The Kodály Method and Tonal Harmony:

An Issue of Post-Secondary Pedagogical Compatibility

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Thesis submitted to the
Faculty of Graduate and Postdoctoral Studies
In partial fulfillment of the requirements
For the MA degree in Music Theory

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Abstract

This study explores the topic of music theory pedagogy in conjunction with the Kodály concept of music education and its North-American adaptation by Lois Choksy. It investigates the compatibility of the Kodály Method with post-secondary instruction in tonal harmony, using a theoretical framework derived from Kodály's methodology and implemented as a teaching strategy for the dominant-seventh chord. The customary presentation of this concept is authenticated with an empirical case study involving four university professors. Subsequently, Kodály's four-step instructional process informs a comparative analysis of five university-level textbooks that evaluates the sequential placement of V^7, examines the procedure by which it is presented, and considers the inclusion of correlated musical excerpts. Although divergent from traditional approaches to tonal harmony, Kodály's principles and practices are pedagogically effective. By progressing from concrete to abstract, preceding symbolization with extensive musical experience, conceptual understandings are not only intellectualized, but are developed and internalized.

Keywords: music theory pedagogy, the Kodály Method, Zoltán Kodály, Lois Choksy, Edward Aldwell, Carl Schachter, *Harmony and Voice Leading* (2003), Jane Piper Clendinning, Elizabeth West Marvin, *The Musician's Guide to Theory and Analysis* (2005), Robert Gauldin, *Harmonic Practice in Tonal Music* (2004), Stefan Kostka, Dorothy Payne, *Tonal Harmony* (2004), Miguel Roig-Francolí, *Harmony in Context* (2003)

Acknowledgements

This manuscript is a testament to the wisdom of Professors Allan Bell (Music Theory) and Lois Choksy (Music Education). Intermingled with the passage of time, their teachings have shaped my personal philosophy and informed my practice as a music theory educator. But their inspiration would not have taken its present form without the persuasion of my friend and colleague, Ann Babin. Ann's timely suggestion ignited the spark of possibility, and her own mid-life studies served as a motivating incentive. Once my post-graduate journey began, I received endless encouragement and support from my colleagues – members of the Gloucester Music Teachers' Association (GMTA); the Ottawa Region Branch of the Ontario Registered Music Teachers' Association (ORMTA); the College of Examiners for the Royal Conservatory of Music (RCM); as well as my student colleagues at the University of Ottawa (School of Music).

Each of my professors contributed to the formulation of my research intentions: Dr. Roxane Prevost provided an organized framework for my fledgling ideas; Dr. Christopher Moore strengthened my argument with his circular questioning; Dr. Julie Pednault-Deslauriers prompted me to think independently; Dr. Murray Dineen convinced me to reach beyond my perceived limitations; Dr. John Armstrong fueled my confidence with his academic acceptance; and Dr. Barbara Graves introduced me to a narrative style of writing. I am indebted to the members of my committee – Dr. Bernie Andrews, Dr. Gilles Comeau, and Dr. Murray Dineen – for reading my materials and providing constructive feedback. My deepest appreciation, however, is extended to my advisor, Dr. Roxane Prevost. Dr. Prevost's sensitive leadership both nurtured and stimulated my exploration of music theory pedagogy – a topic she was willing to embrace, despite its relative obscurity in the scholarly literature. Our meetings became treasured opportunities for me to verbalize my thoughts, enabling them to grow and mature. She listened, considered, commented,

and advised, supplying me with the energy and momentum to move forward. A document of this magnitude would not have been imaginable without her counsel.

I am profoundly grateful to my family for allowing me to become more than a daughter, sister, wife, and mother. From my parents, Larry and Noreen Trekofski, I learned the value of persistence and hard work. My brothers, who live in Australia (Byron) and China (Darwin), opened my eyes to the world and demonstrated for me that life is what we make of it. This sentiment is shared by my extraordinary husband, Keith Penny, who lovingly indulged my penchant for projects. In many respects, my thesis became a joint endeavour – our most ambitious to date. I wish to thank him for his patience and understanding, his technical support, and his practical advice. Our children, whose names gave voice to my case-study participants (Afton Ford, Amalia Caza, Aris Donavan, and Aja Chisholm), offered me a constant flow of reinforcement and assistance. I hope that my graduate experience will foster for them a life-long love of learning, and provide them with the courage to pursue their own dreams.

Finally, this manuscript is dedicated to Elaine Kruse, my dear colleague, mentor, and friend, whose untimely passing altered the course of my professional career. Her gentle guidance is palpable even now.

Chapter 1:
Introduction and Literature Review, Context and Methodology

Opening Remarks

The topic of my research may be likened to a seed planted more than twenty-five years ago, as I completed my undergraduate studies in elementary school music. It rose to the surface approximately five years later, inspired by a diploma program specializing in the Kodály concept of music education, only to recede without an opportunity to take root. Asserting a quiet determination, that tiny seed has finally encountered favourable conditions and begun to grow. At issue is a question of compatibility: are the pedagogical principles attributed to Zoltán Kodály (1882-1967) congruent with teaching tonal harmony at a post-secondary level?

My research, motivated by a desire to improve the learning experience of my music theory students, will outline the basic precepts of Kodály's educational philosophy and its North-American adaptation by Lois Choksy (Emerita, University of Calgary). Referencing Choksy's publications, I will construct a long-range teaching strategy involving the dominant-seventh chord as a sample conceptual element. From this illustrative example, I will extract a theoretical framework and employ it as a comparative model in the analysis of five university-level textbooks on tonal harmony.

The textbooks I will analyse are:

- Aldwell and Schachter, *Harmony and Voice Leading*, 3rd edition (2003)
- Clendinning and Marvin, *The Musician's Guide to Theory and Analysis* (2005)
- Gauldin, *Harmonic Practice in Tonal Music*, 2nd edition (2004)
- Kostka and Payne, *Tonal Harmony*, 5th edition (2004)
- Roig-Francolí, *Harmony in Context* (2003)

Specific editions have been chosen with similar publication dates, although Aldwell and Schachter, Clendinning and Marvin, Kostka and Payne, as well as Roig-Francolí, have subsequently produced revised texts.

Considering a diatonic context, I will examine each textbook's instructional treatment of the dominant-seventh chord, observing three criteria. I will:

- evaluate its placement in a conceptual sequence
- determine the procedure by which it is presented
- investigate the inclusion of correlated musical excerpts

I will also search for the pedagogical components of the Kodály Method, and using my comparative model, I will explore an inclusive approach to the introduction of the dominant-seventh chord, proposing the implementation of a Kodály-centred methodology for the presentation of theoretical concepts.

In the remainder of this chapter, I will review the scholarly literature that pertains to the topic of music theory pedagogy and introduce the Kodály Method, addressing the educational philosophies that define Kodály's pedagogical principles, the tools and materials that facilitate its implementation, and Choksy's North-American adaptation of its methodology. Further, I will propose a theoretical framework, derived from Kodály's instructional process, which will inform the analytical portion of my research.

A Review of Pertinent Literature

The development of music theory pedagogy as an independent discipline is documented by Robert Gauldin (Emeritus, Eastman School of Music) and Mary Wennerstrom (Indiana University) in a special issue of *Music Theory Spectrum* (Spring 1989), which, along with a survey of relevant research, includes a selected bibliography. Under the heading "General Sources" (p. 69), only four references are cited:

- *Journal of Music Theory Pedagogy* (1987 - present)
- Rogers, *Teaching Approaches in Music Theory: An Overview of Pedagogical Philosophies* (1984)
- Thompson, *A History of Harmonic Theory in the United States* (1980)
- White, *Guidelines for College Teaching of Music Theory* (1981)

While the offerings of both Rogers and White are available in second editions, dated 2004 and 2002 respectively, the subject of music theory pedagogy has not otherwise been addressed in the literature.

Journal of Music Theory Pedagogy

An annual refereed journal that is dedicated to the teaching and learning of music theory, the *Journal of Music Theory Pedagogy* was launched in 1987 under the auspices of The Gail Boyd de Stwolinski Center for Music Theory Pedagogy at the University of Oklahoma. The center, which was established in 1985, provides "philosophical direction and financial support" for the *Journal of Music Theory Pedagogy* as a "forum for ideas concerning practical and speculative pedagogical issues" (jmtp.ou.edu/the centre.html). The journal's first editors were all affiliated with the University of Oklahoma: James Faulconer (Emeritus), Alice Lanning, and Michael Rogers (Emeritus). Currently edited by Steven Laitz (Eastman School of Music), its present Editorial Review Board includes a distinguished assembly of pedagogues from across the United States and England. Enjoying an international reputation, this academic journal, which represents research and scholarship related to music theory teaching, focuses on the importance of "master" teachers and fosters the outstanding contributions of their profession (jmtp.ou.edu/the centre.html).

Rogers: Teaching Approaches in Music Theory

In the re-printed preface to his first edition of *Teaching Approaches in Music Theory*, Rogers (2004) articulates a desire to "summarize and compare the more recent trends affecting college-level theory teaching" (p. xiii). His second edition recognizes the increase of psychological research in

music theory pedagogy, the appearance of a specialty journal (*Journal of Music Theory Pedagogy*), and the publication of "an imposing number of new materials" in the intervening twenty years (p. vii). These publications, which Rogers identifies and categorizes in an extensive bibliography, certainly contribute to the burgeoning industry associated with teaching music theory, but they relate to procedural concerns, rather than pedagogical or philosophical ones.

Rogers's text, however, confronts all three concerns: philosophy, procedure, and pedagogy. In Part I, he explores the philosophical orientations of music theory, comparing and contrasting pairs of teaching approaches as follows:

- Integration versus Separation
- Comprehensive Musicianship versus Isolation
- Historical versus Astylistic Approaches
- Concepts versus Skills

While Comprehensive Musicianship (CM) is the only established philosophy to be specifically named, aspects of the Kodály Method are included in Rogers's discussion of integration, CM, both historical and astylistic approaches, as well as concepts and skills. This holistic representation justifies the definition of Kodály's educational philosophy as a comprehensive approach to musicianship.

Part II, titled "Thinking and Listening," examines the procedural dimension of teaching music theory, equating thinking with mind training and listening with ear training, then connecting the two with musical analysis. Although stressing their interrelation, Rogers follows traditional wisdom and assumes that most students are "more advanced conceptually than perceptually" (p. 103), asserting that mind training naturally leads ear training. But in the context of Kodály's methodology, this relationship is reversed, with the ear leading the mind, and both of them reciprocally integrated.

Pedagogical strategies are considered in Part III with a summary of teaching techniques and an evaluation of curricular designs. Rogers argues that the "structure and content of music theory are beautifully arranged for [a] spiral-learning or disguised-repetition approach" (p. 153), which

compliments the sequential hierarchy of overlapping and recurring theoretical concepts embedded in Kodály's pedagogical principles.

Thompson: A History of Harmonic Theory in the United States

David Thompson (Marian College) addresses the development of theoretical concepts from a historical perspective. Although his work is of limited pedagogical value, he emphasizes that *A History of Harmonic Theory in the United States* (1980) is "not intended as a history of theorists, but of ideas" (p. vii). He traces the chronological advancement of American harmonic theory from those he terms its "Antecedents": German theorists Gottfried Weber, Ernst Friedrich Richter, Immanuel Faisst; and English theorists Alfred Day, Gore Ouseley, Ebenezer Prout. Regarding Percy Goetschius (1853-1943) as the "father of American theory" (p. 37), Thompson devotes his second chapter to Goetschius's work, followed by two others titled:

- An Age of Synthesis: 1897-1939
- An Age of Observation: 1939-1966

These chapters include an expansive survey of harmony textbooks, and feature the progressive convictions of American theorists: George Chadwick, Arthur Foote, Walter Spalding, Francis York, Benjamin Cutter, and Walter Piston. Thompson also highlights the adherents of Goetschius's theories: Franklin Robinson, Donald Tweedy, George Wedge, and Allen McHose.

Throughout Thompson's discourse there is an underlying dichotomy between an acoustical approach to harmonic theory, derived from the naturally occurring harmonic series, and an observational or empirical approach, formulated from the analysis of common practice. Conceding that the traditional contributions of acoustics "appear to be exhausted" (p. 181), Thompson recognizes the practicality of Piston's observations, which involve the concepts of harmonic function, chromatic harmony, as well as harmonic rhythm, and he regards these as an extension of Weber's empirical theories. McHose's observations, however, are regarded as a continuation of

Goetschius's acoustical theories but with a statistical basis. The influence of Heinrich Schenker (1868-1935), embodied in the work of William Mitchell and Allen Forte, is also acknowledged.

As a critical examination of the past, Thompson's text relates to the Kodály Method only in its shared philosophy of observation. Clarifying the practicality of these observations, the author explains that repeated musical patterns often "solidify into a system of rules, which then [become] codified as music theory" (p. 129) – and subsequently applied through music theory pedagogy.

White: Guidelines for College Teaching of Music Theory

Conversely, the objective for John White (Emeritus, University of Florida) in his *Guidelines for College Teaching of Music Theory* (2002) is specifically pedagogical. Advocating an "integrative approach to musicianship," White states, in the preface to his first edition, an intention to address the "learning and teaching of musical craft and theoretical concepts in the lower-division theory courses" (p. v). His second edition highlights the establishment of the *Journal of Music Theory Pedagogy*, as did Rogers's, the "expansion of musical boundaries" to embrace "musics of other cultures as well as popular or vernacular musics" (p. ix), and the inclusion of electronic technologies in theoretical studies. This third factor prompted the addition of a new chapter titled "Technology for Teaching and Learning," provided by William Lake (Bowling Green State University).

White's text, by his own admission, makes little attempt to prescribe the content or sequencing of theoretical materials, preferring to "present a sort of universe of possibilities" (p. 212). In his opening chapter, he mentions Goetschius, Piston, and McHose, reminiscent of Thompson's retrospective, as well as the contemporary theories of Joel Lester (Mannes College), but the substance of White's manuscript addresses musical skills and concepts:

- Aural Skills: Melodic and Rhythmic
- Aural Skills: Polyphonic and Harmonic
- Keyboard Skills
- Writing Skills
- Analysis and Theoretical Concepts

These are followed by a chapter, titled "Musical and Pedagogical Integration," in which White encourages a musical union of melody, rhythm, harmony, and sound, as well as a pedagogical union that synthesizes concept acquisition and skill development. This integrated approach is consistent with Kodály's intention to elicit conceptual inferences through the presentation of carefully selected educational experiences. Certainly White's assertion, that "genuine understanding of musical concepts cannot be acquired without the aural and even tactile experience of actual music" (p. 147), echoes Kodály's sentiment that a love of music is supported by knowledge about music, which is accumulated through the experience of music.

