

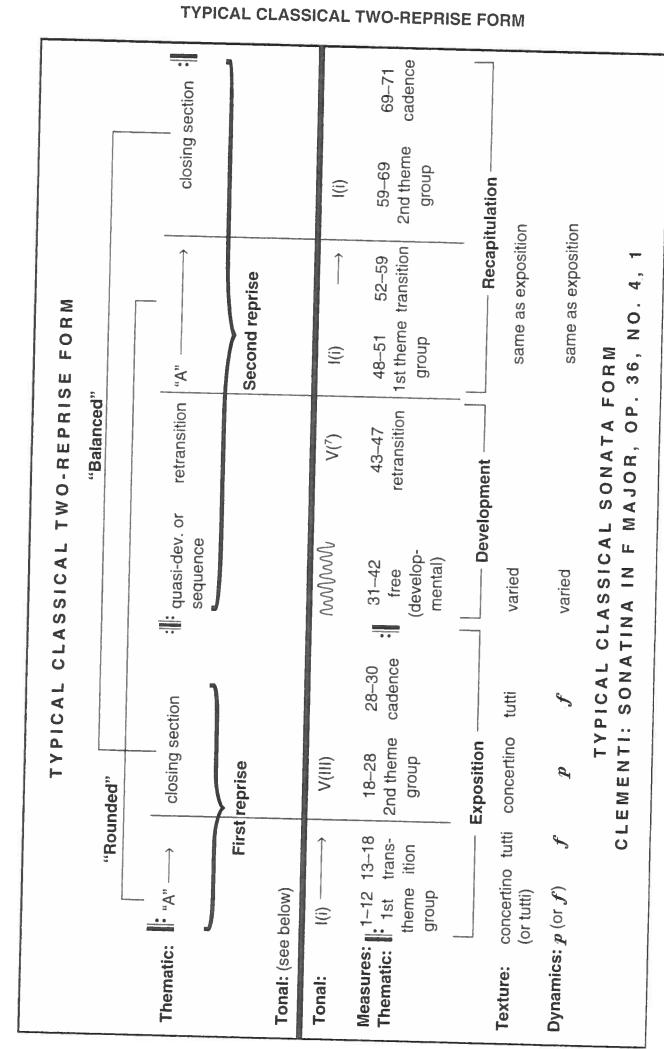
Extended Homophonic and Contrapuntal Formal Designs

IN CHAPTER 23 we discussed some of the simpler formal designs and tonal structures found in homophonic music. In this chapter we will conclude our investigation of homophonic forms by examining some more complex and extended designs, such as sonata, sonata-rondo, and concerto forms. In addition, we will introduce several genres typical of works that employ contrapuntal texture, such as the chorale prelude, invention, and fugue.

SONATA FORM

Although we use the term **sonata** to refer to a multi-movement work for a solo instrument with or without accompaniment, we use the term **sonata form** to refer to the design and structure of a single movement. The sonata-form scheme may be found in the first, the last, and even the slow middle movement of a multi-movement composition. The tonal structure and design of sonata form of the Classical period evolved from the rounded two-reprise form, which we discussed in Chapters 23 and 25. Figure 31.1 shows how sonata form represents an expansion of the key scheme and formal proportions of two-reprise design as found in the Clas-

Figure 31.1



sical minuet. The top of the diagram outlines a stereotypical two-reprise design with its usual continuous, rounded, and balanced features. The basic characteristics of sonata form are aligned directly beneath their counterparts in two-reprise form.

The first reprise or first repeated section of the two-reprise form expanded to become the **exposition** in sonata form, the section following the double bar the **development**, and the rounded section the **recapitulation**. Typical thematic and tonal characteristics are specified in the middle of the diagram, and additional descriptions of normative textural and dynamic characteristics appear at the bottom. This sonata-form model with its measure numbers is based on an actual piece—the first movement of Clementi's Piano Sonatina in F Major, Op. 36, No. 4, the score of which appears in Example 31.1. Although this brief movement is a diminutive version of sonata form with an abbreviated development, it nevertheless contains all the salient attributes of a full-blown sonata movement.

Example 31.1

⑦ MUZIO CLEMENTI: SONATINA IN F MAJOR, OP. 36, NO. 4, I

Con spirito.

f

13

p

fz *fz*

18

fz

dolce

fz

28

fz

f

31

p

cresc.

f

p

Musical score for the left page, measures 43-59. The score is in G major and 3/4 time. It consists of five systems of piano accompaniment. Measure 43 is marked with a forte (*f*) dynamic. Measure 47 is marked with a piano (*p*) dynamic and a diminuendo (*dimin.*) instruction. Measure 52 is marked with a forte (*f*) dynamic. Measure 59 is marked with a fortissimo (*fz*) dynamic. The score features various rhythmic patterns, including eighth and sixteenth notes, and rests.

