CHAPTER 12

The Pre-Dominant Refines the Phrase Model

This chapter focuses on the pre-dominant's special capabilities to enrich phrases and create variety and depth within the phrase model. We will also explore the possibilities of the phrase model emerging through an additive process, creating phrases of eight, twelve, and even fourteen measures.

CHAPTER OUTLINE

THE PHRASE MODEL IS central to tonal music. Composed of goal-oriented harmonic progressions and melodic structures, phrases are complete, organic entities. The ordered harmonic functions of tonic, pre-dominant, dominant, and return to tonic—and their accompanying contrapuntal expansions—underlie the musical phrase and provide it with a simple yet remarkably rich and powerful structure on which composers have relied for over four centuries.

In this chapter we explore important refinements in the phrase model and will learn that each of the five refinements depends on the expanded role played by the pre-dominant function. We will:

1. Revisit pre-dominant triads to discover that composers enrich them by adding sevenths, which create *nondominant seventh chords*.
2. Learn how the pre-dominant can partner with the dominant to expand the tonic. Such *embedded phrase models* add a new level of musical interest, sophistication, and structure to the phrase.
3. See that these same compositional techniques used to expand the tonic can be transferred to structural cadences that close phrases. Such *contrapuntal cadences* permit a subtler means of musical closure.
4. Explore how the pre-dominant function itself can be expanded in precisely the same ways that tonic and dominant can be expanded: by adding less-important passing and neighboring chords.
5. And finally learn that phrases often complete their dramatic trajectories in a series of stages, a sort of additive process, whereby each component functions as a *subphrase*. These subphrases often create phrase lengths that far exceed the common four-measure model.

NONDOMINANT SEVENTH CHORDS: IV⁷ (IV⁶₅) AND ii⁷ (ii⁶₅)

Just as a diatonic seventh can be added to the V triad to create V⁷ in both major and minor keys, so too can a seventh be added to the pre-dominant ii and IV triads. Example 12.1A shows how ii becomes ii⁷ and IV becomes IV⁷ in major. Example 12.1B shows how ii° becomes ii°⁷ and iv becomes iv⁷ in minor. Example 12.1C shows the first measures of one of Chopin's nocturnes, in which he presents the cadential progression ii⁷–V⁷–I. Notice

the tension created by the abrupt and unprepared entrance of the ii^7 chord. Further, the following V^7 chord sounds more like a *resolution* that discharges the tension of the ii^7 than a *dissonance*.

EXAMPLE 12.1   **Nondominant Seventh Chords**

A. ii and ii^7 in major   IV and IV^7 in major   B. ii° and ii°^{7} in minor   iv and iv^7 in minor

G: ii   ii^7(mm)   IV   IV^7(MM)   g: ii°   ii°^{7}(dm)   IV   IV^7(mm)

C. Chopin, Nocturne in B major, op. 62, no. 1

Andante

dolce legato

ii^7 V^7 I
PD ———— D ———————— T

These pre-dominant seventh chords fall into a broad category of **nondominant seventh chords**—the chords in this category do not have a dominant (major–minor) or leading-tone (diminished–diminished) seventh-chord quality. Nondominant seventh chords are widely used throughout the common-practice period; they provide color and contrast and are generally easy to implement.

Supertonic Seventh Chords (ii^7)

In general, pre-dominant seventh chords occur in all forms and inversions; however, ii$^6_5$ is the most common type and inversion of nondominant seventh chords. Example 12.2 illustrates ii$^6_5$ and the root-position ii^7 chord. Note how the seventh of the chord is prepared (marked with a *P*) and resolved (*R*). Also note that the ii$^6_5$ chord is complete but that the ii^7 chord omits the fifth and doubles the root to avoid parallels with the preceding tonic chord.

EXAMPLE 12.2   **Part-Writing Supertonic Seventh Chords**

A.   seventh must be prepared *when possible*   ii^7 often omits
B.   chordal fifth   *to avoid parallels in I → ii^7*

P ↓ 7th   R   P   7th   R

OR   P   7th   R   P   7th   R

I   ii$^6_5$ V   I   I   ii$^6_5$ V$^{8-7}$ I   I   ii^7 V^7 I

Subdominant Seventh Chords (IV^7)

The IV^7 chord, not as common as ii^7, is a colorful sonority that may occur in root position (Example 12.3A). *Pay particular attention to the potential parallel fifths between IV^7 and V.* To avoid this part-writing error, IV^7 is often followed by V^7 (Example 12.3B) or the cadential six-four chord (Example 12.3C). Doubling the root of IV^7 ($\hat{4}$) and omitting the fifth not only helps to avoid parallels, but also prepares the seventh of V. Finally, the IV$^6_5$ chord, shown in Example 12.3D, typically resolves to a V$^6_5$ chord.

EXAMPLE 12.3   **Part-Writing Subdominant Seventh Chords**

A.   5 — 5   B.   C.   D.

G:/(g):   I   IV^7 V   I   I   IV^7 V^7 I   I   IV^7 V$^{6-5}_{4-3}$ I   I   IV$^6_5$ V$^6_5$ I

Analyzing Nondominant Seventh Chords: Ear Versus Eye

Composers often highlight nondominant seventh chords by suspending one of their chordal members. However, such suspensions can sometimes be misinterpreted as chord members, thus rendering a roman numeral label incorrect.

Consider ii$^6_5$, a particular favorite of composers to which suspensions can be applied. In Example 12.4A1 the voices of the tonic move simultaneously to form ii°$^6_5$. Because a form of the tonic usually precedes ii$^6_5$, $\hat{3}$ is the perfect candidate to suspend, since it displaces

Part-Writing Nondominant Seventh Chords

1. You must *prepare* the seventh of the chord. The note that becomes the seventh of the chord must be approached (in the same voice) by the same note (called *common-tone preparation* and the preferred means of preparation) or by the note one step higher. (See Example 12.2A.)
2. You must *resolve* the seventh of the chord. As with the V^7 chord, the seventh of the nondominant seventh chord must step down in the next harmony.
3. Chords in inversion should be complete. Root-position seventh chords can omit the fifth (and double the root) in order to avoid parallels. (See Example 12.2B.)

the chordal root of ii^6_5, $\hat{2}$, to create a 7–6 suspension, as shown in Example 12.4A2. Notice that this suspended pitch ($\hat{3}$) *looks* like it could be a chordal member not of a ii^7 chord, but of a root-position iv^7 harmony. However, it *sounds* like a suspension that resolves correctly to the chord tone D ($\hat{2}$). *As always, we must interpret music as it sounds and as those sounds fit into the context.*

EXAMPLE 12.4   **Contextual Analysis of Nondominant Seventh Chords**

A.