The scholarly literature concerned with music theory pedagogy predominantly examines the content of theory textbooks or provides instructional guidance for particular conceptual topics. The four sources I have reviewed are exceptional and most relevant to my study as they address the subject of pedagogical philosophy. Although these references have contributed to the formation of my research intentions, none specifically engage the issue of compatibility between the Kodály Method and the teaching of tonal harmony at a post-secondary level.

The Kodály Method

An Educational Philosophy

The Kodály Method is a systematic concept of music education that developed in Hungary under the leadership of composer, ethnomusicologist, and educator Zoltán Kodály. Its methodology incorporates several basic precepts that summarize Kodály's educational philosophy. These are (Choksy, 1981, p. 11):

- that musical literacy is the right of all human beings
- that the education of the musical ear must begin as early as possible
- that musical instruction must begin with the children's own unaccompanied voices
- that the skills and concepts necessary for musical literacy should be taught through the children's musical mother-tongue – the folk songs of their native language
- that only music of the highest quality should be utilized in the education of children

At the heart of Kodály's vision was his belief that music should be taught as a basic academic subject equivalent to linguistic, mathematic, and scientific studies, resembling the "Greek ideal of education [that] cast music in a central role" (Kodály, 1974, p. 119).

Kodály's methodology, which in North America is often associated with young children, was initially implemented at the highest level of musical tuition in Hungary – the Franz Liszt Academy of Music. As a member of the institution's faculty, Kodály was disappointed by his students' deficiencies in musicality, and sought to improve their hearing, reading, and writing, which inevitably highlighted the inadequacy of their preparatory training. In response, the ideology of the Kodály Method was introduced in Hungary's kindergartens. While it remains particularly effective in an early-childhood setting, it is also, according to Choksy (2001), "an extremely thorough way in which either to begin or to continue the musical education of adults – students at the senior high school, university, or conservatory level" (p. 314).

The Tools and Materials

The instructional tools that facilitate this ideology are not specific to the Kodály Method. In England, Kodály observed the application of relative or moveable-*do* solmization in the training of English choristers. This system, originally developed in the eleventh century by Guido d'Arezzo (c. 990-1050) and later refined by John Curwen (1816-1880) in the nineteenth century, has proven to be especially advantageous for teaching vocal sight-reading. Hand signs, also credited to Curwen, were modified by Hungarian teachers and continue to be employed as both a physical and a visual representation of intervallic relationships. From France, Kodály and his colleagues adapted a system

of rhythm syllables that, for the purpose of rhythmic reading, express duration rather than metrical identity. Similar to those used in French *solfège*, the syllables originated with the work of Emile-Joseph Chevé (1804-1864).

Together with moveable-*do* solmization, hand signs, and rhythm-duration syllables, Kodály insisted that only music of unquestioned artistic value be utilized in the education of children. As such, his pedagogical hierarchy emphasizes folk or traditional music in the instructional materials of its beginning stages, and in the later stages, addresses the complexities of art music. Determined to nurture the discernment of artistic integrity along with musical knowledge, Kodály (1974) composed a sizeable quantity of children's music that provides an additional source of musical literature. Intended as "tunes written in the spirit of folksongs" (p. 221), these works include volumes of pentatonic music, *Bicinia* and *Tricinia* (two- and three-part compositions), as well as songs for children's chorus. Fellow composer and ethnomusicologist Béla Bartók (1881-1945) also composed music for children.

A Child-Developmental Sequence

Embracing these tools and materials, Kodály and his colleagues formulated an instructional sequence that was child-developmental in its approach, rather than subject-logical. After considerable experimentation, the pentatonic scale, found in most traditional musics, was endorsed as a vehicle for teaching musical skills and concepts (Choksy, 1999a, p. 11). This conviction opposes conventional reasoning, which recommends the diatonic scale as the melodic foundation for music instruction, but is more effective since young children commonly have a limited vocal range and significant difficulty producing half-tone intervals in tune. Rhythmically, the Kodály Method begins with quarter notes and eighth notes, which relate to the stepping and running movements of young

children, and challenges the mathematically-derived progression from whole notes to half and quarter notes that characterizes content-oriented sequencing.

A North-American Adaptation

In North America, the English adaptation of the Kodály Method, while the product of many dedicated practitioners, is attributed to Choksy. Her career began in Baltimore, Maryland, where she worked both as a teacher and a music supervisor for the County Board of Education. Attending the Peabody Conservatory of Music (Baltimore), she encountered Kodály's ideology for the first time and was encouraged by her instructor, Katinka Dániel, to travel to Hungary. There, in 1968, she met Erzsébet Szőnyi (1998), who was artistic director of the Esztergom Summer University, and it was Szőnyi who suggested that Choksy spend an academic year in Hungary (p. 195). This she did, from 1970 to 1971, earning a Kodály certificate from the Liszt Academy in Budapest. She subsequently taught at Holy Names College in Oakland, California, then moved to Canada in 1979, when she joined the faculty at the University of Calgary, and later, the Mount Royal College Conservatory.

Recognized as an international authority, Choksy was instrumental in the North-American dissemination of Kodály's principles and practices. A founding member of the International Kodály Society, the Organization of American Kodály Educators, and the Alberta Kodály Association, she served as president of the Kodály Society of Canada from 1984 to 1988. Academically, she pioneered the summer graduate diploma program (Fine Arts) at the University of Calgary, designed a master's degree (Music) with a Kodály emphasis, and, while head of the Music Department, "charted the course for approval" of a doctorate (Music) with a specialization in music education – the first such degree in English Canada (Cramer & Panagapka, 1998, pp. 225-6).

As a distinguished educator, Choksy worked assiduously, until her retirement in 1998, to adapt Kodály's pedagogical principles for an English-language context. Using North-American traditional music and pedagogical strategies appropriate for North-American children, she authored several textbooks that incorporate Kodály's educational philosophy. In 1999, *The Kodály Method I: Comprehensive Music Education* was released in its third edition, along with a companion volume, *The Kodály Method II: Folksong to Masterwork*. This newest publication is devoted to the continuity of music education for older students, balancing artistic integrity with effective teaching practice, and aspiring to achieve Kodály's vision of universal musical literacy.

The Theoretical Framework

An Instructional Process

In the context of Kodály's methodology, the implementation of curricular objectives within a child-developmental sequence involves a four-step process as follows (Choksy, 1999a, p. 171):

Prepare → Make Conscious → Reinforce → Assess

These four steps are applied repeatedly, directing the presentation of every new concept, whether rhythmic, melodic, harmonic, or analytic. The musical literature selected for each step of the process is conscientiously considered, both for the frequency with which the new concept occurs, and for its position in the chosen work. The skills necessary for the assimilation of a new concept are also ordered in a pedagogical series (Choksy, 1981, p. 10):

Hearing → Singing → Deriving → Writing → Reading → Creating

Each lesson balances concentration with relaxation activities, overlapping conceptual elements and promoting the acquisition of musical skills as well as their continued development.

The readiness or preparation stage of the instructional process requires the rote-teaching, through hearing and singing, of a core repertoire from which the new conceptual learning will be

discovered. It also implies the internalization of previously-learned concepts that are necessary for the understanding of the unknown element. The procedural or make-conscious stage involves the transfer of a subconscious musical experience to conscious awareness. Through carefully selected questions, students are led to derive the new conceptual learning in a familiar song. Given accurate answers, the teacher consequently names and notates the new element. In the reinforcement stage, the new learning is located in the remaining repertoire of the preparation stage. Within these known songs, students practice writing their newly acquired conceptual knowledge and learn new song materials that contain the relevant concept. The final stage of the instructional process involves assessment and evaluation which determine whether or not the new conceptual learning has taken place. Along with reading the new element in unknown materials, understanding is best measured with the creative activities of improvisation and composition.

A Specific Teaching Strategy

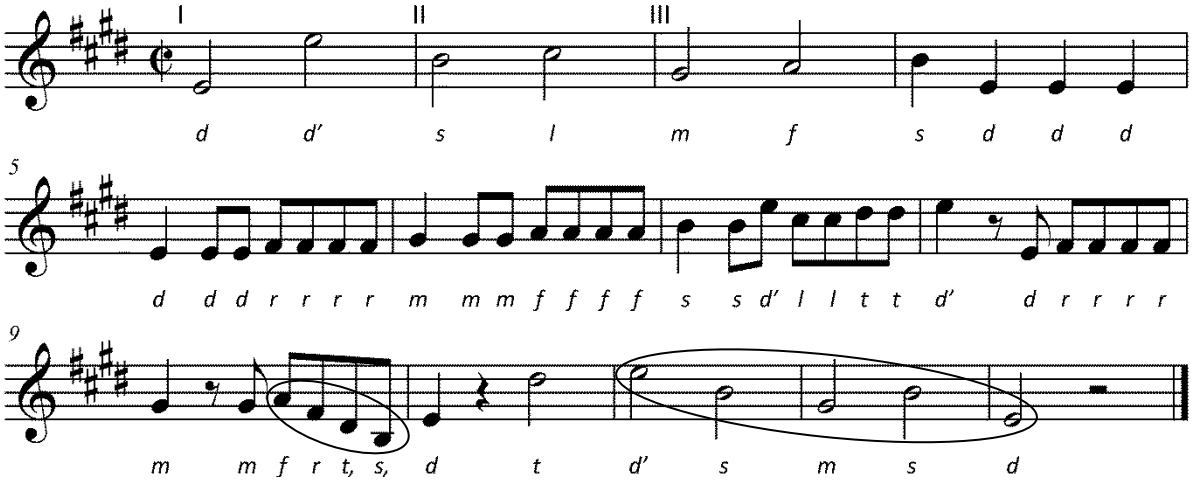
As an illustrative example, I will outline a long-range teaching strategy for the dominant-seventh chord as a sample conceptual element. Based on a series of lessons that were implemented in a Calgary public school, as well as at Mount Royal College Conservatory, this strategy incorporates Kodály's pedagogical principles enlightened by Choksy's adaptation. It also highlights her careful preservation of the four-step instructional process (prepare, make conscious, reinforce, and assess), which is supported by musical examples at every stage.

In preparation for its introduction, the students must learn a core of songs in which the dominant-seventh chord is prominent in a variety of musical settings, and prior to its presentation, they must also accurately exhibit a series of specific musical skills. As a demonstration of their readiness, the students will:

- identify *do* as a tonal centre
- perform major scales with *solfa* and absolute note names
- use *d-f-s* as a melodic accompaniment to songs, in root singing
- use I, IV, V chords and their inversions as a harmonic accompaniment to songs, in vocal chording

As suggested by Choksy (2001) for the procedural stage of the instructional process, the dominant-seventh chord may be made conscious through a Cherubini canon, titled "Solmization" (**Example 1.1**). Students are directed to sing Cherubini's canon in *solfa*, first in unison, then in three parts. Asked to find the tonic chord in the melody (mm. 11-13), it is sung harmonically and notated on the board. Asked to find the dominant chord, which in this melody clearly includes the chordal seventh (m. 9), the result is also notated on the board, and the addition of a fourth note or *fa* is discussed. The new chord is sung harmonically and labelled with roman-numeral notation (V^7) (pp. 270-1).

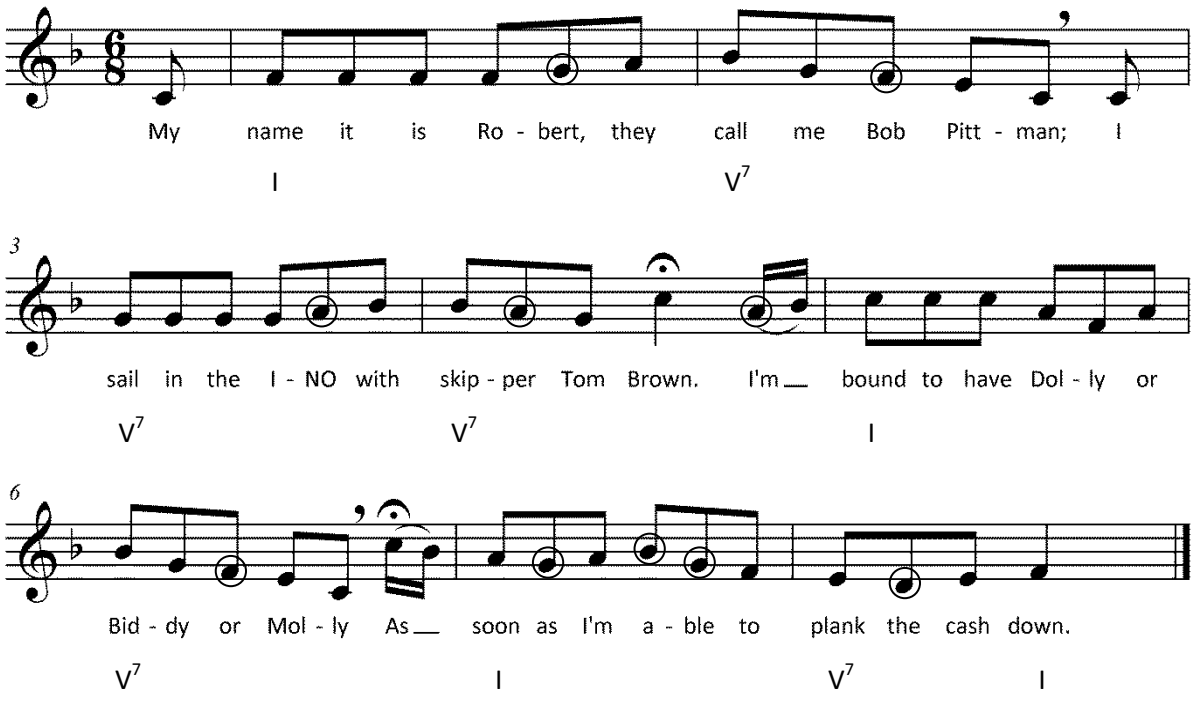
Example 1.1: Cherubini, "Solmization," Dominant-Seventh Chord (Make Conscious)



Again suggested by Choksy (2001), the dominant-seventh chord may be reinforced with a traditional song from Newfoundland – "We'll Rant and We'll Roar" (**Example 1.2**). This song provides an opportunity to discuss non-chord tones (circled) within an essentially chordal melodic

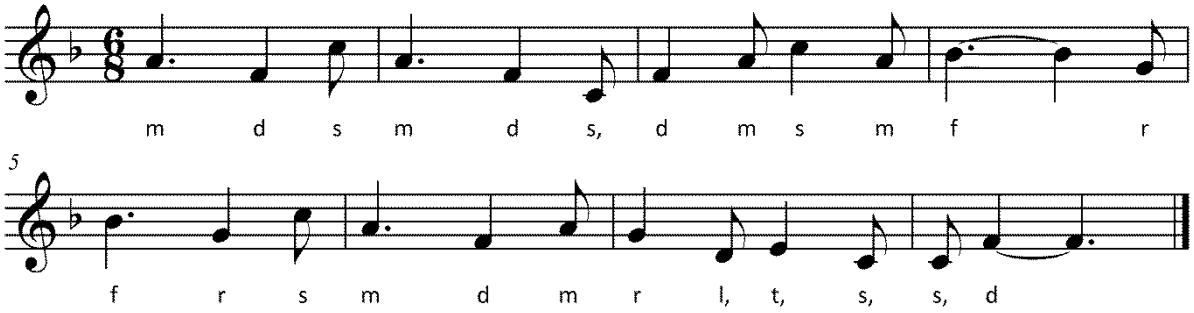
line, as well as an occasion to experiment with voice leading through the vocal chording of implied harmonies (pp. 272-4). This initial reinforcement is intended to be followed by many such experiences in which V^7 is located and notated in various musical circumstances.

