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Minding a Gap: “Active Transitions” from the Slow Introduction to the Fast Section in Haydn’s Symphonies

YOEL GREENBERG

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The relationship between the whole and its constituent elements is one of the chief preoccupations of musical analysis. As in chemical analysis, a work or set of works is taken on as a whole and broken down into discrete elements. These, in turn, are analyzed in relationship to one another, either to identify connections that bind them into a whole or to evaluate their relationships to one another within the whole. Such elements could be formal sections within one movement, movements within a work, works within a set, or even works within a composer’s entire oeuvre. Such dismantling and reassembling enables us to build bridges over the formal gaps by uncovering connections and constructing analytical narratives that unfold over separate units, thus establishing formal proximity between temporally detached sections.

This process of repeatedly zooming in and out of the work as a whole and of each or any of its parts typically finds analysts situated in one of two positions vis-à-vis the musical terrain. They are either examining it from a

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bird's-eye view, or traversing the hills and vales of a single part, frequently peering over its boundaries to adjacent parts. The boundary itself, the moment between two formal sections, whether this is the separation between two movements, a double bar in the middle of one, or a fermata, is implicitly ascribed the status of a formal divider, a gap between discrete sections, which we must transcend through analytical insights, providing connections between the two sides of the divide. Within a single movement, such gaps are frequently identified in the background even when the musical flow remains uninterrupted, as with first- and second-time repeat signs or concepts such as "caesura fill."¹

Indeed, there are many cases where a gap is nothing more than a gap, a moment of silence "in between." In some cases, however, the moment of separation seems to have a more active role. Rather than being constrained to the status of a passive mark of separation, a double bar or formal juncture can function as a prism that actively transforms the music in a particular way. In Haydn's oeuvre the most explicit case is the wonderful Menuetto al Rovescio from Symphony No. 47 (an arrangement of this movement also appears in the Sonata for keyboard in A major, Hob. 16/26). In this menuetto, in a tribute to contrapuntal riddles, the double bar functions as a mirror, transforming the music before it into something new that is yet still related to what has occurred before. The double bar here is not simply the passive moment in between but instead a point of symmetry that actively generates the new from the old, encapsulating the musical logic of the entire section.

This article argues that "active" formal boundaries also exist in less explicit places, and that these have not received systematic attention in analytical literature. An active boundary is best defined as a moment that, like the al Rovescio double bar, generates new musical material by transforming immediately preceding material and creating an *active transition* between the sections. Such an active boundary serves as a means of achieving continuity of the compositional logic without sacrificing formal clarity. Here I will focus on three techniques of transformation, which I have named *reflection*, *refraction*, and *transparency*, likening the formal juncture to a prism through which the melodic material passes and is transformed symmetrically in one of these three manners. *Reflection*—like the al Rovescio example, albeit less strictly so—involves the mirroring of previous material: music after the juncture thus inverts what has gone before it, either entirely faithfully or at other times more loosely, inverting just the sequence of pitches or the general contour. *Refraction* maintains the melodic identity of the material directly preceding

¹ James Hepokoski and Warren Darcy, "The Medial Caesura and Its Role in the Eighteenth-Century Sonata Exposition," *Music Theory Spectrum* 19, no. 2 (Autumn 1997): 115–54, esp. 127–33.

the juncture but “refracts” it sequentially, repeating it at different pitch. *Transparency* allows material through the formal juncture without melodic transformation, although other transformations such as acceleration, rescoring, and metric displacement usually take place. Transparency can happen in two manners: the pitches and/or rhythm immediately preceding the juncture can simply be repeated, but in a new context, or the melodic logic governing the musical sequence before the juncture can remain intact after it, implying a continuity at odds with the separation indicated by the formal boundary.

At their simplest, many active transitions are adequately explained by traditional theory, and viewing them as active transitions has little if any analytical value. For instance, a composer’s beginning the second half of a sonata form with a transposition of the motive from the closing measures of the first half (see, for example, the first movements of Haydn’s op. 33, no. 2, Mozart’s K. 311 or Symphony No. 39, and Beethoven’s op. 10, no. 2) could be called refraction, but to do so would not provide much more insight than to state that it is a C-based opening of the development.² The active transition approach is of value only if it provides analytical insight that would have been unavailable using traditional concepts. Furthermore, since active transitions are usually not based on accurate and overt imitation but rather on notions of similarity, one must ensure that the similarity is indeed convincing. Both of these requirements are influenced by three parameters that I have named *depth*, *contextuality*, and *consistency*. *Depth* refers to the amount of material involved in the transformation. This includes material from before or after the juncture. Usually (since we will be frequently looking at transformations based on symmetry) the material involved in the transition before and after the juncture will contain similar amounts of information, but, given the possibility of tempo change, this does not necessarily indicate temporal symmetry. Depth could range from as little as three notes to entire musical sections (as in the Menuetto al Rovescio). *Contextuality* refers to the degree to which the transformation is integrated into a broader context within a movement or work. Integration may be attained when the transformed material is of sufficient importance later in the movement. In this case the role of the transformation is to highlight this material early on. If, for example, a neighbor-note motive is highlighted by its refraction through the juncture and then turns out to be central to the movement, the transition could be said to be contextual. But, more interesting, contextuality could refer to the very act of transformation and its consequences. If a brief motive is accelerated from one section into another, this may be dismissed

² A C-based opening of the development is defined by Hepokoski and Darcy (following Jan LaRue’s notation) as one based on the closing material of the exposition. See James Hepokoski and Warren Darcy, *Elements of Sonata Theory: Norms, Types, and Deformations in the Late Eighteenth-Century Sonata* (Oxford and New York: Oxford University Press, 2006), 215.

as mere chance or as a local device of limited importance. If, however, the act of acceleration were also to be repeated at other formal junctures, it would have to be recognized as a generating force of importance for the entire movement, as well as indicating that its initial occurrence was not fortuitous. *Consistency* refers to the systematic use of active transition techniques by a particular composer, in a particular genre, at a particular formal juncture, or in a particular period. This would not only indicate that active transitions are an intentional aspect of the compositional craft but also invite comparisons between different transitions within a given period, genre, or formal position. Each of the examples analyzed below satisfies at least one, and usually two or more, of the above criteria.

In arguing for a systematic and consistent handling of active boundaries, I will focus on a single type of transition in the works of a single composer: that between the slow introduction and the fast section in Haydn's symphonies. I will show how this juncture frequently "acts on" the closing measures in a manner similar to that of the *al Rovescio* double bar, forging a unique relationship between a slow introduction and the subsequent fast section that is neither thematic in the traditional sense nor formal or syntactic but rather melodically symmetrical. To avoid limiting the discussion exclusively to these moments, I will show that the "action" of the transitional moment on the music is usually important at later formal junctures as well. This will demonstrate the criterion of contextuality and show how active transitions function generally.

