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PART ONE

Methodological Orientation

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1 Harmonic practice in the late eighteenth century: twelve excerpts from string quartets by Haydn and Mozart

Phrases and periods offer an ideal starting point for an exploration of harmony in Haydn and Mozart. What occurs in these small-scale contexts often will translate into how broader musical expanses develop. The twelve excerpts presented in this chapter exemplify many of the hallmark features of the style. Our close attention to the details of their construction and careful consideration of how to convey our insights using analytical notation will prepare us for the study of more extended and complex works in subsequent chapters.

The analytical graphs in this chapter display each excerpt's deepest level as background structure. Though this practice artificially widens the range of analytical notation, a useful clarity results. Readers should keep in mind that, if these graphs were incorporated within analyses of the complete movements, what appear to be background events would in most cases become middleground events, and many of the open noteheads consequently would become filled-in noteheads.

Haydn: String Quartet in D Major (op. 76, no. 5), movement 1, measures 0|1–8

To establish a key one engages the three members of its tonic chord in prominent and meaningful ways. In the opening measures of Haydn's Quartet in D Major [**1.1a**], those pitches form a dynamic ascending arpeggiation (A<D<F♯), with passing note E connecting the tonic's root and third [**1.1b**].[1] In this case $\hat{3}$ (F♯) serves as the *Kopfton* (literally "head-tone"), the pitch from which the excerpt's deep structural descent – the ultimate tonic-confirming event – will emanate. The melody also presents an inner strand – D>C♯<D – that coordinates with the D<E<F♯ third above it in the manner of first-species counterpoint. (The $\frac{E}{C♯}$ and $\frac{F♯}{D}$ thirds are *unfolded* – that is, presented successively rather than simultaneously.) With the cello's concurrent pedal point on D, tonic D Major is firmly grounded. Yet the arpeggiation of the tonic triad's pitches generally is not sufficient for

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establishing the key. (Perhaps Haydn is here arpeggiating the V harmony in the key of G Major.) A chord progression forms a more secure foundation, and thus the very tonic harmony that is being established must be left and then later cadentially confirmed. In a major key such a progression generally will proceed from I through II or IV to V, which may serve as the cadential goal (HC) or lead within the phrase to the restored tonic (either IAC or PAC).[2] Though I–II or I–IV may transpire directly, Haydn and Mozart often pursue a more nuanced connection: when I proceeds to II, I-space often will be extended via a *5–6 shift* (to be discussed later); when I proceeds to IV, the tonic harmony often will evolve via *dominant emulation*. Whereas D-F♯-A in Haydn's quartet is a neutral entity without a specific harmonic tendency, the evolved state D-F♯-A-C♮ during 2_1 points vigorously towards IV. Haydn inserts C♮ at the exact moment when the ascending tonic arpeggiation peaks. The augmented-fourth dissonance, prominently positioned at the edges of the texture, propels the progression forward, exiting I-space. The subdominant arrival (in first inversion) is made more emphatic through a *forzando*.

The model in **1.1c** displays the first violin's G as an *incomplete* neighbor, despite the fact that an F♯ sounds immediately thereafter. Though the pitches D, F♯, and A often assert themselves as the tonic harmony in D Major, they may sound together in other contexts as well. Here they play a connective role within IV^{5-6} (G-B-D to G-B-E, in which the 5-phase chord of the 5–6 shift is inverted). The F♯ that follows G is not a restoration of the *Kopfton*, but instead a local passing note leading to E (= $\hat{2}$). Determining the hierarchical relationships among chords is one of the most challenging aspects of harmonic analysis. Here I propose that the G major subdominant is the principal connector between the opening tonic and the cadential dominant of measure 4. (The 6-phase G-B-E extends IV-space, introducing the dominant's $\hat{2}$ in the manner of an anticipation.) An alternative hypothesis would propose that I-space extends through the end of measure 2 and that the following E minor supertonic is the principal connector. I reject that hypothesis due to the prominence of the G major arrival (dissonance resolution, melodic peak, *forzando*, octave leap in the cello line) and the placement of the potential second-inversion tonic harmony within a voice exchange ($^{G}_{B}X^{B}_{G}$ in the second violin and cello), a common context for a passing chord.