Example 1.2: Newfoundland Traditional Folk Song, "We'll Rant and We'll Roar," Dominant-Seventh Chord (Reinforce)



As an example of the process's final stage, the dominant-seventh chord may be assessed in the context of a directed listening experience involving the fifth movement of Beethoven's *Pastoral* Symphony (**Example 1.3**). Preceding their first hearing, students are given the opening phrase of the principal theme and asked to create, either orally or in written form, an answering phrase that uses the notes of the I and V^7 chords (Choksy, 1999b, pp. 124-5). These answers are later compared with Beethoven's.

Example 1.3: Beethoven, Symphony No. 6, Fifth Movement, Principal Theme, Dominant-Seventh Chord (Assess)



Considering the multiple components of this instructional process in relation to the customary treatment of the dominant-seventh chord in a typical harmony textbook, I am led to a question of consequence: is a Kodály-centered teaching strategy appropriate for university-level students?

An Outline of Subsequent Chapters

In pursuit of an answer to my question, I will explore the conventional treatment of the dominant-seventh chord as it is characteristically taught in a post-secondary environment. Chapter 2 will present empirical data that was collected from four university professors, thereby situating my sample conceptual element in the pragmatic setting of an undergraduate theory course. The analytical portion of my research, in Chapter 3, will involve the examination of five university-level textbooks on tonal harmony, specifically probing their treatment of the dominant-seventh chord. This investigation will be followed, in Chapter 4, by a comparison of these textbooks with each other, as well as in relation to the Kodály Method. The concluding chapter will summarize and synthesize the preceding discussions, offering recommendations and suggestions for future research.

Chapter 2:
Empirical Component

Introductory Remarks

A Personal Perspective

The topic of music theory pedagogy has intrigued me since the late 1970s, when I began to teach the rudiments of music theory. Choosing a suitable textbook (Berlin, Sclater & Sinclair, 1969), I meticulously followed the curriculum provided by the Royal Conservatory of Music, and as time passed, I expanded my teaching repertoire to include the advanced theoretical subjects of history, harmony, counterpoint, and analysis. My affiliation with the Conservatory also expanded, when, in 2006, I became a member of its College of Examiners.

At approximately the same time, I was asked to tutor several students who were enrolled in a post-secondary music program. Encountering an alternate curriculum after almost thirty years of teaching music theory, I was unable to rely on the Conservatory's familiar syllabus and the comfortable organization of its recommended textbooks. I found the experience to be somewhat disconcerting, but surprisingly liberating, and along with its remarkable freedom, I found my voice. I began to question the traditional sequencing of theoretical concepts. I questioned their presentation and the textbooks I believed to symbolize their informed instruction. Preparing to write my own pedagogical materials, I began to study the procedural practices relevant to teaching tonal harmony.

The Rationale

The topic of my research has similarly evolved, revealing a significant gap in the pertinent literature. With careful consideration, I chose to embrace the four-step instructional process that is a

fundamental component of the Kodály Method (Choksy, 1999a, p. 171). From this process (prepare, make conscious, reinforce, and assess), I formulated an analytical framework with which to examine university-level harmony textbooks and to explore my question regarding its post-secondary compatibility. Beyond Kodály's methodology, my comparative analysis also incorporates a question of conveyance: how is conceptual knowledge transmitted from teacher to student?

From a pedagogical perspective, a fundamental disparity separates the textbooks I have analyzed and my comparative model. The textbooks present musical concepts by way of explanation, demonstrating or modeling the subject matter in author-constructed illustrations that reflect the instructional conventions of a university-level theory course. This educational approach, often identified as theoretical, progresses from exposure to experience, while the principles and practices of the Kodály Method are experiential, progressing in the opposite direction from experience to exposure.

Theoretical: Exposure → Experience
Experiential: Experience → Exposure

However, before I consider the implementation of a Kodály-centered methodology in a university environment, I must authenticate my assumptions surrounding the customary presentation of musical concepts in that setting and establish the rationale for my research. I do so by undertaking a case study framed within the larger structure of my thesis.

The Interviews

A Methodology

Case study research involves the collection and presentation of information concerning one or more participants within a specific context. While emphasis is placed on the exploration and description of a complex phenomenon, a case study focuses on a single instance or event – the case. Although scholars disagree whether or not case study research may be defined as a methodology (Merriam,

1998; Stake, 2005; Yin, 2003), I have chosen to follow the example of John Creswell (2007), who views it as such. His definition of case study research involves a qualitative approach in which the investigator explores a "bounded system" (the case) through detailed, in-depth data collection, and reports a case description as well as case-based themes (p. 73).

Directed by an examination of music theory pedagogy in a post-secondary context, the intent of my case study was to interview three professors who were teaching a first-year undergraduate course in tonal harmony at a school of music in a major urban university. Initial communication was generated by an acquaintance who was associated with each of the participants. Her recruitment resulted in the exchange of contact information with two of the three professors she approached. Determined to enrich my data, I corresponded with another two professors, both of whom were known to me, and have previously taught the same undergraduate course in tonal harmony at the same institution.

Consequently, I interviewed three professors, obtaining informed consent at the beginning of each interview (**Appendix A**). A fourth professor, who also formally consented, chose to respond to my interview in written form. Two of the participants are part-time professors, one is an adjunct professor, and the other, an assistant professor. Two of the participants are doctoral candidates, both designated ABD (All But Dissertation). Two of the participants have completed doctoral studies and are affiliated with the relevant university, one for less than five years and the other, more than five. Two of the participants teach in French and two in English. Two of the participants are men and two are women.

The Data Collection and Description

Prior to the scheduled interviews, each professor was given a brief summary of my research and a list of questions that I planned to address during the interview (**Appendix B**). Focusing on the

pedagogical practice of teaching tonal harmony, these questions were specifically directed toward the dominant-seventh chord (V^7), which I extracted from my "Opening Remarks" and utilized as a sample conceptual element, creating a bounded system of inquiry. The interview questions were organized according to three criteria that were consistent with my textbook observations concerning the instructional treatment of the dominant seventh. These criteria address the conceptual sequencing of V^7, its initial presentation, and correlated musical excerpts. My audio recordings were supplemented with observational notes taken concurrently with the interviews, and these were augmented with course materials provided by three of the four professors.

Pertinent to its conceptual sequencing, Professor Ford[1] prepares the dominant-seventh chord with previous knowledge of prolongation, or an association between non-adjacent pitches, as well as with an understanding of consonance and dissonance. He introduces the diminished leading-tone chord ($vii^{\circ 6}$) prior to V^7, preceding both with the tonic (I) and dominant (V) chords in root position and inversion. His initial presentation of V^7 begins with a reminder of $vii^{\circ 6}$, which is a chord of similar function, and the tritone (augmented fourth or diminished fifth) it encompasses. Using this tritone, with its strong tendency toward resolution, as a connective element, Professor Ford proceeds with his introduction of V^7, establishing the rules for resolution and demonstrating the procedures for writing complete and incomplete chords. Purposefully avoiding exceptional resolutions, this discussion is followed, in a subsequent lecture, by the inversions of V^7. His assignments are typically drill-oriented, later including figured basses and melodic fragments. In relation to musical excerpts, Professor Ford clearly separates the activities of analysis and part writing, asserting that a firm grasp of theoretical concepts, or the "rules behind the music," is a necessary pre-requisite for the analysis and implied performance of "music that's already been written."

[1] Pseudonyms are used to protect the identities of the participants.

While exhibiting a number of distinctive characteristics in the style and content of his teaching – particularly his exceptional placement of vii°^{6} – the commentary of Professor Ford surrounding the sequencing and presentation of V^{7} generally complements traditionally accepted pedagogical practices. But his observations regarding correlated musical excerpts are expressly indicative of his theoretical approach to teaching tonal harmony. This approach is supported by the other participants, although less emphatically and with varying degrees of regret.

Professor Chisholm, in the lecture immediately preceding her presentation of the dominant-seventh chord, examines the basic harmonic syntax of a ˆ3-ˆ2-ˆ1 melodic line, referring to scale-degree pitches over a I-V-I bass line. This pattern encompasses the contrapuntal approach of Schenkerian analysis and establishes a "polar system" that emphasizes the tonic and dominant chords as "pillars of tonal harmony." Prepared with doublings and voicings of these chords, V^{7} is introduced as an elaboration of the dominant with a stronger pull to the tonic as a result of its characteristic tritone. Her presentation involves a discussion of the dominant seventh's "mechanics": doublings in relation to essential pitches; resolutions, including the "frustrate[d]" leading-tone exception; V$^{8\text{-}7}$ as a dominant prolongation; the transfer of dissonance; and harmonic rhythm. Regarding assignments, Professor Chisholm prepares short melodic fragments and bass lines, as well as longer figured basses with which to assess part-writing skills. She incorporates musical excerpts in her description of cadences (half, imperfect authentic, and perfect authentic), encouraging a variety of melodic combinations over tonic and dominant bass notes, which lay the groundwork for future tonic expansions. Relative to the dominant-seventh chord, she expresses difficulty in locating appropriate literature that utilizes a restricted harmonic vocabulary in a controlled setting.

As with Professor Ford's, my interview with Professor Chisholm generally confirms the pedagogical conventions surrounding the sequencing and presentation of V^{7}. While the ordering of

her conceptual sequence displays slight variations in comparison to Professor Ford's and her presentation includes a more comprehensive rendering of the dominant-seventh chord, these factors do not detract from the traditional delivery of its content, which she, herself, labels as a "theoretical" approach. The musical contextualization of concepts relating to V^7, along with other harmonic elements, is entrusted to the co-ordinated ear-training and sight-singing course.

For Professor Donavan, the conceptual sequencing of V^7 follows an itinerary similar to that of Professor Chisholm's. Prior to its formal introduction, he requires his students to have attained a rudimentary knowledge of music theory, including scales, intervals, and chords. His presentation of the dominant seventh accompanies the tonic and dominant chords, with inversions discussed in a subsequent lecture. Initially described as a variation of V, the root-position V^7 is placed in the context of a cadence and associated with particular melodic lines, supporting ˆ2 or ˆ7 in the soprano. His introductory procedure involves the "creation" of V^7 in close position, which is illustrated in various keys, and proceeds to V^7 written for four voices, addressing its resolution, then its approach. Differentiating V from V^7, Professor Donavan stresses the "advantage" of using the dominant seventh, as "what follows is programmed – there are few choices." His assignments include short progressions that endeavour to "exhaust voice-leading possibilities," a longer progression that comprises a full phrase, and analysis exercises, usually of piano music. The musical examples that enhance his presentation are also drawn largely from the piano literature. These examples are played by Professor Donavan and occasionally sung by his students.

The commentary he provided corroborates that of both Professor Ford and Professor Chisholm with respect to the conceptual sequencing and presentation of V^7. Professor Donavan's pedagogical practices, which again exhibit an individual style, generally conform to the traditionally-inspired methods of music theory instruction. However, his determination to "play examples at the piano of

everything they do" encourages a tangible relationship between his theoretical explanation of the dominant-seventh chord and its realization in the context of a musical experience.

Prefacing her presentation of the dominant seventh with a review of chords in major and minor keys, Professor Caza teaches V and V^7 almost concurrently, introducing the chordal seventh as "another dimension" and concentrating on the treatment of its dissonance. She utilizes the preparation and resolution of passing tones and suspensions to encourage linear thinking, advocating the importance of prolongation as a derivative of Schenkerian analysis. Her initial discussion, which avoids exceptions and addresses the paradigms of four-part writing, begins with an examination of the "fifth relation," both in terms of harmonic or horizontal motion, and the vertical definition of a chord. She also emphasizes a distinction between the stability of a tonic chord and the instability of a dominant, highlighting their opposing functional implications. Her assignments, which are organized in groups of three chords, provide soprano lines to harmonize and figured basses to realize, as well as examples that contain errors, enabling her students to "develop an eye for part writing." Intending to develop their ears as well, Professor Caza plays a CD, which is often a random choice, at the beginning of her class. This activity focuses the group's attention and encourages a directed aural investigation of the dominant-seventh chord, prior to its explanation.

Consistent with her colleagues, Professor Caza generally adheres to traditional conventions regarding the instructional sequencing of V^7, but her integration of a listening experience that *precedes* its introduction indicates a more contemporary approach to music theory pedagogy. Further, through purposeful questioning, Professor Caza engages her students in the procedural stage of the dominant seventh's introduction, replacing her authoritative presentation with a cooperative exploration of the topic, which is derived from a musical experience.

The Case-Study Findings

My purposeful sampling of participants has allowed me to collect recorded data and to conduct a representative cross-case analysis, forming generalizations relative to the post-secondary conventions of music theory pedagogy, although contextually specific to one school of music at a single university. Interestingly, all of the professors I interviewed use the same textbook more or less extensively – a situation I was unaware of at the outset of my study – but their individual usage depends on distinct factors such as education and experience. While Aldwell and Schachter's *Harmony and Voice Leading* (2003) provides a curricular framework for music theory courses at many North-American universities, including the university relevant to my case study, none of the professors I interviewed follow its inherent sequencing without deviation, although Professor Chisholm displayed the closest allegiance.

