

A thumbnail sketch of how tonality works (or, theory II - IV reviewed on one page)

The most important paradigm or model: I → → → → V I

The complete progression may just reach V; it's then said to be "interrupted": I → → → → V ||

So, here is an interrupted progression, followed by a starting-over and complete one: I → → → → V || I → → → → V I

Prolongation (temporal extension) of tonic and — in other places — dominant function is *critically important*. Prolongation is often achieved via chords which produce arpeggiations, passing motions, or neighbor motions in the bassline. These chords, many of which are inverted diatonic chords you learned in theory II (examples: I⁶, I⁶₄, V⁶, V⁶₄, IV⁶₄, V⁶₃, V⁴₂, vii^{o7}, vii^{o6}, vii^{o7}, vii^{o7}, and *many* others) are less structurally significant than those of the "model" shown above, but they help to prolong or temporally extend the members of the model.

Diatonic predominant chords: IV, ii, ii⁶, ii⁶₅, and other more rare ones. These "set up" the dominant by coming before it.

Secondary chords (secondary dominants, diminished sevenths, and so forth): these chords embellish the underlying diatonic framework by applying the dominant of some diatonic triad before the diatonic triad, thus very briefly tonicizing said diatonic triad. Example: V⁶₅/V → V.

Mode mixture (borrowed chords): change of quality or color, but not function. Examples when in a major key: b III, b VI, iv, ii^{o6}₅, vii^{o7}, etc.

Additional chromatic predominant chords (these arise from voice leading):

1. Neapolitan chord: most often N⁶ (or, b II⁶); major triad built on b² — or *ra* — in the key.
2. The augmented sixth chords: all have a "core" of b⁶, ¹, and #⁴, or *le*, *do*, and *fi*. *Le* and *fi* resolve out to *sol*. It+6 contains an extra ¹. Fr+6 contains an extra ² or *re*. Gr+6 contains an extra b³ or *me*.

Extended tertian sonorities: ninths, elevenths, thirteenth. Most often a dominant "core" with added color note(s).

Methods of modulation: common chord, common tone, chromatic inflection, modulating sequence, tonal shift (phrase modulation), various uses of enharmonicism such as enharmonically reinterpreted ^{o7} or Gr+6 chords.

Key relationships: near-related (includes relative M/m), distant-related (includes parallel M/m, chromatic third related keys), enharmonic. Major-mode pieces modulate most often to the dominant, minor-mode pieces to the relative major.

Tonality, in essence, is a system of musical or stylistic *expectations*. Whether the expectations are *realized* or *thwarted* creates meaning and possibly affective or emotional reactions in the listener.

The most important thing to keep in mind is **hierarchy**: how various chords relate to the "model"; how various keys relate to one another and to the overall tonic key.

A quick outline for melodic analysis and period structure

Melody characteristics

Shape: range; high and/or low points; intervallic organization (conjunct, disjunct, balanced)
contour (ascending, descending, arch, inverted arch, axial)

Tonality: triadic outlining; tendency tones; cadences (espec. HC, IAC, PAC)

Formal "units": motive, subphrase, phrase, period, section, complete piece
smallest ← ← ← ← ← ↔ → → → → → largest

Phrase relationships (phrase form): see below

Sequence; step progression

Melodic developmental techniques (examples: change of mode, intervallic expansion, inversion, retrograde, diminution, augmentation, rhythmic/metric variation, surface embellishment)

Methods of extension: internal extension; cadential extension

Truncation; phrase elision (overlap)

Phrase relationships

most <i>similar</i>	← ↔ →	most <i>different</i>
repetition	similarity	contrast
a a	a a'	a b

Period structure

What's a period? It's a *group* of 2 - 4 phrases in which the initial cadence(s) is less conclusive than the final one. In Theory I, melodic cadences were the only issue. Theory II adds harmony and harmonic cadences to the equation.

In other words: melodic and harmonic openness and eventual closure.

