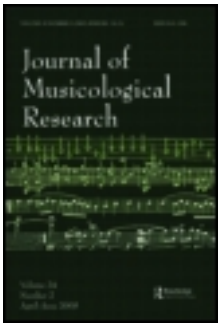


Journal of Musicological Research

Publication details, including instructions for authors and subscription information:
http://www.tandfonline.com/loi/gmur20

The ""expanded cadential progression"": A category for the analysis of classical form

William E. Caplin [a]

[a] McGill University

Available online: 13 Jun 2008

To cite this article: William E. Caplin (1987): The ""expanded cadential progression"": A category for the analysis of classical form , Journal of Musicological Research, 7:2-3, 215-257

To link to this article: http://dx.doi.org/10.1080/01411898708574585

The "expanded cadential progression": A category for the analysis of classical form†

WILLIAM E. CAPLIN

McGill University

I

MOST MUSIC theorists and historians agree that the exposition section of a classical instrumental movement in sonata form contains a main theme (or theme group) that contrasts with a subordinate theme (or group). Just how these themes differ from each other has been an important topic of discussion in theories of sonata form. Critics today, of course, have generally rejected the typical nineteenth-century position, which, by focusing on *melodic-motivic* design, held that a dynamic, "masculine" main theme stands in opposition to a lyrical, "feminine" subordinate theme.[1] The frequent absence of such melodic contrast in works of the classical composers, especially those of Haydn, has led most theorists to abandon "thematic duality" as a basic principle of sonata form; instead, they now direct their attention to the fundamental *harmonic-tonal* contrast between a main theme residing in the tonic home key, and a subordinate theme associated with the dominant (or mediant) region.[2]

† This article is an expanded version of a paper read at the New York State–St. Lawrence chapter of the American Musicological Society, Ithaca, New York, April, 1983, and at the Conference of the Canadian University Music Society, Ottawa, Ontario, June, 1982. I wish to express special gratitude to Janet Schmalfeldt for her many helpful suggestions — both analytic and stylistic — during the preparation of this study. I have also benefited greatly from discussions with Bo Alphonce, William Drabkin, Ingeborg Pfingsten Gürsching, Leonard B. Meyer, Lewis Rowell, and my students at McGill University on the theoretical issues raised here. G. Henle Verlag, European American Music, and Edition Peters have kindly given permission to reprint passages from their publications.

J. Musicological Research, 1987
Vol. 7, pp. 215-257
Photocopying permitted by license only

An even more sophisticated and suggestive approach to the contrasting nature of main and subordinate themes is offered by Arnold Schoenberg and developed more extensively by his student Erwin Ratz.[3] These theorists view a theme not merely as a melody or collection of motives within a given tonal region, but rather as a complete musical complex that includes a soprano and bass counterpoint, a definite harmonic plan, a phrase-structural design, and cadential closure.[4] With this general concept of theme, Ratz makes a fundamental distinction between the "loosely" organized structure of the subordinate theme and the more "tightknit" form of the main theme.[5] By tightknit organization, Ratz is referring to the tendency of main themes to feature such conventional, tonally stable, and relatively symmetrical forms as the "sentence," the "period," and the "small ternary." As for the looser organization of the subordinate theme, he discusses two ways in which this can be achieved: through a modulating tonal structure and through a chain-like succession of phrases, whereby closure is repeatedly thwarted by cadential evasion and the introduction of new melodic materials.[6]

Implicit in this second kind of structural looseness is the notion of *expansion.* Indeed, the continuous spinning forth of new ideas usually results in the subordinate theme stretching well over twice the length of the main theme.[7] There exists, however, another form of expansion, one which Ratz does not describe, that is frequently associated with subordinate-theme organization — the expansion of the cadential harmonies at the close of the theme. As a general rule, the cadence of a main theme is a two-measure formula incorporated into the theme's final phrase. In contrast, the cadential progression closing a subordinate theme is often expanded to the extent that it forms the harmonic basis of one or more complete phrases within the theme, phrases marked by distinct melodic ideas and accompanimental textures.

The presence of significant cadential activity at the end of a sonata exposition has, of course, long been noted. More recently, Charles Rosen has pointed out that "the contrasting cadential material of orchestral character was crucial to the evolution of the sonata forms" and that "the extended cadential gesture was second

nature" to the classical composers.[8] Leonard G. Ratner discusses the powerful effect of arrival "created when the *cadential action* itself is *reinforced and extended,* forming an *area* of arrival. This generally takes place toward the end of a large section of a movement, and represents periodicity on the largest structural scale."[9] Furthermore, the term "cadence phrase" or "cadence theme" has existed in English theory ever since Tovey so translated the German term *Schlussgruppe.*[10] With respect to this general cadential activity, a fundamental distinction must be drawn between the cadential progression that truly closes the subordinate theme and those harmonies that follow the actual cadence and serve to reinforce its final tonic. These "nonfunctional" cadence formulas provide the harmonic basis for the *codettas* that constitute the *closing section* of the exposition.[11] As we will see in some of the examples below, the cadence formulas of the codettas are often compressed in relation to the expanded cadential harmonies that are an integral part of the subordinate theme proper and that effect its closure. The present study focuses specifically on the phenomenon of cadential expansion in a number of major representative works by Haydn, Mozart, Beethoven, and Schubert and seeks to formulate more precisely than has been done by theorists thus far how such an expansion is achieved and how it functions within the context of a complete subordinate theme.

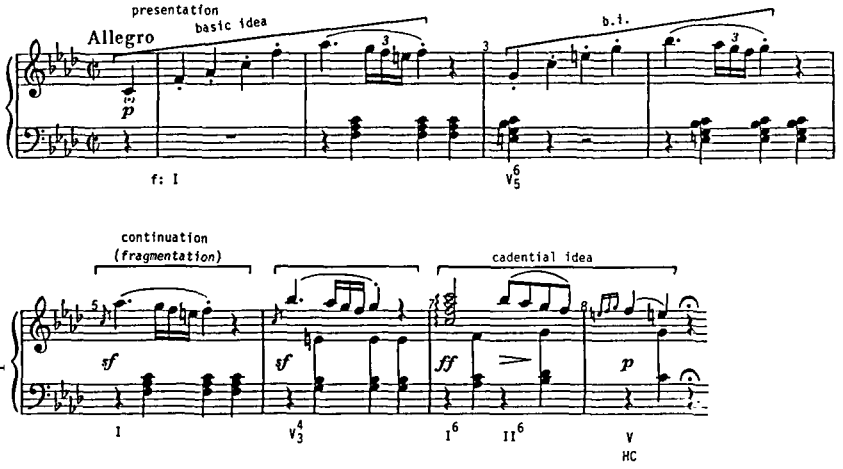
Before turning to specific examples, it is necessary first to define the harmonies of the cadential progression. Traditionally, all theorists describe the *authentic* (or *full*) cadence as the motion from a dominant to a tonic. Unfortunately, they often fail to specify whether these harmonies may be inverted or not. It will be assumed in this study that both the dominant and tonic harmonies must be in root position for there to be a genuine cadence. Thus, if a root-position dominant leads to a tonic in first inversion (usually by way of a V_2^4), then a potential authentic cadence has been "evaded"; if the dominant itself is inverted, then no cadential situation will be said to have arisen.[12] Many textbooks further include as part of the cadence formula a subdominant or "pre-dominant" harmony, usually the II^6 or IV chord.[13] Indeed, many cadences in the classical style feature this three-harmony formula: pre-dominant, dominant,

and tonic. There exists, however, an additional harmonic element of the cadential progression, namely, an initial tonic usually found in first inversion. I want especially to emphasize the possibility of beginning a cadence with a I^6, because the expanded cadential progression closing a subordinate theme is usually composed of the four-harmony formula I^6-II^6 (or IV)-V-I. As will be seen in the examples below, one or more of the harmonies that lead to the final tonic, including this initial I^6, can be expanded and embellished. Indeed, we will observe that the composer often uses the prominent arrival on a first-inversion tonic as a cue for the onset of an expanded cadential progression; in this respect, a I^6 frequently functions as a "conventionalized sign" for formal organization, along the lines suggested by Janet M. Levy in her recent study on the structural role of texture in the music of this period.[14]

II

To begin our study, let us examine the first movement of Beethoven's Piano Sonata in F minor, Op. 2, No. 1 and compare the cadential compression of its main theme with the cadential expansion of its subordinate theme. The main theme (Example 1a) takes the form of what Schoenberg and Ratz call the *sentence*.[15] Since most North American textbooks do not discuss this very important formal type, it will be helpful at this point to describe briefly its main characteristics and thus introduce some terms that will be employed in the analyses that follow.

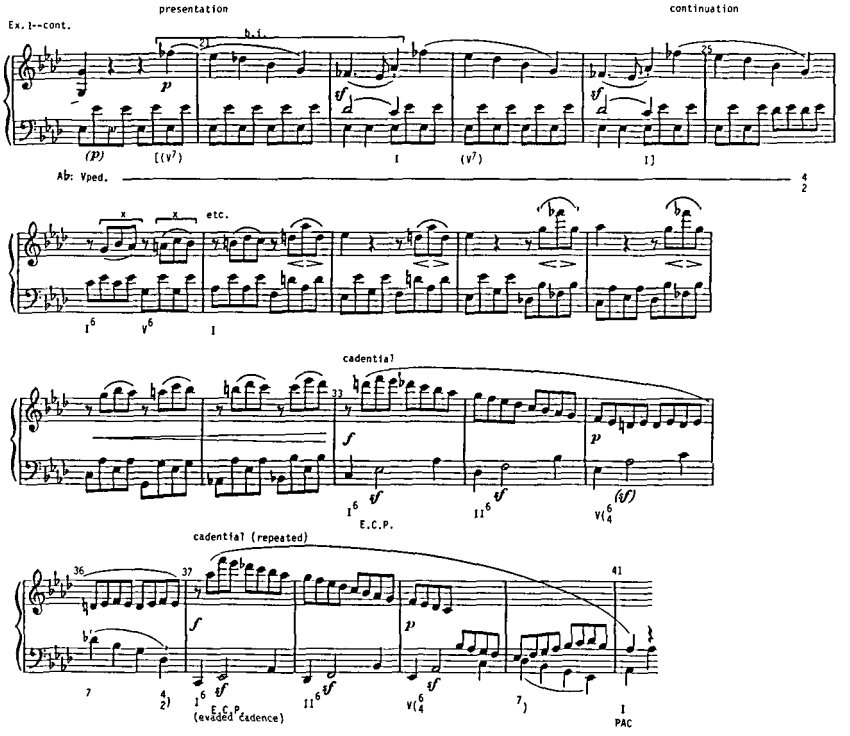
The sentence is normatively an eight-measure structure; it begins with a two-measure unit, a *basic idea*, that is immediately repeated — either exact or varied — in measures 3 and 4 of the theme.[16] I will call this establishment of a basic idea through its direct repetition a *presentation*.[17] The fundamental harmonic basis for a presentation phrase is tonic harmony, most often in root position. The tonic may be extended literally or, more frequently, be prolonged by means of neighboring or passing chords (usually dominant harmonies). In the example here, the root-position tonic is prolonged from measure 1 to the downbeat of measure 5 by a neighboring V^6_5 chord. This four-measure presentation is then



Example 1a Beethoven, Piano Sonata in F minor, Op. 2, No. 1, i, mm. 1-8. Reprinted by permission of G. Henle Verlag, Munich.

followed by a *continuation* phrase, which typically features (1) the development of one or more motives from the basic idea; (2) a decrease in the size of the units — a process that I will term *fragmentation*;[18] and (3) an acceleration in the rate of harmonic change. The continuation phrase of a sentence ends with a cadence, often an authentic cadence, but also possibly a half cadence, as is the case here.[19] Notice that the two preceding cadential harmonies — the I^6 and the II^6 — last one-half measure each and that the cadential formula is merely a component of the continuation phrase as a whole.

The subordinate theme (which resides in A-flat, the relative major of the home key) also begins with a two-measure basic idea (Example 1b). (This "new" idea is actually an inverted variant of the main theme's basic idea.) With the repetition of the basic idea in measures 23-24, the melodic-motivic requirement for a presentation phrase is fulfilled; we may wonder, however, whether the harmonic requirement, namely the presence of a tonic prolongation, is satisfied as well. We initially see that measures 21-24 are supported by a dominant pedal (of A-flat major), which would ordinarily mark a



Example 1b Ibid., mm. 20-41. Reprinted by permission of G. Henle Verlag, Munich.