B.   Schumann, "Winterzeit," from *Album for the Young,* op. 68

C.   Schumann (Untitled), from *Album for the Young,* op. 68

Examples 12.4B and C illustrate similar situations in two works by Schumann. Note that the suspensions are part of the motivic fabric of each example; therefore interpreting them in one context as chord tones but in another as nonchord tones is problematic.

EMBEDDING THE PHRASE MODEL   *(e.g. motivic parallelism)*

We have seen how musical events can coexist at various hierarchical levels. The tonal progression of the phrase model is no different. Composers often incorporate a mini "T–PD–D–T" model *within* a larger phrase model. The "mini" model begins and ends on tonic, thereby prolonging the tonic at the beginning of the phrase.

Embedded Phrase Model

"mini" model:	T	PD	D	T			
phrase model:	T				PD	D	T

In order to accomplish this, composers weaken the first PD–D–T progression through the use of inversions so that a listener will not confuse it with the actual cadence of the phrase model. This progression can be seen in Example 12.5, where the tonic expansion includes a mini, noncadential "T–PD–D–T" model.

EXAMPLE 12.5   **Cadential and Noncadential Phrase Models**

Such mini "T–PD–D–T" models, which we call **embedded phrase models** (EPMs), may occur anywhere within the tonic prolongation portion of the phrase. Keep the following in mind when analyzing a phrase with multiple T–PD–D–T progressions: A second-level analysis has just one overall T–PD–D–T progression for a phrase. Other occurrences of

the phrase are not cadential—they are EPMs and expand tonic.
the following four important settings of EPMs:

- Example .6A places the dominant in a weak inversion and evades a cadence.
- Example 12.6B shows an EPM that affords great stability and balance between outer voices. The example has a neighboring motion in both of the outer voices. It also includes a common and important use of the ii$^4_3$ chord, whose seventh ($\hat{1}$) is prepared and resolved in the bass.
- In Example 12.6C, the bass downward leap of a third and stepwise return to $\hat{1}$ contrasts with the upper-voice neighboring motion.
- Example 12.6D shows the progression from 12.6C in minor. Note that $\hat{6}$ and $\hat{7}$ are raised to avoid awkward melodic intervals in the bass.

EXAMPLE 12.6   **Common EPM Paradigms**

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EXERCISE INTERLUDE

ANALYSIS

STREAMING AUDIO   **12.1**
WWW.OUP.COM/US/LAITZ   Provide a two-level harmonic analysis for the following excerpts. Next, circle and label the preparation and resolution of nondominant seventh chords.

SOLVED/APP 5

A.   Bach, "O Welt, ich muss dich lassen"

B.   Corelli, Violin Sonata, op. 2, no. 3, Preludio, *Largo*

SOLVED/APP 5

C.   Mendelssohn, *Lieder ohne Worte* ("Songs Without Words"), no. 20 in E♭ major, op. 53

Allegro non troppo

SOLVED/APP 5

D.   Corrette, Sarabanda in E minor for Flute and Continuo
In m. 1, at the asterisk (*), which chord label is more appropriate for a tonic expansion: ii^7 or vii^{o6}?

Phrase Extension

In Example 12.7A, we see a standard four-measure phrase model closing with a half cadence. Tonic and dominant alternate in mm. 1–2, until i^6 appears at the end of m. 2 and signals the upcoming pre-dominant, which enters in m. 3 and moves to the embellished HC. This example is a recomposition of what Haydn *could* have done. In fact, Haydn extends his phrase to six full measures by evading the HC in m. 4 (Example 12.7B). He does so by sustaining the bass pitch (C), which becomes the dissonant seventh in a V$^4_2$ chord. The chord resolves weakly to i^6, thus extending the tonic for two more measures before cadencing on V.

EXAMPLE 12.7 Embedded Phrase Model

A. Haydn, Piano Sonata in G minor, Hob XVI.44 (recomposed)

B. Haydn, Piano Sonata in G minor, Hob XVI.44 (original)

CONTRAPUNTAL CADENCES

Structural cadences involve root-position dominant and tonic harmonies. However, composers occasionally close phrases using inverted dominant and tonic harmonies, often in order to save the powerful root-position V until a more dramatic and final-sounding cadence is required. Cadences in which either the dominant or the tonic (or both) are inverted are called **contrapuntal cadences**. Contrapuntal cadences often involve the very harmonies used in EPMs (e.g., I–IV⁶–V⁶₅–I) as well as others, including those shown in Example 12.8. Notice that not only V, but also vii°⁶ participate in the contrapuntal motions.

Analysis and Interpretation

Example 12.8C presents the first vocal phrase from Schubert's song "Die Krähe." The first three measures that expand tonic are followed by the very weak vii°⁶–i to close the phrase. Clearly this four-measure excerpt has many of the hallmarks of a phrase: Both melody and accompaniment descend over the course of the excerpt and close on 1̂ (the voice and piano unisons dramatize the text, showing the crow's attachment to the tired protagonist

by doubling—shadowing—the voice and piano at the unison). In the closing phrase, the relatively weak vii°⁶ chord (found more often in tonic expansions) could be heard as substituting for—yet functioning as—the dominant.

It is also possible to view the four-measure excerpt as merely a tonic expansion and therefore not a phrase, since there is no strong root-position harmonic motion from T through D. Even such apparently simple decisions as whether a musical unit is a phrase or not often can become a matter of interpretation.

