

**Three Documents on Analysis:**

**Sonata-Deformation Families**

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**Principles of the Symphony in the Period of its  
Centering Phase, c. 1780-1820**

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**One Approach to Musical Hermeneutics:  
Thoughts on Music Analysis  
(Personal Musings in the Direction of an Analytical Credo)**

by

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Course: MUSIC 8840

Instructor: Hepukoski

Cost: \$5.75

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## **Sonata-Deformation Families**

(The outline below also includes some common patterns and procedures that, strictly considered, are not "deformations." Also: Several outline entries appear in more than one location, under different headings)

### **The Layout of the Multimovement Whole**

(cf. JH summary-outline, "Principles of the Symphony in the Period of its Centering Phase, c. 1780-1820," © 1993)

#### **1. Unusual Movement Order (or Key) in a Four-Movement Sonata**

a) The Scherzo-Adagio Switch

b) The Non-Tonic Scherzo (rather common after 1850: no longer a deformation?)

c) The "Tonic" Slow Movement

1) With Modal Matching of the First Movement's Tonic

2) With Modal Switch (major/minor)

d) Slow Movement as Finale

e) "Directional Tonality" (finale ends in a key different from that of the first movement)

## 2. Unusual Number of Movements

a) Five, with double "characteristic movements"

b) Five: "introduction-space" (first movement or finale) expanded into a complete movement

c) Five: "transition-space" between movements expanded into a complete movement

d) More than five

e) Fewer than five (often involves a telescoping or combination of two or more separate movement-functions into a single movement; see below, "Multimovement Forms in a Single Movement")

**3. Multimovement Forms in a Single Movement**

- a) two individual movements (of the four) fused together
- b) three individual movements fused together
- c) all movements fused, without breaks

**4. Movement Pairs and Commentaries** (one movement of the set is a variant of, comments on, or expands one of its predecessors)

**5. Intermovement Transplantation**

- a) "Cyclical" (simplest; often qua apotheosis)
- b) Revisiting/Recasting of Earlier Material (now woven in a new way into a new structure)
- c) Non Sequitur Inbreakings/Interpolations from Previous Movements (how different from No. 1 above?)

## 6. Standard Multimovement Plots

a) Per aspera ad astra: normally a (tonic) minor-key plot (cf. especially "minor-key/redemption" plot within individual movements, or within multimovement plots)

1) Deformation: Per astra ad aspera

2) Deformation: Per aspera ad aspera (failed redemptive effort)

b) "Nationalist" plot

c) Others?

## **The Single-Movement Deformation as a Whole**

### **1. The Breakthrough Deformation**

### **2. The Introduction-Coda Frame**

### **3. Rotational Form (often: Strophic-Sonata Hybrid)**

a) Strophic basis evident

b) **The Berliozian Deformation**

c) **The Brucknerian Deformation**

1) With some partial rotations

2) Entirely with full rotations

- d) (Middle- and Late-Sibelian) Rotational Form with Teleological Genesis

#### 4. Multimovement Forms in a Single Movement

#### 5. The Off-Tonic Sonata

#### 6. The Episodic Developmental Space

- a) One episode

- b) Two episodes

#### 7. The Brahmsian Deformation

See also: Various deformational features in the five standard zones of the sonata: introduction space / expositional space / developmental space / recapitulatory space / coda space.



## Introduction Types/Functions

(In a sense, all introductions have Function 1; in addition, some introductions can also have Function 2.)

1. Separate, "Framing" Function (see also: \*"Introduction-Coda Frame")

a) Annunciatory / Heraldic / The Positive Summons to Attention ("Hark!")

b) The "Problem" to Solve / The Crisis / The Negative Summons

c) The Setting of the Institutional Tone (the social "event: grave, serious, important, intertextual to past accepted masterworks etc.)

d) Lifting Curtain/Rhetorical Frame

e) "Magic Carpet"/"Sacred Threshold" openings (especially for slow movements)

f) "Gathering Crowd" Topos (thematizing the audience)

g) Narrator / Subject / Hero / Persona / "C'est moi" / Declaration of Identity (subordinates the sonata-to-come; reifies it, or emphasizes its status as a "made thing" or product of aesthetic fabrication)

h) Folk-Soul (related to g)

2. Generative Function (emphasizes the growth/quickening of the introduction "into" the sonata proper)

a) Gradual Awakening

b) Searching (for the Theme / for the tonic [can begin off-tonic] / for the mode)

c) Cauldron of motives, being gradually shaped into a P-theme (often merges with accelerando and crescendo at the end)  
[compare P-themes marked by teleological genesis: how different?]