There is no shortage of analytical literature on Haydn's slow introductions exploring the connections between the slow introduction and the fast section, yet active transitions have gone largely unnoticed.³ This article is

³ Monographs and essays dedicated to Haydn's slow introductions include Marianne Danckwardt, *Die langsame Einleitung: Ihre Herkunft und ihr Bau bei Haydn und Mozart*, 2 vols. (Tutzing: Hans Schneider, 1977), 1:19–60; Rudolf Klinkhammer, *Die langsame Einleitung in der Instrumentalmusik der Klassik und Romantik: Ein Sonderproblem in der Entwicklung der Sonatenform*, Kölner Beiträge zur Musikforschung 65 (Regensburg: Gustav Bosse, 1971), chapters 1–2; Gail Ellsworth Menk, "The Symphonic Introductions of Joseph Haydn" (PhD diss., University of Iowa, 1950); Eberhard Müller-Arp, *Die langsame Einleitung bei Haydn, Mozart und Beethoven: Tradition und Innovation in der Instrumentalmusik der Wiener Klassik* (Hamburg: K. D. Wagner, 1992); Hans Joachim Therstappen, *Joseph Haydns sinfonisches Vermächtnis*, Kieler Beiträge zur Musikwissenschaft 9 (Wolfenbüttel-Berlin: G. Kallmeyer, 1941), 21–32; and Peter Benary, "Die langsamen Einleitungen in Joseph Haydns Londoner Sinfonien," in *Studien zur Instrumentalmusik: Lothar Hoffman-Erbrecht zum 60. Geburtstag*, ed. Anke Bingman, Klaus Hortschansky, and Winfried Kirsch, Frankfurter Beiträge zur Musikwissenschaft 20 (Tutzing: Hans Schneider, 1988), 239–51. The relationship between the slow introduction and the rest of the movement has also been discussed in Rudolf von Tobel, *Die Formenwelt der klassischen Instrumentalmusik* (Bern: P. Haupt, 1935), 131–40; Karl Marx, "Über die zyklische Sonatenform," *Neue Zeitschrift für Musik* 4 (1964): 142–46; idem, "Über thematische Beziehungen in Haydns Londoner Sinfonien," *Haydn-Studien* 4, no. 1 (1976): 1–20; A. Peter Brown, *Symphonic Repertoire*, vol. 2, *The First Golden Age of the Viennese Symphony: Haydn, Mozart, Beethoven, and Schubert* (Bloomington: Indiana University Press, 2002); H. C. Robbins Landon, *The Symphonies of Joseph Haydn* (London: Universal Edition, 1955); and Ethan Haimo, *Haydn's Symphonic Forms: Essays in Compositional Logic* (Oxford: Clarendon Press; New York: Oxford University Press, 1995).

intended therefore as a caution to “mind the gap” between formal sections, view the musical terrain from the vantage point of the formal seams rather than from that of the formal units around them, and heighten awareness of the moment of division as an active point rather than a passive formal gap.

A. Peter Brown has described the classical slow introduction as something between the baroque ideal of “a separate movement within the cyclic structure of the suite” and the nineteenth-century “unifying thematic kernel for the entire cycle.”⁴ Beethoven’s practice reflects this intermediate status neatly through his treatment of the transitional moment out of the introduction: his earliest introductions (e.g., in the Quintet, op. 16, for piano and winds) show a clear divide between the slow section and the main body of the movement, whereas slightly later, in the first two symphonies, the fast section is run on directly from the introduction. In the later symphonies with introductions, Nos. 4 and 7, Beethoven forges a gradual move from the slow introduction to the fast section, so that it becomes impossible to determine where the former ends and the latter commences. With Haydn this is never the case. Apart from Symphonies Nos. 86 and 97, the ends of Haydn’s introductions are always carefully articulated, with some kind of pause separating the two formal units.⁵

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Studies of slow introductions regard this post-introductory pause as a moment of separation that either enables an independent, stand-alone analysis of the introduction or requires analytical insights enabling the view of the introduction-allegro structure as a unified whole. The introduction to Symphony No. 90 can serve to illustrate this point. In her monograph on slow introductions Marianne Danckwardt focuses on the logic through which this introduction unfolds, while ignoring its obvious thematic relationship to the following section (measures 5–8 in the slow introduction correspond to measures 17–20 in the fast section), presumably because the relationship is self-evident.⁶ Her approach regards the double bar as a moment of formal separation, justifying the analysis of the slow introduction as a free-standing section. Yet even writers who relate the two sections seek a relationship that would allow us to transcend the moment of division rather than focus on it. Hence Robbins Landon writes of this symphony that “Haydn must have pondered the problem of uniting the slow introduction more closely to the body of the movement. Here he does so by the simplest, most direct, but also most effective (because easily audible) means: the music of measures 5–8 of

⁴ A. Peter Brown, review of *Die langsame Einleitung: Ihre Herkunft und ihr Bau bei Haydn und Mozart*, by Marianne Danckwardt, *Journal of the American Musicological Society* 33, no. 1 (Spring 1980): 200–204.

⁵ Symphony No. 86 establishes the dominant over four measures, following which the customary pause is filled in by three soft statements of the dominant note, A. Symphony No. 97, a possible precedent for Beethoven’s early examples, is more genuinely run on to the fast section, with the dominant resolving casually into the fast section.

⁶ Danckwardt, *Die langsame Einleitung*, 1:19–60, esp. 45.

the introduction, Adagio, speeded up to Allegro assai, becomes the main theme of the quick section.”⁷ This observation is echoed by many other writers on this symphony, including A. Peter Brown, Ludwig Finscher, Ethan Haimo, and Poundie Burstein.⁸ Further thematic connections between the slow introduction and the fast section are identified by Eberhard Müller-Arp, who goes so far as to demonstrate that until measure 32 all the material in the main theme of the Allegro assai is derived from the slow introduction.⁹ According to Müller-Arp, the inclusion of material common to both sections provides them with greater unity, just as the manipulation of the same themes provides connection between formal units within a single movement.

Setting the thematic relationship aside, some writers attempt to view the slow introduction–fast section construct in Symphony No. 90 as a large-scale antecedent-consequent sequence, no doubt because of the harmonic openness of the end of the introduction and the quick resolution to the tonic on measure 4 of the fast section. This view again capitalizes on the dividing qualities of the closing fermata and double bar, which scholars have viewed as a kind of grand-scale comma. James Webster, writing of slow introductions in general, states that the structural dominant at the end of an introduction

is the goal of the entire introduction, which therefore constitutes a large half-scale cadence, or “antecedent”; it is *separated* from what follows. The allegro is thus not merely a contrast, not merely a local resolution; its first theme (or even the entire first group) is a large-scale consequent to the introduction as a whole.¹⁰

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⁷ H. C. Robbins Landon, *Haydn: Chronicle and Works*, vol. 2, *Haydn at Eszterháza, 1766–1790* (Bloomington: Indiana University Press, 1978), 631–32.

⁸ Commentaries mentioning the thematic relationship between the introduction and fast section in Symphony No. 90 include Brown, *The Symphonic Repertoire*, 2:233; L. Poundie Burstein, “Comedy and Structure in Haydn’s Symphonies,” in *Schenker Studies 2*, ed. Carl Schachter and Hedi Siegel, Cambridge Composer Studies (Cambridge: Cambridge University Press, 1999), 67–81, esp. 78; Ludwig Finscher, *Joseph Haydn und seine Zeit*, Grosse Komponisten und ihre Zeit (Laaber: Laaber Verlag, 2000), 348–49; and Ethan Haimo, “Atonality, Analysis, and the Intentional Fallacy,” *Music Theory Spectrum* 18, no. 2 (Autumn 1996): 167–99, esp. 178. See also Daniel Heartz, *Mozart, Haydn and Early Beethoven 1781–1802* (New York: W. W. Norton, 2009), 370; Raymond Leppard, *Raymond Leppard on Music: An Anthology of Critical and Personal Writings* (White Plains, NY: Pro/Am Music Resources, 1993), 14; Michael Steinberg, *The Symphony: A Listener’s Guide* (New York: Oxford University Press, 1995), 227; Leon Stein, *Structure and Style: The Study and Analysis of Musical Forms*, rev. ed. (Princeton, NJ: Summy-Birchard Music, 1979), 109; Klinkhammer, *Die langsame Einleitung*, 49–50; David L. Brodbeck and John Platoff, “Dissociation and Integration: The First Movement of Beethoven’s Opus 130,” *19th-Century Music* 7, no. 2, Special Issue: French Archives (Autumn 1983): 149–62, esp. 152; and Menk, “The Symphonic Introductions of Joseph Haydn,” 75.

⁹ Müller-Arp, *Die langsame Einleitung*, 64–66.

¹⁰ James Webster, *Haydn’s “Farewell” Symphony and the Idea of Classical Style: Through-Composition and Cyclic Integration in His Instrumental Music* (Cambridge: Cambridge University Press, 1991), 163–64. Italics in the original.