Concerning the placement of V^7 in a conceptual sequence, the participants generally adhere to a relatively uniform curriculum. The dominant-seventh chord is positioned comparatively early in the tonal sequence, following the tonic and dominant chords. Professor Donavan, who complies with its printed order but does not utilize Aldwell and Schachter's textbook in his lectures, is basically satisfied with its diatonic sequence, affirming that "students can quickly create useable phrases of music without having very many choices." Professor Ford modifies its prescribed order and adds the leading-tone chord to the pre-requisite tonic and dominant chords. Professor Chisholm, who supplements Aldwell and Schachter's text with Gauldin's *Harmonic Practice in Tonal Music* (2004) and Laitz's *The Complete Musician* (2007), questions the "rather late" placement of the predominant, suggesting that it may be advantageously positioned earlier. Professor Caza, who also supplements the textbook with Gauldin's and Laitz's, as well as Roig-Francolí's *Harmony in Context* (2003), agrees with her colleague, countering the curriculum's "undo focus on I and V" by

stressing the importance of *three* chord-classifications and considering the placement of IV (the subdominant) before V^7.

The initial presentation of the dominant-seventh chord reflects the individual preferences of each professor. Professor Ford's students receive their introduction with the most expansive preparatory knowledge, and while all of the professors examine the inversions of V^7 in a subsequent lecture, the characteristic coverage of their root-position discussions indicates a divergence in comprehensiveness, particularly in relation to voice-leading exceptions. Professor Chisholm, whose exposition is the most extensive, chooses to consider the alternate resolution of V^7, in which the leading tone falls to the dominant, striving to maintain complete voicings of both V^7 and I – "introduc[ing] as much variety" as possible. Her decision is supported by Professor Donavan, who "pause[s] to drill at each step," but neither Professor Ford nor Professor Caza address exceptions in their introductory presentation, maintaining strict adherence to the "rules of resolution" at this early stage of part writing. Another point of divergence involves the subject of cadences, which Professor Ford chooses not to include, although his colleagues are inclined otherwise: Professor Donavan places V^7 in an authentic cadence; Professor Chisholm uses cadences to introduce "procedures for analysis," anticipating her inclusion of the cadential $^6_4$; and Professor Caza, who incorporates the aural identification of cadences, positions V^7 in a musical phrase.

The greatest diversity, however, emerged in our conversations regarding the incorporation of musical experiences in an introductory explanation of the dominant-seventh chord. These diverse encounters range from no experience to significant and meaningful experiences. Professor Ford cites Caplin's *Classical Form* (1998) as a valuable resource but finds that appropriate repertoire is limited without a more extensive harmonic vocabulary. Comparing his pedagogical approach with the acquisition of language, Professor Ford prefers to teach grammar before he attempts to carry on a conversation. For Professor Chisholm, the situation is similar. She reveals that "we don't engage

in the music – I don't make them perform it [a conceptual illustration] or sing it." She goes on to say that "maybe that's something … missing from when we're presenting it [a concept]. It would be nice to have more music – more musical examples." She mentions Benjamin, Horvit, and Nelson's *Music for Analysis* (2001) as a potential source for musical excerpts, as do both Professor Caza and Professor Donavan.

Describing this anthology as "roughly parallel" to Aldwell and Schachter's textbook, Professor Donavan finds that "certain pieces lend themselves to discussion in a variety of … situations." Although he does not make an effort to choose familiar repertoire, he does occasionally, and this opportunity is especially intriguing to Professor Caza. She implores her students to: "Listen to the music! Go to the piano – it's so important [to] listen to the music!" repeating her litany "like it's a leitmotif." Contemplating the next time she teaches this undergraduate theory course, she intends to choose one or two representative pieces, and throughout the session, to revisit them and gradually "flesh out" their analysis. In response to the insecurity her students may feel when faced with "too many unknowns," she replies, "if they're too protected in a theoretical environment and ... they go into real music ... it's a shock. I think a healthy amount of ambiguity ... is important."

A Discussion of Case-Based Themes

The conceptual sequencing prescribed by the school of music where the participants taught precedes the study of four-part harmony, in which the dominant-seventh chord is situated, with two-part counterpoint or a linear combination of melodic lines. In readiness for his presentation of V^7, Professor Ford, echoed by both Professors Chisholm and Caza, requires a familiarity with second-species counterpoint which involves consonant and dissonant tonal relationships. The complexity of this issue demands thoughtful consideration as the study of harmony, like many other subjects, is a multi-dimensional phenomenon. It is defined vertically by chord structures and horizontally by

contrapuntal melodies, which together, create a harmonic succession that moves forward in time. This holistic integration of distinct musical elements – melody and harmony synchronized with rhythm and texture – mandates a comprehensive approach to music theory instruction and positions a pedagogical examination of the Kodály Method.

In the educational context for which Kodály's methodology was originally conceived, a new conceptual learning is prepared through rote singing experiences over a period of time. The concept becomes conscious knowledge, then undergoes a lengthy period of instructive reinforcement through the reading and writing of songs materials, both previously learned and newly acquired. Finally, the learning is assessed through sight-reading examples as well as through improvising and composing activities (Choksy, 1999b, pp. 77-78). Given this context, and the complexity of integrating multiple concepts at differing stages of the instructional process, I understand the skepticism of my participants concerning a Kodály-inspired approach to the teaching of tonal harmony. But for older students, particularly students who have had previous musical training, the "emphasis [of the process] merely shifts" (p. 78).

Rather than developing a theoretical curriculum that comprises "hierarchies of skills and concepts ... arranged from simplest to most complex" (p. 77), the music itself must dictate the instructional sequence. For example, a thorough analysis of a chosen work will determine "what the students need to know in order to listen to it with understanding" (p. 78), which, in turn, will determine how a teacher prepares the students for the new learnings to be derived from that work. Choksy outlines a potential strategy for the remaining stages of the process as follows:

> The "make conscious" stage might be viewed as the first time the students actually listen to the work. The music is then reinforced through repeated listening, each time with a specific focus.
>
> Assessment may take many forms. At a simple level, students might compose a short work incorporating some techniques learned through the particular composition. (p. 78)

Considering the data I collected from my interview participants, the preparation stage of Kodály's instructional process, as it has been modified by Choksy for older students, is generally lacking the context for which it was designed – art music. Only Professor Caza begins her presentation of the dominant-seventh chord with a musical experience, but this experience is arbitrarily chosen. However, given the prevalence of V^7 in the musical literature of the common-practice period, her "arbitrary" choice may be re-identified as a "representative" choice. But even so, Choksy considers this pedagogical approach to be "counterproductive." She explains:

> To look through art music for an example of, for instance, the harmonic minor scale, is simply backward. In any core of well-chosen art music, the harmonic minor scale will appear some place. When it appears it can be studied. (p. 77)

In the context of my research, Choksy's "harmonic minor scale" is easily replaced with the "dominant-seventh chord," and the implication that "everything we want to teach" may be found in a core repertoire of intelligently selected music is also true.

The preparation of pre-requisite conceptual knowledge is another facet of the readiness stage in Kodály's instructional process and plays an integral role in the curricular planning of each professor. Although an individually-generated syllabus must conform with the course description approved by the applicable university, its specific implementation is independently administered, which accounts for the fact that Professor Ford precedes his introduction of V^7 with $vii^{\circ 6}$ while the others do not. This measure of independence also accounts for variances in the number of conceptual inferences that each professor includes in his or her exposition of the dominant-seventh chord. Regardless, the tendency toward comprehensiveness that characterizes these presentations stands in marked contrast to the carefully portioned segments of a typical "make conscious" experience in Kodály's pedagogical sequence. Of course, older students are capable of learning more quickly and "intellectualize [conceptual knowledge] more easily than young children – but intellectualization and internalization are two different things." According to Choksy, musical

knowledge gained through abstract reasoning is “superficial fact” and not musical knowledge at all (p. 7).

The reinforcement of musical knowledge, recognized as the third component of Kodály’s instructional process, is incorporated in the pedagogical practices of all the participants in my study. As musicians, we enjoy a degree of musical proficiency, either instrumentally or vocally, and therefore, a familiarity with the adage that “practice makes perfect.” Presumably, this work-ethic may be transferred to the subject of music theory. When asked how the dominant-seventh chord is incorporated in presentations and assignments following its introduction, Professor Donavan replied that “V^7 will be in every assignment from then on.” These assignments, along with those of the other professors, include part writing, with melodic fragments and figured basses in short progressions and longer progressions, as well as error detections and analysis exercises. However, only the analysis exercises, which Professor Ford excludes from his harmonic instruction, feature examples from the musical literature.

The inclusion of assessment or evaluation mechanisms in the teaching strategies of the participants is not as clearly delineated as their incorporation of reinforcement exercises. An indispensible element of Kodály’s methodology, the assessment stage of its instructional process involves a synthesis of conceptual knowledge, which confirms the understanding of a new concept through creative activities, such as improvisation and composition. Whether part-writing exercises may be classified as compositions is debatable since their realization may depend on the constraints that direct their completion.

An examination of my data sources, including the applicable textbooks (Aldwell & Schachter, 2003; Gauldin, 2004; Laitz, 2007; Roig-Francolí, 2003), indicates the authenticity of a pedagogical disparity between the Kodály Method and the practices of conventional post-secondary instruction. Within the confines of a university-level course on tonal harmony, the pedagogical components of

Kodály's four-step instructional process (prepare, make conscious, reinforce, and assess) are either over-extended or non-existent. While the introductory or readiness procedures summarized by the participants are quite thorough, the preparation of a core repertoire from which to derive conceptual learning is absent. The presentation of a new conceptual element, specifically the dominant-seventh chord, includes an overwhelming inventory of details, and the reinforcement exercises, while certainly relevant and arranged sequentially in order of difficulty, are not placed within the context of musical literature. Additionally, the assessment or synthesis stage of the process is not addressed.

The Kodály Method and its North-American adaptation advocate a teaching strategy that is experiential, progressing from concrete to abstract and preceding symbolization with extensive musical experience (Choksy, 1981, p. 10). Acquired in this manner, conceptual understandings are not only intellectualized, but are developed and internalized. Consequently, Kodály's inherent teaching sequence counters conventional instruction, as evidenced by the participants of my case study, but Professor Caza has begun to question the merits of those conventions. Recognizing music – and by extension, music theory pedagogy – as a "temporal art," she has also begun to question the pedagogical implications of traditionally-held beliefs.

Concluding Remarks

The most striking aspect of my interviews – a revelation that will advance my personal desire to improve the learning experiences of my music theory students – came in a narrative guise from three of the case-study participants. Following my interview with Professor Ford, I despaired over his assertion that Kodály's comprehensive approach to musicianship "wouldn't necessarily work." I felt compelled to reconsider the merits of theoretical instruction, but my reluctance to accept its

pedagogical repercussions lingered. Can the intellectual tidiness of this approach truly compensate for its lack of musicality?

Following my interview with Professor Chisholm, I was buoyed by the realization that an ear training course, although separate from the theory course, allows for the aural perception of theoretically-formulated concepts. However, following my interview with Professor Caza, I was genuinely inspired. She brought the element of music, either played or sung, into her presentations, having her students verbalize what they hear. She also suggested that in the future, she will consider incorporating several works that can be utilized repeatedly in the derivation of multiple theoretical concepts. This fostering of musical fluency through familiar repertoire compliments Kodály's sentiment that a love of music is supported by knowledge about music, and knowledge about music is ultimately accumulated through the experience of music.

Summarizing the role of this case study within the larger organization of my research, it has confirmed my suppositions regarding the pedagogical conventions of music theory instruction in a post-secondary environment. Although specifically directed toward the dominant-seventh chord, these suppositions, which represent the instructional practices of four university professors in the context of a first-year undergraduate course on tonal harmony, suggest that the customary approach to teaching my sample conceptual element is theoretically based. This educational tradition often utilizes a form of direct instruction characterized by lectures or demonstrations of the subject matter which may or may not incorporate student participation. In Chapter 3, I will continue to query this theoretical predominance with an exploration of procedural practices typified by a selection of university-level harmony textbooks.

Chapter 3:
Application and Analysis

Introductory Remarks

In this chapter, I will proceed with the analytical portion of my research, which involves the examination of five university-level textbooks on tonal harmony. These textbooks, arranged alphabetically by author(s), will appear in the following order:

- Aldwell and Schachter, *Harmony and Voice Leading*, 3rd edition (2003)
- Clendinning and Marvin, *The Musician's Guide to Theory and Analysis* (2005)
- Gauldin, *Harmonic Practice in Tonal Music*, 2nd edition (2004)
- Kostka and Payne, *Tonal Harmony*, 5th edition (2004)
- Roig-Francolí, *Harmony in Context* (2003)

With specific emphasis placed on their pedagogical treatment of the dominant-seventh chord in a diatonic context, my analysis, initially informed by a review of the index, will explore each textbook in relation to the criteria I utilized in my interviews. Consequently, I will:

- evaluate the placement of V^7 in a conceptual sequence
- determine the procedure by which it is presented
- investigate the inclusion of correlated musical excerpts

For the purpose of my study, a "conceptual sequence" is defined as an organized succession of instructional concepts relating to music theory. This component of my examination will consider the conceptual knowledge that precedes or prepares for the disclosure of V^7. Its "presentation" involves the initial introduction of V^7 as a new concept, along with its related conceptual understandings. "Musical excerpts" are notational extractions or quotations from the musical literature that contribute to the presentation.

Throughout this chapter, I will adopt the specific notational and textual nomenclature that relates to each individual manuscript. I will comment on the instructional content of its text, as

appropriate, but a collective comparison involving all five textbooks will be reserved for Chapter 4. Following an analysis of each author(s)'s methodology, I will endeavour to expand my pedagogical perspective by consulting the published reviews of other authors, inviting their observations to inform my own.