## Introduction: Interactions with the Subsequent Sonata

1. **The Introduction/Coda Frame** (often, but not always, as separate narrative tracks)

2. **Interrupting Returns of the Slow Introduction (but not as Coda Frame)**

a) At end of Developmental Space

b) At beginning of Developmental Space only (indicates a "binary" conception of the sonata?)

c) At beginning of Developmental Space and Recapitulatory Space

d) Fleeting glimpses throughout

e) Free inbreaking of the introduction, especially in the expositional space (as if "warming up" or "restarting")

f) Near end of piece (Recapitulatory space or coda)

3. **Incorporation/Absorption of a "Separate" Introduction in the "Separate" Sonata** (especially in its later phases, in the developmental or recapitulatory spaces; cf. the Berliozian réunion des thèmes)

4. **Recasting of One or More Introduction Themes as an Expositional TR, S-, or C-Theme(s)** (Introduction explicitly referred to or recaptured in the expositional space, as one of its middle or closing themes; in all cases the main question is: why?; a "programmatic" significance?; etc. [Note: if the P-Theme recalls the introduction, we are probably dealing with a generative introduction, q.v.] )

5. **Return of Features of the Introduction as a Significant, Prolonged Aspect of the Development** (cf., often, the Episodic Development)

## Repeat Schemes, Etc.

1. **Omission of the Expository Repeat** (in a multmovement work--not applicable in an overture, which normatively omits this repeat; considered a deformation in multmovement works up to c. 1845; after Schumann's Symphony No. 3 no longer a deformation?)
2. **Inclusion of the Expository Repeat** (from c. 1860-70 onward; an archaic gesture, genre- or tradition-invoking for a specific purpose)
3. **The Written-Out (or Recomposed) Expository Repeat**
4. **Unusual Repeat Schemes** [usually brief] **in Unexpected Places**

5. **The Brahmsian Deformation** (one commonly encountered variant of the non-repeated exposition: feint at the repeat, then merge at once into "developmental activity" proper)

6. **Reinstating the Development-Recapitulation Repeat** (after 1800)

7. **Recompositional Reference to the (Atavistic) Development-Recapitulation Repeat** (after 1800; usually encapsulated, recomposed in a "coda"-synthesis; cf. the term "developmental coda")

**The Expositional Space (terms: the "tonally stable" zone [P, first part of TR]; the "tonally mobile zone" [last part of TR, all of S and subsequent material ["C"]])**

1. Distinguish: "Expositional" vs. "Teleological Genesis" Themes (as zone-markers within the expositional space)
2. The (Schubertian) Three-Tiered Exposition (TR may be understood as separately thematized and set off as a pseudo-S; cf. the term "double secondary tonalities"; cf. "The Alienated Second Theme-Zone" in the Recapitulatory Space)
3. The "Dutchman-Type" Exposition (maximal contrast between P and S, no or little TR)

4. **The Non-Closed Expository Space** (merging smoothly into the developmental space without a clear articulation-point)

5. **The Tonally Mobile Zone Centered on III (Major-Key Sonatas) or VI (Minor or Major-Key Sonatas)** (up to c. 1830; after that, so common as no longer to be a deformation)

6. **The Tonally Mobile Zone in a Key Other than V, III, or VI.**

7. **Unexpected Switch of Mode (to Minor) in the Tonally Mobile Zone.**







3. **Breakthrough (Durchbruch)** (normally "prefigured" or "announced" in the developmental space, then restated in a "true" breakthrough in the substantially altered recapitulatory space)

4. **Reworking of/Back-Referencing to the Expositional Space** (cf. Strophic-Sonata Hybrids)

a) Whole/partial recycling of expositional themes, in the original order

b) Tonal Retracking ("developmental exposition")

## The Recapitulatory Space

1. **The "Weber Apotheosis"** (sweeping statement of a fortissimo, redemptive S in the tonic, especially in minor-mode sonatas; not a deformation after 1850-60: common practice)
  
2. **The Fully Recomposed (but Symmetrical) Recapitulation**  
(Recapitulation as a significant variation of the exposition: the "thought process" does not stop with the arrival of S)
  
3. **The (Schubertian) "Alienated" Second-Theme Zone** (What seems to be S never appears in the tonic in the recapitulation; related to the Three-Tiered Exposition, q.v.)
  