With respect to Symphony No. 90, William Caplin and A. Peter Brown have expressed related ideas.¹¹ The moment of separation is presented as a gap, which may be overcome by means of formal logic or common material but remains a gap all the same.

L. Poundie Burstein takes a Schenkerian approach to Symphony No. 90.¹² He begins by pointing out that “the first phrase of the exposition is so tightly connected to the previous material that it indeed seems to parody the introduction,” thereby echoing previous observations regarding parallel thematic material. He then notes that the opening measures of the fast section “conclude the consequent phrase of the introduction,” thus directing our attention to the syntactic relationship. Finally, Burstein shows how the formal juncture between the introduction and the fast section is merely “a component of a larger progression.” He implies that the gap is no more than a foreground phenomenon embedded in a deeper continuous logic; indeed, he views the contradiction between the gap on one level with continuity on the other as a humorous gesture. In all these approaches, analysis compensates for the transitional gap and builds bridges over it, whether by identifying unity through thematic links, syntactic completeness through hierarchical organization, or structural coherence through Schenkerian logic. In none of these analyses, however, is the moment of transition ascribed an active role in the unfolding of the entire musical narrative.

Before turning to my analysis of the introduction to Symphony No. 90, where I hope to show how appreciating the active role of the moment of separation can deepen our understanding of the movement’s compositional logic, I will discuss the active transition out of the slow introduction in several other Haydn symphonies. My observations will range from some that may appear immediately obvious to others of more substance and subtlety; some will be local in the narrowest sense, whereas others have implications for an entire movement.

Symphony No. 60, II Distratto

The earliest introduction I found of interest is that in Symphony No. 60, *Il Distratto*, composed in 1774. The final four measures of this introduction foreshadow the opening of the Allegro di molto by means of an elegant and seemingly inconsequential little ploy. The first violins, doubled a third below by the second violins, oscillate between D and its upper neighbor E before coming to rest on D in the final measure of the introduction. Usually one would expect entirely new material to open the fast section, but here the oscillation continues past the double bar line, accelerating, as it were, into the

¹¹ Brown, *The Symphonic Repertoire*, 2:233; and William Earl Caplin, *Classical Form: A Theory of Formal Functions for the Instrumental Music of Haydn, Mozart, and Beethoven* (New York: Oxford University Press, 1998), 198–99.

¹² Burstein, “Comedy and Structure in Haydn’s Symphonies,” 78–81.

EXAMPLE 1. Haydn, Symphony No. 60, first movement, mm. 20–28

20 Vn. I, II *p*

Allegro di molto 25 *p* *fz* *p* *fz* *p*

fast section (ex. 1). Acceleration of the fluctuating neighbor-note motion thus generates the three-note upbeat to the main theme of the Allegro.¹³

The result of this is twofold: first, focus on the neighbor-note motion from the start prepares for its pervasive presence in the movement. Indeed, this motion becomes one of the movement's main generating forces, being featured almost obsessively throughout the first theme and in the second. Second, and more remarkable, is the contextuality of the transforming action, acceleration, which reappears at all the main formal junctures in the movement. Each of the three main formal units of the fast section begins with a brisk version of the neighbor-note motive (this is to be expected, as it is the upbeat to the main theme) and ends with a decelerated version that becomes the brunt of a Haydnesque joke: as the neighbor-note motive peters out in the course of a long *perdendosi*, the rhythmic values gradually decelerate (a humorous reference to the confused protagonist of the play for which the music had originally been composed).¹⁴ This deceleration not only represents a reversal of the earlier acceleration from the introduction into the Allegro di molto but also enables a reenactment of that earlier acceleration, as in each section the slowed-down neighbor-note motion is accelerated into the brisk motion opening the next section (or, in the case of

¹³ The neighbor-note gesture is fairly common at the end of introductions and has been dubbed by Elaine Sisman "the slow introduction gesture" (see Elaine R. Sisman, "Haydn's Theater Symphonies," *Journal of the American Musicological Society* 43, no. 2 [Summer 1990]: 292–352, esp. 342–45). This gesture is, however, not quite as frequent as one would expect in Haydn's symphonies, ending only five of Haydn's twenty-three slow introductions (in Symphonies Nos. 6, 60, 85, 102, and 103), as well as, in a thinly disguised manner, the introduction in Symphony No. 57.

¹⁴ The symphony was written as incidental music to the play *Le Distratt* (*The Absent-Minded Gentleman*) by the seventeenth-century playwright Jean François Regnard. A contemporary critic observed that "Haydn and Regnard contend with one another [in] capricious absentmindedness. The play takes on a new and manifold worth. From act to act the music realizes the play's intention more closely, namely that of heightening the actor's absentmindedness." For a thorough discussion of this symphony and its connection to the play, see Robert A. Green, "'Il distratto' of Regnard and Haydn: A Re-examination," *Haydn*

a repeat, the repeated section). Acceleration of the neighbor-note motive is thus reenacted no less than six times in Symphony No. 60, consolidating the device throughout the movement as a consistent method for crossing boundaries.

Symphony No. 103, Drumroll

Superficially similar is the move from the slow introduction to the fast section in Symphony No. 103.¹⁵ A neighbor-note motion, this time the ominous, unison motion from A \flat to G at the end of the introduction, is reinterpreted at a fast speed as the upbeat to the fast section (ex. 2a). Here, too, the emphasis on the neighbor-note motion at the end of the introduction heralds its importance to the entire movement. The motive is echoed in measures 57–58 and 65–67, as well as in the closing measures of the exposition (and those of the whole movement), where the first violin part is an inversion of the end of the introduction (ex. 2b). Yet, unlike Symphony No. 60, in which the end of the introduction and the beginning of the fast section are both comfortably nested in the dominant, here the harmonic clothing of the A \flat -to-G motion changes dramatically, from the context of the dominant of the relative minor to that of the tonic. The harmonic juxtaposition could, perhaps, have been downplayed as an instance of the archaic V/vi \rightarrow I progression, which Haydn also used at some points of articulation in other works, but here any sense of continuity is dispelled by an abrupt and unmediated change of register, with the neighbor-note motion thrown up two octaves into the beginning of the Allegro con spirito. Thus the material on either side of the double bar is identical melodically but significantly different in all other respects: the neighbor-note motive has been transformed beyond recognition (at least beyond immediately audible recognition, though once it has been pointed out, one can hardly miss the similarity) through changes in key, tempo, meter, register, and orchestration.

The transition into the fast section, with its recasting of melodic material, becomes a point of reference in a number of passages throughout the movement, each of which refers to some salient feature from the end of the introduction. One of the most inventive of these is the opening of the development section, where the A \flat -to-G fluctuation reappears in measures 98–100 in a new harmonic context—the dominant of F minor, above

Yearbook 11 (1980): 183–95 and Gretchen A. Wheelock, *Haydn's Ingenious Jesting with Art: Contexts of Musical Wit and Humor* (New York: Schirmer, 1992).

¹⁵ Perhaps more than all others, this symphony has been discussed in terms of the relationship of the slow introduction to the fast section. This is due both to the explicit reappearance of the slow introduction toward the end of the movement and to the thinly disguised version of it that appears repeatedly throughout the movement (e.g., measures 74–75; 118–20, etc.). Except where absolutely necessary, I will steer clear of these much discussed relationships.