EXAMPLE 12.8 Common Contrapuntal Cadences
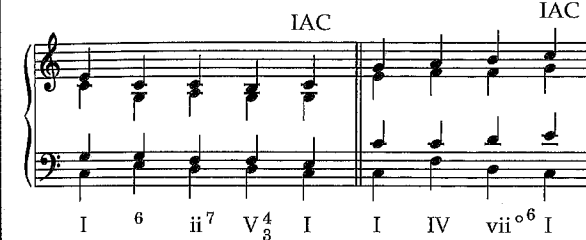
C. Schubert, "Die Krähe," from *Winterreise*

EXPANDING THE PRE-DOMINANT

Just as the tonic and the dominant can be expanded, so can the pre-dominant. An obvious way is to move from ii⁶ to ii, or vice versa, creating a voice exchange, as seen in Example 12.9.

Recall the more subtle and important IV–ii complex technique used to expand the pre-dominant described in Chapter 9. Pre-dominants may also be expanded through passing and neighboring chords, in the same ways we have used them to expand the tonic and the dominant. Consider four additional ways the pre-dominant can be expanded.

EXAMPLE 12.9   **Expanding the PD Through Voice Exchange: Beethoven, Piano Concerto no. 4 in G major, op. 58, *Allegro moderato***

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1: Passing Chord Between ii and ii⁶ (or Between ii⁶ and ii)

I⁶ is an ideal choice for a passing chord between ii and ii⁶. This works in exactly the same manner in which viiº⁶ passes between I and I⁶. Here, the I⁶ chord is subordinate to the prevailing pre-dominant, given its weak-beat placement and role as subordinate chord within a voice exchange. See Example 12.10.

Note: A weak I⁶ can be used to expand the supertonic (ii), but the reverse—ii⁽⁶⁾ used to expand the tonic—is not possible.

EXAMPLE 12.10   **Expanding ii Using I⁶ as Passing Harmony**

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2: Passing Chord Between IV and IV⁶ (or Between IV⁶ and IV)

A passing I⁶₄ chord helps to expand the pre-dominant IV. In Example 12.11 a passing I⁶₄ chord occurs on a weak beat and is in the middle of the voice exchange.

3: Passing Chord Moving from IV⁶ (IV⁶₅) to ii⁶₅

Expanding the pre-dominant by moving from IV⁶ (IV⁶₅) to ii⁶₅ invokes both pre-dominant harmonies through voice exchange. As you may remember, this technique embodies another expansion of the IV–ii complex. The motion from IV⁶₅ to ii⁶₅ typically involves a passing six-four chord and a voice exchange. Notice the smooth voice leading in Example 12.12: three voices move by step, and the fourth holds a common tone.

EXAMPLE 12.11   **Expanding IV using I⁶₄ as Passing Harmony: Bach, "Gerne will ich mich bequemen" ("Gladly Will I Take My Portion"), *St. Matthew Passion*, BWV 244**

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EXAMPLE 12.12   **Expanding PD with 4̂–6̂ Voice Exchange**

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4: Restate Tonic Material Up a Step

One other way to expand the supertonic is to restate, up a step, musical material that was initially stated in the tonic. Consider Example 12.13, where the initial material in mm. 1–2 repeats up a step in mm. 5–6, expanding the supertonic (E-minor harmony) in mm. 5–7.

EXAMPLE 12.13   **Tonic Material Transposed to the Supertonic: Mozart, Piano Sonata in D major, K. 576, *Allegro***
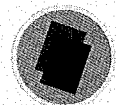
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EXAMPLE 12.13 (continued)

$$V^6_4 \text{—}^5_3 \qquad ii \qquad \left(\begin{matrix} vii^{o6} & ii^6 \\ of & \end{matrix}\right) \qquad V \quad I$$
$$V$$

PD ———————————————— D— T

(The chromatically altered pitch D♯⁵ in m. 6 creates a temporary leading tone that belongs to the E-minor scale.) The expanded ii leads to the cadential dominant in m. 7.

EXERCISE INTERLUDE

ANALYSIS

WORKBOOK 1
12.2

12.2   Analysis of Nondominant Seventh Chords, EPMs, Contrapuntal Cadences, and Pre-Dominant Expansions

Provide a two-level harmonic analysis for the following excerpts. Circle and label the preparation and resolution of any nondominant seventh chords.

SOLVED/APP 5

A.   Bach, "In allen meinen Taten"

B.   Bach, "O Haupt voll Blut und Wunden"

C.   Bach, "Des heil'gen Geistes reiche Gnad"

SOLVED/APP 5

D.   Mozart, Symphony no. 36 in C major, "Linz," K. 425, *Poco adagio*

E.   Mendelssohn, *Lieder ohne Worte* ("Songs Without Words"), no. 48 in C major, op. 102

SUBPHRASES

A complete phrase may comprise two or more smaller units called *subphrases*. A **subphrase** is a relatively independent part of a phrase that is marked by a pause (called a **caesura**) and/or by the repetition and variation of short yet relatively complete melodic gestures. The eight-measure phrase in Example 12.14 divides into three subphrases. The first two subphrases are both two measures long, and each ends with a caesura. The final subphrase is four measures long and ends with a half cadence (thus ending the overall phrase).

Pauses Without Subphrases

The presence of a caesura does not guarantee the presence of a subphrase. For example, in the opening of Example 12.15, the vocal line is clearly divided into two gestures. However, a glance at the harmony reveals a single continuous harmonic motion over the four-measure phrase. The V⁴₃ harmony in m. 8 functions as a bass passing tone between 1̂ in m. 7 and 3̂ in m. 9. This I⁶ then leads to the pre-dominant–dominant in mm. 3 and 4. The contiguous stepwise-fifth ascent in the bass combined with a goal-oriented harmonic progression and cadence in m. 10 results in a phrase that does not contain subphrases.

Subphrases Without Pauses

Conversely, there may be subphrases within a phrase, even if there are no caesuras present. The eight-measure phrase in Example 12.16 moves from the tonic to a half cadence. Despite the nearly continuous movement, the phrase contains three subphrases, the first two are two measures long (delineated by their motivic structure), and the third is four measures long. (Roman numerals reveal the self-contained harmonic motions.)