Aldwell and Schachter: Harmony and Voice Leading

Authored by Edward Aldwell and Carl Schachter, *Harmony and Voice Leading*, which was first published in 1979, is recognized throughout Canada and the United States as one of the principal theory textbooks. Aldwell, who was a distinguished pianist, taught theory and analysis for more than three decades at the Curtis Institute of Music in Philadelphia, as well as the Mannes College of Music in New York City. Appearing in masterclasses and lecture-recitals, which often featured the keyboard works of Bach, he was deeply committed to analytical procedures that enhanced performance practices. Recognized as a specialist in Schenkerian analysis, he studied with Schachter, who himself, is recognized as a preeminent Schenkerian analyst. Schachter received his theoretical instruction from Felix Salzer (1904-1986), with whom he co-authored an influential text, titled *Counterpoint in Composition* (1969). Professor of music at Queens College and the City University of New York Graduate School, he has served on the faculty of the Juilliard School since 1998, and enjoyed a long association with the Mannes College of Music – an affiliation that began in 1956. His role in the dissemination of Schenker's theories is significant, having taught many of the foremost music scholars among the succeeding generation. Many of his articles have been gathered into a single volume, titled *Unfoldings* (1998), edited by Joseph Straus (CUNY Graduate School). *Harmony and Voice Leading* is the product of his collaboration with Aldwell.

A Conceptual Sequence

The sequential organization of Aldwell and Schachter's text includes six parts:

- The Primary Materials and Procedures
- I-V-I and Its Elaborations
- $^{5}_{3}$, $^{6}_{3}$, and $^{6}_{4}$ Techniques
- Elements of Figuration
- Dissonance and Chromaticism I
- Dissonance and Chromaticism II

The first of these reviews preparatory or fundamental concepts in five units:

- Keys, Scales, and Modes
- Intervals
- Rhythm and Meter
- Triads and Seventh Chords
- Procedures of Four-Part Writing

Units 1 to 3 address potential deficiencies in previous instruction and attempt to provide both a practical and a conceptual basis for later work (Aldwell & Schachter, 2003, p. xii).[2] Units 4 and 5 present a preliminary discussion of chord vocabulary, chord construction, and voice leading.

Part II, titled "I-V-I and Its Elaborations," introduces the elements of diatonic harmony in ten units, numbered 6 to 15:

- I, V, and V^7
- I^6, V^6, and VII^6
- Inversions of V^7
- Leading to V: IV, II, and II^6
- The Cadential $^{6}_{4}$
- VI and IV^6
- Supertonic and Subdominant Seventh Chords
- Other Uses of IV, IV^6, and VI
- V as a Key Area
- III and VII

In this part, the fundamental association between tonic and dominant chords is established, and the ensuing discussion includes the most frequent linear expansions of tonic harmony. These

[2] In this section, subsequent citations that refer to Aldwell and Schachter's textbook, *Harmony and Voice Leading* (2003), are indicated by page number alone.

expansions emphasize the melodic aspects of music as much as the harmonic (p. xi), and reflect the Schenkerian expertise of its authors. By confining the initial stages of their presentation to a single harmonic relationship (tonic-dominant), Aldwell and Schachter introduce its allied contrapuntal progressions, involving intermediate harmonies, in an efficient and organized manner. They inclusively relate this new material to the larger tonic-dominant unit, which encourages the development of previously-encountered voice-leading procedures and enables a comprehensive basis for the understanding of the primary harmonic functions in tonal music (p. xiii).

Concerning the sequential placement of the dominant-seventh chord, it is situated immediately following the exposition of tonic and dominant chords in Unit 6 (I, V, and V^7). The dominant seventh is represented as a dissonant intensification of dominant harmony and is revisited in Unit 8 (Inversions of V^7), where each of its inversions (V^6_5, V^4_3, and V^4_2) represents an expansion of the underlying tonic harmony. Aldwell and Schachter connect these units through a description of the tonic and dominant chords in first inversion (I^6 and V^6) as well as an introduction to the leading-tone chord, also presented in first inversion (VII^6). The discussion then extends to intermediate harmonies which provide a linear expansion between the initial tonic and the cadential dominant chords.

The functional equivalency of V and V^7, both associated with the fundamental tonic-dominant relationship, warrants the frequent and persistent inclusion of the dominant-seventh chord in many subsequent discussions. Beyond Unit 8, it continues to be individually addressed – Units 9 through 12 group associated topics under the subheadings "Moving to V^7" or "Moving to Inversions of V^7." These units feature intermediate harmonies (II, IV, and VI, including II^7 and IV^7) as well as the cadential $^6_4$, all of which lead toward and intensify dominant harmony. A notable exception occurs in Unit 15, under the subheading "III Moving to I Through an Inversion of $V^{(7)}$," where the inverted dominant does not constitute a harmonic goal.

The V^7 chord is also individually addressed in Units 22, titled "Leading-Tone Seventh Chords," 24, "Remaining Uses of Seventh Chords," 28, "The Phrygian II (Neapolitan)," and 30, "Other Chromatic Chords." These units, located in Parts V and VI, incorporate the subjects of dissonance and chromaticism, which are positioned outside the parameters of my current research.

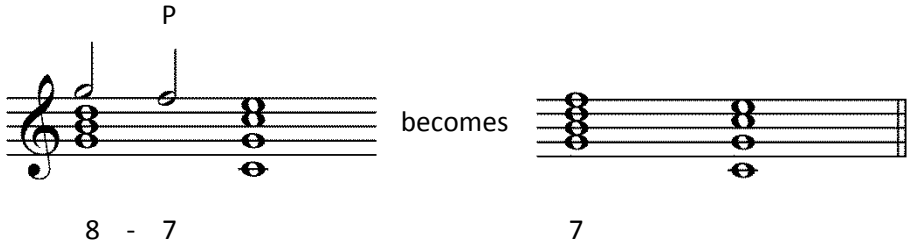
The Presentation

The dominant-seventh chord first appears in Unit 4 (Triads and Seventh Chords) of Part I (The Primary Materials and Procedures), contained within a predominantly non-specific description of seventh chords that highlights these features:

- The Melodic Origin of Seventh Chords
- Qualities of Seventh Chords
- Seventh Chords on Scale Degrees
- Inversions of Seventh Chords
- Figured-Bass Symbols for Seventh Chords
- Remembering the Seventh Chords

The discourse proceeds logically and progressively, following an initial discussion that outlines the origin of the chordal seventh as a passing tone. Interestingly, this melodic event (**Example 3.1**), which is illustrated with figured-bass symbols as 8-7 becoming 7 of full duration, may be interpreted as V^{8-7} becoming V^7, both resolving to I in C major (p. 57).

Example 3.1: Seventh Chord (Melodic Origin)



Aldwell and Schachter present an exhaustive summary of seventh-chord qualities, including the rarely-encountered augmented-major and minor-major sonorities, all of which are categorized as important or less important, although the mechanism of determination is not disclosed. The term "dominant seventh" is revealed and defined but remains functionally neutral. The authors place seventh chords on all degrees of the major and minor scales, which they label with roman numerals that indicate the root of each chord, although their upper-case uniformity adheres to the Schenkerian tradition that does not differentiate chord qualities. An explanation of inversions necessitates the addition of figured-bass symbols to the roman numerals, and a list of seven letter-name combinations, such as G-B-D-F, is offered as an aid to memorization. The subject of doubling is briefly mentioned in Unit 5 (Procedures of Four-Part Writing) under the heading "Chord Construction."

Consequently, Aldwell and Schachter's initial reference to the dominant-seventh chord is incorporated in an essentially vertical discussion of non-specific seventh chords and prefaced with a horizontal introduction. Intentionally generic, it addresses elementary issues of spelling, beginning with non-contextual chord qualities and progressing through increasingly specific chord contents. As a summation of previous knowledge, it is particularly effective, but without previous knowledge, it may be less so. The authors' consideration of the seventh chord's historical origin, while uniquely informative, requires in its explanation, the process of contraction or elision, which is a relatively advanced concept for a preparatory investigation. As well, the absence of musical literature from this presentation implies an intellectual treatment of seventh chords, rather than a musically-derived one.

Independently introduced in Unit 6 (I, V, and V^7), the first of Part II (I-V-I and Its Elaborations), the presentation of the dominant-seventh chord as an autonomous harmonic entity is supplemented with a catalogue of voice-leading procedures that emphasize its functional properties as follows:

- V^7 as Dissonant Chord
- V^7 and the Soprano Voice
- V^7 in Four Voices: Doubling
- V^7-I: Voice-Leading Techniques
- V^7-I: Doubling ˆ3
- $V^{8\text{-}7}$
- Expanding V^7
- Harmony and Rhythm

Identified as the seventh chord of greatest significance, the dominant seventh, by virtue of its commonalities, is inextricably linked to dominant harmony. But as a dissonant chord, its intensified "drive to the tonic" creates a contrapuntal link to tonic harmony (p. 89), which is often expressed as an authentic cadence.

Aldwell and Schachter thoroughly demonstrate this contrapuntal or melodic connection using characteristic soprano lines that impose particular doublings and specific voice-leading techniques. These are extensively explored following an introduction to the tritone and the two "tendency" tones (ˆ4 and ˆ7, subdominant and leading tone) from which it is formed. The natural resolution of the tritone receives meticulous attention with progressive levels of insistence: ˆ4, which is dissonant with the bass, *must* resolve to ˆ3 (mediant); ˆ7, which is consonant with the bass, *tends* to resolve to ˆ8 (tonic) but *must*, if exposed in the soprano; and a melodic interpolation *may* decorate the resolution – frequently in the soprano voice. An exceptional doubling of ˆ3 is also illustrated, as a regular resolution coupled with an irregular melodic line (pp. 91-92).

Continuing their presentation, the authors suggest that prior to its resolution, the dominant-seventh chord may symbolize an extension or intensification of dominant harmony, as in $V^{8\text{-}7}$. Alternately, it may expand within itself, transferring the dissonant seventh from one voice to

another and resolving the dissonance with its final occurrence. Although the dominant seventh is not specifically cited, a discussion involving the interdependency of harmony and rhythm concludes the unit. This discussion sensibly outlines the permissible or justifiable repetition of chords and organizes patterns of harmonic change in such a way as to strengthen the meter, rather than to contradict or detract from it.

Inversions of the dominant-seventh chord are demonstrated in Unit 8 (Inversions of V^7) which features their characteristic compositional function – to create movement by extending the opening tonic of a large-scale harmonic progression (p. 113). The following subheadings incorporate the authors' Schenkerian focus on melodic-contrapuntal activity:

- New Ways to Expand I
- Descending Resolution of ˆ4
- V^6_5
- V^4_3
- V^4_2
- Double-Neighbour and Passing Figures
- Incomplete Chords
- Common Tones
- Hidden Octaves and Unisons

Each of the dominant-seventh inversions is considered in succession, identified by the distinctive traits that dictate its customary harmonic function: V^6_5, as a neighbouring chord to I; V^4_3, a passing chord between I and I^6; V^4_2, passing between V and I^6. The necessary inclusion of I^6 in the discussions of both V^4_3 and V^4_2 warrants the introduction of first-inversion chords in the previous unit, as does the alignment of V^6 with V^6_5 and VII^6 with V^4_3. Additionally, the corresponding usage of VII^6 and V^4_3 in a progression leading to I^6 facilitates the frequent occurrence of parallel tenths in the abnormal resolution of ˆ4 to ˆ5, rather than the normative ˆ4-ˆ3 resolution.

Further voice-leading matters are highlighted and the unit is closed with a discussion titled "Contrapuntal Expansions of Tonic and Dominant." This section summarizes the contents of the unit, as well as the preceding units, with progressions that are grouped according to function:

passing chords, neighbour chords, incomplete-neighbour chords, and more elaborate figures. The author-constructed illustrations present typical bass lines with varied soprano lines, intended to provide a sense of familiarity in the harmonization of melodies and the realization of figured basses. The final discussion returns to the subject of melodic dissonance, which was initiated in Unit 6 (I, V, and V^7) but deferred until the inverted dominant-seventh chords were introduced. Considering leaps from I to V^7, and within V^7, the authors present a number of melodically effective possibilities, allowing dissonant leaps that subsequently change direction in either the bass or soprano voices.

Delivered in an appreciatively comprehensive manner, Aldwell and Schachter's description of the dominant-seventh chord is inclusive and logical. With directly accessible language, it presents an expansive rendering of the topic that functions ideally as a harmonic reference. The text's order of presentation also permits the pursuit of fundamental concepts, such as the tonic-dominant relationship, beginning with its "simplest manifestations and gradually revealing more complex developments and ramifications" (p. xiii). However, in their desire to treat V^7 and its multiple resolutions as thoroughly as possible, the authors have presented an overwhelming inventory of permutations and combinations, all of which they examine equally. Indeed, without prior exposure to the topic, a student's comprehension of conventional procedures, in relation to exceptional procedures, may lack clarity as well as context.

The authors' discussion pertaining to complete and incomplete chord constructions, while carefully illustrated, is not fully documented with respect to appropriate situational usages. Their appraisal of contrapuntal restrictions often relies on the discernment of pleasant or unpleasant effects, even unbalanced effects, which require the fine-tuned perceptions of a practiced ear. As well, the progressive gradations of tendency-tone resolutions are clouded with procedural issues, and consequently, require the harmonic discriminations of previous experience to identify their relative suitability. Conceivably, with the placement of these syntactical complexities in a

recognizable context – the musical equivalent of a sentence or a paragraph – the student of tonal harmony may better understand its intricate language.