The harmonic analysis in **1.1c** differs from the current conventional practice in several ways. Capital Roman numerals track the progression of roots within the specified key. Arabic numbers and accidentals account for all substantial additions and adjustments to the diatonic triadic pitch

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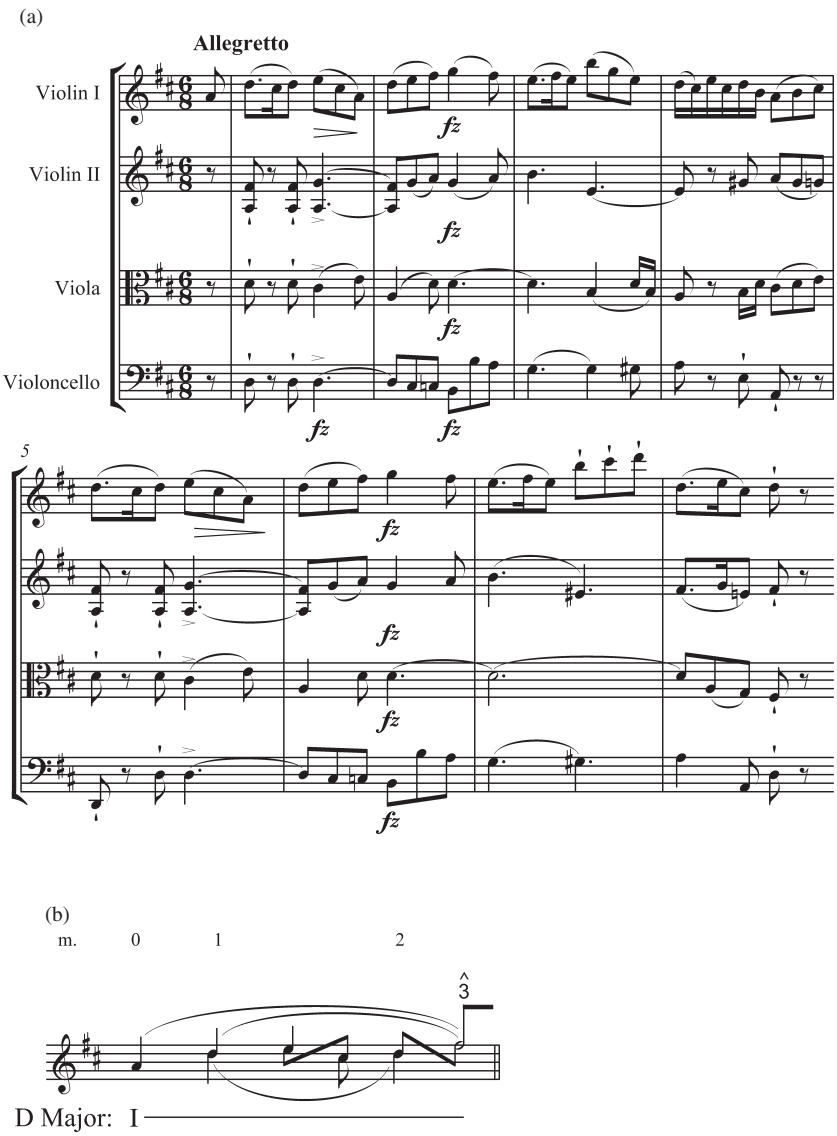
Example 1.1 Haydn: String Quartet in D Major (op. 76, no. 5), mvmt. 1 (a) Score of mm. 0|1–8; (b) Analysis of mm. 0|1–2; (c) Analysis of mm. 1–3; (d) Analysis of mm. 0|1–4.



content, here documenting the addition of a minor seventh within I-space (7♮) and the 5–6 shift that extends IV-space. Note that these numbers are calculated in terms of the chords in their root positions: in the quartet the evolved tonic occurs in $\frac{4}{2}$ position, whereas the subdominant occurs in $\frac{6}{3}$ position. (Readers who would like to acknowledge inversions may add

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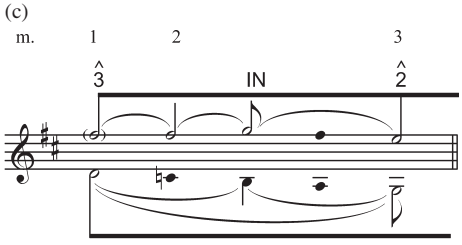
Example 1.1 (cont.)