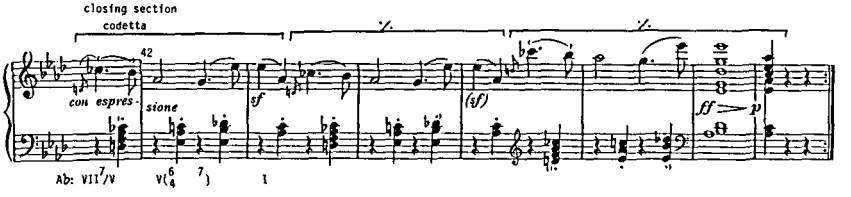
prolongation of dominant harmony. But if we temporarily ignore the pedal, it is not difficult to hear that the musical material actually expresses a prolongation of *tonic* harmony, because the goal of the melody, the A-flat on the third beat of measure 22 (and m. 24), demands to be supported by this harmonic function. Thus the tonic is not merely a neighboring chord to the preceding (and following) dominant, rather conversely, the dominant is subordinate to the tonic.[20] We can therefore recognize two levels of harmonic activity in this phrase: at a lower (more surface) level lies the tonic prolongation just discussed, which satisfies the harmonic requirements for a presentation phrase; at a higher (deeper) level lies the dominant pedal, which creates a dominant prolongation

that undermines, but does not obliterate, the lower-level tonic prolongation. The resulting harmonic instability of this passage creates from the very beginning of the subordinate theme a sense of looser organization compared with the solid root-position tonic prolongation of the main theme.

The basic idea begins to be repeated again in measure 25, but before reaching its completion, the melodic line leads abruptly into a new eighth-note motive ("x"), exemplifying what Ratz describes as a "turning off somewhere else" that is so characteristic of a subordinate-theme structure.[21] The continuation phrase develops this new motive, fragments the preceding two-measure units of the presentation phrase into half-measure segments, and brings an acceleration in the harmonic rhythm.

The continuation reaches a climax at measure 33 with a prominent arrival on a I^6 harmony. At this point, too, there is a distinct change in the melodic-rhythmic materials, whereby motive x gives way to a long, descending scale passage. The ensuing four-measure phrase is built exclusively on an *expanded cadential progression.* In the score the label *cadential* describes the formal function of this phrase, and the abbreviation E.C.P. indicates that the cadential progression becomes expanded.[22] Notice that the individual chords of the progression last twice as long as their corresponding chords in the main theme, and that the continuous eighth-note descent against the syncopated figure in the bass fully distinguishes this cadential phrase from the continuation phrase that precedes it. Although the theme could have ended at measure 37, the dominant seventh chord of measure 36 does not resolve to the expected root-position tonic; rather, the cadence is evaded when the bass descends stepwise (through a V_2^4 chord) onto a new I^6, which initiates a repetition of the cadential phrase. (Such evasion of the cadence is typical of subordinate themes; it contributes, along with the cadential expansion, to their looser organization.) The repeated expanded cadential progression finally reaches a root-position tonic at measure 41, thus effecting full closure of the theme.[23]

Now comes the closing section (Example 1c), which is made up of three short codettas. Each codetta has as its harmonic basis a cadential formula; however, the harmonies are significantly com-

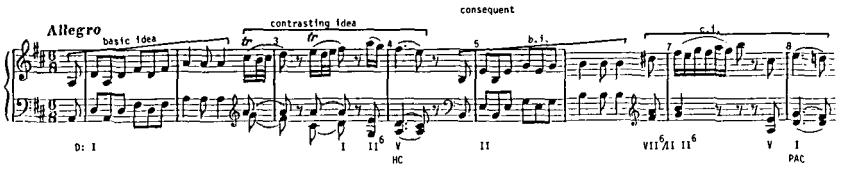


Example 1c Ibid., mm. 42-48. Reprinted by permission of G. Henle Verlag, Munich.

pressed in comparison to the expanded cadential progressions that formed the last two phrases of the subordinate theme. It is extremely important to understand that this closing section does not have a true cadential role; it does not articulate thematic closure. That purpose has already been fulfilled by the genuine cadential phrase. Rather, the codettas function here to dissipate the energy built up by the cadential expansion at the close of the theme. They are clearly necessary for dynamic and rhythmic reasons, but they could have been eliminated without affecting the fundamental thematic and tonal structure of the exposition.

The preceding example has illustrated how cadential compression within a main theme is transformed into cadential expansion within a subordinate theme. It has also demonstrated that the looser form of the latter results largely from expanding the same basic functional traits present in the former. More specifically, the formal functions of "continuation" and "cadential," which are combined together into the single continuation phrase of the tightknit sentence form, are separated and expanded into two distinct phrases in the subordinate theme.

The next example, from the first movement of Mozart's Piano Sonata in D, K. 576, reveals a similar functional relationship between main and subordinate themes. Again, the simple cadence formula that closes the main theme becomes significantly enlarged in the more loosely organized subordinate-theme group.[24] In this example, however, we will encounter some new formal functions — those associated with another tightknit theme type, the eight-measure *period* (Example 2a).

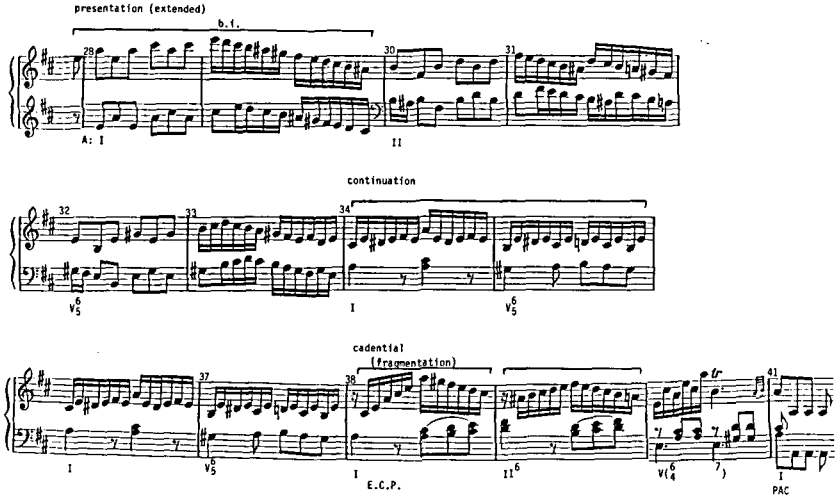


Example 2a Mozart, Piano Sonata in D, K. 576, i, mm. 1-8. Reprinted by permission of G. Henle Verlag, Munich.

Like the sentence form, the normative period begins with a two-measure basic idea. But instead of directly repeating this idea, measures 3-4 bring a *contrasting idea* that leads to a weak cadence, usually (as here) a half cadence. These four measures make up the *antecedent phrase* of the period. The following *consequent phrase* is a varied repetition of the antecedent: it begins with the basic idea and ends with a contrasting one (which may or may not be based upon that found in the antecedent). But the consequent distinguishes itself decisively from the antecedent through stronger cadential closure, usually by means of a perfect authentic cadence.[25]

As seen in Example 2a, Mozart's period conforms to the general definition just given, but it features one harmonic irregularity that has a number of interesting consequences for the later course of the movement. In most periods the basic idea that begins the consequent phrase expresses the same fundamental harmony as that of the antecedent. Here, however, Mozart repeats the basic idea sequentially by transposing it up one step, into the supertonic region. One immediate effect of this harmonic arrangement is that at the upbeat to measure 7, the conventional I^6 built on the third scale-degree in the bass is chromatically altered to become a VII^6/II. As a result, Mozart is now able to prolong the supertonic harmony of the consequent phrase to the same extent that he prolonged the tonic of the antecedent; yet the bass line continues to express the usual formula for an authentic cadence.

The first of two subordinate themes (Example 2b) begins in measure 28 with a varied, canonic statement of the same two-measure basic idea found in the opening measures of the move-



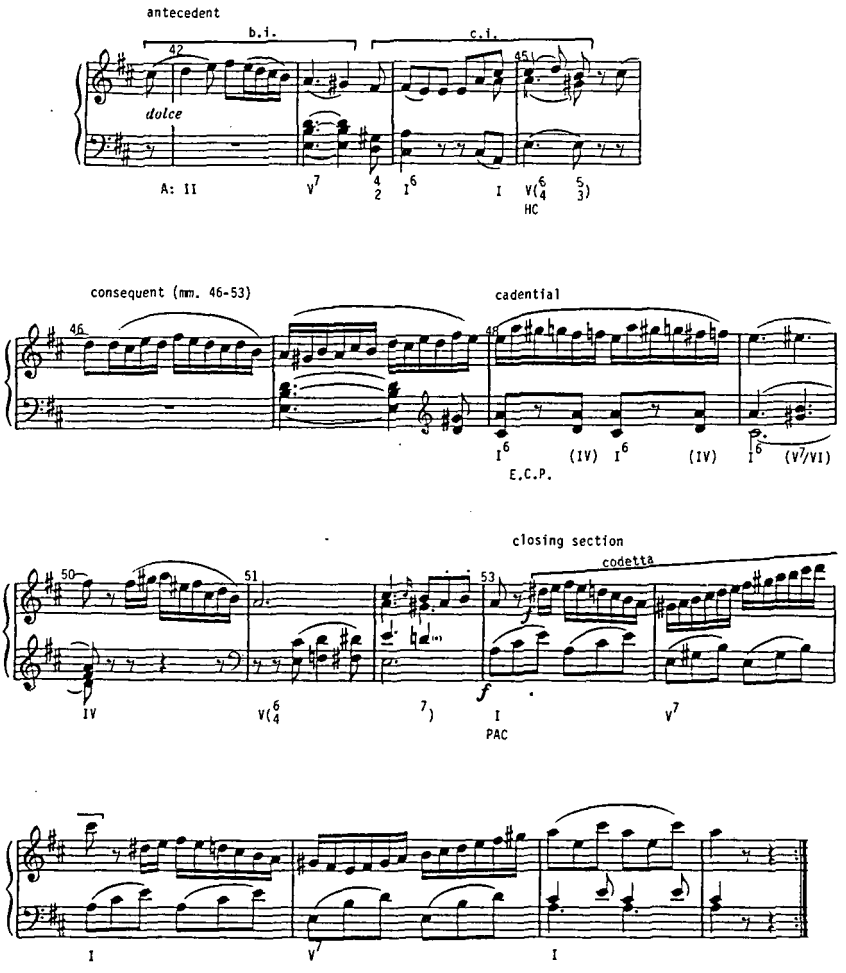
Example 2b Ibid., mm. 28-41. Reprinted by permission of G. Henle Verlag, Munich.

ment.[26] But instead of being followed by a contrasting idea to form an antecedent, the basic idea is immediately repeated (mm. 30-31) in the manner of a presentation phrase. Since Mozart sets the idea sequentially one step higher, as in the main theme, he now faces a harmonic-formal predicament: as discussed above, a presentation phrase prolongs tonic harmony throughout four measures, usually by means of an embellishing dominant; however, classical harmonic syntax does not normally permit the II chord to function either as a neighboring chord to I or as a passing chord to I^6. In the present case, therefore, it is difficult for the music to progress directly to a tonic of some kind at the beginning of measure 32. Mozart solves the problem by repeating the basic idea once again, now within the context of dominant harmony, and the return to the tonic on the downbeat of measure 34 completes the tonic prolongation, thus creating the requisite tonal stability for the opening of the theme. Moreover, the additional repetition extends the presentation beyond its normative four-measure length, which helps

loosen the structure of the subordinate theme, in accordance with sonata-form principles.[27]

The following material (mm. 34-37) serves as a continuation phrase to the preceding presentation. Notice, however, that continuation function is very weakly articulated due to the absence of its most common characteristic — fragmentation (rather than the units becoming smaller, they remain two measures long, as the bracket in the example indicates). The only continuational trait present in this phrase is an increase in the rate of harmonic change, from two measures (in the presentation) to one measure (in the continuation). The next phrase (mm. 38-41) brings the expanded cadential progression I-II^6-V-I that closes the subordinate theme. As in the preceding Beethoven example, the progression lasts twice the length of that in the main theme and forms the basis for the entire four-measure phrase. It should be noted, however, that a sense of genuine "structural" expansion within the theme as a whole is not particularly well expressed; this is because the cadential phrase also brings with it the fragmentation (into one-measure units) that was missing from the preceding continuation. As a result, the cadential goal arrives rather abruptly, thus signaling to the listener that further subordinate-theme activity of some kind may very well occur.