Musical Excerpts

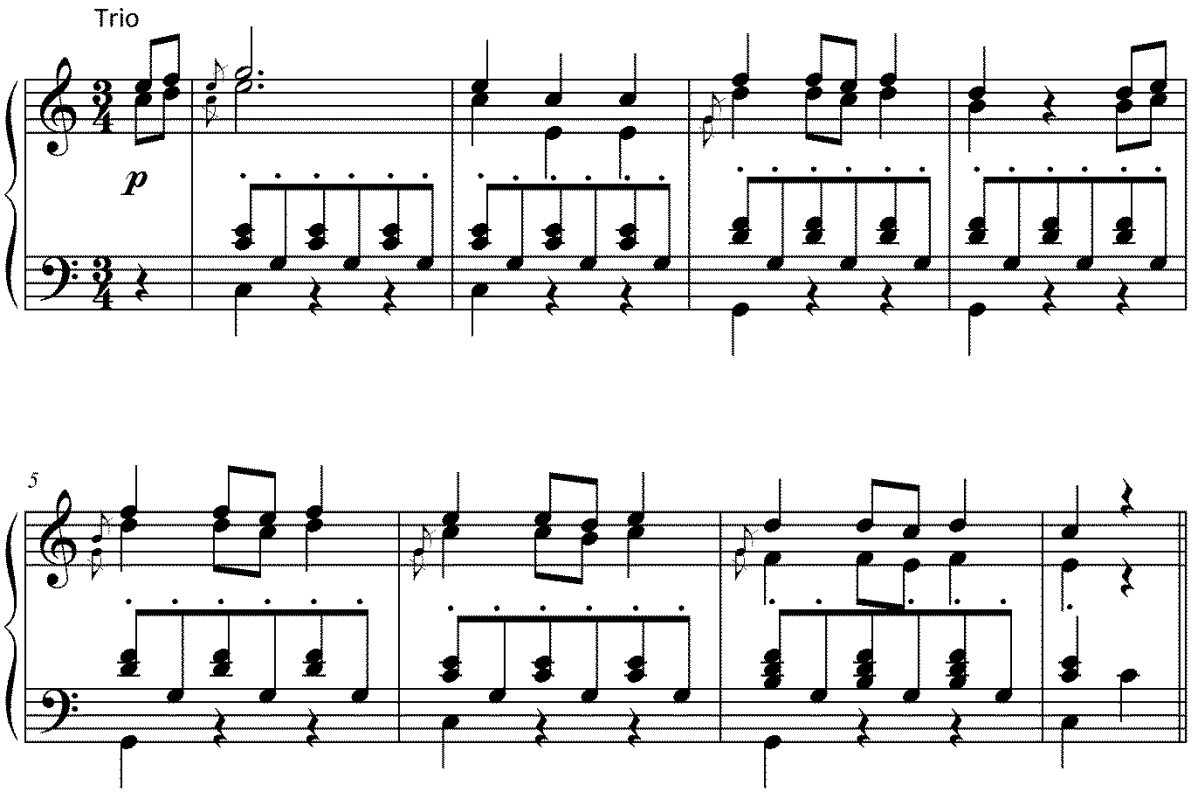
The voice-leading preferred by Bach in his chorale settings provides an element of contextual positioning, but this preference is not illustrated with an excerpt from the pertinent literature. In fact, there are no examples from the musical literature in the presentation of non-specific seventh chords (Unit 4), nor in the dominant seventh's individual presentation (Unit 6), with the exception of a simplified passage from Haydn's Symphony No. 97. Instead, V^7 is situated in contrived illustrations, despite the assertion, which Aldwell and Schachter voice in the preface, to "show examples from the literature at a much earlier stage," intending that students may "begin their analysis of music of the highest quality much sooner" (p. xiii).

Perhaps this deficiency is motivated by the authors' desire to conscientiously administer the sequencing of theoretical concepts in their text. An exposure to musical excerpts that contain harmonic vocabulary beyond the scope of a particular subject may be perceived as detrimental to the educational process, and since the dominant-seventh chord is handled comparatively early in Aldwell and Schachter's conceptual sequence, appropriate musical excerpts may be limited in quantity. However, as an understanding of harmonic syntax matures, so too does the ability to analyse increasingly complex examples from the literature, which inevitably allows for a greater abundance of accessible examples.

An excerpt from the trio of Haydn's Symphony No. 97 (**Example 3.2**) serves as an introduction to the dominant-seventh chord. Its simplification from an orchestral score to a less-complicated piano score creates an easily-deciphered example of the chordal seventh's resolution (ˆ4-ˆ3). Although an explanatory annotation is not provided, the surrounding text includes a detailed

description of this harmonic phenomenon. A subsequent reduction of the score also initiates an illustration of the seventh's function as a passing tone (ˆ5-ˆ4-ˆ3), which in turn, facilitates a discussion of its possible function either as a complete neighbour tone (ˆ3-ˆ4-ˆ3) or an incomplete neighbour tone (ˆ1-ˆ4-ˆ3) (p. 90).

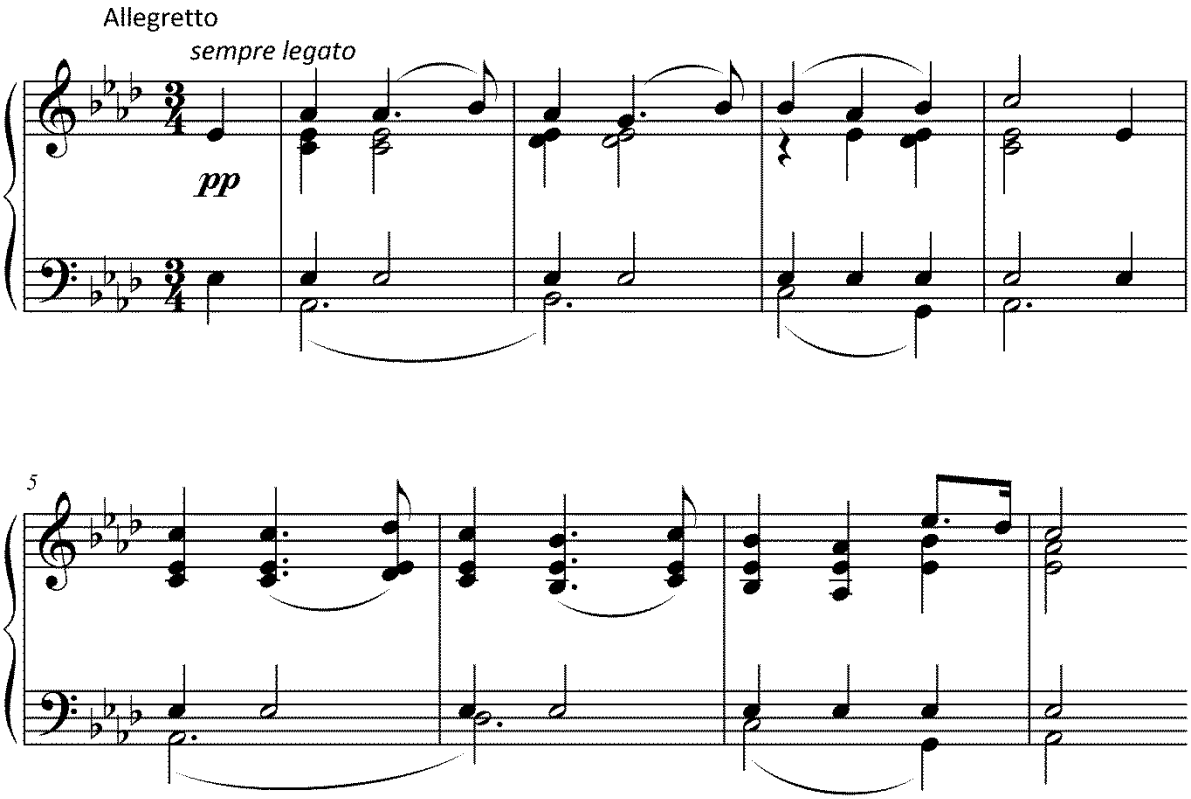
Example 3.2: Haydn, Symphony No. 97, Third Movement, Dominant-Seventh Chord (Introduction)



Unit 8 (Inversions of V^7) opens with the first eight measures of Schubert's Impromptu in A-flat Major (**Example 3.3**) which offers an informative introduction to the dominant seventh's inversions. Containing incidences of all three inversions (V^4_3, V^6_5, and V^4_2), it provides an example of the active tones that support them (B-flat, G, and D-flat) resolving to stable tones which are elements of the tonic chord (C and A-flat). Further, it demonstrates the compositional function of the dominant seventh's inversions as expansions of tonic harmony. A reference to Appendix 2 also affords Aldwell

and Schachter an opportunity to explore the Schenkerian practice of score reduction. Schubert's Impromptu is reproduced in an altered setting that is "reasonably close to note-against-note," then again in a second alteration which omits the "filling voices that add nothing essential to the texture" (p. 639). These procedures minimize the surface complexities of the composition and enable its underlying harmonic structure to emerge.

Example 3.3: Schubert, Impromptu, D. 935, Inversions of the Dominant-Seventh Chord (Introduction)



The following table (**Table 3.1**) summarizes the musical excerpts that are distributed throughout the remainder of the unit, each with a particular illustrative purpose:

Table 3.1: Summary of Musical Excerpts in Relation to the Dominant-Seventh Chord (Inversions)

Unit	Composer	Excerpted Work	Conceptual Inference
8	Beethoven	Piano Sonata, Op. 2, No. 1, first movement	V^6_5 with a characteristic soprano line (ˆ4-ˆ3)
	Mozart	"Non ti fidar" (from *Don Giovanni*, K. 527)	V^4_3 leading from I up to I^6 in parallel 10ths (bass and soprano)
	Beethoven	String Quartet, Op. 131, fourth movement	V^4_3 forming a double-neighbour figure with V^6_5
	Bach	Chorale No. 67	V^4_2 with the soprano leaping up a 4th (ˆ5-ˆ8)
	Mozart	String Quartet, K. 428, fourth movement	V^4_2 moving from V^7 to I^6 (transfer of dissonance)

(pp. 114-117)

Two additional excerpts are found under the heading "Contrapuntal Expansions of Tonic and Dominant," but these are focused on the tonic chord as a possible extension or intensification of dominant harmony. In this somewhat uncharacteristic capacity, the tonic supports the contextual soprano line in either a neigbouring or a passing function and remains subordinate to the dominant.

The Reviews

While the "pedagogical intelligence" of *Harmony and Voice Leading* is modelled in the "clarity of its physical design" and the "sensitivity of its explanatory prose" (Yeston, 1980, p. 119), the authors' approach to teaching tonal harmony is "far more sophisticated than most" (Brodbeck, 1982-83, p. 426). David Brodbeck (University of California, Irvine) describes Aldwell and Schachter's analyses as predominantly logical and convincing, but he expresses a concern that their periodic failure to carefully explain every analytical action diminishes the effectiveness of the text, particularly since it is intended for beginning students (p. 430). William Drabkin (University of Southampton) disagrees

by emphasizing the care with which each example is chosen, presumably to "amplify a point without duplicating one made by a previous example." Although this statement may imply a lack of conceptual reinforcement, Drabkin (1979) continues his praise, asserting that the "reader who takes the trouble to study the particulars of each illustration will learn much about the subtle differences in harmonic meaning of examples, which ... might well be lumped together as illustrations of the same phenomenon" (p. 485). But Brodbeck argues that because the authors are "not content merely to describe chord vocabulary and grammar," the complexity of their approach leads to an "occasional lack of lucidity" (p. 430).

Each review of Aldwell and Schachter's manuscript refers to a gradual assimilation of harmonic vocabulary, which Roger Graybill (New England Conservatory) labels as a "gradualist approach" (1993, p. 259). He acknowledges that this approach exhibits a remarkable degree of integration and recognizes the pedagogical value of prolongation as a conceptual element of integration. However, he cautions that the flexibility of the authors' prolongational model may "account in a positive way for virtually any progression in common-practice tonality," and since the text explores several functional meanings for every chord, these numerous contexts may stretch the capabilities of the average student (p. 262). Maury Yeston (Yale University, until 1981) voices a similar objection. He doubts the "pedagogical wisdom" of appraising certain voice-leading procedures with the word "good," suggesting "permissible" in its stead and insisting the "danger is not that the student will use this ... procedure, but rather that he or she will continuously use it as the solution of first resort" (1980, p. 118).

Consequently, my examination of the dominant-seventh chord, as it is presented in Aldwell and Schachter's textbook (*Harmony and Voice Leading*), concludes with several questions. What regulates the contextual decisions regarding this chord, and how are the accepted conventions of its

resolution weighed against the recognized exceptions? What factors determine its appropriate usage, which of these factors are essential, and what is their traditional order of priority?

Clendinning and Marvin: The Musician's Guide to Theory and Analysis

Published in 2005, *The Musician's Guide to Theory and Analysis* is authored by Jane Piper Clendinning and Elizabeth West Marvin. Along with Joel Phillips, who teaches composition and music theory at Westminster Choir College (Rider University), Clendinning and Marvin have also published two companion volumes: *The Musician's Guide to Aural Skills* (2005) and *The Musician's Guide to Fundamentals* (2009). These three textbooks have been adopted by many American colleges and universities, providing curricular support for their music theory programs.

Clendinning, a professor of music theory at the Florida State University College of Music since 1990, taught previously at the Hartt School of Music (University of Hartford) and at Yale University where she completed her graduate studies. Incorporating a variety of research interests, such as computer applications in music theory, popular and world music analysis, as well as music theory pedagogy, she has occupied leadership positions in several regional, national, and international music theory organizations. Marvin, who completed her term as national president of the Society for Music Theory in 2003, teaches at the Eastman School of Music, where she herself studied. Serving as chair/co-chair of the Theory Department for five years, she supervised significant modifications in both the undergraduate and graduate theory curricula. In 2006, Marvin received a secondary appointment to the Department of Brain and Cognitive Sciences (University of Rochester), where she pursues her interest in music cognition. Representing their combined experiences, *The Musician's Guide to Theory and Analysis* integrates the study of tonal harmony and structure with contemporary theories of music pedagogy.

A Conceptual Sequence

Clendinning and Marvin have organized the sequencing of their text in six parts:

- Building a Musical Vocabulary: Basic Elements of Pitch and Rhythm
- Linking Musical Elements in Time
- The Phrase Model
- Further Expansion of the Harmonic Vocabulary
- Musical Form and Interpretation
- Into the Twentieth Century

The first of these reviews basic terminology and notation in seven chapters:

- Pitch and Pitch Class
- Beat, Meter, and Rhythm: Simple Meters
- Pitch Collections, Scales, and Major Keys
- Minor Keys and the Diatonic Modes
- Beat, Meter, and Rhythm: Compound Meters
- Pitch Intervals
- Triads and Seventh Chords

Confirming, in the preface, the intent of their manuscript as an introduction to the "technical language of music," Clendinning and Marvin emphasize the value of terminology, in communicating with other musicians, and of notation, in reading and writing music (p. xxiv).[3]

Part II (Linking Musical Elements in Time) initiates a discussion of counterpoint that involves the following topics:

- Intervals in Action (Two-Voice Composition)
- Melodic and Rhythmic Embellishment in Two-Voice Composition
- Notation and Scoring
- Voicing Chords in Multiple Parts: Instrumentation

In Part III (The Phrase Model), the authors introduce the fundamental harmonic progression, comprising an opening tonic, a dominant, and a closing tonic, that sustains most tonal music. This exposition contains nine chapters, numbered 12 through 20:

[3] In this section, page-number citations refer to Clendinning and Marvin's textbook, *The Musician's Guide to Theory and Analysis* (2005).