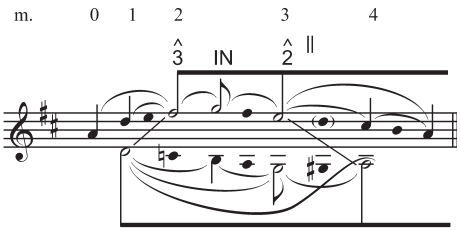
(c)



D Major: I ^{8} —— $^{7\natural}$ IV ^{5} — ( ) — 6

(= II)

(d)



D Major: I ^{8} — $^{7\natural}$ IV $^{5}_{5}$ — 6 —— V ——

(= II $^{8}_{3\natural}$ — $^{7}_{\sharp}$)

those figured-bass numbers in a separate row *above* the Roman numerals, avoiding conflicts with the root-oriented Arabic numbers placed *to the right of* the Roman numerals.) When a chord is extended via its 6 phase, the 6 might function as no more than an anticipation of the following chord's fifth (here the dominant's E). Yet often this 6-phase chord will evolve in a way that causes us to interpret the 6 as an asserted chordal root. When that occurs the root function is acknowledged via a Roman numeral placed within parentheses below the Arabic 6. (Because **1.1c** does not extend beyond the downbeat of measure 3, the evolved state E-G♯-B-(D) is not displayed. It is this latter chord, shown in **1.1d**, that confirms E's role as an asserted root.)

Neither the C♮ of measure 2 nor the G♯ of measure 3 induces a shift of tonal center. (See **1.1d**.) The chords in which they reside are not dominants in the keys of G Major and A Major, as the conventional symbols V/IV and V/V propose, but instead retain their roles as I and II, respectively,

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within D Major. Through chordal evolution the fifth-relationships between I and IV and between II and V *emulate* that which occurs between V and I. (Dominant-emulating relationships may be displayed using a solid arrow, here as I➔ IV and II➔ V.) These moments are surges in which the inherent potentiality for a descending-fifth harmonic succession is enhanced through chromatic and dissonant accretions. Not two individual harmonies – for example, I followed by V^7/IV – but instead two phases of a single harmonic initiative.

Whereas the *Kopfton* F♯ arrives as the I-space expansion concludes, its successor E sounds even before the onset of V-space. (Note the diagonal lines connecting background $\begin{smallmatrix}\text{F}\sharp\\ \text{D}\end{smallmatrix}$ and $\begin{smallmatrix}\text{E}\\ \text{A}\end{smallmatrix}$ in **1.1d**.) By the time soprano F♯ sounds, the bass has begun its trajectory downwards to the subdominant root G; by the time the subdominant root G sounds, IV has proceeded to its 6 phase; by the time the dominant root A sounds, the descent from E to A has reached C♯.[3] The upward leap to B in the first violin line at 3_2 may seem to be an inconsequential diversion from the melody's central thrust, yet its repetition during the consequent phrase is extended to a high D, placing the passing note that fills in the E>C♯ third in the spotlight. This D forms a dissonant diminished fifth against the cello's G♯, dynamically propelling the surge towards V and justifying the placement of D within measure 3 during the antecedent phrase.[4]

Though concluding the phrase with a half cadence (HC) is sufficient for establishing D Major as the tonic, often such an antecedent will be followed by a consequent phrase that closes more decisively, restoring the tonic harmony in the context of a PAC, as is the case here. The $\hat{2}$ left dangling at the end of **1.1d** will, after a repetition of the $\hat{3}$>$\hat{2}$ span, achieve $\hat{1}$ at the close of the consequent phrase. (The *interruption* of the $\hat{3}$–$\hat{2}$–$\hat{1}$ descent at $\hat{2}$, indicated by the two vertical lines to the right of the number $\hat{2}$ in **1.1d**, results in the creation of a binary period.) In measure 7 the evolution of II extends further than that in measure 3. The transformation of E-G-B into E-G♯-B-D (measure 3) is sufficient to provide a surge, with diminished fifth $\begin{smallmatrix}\text{D}\\ \text{G}\sharp\end{smallmatrix}$ targeting the dominant's root and third. In measure 7 Haydn instead writes G♯-B-D-E♯, which I interpret as G♯-B-D-F♮ (II with absent root, raised third, and added seventh and minor ninth, whose complete analytical symbol would appear as $\text{II}\,\begin{smallmatrix}9\natural\\ 7\\ \sharp\\ \bullet\end{smallmatrix}$, the bullet indicating the absent root). Why did Haydn write E♯, rather than F♮? In that the dominant during 8_1 is embellished by a $\begin{smallmatrix}6\\ 4\end{smallmatrix}$, a detour to F♯ precedes the resolution to E. Thus instead of a direct F♮>E connection, Haydn steers the motion in the upward direction with the spelling E♯. Against this F♯ the first violin D at 8_1 restores