Indeed, a second subordinate theme begins immediately (Example 2c): it presents a new two-measure basic idea in measures 42-43 followed by a contrasting idea leading to a half cadence in measure 45.[28] These four measures constitute an antecedent phrase, and our expectation of a following consequent begins to be realized when a varied repetition of the basic idea appears in the next two measures. But now Mozart significantly loosens the periodic design by converting what would have been a simple contrasting idea into a six-measure expanded cadential progression: measures 48-49 feature an embellished I^6 harmony; measure 50 brings the subdominant; measures 51-52 contain the dominant (with the cadential six-four); and the arrival in measure 53 of the root-position tonic fully achieves the perfect authentic cadence. Comparing this expanded cadential progression with that of the first subordinate theme, we can observe that not only is it of greater duration, but it



Example 2c Ibid., mm. 42-58. Reprinted by permission of G. Henle Verlag, Munich.

also produces an impression of real expansion within the structure of the theme itself, since the six-measure cadential phrase substitutes for a normative two-measure contrasting idea. Moreover, this second expanded cadential progression is made harmonically richer through the use of embellishing chords that prolong the

fundamental cadential harmonies: the initial I^6 is first embellished in measure 48 by neighboring IV chords; it is then further prolonged in the following measure by chromatic alterations that convert it into a V^7/VI, whose deceptive resolution leads to the subdominant harmony of measure 50. The cadential six-four chord is ornamented by two chromatic neighboring chords (which, however, do not upset the fundamental impression of dominant harmony throughout measures 51-52).

The remaining measures of the exposition are devoted to a closing section comprising a series of codettas. Notice that, as in the Beethoven example discussed above, the simple harmonic formula I-V^7-I, which forms the basis of the codettas, is compressed in comparison to the cadential expansion found at the end of the second subordinate theme. Indeed, the varying degree of cadential expansion and compression within an exposition often proves to be a useful guide for distinguishing between the subordinate area proper and the closing section.

III

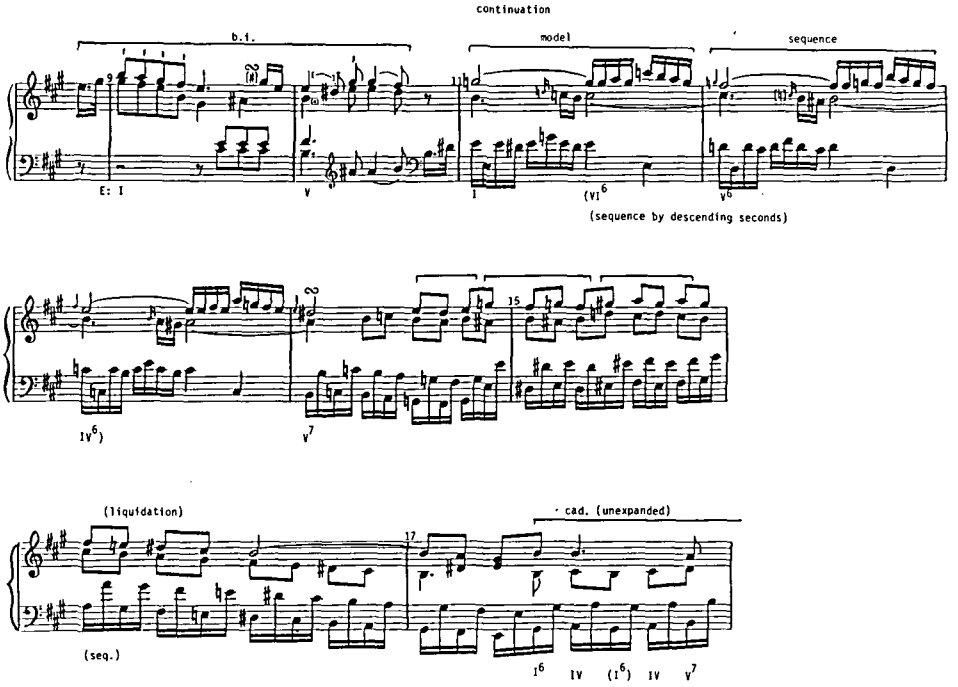
The passages from Beethoven and Mozart just studied exemplify simple expanded cadential progressions in which no one harmony is given special emphasis over the others. In many cadential phrases, however, one of the harmonies leading to the final tonic is greatly expanded, often by means of embellishing chords such as those seen in the last example. The most easily recognizable case of such extensive cadential expansion occurs when the dominant is considerably lengthened, thereby delaying as long as possible its resolution to the tonic. The sense of heightened drama inherent in this gesture makes it an ideal compositional technique for use in operatic and concerto genres, although it is occasionally found in the symphonic, chamber, and solo-sonata repertories as well.[29] This compositional procedure is familiar enough not to require further discussion here.[30]

The subordinate theme from the first movement of Haydn's Piano Sonata in A, Hob. XVI:26 (Example 3) exemplifies how the pre-dominant harmony can be singled out for special expansion

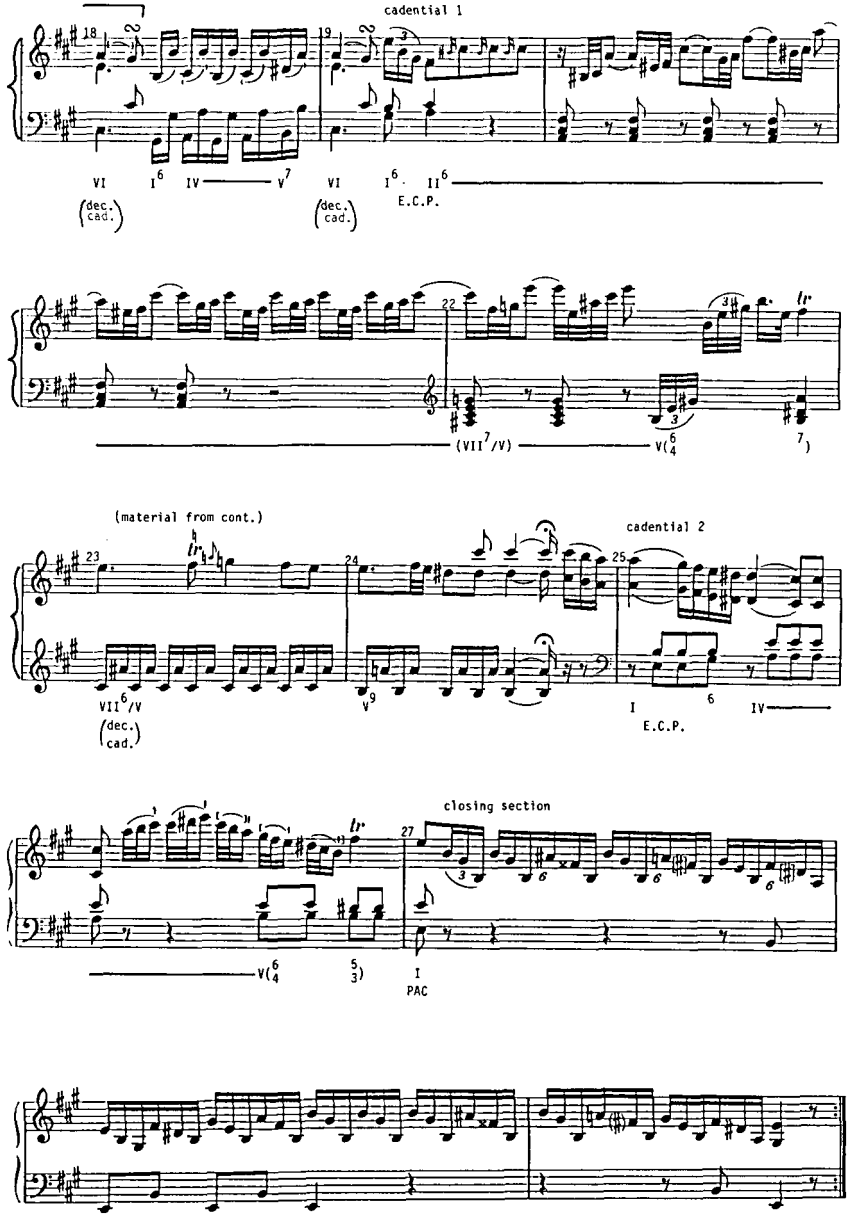
within a cadential phrase. As in so many of Haydn's sonata-form expositions, the subordinate theme begins with a basic idea derived from that of the main theme. But instead of repeating this idea to make a presentation phrase or juxtaposing it with a contrasting idea in the manner of an antecedent, Haydn immediately sets in motion a passage that has two outstanding characteristics of a continuation — fragmentation of the preceding two-measure unit into one-measure segments and a sequential progression of the harmonies. Harmonic sequence is frequently found in connection with a continuation phrase: the ongoing quality of such a progression, and its sense of harmonic mobility, coordinate perfectly with the forward thrust to a goal associated with this formal function. Further fragmentation occurs in measures 14-15, and the motives are fully "liquidated" within the following measure.[31]

We now expect the appearance of cadential material featuring evasions or expansions in line with the norms of subordinate-theme behavior. Haydn does not disappoint us: he first brings a simple, unexpanded cadential formula (beginning with I^6 in the middle of m. 17) that resolves deceptively to VI on the downbeat of the next measure. Following a varied repetition of the same gesture in measure 18, he initiates an expanded cadential progression in which the pre-dominant II^6 is stretched out to cover two and one-half measures. Pre-dominant function is further prolonged on the downbeat of measure 22 by virtue of the passing VII^7/V, and the dominant finally arrives on the third beat of the same measure. Once more, Haydn evades the cadence by deceptively resolving the dominant to a VII^6/V chord and bringing back material whose texture is reminiscent of the continuation phrase. After teasing us with the dominant-ninth fermata in measure 24, he introduces a second, different expanded cadential progression, one which again throws greatest emphasis on the pre-dominant harmony, this time a IV chord, and he finally brings the theme to a close with the root-position tonic in measure 27.

In evaluating the specific harmonic choices made by Haydn through-out this theme, we can appeal to Ratz's "law of artistic economy" (*Gesetz der künstlerischen Ökonomie*): "if one of two possibilities is employed at a given place, then one endeavors to employ



Example 3 Haydn, Piano Sonata in A, Hob. XVI:26, i, mm. 9-29. Reprinted by permission of G. Henle Verlag, Munich.



Example 3 continued

the other possibility at an analogous place."[32] This law is often applicable to the cadential areas of a subordinate theme, since the repetition of cadence formulas caused by evasions permits a variety of harmonizations. For example, from measure 17 to the end of the theme in measure 27, Haydn writes three different cadential progressions (the first of which in mm. 17-18 is identically repeated in mm. 18-19), and for the sake of artistic economy he carefully varies the harmonies used to realize the four fundamental functions (initial tonic, pre-dominant, dominant, and final tonic) of the complete cadential formula. Since the initial tonic is found in its conventional first-inversion form in the first two progressions, Haydn chooses a root-position tonic to initiate the final cadence on the downbeat of measure 25. For the pre-dominant harmony — the function that receives the greatest expansion within these progressions — Haydn uses a simple IV chord in the first, unexpanded formula (m. 17), changes to a II^6 followed by a VII^7/V for the highly expanded second progression (mm. 19-22), and returns back to the IV chord in measures 25-26 for the conclusive cadence. Finally, the first two of these progressions ends deceptively, that is, the final tonic is replaced by a harmony built on the sixth degree of the scale (C-sharp): in the first case, Haydn uses the conventional VI chord (m. 18), but in the second case he employs a VII^6/V (m. 23), a harmony not normally thought to be a "tonic substitute."