- The Basic Phrase Model: Tonic and Dominant Voice-Leading
- Embellishing Tones
- Chorale Harmonization and Figured Bass
- Expanding the Basic Phrase: Leading-Tone, Predominant, and $^{6}_{4}$ Chords
- Further Expansions of the Basic Phrase: Tonic Expansions, Root Progressions, and the Mediant Triad
- The Interaction of Melody and Harmony: More on Cadence, Phrase, and Melody
- Diatonic Sequences
- Intensifying the Dominant: Secondary Dominants and Secondary Leading-Tone Chords; New Voice-Leading Chords
- Phrase Rhythm and Motivic Analysis

Positioned within their designation of "small-to-medium-scale progressions," this part of the text allows Clendinning and Marvin to correlate the mastery of these progressions with composing music in particular styles, structuring instrumental improvisations, making interpretive decisions in performance, and improving sight-reading skills – or more concisely stated – ensuring that music theory is "absolutely relevant" to music practice (pp. xxiv-xxv).

Their sequential treatment of the dominant-seventh chord follows a spiralled course through Part III, beginning with Chapter 12 (The Basic Phrase: Tonic and Dominant Voice-Leading). Introducing its distinctive quality in a section titled "The Dominant Area," Clendinning and Marvin situate both V^7 and its inversions with a consideration of V and V^6. Chapter 14 (Chorale Harmonization and Figured Bass) refers to the practical function of V^7 as an intensification of dominant harmony. In Chapter 16 (Further Expansions of the Basic Phrase: Tonic Expansions, Root Progressions, and the Mediant Triad), the dominant seventh is positioned in a discussion of tonic prolongation, which establishes the contrapuntal derivation of passing and neighbouring dominants. Chapter 17 (The Interaction of Melody and Harmony: More on Cadence, Phrase, and Melody) explores the deceptive resolution of V^7.

Between these chapters, the authors have examined the function of embellishing tones within the tonic-dominant-tonic phrase model and summarized the basic voice-leading principles that guide the harmonization or realization of chorale melodies and figured basses. Throughout their

discussion, the dominant-seventh chord, while not explicitly referenced, is certainly implicitly so. Leading-tone triads and seventh chords are introduced as dominant-function substitutes, and predominant chords, as well as $^{6}_{4}$ chords, initiate an expansion of the fundamental phrase structure (tonic-dominant-tonic).

In Chapter 19, titled "Intensifying the Dominant: Secondary Dominants and Secondary Leading-Tone Chords; New Voice-Leading Chords," chromatic elements, which lie beyond the boundaries of my research, begin to saturate the text. While the V^7 chord is specifically cited in this setting, as well as in Chapters 21 (Tonicizing Scale Degrees Other Than V), 25 (Chromatic Approaches to V: The Neapolitan Sixth and Augmented Sixths), 28 (Sonata-Form Movements), and 29 (Chromaticism), these chapters, located in Parts III, IV, and V, will not be considered.

The Presentation

Similar to Aldwell and Schachter, Clendinning and Marvin first present the dominant-seventh chord in an introductory chapter titled "Triads and Seventh Chords." This chapter, contained in Part I (Building a Musical Vocabulary), approaches seventh chords from the following perspectives:

- Diatonic Seventh Chords in Major Keys
- Roman Numerals and Figures for Seventh Chords
- Diatonic Seventh Chords in Minor Keys
- Spelling Isolated Seventh Chords

Presenting their information incrementally, the authors introduce seventh chords within a carefully portioned framework. They refer to the diatonic triads discussed earlier in the chapter, adding a chordal seventh above each root and positioning the resulting seventh chords on every degree of the major scale. These are analyzed according to the qualities of both triad and seventh, then named and labelled with quality-derived roman numerals that also indicate scale-degree placement and future function. The description features dominant and leading-tone sevenths since their unique qualities (major-minor and half-diminished) appear only once in this context. The

subsequent illustration of inversions dictates the demonstration of figured-bass symbols, and their abbreviations, which leads to a repetition of the previous discussion in a minor key. Again, the authors highlight the dominant and leading-tone sevenths (major-minor and fully-diminished), regarded as the most common seventh chords in musical literature.

Attending to the relevance of this presentation, Clendinning and Marvin broaden the traditional instruction of tonal harmony, which is associated with the common-practice period, and append their discussion with a section titled "Triads and Seventh Chords in Popular Styles." This section explores lead-sheet notation as an alternate labelling system and introduces other types of seventh chords, such as those found in "Here's That Rainy Day," from *Carnival in Flanders*, by Jimmy Van Heusen and Johnny Burke (pp. 128-131). The final paragraph of Chapter 7 initiates a consideration of seventh chords, and their varied treatments, as an important aspect of musical style.

Continuing its conceptual preparation, the authors include the dominant-seventh chord in Part II, titled "Linking Musical Elements in Time," where it appears briefly in Chapter 8, "Intervals in Action (Two-Voice Counterpoint)." Referenced in a practical section concerned with the writing of note-against-note counterpoint, they introduce the linear subject of chordal dissonance and examine the interval of a minor seventh as well as the tritone, initially defined in Part I, both of which imply a V^7 chord. A "Key Concept" box occurs in this section – one of the text's organizational features that highlights new information as it arises in the progressive discussion. This particular box, partially reproduced in **Table 3.2**, outlines the dissonant intervals of the dominant-seventh chord and the resolution of these intervals, expressed in the contrapuntal context of directional movement.

Table 3.2: Dissonant Intervals of the Dominant-Seventh Chord (Resolutions)

Chordal Dissonance	Resolution	Movement
diminished 5th →	3rd	both voices move in by a step
augmented 4th →	6th	both voices move out by a step
minor 7th →	3rd	lower voice moves up a perfect 4th or down a perfect 5th upper voice moves down by a step

(p. 143)

Concluding Part II, Chapter 11 (Voicing Chords in Multiple Parts: Instrumentation) addresses doubling guidelines under the heading "From Two-Part Counterpoint to Four or More Parts." Clendinning and Marvin refer specifically to the dominant-seventh chord and direct the reader to "never double a tendency tone," which applies most frequently to the leading tone (ˆ7) and the chordal seventh (ˆ4) of V^7 (p. 185). They also introduce the common root-position voicing that omits the fifth and doubles the root but explain its musical context in the following chapter. Similarly, they illustrate an alternating series of incomplete doublings in a sequential progression of seventh chords but defer its explanation to Chapter 18.

The dominant-seventh chord receives its most extensive treatment in Chapter 12 (The Basic Phrase Model: Tonic and Dominant Voice-Leading) which opens Part III (The Phrase Model). Included in a section titled "The Dominant Area," Clendinning and Marvin focus their discussion on these topics:

- The Versatile Dominant Seventh
- Resolutions of V and V^6
- Resolutions of V^7 and Its Inversions
- Dominant Seventh Resolutions in Music Literature
- Doubling Guidelines

Following a review of its scale-degree spelling, a reminder to raise the third in minor keys, and a reconsideration of its distinctive quality, the versatility of the dominant-seventh chord is explored in

several historical contexts. For example, the authors accentuate its natural tension through the symbolism of an unresolved V^7 at the end of Schumann's lied, "Im wunderschönen Monat Mai," from *Dichterliebe*, which depicts the imagery of unrequited love (p. 205).

Addressing the voice-leading principles that distinguish the music of the common-practice period, Clendinning and Marvin present the resolutions of the dominant-seventh chord as an amalgamation of their initial inspection in Part I, which concentrated on the vertical construction of V^7 (Building a Musical Vocabulary), and their subsequent investigation in Part II, concerned with the horizontal tendencies of its intervallic components (Linking Musical Elements). In Part III, the typical resolutions of V^7 and each of its inversions are illustrated in author-constructed settings for four voices (SATB), which are accompanied by two additional illustrations that demonstrate exceptional resolutions. The first of these involves the inner-voice movement from ˆ7 to ˆ5 (V^7-I), reserved for the end of a phrase, and the other, soprano movement from ˆ2 to ˆ5 ($V^4{}_2$-I^6). In both progressions, the chordal seventh (ˆ4) resolves as expected, but the second exception receives no contextual clarification.

Considering the tonic-dominant-tonic phrase model in which this discussion is situated, the authors undertake a categorization of the dominant seventh's relative strength, comparing the root-position chord with each of its inversions. This determination encourages the chord's appropriate placement – whether at the beginning, in the middle, or toward the end of a phrase. Relative strength may also determine the order of presentation in a transferred resolution, placing the strongest dominant-function harmony immediately preceding its resolution to the tonic. These extended resolutions are positioned in freer musical textures found in the literature, and the doubling guidelines established in the previous chapter are reinforced.

After a brief mention in Chapter 14 (Chorale Harmonization and Figured Bass), where V^7 is utilized in the context of a Baroque-style chorale, the dominant-seventh chord is revisited in

Chapter 16 (Further Expansions of the Basic Phrase: Tonic Expansions, Root Progressions, and the Mediant Triad). The section exploring "Tonic Expansions" incorporates the inversions of V^7, included in the following discussions:

- Prolonging Tonic with the Dominant
- Typical Soprano-Bass Counterpoint
- Passing and Neighbouring Dominants in Freer Textures

While the authors also examine tonic prolongations with the submediant, by 5-6 motion, and with the subdominant, these discussions, which precede those listed above, do not overtly refer to V^7, although it figures prominently as a dominant-function chord in the harmonic gestures of several musical excerpts.

Extending the two-chord progressions associated with the resolutions of V^7 and its inversions, tonic prolongations require progressions of three and occasionally four chords. Focusing on the interaction of harmony and counterpoint, the authors place V^4_3 between statements of the tonic chord (I), carefully managing the rhythmic context of its metrical placement. An examination of the resulting neighbouring motion leads to the introduction of V^4_3 in passing motion, placed in a tonic prolongation between I and I^6. This necessitates the exceptional resolution of the chordal seventh *upward* from ˆ4 to ˆ5, creating parallel tenths between the outer voices.

A "Key Concept" box summarizes the melodic patterns that imply tonic expansion or prolongation. These patterns involve passing motion between members of the tonic triad and neighbouring motion above or below a single member (p. 281). Although not specified for soprano or bass, the implication of either may be misleading, as bass patterns that include the dominant, such as ˆ5-ˆ4-ˆ5, are unworkable given the context (Prolonging Tonic with the Dominant), but an identical soprano pattern may be harmonized with several effective bass progressions. Nevertheless, the authors explore a number of typical outer-voice counterpoints, aligning contrary passing motions, neighbouring motions, and a combination of the two. They also illustrate the

possible application of incomplete neighbouring motions in the bass voice, as well as double neighbouring tones, which move from one inversion of the dominant seventh to another and extend the tonic prolongation.

Returning to their tonic-dominant-tonic phrase model, Clendinning and Marvin incorporate the dominant-seventh chord in the opening discussion of Chapter 17 (The Interaction of Melody and Harmony: More on Cadence, Phrase, and Melody). Under the heading "New Cadence Types," they introduce "The Deceptive Cadence: V-vi (or VI)" by referring to Bach's chorale "Wachet Auf." In this excerpt, the cadential resolution of V^{8-7}, which involves ˆ7 falling to ˆ6, is inconsistent with the authors' model in the following example. Additionally, their text indicates normal voice-leading procedures, suggesting that ˆ7 rises to ˆ1 and ˆ4 resolves to ˆ3 without mention of the discrepancy. Regardless, the authors present the phrase-ending deceptive cadence, as well as the dominant's mid-phrase deceptive resolution, in a manner that encourages discovery and informs musical interpretation – a consistent premise throughout *The Musician's Guide to Theory and Analysis*.

In similar fashion, Clendinning and Marvin have invested their text with two interactive elements. First, they have directed the narrative toward a hypothetical student, addressing the reader with the pronoun "you." Although this conversational element may be perceived as non-academic, the authors have succeeded in creating an impression of dialogue and placed the reader in a position of empowerment. Second, the text is infused with "Try it" exercises designed to provide practice opportunities for newly-acquired concepts. Paired with their solutions, found in Appendix 1, these exercises offer the student an immediate response that strengthens the development of conceptual understandings. As a consequence, the student becomes engaged in an educational partnership.

Through the unpretentious explanations of their text, which are frequently supplemented with practical guidelines, the authors provide an accessible and comprehensive exploration of the

dominant-seventh chord. By situating this chord in the multiple contexts of tonal harmony, form and analysis, as well as counterpoint, they demonstrate its widespread significance. Their pedagogical process may risk a negative reception, as the spiral approach they have chosen does not endorse the delineation of an individual harmonic concept nor the procedures that characterize its customary usage. Instead, Clendinning and Marvin have promoted the conceptual interaction of V^7 with other related concepts which inspires a sense of harmonic community. Although every chord exists as a recognizable vertical structure, the functional identity of that structure is dictated by its harmonic and melodic relationships with other chord constructions.