EXAMPLE 12.14   **Subphrases: Haydn, Symphony no. 100 in G major, "Military," *Allegretto***

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EXAMPLE 12.15   **Continuous Harmonic Motion Overrides Caesura: Schubert, "Des Müllers Blumen" ("The Miller's Flowers"), from *Die schöne Müllerin*, D. 795**

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EXAMPLE 12.16   **Independent Harmonic Motions Override Continuous Melody: Schubert, Symphony no. 4 in C minor, "Tragic," *Andante***

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Composite Phrases

Phrases that comprise three or more subphrases are called **composite phrases**. The phrases in Examples 12.14 and 12.16 are both composite. Composite phrases—like all phrases—contain only one structural harmonic progression and one cadence, but they are often longer than common four-measure phrases, usually eight or more measures in length. They give the aural impression of being composed in an additive stage-by-stage process rather than as a single sweeping motion, which is why you need to be aware that these are single phrases—with one cadence—rather than multiple phrases.

The two common types of composite phrases are distinguished in the way their harmonic motion unfolds.

1. The harmonic progression unfolds gradually, with each subphrase's melody supported by a new harmonic function, as illustrated in Example 12.17. This 14-measure phrase contains three subphrases, and a single goal-oriented I–ii⁶–V–I progression underlies the entire structure.

2. The harmonic progression stays on the initial tonic through most of the subphrases, changing to PD, D, and T only at the very end of the phrase, as shown in Example 12.18. Projecting this structure in performance enhances the musical drama considerably:

   • Subphrase 1 ends in parallel tenths, surely a weak conclusion.
   • Subphrase 2, while featuring a ii–V⁷–I ending, still feels more like the beginning of a new phrase that is cut short with a T–PD–D gesture—more a harmonization of the soprano melody 3̂–4̂–3̂ than an actual cadence.
   • It is only with the deceleration of the melody to quarter notes and the trill that the final subphrase brings the entire structure to a close in m. 8 (Example 12.18).

EXAMPLE 12.17   Haydn, String Quartet in B♭ major, op. 64, no. 3,
Hob III.67, Menuetto

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EXAMPLE 12.18   Haydn, Piano Sonata no. 30 in D major, Hob XVI.19,
Moderato

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EXAMPLE 12.19   Haydn Piano Sonata (reduction)

Notice in Example 12.18 how Haydn balances the varying subphrase lengths with an overall graceful symmetry. The last subphrase brings the melody back down from $\hat{5}$ to its resting place, $\hat{3}$. The symmetrical shape, and the harmonic and melodic structure of the passage, are summarized in Example 12.19.

Identification and interpretation of both subphrases and composite phrases is often, if not usually, a subjective enterprise. In fact, the interpretations of Examples 12.14–12.18 are all debatable to some extent, and alternate viewpoints are certainly possible.

EXERCISE INTERLUDE

ANALYSIS

WORKBOOK 1
Assignments
12.4–12.5

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12.3 Subphrases
Bracket subphrases and provide a first- and second-level analysis (that includes T, PD, and D).

A. Schubert, Symphony no. 9 in C major, Scherzo

B. Haydn, Piano Sonata no. 29 in E♭ major, Hob XVI.45, *Moderato*

SOLVED/APP 5

C. Haydn, Symphony no. 92 in G major, "Oxford," Hob I.92, *Adagio*

(V⁷ of IV)

(V⁷/V)

TERMS AND CONCEPTS

- caesura
- composite phrase
- contrapuntal cadence
- embedded phrase model
- expansion of the pre-dominant
- nondominant seventh chord
- passing tonic
- subphrase

CHAPTER REVIEW

1. **Pre-dominant** (or nondominant) sevenths by definition never include which two qualities of seventh chords?

_____

2. Summarize the guidelines for "Part-Writing Nondominant Seventh Chords."

_____

3. **Embedded phrase models** (EPM) usually prolong which functional category of a phrase?

_____

4. In a **contrapuntal cadence**, either the tonic or the dominant (or both) are in:

   a. root position   b. inversion

_____

5. **Subphrases** are often marked by pauses, also known as _____.

_____

6. Define **composite phrase**.

_____

SUMMARY OF PART 3

We explored several new topics in Part 3. First, the pre-dominant function is the third and final harmonic function in tonal music. This intermediate function, which occurs between the tonic and dominant functions, includes either or both the supertonic and subdominant harmonies. Predominants provide contrast between the tonic and the dominant while at the same time become springboards to and aural signals for the upcoming dominant function. The three functions provide a goal-directed motion through the phrase, which we call the phrase model.

We also learned that metrically accented and chromatic dissonances provide the phrase with intensity and dramatic forward motion. Further, our discussion of the various six-four chords confirmed the importance of considering harmonies within a musical context, rather than just stacking thirds and adding roman numerals.

Finally, we ended Part 3 by returning to where we began: We revisited the pre-dominant function, elaborating it by adding sevenths and, as we've done with both tonic and dominant, expanding it with embellishing harmonies. The phrase model reigned supreme, and we saw how the internal components of phrases can be elaborated and how phrases themselves can be extended.

PART 4

NEW CHORDS AND NEW FORMS

We continue to explore the phrase model in the five chapters of Part 4. First, we complete our study of diatonic harmonies, including the submediant and mediant. We will learn how composers create larger formal structures by combining phrases. We refine our understanding of how music is hierarchical and present new techniques that reveal how harmony and counterpoint are interdependent. We also incorporate more fully the psychological phenomena of expectation and fulfillment. Analysis continues to be an essential activity in learning how subphrases and phrases can be strung together, but other skills also will be necessary. As you are given more creative responsibility, composition and instrumental application exercises will play a more pronounced role. You will learn how to write structures that balance repetition with contrast and stability with motion. The writing exercises depend on a rich and varied background of listening to and making music, since these activities provide a repository of common stylistic traits that can help guide your compositional choices.

The Submediant: A New Diatonic Harmony, and Further Extensions of the Phrase Model

OVERVIEW

This chapter explores the submediant harmony, one of the most versatile and expressive harmonies in tonal music. The submediant chord provides new compositional possibilities and color contrasts. This chapter also demonstrates the importance of listening to, and not merely looking at, a score; in doing so, alternate—and more musical—interpretations arise, and with them, performance interpretations. Finally, the step descent in the bass is introduced, arguably the oldest, most-esteemed, and still current melodic pattern in tonal music.