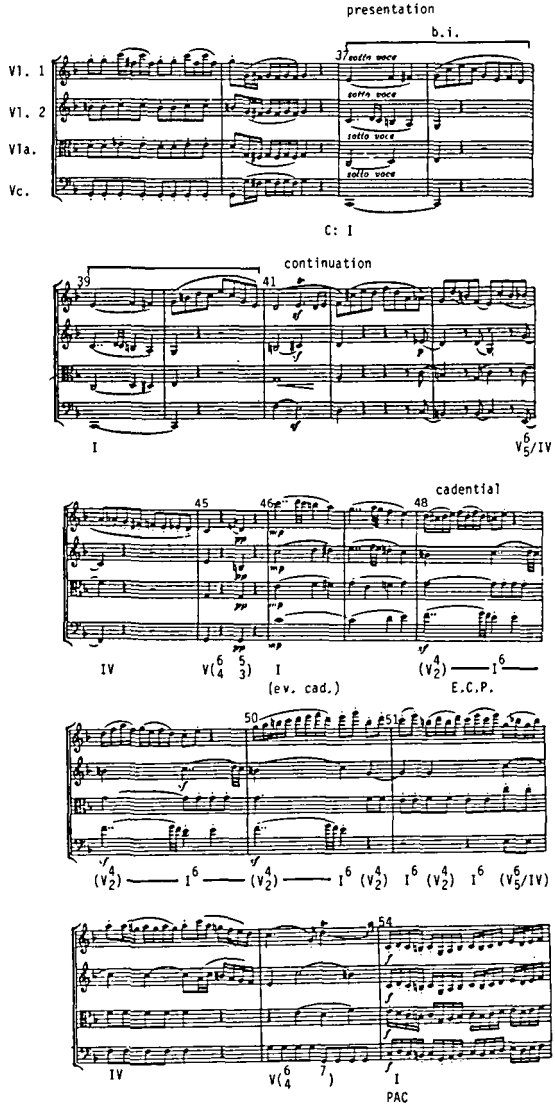
One further detail is worth noting in connection with this example. We have already observed how Haydn emphasizes the pre-dominant harmony in both of the expanded cadential progressions of this subordinate theme. It is especially interesting to see, then, how subtly he anticipates this harmonic expansion by elongating the pre-dominant within the unexpanded cadential formula of measures 17-19. A surface reading of measure 17 would find a change of harmony on each eighth note: I^6-IV-I^6-IV-V^7 (see analysis placed below m. 17). I would suggest, however, that the metrical and motivic context actually renders the I^6 on the second half of beat three a neighbor chord to the IV (hence the placement of the I^6 in parentheses), and that a more sophisticated harmonic analysis would show this IV chord prolonged for one and one-half beats (as indicated under measure 18). (The melodic B-natural on the third

beat is heard as a suspension whose resolution is delayed until the IV chord has progressed to V^7 at the end of the measure.) We see, therefore, that Haydn already signals in this first cadential progression that the pre-dominant harmony will be most prominent within the two expanded cadential progressions that follow.

Let us now examine a number of ways in which the initial tonic of the cadence formula can be embellished and expanded. We have already observed in Example 2c, measure 48, that this harmony can be prolonged by means of a neighboring IV chord. A more common way of embellishing the tonic in its conventional first-inversion form, however, is to introduce a neighboring dominant seventh in third inversion. This use of V_2^4 is particularly appropriate because of the voice-leading rule demanding its resolution to I^6. An example from the string quartet literature shows how an embellishment of this kind can result in the substantial expansion of the initial tonic relative to the other harmonies of the cadence.

The subordinate theme from the first movement of Haydn's Quartet in F, Op. 77, No. 2, Hob. III:82 (Example 4), begins in measure 37 with a sentence that promises to close with an authentic cadence following the dominant in measure 45. But the cadence is evaded when the music brings back (in mm. 46-47) material from the opening idea of the theme.[33] An expanded cadential progression then begins in measure 48 with a V_2^4 chord that prolongs the I^6 harmony for four measures. By accelerating the motion from the V_2^4 to the I^6 in measures 50-51, Haydn creates greater excitement for the move to the subdominant, and after such an extensive emphasis on the cadential I^6, the subdominant and dominant chords progress quickly to the tonic that closes the theme in measure 54.

As discussed earlier, a presentation phrase is based upon tonic harmony. The tonic can be literally present throughout the four-measure phrase (as in the previous example, mm. 37-40), or it can be prolonged via embellishing chords, usually of dominant harmony (as in Example 1a, mm. 1-5). In the case of an expanded cadential progression, if the composer prolongs the initial I^6 for four measures and, at the same time, introduces a new two-measure



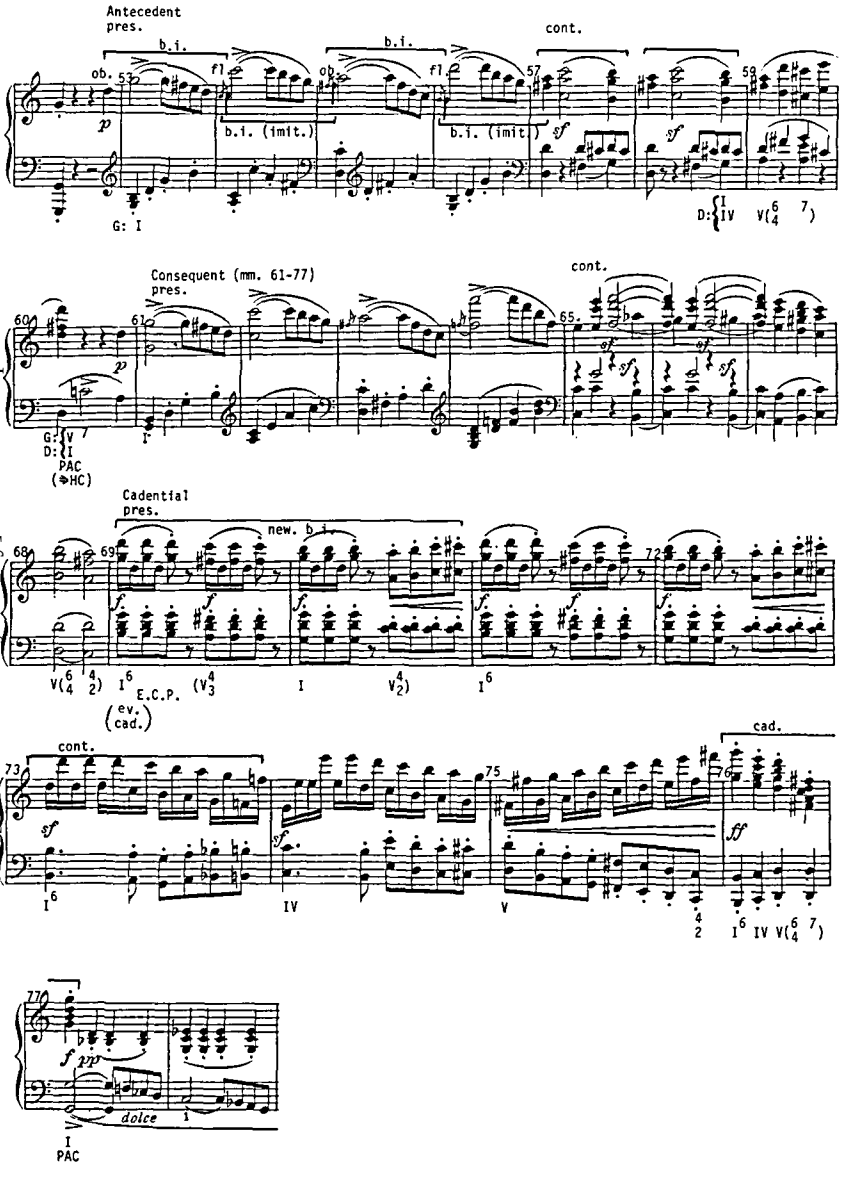
Example 4 Haydn, String Quartet in F, Op. 77, No. 2, Hob. III:82, i, mm. 35-54. All Rights Reserved. Used by permission of European American Music Distributors Corporation, agent for Ernst Eulenburg.

basic idea with its repetition, he creates, in effect, a presentation phrase; a continuation could then bring the remaining harmonies of the cadence, thereby forming an eight-measure sentence. For just such an example of how a large cadential section within a subordinate theme can acquire a sentence-like structure, let us consider the first movement of Beethoven's Symphony No. 1 in C, Op. 21.

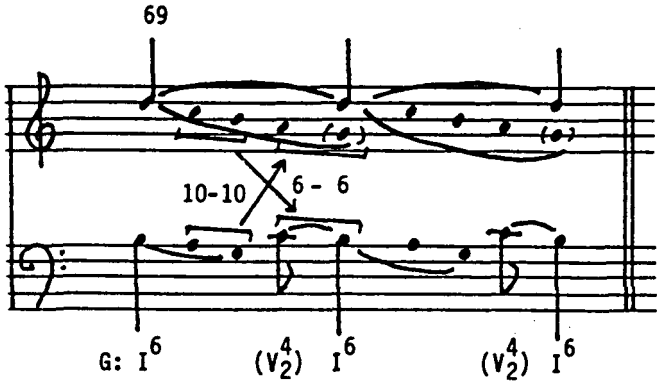
The first of three subordinate themes of this exposition begins at measure 53 in G major, the dominant of the home key (Example 5a). The opening might initially seem to bring a series of one-measure ideas, but a closer look reveals the presence of overlapping two-measure units. We can thus consider the first four measures a presentation phrase in which a repeated two-measure basic idea in the oboe is imitated by the flute. Measures 57-60 bring a simple continuation phrase that modulates to the dominant region (of the subordinate key) and closes with a perfect authentic cadence.[34] The D-major chord of measure 60 at first functions as a local tonic; however, when it is immediately converted into the dominant seventh of G major and the passage begins to repeat itself, we retrospectively perceive that the preceding eight-measure sentence has become a large antecedent phrase ending with a kind of "half cadence."[35] The repeated sentence now forms the consequent of a sixteen-measure period, whose expected closure is thwarted by an evaded cadence at measure 69.

A harmonic analysis on the very foreground of the next passage (mm. 69-72) would identify a series of tonic and dominant chords alternating every half measure. But as the sketch in Example 5b shows, these chords fundamentally prolong a single I^6 harmony. With the entry of the I^6, Beethoven introduces a new two-measure idea, whose immediate repetition gives rise to a presentation phrase. The subsequent continuation (mm. 73-77), featuring the usual fragmentation of the units and an acceleration of the harmonic rhythm, is based on the cadential progression. Before reaching its goal, however, the dominant achieved in measure 75 reverts to a I^6 at the beginning of the next measure in order to run through the cadential progression once again, this time in a highly compressed form.

What, then, is the function of this final sentence within the



Example 5a Beethoven, Symphony No. 1 in C, Op. 21, i, mm. 52-78. Reprinted by permission of C.F. Peters Corporation, New York.



Example 5b Ibid., sketch of mm. 69-72.

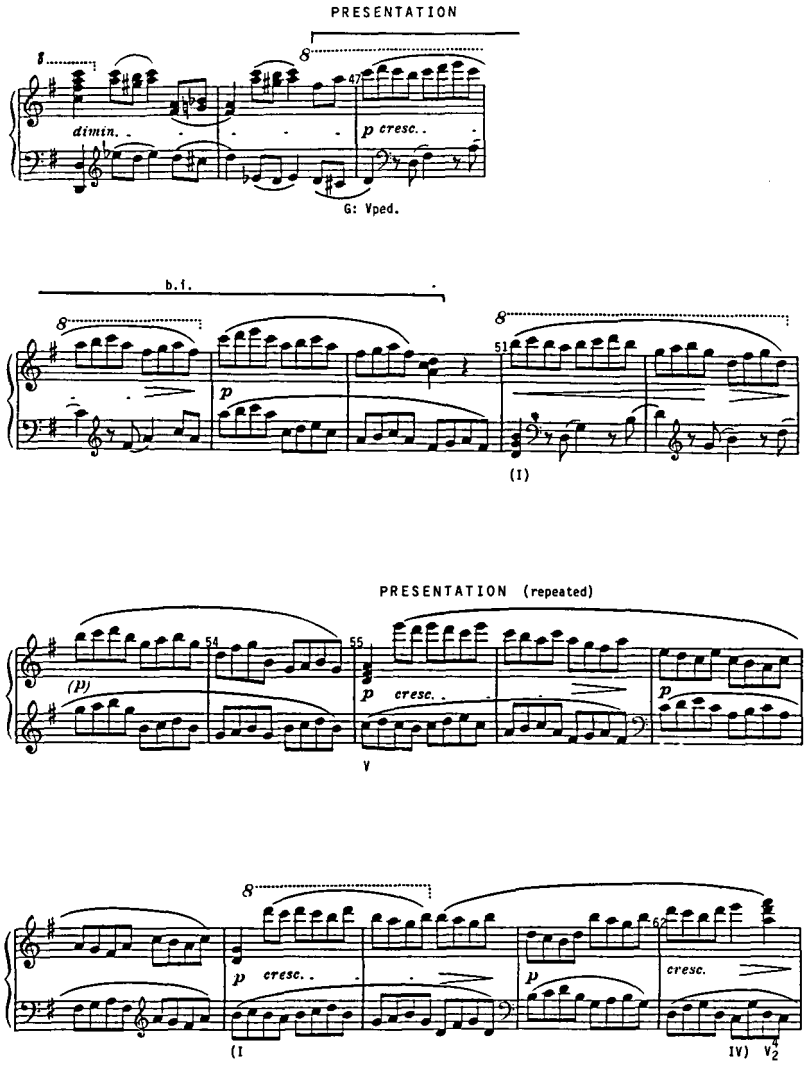
context of the complete subordinate theme? The fundamental harmonies of measures 69-77 provide the answer, for at the basis of this passage lies a cadential progression whose initial tonic in first inversion has been expanded to support an entire presentation phrase. The structure of the theme as a whole now emerges as a large periodic design, one whose consequent section is extended through an expanded cadential progression. Each of the large units — the antecedent, consequent, and cadential phrases — is constructed as a sentence.