Musical score for the right page, measures 60-69. The score is in G major and 3/4 time. It consists of two systems of piano accompaniment. Measure 60 is marked with a fortissimo (*fz*) dynamic. Measure 61 is marked with a piano (*p*) dynamic. Measure 62 is marked with a piano (*p*) dynamic and a dolce instruction. Measure 63 is marked with a fortissimo (*fz*) dynamic. Measure 69 is marked with a forte (*f*) dynamic. The score features various rhythmic patterns, including eighth and sixteenth notes, and rests.

After discussing the main features of each major division of sonata design, we will outline the movement's basic tonal structure and discuss several modifications that subsequent composers have made to this form.

Exposition

In addition to presenting the principal themes of the movement, the exposition sets up a polarity between two basic key centers—in major I and V , and in minor i and III or occasionally v . The tonal tension created by the motion to the contrasting key will later be resolved by the return to the tonic in the recapitulation section. If enclosed with repeat signs, the exposition should be repeated; omitting this instruction may distort the essential proportions of the movement.

1. In sonata form, the opening theme of the original two-reprise form is often expanded into a **first theme group**. This first theme group may contain several different musical ideas, all of which are related by their appearance in the tonic key.
2. A **transition** directs the tonal motion away from the tonic toward the new or contrasting key, often by means of sequential patterns. In symphonic works this transition is usually played *forte* by the full orchestra and normally concludes with an emphatic half or authentic cadence in the new key area.
3. The **second theme group** is set in the contrasting key. This group is generally more regular in its phrase groupings, as well as quieter and more lyrical than the opening theme group, often employing a smaller

instrumental force in symphonies. Although its themes are usually new, a composer may take a theme from the original tonic group and restate it in the contrasting key during the second theme group, producing what we call a **monothematic exposition**. This procedure occurs in the opening movement of Haydn's Symphony No. 100 in G Major, subtitled the "Military."

4. The **closing section** of the exposition serves to confirm the contrasting key and is largely cadential in function. It normally displays active, virtuosic gestures, such as arpeggios, scales, and trills, and is almost always played *forte*. A brief new **closing theme**, usually *piano*, or even a **codetta** may occur as a final appendage to the exposition.

Development

The term "development" suggests that the material of the exposition will now undergo expansion, fragmentation, sequential treatment, or other developmental procedures. These techniques are usually employed in the development, but the most significant feature of the development is its *modulatory* nature. The composer generally uses the development to explore various key relationships. Since developments usually follow no fixed pattern, irregular phrase groupings and striking contrasts of texture, register, and dynamics are typical. Perhaps the term "fantasia section" would be more appropriate. The German term for the development, *Durchführung* ("leading through"), more clearly stresses its transitory nature.

Toward the end of the development, a **retransition**, usually based on a dominant prolongation, prepares the return of the original thematic material in the tonic key at the beginning of the recapitulation.

Recapitulation

The musical events heard in the exposition return in the original order during the recapitulation. There is one significant difference: The dominant or mediant key used for the second theme group and closing section of the exposition is now replaced by the tonic key. This difference creates an interesting problem in the transition between the two theme groups. In the exposition this transition effected a modulation to the new key area. Now it must somehow give the sense of modulating while remaining in the same tonic key. In order to achieve this, the transition frequently tonicizes IV, which then returns to I via V. The cadential section—including the closing theme, if any—serves to reinforce the movement's conclusion in the tonic. In sonata-form movements from the early Classical era, the development and recapitulation were repeated, harking back to its origins in the two-reprise form. However, this practice was abandoned later in the period.

Tonal Structure of Sonata Form

The tonal structure of a sonata-form movement may be viewed in terms of the intersection of its basic harmonic or key scheme with its long-range voice leading or *background*; refer to the analysis of the two-reprise Minuet in Chapter 25, which shares a similar tonal plan. The voice leading typically forms a descending pattern in the upper voice that is interrupted at the primary dominant prolongation just prior to the recapitulation. We have already seen this type of tonal structure in shorter two-reprise excerpts of Chapter 22. In a major key, the long-range harmony within the exposition, development, and dominant retransition usually progresses from I to V, and the long-range soprano line moves from $\hat{3}$ to $\hat{2}$. The recapitulation then begins again in I and moves through V to the final I, with the upper line tracing $\hat{3}-\hat{2}-\hat{1}$. In Example 31.2a, which summarizes this structure, note that although the development is represented only by its concluding dominant, in actuality there may be a succession of many keys leading up to that retransitional V. In a minor key the long-range harmonic motion from exposition to retransition normally incorporates the mediant key area (i-III-V), with the upper voice typically beginning on $\hat{5}$ and making a stepwise descent down to $\hat{2}$ (Example 31.2b). The recapitulation then outlines a basic i-iv-V-i pattern, with the soprano beginning on $\hat{5}$ again and working its way down to the final $\hat{1}$. These voice-leading graphs demonstrate how the three-part *design*, exposition to development to recapitulation, of sonata form is reconciled with its two-part *tonal structure* in both major and minor modes. Typical treatments of Classical sonata form include the first movement of Mozart's Symphony No. 40 in G Minor, the second movement of Beethoven's Symphony No. 1 in C Major, and the last movement of Haydn's Symphony No. 92 in G Major ("Oxford").