EXAMPLE 2a. Haydn, Symphony No. 103, first movement, mm. 35–41

EXAMPLE 2b. Haydn, Symphony No. 103, first movement, mm. 92–95

a motion of D^b to C in the second violins. What then follows is essentially a recomposition of the transition into the fast section transposed down a fifth: melodically and rhythmically the trochaic $3\text{-}4$ motion (over V/vi of E^b) from measures 35–41 is reproduced (over V/vi of A^b) in measures 102–5; the unison texture remains the same; and the harmonic sequence $V/vi \rightarrow I$ is also reproduced (compare exs. 2c and 2d). The prominent change in register at the transition out of the introduction is absent here, but it is perhaps compensated for by the transfer of the $3\text{-}4$ motion from the second violins to the firsts in measure 104. Measures 102–6 are thus a reenactment of the end of the slow introduction, transposed down a fifth but retaining the striking aspects of the scoring and the exact thematic and harmonic sequences.

Immediately following this passage is yet another reenactment of the same measures, this time with the harmonic sequence spelling out the $A^b\text{-}G\text{-}E^b$ bass line from the transition out of the introduction on a grand scale (ex. 2e). Starting off with the main theme in A^b in measure 104, Haydn catapults the theme by a swift succession of ascending fifths into a strongly articulated dominant of C minor, G , in measures 108–11. As in the end of the slow introduction, a fermata is all that separates this from a return to the tonic E^b (the $V/vi \rightarrow I$ sequence again), this time with an obvious reference to the opening not of the fast section but of the slow introduction. The connection to the A^b -to- G motion from the end of the introduction is confirmed when this motion is then sounded explicitly in measure 113 in the first violins.

One of the hallmarks of this movement is the famous reappearance of the slow introduction toward the end of the movement. Measures 189–98 unfold over a pedal point of A^b , culminating in a forcefully stated dominant of E^b minor. The violins then subside gradually to an $E^b\text{-}D$ sigh over a sonority of a diminished seventh of E^b minor (see ex. 2f).

EXAMPLE 2c. Haydn, Symphony No. 103, first movement, mm. 98–106

98

dim.

dim.

dim.

dim.

102

pp

p

p

p

p

302

EXAMPLE 2d. Haydn, Symphony No. 103, first movement, mm. 35–42

Allegro con spirito

35

sf *p* *sf* *p* *sf* *p* *sf* *p* *sf* *p* *pp*

sf *p* *sf* *p* *sf* *p* *sf* *p* *sf* *p* *pp*

sf *p* *sf* *p* *sf* *p* *sf* *p* *sf* *p* *pp*

sf *p* *sf* *p* *sf* *p* *sf* *p* *sf* *p* *pp*

p

p

p

pp

EXAMPLE 2e. (Continued)

EXAMPLE 2f. Haydn, Symphony No. 103, first movement, mm. 200–214

304

As before, this E_b – D motion is taken up and reinterpreted. The drum-roll returns us to E_b , after which the violas and cellos reiterate E_b – D – E_b in a quote of the opening of the movement. The cadence in B_b in measures 207–8 gives the second violins an opportunity to maintain the E_b – D motion. The Adagio insertion ends with the first violins back on the D , followed in the Allegro con spirito by an E_b – D – E_b motion yet again where measures 74ff. from the exposition are recapitulated (in this light, the valedictory statement of the E_b – D motion in the final seven measures of the movement becomes especially significant). Both the entrance to the Adagio and the departure from it are achieved through radical recastings of the neighbor-note motion. These recastings are achieved in different manners, but in both instances they hark back to

the recasting of the neighbor-note motion at the juncture between the slow introduction and the fast section.

The differences between the transitions in Symphonies Nos. 60 and 103 notwithstanding, both share the repetition of a sequence of pitches through the double bar. The double bar is thus transparent with respect to pitch, allowing the music from the closing measures through without melodic transformation. This transparency has the advantage of at once linking the two sections by melodic similarity and highlighting their differences (and hence reinforcing the formal boundary) through the action performed on the closing material: acceleration in Symphony No. 60 (which highlights the differences in tempo), and recasting of harmonic context, register, and orchestration in Symphony No. 103 (which highlights the differences in character).

Symphony No. 73, La Chasse

In my next example, Symphony No. 73 of 1781 (*La Chasse*), the transition is not oblivious to pitch. Rather than allowing the closing pitches to pass through a transparent double bar, the material in the closing measure is refracted, transposed to another pitch, although it maintains a recognizable connection through the retention of marked rhythmic characteristics. This symphony opens with a throbbing texture of eighth notes, out of which a motive of a triple-eighth-note upbeat emerges, first hinted at in the form of a three-eighth-note break in the throbbing texture in measures 4 and 8, and introduced explicitly in measure 12.¹⁶ From here onward the triple-eighth-note upbeat becomes increasingly prominent, until it completely dominates the last four measures of the introduction. There, coming to rest on A, it turns out to be excellently suited to articulate the final dominant of the introduction. But when accelerated, it functions equally well as a springboard for the main theme of the fast section. The rhythmic pattern is reproduced over the double bar, albeit one step higher (ex. 3a). The transitive action here is thus a refraction of the triple-eighth-note upbeat by the interval of a second.

This refraction is repeated throughout the movement at almost every formal juncture. It recurs literally at the end of the first theme group (m. 34, ex. 3b), at the end of the exposition (m. 70, where the repeat brings back the opening of the fast section), and at the recapitulation (m. 106, ex. 3c). In all cases the refraction is coupled with an abrupt change in dynamics, thus compensating for the change of tempo at the end of the introduction, which cannot easily be restaged throughout the

¹⁶ For a more detailed discussion of the unfolding of this introduction, see Danckwardt, *Die langsame Einleitung*, 37–38.

EXAMPLE 3a. Haydn, Symphony No. 73, first movement, mm. 24–27

Musical score for Example 3a, Haydn, Symphony No. 73, first movement, mm. 24–27. The score is in G major and 3/4 time. It shows the first two staves of a piano reduction. The top staff is labeled "Tutti" and "Allegro Vln. I", and the bottom staff is labeled "Strings". Dynamics include *ff* and *p*.

EXAMPLE 3b. Haydn, Symphony No. 73, first movement, mm. 34–35

Musical score for Example 3b, Haydn, Symphony No. 73, first movement, mm. 34–35. The score is in G major and 3/4 time. It shows a single staff for the first violin, labeled "Vln. I" and "Tutti". The dynamic is *f*.

EXAMPLE 3c. Haydn, Symphony No. 73, first movement, mm. 103–7

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Musical score for Example 3c, Haydn, Symphony No. 73, first movement, mm. 103–7. The score is in G major and 3/4 time. It shows the first two staves of a piano reduction. The top staff is labeled "Vln. I" and "Recap.", and the bottom staff is labeled "f". Dynamics include *f* and *ff*.

EXAMPLE 3d. Haydn, Symphony No. 73, first movement, mm. 70–71

Musical score for Example 3d, Haydn, Symphony No. 73, first movement, mm. 70–71. The score is in G major and 3/4 time. It shows a single staff for the first violin, labeled "f" and "p".

movement. A moment of typically Haydnesque wit is the mid-movement double bar, where the direction of the shift is inverted with a descending instead of a rising major second on either side of the end of the exposition double bar (ex. 3d). A sufficiently interesting moment in its own right, this shift is further enriched through comparison with the "original" shift in the "correct" direction.

Besides these fairly explicit references to the transition between the slow introduction and the fast section, the general nature of the transition is also of central importance within the movement. As a result of the upwards shift in

pitch of the triple upbeat from A to B, the rhythmic identity between the end of the Adagio and the beginning of the Allegro serves more to highlight the harmonic discontinuity between the two sections than to compensate for it. The triple upbeat on A at the end of the introduction appears within the local context of the dominant of D minor, and thus the opening of the fast section not only fails to resolve the dominant (the tonic only truly arrives in measure 38) but also clashes with it by introducing a B \sharp , conjuring us directly out of D minor. The result of this tonal juxtaposition is a strong sense of harmonic disorientation, which, as Brown has observed, becomes one “of the generating aspects of the Allegro itself.”¹⁷ Throughout the movement, Haydn explores the idea of achieving these juxtapositions through an upward or downward shift of a tone or a semitone with astounding inventiveness and variety. Strongly present throughout the movement (e.g., mm. 33–34, 47–48, 76–77, 94–95, 121–22, 124–25, 129–30, and 136–40), this idea is at its most inventive and startling in the transitions between the movement’s major formal units: the transition into the development (m. 70), where the motive is for the first time shifted downward rather than upward; the start of the reprise (m. 106), where it is highlighted by *fortissimo* dynamics; and, perhaps the most startling juxtaposition of all, at the entrance to the repetition of the development (m. 149), where it is juxtaposed with the upbeat to measure 71.