Before leaving this example, it would be instructive to consider more closely the function of the cadences in measures 60 and 77 in light of the theme's multi-leveled structure. On one level, the perfect authentic cadence in D major (m. 60) serves to conclude a modulating eight-measure sentence; at a higher level, however, we have the retrospective impression of a "half cadence" in G major, which closes the antecedent phrase of the theme as a whole. The perfect authentic cadence of measure 77 also has a dual role, but of a somewhat different kind: the unexpanded cadence formula of measures 76-77 marks the end of the cadential phrase itself, while on a higher level, it is the expanded cadential progression that brings closure to the complete subordinate theme. We see, then, that the function of cadences can have a limited structural "scope" within the total hierarchy of the theme.

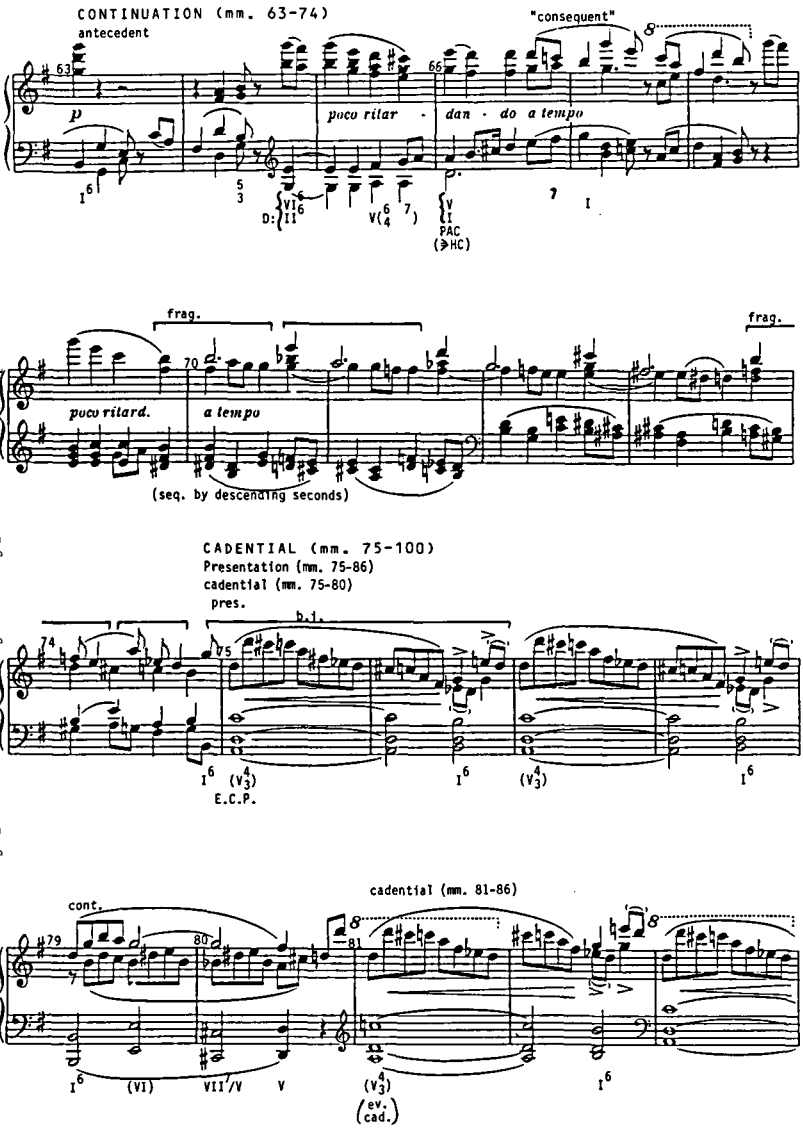
A truly extraordinary example of an expanded cadential first-inversion tonic is found in the subordinate theme of the first movement of Beethoven's Piano Sonata in B-flat ("Hammerklavier"), Op. 106. The exposition of this work achieves its monumental size partly through the use of local expanded cadential progressions that are embedded within the initial I^6 harmony of a large-scale expanded cadential progression. Example 6a gives the subordinate theme, which lies in the submediant region of G major; measure 47 initiates a basic idea whose expansion from the two-measure norm to that of four measures signals from the beginning the grand dimensions this theme will attain. The basic idea is repeated in measures 51-54, creating an eight-measure presentation phrase.[36] Beethoven further enlarges the scope of the theme by repeating the entire presentation in measures 55-62, with the basic idea now transferred to the left hand.

A large continuation section begins in measure 63 with a new four-measure antecedent-like phrase, one that briefly modulates to the dominant region, as confirmed by the perfect authentic cadence in measure 66. Within the context of the thematic structure presented thus far, this antecedent fulfills a genuine continuational function because its four-measure size represents fragmentation in relation to the repeated eight-measure presentation; moreover, it brings a marked acceleration in the rate of harmonic change. This new phrase begins to be repeated in the manner of a consequent, but before reaching closure, it itself becomes fragmented through the sequential repetitions of measure 70. Further fragmentation in measure 74 leads to a I^6 on the last eighth-note beat of the same measure.

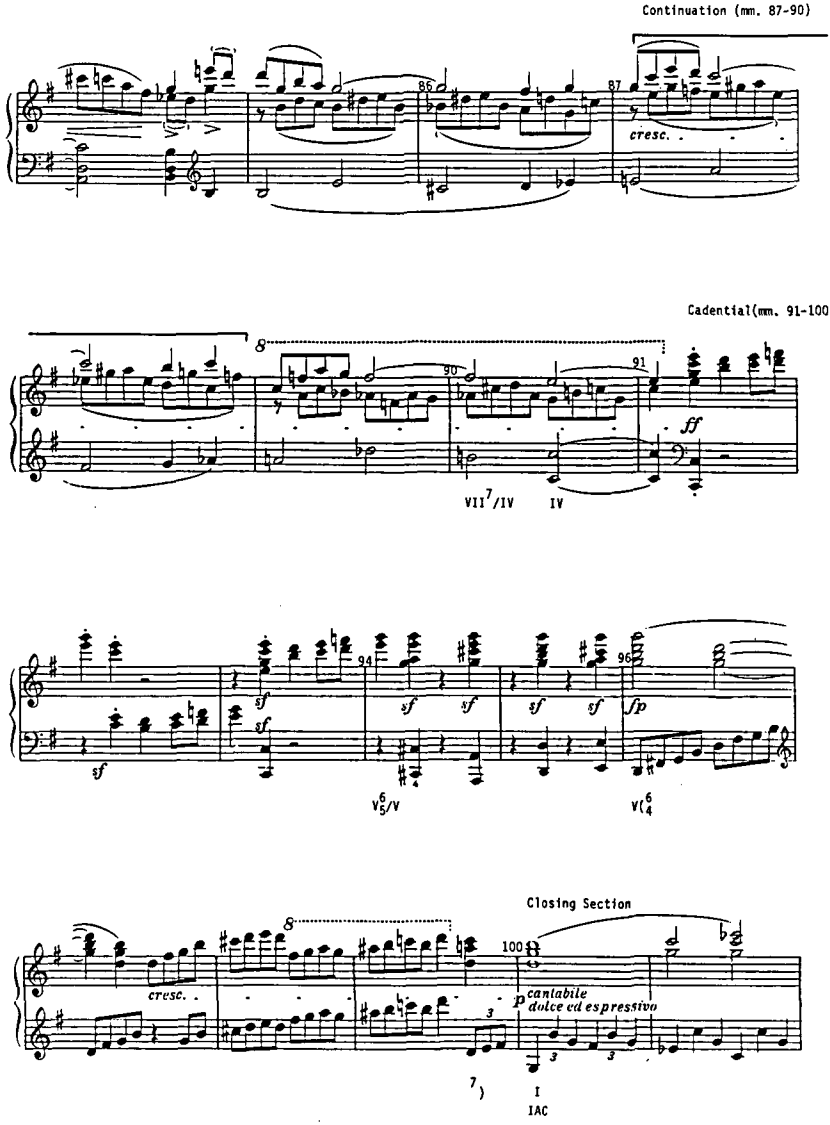
This first-inversion tonic, which is prolonged by accented neighboring chords in measures 75-78, represents the initial harmony of an expanded cadential progression. With this embellished I^6 Beethoven introduces a new two-measure basic idea (mm. 75-76), whose repetition produces a simple four-measure presentation. It thus might appear that he will employ a procedure similar to that of the Symphony example just discussed, whereby the remaining cadential harmonies will make a continuation phrase, and the expanded cadential progression as a whole will take the form of a



Example 6a Beethoven, Piano Sonata in B-flat ("Hammerklavier"), Op. 106, i, mm. 45-101. Reprinted by permission of G. Henle Verlag, Munich.



Example 6a continued



Example 6a continued

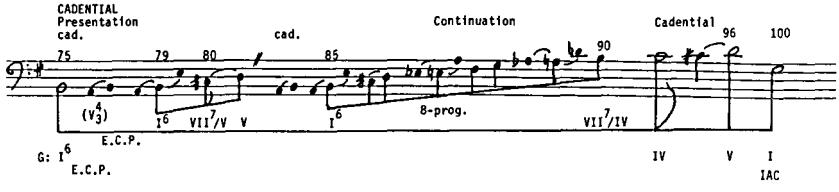
sentence. Indeed, measure 80 brings the pre-dominant and dominant harmonies at an accelerated rate, in the manner of a continuation. But the cadence is evaded when the expected resolution of the dominant to a root-position tonic fails to occur, and the entire six-measure expanded cadential progression is repeated in the following measures.

Before continuing further, let us briefly examine the specific chords that Beethoven has selected for the cadential harmonies, since these will have major ramifications for what follows. Observe that for the embellishment of the initial I^6, Beethoven has chosen as a neighbor chord the second-inversion V_3^4 instead of the more typical V_2^4. In so doing, he has avoided placing the fourth degree (C-natural) in the bass voice, a fact whose significance will become clearer as the section progresses. The I^6 is further prolonged in measure 79 by the tonic-substitute VI chord on the second half of the measure, and the cadential progression continues with a pre-dominant VII^7/V built on C-sharp, the raised fourth degree. By employing this particular pre-dominant harmony, Beethoven has once again shunned the regular fourth degree in the bass voice. Thus, he cleverly signals that the cadential progression is structurally somewhat incomplete, and we very well may expect the future appearance of a more conventional II^6 or IV chord.