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the obligatory register after the brief upward excursion. Once these pitches descend into the dominant chord members E and C♯, the broad descent from $\hat{3}$ concludes with $\hat{1}$ at 8_2, forming a PAC.[5]

Haydn: String Quartet in D Minor (op. 42), movement 3, measures 1–12

The analysis of an excerpt from Haydn's Quartet in D Minor [**1.2a**] brings to the fore the question of exactly what constitutes harmonic progression. I doubt whether a precise border between the realms of melodic embellishment and harmony can in all cases be determined. Consider the models assembled in **1.2b**. Can one state with certainty whether the internal chords result from two melodic neighboring notes, or from a shift of root by a fifth (B♭–F–B♭, B♭–E♭–B♭, etc.)? How might context or duration affect our perception of melodic versus harmonic activity?[6] In my view Roman numeral labels (I–V–I, I–IV–I, etc.) too often are applied indiscriminately. As a remedy I propose the notion of *assertion*: because a combination of pitches might or might not convey a harmonic intent, the analyst must decide that a chord asserts itself as a harmony before proceeding to label it with a Roman numeral. If such a chord does not warrant a harmonic interpretation, it might be referred to as an *embellishing chord*. Note how both Models 1 and 2 correspond to initiatives within the quartet movement's first two measures (the first with an added E♭, the second with the $^{6}_{4}$ chord *unfurled* into $^{6}_{3}$ position and the restored tonic also sounding in $^{6}_{3}$ position). I suggest that neither of the internal chords asserts itself as a harmony.[7] Likewise F-A-C is prolonged during measure 5 and most of measure 6. The B♭-D-F chord that sounds during 5_2 is an embellishing chord (unfurled from $^{6}_{4}$ into $^{5}_{3}$ position), corresponding to Model 4. (Model 3 does not occur in this excerpt, but does appear – transposed up a major third – in **1.1a**, measure 4.)

This twelve-measure excerpt projects the ternary form a_1–b–a_2, with four measures devoted to each component. The initial tonic, prolonged for two measures, leads directly to IV. This harmonic succession is aided by chordal inversion: the tonic's bass D during 2_2 ascends by step to E♭. The B♭<D third in the cello (realized as a descending sixth) is paralleled by D<F in the first violin, which in turn motivates a G>E♭ third during IV^{5-6} (measures 3 and 4). Such activity above the structural line emanating from the *Kopfton*, displayed using filled-in noteheads in my analytical graph [**1.2c**], is very common in tonal music.