It is interesting to note the differences between this transition and that in Symphony No. 96. There, too, the same triple upbeat motive is distilled out of the introduction, bringing that section to a close on G, and then shifted up to an A at the start of the exposition. Yet in Symphony No. 96 the sense of immediate juxtaposition is softened both by the oboe solo that follows the triple upbeat at the end of the introduction and by the fact that the accompaniment enters before the triple upbeat in the theme in the fast section. This transition is also less adventurous harmonically than that in Symphony No. 73, and it appears that the motives on either side of the dividing fermata serve more to provide a sense of thematic cohesiveness than to highlight discontinuity. Haydn here appears to be more interested in the motive than in the act of transition to the fast section: the triple upbeat appears in no less than forty-three out of the exposition’s sixty-five measures in a variety of guises, played by every instrument and in every possible metric position.¹⁸

¹⁷ Brown, *The Symphonic Repertoire*, 2:187.

¹⁸ Robbins Landon also notes this: “Whole sections of this movement are cemented together by this little motif. In the first tutti, which separates the double announcement of the main subject, the rhythm appears in the timpani (m. 27), but in the second tutti it becomes more prominent and is repeated in each measure by the celli and the basses. Gradually it begins to pervade everything, even the transition to the dominant (mm. 50, 53–56) and the second subject itself.” (Robbins Landon, *Haydn: Chronicles and Works*, 3:511) See also László Somfai, “The London Revision of Haydn’s Instrumental Style,” *Proceedings of the Royal Musical Association* 100 (1973–1974): 159–74, esp. 165.

Symphonies Nos. 90-92

Haydn's composition of active transitions from the slow introductions is at its most imaginative in the three Symphonies Nos. 90–92, commissioned in 1788 by the French nobleman Comte d'Ogny, who was also involved in the commission of the Paris symphonies three years earlier. Perhaps because of their intermediary position between the Paris and London symphonies, these three works are relatively neglected, with only the third of the set, No. 92, *Oxford*, performed as often as other late Haydn symphonies. Yet Symphonies Nos. 90 and 91, like *Oxford*, contain some of Haydn's most exciting and sophisticated symphonic writing, presenting a dazzling mixture of contrapuntal complexity, high humor, and subtle wit. Although not formally a set, these three works nevertheless have much in common; James Webster has dubbed them "an undeclared opus," and Ludwig Finscher called them a "triptych," with No. 91 the centerpiece framed by two outer works, Nos. 90 and 92.¹⁹ Situated as they are just before the light and attractive melodies and popular style of the London symphonies, these works represent a particularly condensed effort on Haydn's behalf to incorporate contrapuntal elements. Counterpoint is especially noticeable in the transitions out of the slow introductions, where the techniques reviewed above are considerably elaborated.

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That this transition is at the forefront of Haydn's attention in these symphonies is clear from the closing sonority in two of their introductions. Whereas all earlier introductions had ended on the dominant, those to Symphonies Nos. 90 and 92 end on pre-dominant chords (both with a prominent #4), attesting that Haydn is exploring a new approach to the transition in these symphonies, which reflects his renewed approach to the slow introduction in general. Each transition out of the introduction within this set employs one of the three types of symmetry mentioned earlier—reflection, refraction, and transparency—and each is achieved with a depth that is not only unprecedented but also unparalleled in Haydn's later symphonies.²⁰ The fact that Haydn was preoccupied in these three symphonies with the problem of the transition out of the slow introduction is yet another reason to view them as a set.

Symphony No. 91

The slow introduction to Symphony No. 91 closes with a beautiful descent in the first violins encompassing the interval of a tenth from B \flat

¹⁹ See Webster, *Haydn's "Farewell" Symphony*, 164; and Finscher, *Joseph Haydn und seine Zeit*, 348–51.

²⁰ In making this observation I mean not to suggest that Haydn was thinking in terms of these categories precisely but rather to point out the thoroughness and variety with which Haydn explored the transition within this set.

in measure 15 to G at the beginning of the Allegro assai (ex. 4a). The centerpiece of this descent is an octave coupling of the passing tone, A \flat , ending on the last note of the introduction. The first two notes of this coupling, A \flat –G, stand out from the rest of the descent both rhythmically and by dint of their imitation first in the cellos and then in the second violins (mm. 17 and 18, respectively), and these notes indeed sum up the transition of the last five measures of the introduction into the fast section, where the coupled A \flat moves down to a G. The descent not only incorporates contrapuntal relationships within itself but is also a cancrizans version of the main theme of the Allegro assai. The descent from B \flat to G is mirrored by the ascent from G back to B \flat (overstepping the mark and hitting the upper neighbor, C) in measure 27. The result is clearly audible, and the symmetrical beauty of the idea springs to the eye from the score as well. The reflection goes even further, with the rising third of measures 14–15 reflected by the descending third of measure 27, rendering a beautifully symmetrical construction: in the left wing a rising third reflected by a descending third (with additional octave coupling); and in the right wing a rising third (also with octave coupling) followed by a simple descending third. The reflection is all the more beautiful in that it maintains the proportions of each of the parts, with the one-measure-long rise in 14–15 reflected in a single measure (27), and the six-measure-long descent of 15–21 reflected in a rise of identical length (21–27).

The contrapuntal nature of the transition is contextual here in a general sense: as noted by Robbins Landon and Brown, the entire movement is characterized by a profusion of contrapuntal devices, culminating in the virtuosic combination of theme, counterpoint, and two countersubjects in measure 253.²¹ It is also interesting to note that the underlying melodic motion of the transition into the fast section, a step-wise to-and-fro motion of a third, permeates the entire introduction, appearing in the treble in measures 1–4 and 9–12 as well as in the bass in measures 5–9 and 9–12 (ex. 4b; see also the theme of the Menuetto).²² But the transition is also contextual in a more specific sense: mirror symmetry such as that used in this transition is immediately apparent in the main theme, written in double counterpoint at the octave. The rising theme of the violins is reflected both vertically, in the descending cello

²¹ The number of mentions of counterpoint or counterpoint-related techniques in Brown's brief description of the work is revealing: "Exposition: two-part counterpoint; counterpoint inverted; new countersubject added; subject in bass, pedal above; Development: another new countersubject used; further contrapuntal elaboration; Recapitulation: subject with new countersubject; new chromatic countersubject. . . . Coda: combination of material." (Brown, *The Symphonic Repertoire*, 2:237) See also Robbins Landon, *Haydn: Chronicles and Works*, 2:632.

²² See Karl Marx, "Über thematische Beziehungen in Haydns Londoner Symphonien," 9 (ex. 1).

EXAMPLE 4a. Haydn, Symphony No. 91, first movement, mm. 14–28

EXAMPLE 4b. Haydn, Symphony No. 91, first movement, mm. 5–10

counterpoint, and horizontally, when the violins take up the same descending line. The nature of the transition thus blends in neatly with the type of contrapuntal texture that immediately follows.

Similar, and at times more comprehensive, contextuality is present in some of the earlier examples I discussed. In Symphony No. 91, however, the *depth* of the relationship between the material on either side of the double bar far outstrips the relationships seen in any of the previous examples, reflecting as much as seven measures to generate the entire eight-measure period that is the basis of the first theme. As the next two examples will show, this kind of depth is characteristic not only of this symphony but of the entire set.