As mentioned already, Beethoven repeats the interrupted expanded cadential progression in measures 81-86. This repetition of a six-measure unit creates, in effect, a higher-level presentation phrase (in mm. 75-86), one which now receives its own continuation (mm. 87-90) through the sequencing of the last two measures of the expanded cadential progression. By the downbeat of measure 90, the bass line has arrived back at the third degree (B-natural) and what could have been a simple I^6 chord is now converted into a VII^7/IV, whose move to the subdominant in the second half of the measure finally brings the fourth scale-degree, C-natural, in the bass, just the note that Beethoven had so systematically avoided in the preceding measures. To affirm the importance of this arrival, the music breaks forth (in m. 91) with a rhythmic motive that recalls the very opening gesture of the exposition. Moreover, this *fortissimo* outburst allows Beethoven to regain the original bass register of the

expanded cadential progression that was interrupted in measure 80.[37] The subdominant harmony is then prolonged further by a return in measure 94 to the secondary dominant of V built on the raised fourth degree, an allusion to the role that this chromatic degree played in the interrupted, small-scale cadential progressions of measures 75-86. Four measures of dominant harmony lead to the authentic cadence in measure 100, which closes this huge subordinate theme.

In retrospect, we can now understand, with the aid of the baseline reduction in Example 6b, that the passage from measures 75-90, which contained the local interrupted expanded cadential progression, its repetition, and continuation, features an enormous prolongation of a I^6 harmony. (Note, especially, that the stepwise octave progression in the bass voice linking the B of m. 85 with the B of m. 90 supports this interpretation.) The I^6 harmony functions as the initial component of a more expansive cadential progression, one that continues with the subdominant at the second half of measure 90 and stretches to the end of the theme at measure 100. By withholding at first the regular pre-dominant built on the fourth scale-degree and then by using a registral connection to introduce this expected harmonic function, Beethoven aids in assimilating the lower-level cadential phrases to the higher-level one and, at the same time, creates a climactic moment of enormous impact. We can marvel here at the extraordinary way in which the composer has manipulated the expanded cadential progressions in order to create a cadential area that balances the large-scale presentation and continuation sections of this immense subordinate theme.



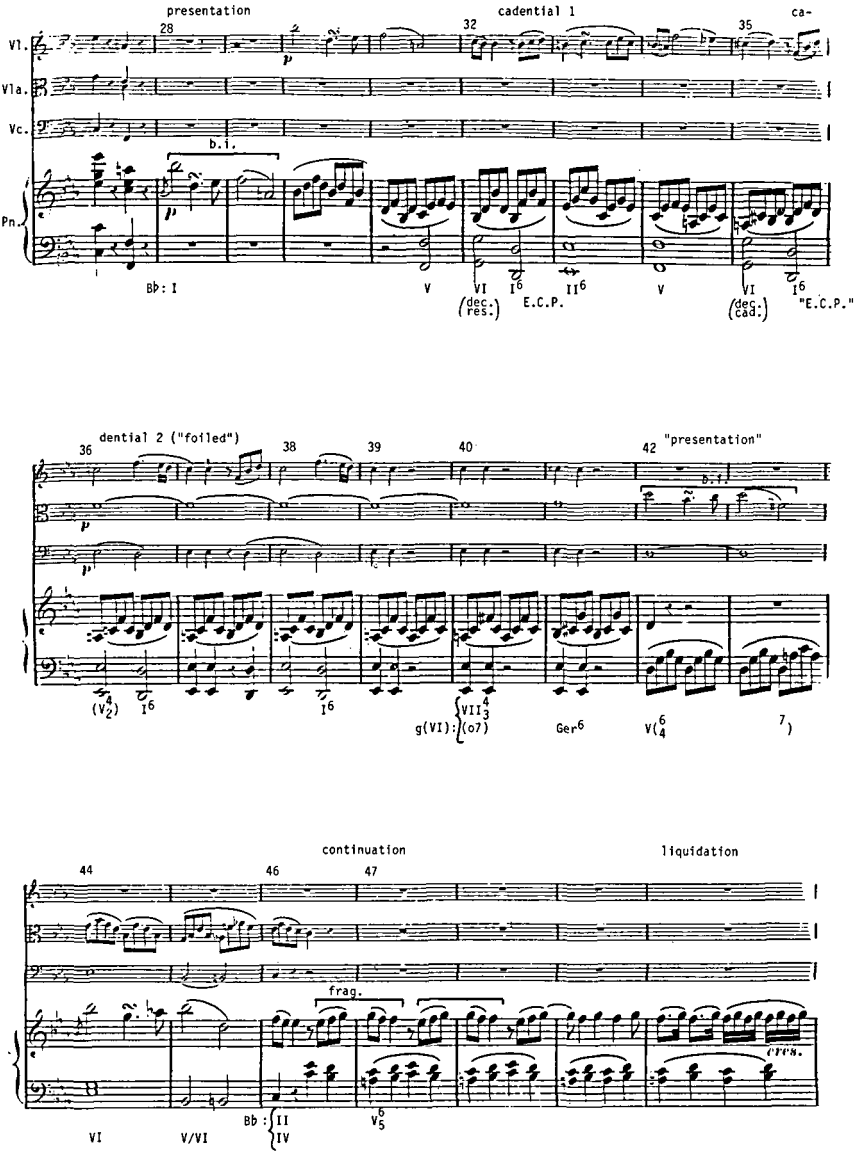
Example 6b Ibid., bass-line sketch of mm. 75-100.

IV

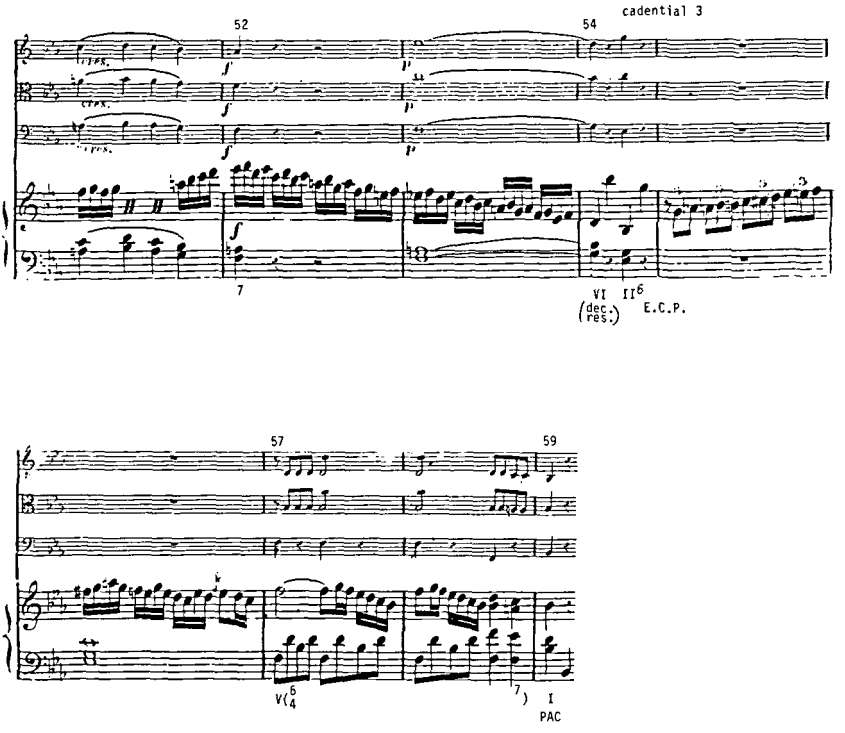
We have seen in some of the examples above that a particular expanded cadential progression will not produce closure for the theme if the cadence is evaded in one way or another. In most cases of this kind, the same cadential phrase will be immediately repeated and lead to a full close (see Example 1b, mm. 37-41); at other times, a different cadential phrase will be introduced in order to bring the theme to an end (see Example 3, mm. 25-27). In such situations it is still useful to speak of a genuine expanded cadential progression, even though the final tonic fails to arrive. However, there are some highly interesting examples in which the composer initiates an apparent expanded cadential progression (signaled, for example, by a prominent I^6) but then permits the music to "wander off somewhere else" without actually realizing the cadence. A good illustration of such a "foiled" expanded cadential progression can be seen in the first movement of Mozart's Piano Quartet in E-flat, K. 493.

The first subordinate theme (Example 7) begins at measure 28 with a presentation phrase. After the dominant that ends the basic idea resolves deceptively to the VI chord on the downbeat of measure 32, the expected continuation is replaced by a simple cadential phrase, beginning on I^6 at the second half of the measure. The cadence is denied, however, when the dominant resolves once again to VI (here creating a "deceptive cadence" at measure 35), and this in turn is followed by another I^6 chord, now embellished by a neighboring V^4_2, the conventional sign that a more expansive cadential progression is beginning.

At this point we could easily "hear ahead" and project a normal conclusion to the cadential phrase. But Mozart deceives us when the promised expanded cadential progression seems to lose its way (through the changing function of the diminished-seventh chord in m. 40) and arrives on the dominant of the VI region in measure 42. (This tonicization of the submediant region has been well-prepared, of course, by the preceding deceptive resolutions.) Here begins a new presentation-like phrase, this one bringing the original basic idea and repeating it sequentially (mm. 42-45).[38] A genuine



Example 7 Mozart, Piano Quartet in E-flat, K. 493, i, mm. 28-59.



Example 7 continued

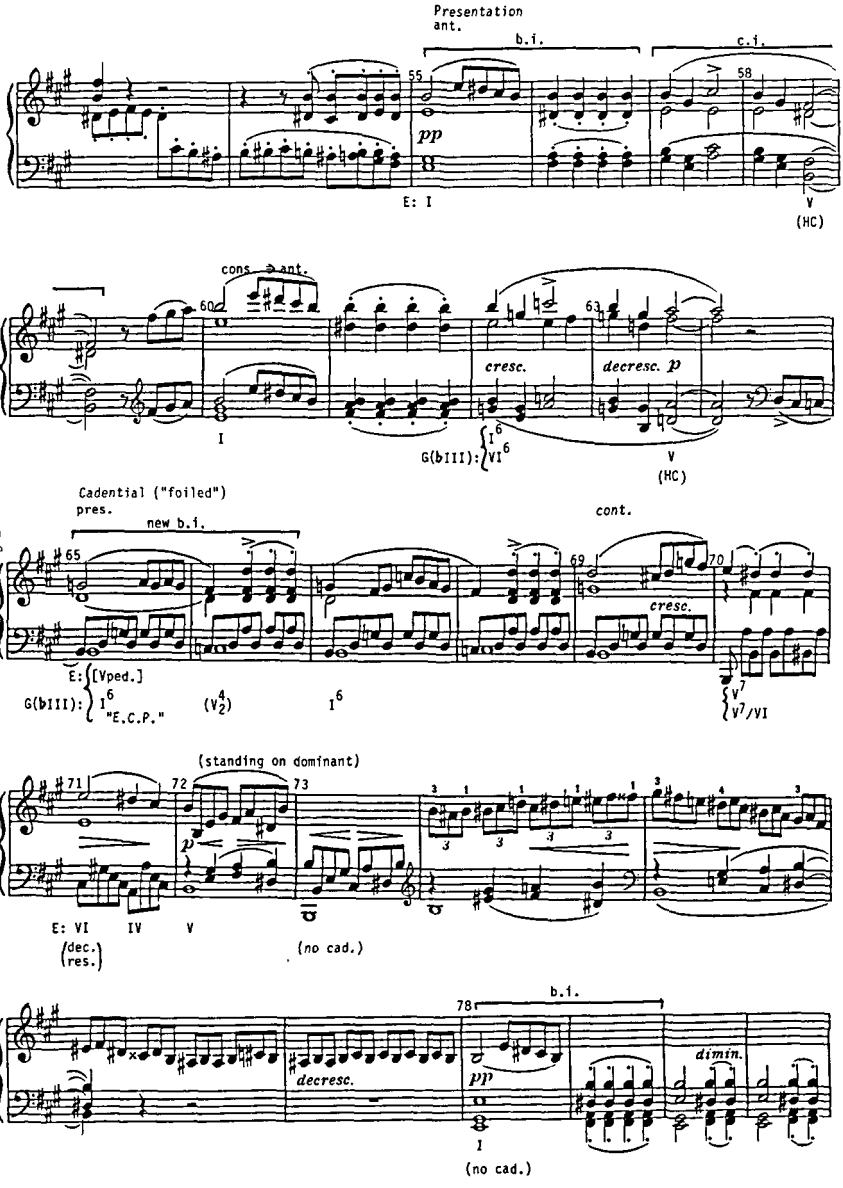
continuation phrase (mm. 46-54) now fragments and liquidates the melodic materials over the dominant harmony, which resolves deceptively for the last time to VI in measure 54. Mozart then shuns a return to I^6 and moves instead to the pre-dominant II^6 for the cadential phrase that will ultimately close the theme in measure 59. It is not surprising that the third and final expanded cadential progression omits the initial tonic: this harmonic function had already been expanded in the foiled progression of measures 36-41 and thus for the sake of artistic economy can be eliminated here. But more interesting is the fact that the II^6 harmony of measure 54 is the logical continuation of that earlier I^6. In other words, the material from measures 39-54 can be seen as a digression that has

been interpolated between the I^6 of measure 38 and the II^6 of measure 54.