(continued)

THE NEXT TWO CHAPTERS introduce the last of the diatonic harmonies: the submediant and the mediant. These chords always provide dramatic color contrast to the prevailing key and play important roles supporting the tonic, pre-dominant, and dominant pillars of the phrase model.

THE SUBMEDIANT (vi IN MAJOR, VI IN MINOR)

In a major key, the submediant harmony is a minor triad (vi). Because IV, V, and I are all major triads in a major key, the introduction of a minor sonority can provide a welcome relief from the prevailing harmonic color. In a minor key, the submediant harmony is a major triad (VI), so again it offers contrast to the minor and diminished harmonies i, iv, and ii°. The harmonic contexts in which the submediant typically occurs are inextricably tied to the three basic **root motions** of tonal music:

- the **descending fifth**, seen in the authentic cadence, V–I
- the **ascending second**, seen in the progression IV–V
- the **descending third**, to which we now turn

The Submediant as Bridge in the Descending-Thirds Progression

Our discussion of the submediant's first function arises out of the root motion by descending thirds (Example 13.1).

    Listen to Example 13.2, which demonstrates a progression that characterizes much of the rock and roll music of the 1950s and early 1960s. Take a moment to enjoy the voice leading of that style, which provides a heavy dose of parallel perfect intervals. Example 13.2B illustrates the same progression but places it in the minor mode and uses common-practice voice leading to connect the chords. In these examples, the submediant is both attained and departed from by means of a descending third: I–vi and vi–IV. Taken together,

EXAMPLE 13.1   Root Motion by Descending Thirds

Bass:	$\hat{1}$		$\hat{6}$		$\hat{4}$	
Harmonies:	I	–	vi	–	IV	–

the three roots $\hat{1}$–$\hat{6}$–$\hat{4}$ arpeggiate a triad of sorts. This progression is therefore often called a descending **harmonic arpeggiation**. The submediant in descending harmonic arpeggiations provides a way station, or bridge, connecting the tonic to the pre-dominant.

EXAMPLE 13.2   Harmonic Arpeggiations of vi

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The Submediant in the Descending-Circle-of-Fifths Progression

Another function of the submediant arises from its participation in descending-fifths progressions. It fits nicely into such a progression, extending the circle-of-fifths progression as seen in Example 13.3.

Contextual Analysis

Listen to Example 13.4. The vi chord appears twice, first as part of an embedded phrase model (EPM) that prolongs the tonic and then as part of the phrase's structural cadence. Both times it is part of a descending-fifths progression.

Analytical Note:

The submediant often acts in two seemingly contradictory ways within a phrase:

1. As an extension of the tonic, given its two common tones with the I chord that can be seen as arising from a contrapuntal 5–6 motion.
2. As a pre-pre-dominant chord, because it prepares the PD chord.

Although vi exhibits both qualities, we tend to analyze vi under "T" at the second level. However, the arrowhead is added to show the bridging function of vi.

EXAMPLE 13.3   **vi as Part of Descending-Fifths Motion**

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F: vi → ii → V → I
      D5   D5   D5

EXAMPLE 13.4   **vi Within EPM and as Part of Structural Cadence: Beethoven, Violin Sonata no. 5 in F major ("Spring"), op. 24,** *Allegro*
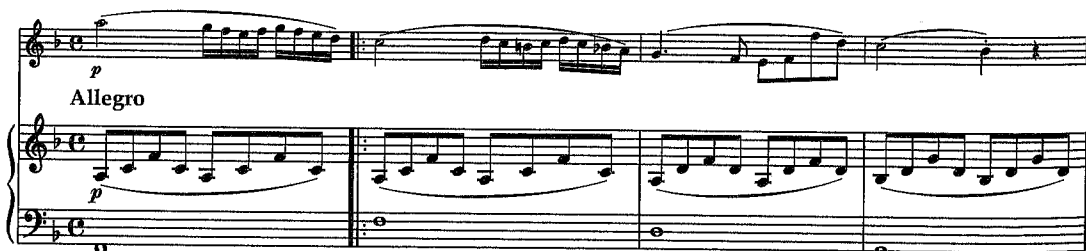
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F: I   vi   ii ———
      T ————————————————→ PD
      T ———————————————— (EPM)

EXAMPLE 13.4   **(continued)**

              V^7 ——————————— $^4_2$ I^6 vi   ii   V^7 I
              D ——————————————— T
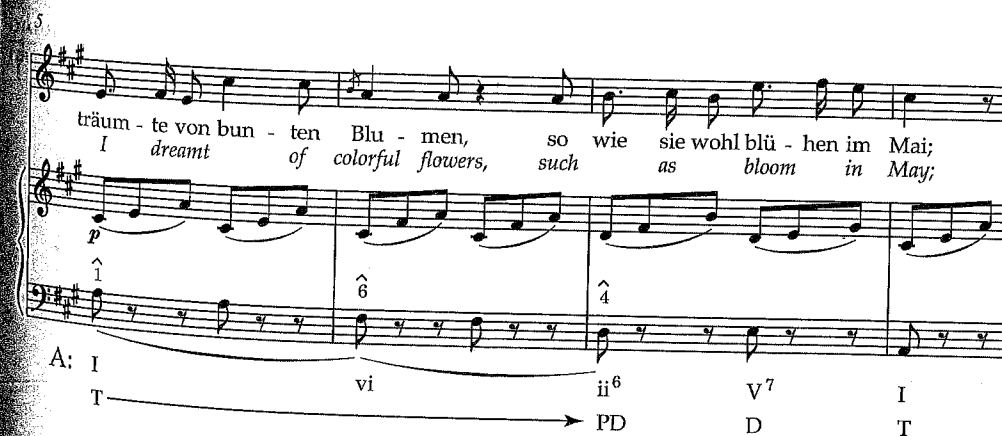   → PD   D   T

In Example 13.5 the vi–ii^6 progression blends the strong descending-fifths motion with a new means of obtaining a **melodic bass arpeggiation**: $\hat{1}$–$\hat{6}$–$\hat{4}$.