Symphony No. 92, Oxford

If the predominant feature of Symphony No. 91 is a contrapuntal fabric, that of Symphony No. 92, *Oxford*, is dissonant tension.²³ The exquisite slow introduction, unusual for a number of reasons including its adherence to soft dynamics (only two of twenty measures are marked above *piano*), is also remarkable for its constant avoidance of the tonic.²⁴

²³ For a more detailed account of this, see Webster, *Haydn's "Farewell" Symphony*, 167.

²⁴ *Ibid.*

The tense, yearning, repeated diminished fifths and sevenths at the end of the introduction bring it to a close on an augmented sixth chord, rather than on the customary dominant. This poignant sonority is uttered over five measures in a series of dissonant sighs, consisting of two pairs, each of which includes the tritone G–C# followed by the diminished seventh Bb–C#. The carefree *Allegro spiritoso* sets this yearningly beautiful ending in sharp relief. The longing character of these measures is left behind without trace, and the tension of the closing sonority is left without harmonic resolution, with the C# moving on not to D, as expected, but to Cb, thus effectively canceling out the C# that, according to Webster, "seems to bear the weight of the entire introduction."²⁵ Despite this seeming rupture in both character and harmony, the elliptical contraction of the expected resolution of the diminished seventh results in a sequential relationship between the end of the introduction and the beginning of the fast section, similar to but more sophisticated than the corresponding passage in *Symphony No. 73*. The twice-uttered tritone G–C# at the end of the introduction is refracted, as it were, through the prism of the double bar at the angle of a fifth, producing the similarly twice-uttered tritone that underlies the whimsical main theme (ex. 5a). Together with the obvious change in character and tempo—the seemingly flippant forgetfulness of previous predicaments—this refraction nevertheless has the effect of compensation since, in the words of Matthew Riley, "part of the harmonic task of the slow introduction spills over, as it were, into the *Allegro spiritoso*."²⁶

The unresolved chromatic tension at the transition casts a shadow on the whole movement. As Webster has discussed in detail, both the dominant-seventh harmony of the opening theme and its chromatic preparation at the end of the introduction are repeatedly exploited by Haydn throughout the *Allegro spiritoso*.²⁷ As in previous cases, however, there are also more explicit and specific references to the transition in marked moments and significant formal junctures in the movement. The retransition to the recapitulation (mm. 122–23) reenacts the transition out of the introduction, based (rather unusually for a retransition) on V/V, with C# in the treble. This enables the Cb of the recapitulated theme to be once again generated out of a preceding, prominent C#.

²⁵ Ibid, 169.

²⁶ Matthew Riley, "Hermeneutics and the New *Formenlehre*: An Interpretation of Haydn's 'Oxford' Symphony, First Movement," *Eighteenth-Century Music* 7 (2010): 199–219, esp. 201. Riley also observes that "[t]he movement continually sets up grand entrances," which repeatedly stand "in ironic contrast to the relative insignificance of what actually 'enters.'" (203) This may suggest a certain contextuality for the "forgetfulness" of this moment.

²⁷ Webster, *Haydn's "Farewell" Symphony*, 169.

EXAMPLE 5a. Haydn, Symphony No. 92, first movement, mm. 17–24

17
p
pp
 21
p
 Allegro spiritoso

EXAMPLE 5b. Haydn, Symphony No. 92, first movement, mm. 220–24

220

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 A similar instance occurs in measures 165–66 (the recapitulation of the “monothematic” second theme), and yet again at another significant formal juncture, the transition into the coda, at measures 204–5.²⁸ The former of these is particularly interesting when compared with the corresponding measures in the exposition. There, with the main theme beginning on G rather than C, Haydn made no particular effort to arrive at the second theme by elliptic contraction, but in the recapitulation he departs radically from the course of events in the exposition, inserting seventeen measures of entirely new material (mm. 149–65) to orchestrate an arrival at the second theme group from a C#.

Finally, the preparatory harmonic drama from the end of the introduction is reenacted with an interesting substitution of themes at a climactic moment toward the end of the movement (mm. 220–24). The tritone G–C# from the end of the introduction now carries the opening theme of the Allegro, making the covert connection between the two tritones within the original active transition explicit. The resolution occurs exactly as in the exit from the introduction, to the dominant seventh, with the C# moving on to a C in measure 224 (ex. 5b). The active transition is thus contextual both in a general sense and with respect to marked formal junctures within the movement.

²⁸ The movement is not strictly monothematic, as Haydn introduces a new theme at the end of the exposition, a practice common to many of his symphonies. I am referring to the recurrence of the main theme in the dominant at the start of the dominant group.

Symphony No. 90

I have left the beautiful introduction to Symphony No. 90 for last, both because this is where I began and because it includes the most remarkable instance of an active transition between the slow introduction and the fast section in Haydn's oeuvre, with the depth of the active transition encompassing the entire introduction and a large section of the Allegro assai. As noted by numerous writers, this is the first introduction in which Haydn explicitly introduces significant thematic material that will be recognizably quoted later on in the movement: measures 5–8 are identical to measures 17–20 from the beginning of the Allegro assai and must, therefore, have an identical meter. Quotes like this are not present in all later slow introductions but they are fairly common, most notably in Symphonies Nos. 97 and 98 (the well-known transformation of introductory material in Symphony No. 103 does not capitalize on the similarity in meter). This rather obvious strategy of introducing what is to serve as a sort of motto for the entire fast movement has been commented on by virtually every writer on Symphony No. 90, but, probably because this connection is so obvious, other, more subtle connections have been overlooked.²⁹ Only by reviewing these can the full ingenuity of Haydn's unique and innovative integration of these two sections be wholly appreciated.

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The introduction in Symphony No. 90 is composed out of a recurring sequence of three ingredients. First, the opening measure and its upbeat bring a unison statement of the tonic; next, a motive of repeated descending seconds, a staccato "sigh" motive, appears; and last, in measures 5–8, we hear the motto. Continuing from there, the cycle commences yet again, beginning with a unison tonic statement in measure 8 (this time with a throbbing texture in the cellos rather than the tutti *fortissimo* of the opening), followed by a succession of legato sigh motives in measures 9–16 (the end of the introduction), and closing with the motto in the first four measures of the fast section. And here yet another cycle begins—a unison tonic statement in measure 20, this time played staccato by the violas and bassoons; sigh motives, now embellished, in measures 21–28, and, finally, the motto in measures 29–32 (ex. 6a).

It is fascinating that Haydn's motivic cycle is completely oblivious to the formal division between the slow introduction and the fast section. Unlike previous introductions, where the change of tempo corresponds to changes in texture, orchestration, character, and meter, here none of these factors is affected. Instead, Haydn subordinates the tempo change

²⁹ See, among others, Brown, *The Symphonic Repertoire*, 2:233; Caplin, *Classical Form*, 280 n. 34; and Robbins Landon, *Haydn: Chronicles and Works*, 2:632. Müller-Arp, in *Die langsame Einleitung*, identifies some further connections but does not identify an overarching logic behind them.

EXAMPLE 6a. Haydn, Symphony No. 90, first movement, mm. 1–31

The musical score is presented in three systems, each with a label above it:

- Tonic Unison Statement:** This section covers measures 1 through 8. It is marked *Adagio* and *mf*. The music features a unison statement in the strings.
- Descending Seconds:** This section covers measures 9 through 20. It is marked *Allegro assai* and *p*. The music consists of descending second intervals in the strings.
- Motto:** This section covers measures 21 through 31. It is also marked *Allegro assai* and *p*. The music features a motto in the strings.

The score includes parts for strings and oboes. The oboe part is labeled "Oboes" and begins at measure 20. The string parts are marked with dynamics such as *mf*, *p*, and *f*.