Two different views of the overall organization of this theme now emerge. At first glance, it would seem to divide itself into two more or less independent sections, each of which is sentence-like in structure. But this is perhaps too mechanical an interpretation: the first section (mm. 28-41) receives no genuine cadential closure, and the second section (mm. 42-59) does not possess a strong enough sense of tonic opening. A second, more subtle, view recognizes that one structurally complete theme (from m. 28 to the end of m. 38 and from the second half of m. 54 to m. 59) has embedded within itself another, incomplete theme (mm. 39 to the first half of m. 54). Mozart has thus discovered an ingenious way of loosening the phrase structure of this subordinate-theme area through the use of a foiled expanded cadential progression that is ultimately resumed and completed at the end of the theme.

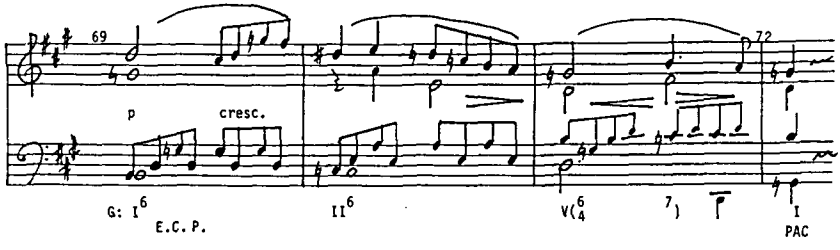
A more radical case of abandoning an initiated cadential area occurs in the first movement of Schubert's Piano Sonata in A, D. 959. Here the composer provides the standard cue for an expanded cadential progression but totally rejects its completion. Throughout this sonata (indeed, in many of his compositions), Schubert violates the norms of classical form by weakening, or even omitting, cadential closure of his themes. We can see this already at the very opening of the subordinate theme (Example 8a), where Schubert implies the creation of one formal design, but refuses to realize it. The theme begins regularly enough (in the subordinate key of E major) with a simple antecedent phrase ending on a half cadence in measure 58. The following phrase promises to be a consequent but instead of closing with the required authentic cadence, modulates to the altered mediant region (G major) and ends with another half cadence. The expected period form never materializes, and we are thus forced to reinterpret the preceding ten measures as a large presentational unit (made up of the repeated antecedent phrases).[39]

In the following passage, Schubert maintains the new key by prolonging a I^6 harmony (with the familiar neighboring V^4_2). Here, then, is the conventional cue for an expanded cadential progres-



Example 8a Schubert, Piano Sonata in A, D. 959, i, mm. 53-81. Reprinted by permission of C.F. Peters Corporation, New York.

sion, and we could very well believe that a cadential phrase will replace the continuation phrase that should have followed the preceding ten-measure presentation.[40] Within this I^6 harmony, Schubert introduces a new two-measure basic idea (derived from the initial idea of mm. 55-56), whose repetition gives rise to a four-measure presentation (mm. 65-68). The implied cadential phrase now seems to be organizing itself into a sentence form (like Example 5a, mm. 69-77); and we might assume that a continuation phrase will bring the remaining cadential harmonies, as reconstructed in Example 8b. But when the new phrase begins in measure 69, the I^6 does not move to a pre-dominant of any kind; rather, the B-natural in the bass remains in measure 70 to build a dominant harmony of the original subordinate key. Consequently, the cadential progression in G major, implied by the embellished I^6, is foiled and is never resumed at any later point in the exposition.



Example 8b Ibid., hypothetical version of mm. 69-72.

Having thus far denied us a cadence in G major, Schubert nevertheless holds out the possibility for a cadential progression in E major, which would close the local continuation phrase begun in measure 69. Indeed, when the dominant resolves deceptively at measure 71 and is regained again in the next measure by means of a pre-dominant IV, we strongly expect that a root-position tonic will bring an authentic cadence on the downbeat of measure 73. Once more, however, Schubert refuses to complete an implied harmonic process: after the dominant harmony is stretched out for an additional five measures, we do not have the impression that an authentic cadence has been created when the tonic chord finally

arrives on the downbeat of measure 78. To be sure, a dominant has resolved to a tonic, but during the course of the expanded dominant, the dynamic energy has been dissipated to such an extent that the dominant no longer functions as the "penultimate" harmony of the progression; rather, it becomes in actuality the "ultimate" harmony, the true harmonic goal of the passage. As a consequence, the tonic of measure 78 functions exclusively as an initiating tonic for the next phrase, not as a closing tonic for the preceding phrase.

Of all the reinterpretations Schubert has forced us to make in the course of this theme, we now encounter the subtlest: what we thought was going to be a continuation phrase (mm. 69-77), which would ultimately close with an authentic cadence, has turned into a unit that is essentially based upon dominant harmony without authentic cadential closure. From an even broader perspective we could regard the entire foiled expanded cadential progression (beginning in m. 65) as a kind of dominant pedal, insofar as we retrospectively hear the embellished I^6 of G major functioning as a substitute harmony for V of E major. Consequently, this "standing on the dominant," as Ratz calls it, reminds us of the contrasting middle ("B") section of a *small ternary* design.[41] Indeed, ternary features are further suggested when measure 78 brings back the basic idea of the opening antecedent phrase, thereby giving the sense of a recapitulatory "A′" section.[42]

The continual obfuscations of tonal direction and formal function revealed in this example are truly remarkable. In fact, the extensive cadential weakening, with its resulting phrase-structural ambiguities, transcends the bounds of formal organization of music in the classical style. With Schubert we can observe how the romantic composer begins to break down the edifice of classical functional form by breaking down that of classical functional tonality at the same time.

V

Whereas the topic of my study has been the "expanded cadential progression" as a specific harmonic-formal procedure of instru-

mental music in the classical style, it should be evident that the scope of my investigations has been considerably broader. Using the *Formenlehre* of Arnold Schoenberg and Erwin Ratz as a starting point, I have attempted to develop and apply a mode of analysis that focuses on the *function* of complete themes and their constituent phrases within extended compositions of this historical period. To conclude, let me briefly summarize the main theoretical principles upon which the foregoing analyses have been based.

For those readers accustomed to the notion that a "theme" is primarily a melodic phenomenon (that catchy tune by which we recognize a particular work or portion thereof), the idea that a single theme can stretch up to fifty-four measures in length (as in the "Hammerklavier" Sonata, Example 6a) might seem ludicrous indeed. It should be clear by now, however, that the concept of theme employed here refers to a specific category of formal structure, and that a theme is a large-scale unit of construction (along with such other sections as "transition" or "development") within a single movement of a composition.

Themes are made up of phrases that manifest distinct functional characteristics. The most important of these can be informally described as functions of "beginning," "middle," and "ending"; more technically, they have been defined here as "presentation," "continuation," and "cadential." The primary determinant of such formal functions is their underlying harmonic progression; indeed, one of harmony's main roles in music of the eighteenth and early nineteenth centuries is precisely that — to articulate musical form.[43] As has been exemplified above, each of these three functions has associated with it a particular kind of harmonic progression: a tonic prolongation for a presentation phrase; a sequence for a continuation phrase; and, of course, a cadence formula for a cadential phrase. Though fundamental, harmony is not the exclusive definer of formal function, for the specific ordering and grouping of the melodic-motivic materials of a theme play an important part as well. Thus a presentation phrase features the immediate repetition of a unit (usually a basic idea), and a continuation almost always brings a fragmentation of this unit size. Finally, the nature of the melodic-motivic content itself can help support a specific function.

By this I mean, for example, that a basic idea normally contains a "characteristic" melody, one that can distinguish a given theme from another; a cadential idea, on the contrary, is usually "conventional" in the sense that its melodic content is common to many works within the style.

Although I have been emphasizing here the three functional components of a theme with *sentential* design (named after the tight-knit sentence form), other theme types have their own functional characteristics as well: for example, *periodic* structures exhibit "antecedent" and "consequent" functions, and *ternary* forms have sections fulfilling "expository," "contrasting middle," and "recapitulatory" roles. In addition, the beginning of a theme may be preceded by a unit of "introductory" function, and its close may be followed by "codettas" that serve to reinforce the cadential goal. All of these formal functions, like the three mentioned before, can be defined on the basis of their fundamental harmonic progression and the disposition of their melodic-motivic content.

The general concept of formal function applies not only to the individual phrases within a theme, but also to the relationship of the various themes (or theme-like units) to each other within a complete movement. At this level of structure, functional distinctions are manifest by the way in which a given theme expresses a "tightknit" or "loose" organization. The criteria for tightknit and loose are based largely on such factors as the relative stability of a theme's overall harmonic-tonal plan, the compression (or expansion) of its cadential closure, the symmetry of its phrases, and the degree of unity of its melodic-motivic materials.

The present study has focused primarily on ways in which a subordinate theme within a sonata form acquires its looser organization compared with the main theme: I have especially emphasized the important role that an expanded cadential progression can play in this respect. It must be stressed that tightknit and loose are strictly relational concepts that are "work-specific"; in other words, each work defines for itself its particular scope of organization within the tightknit-loose continuum. For example, the main theme of a given composition might appear to be somewhat loosely organized, but in relation to a subordinate theme that is signifi-

cantly looser, the main theme continues to serve as the most tightknit structure within the movement as a whole. Moreover, we must not think that subordinate themes themselves are loosely organized in any absolute sense, for they are almost always more tightknit than the other theme-like units of a sonata, namely, the "transition" or "development" sections.

Needless to say, the many theoretical principles just summarized require greater clarification and illustration. A more comprehensive "theory of formal functions" would develop in detail the many ideas that have received only cursory treatment here. It is hoped that such a theory not only would prove valuable in its analytical application to instrumental music of the classical style, the repertory upon which the theory is founded, but also would help to illuminate, by comparison, the music of earlier and later historical periods.

Notes

1. Carl Czerny, *School of Practical Composition, Op. 600*, trans. John Bishop, 3 vols. (London, 1848), 1:35; Adolph Bernhard Marx, *Die Lehre von der musikalischen Komposition*, 3 vols. (Leipzig, 1857), 3:282.
2. Leonard G. Ratner, "Harmonic Aspects of Classic Form," *Journal of the American Musicological Society* 2 (1949): 159-68; James Webster, "Sonata Form," *The New Grove Dictionary*, 17:497.
3. Arnold Schoenberg, *Fundamentals of Musical Composition*, ed. Gerald Strang and Leonard Stein (London, 1967); Erwin Ratz, *Einführung in die musikalische Formenlehre*, 3rd enlarged ed. (Vienna, 1973).
4. Eighteenth-century theorists generally speak of such complete structures as "periods," and this use of the term has been revived by some modern writers as well (see Leonard G. Ratner, *Classic Music* [New York, 1980], pp. 33-34). In the present study, these formal units will be considered "themes," and the "period" will be defined (below) as a more specific theme type, containing distinct antecedent-consequent characteristics.
5. "Allgemein ausgedrückt können wir zwei Gestaltungsprinzipien feststellen: fester Gefügtes ... und locker Gefügtes ... (*Einführung*, p. 21).
6. "Wir unterscheiden beim Seitensatz insbesondere zwei Haupttypen: 1. den modulierenden Seitensatz, 2. den zwar in der Tonart der Dominante stehenden, aber in seiner motivisch-thematischen Struktur sich grundsätzlich vom Hauptgedanken unterscheidenden Seitensatz, dessen wichtigstes Kennzeichen darin besteht, dass z. B. ein Viertakter aufgestellt wird, der der Vordersatz einer achttaktigen Periode sein könnte; seine Wiederholung wird angegangen, als ob der Nachsatz folgte; bevor jedoch der Viertakter zu Ende

geht, wendet er sich 'woanders hin,' das heisst, er kadenziert nicht wie ein Nachsatz, sondern er erhält eine neue Fortsetzung, die mit dem Folgenden wieder eine Einheit bildet, worauf sich mit diesem neuen Gebilde nunmehr der gleiche Vorgang wiederholt" (*Einführung*, pp. 30-31).