In Chapter 9 we praised the qualities of ii^6–V motion, in which a convincing descending-fifths root motion combines with smooth $\hat{4}$–$\hat{5}$ bass motion. We see the same ii^6–V motion in the major-mode progression I–vi–ii^6–V–I, as shown in Example 13.5.

The Submediant as Tonic Substitute in Ascending-Seconds Progressions

So far we have seen vi appear as a bridging harmony within a descending-thirds progression and as a harmony that initiates a descending-fifths progression. A third functional

EXAMPLE 13.5   **I–vi–ii^6 as Melodic Arpeggiation: Schubert, "Frühlingstraum" ("A Dream of Springtime"),** *Winterreise,* **D. 911, no. 11**

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träum - te von bun - ten Blu - men,   so wie   sie wohl blü - hen im Mai;
dreamt   of colorful flowers,   such   as   bloom   in May;

A: I   vi   ii^6 V^7 I
      T ——————————————————→ PD   D   T

"thwarts"

possibility is for vi to substitute for the tonic chord in the cadential progression V–I; the resulting progression is a root motion by ascending second (V–vi).

This is shown in Example 13.6, where V moves to vi and the bass moves from $\hat{5}$ to $\hat{6}$. Haydn thwarts the arrival of the tonic by moving to vi. This suspenseful drama is intensified by the fermata as well as by the florid ascent in the first violin to a very high register. In general, the progression V–vi is called a **deceptive motion** (also called *evaded cadence*), since the listener expects one outcome (V–I) but hears another (V–vi).

EXAMPLE 13.6   Haydn, String Quartet in D minor, "Quinten," op. 76, no. 2, Hob III.76, *Andante o più tosto allegretto*

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D: I   IV^6 I^6 IV   V$^6_4$———$^5_3$ vi
         (ARP)

T —————————————— PD —— D ———————— "T"

EXAMPLE 13.7   Mozart, Clarinet Quintet in A major, K. 581, I

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A: I   I^6 V^7 vi   ii^6 I^6 ii   ii^6 V^7 vi   IV   I^6 ii^7 V^7 I
                Dec.   (P)   Dec.   (P)

T ——————————→ PD —— D   "T" PD —————————— D —— T
T ———————————————————————— PD ———————————— D —— T
           (EPM)

Deceptive Motion as Part of a Larger Progression

At the end of Example 13.6, we are suspended on vi and craving the tonic. In general, after a deceptive motion, the incomplete phrase model continues on to the pre-dominant, which is followed by an authentic cadence. Listen to Example 13.7. The dramatic deceptive motion in m. 4 is followed by pre-dominant harmonies, which leads to an imperfect authentic cadence in m. 7.

The Submediant as the Pre-Dominant

Occasionally, vi immediately precedes the dominant and, therefore, functions as the pre-dominant chord. Listen to Example 13.8; this famous opening features vi as a pre-dominant. As such, it allows for the motive of a descending second ($\hat{6}$–$\hat{5}$) to occur in the bass. Given the strong outer-voice counterpoint—10–5–10—that undergirds the progression, composers often use this very progression in their works. See Example 13.8B for Chopin's setting from 70 years earlier, and in the same key as Mahler's movement.

EXAMPLE 13.8   vi as Pre-Dominant

A.   Mahler, Symphony no. 2 in C minor ("Resurrection"), "Urlicht"

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         $\hat{1}$ $\hat{2}$ $\hat{3}$

D♭:   vi   V   I
         PD   D   T

B.   Chopin, Scherzo no. 3 in C♯ minor, op. 39

D♭:   I   vi   V   I
      T   PD   D   T

VOICE LEADING FOR THE SUBMEDIANT

Incorporating the submediant into your compositions is simple, and its color will greatly expand your harmonic palette, which until now involved only the tonic, dominant, and pre-dominant harmonies.

The Descending-Thirds Progression, I–vi–IV

The chords I and vi share two common tones ($\hat{1}$ and $\hat{3}$), and the chords vi and IV share two common tones ($\hat{6}$ and $\hat{1}$). When writing the descending-thirds progression, I–vi–IV, keep all the common tones; any voice that moves, *except the bass*, should move up by step (Example 13.9).

EXAMPLE 13.9 **Part Writing vi as Descending-Thirds Progressions**

The Descending-Fifths Progression, I–vi–ii (or I–vi–ii^6)

The chords I and vi share two common tones ($\hat{1}$ and $\hat{3}$), so keep all the common tones in the progression I–vi. Since vi and ii share only one common tone ($\hat{6}$), you have more freedom in the voice leading.

The Ascending-Seconds Progression, V–vi

To enhance the deceptive effect of the progression V–vi, use $\hat{2}$–$\hat{1}$ or $\hat{7}$–$\hat{1}$ in the soprano. The voice leading varies slightly for major and minor keys because in the major mode (as part of V) may *either* descend to $\hat{6}$ or ascend to $\hat{1}$. In minor, however, $\hat{7}$ may *only* ascend, since falling to $\hat{6}$ would create an augmented second.

- In *major keys*, if the soprano falls $\hat{2}$–$\hat{1}$ the remaining upper voices may all descend (as $\hat{7}$ falls to $\hat{6}$; see Example 13.10A) or $\hat{7}$ may rise to $\hat{1}$, in which case there will be a doubled third in the vi chord. See Example 13.10B.
- In *minor keys*, all upper voices move downward, except for the leading tone, which must resolve upward to $\hat{1}$ (to avoid the augmented second between raised $\hat{7}$ and lowered $\hat{6}$). This will always result in a doubled third ($\hat{1}$) in the VI chord. See Example 13.10C.

As with the progression V–vi, the voice leading for the progression vi–V varies slightly for major and minor keys.

- In major keys, all upper voices move upward against the descending bass. If the third is doubled, then the inner voice will follow the bass in tenths. See Example 13.11A.
- In minor keys, the VI chord must have a doubled third ($\hat{1}$) to avoid the augmented second. See Example 13.11B.