TABLE 1
The triple motivic cycle at the opening of
Haydn, Symphony No. 90

Cycle	Component		
	Unison tonic	Sigh motifs	motto
1	1	2-4	3-8
2	8	9-16	17-20
3	20	21-28	29-32

Trellis: Slow Introduction Horizontal Lines: Fast Section

to the motivic cycle by exploiting it within the second rotation: before the first and third appearances of the motto, the dynamic markings are forte, setting the ethereal, featherweight motto in relief. With the second appearance, after the slow introduction, Haydn achieves a similar effect by the change of tempo, and he can therefore dispense with the play in dynamics. (Earlier in this article I pointed to a similar compensation for the change in tempo by an abrupt change in dynamics in Symphony No. 73.) Haydn cleverly exploits the change in tempo, but the double bar is motivically transparent, with the cycle continuing directly through it, unperturbed. The end of the introduction and the beginning of the Allegro are thus unified into one repeated cycle, with the Allegro commencing in the middle of the second of three iterations (table 1).

As in Symphony No. 60, the introduction in No. 90 shows the same transparency of the double bar to everything except tempo, rendering the acceleration from Adagio to Allegro assai the central issue of the transition. But the scale and complexity of acceleration here are incomparable to the earlier example. There it was a mere motive that filtered through the double bar, generating no more than the upbeat to the main theme (the motivic importance of the upbeat notwithstanding). Here the entire introduction makes it over to the other side, where it generates the first theme, as if the double bar had released the introduction from its tempo restraint and set the fast section in motion. Once this is accomplished, the music seems unable to stop: the perpetuum mobile eighth notes continue virtually uninterrupted throughout the entire movement, with the exception of the motto. As in Symphony No. 60, the idea of deceleration and acceleration reappears at other formal junctures as well, fulfilling the condition of contextuality. As is frequently the case, this occurs at the retransition to the recapitulation (mm. 147-57), where the steady flow of eighth notes slows down gradually and then accelerates again in the recapitulation (ex. 6b). The sense of acceleration stands out particularly when compared with the way the

EXAMPLE 6b. Haydn, Symphony No. 90, first movement, mm. 147–54

147

p *pp*

153

p etc.

final measures of the exposition prepare its second iteration by a flow of eighth notes similar to those that were decelerated in measures 147–52. Another deceleration-acceleration appears before the final statement of the motto at the end of the movement (mm. 214–21), where a unison statement in eighth notes by the entire orchestra slows first to quarter notes, and then to a full measure in 216.

Whereas in Symphony No. 60 the repetition of a small motive at a faster speed sufficed to impart the sense of acceleration, in Symphony No. 90 Haydn appears to be interested in more substantial relationships, similar in scope to those he employed in the other two symphonies in the set. The repetition of a small segment would not have achieved sufficient depth. The compositional problem Haydn seems to have set himself could be formulated as follows: how to create a sense of acceleration and at the same time generate a substantial portion of the main theme from a substantial part of the introduction? By locating the transition out of the introduction in the middle of the second of three rotations, Haydn solves this beautifully. Located between the first, slow rotation and the last, fast one, the second rotation does precisely what it is expected to do: it accelerates the slow rotation into the fast one within a single rotation.

The introduction to Symphony No. 90 provides a good illustration of the explanatory potential of the active-transition approach. Thematic correspondences between sections remain relevant, but they are enriched by an understanding of how the transitive actions between sections within the movement are as consistent as the material within them. More important, the notion of an active transition clarifies crucial aspects of the connection between the introduction and the fast section that would appear arbitrary in traditional thematic analyses of this movement. Most traditional analyses refer only to the exact quotation. Even in a highly detailed analysis such as that by Müller-Arp, which attempts to show how “the entire main theme is derived from material from the slow introduction,” much remains unexplained.³⁰

³⁰ “Der gesamte Allegrohauptsatz wird weitgehend aus der thematischen Substanz der langsamen Einleitung entwickelt. Ein neuer motivischer Gedanke erscheint erstmals in Takt 32.” Müller-Arp, *Die langsame Einleitung*, 66.

For instance, Müller-Arp notes that Haydn introduces new material only in measure 32, but he does not address the reason for this happening at this point exactly and not earlier or later. With an understanding of how the active transition works, this becomes clear: because the third rotation ended at measure 31, measure 32 is the obvious and most natural place to introduce new material. Similarly, the logic behind the order of appearance of material from the introduction appears arbitrary under classical thematic interpretations. When the slow introduction and the fast section are understood as separate units, the comparison between a unit organized as a–b–c–a–b and one organized as c–a–b–c yields little beyond revealing that the two units are constructed of the same building blocks (the fact that they are consecutive units is practically irrelevant). But when understood through the prism of the active transition, the logic behind the ordering of these blocks as three sequences of a–b–c becomes immediately apparent.

In terms of traditional thematic correspondence, the connection between the introduction and the Allegro assai in Symphony No. 90 pales in comparison with the more extensive quotations appearing in Symphonies Nos. 98 and 103. Robbins Landon has pointed out that although Symphony No. 90 is the first to incorporate exact thematic correspondences between the introduction and the fast section, Haydn expanded this idea in the “Salomon” symphonies.³¹ Awareness of active transitions, however, does much to dispel such evolutionary notions of Haydn’s practice. The depth, thoroughness, and imaginativeness of the active transitions in Symphonies 90–92, as well as their systematic exploration throughout the set, remain unsurpassed in the London symphonies. Only four of the London symphonies incorporate transitional techniques related to the active transitions: Symphonies Nos. 96 and 103, which were mentioned earlier, and Nos. 97 and 104. Symphony No. 97 forgoes the traditional pause at the end of the introduction, rudely interrupting the naive cadential motive that closes the introduction with a *fortissimo* tutti fanfare.³² The opposition of dynamics at the transition and the cadential motive itself are both strongly present in both the preceding introduction and the following fast section (e.g., mm. 99–103 and 240–44; see exs. 7a and 7b).³³ Whereas the connection is clearly there, and although the approach to the transition is both original and influential in the works of later composers (Beethoven’s

³¹ See Robbins Landon, *The Symphonies of Joseph Haydn*, 409, 575.

³² From the point of view of harmony and voice leading, this is merely a resolution of the preceding measures, but the unmediated shift of dynamics, orchestration, and mood gives an unmistakable sense that the material of the introduction has been interrupted. See also Webster, *Haydn’s “Farewell” Symphony*, 164.

³³ See Robbins Landon, *The Symphonies of Joseph Haydn*, 3, 574–75 (ex. 5a).

EXAMPLE 7a. Haydn, Symphony No. 97, first movement, mm. 12–16

EXAMPLE 7b. Haydn, Symphony No. 97, first movement, mm. 240–44

First Symphony is an obvious example), this cannot be regarded as an active transition, since it does not generate any of the material following the double bar. Furthermore, the material at the end of the introduction is already a quotation from measures 2–4, suggesting that it may be more fruitful to explain the end of the introduction in standard terms of thematic integration rather than as an active transition. The final London symphony, No. 104, similarly seems to be safely on its way to the tonic at its close, yet instead of reaching the tonic it repeats the last measure in the major key and in the new fast tempo at the opening of the fast section. Thus, not only does the beginning of the fast section not function as a new, independent beginning, it is in fact offered as a bright “correction” to the dark introduction (ex. 8). Both examples show an original approach to the transition, particularly a wish to elide or overlap the end of the introduction with the beginning of the fast section, but in neither is there the same meticulous craftsmanship in constructing it nor the same thoroughness in integrating it into the rest of the movement or generating the new from the old that can be observed in Symphonies 90–92. Thus the transitions in Symphonies Nos. 90–92 are not germinal attempts at something that was to culminate in the London symphonies, as Robbins Landon argued. Rather, unlike the London symphonies in which he tended to be more pre-occupied with thematic integration, they represent a peak in Haydn’s exploration of active transitions.