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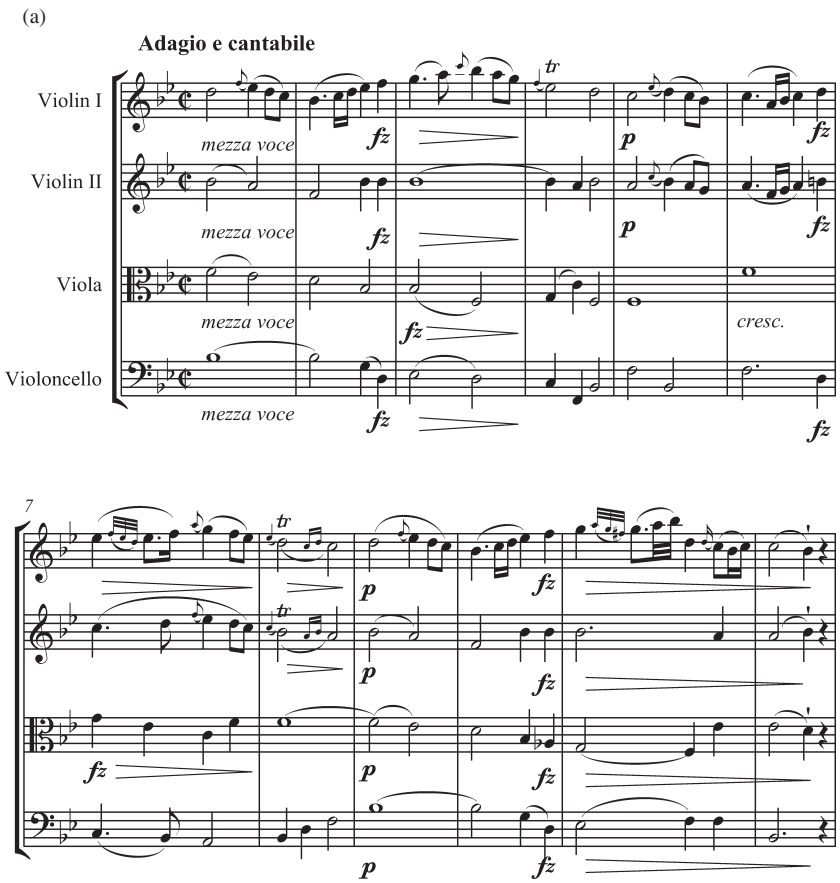
Example 1.2 Haydn: String Quartet in D Minor (op. 42), mvmt. 3 (a) Score of mm. 1–12; (b) Four models for auxiliary chords; (c) Analysis of mm. 1–12.



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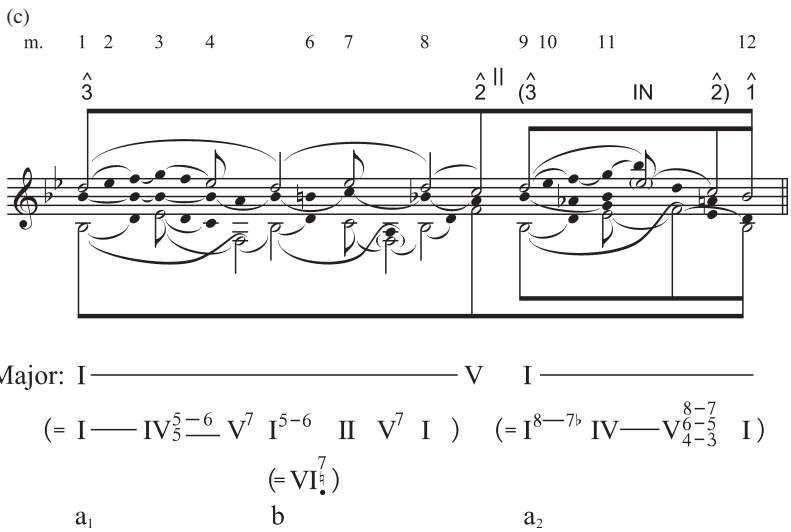
Example 1.2 (cont.)



A comparison of the score and my reading of IV$^{5-6}$ in **1.2c** reveals that the score's first violin line lags: the pitch F "belongs" at the end of measure 3, while the pitch E♭ "belongs" at the downbeat of measure 4.[8] The proposed foundational structure, in which E♭>D>C and G>F>E♭ lines descend in parallel tenths, corresponds (switching the positions of the two lines) to a passage from the String Quartet in D Major discussed above (see **1.1c**), where the B>A>G and G>F♯>E lines descend in parallel sixths during the transition from IV's 5 to 6 phase. (I refer to the soprano line as presented in **1.2c**, which Haydn subjects to rhythmic displacements.) In both cases a passing chord containing the pitches – but not projecting the function – of the tonic comes between these two more foundational chords.[9] Note that in this case the 6-phase chord does not assert itself as II. (That is, the pitch C at 4_1 is an anticipation of the dominant's fifth without also taking over from E♭ the office of *generating* the other chord members that sound concurrently.) The phrase proceeds from this IV$^{5-6}$ to its expected successor, V^7, and concludes with an IAC at 4_2.

The b section opens with an F major chord. Granted, the b section's goal (at 8_2) likewise is an F major chord. Yet these four measures do not project a large-scale extension of V-space. The earlier chord, emanating from the cadence in measure 4, resides within an expansion of I-space, a common occurrence in an internal phrase that leads ultimately to V. Just as the third (sixth) from B♭ to D is conveyed in the cello during measures 1 and 2, the B♭

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