Example 31.2

A.

C: I 6 7 V → 5 7 I V I

B.

Exposition Dev. Recap.

c: I 6 III → V i iv 6 5 I

The Introduction

First-movement sonata forms are sometimes preceded by a slow **introduction**. Most introductions consist of three parts: (1) a tonic opening, (2) a tonal transition, which often includes sequences or applied dominants, and (3) a dominant prolongation, which prepares the tonic key that begins the *allegro* exposition of the main movement. Introductions to major-key movements are frequently in the parallel minor mode. Motivic ideas stated in the introduction may reappear in the fast section. Typical slow introductions may be found in the opening movements of Haydn's Symphony No. 100 in G Major ("Military") and Beethoven's Piano Sonata in C Minor, Op. 13 ("Pathétique").

Later composers gave their introductions grander proportions and more important roles in the succeeding movements. In Franck's D minor Symphony and Tchaikovsky's Symphony No. 4 in F Minor, material from the opening introduction recurs in later movements, resulting in a **cyclical** symphony. Although the initial material in these two works undergoes little change, the foreboding minor-mode clarinet theme that opens Tchaikovsky's Symphony No. 5 eventually recurs in the parallel major at the finale's triumphant conclusion.

The Coda

A **coda** is sometimes appended to the closing section of the recapitulation. In early sonata-form movements, the coda consisted of little more than an extension of the closing section accompanied with great fanfare, rhythmic activity, and affirmations of the tonic. Beethoven pioneered the conception of the coda as a kind of second development section, although with less daring harmonic excursions—see the first movement of his Symphony No. 3 in E \flat Major ("Eroica"). During the coda of the first movement of his Symphony No. 5 in C Minor, an apparently new theme is introduced and developed.

Finally, examples of so-called **sonatina form** may sometimes be found in slow movements or miniature piano pieces. Since the development in sonatina form is usually omitted in order to keep the movement brief, the end of the repeated exposition leads directly into the retransition and recapitulation.

Composers in the Classical era and succeeding Romantic period modified sonata form in various other ways, such as substituting a foreign key for the usual contrasting key in the exposition, or introducing a false recapitulation in the wrong key during the development.

SONATA-RONDO FORM

In some seven-part rondos (recall the discussion in Chapter 23), the middle or C section does not introduce new thematic material but instead assumes the character of a quasi-development section, exploiting prior material through modulatory procedures. Such a design is called a **sonata-rondo form**, since the first part (A B A with its movement to the dominant) now resembles an exposition, the middle or C section resembles a development, and the last part (A B A, all in tonic) resembles a recapitulation; consult Figure 31.2. Mozart was fond of using this design for the finales of his piano concertos. The Concerto in B \flat Major, K. 450, is almost a textbook example, and the last movement of his Piano Sonata in B \flat Major, K. 333, exhibits traits of both sonata-rondo and concerto form, including a brief *cadenza*.