Two phrase periods (open, closed):

Parallel period (phrase form = a a')

Contrasting period (phrase form = a b)

Additional terms: antecedent and consequent phrases

Three phrase periods (open, open, closed):

with an **antecedent pair** (a a' b)

with a **consequent pair** (a b b')

totally contrasting (a b c)

Four phrase period—the double period (open, open, open, closed):

most common: parallel double period (a b a' b')

many other possibilities (e.g. a b a' c or a' b c or whatever)

Phrase group: two or more phrases which belong together but do not form a period. The reason they don't form a period: they don't fulfill the "period requirement" of openness and eventual closure. Cadential structure (if 2 phrases) might be PAC PAC or even PAC HC.

What formal designs occur where?

Classic and Romantic

Let's begin with what some people call the "sonata cycle." As you may know, many symphonies and string quartets have four movements. Here's a diagram of what forms these movements will often (not always!) take.

mvt. I (often fast)	mvt. II (often slow)	mvt. III (often minuet & trio)	mvt. IV (often fast)
sonata form* (sometimes w/ slow intro)	ternary, or rondo, or sect. variations, or sonata form*, or something else	compound ternary (both minuet & trio individually often rounded binary) sometimes scherzo instead of minuet (espec. Beethoven & after)	rondo (espec. Haydn), or sonata-rondo, or sonata form*, or something else

- Note that mvts. II and III may be reversed (minuet/trio then slow), especially in many Haydn quartets.
- Most concertos and many sonatas for solo instrument or for piano/instrumental duo have only three movements. They're often in the forms outlined above for mvts. I, II, and IV. That is, most concertos and many sonatas do not contain a minuet/trio movement. Note that there are sonatas that do contain a minuet/trio movement (example: a number of Beethoven's earlier piano sonatas).
- Sectional variations are primarily from the Classic and Romantic eras, and may be movements of larger pieces (see above) or independent compositions (i.e., not just "one movement of something larger.")
- Note that many 19th century character pieces (Chopin mazurkas, Brahms intermezzi, etc.) are in ternary form.

Baroque

- Binary form is incredibly important in numerous suites and sonatas (trio sonatas, which can take the form of the *sonata da chiesa* or *sonata da camera*). Incidentally, many Baroque binaries have a simple (not rounded) binary design.
- Ternary crops up, especially in da capo arias. Rondo occurs, often as the Baroque *rondeau*.
- Contrapuntal genres (inventions, fugues, chorale preludes) are prominent in the Baroque. Chorales, incidentally, are sometimes in bar form (AAB).
- Variations (most often continuous sets—ground bass, chaconne, passacaglia) occur with some frequency.
- Concerto movements (in both solo concertos and *concerti grossi*) will sometimes be in ritornello form.

Vocal

- Song forms: strophic, modified strophic, through-composed, 32-bar song (AABA), 12-bar blues
- Opera: lots, including recitative and aria, da capo aria, cavatina/caballetta, and so on

* Strictly speaking, "single-movement sonata form" might be the best label here (for obvious reasons). Some people call this form "sonata-allegro," but not all movements in sonata form are fast. Some people call this "first movement form," but the weaknesses of this label are obvious.

General ideas about form and analysis

In his book *Form in Tonal Music*, Douglass Green writes: "Analysis is the separation of a whole into its parts and the exploration of the relationship of these parts to the whole and to each other." This excellent definition encapsulates much of what we will do this semester — identify the parts (and their musical characteristics), then compare and contrast the parts and try to discover how the parts create the whole.

An important distinction needs to become a part of your analytical process: the distinction between *tonal structure* and *formal design*.

- Analyzing *tonal structure* refers to identifying the various tonal centers of a piece, considering how and why one tonal center moves to another, deciding which tonal centers are the most structurally salient, and so forth.
- Analyzing *formal design*, most simply put, is "identifying the parts," as discussed in the first paragraph above. Of course, one then moves on to compare and contrast the parts and try to discover how the parts create the whole.
- Ultimately, it is the unique *combination* of tonal structure and formal design which creates each individual work of (tonal) music.

A quick review

In theory III you learned about *binary* form — a small "part-form" with two parts, each of which sometimes is repeated. The tonal structure of *continuous binary form* involves a modulation — part I frequently moves from tonic to dominant (or, if in minor mode, tonic to relative major); part II then modulates back to the tonic key. This type of formal design does **not** have a lot of contrast — the two parts are usually pretty similar. In fact, *rounded binary form* includes a return of the opening material in the tonic key somewhere toward the end of part II.