EXAMPLE 13.10 **Part Writing vi in Ascending-Seconds Progressions**

EXAMPLE 13.11 **Part Writing vi as a Pre-Dominant**

CONTEXTUAL ANALYSIS

vi Overshadows V

Although I and V are structural tonal pillars—usually more important than any other harmonies in a key—this is not always the case, because the importance of a harmony depends wholly on the musical context in which it appears. For example, in the progression I–V–vi, the vi chord often overshadows the dominant, which is demoted to being connective tissue between I and vi (Example 13.12).

Notice the deceptive motion in mm. 9–10 of Example 13.12. Because V is metrically weak (compared to the strong-beat tonic and submediant), it functions as a weak voice-leading chord (in this context it harmonizes the violin's G). Thus, the overall progression is I–vi–ii$^6_5$–V, with vi initiating a descending-fifths harmonic progression.

Example 13.12, also shows why we refer to such progressions as *deceptive motions* rather than as *deceptive cadences*: Clearly there cannot be a cadence after only three chords of a

EXAMPLE 13.12   **Mozart, Violin Sonata in F major, K. 377, Minuet**

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EXAMPLE 13.13   **Mozart, String Quartet in B♭ major, K. 159, *Andante***

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piece (m. 9 is a repetition of the opening), and, most importantly, vi is not an independent entity but, rather, a member of the continuing progression. It leads to the pre-dominant and dominant functions. The caesura on vi merely highlights the chord, but it does not weaken its important role in the overall progression.

vi Overshadows I

Not only can vi be more important than V, but it can even outrank the tonic. Listen to Example 13.13. Even though I^6 appears prominently at the end of m. 2, one can hear it as not being structural. To see why this is, consider the V^6 that occurs on beat 3 of m. 1. It acts as a passing chord between I and vi. Similarly, the I^6 on beat 3 of m. 2 is a voice-leading chord linking vi to the pre-dominant, ii^6_5 in m. 3.

Recognizing the harmonic motion I–vi–ii^6_5 can influence the performance of this passage. Rather than dividing mm. 1–4 into two-measure units, a performer can use the vi to fuse mm. 1–4 into a continuous idea.

One can also hear the I^6 outranking the submediant in m. 2. In this interpretation, the first two measures expand the tonic. A performance that considers the weak-beat I^6 as more important than the vi might result in a more flexible and lilting rendering of the phrase, especially if the downbeat is not emphasized by the performer.

Apparent Submediants

When the submediant occurs as a by-product of voice leading it does not function as an actual harmony. Voice-leading harmonies occur in several contexts, the most important of which is in progressions whose roots lie a second away from one another, such as the progression IV–V. The important 5–6 motion—in which the interval of a fifth above the bass moves to a sixth—allows IV to move to V, since the potential parallel fifths are broken up by the intervening sixth. The result of this 5–6 motion creates the ii^6 chord (Example

13.14A). This process, the "IV–ii complex," can occur in any progression where roots progress by an ascending second.

In Example 13.14B, an analogous situation occurs when I moves to ii. Again, the 5–6 motion helps to avoid parallel fifths: F moves to G, which is already sounding as the bass rises to create the ii chord. Note that this 5–6 motion creates an apparent vi^6 chord; however, there is no "chord change." Rather the vi^6 is a by-product of the voice leading. Example 13.14C presents an example of the apparent vi^6 in an aria from Wagner's *The Flying Dutchman*.

EXAMPLE 13.14   **5–6 Motion Versus "vi^6"**

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EXAMPLE 13.14   (continued)

C.   Wagner, "Mögst du mein Kind," from *The Flying Dutchman,* act 2

EXAMPLE 13.15   Schütz, "Nacket bin ich von Mutterleibe kommen" ("Naked I have come from my mother's womb"), *Musicalischen Exequien,* op. 7, SWV 279

gravitational pull downward to V is created by the descending melodic minor scale: This feel and the expressive half step ♭$\hat6$–$\hat5$ (D–C♯ in Example 13.15) show why such descents occur more often in the minor mode than in the major. Note that in minor, v^6 is used to precede minor iv^6 to give the bass line $\hat8$–$\hat7$–$\hat6$–$\hat5$; the use of ↓$\hat7$ avoids the augmented second between ↑$\hat7$ and ↓$\hat6$. First-inversion minor v and root-position v do not function as dominants; rather, they are used as passing chords or voice-leading chords.

Two Types of Step-Descent Basses

Step-descent basses that fall directly from tonic to dominant ($\hat1$–$\hat7$–$\hat6$–$\hat5$) are called **direct step-descent basses**. When direct step-descent basses are cast in the minor mode they are known as **lament basses**. Lament basses often accompany melancholy texts, which are not historically confined to the seventeenth century. Songs such as "Hit the Road, Jack," and "Erie Canal" are built on the same formula (Example 13.16A).

A quite different approach is taken by Gabriel Fauré in his eloquent Pavane (Example 13.16B). Each step of the lament bass (F♯–E–D–C♯) is interposed with a falling-third motion that not only creates beautiful, fleeting seventh chords (shown in Example 13.16C), but this wafting bass motion also provides voice leading that helps to avert the parallels that would have occured had Fauré used only the root-position chords on the downbeats.

Step-descent basses are often repeated throughout a piece, providing the composition with a firm harmonic foundation. Such repetitions are called *ostinatos*, and the pieces based on them are often called **ground basses** or **chaconnes**.

THE STEP DESCENT IN THE BASS

The most prevalent harmonic motion in phrases is from the tonic to the dominant. In Chapter 9 we saw a way to embellish I–V motion by means of stepwise *ascent* in the bass (Example 9.8). It is also possible to move from the tonic to the dominant by *descending* steps in the bass.

