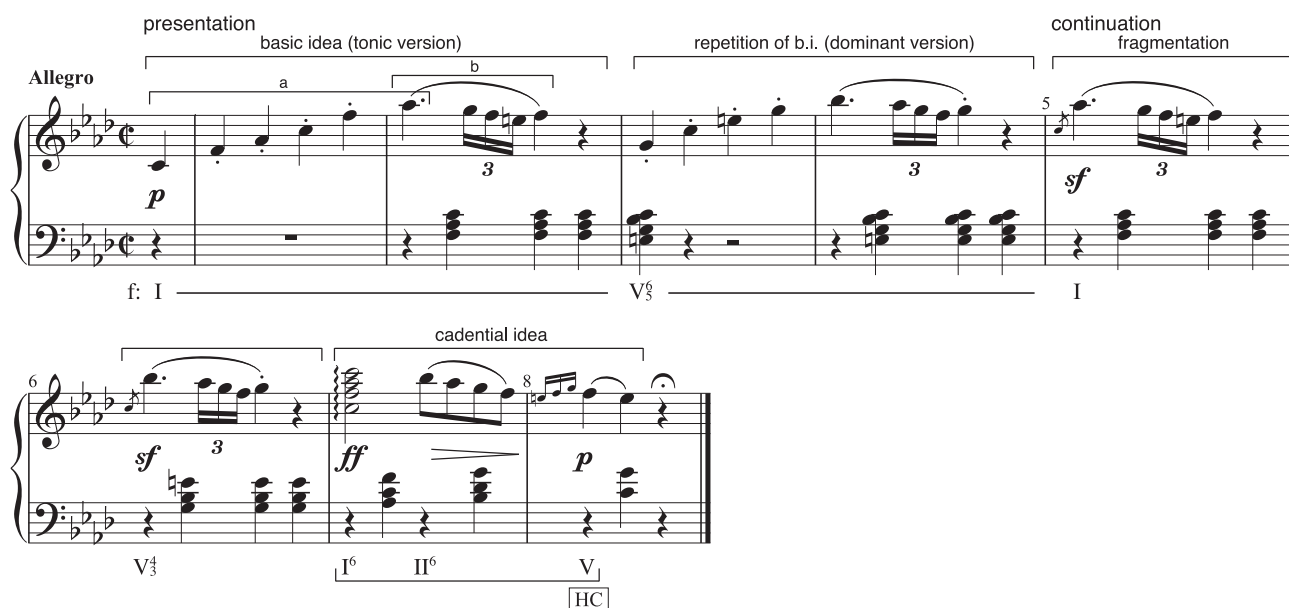
The *sentence* is undoubtedly the most important *theme type* in classical music. The majority of *thematic units* in this repertoire are structured either as sentences or in ways that resemble the sentence in many respects.

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.



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_3^6), 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 $I^6-II^6-V(\frac{6}{4} \frac{5}{3})$. 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?

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

Allegro

The musical score for Example 2.2 is a piano accompaniment for Mozart's Rondo in D, K. 485, measures 9–16. It is written in treble and bass clefs with a key signature of one sharp (F#) and a common time signature (C). The tempo is marked 'Allegro'. Measures 9–12 show a melodic line in the treble clef and a rhythmic accompaniment in the bass clef. Measures 13–16 continue the melodic line and accompaniment, ending with a double bar line.

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

The musical score for Example 2.3 shows the first four measures of the first movement of Beethoven's Piano Sonata in G, Op. 14, No. 2. The tempo is marked 'Allegro' and the articulation is 'p legato'. The melody is in G major, 2/4 time. The first two measures (measures 1–2) are labeled 'presentation' and 'a'. The next two measures (measures 3–4) are labeled 'b.i.' and '% (sequential)'. The melody in measures 3–4 is a sequential repetition of the first two measures, shifted up a step. The harmonic structure is indicated below the staff: G: I for measures 1–2 and II for measures 3–4.

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

Scherzando
Allegretto

b.i.

sotto voce

C: I⁶ ——— II⁶ ——— I⁶ (V³) I

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

Allegro di molto presentation

b.i.

Bb: I ——— (V) ——— I ——— (V)

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

Allegro presentation
moderato

b.i. tr 3 4 tr

C: I ped. (V⁷) I (V⁷) I

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

Allegretto presentation b.i. % (exact)

g: I⁶ — (V⁴ I) V⁶ I (V⁶ It⁶) 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

Andante
ma un
poco adagio

presentation

b.i. (statement)

% (response)

f

A: I ————— V⁷ —————

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

presentation

Allegro

b.i. (tonic version)

% (dominant version)

p

G: I ————— V³ ————— $\frac{5}{3}$ ————— I

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

presentation

Allegro

b.i. (tonic)

% (dominant)

p

C: I ped. ————— (IV) ————— V⁶ $\frac{5}{3}$ $\frac{4}{2}$ ————— I⁶ ————— (V⁶)

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

Allegretto
grazioso

presentation

b.i. (statement)

2/ (response)

p

C: I_{ped.} (IV)

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

Adagio
molto
espressivo

presentation

b.i

1/2 (sequential)

D: I (V⁹) I V(⁴) 9 VI (V⁹) VI V(⁴) 9 IV

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

Allegro

p legato

presentation

b.i.

% (sequential)

continuation

frag.

G: I

II₂

V⁶

I

II⁶

end of tonic prolongation

V (6⁴ 7)

I

PAC

Example 2.13: the sequential repetition of the basic idea on II₂⁴ pushes the remaining harmonies of the prolongation (V⁶–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

Allegro moderato presentation

Harmonic analysis for measures 1-8:

- Measure 1: C: I ped.
- Measure 2: (V⁷)
- Measure 3: I
- Measure 4: (V⁷)
- Measure 5: I
- Measure 6: (IV)
- Measure 7: I
- Measure 8: V (6⁷)
- Measure 9: I
- Measure 10: IAC

Continuation section labels: frag., cad., tr.

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

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Allegretto grazioso *p*

presentation b.i. (statement) % (response) continuation frag.

C: I ped. (IV) I

6 7

V⁶ I (° VII⁶) I V(° $\frac{3}{2}$)

HC

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

Allegro *fp*

presentation b.i. % continuation frag.

D: I (VII⁶) V 6 I IV

frag.

7

I⁶ IV V_J

HC

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

Allegro

presentation b.i. (tonic) $\frac{3}{2}$ (dominant) continuation (fr. beg. of b.i.)

C: I ped. (IV) V⁶ $\frac{3}{2}$ $\frac{4}{2}$ I⁶ (V⁶) I (V⁶) IV⁶ (V $\frac{4}{3}$)

29 frag. cad.

II⁶ $\frac{3}{2}$ (V $\frac{6}{3}$) V₁ HC

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

Allegretto presentation continuation

g: I⁶ — (V⁴ I) V⁶ I (V⁶ It⁶) V — 4 I⁶ V (3 5) I II⁶ V⁶ V

HC

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

Andante
ma un
poco adagio

presentation
b.i. (statement)

% (response)

continuation
(no frag.)

5 *tr* 6

A: I — V⁷ — I_{ped.} (V⁷ — IV) — I — VI

cad.

7

II⁶ V⁷ I₁

PAC

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_3^6 , while the continuation moves the tonic from root position to the less stable first inversion via a passing V_3^4 .

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