Similarly, Schoenberg notes that subordinate themes typically feature:

"LOOSE STRUCTURE: direct and immediate repetition of segments, juxtaposition of contrasting segments, often with an overlap; little or no recurrence of earlier features within the section.

"SPINNING OUT: derivation of succeeding motive-forms from preceding ones, leading to sequences, condensation and liquidation. Chain-like interconnexion.

"EVASION OF DEFINITE CADENCES until the end of the whole exposition. This device contributes to the harmonic momentum, and helps to join remotely related motive material. Incidental modulation may derive from this technique, without disturbing the essential stability" (*Fundamentals*, p. 204).

7. The idea that the subordinate theme of a sonata is expanded in relation to the main theme stems from Heinrich Christoph Koch, who describes a wide variety of expansion techniques that the composer can use in order to convert the first part of a simple binary into a sonata exposition (see Elaine R. Sisman, "Small and Expanded Forms: Koch's Model and Haydn's Music," *Musical Quarterly* 68 [1982]: 444-75).
8. Charles Rosen, *Sonata Forms* (New York, 1980), pp. 75-77.
9. *Classic Music*, p. 46.
10. Donald Francis Tovey, *The Forms of Music* (New York, 1956), p. 210.
11. Tovey generally restricts the term "cadence theme" to this group of codettas. But some writers who have adopted his terminology have not been sufficiently careful to differentiate the true cadential material that creates closure for the subordinate theme from the cadence-like material found in the closing section. For example, in analyzing the first movement of Beethoven's String Quartet in E-flat, Op. 127, Joseph Kerman identifies two different "cadential phrases" within the second group of the exposition (*The Beethoven Quartets* [New York, 1966], p. 205). His analysis obscures the fact that the first such phrase belongs to the subordinate theme proper and ultimately brings the cadence (in m. 65), whereas the second phrase has an entirely different function, namely, as a series of codettas that prolong the cadential tonic.
12. Such a major constraint on the position of these cadential harmonies might seem both extreme and unwarranted to many readers, especially those accustomed to viewing the progression V^6_5–I (for example) as an "imperfect" or "contrapuntal" cadence. The author can only hope that the analytical results derived from this definition of the cadential progression will justify its apparent restrictiveness.
13. The term "pre-dominant" embraces a variety of chordal types whose harmonic function is to progress to the dominant. The most common pre-dominant chord of a cadence in the classical style is II^6; other pre-dominant chords built on the fourth scale-degree include the subdominant and the Neapolitan sixth. Additional pre-dominant harmonies are constructed over the raised fourth degree (e.g., V^6_5/V, VII^7/V), the second degree (e.g., II, V^7/V), and the lowered sixth degree (e.g., IV^6, Ger^6).

14. Janet M. Levy, "Texture as Sign in Classic and Early Romantic Music," *Journal of the American Musicological Society* 35 (1982): 482-531.
15. Schoenberg, *Fundamentals*, pp. 20-24, 58-81; Ratz, *Einführung*, pp. 23-24.
16. There is no satisfactory English term for the initial two-measure unit that presents the essential melodic-motivic material of a theme. Schoenberg's use of the expression "phrase" for this unit (*Fundamentals*, pp. 3-7) runs counter to the standard English practice of regarding the phrase as, minimally, four measures in length. The terms "sub-phrase" or "half-phrase" are occasionally encountered, but they misleadingly imply that this unit is merely a subordinate component of a more fundamental, higher-level structure, namely, the phrase. The word "motive" is also inadequate here, since the term usually refers to a smaller melodic-rhythmic shape: indeed, a basic idea is often made up of several discrete motives, and this motivic multiplicity offers the possibility of breaking down the basic idea into the individual motive-forms in the course of the theme. Finally, German theory does not provide much help in finding an English term, since Ratz simply speaks of a *Zweitakter* ("two-measure unit").

    The term "basic idea," introduced here as the fundamental unit of formal structure in music of the classical style, has been chosen in deliberate reference to Schoenberg's famous *Grundgestalt*. Although Schoenberg never achieved a definitive and unambiguous formulation of this problematical concept, his student Josef Rufer reports one meaning that is compatible with the notion of basic idea used in the present study: "In my very full notes of his [Schoenberg's] teaching between 1919 and 1922 I find these definitions: a *motif* is the smallest musical form, consisting of at least one interval and one rhythm. The next sized form is the *Grundgestalt* or phrase, 'as a rule 2 to 3 bars long' . . . and consisting of the 'firm connection of one or more motifs and their more or less varied repetitions'" (Josef Rufer, *Composition with Twelve Notes*, trans. Humphrey Searle [London, 1954], p. viii).
17. Neither Schoenberg nor Ratz introduces a specific term to identify the four-measure phrase that contains a basic idea and its repetition. In this study I hope to convince the reader that the notion of a "presentation" phrase (one that is structurally analogous to, but functionally distinct from, the "antecedent" phrase of the period from) is a useful and significant tool for formal analysis.
18. I avoid using Schoenberg's term "reduction" (*Fundamentals*, p. 59) because of its misleading associations with the Schenkerian representation of harmonic-contrapuntal phenomena. In this study, the concept of fragmentation exclusively concerns the *size* of the musical units, not necessarily their motivic content. That is, the fragmented units may contain motives of the preceding units (as in the present example), or the process of fragmentation may instead bring entirely new motive-forms.
19. Although a half cadence (HC) cannot articulate the same degree of structural closure as an authentic cadence, such an ending on dominant harmony is nevertheless sufficiently strong to mark the close of a main theme in the classical style.
20. This tonic prolongation is shown in brackets in the harmonic analysis below the music.

21. " . . . wendet er sich 'woanders hin,'" (*Einführung*, p. 31).
22. The cadential progression of this example includes the so-called "tonic six-four" or "cadential six-four" chord. This chord is not an independent harmonic structure, but rather a conventional embellishment of the dominant harmony. In order not to confuse the six-four embellishment of a root-position dominant with a genuine second-inversion dominant (a chord rarely used in this style), the $\frac{6}{4}$ and its resolution to $\frac{5}{3}$, 7, or $\frac{4}{2}$ will be placed in parentheses following the Roman numeral V.
23. The symbol PAC in the examples refers to a "perfect authentic cadence," that is, an authentic cadence in which the soprano voice moves from the supertonic or leading tone to the tonic.
24. We can speak here of a genuine *theme group* because this exposition contains two distinct subordinate themes, each one of which, moreover, closes with an expanded cadential progression.
25. If the antecedent ends with a half cadence, then the consequent may close with an authentic cadence that is either perfect or imperfect. (An imperfect authentic cadence [IAC] ends with the third [or, less frequently, the fifth] scale-degree in the soprano voice.) If the antecedent ends with an imperfect authentic cadence, then the consequent will normatively close with the stronger, perfect authentic cadence.
26. Sonata movements in which the basic idea of the subordinate theme is derived from that of the main theme, particularly common in the works of Haydn, are frequently, but inaccurately, described as "monothematic." This misnomer is especially dangerous because it obscures the fact that although the main and subordinate themes have similar melodic-motivic content, they are almost always constructed in an entirely different way, with the subordinate theme taking on a distinctly looser form than the main theme. Such movements should be described more correctly, albeit more clumsily, as "mono-basic-idea."
27. Some readers may think that the dominant-tonic progression from measure 33 to measure 34 creates a cadence; however, this is not the case. Although the motivic imitation makes it difficult to determine with certainty the actual bass line for this six-measure presentation, the dominant harmony of measures 32-33 is most likely heard in first inversion (the root on the very last sixteenth-note of m. 33 being ornamental). More significantly, there is no cadence here because a sense of structural closure cannot be created by a basic idea and its repetition(s) alone. An analogy to natural language may help clarify this point. A grammatically complete sentence (in language) normally contains both a subject and predicate. A basic idea is a kind of "subject" for a musical sentence (or period), and, hence, a presentation phrase would be analogous to a compound subject. Therefore, just as the subject phrase "the man and his dog . . ." does not make a complete sentence, but rather sets up expectations for an ensuing predicate (e.g., ". . . ran together across the street."), so too, a presentation phrase by itself cannot function as a complete musical theme. To continue the analogy, the "predicate" of a musical sentence is fulfilled by the "continuation" and "cadential" functions that follow the presentational unit.
28. The opening motive of this new basic idea is derived from the contrasting idea of the main theme (m. 3); although the pitches and rhythm are identical, the

new tonal context changes the scale-degree functions and thus obscures our hearing a direct connection between these ideas.

29. "[Contrasting cadential material of orchestral character] derives, not from the symphony or chamber music, but from concerto and aria: it gradually permeated symphonic and chamber styles. Another form of cadential material important to the evolution of sonata forms also derives from concerto and aria; it is not orchestral but individual — instrumental as well as vocal: cadential virtuosity, the scales, flourishes, and trills that mark the end of a solo section" (Rosen, *Sonata Forms*, p. 76).
30. For a typical example of how the dominant can receive an enormous expansion relative to the other harmonies of the cadence, see the final subordinate theme in the recapitulation of the first movement of Mozart's Piano Concerto in C, K. 467, mm. 351-84. Measures 351-58 constitute a large presentational unit; the continuation stretches from mm. 359-62 and features sequential harmonic progressions, a common continuational trait. A short cadential phrase (mm. 363-65) leads to an evaded cadence that motivates a repetition of the continuation (mm. 366-69). In the second expanded cadential progression, beginning in m. 370, the component harmonies are lengthened considerably: special emphasis is given to dominant harmony, which is extended for a full nine measures (mm. 375-83) before resolving to the tonic for the perfect authentic cadence in the following measure.
31. "*Liquidation* consists in gradually eliminating characteristic features, until only uncharacteristic ones remain, which no longer demand a continuation. Often only [melodic] residues remain, which have little in common with the basic motive" (Schoenberg, *Fundamentals*, p. 58).
32. Ratz, *Einführung*, p. 28.
33. Because of the abrupt change of register, texture, and dynamics in measure 46, the tonic in the measure does not sound like the harmonic goal of the preceding passage. Thus even though the preceding dominant resolves to a root-position tonic, we nevertheless have the impression that the cadence has been evaded.
34. This modulation to the dominant region of the subordinate key creates a degree of tonal instability appropriate to a more loosely organized theme.
35. The symbol ⇒, introduced at m. 60, stands for "becomes" and indicates a retrospective interpretation of harmonic or formal functions.
36. Notice that this presentation is built over a dominant pedal of the subordinate key, a loosening procedure that we have already seen in Beethoven's Piano Sonata, Op. 2, No. 1 (Example 1b, mm. 21-25).
37. Compare the left-hand octave on the second beat of measure 91 with the third beat of measure 80. I wish to thank Christopher Lewis of the University of Alberta for pointing out this relationship to me.
38. I regard this four-measure phrase as "presentation-like," rather than as a true presentation, because it lacks the requisite tonic-prolongational basis.
39. The half cadences in mm. 58 and 63 are placed in parentheses because they are no longer truly functional within the context of the large presentation. We again witness cadences that have a limited structural scope.
40. The use of a cadential phrase as a substitute for a continuation phrase has already been seen in connection with Example 7, mm. 32-35.

41. "Der erste Teil [des dreiteiligen Liedes] kann sowohl als Periode wie auch als Satz gebaut sein. Für den zweiten Teil ... ist charakteristisch das Stehen auf der Dominante. ... [Der dritte Teil] ist eine verkürzte, manchmal auch veränderte Wiederkehr des ersten Teiles" (Ratz, *Einführung*, p. 25); see also Schoenberg, *Fundamentals*, pp. 119-36.
42. Even here, however, Schubert does not create a genuine ternary structure, since neither the initial "A" section (mm. 55-64) nor the "A′" section (mm. 78-82) receives adequate cadential closure.
43. "The harmony of the Viennese Classical composers ... must be analyzed in relation to metre, syntax (i.e. the laws by which musical phrases combine to make larger units) and form.... syntax is founded on, or partly determined by, harmony, and conversely harmony derives its meaning from the syntactical functions it fulfills. ... harmonic theory has still not really accepted the idea that Classical harmony, whose theory it purports to be, cannot be adequately understood other than in relation to musical form" (Carl Dahlhaus, "Harmony," *The New Grove Dictionary* 8:181).