Theory IV added *ternary* form — a small "part-form" which has *three* parts, most typically shown as A B A or A B A'. These three sections are usually pretty self-contained, and the middle section often contains elements of **contrast**. Recall that you discussed "plain old" A B A' ternary (sometimes called *simple* ternary) as well as *compound* or *composite* ternary form. The latter most typically has A, B, and A' sections which themselves are in binary form.

If the information above appears to be Swahili to you, some serious review is in order.

More about formal design

In a **very** general sense, form is about *processes* of repetition, contrast, or variation. Repetition and contrast form two ends of a continuum, while variation falls somewhere in the middle — it contains elements of both repetition *and* contrast or change. At a very basic level, these three ideas really govern all that form is about.

←— repetition ——— variation ——— contrast ———→

In addition, one also must consider *expectation* (which is either met or thwarted), *closure* and *nonclosure*, and methods of *development* or expansion. The results of efforts by composers to balance and combine all of the above have resulted in various types of formal design. The labels for these various types of design, shown on p. 2, should be thought of as convenient generalizations for description and discussion, but you must remember that these **are not** musical "recipes." Thanks to Dr. Richard Hoffman for the following taxonomy of design.

Here are some basic types of formal design:

binary (two parts)	variation (theme, var. 1, var. 2, var. 3, . . .)
ternary (three parts; A B A')	rondo (A B A C A or A B A C A B A or other designs)
through composed (A B C D . . .)	sonata design (exposition, development, recapitulation)
strophic (A ^a A ^b A ^c A ^d . . .)	plus other more specialized formal designs

Here's a different take on the same basic ideas. There are **four** (or more) **basic types** of form:

1. **Strophic** form, which may be shown as A^a A^b A^c A^d . . . Much vocal music is in strophic form, in which the same music recurs with different lyrics (different *strophes* of text — hence the name “strophic form.”) Think of “The Star Spangled Banner,” hymns, some Schubert songs, and so on. **Modified** strophic is a form which is essentially strophic but subtle changes may occur in the recurring strophes.
2. **Additive** or **through composed** form, which may be shown as A B C D E . . . This is essentially the opposite of strophic form, falling onto the extreme contrast end of the continuum. This type of form is comparatively rare in common-practice music, though some through composed works are additive in nature (an example: Schubert's song *Erlkönig*.)
3. Forms which include **statement, departure, and return** of material. This provides a mixture of unity and variety, or, repetition and contrast. Ternary form provides one example; rondo is another. To some degree, sonata design synthesizes the ideas of statement, departure, developmental contrast, and return.
4. Forms which are more **processive** in nature. Most people say that *fugues* are not so much a form as a compositional (and contrapuntal) process. One might term it “statement then continuous development.” The same is sometimes said about variation forms — that they are more about process than form, *per sé*.

All of the different musical **parameters** — melody, texture, harmony, tonality, rhythm and meter, and so on — contribute to the creation of form in a work. In fact, theorists often refer to or separate out “tonal structure,” “thematic form,” “textural form,” and so forth.

A plug for thinking about *hierarchy*

Hierarchy basically is different levels of significance and their interrelationships. Consider the following chord progression: I V₅⁶ I V₄⁶ I⁶ IV I₄⁶ V I. You've already learned that the underlying structure of this simple progression is tonic - subdominant - dominant - tonic. The other chords are hierarchically inferior to the underlying structure, serving as “neighbor,” “passing,” and “cadential $\frac{6}{4}$ ” chords. One could easily project this idea of **hierarchy of tonal structure** onto the overall tonal (key) structure of an entire movement or piece.

Another example: **hierarchy of formal design**. When you are describing the formal design of a ternary piece, the letters A B A' form the highest or deepest hierarchical level. When you then say that the A section is made up of a parallel double period with the phrase form a b a' b', you are now moving down into a lower or more “shallow” hierarchical level.

So: you need to **retrain yourself**. Theory I - IV was about learning chord grammar and the simple part forms (binary and ternary), among other things. It is now time to “pull back on the microscope” and **consider the big picture first**. One can then spiral ever downward into the lower hierarchical levels. In fact, part of becoming a good analyst is knowing which “local details” are the most significant.