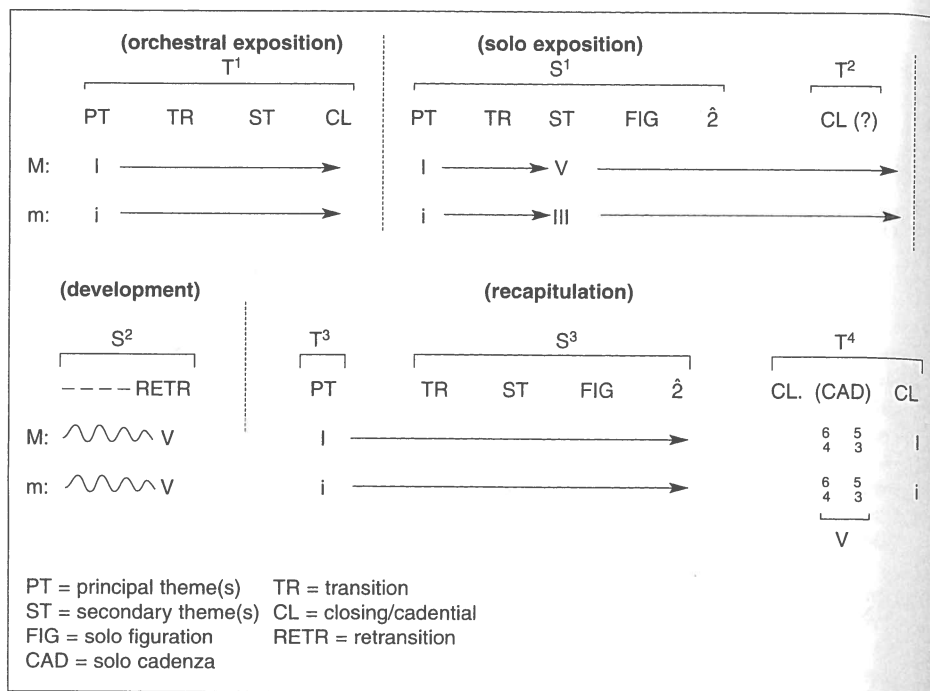
CONCERTO FORM

The opening movement of solo concertos in the Classical period presents an amalgamation of characteristics from the extended *da capo* aria of the Baroque era and the sonata form of the Classical period. Some writers trace the origin of concerto form to the Baroque concerto grosso, but a more compelling theory suggests the form originates in the *da capo* aria, through the concertos written by North German composers, and then to the concertos of Johann Christian Bach, the "London Bach," whose concertos Mozart knew

Figure 31.2

	exposition			development		recapitulation		
	Rf	Ep1	Rf	quasi-dev.	retrans	Rf	Ep1	Rf
M:	I	V	I	~~~~~	V	I	I	I
m:	i	III	i	~~~~~	V	i	i	i

Figure 31.3



and imitated.¹ The typical tonal structure of sonata form was superimposed over the succession of tutti sections, for full orchestra, abbreviated with a T, and solo sections, abbreviated with an S, in the aria, resulting in the so-called **concerto form** of the Classical era. This design is diagrammed in Figure 31.3.

The opening orchestral tutti (T1) presents the principal and secondary theme groups in the tonic, closed off by a series of cadential gestures or ideas; some theorists refer to this as the "orchestral exposition." In the following solo section (S1) the same material is restated but with the customary modulation to the contrasting key, either \square or \square ; this part is sometimes called the "solo exposition." An appended section, abbreviated "Fig." for figuration, is devoted to showing off the skills of the performer before a long trill on $\hat{2}$ over V brings this part to a close. The next orchestral tutti (T2) confirms the contrasting key, often

1. See Denis Forman, *Mozart's Concerto Form* (New York: Praeger, 1971).

with closing material from T1, before moving into S2, which corresponds roughly to a development. The usual retransition brings us to T3, which marks the beginning of the recapitulation, which quickly dissolves into S3, in which the secondary theme group and figuration section are restated in the tonic key. The final T4, which completes the movement in tonic, is usually interrupted for an improvised cadenza, consisting largely of an elaborate dominant prolongation.

While adhering to the basic design outlined above, both Mozart and Beethoven introduced a variety of wonderful modifications that give individuality to their concertos. Although some Romantic composers such as Brahms continued to exploit the older double exposition, others, such as Grieg, Tchaikovsky, and Rachmaninoff, resorted to a more traditional single-exposition sonata form, with lengthy interpolations and written-out cadenzas for the soloist.

CONTRAPUNTAL FORMS

In contrapuntally oriented compositions, the term "form" often refers more to a genre than to a fixed design or stereotypical model. We will examine three examples from the later Baroque period—the chorale prelude, the invention, and the fugue.

Chorale Preludes

The Lutheran **chorale** was the traditional hymn of Protestant Europe in the Baroque period. Chorale melodies were often cast in **bar form** (AAB), in which the first several phrases are repeated forming the two *Stollen*, AA, followed by a different set of phrases, the *Abgesang* or B. While the congregation sang the tune in unison, the organist provided differing harmonic accompaniments, depending on the text of each verse. In the Lutheran service the organist would first play a verse of the chorale to remind the congregation of the tune, since the hymnals contained only the words. As time went on, these preliminary settings of the chorale became increasingly elaborate. The resulting contrapuntal settings of the chorale are usually called **chorale preludes**. Many of these compositions set the preexisting chorale melody, or the cantus firmus, in a variety of ways. The tune customarily appears in the soprano or bass voice. In simple chorale preludes, the melody continues without interruption through the entire piece, while in more complex pieces the tune is segmented into individual phrases that are separated by sections of contrapuntal writing called **interludes**. Bach's well-known "Jesu, Joy of Man's Desiring" is a fine example of the latter process—in fact, the famous melody that opens this piece is an elaboration of the first chorale phrase. A brief chorale prelude based on the Christmas tune "Vom Himmel hoch" is quoted in Example 31.3; the phrases of the chorale cantus, which appears in the upper voice, are separated by short interludes.