Composers have been creating phrases built on bass descents from $\hat1$ to $\hat5$ since the early seventeenth century. For example, the descending four-note scale segment $\hat1$–$\hat7$–$\hat6$–$\hat5$ appears regularly in Monteverdi's operas and madrigals. Composers use numerous paths of descent, ranging from diatonic ($\hat1$–$\hat7$–$\hat6$–$\hat5$) to descents that are chromatic (with multiple expressive chromatic passing tones), to descents that even overshoot $\hat5$ and then return to the dominant. Some well-known examples include "Dido's Lament" from Purcell's *Dido and Aeneas* and the "Crucifixus" from Bach's *Mass in B minor.*

Listen first to the diatonic descent in Example 13.15. Schütz's composition illustrates a characteristic stepwise descent: i→passing v^6→iv^6→V^7. Note that an especially strong

EXAMPLE 13.16   The Step-Descent Bass in Context

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A. Traditional, "Erie Canal"

B. Fauré, Pavane, op. 50

C. Pavane (reduction)

Writing Step-Descent Basses

The most common harmonic settings of these step-descent basses use the PD iv⁶, which moves to V (Example 13.17A). Because of the lurking parallels, a root-position VI usually does not lead directly to V (Example 13.17E). Rather, it is first converted into a iv⁶ chord via a contrapuntal 5–6 motion in order to avoid parallels (Example 13.17B). Also, composers may opt to move $\hat{1}$–$\hat{7}$ in the bass while sustaining the tonic harmony; this creates a passing tone in the bass and the passing sonority i$^4_2$ (Example 13.17C).

Finally, two less common variants of the step-descent bass are presented. In Example 13.17D, note how ii°$^4_3$ substitutes for iv⁶; in Example 13.17E, note how the major mode may be used for the step-descent bass. There is less danger of awkward voice-leading

EXAMPLE 13.17   Voice Leading the Direct Step-Descent Bass

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intervals for the bass in the major mode than in the minor mode. Therefore, the major V⁶ can move directly to vi or IV⁶ (but be aware of potential parallels).

The second type of step-descent basses is characterized by passing through the dominant to reach a pre-dominant on $\hat{4}$, which is harmonized by iv or ii⁶. Such **indirect step-descent basses** ($\hat{1}$–$\hat{7}$–$\hat{6}$–$\hat{5}$–$\hat{4}$ and then back to $\hat{5}$) create a descent by fifth. Composers often harmonize the first $\hat{5}$ with a passing $^6_5$ or $^6_4$ chord to avoid any feeling of arrival on the dominant (Example 13.18).

EXAMPLE 13.18   Voice Leading the Indirect Step-Descent Bass

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Descents can assume a number of different guises. Likewise, they can prolong any of the three harmonic functions. See Example 13.19. Bass descent prolongs the tonic and encompasses an entire octave. Notice that the dominant is converted to a V$^4_2$ that passes on to I⁶, which expands the tonic in m. 3. The next passing V$^6_4$ connects I⁶ with I, closing the octave descent and creating a large-scale tonic expansion. Notice also the problematic parallels between vi and V.

EXAMPLE 13.19   Tchaikovsky, "Za oknom v teni mel'kajet"
("At the window, in the shadow"), op. 60, no. 10

C: I   V⁶   vi   V   V⁴₂   I⁶   V⁶₄   I

EXERCISE INTERLUDE

WORKBOOK 1
Assignments
13.3–13.4

ANALYSIS

13.1

The following excerpts include vi in various contexts (as an independent harmony that leads to or functions as the pre-dominant, as a voice-leading chord, and as the lament bass). Analyze each. When you encounter vi, specify the function of vi each time it appears.

SOLVED/APP 5

A. Bach, *Geistliches Lied*, "Beschränkt ihr Weisen"

Voice

Be - schränkt ihr Wei - - sen die - - ser Welt

Continuo

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B. Mozart, Serenade in D major, K. 204

A:

SOLVED/APP 5

C. Mendelssohn, *Elijah*, opening of Part I

EINLEITUNG.
Grave   ELIAS

bass solo: So wahr der Herr, der Gott Is - ra-els le - bet, vor dem ich ste — he:
As God, the Lord of Is - ra - el liv - eth, be - fore __ whom I stand

SOLVED/APP 5

D. Bach, Flute Sonata in B minor, BWV 1030, *Largo*

Flöte

Klavier
(Cembalo)

6 6   6 5
     5   4 ♯

13.2

Each of the given excerpts contains at least one example of the submediant. Specify the function of vi each time it appears:

- Is it a "bridge" in a descending-third motion?
- Does it start a descending-fifth motion?
- Does it substitute for tonic in a deceptive motion?
- Is it the PD chord?

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A. Mozart, Violin Sonata in G major, K. 379, *Adagio*

Piano

G: I   vi   ♭⁷○⁶   V⁶₄   I

dec. 5th

SOLVED/APP 5

B. Wagner, "Der Augen leuchtendes Paar" ("Those eyes so lustrous and clear") (Wotan's Farewell), *Die Walküre*, act 3, scene 3

(He clasps her head in his hands.)

Denn so kehrt der Gott sich dir ab,

C. Beethoven, String Quartet no. 13 in B♭ major, op. 130, *Alla danza tedesca*
Describe the curious rhythmic effect in this excerpt.

Allegro assai

TERMS AND CONCEPTS

- bass motion versus root motion
- deceptive motion, deceptive cadence
- harmonic versus melodic bass arpeggiation
- lament bass, step-descent bass (direct and indirect)
- tonic substitute

CHAPTER REVIEW

1. List the three basic **root motions** of tonal music.

2. What three bass scale degrees comprise a common descending **harmonic arpeggiation**?

3. State the two possible functional categories for the **submediant** and describe the contexts of their use. (Remember, there are only three function categories: T, PD, and D.)

4. The V–vi progression, where the submediant functions as a **tonic substitute**, is called _____, or the evaded cadence.

5. Summarize the rules for "Voice Leading for the Submediant," given under each heading.

1. The Descending-Thirds Progression, I–vi–IV
2. The Descending-Fifths Progression, I–vi–ii (or I–vi–ii⁶)
3. The Ascending-Seconds Progression, V–vi

6. The **5–6 complex** is often placed between which two roman numerals to avoid parallels?

7. When a **direct step-descent bass** is placed in minor, it is called a _____.

8. List two names for pieces that employ a bass **ostinato**.

9. True or False: **Step-descent basses** can prolong any of the three harmonic functions.