4. **The Non-Resolving Recapitulation** (a sign of "sonata-process failure"; in a per aspera ad astra narrative plot this normally entails some sort of redemptive coda to redress matters, or at least to bring the narrative to a close)
  - a) **The (Chopinesque) Exposition-Recapitulation Switch**

**b) The Tonally Mobile Zone Entirely in a Non-Tonic Area**

**c) Derailing the Tonally Mobile Zone Midway through: S touches the tonic; "C" undoes it**

- 5. The Unattained Recapitulation** (attempts at creating a recognizable recapitulation or set of recapitulatory gestures are thwarted or blocked; one should expect some sort of supplementary section explaining or responding to this)
  
- 6. The Sonata-Facile Recapitulation** (IV-I, essentially a transposition of the exposition, down a fifth)
  
- 7. Reordered Themes** (including the variant of the Thematically Reversed Recapitulation)

8. **Recapitulatory Eliding of (Small) Expositional Features** (omitting a few phrases, a single theme, etc.)

9. **Recapitulatory Telescoping**s (simultaneous, contrapuntal presentation of ideas that were originally separate in the expositional space: P simultaneously with S; telescoping of individual phrases from various portions of the exposition, etc. Cf. No. 10 below)

10. **Truncation / Omission / Radical Shrinkage of the Recapitulation** (often, but by no means always, in conjunction with multimovement works or multimovement-forms-in-a-single-movement; characteristically, the function of the recapitulation is supplied by the rest of the piece--or at least supplied at a certain point later in the piece)

11. **Substitution of a Coda-Like "Tonic Reprise" for a Bona-Fide Recapitulation** (Variant of No. 10)

**12. Non-Sequitur Interpolations**

**13. The Double Recapitulation** (LVB Op. 132, first movement? Perhaps explainable through categories 4 and/or 5 above?)

## The Coda Space (Some Special Features:)

1. Coda as telos (a synthesis of "all" prior disparate elements?)

2. Coda providing the recapitulatory/resolving function not found in the recapitulatory space proper

a) The Deus ex Machina Coda

b) The Utopian Coda (suggesting a sudden surge forward in "narrative time" within a programmatic work: "the consequences," perhaps in some cases even suggesting a projection into a future beyond the listener's present; cf. the theories of Ernst Bloch)

1) **VERSION 1, following a "failed" sonata** (implying that the processes of the preceding, but apparently unsuccessful sonata [= "life"] will come to fruition/completion/resolution at some future time)



2) **VERSION 2, following a "successful" sonata:** the redemptive future is triggered by the success of the preceding sonata [= "life"] (Note: in this case it is not correct to say that the resolving function was not accomplished in the recapitulation; rather, the implication of this coda-type is that we are being shifted now to a higher plane of resolution, "beyond" the sonata proper.)

c) **The Catastrophic Coda** (as the sealer of fate).

d) **The Denouement Coda** (the "end" of the story)

3. **Coda as Concluding Frame** (see Introduction-Coda Frame)

4. **Coda as "Rewritten" Development-Recapitulation Synthesis** (in its earliest instances possibly referring to the "former" tradition of development-recapitulation block repetitions)

Principles of the Symphony\* in the Period of its  
Centering Phase, c. 1780-1820

(original 1990 title:

"The Eighteenth-Century Symphony as a Genre:  
Considerations of the Four-Movement Plan as a Whole,  
and as a Model of Enlightenment ('Modern') Discourse")

The central issues, in the most general terms, what may we take to be the essential structural and expressive functions, first, of each of the four movements of a symphony (or multimovement sonata), and, second, of the movements considered together as a more or less standardized

5. **The Add-on or Non-Sequitur Coda** (as an emphatic marker of conclusion; perhaps as a final exclamation point, an "Amen!", etc. Cf. No. 3 above: how different? cf. also No. 6 below)

treatments of the subject. As such, the goal is to look for even more fundamental principles of the genre--principles that (because they have largely gone unarticulated) are easily overlooked.

In the discussion below--which claims no more than to be the current state of a set of provisional conclusions (or even hypotheses) being continually tested and revised--I try to articulate some key features of an apparently generalized horizon of expectations associated with the symphony\* during the crucial period of the genre's "centering." This is the state of the genre at the time of the mature Haydn and Mozart and at the

6. **The Piquant or Witty Closing Remark** (though structurally unnecessary; often a feature of Mozart's codas, **remarks "sur l'escalier,"** according to Kerman in his essay, "Notes on Beethoven's Codas," in Beethoven Studies, Vol. III, ed. Tyson, p. 143)

\*Note\*: Although the discussion below was elaborated principally with the symphony in mind, many--indeed most--of its principles will be applicable to other standard instrumental multimovement genres of the period: sonata, quartet, and so on. The differences are essentially ones of social connotation: the genres' differing claims to grandeur and formality (which in the symphony are paramount); "lightness" (intimacy, or "severely conversational" vs. "public or formal" tone, and so on. These differing claims, however, are by no means to be minimized.

7. **Coda as Final Demonstration of Technique**