In the context of slow introductions, thematic integration and active transitions are related phenomena, both because some active

EXAMPLE 8. Haydn, Symphony No. 104, first movement, mm. 16–18



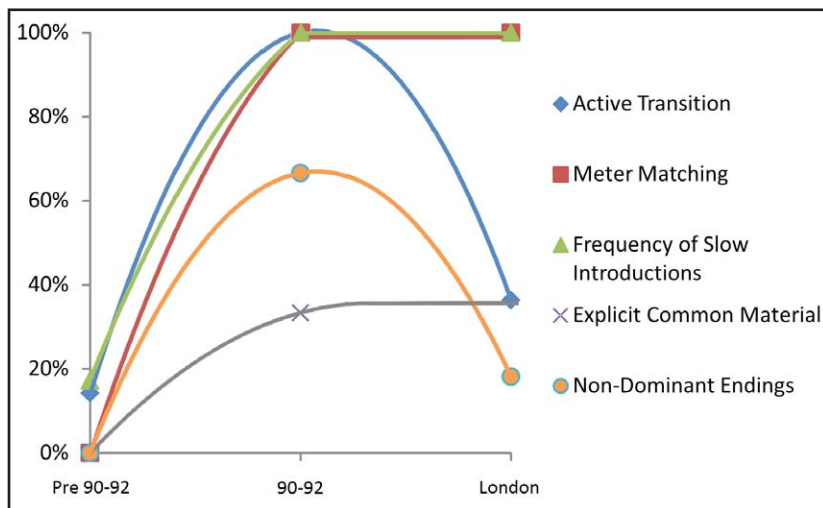
transitions involve thematic integration and because the two serve a common purpose: the integration of the slow introduction as an inseparable part of the entire movement. Appreciation of this purpose may in turn shed light on the overarching significance of active transitions for Haydn. Indeed, he appears to be reassessing his view of the role of the slow introduction in Symphonies 90–92. In earlier symphonies the slow introduction was frequently a discrete gesture, which Haydn could decide to use or omit at will. At no time before Symphonies 90–92 did he incorporate introductions more than half the time, and a number of symphonies originally appeared in versions without introductions, with the introduction added only later. The slow introduction was an opening gesture but not necessarily an integral part of the opening movement (Mozart's Symphony No. 37, in reality a slow introduction to a symphony by Michael Haydn, perhaps illustrates this best). The Nos. 90–92 set marks the start of Haydn's consistent use of slow introductions, a practice he was to maintain throughout the London symphonies.³⁴ In addition, until No. 90, all the introductions are in a meter unrelated to that of the fast section; movements in duple meter have introductions in triple meter and vice versa.³⁵ From Symphony No. 90 on, however, and then without exception, the reverse is true: symphonies in $\frac{3}{4}$ or $\frac{6}{8}$ are preceded by introductions in $\frac{3}{4}$ or $\frac{6}{8}$, and symphonies in $\frac{2}{4}$ or common time are preceded by introductions in the same meters.³⁶ Thematic material that is unequivocally common to the two sections is also first observed in this set, as are off-dominant closing chords. Figure 1 shows schematically

³⁴ Symphony No. 95 in C minor is the only one that does not have an introduction. Interestingly, none of Haydn's minor-key symphonies have a slow introduction. The same is true of other genres, with one exception: the splendid minor-key overture to the opera *L'Isola disabitata* (*The Desert Island*), where the introduction serves obviously programmatic purposes.

³⁵ The introduction and fast section of Symphony No. 25 (1760) have both related meters and significant thematic relationships. It is arguable, however, whether this should be considered a slow introduction or an open-ended opening slow movement. Webster considers it "an ambiguous case" (*Haydn's "Farewell" Symphony*, 258); Brown analyzes it as "two exordia" (*The Symphonic Repertoire*, 2:63); and Müller-Arp views it as a mixed form between a slow introduction and an opening slow movement (*Die langsame Einleitung*, 35).

³⁶ For a table of meters of Haydn's introductions and their corresponding main bodies, see Haimo, *Haydn's Symphonic Forms*, 210.

FIGURE 1. Schematic trend lines for parameters that peak in Symphonies Nos. 90–92



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how collectively these parameters, along with active transitions, reach a peak around Symphonies Nos. 90–92. This graph indicates an emerging conception of the slow introduction as an integral and inseparable part of the opening movement, capable of generating the material of the fast section and setting it in motion.³⁷ The active transition thus serves as a means of creating a unique relationship between the introduction and the fast section, while at the same time preserving the clarity of formal boundaries. The repeated references to the “action” of the transition at other formal boundaries in the movement (usually the ends of each of the main sections of sonata form—exposition, development, and recapitulation) confirm this new conception of the slow introduction by suggesting that its relationship to the fast section is tantamount to the

³⁷ Similar trends are observable in slow introductions to other genres. Of the eight masses beginning with major-key fast movements, all four written after 1789 have slow introductions, and all of these are in related meter to the corresponding fast section. Of the five written prior to 1790, only two have slow introductions. A “refractive” transition appears in the *Heiligmesse* of 1796. Interestingly, the meters of the introduction and fast section in the *Cäcilienmesse* (1766) are matched. None of the string quartets prior to London have introductions of any sort, but the public London quartets (opp. 71 and 74) all have introductory gestures. The only post-1783 opera, *L'Anima del Filosofo* (*The Soul of the Philosopher*, 1796), has an overture with a slow introduction with related meters, whereas of the dozen opera overtures written earlier only three have introductions, all with unrelated meters.

TABLE 2

References to active transitions at other formal junctures

Symphony	Action	End of Exposition	End of Development	End of Recap	General Character*
60	Acceleration	√	√	√	×
103	Recasting	√	×	√	×
73	Refraction + Juxtaposition	√	√	√	Harmonic juxtaposition
91	Reflection	×	×	×	Counterpoint
92	Refraction + Unresolved dissonance	×	√	√	Dissonant tension
90	Acceleration	√	√	√	×

*In table 2, “general character” refers to cases where the nature of the transition permeates the entire movement and is relevant at numerous points and not only at formal junctures.

relationship between any other pair of formal units in the movement (table 2).³⁸ By extension, the introduction becomes yet another crucial formal unit within a movement.

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Recurrences of the active transition at other formal junctures also suggest that active transitions are not exclusive to slow introductions. The transitive action from the end of the introduction is shared by many—at times by all—transitions within a movement, but active transitions between formal junctures are certainly also feasible in works without slow introductions. In the context both of the slow introduction and of integration between formal units of other sorts, a recognition of active transitions as a compositional technique in Haydn’s oeuvre should enable us not only to provide analytical insights into specific works but also to enrich our overall understanding of his conception of form.

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³⁸ One does not have to resort to the perhaps anachronistic assumption that Haydn was thinking in terms of these sections to accept this. It is enough to realize that, thanks to the binary repetition scheme, all these points are linked, as each of them precedes a prominent restatement of the main theme. Thus we are also likely to encounter such references in the start of the second theme group in cases where it begins with a restatement of the main theme (e.g., Symphony No. 92).

ABSTRACT

Analytic practice usually attempts to bridge the gaps between formal sections in a single movement or work by identifying thematic connections, syntactic logic, or structural cohesiveness. The gap itself is viewed as a foreground obstacle to be smoothed over by analytic insights. This article demonstrates that the moment of transition can play an active role in generating relationships among formal sections of a work. This is particularly apparent in a number of Haydn's symphonies, where the music at the end of a slow introduction seems to "generate" the opening of the fast section that follows. Haydn frequently—and most impressively in Symphonies 90, 91, and 92—forges a local melodic relationship between the adjacent edges of the two sections, with the moment of transition serving as an axis of symmetry. Furthermore, the "action" of the moment of transition on the music often recurs elsewhere in the movement, suggesting that such active transitions could be of interest in the analysis of other formal junctures as well.

Keywords: active transition, Haydn symphonies, slow introduction, symmetry, formal structure