Musical Excerpts

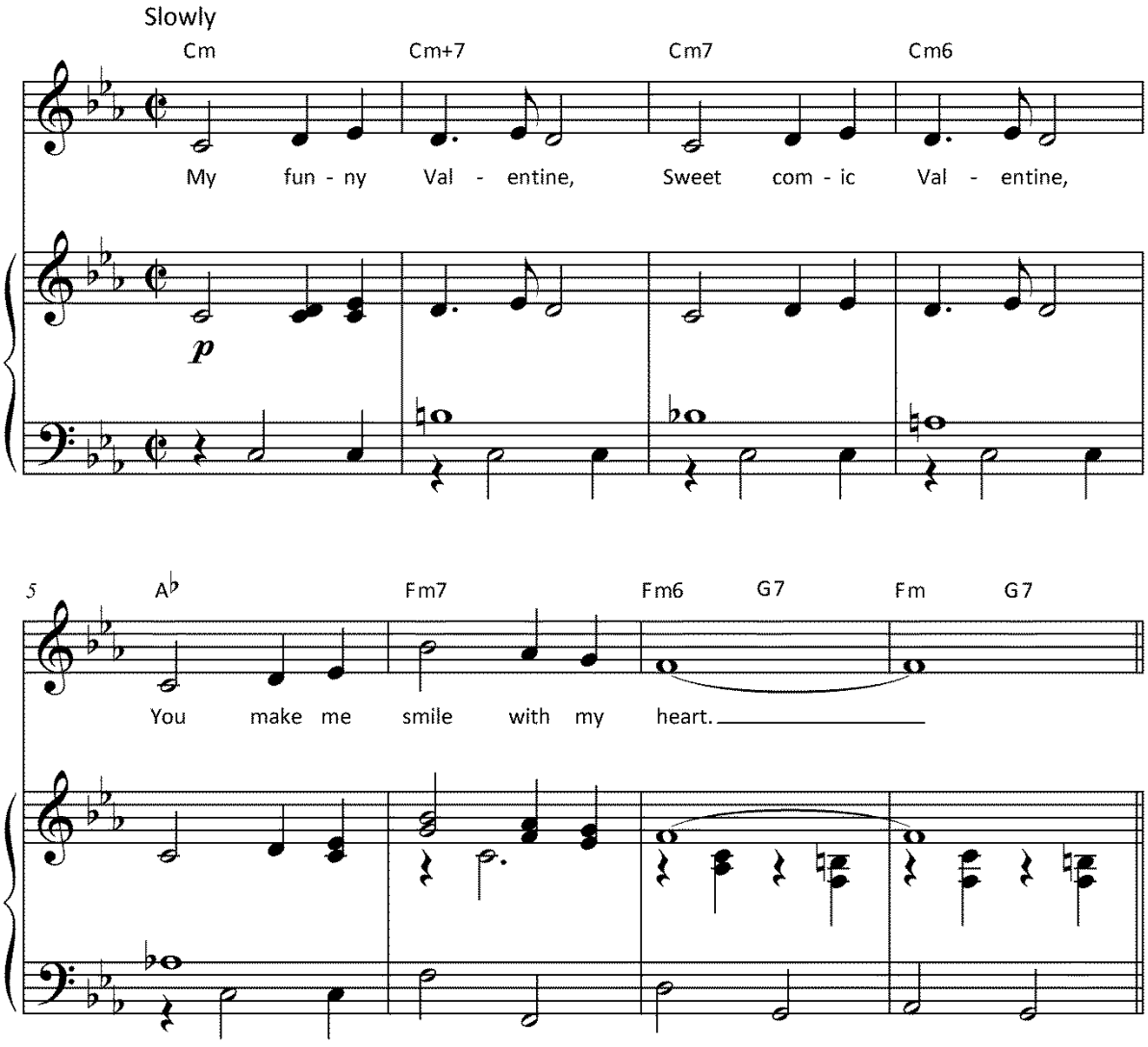
Highlighting the organizational strategies of their textbook, Clendinning and Marvin preface each chapter with an outline of the topics covered, an overview or general description of those topics, and a repertoire list which refers to the pieces featured in that chapter as well as the co-ordinated Anthology and CD sets. The study of these works is "integral to the [authors'] approach to learning music theory" and every composition can be heard either on one of the Anthology CDs or in a MIDI rendition on the *Musician's Guide* website (p. xxix). These works represent a diverse collection of historical and popular genres, musical styles, performing ensembles, as well as twentieth-century works. Some are intended to be familiar and others, to broaden the student's knowledge of musical literature. The authors' spiral approach revisits the core repertoire from chapter to chapter, enabling a single work to illustrate multiple concepts, "like an old friend" (p. xxix).

The opening measures of Rodgers and Hart's "My Funny Valentine," from *Babes in Arms* (**Example 3.4**),[4] provide an opportunity for Clendinning and Marvin to explore seventh-chord doubling guidelines in the context of a popular style. They ask the student to play through the given piano score, then in a "Try it" exercise, to search for doubled or missing chord members as well as

[4] The guitar tablature is omitted from the reproduction of this example.

added notes and unconventional doublings. A detailed analysis of the excerpt is supplied in the answers to their exercise, found in Appendix 1.

Example 3.4: Rodgers and Hart, "My Funny Valentine," Seventh Chords (Flexible Doublings)



The musical excerpts that accompany Clendinning and Marvin's more specific presentation of the dominant-seventh chord are listed in **Table 3.3**.

Table 3.3: Summary of Musical Excerpts in Relation to the Dominant-Seventh Chord

Chapter	Composer	Excerpted Work	Conceptual Inference
12	Schumann	"Im wunderschönen Monat Mai" (from *Dichterliebe*)	distinctive quality of V^7 (implication of the tonic)
	Beethoven	Piano Sonata, Op. 31, No. 2 (*Tempest*), third movement	tendency-tone resolutions (in a freer texture)
	Handel	"Rejoice greatly" (from *Messiah*)	resolution of V^4_2
14	Bach	Chorale No. 74, "O Haupt voll Blut und Wunden"	intensification of dominant function (at the cadence)
16	Mozart	Piano Sonata in C Major, K. 545, second movement	embellished versions of I-V^4_3-I (neighbouring dominant)
17	Bach	Chorale No. 179, "Wachet auf"	deceptive cadence
	———	"My Country, 'Tis of Thee"	deceptive resolution (mid-phrase)

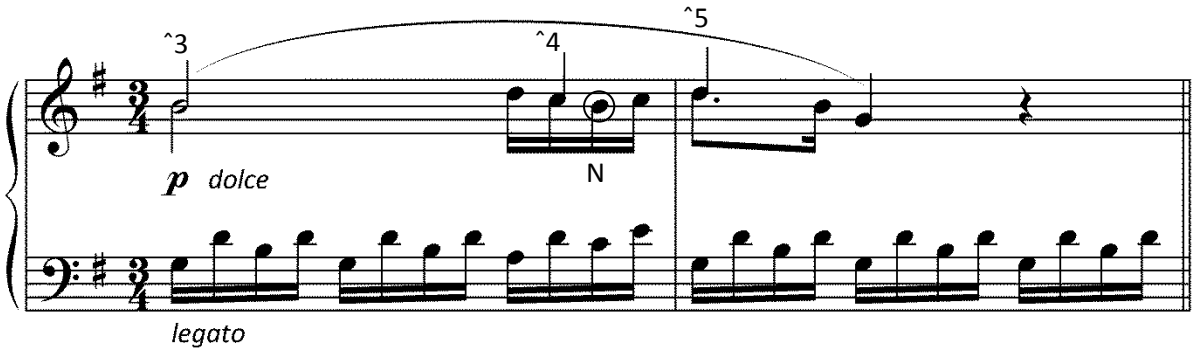
(pp. 205-209, p. 242, p. 284, pp. 299-302)

As an example of an individual work's reappearance, "My Country, 'Tis of Thee" is quoted in nine locations that incorporate five chapters, including Chapters 8 (Intervals in Action) and 17 (The Interaction of Melody and Harmony) which both involve V^7.

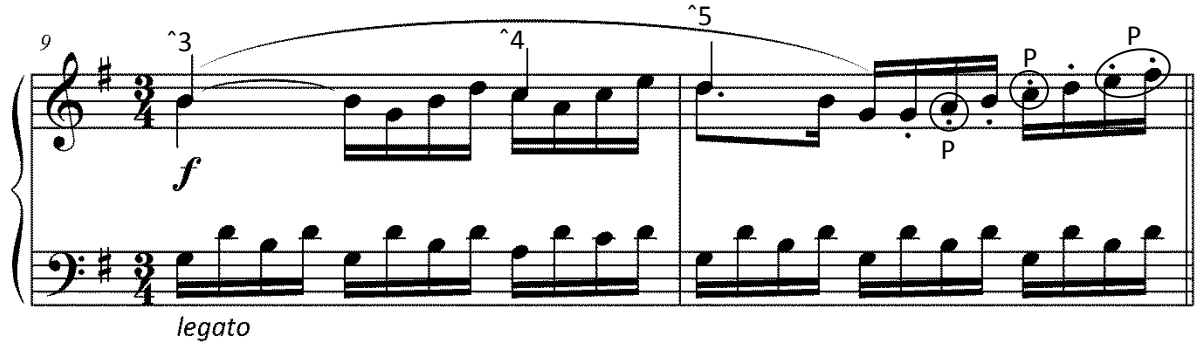
Within the harmonic traditions of eighteenth- and nineteenth-century repertoire, Clendinning and Marvin present two excerpts from the second movement of Mozart's C-Major Piano Sonata, K. 545 (**Example 3.5**). By reducing the instrumental figuration to familiar chord progressions and voice-leading patterns, they illustrate that both passages are embellished versions of the same progression, I-V^4_3-I. The left-hand Alberti bass is simplified with block chords, revealing a neighbouring bass line (ˆ1-ˆ2-ˆ1) that supports an ornamented melodic ascent (ˆ3-ˆ4-ˆ5) in the soprano (p. 283).

Example 3.5: Mozart, Piano Sonata in C Major, K. 545, Second Movement,
Inversions of the Dominant-Seventh Chord (Tonic Prolongation)

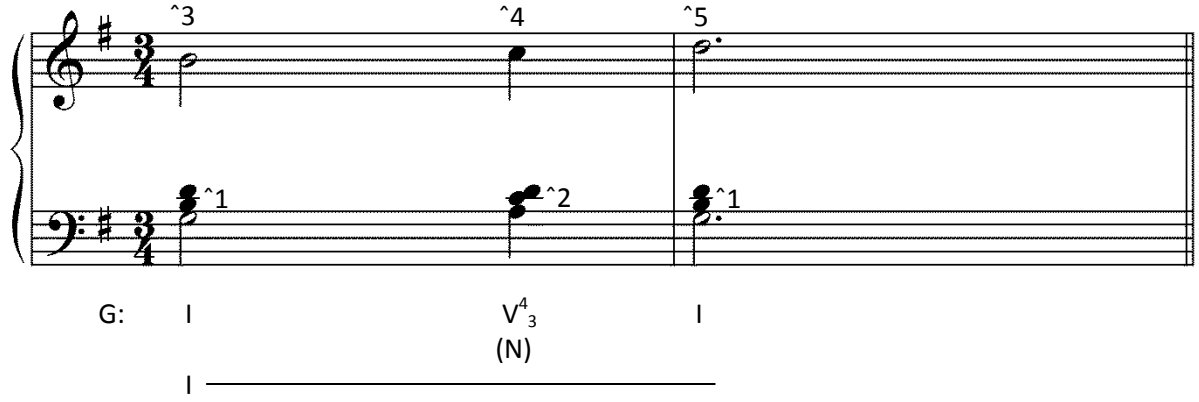
Mm. 1-2



Mm. 9-10



Reduction



The Reviews

Referring to the accessibility of this text, Hali Fieldman (University of Missouri, Kansas City) describes *The Musician's Guide to Theory and Analysis* as a "musical companion disguised as a theory book" (2008, p. 377). Its phrase model, comprising tonic, dominant, and tonic closure, provides an over-arching conceptual framework which, according to Don Traut (University of Arizona), "allows for a more fluid presentation of specific chords" (2006, p. 157). This phrase model also provides a harmonic context for the development of a common-practice functional hierarchy (Tuck, 2009, par. 7). Traut voices the pervasiveness of Schenkerian analytical techniques in undergraduate music theory textbooks (p. 151), but admits that Schenker's influence is not overtly realized in Clendinning and Marvin's text, explaining that while the authors use terms like "expansion" and "prolongation," they have opted to avoid "graphic notation techniques" (p. 157).

Patrick Tuck (University of the Cumberlands, Williamsburg) acknowledges the "well-considered and comprehensive" design of the text's "spiral curriculum" (2009). Although he does not identify it as such, Traut (2006) also recognizes its uncharacteristic presentational style, distinguishing Clendinning and Marvin's curricular approach from that of other authors (p. 157). Fieldman (2008) comments as well, citing the order and pacing of its materials as a demonstration of "real concern with not just what, but also how, we teach" (p. 367). Insisting that the rudiments section is "very nearly inseparable from the core presentation," she describes the pedagogical evolution of later concepts as set to "emerge from seeds planted in the earliest stages" (p. 369). This nature-inspired metaphor recurs in Fieldman's appreciation for Clendinning and Marvin's "spiral-learning" approach which is manifest in the re-visitation of several well-chosen pieces, "each time from the vantage-point of a new topic" (p. 377). She emphasizes:

> The feeling conveyed here is that good music is interesting music and thus demands, each piece in its own way, intellectual engagement; music theory emerges almost organically as a set of tools wielded in service of its users' curiosity. (p. 377)

I value many of the unique qualities in this text – its spiral-designed curriculum; its contextualization in musical literature, which Fieldman (2008) recognizes as a "music-centered perspective" (p. 378); its crossing of stylistic borders; its dynamic treatment of musical concepts; and its conversational tone of instruction. As a result, I have only one question: is Clendinning and Marvin's presentation of the dominant-seventh chord theoretically thorough?

Gauldin: Harmonic Practice in Tonal Music

Robert Gauldin, whose first edition of *Harmonic Practice in Tonal Music* was published in 1997, is professor emeritus of music theory at the Eastman School of Music. Having begun his post-secondary studies at North Texas State University, he received his graduate degrees from Eastman, where he taught for 34 years prior to his retirement. In addition to authoring three widely-subscribed textbooks, including *A Practical Approach to Sixteenth-Century Counterpoint* (1985) and *A Practical Approach to Eighteenth-Century Counterpoint* (1988), Gauldin has occupied positions as reviewer and advisor for Yale University Press and Prentice-Hall. He was also a charter member of the Society for Music Theory and served as its vice-president and president from 1988 to 1992. As a pedagogue, he contributed to many scholarly journals, including the *Journal of Music Theory Pedagogy*, and received the Gail Boyd de Stwolinski Prize for Lifetime Achievement in Music Theory Teaching and Scholarship in 2002.

A Conceptual Sequence

The conceptual organization of *Harmonic Practice in Tonal Music* divides Gauldin's text into four parts:

- The Basic Elements of Music
- Diatonic Harmony
- Chromatic Harmony
- Advanced Chromatic Techniques

Part I examines music fundamentals in seven chapters:

- Pitch and Intervals
- Rhythm and Meter I: Beat, Meter, and Rhythmic Notation
- Tonic, Scale, and Melody
- Triads and Seventh Chords
- Musical Texture and Chordal Spacing
- Partwriting in Four-Voice Texture
- Melodic Figuration and Dissonance I: Categories of Embellishing Tones

The author advises that a working knowledge of these fundamental materials is prerequisite to the study of tonal harmony in Part II and beyond. The chapters are arranged in such a way as to provide a "gradual progression from simple to more sophisticated issues" (p. xxiii).[5] In the preface, Gauldin articulates his objective to correlate the study of tonal harmony with an interaction of melody, approaching harmonic function as "largely derivative of this contrapuntal framework" and attempting to correct the imbalance of traditional practices that "tend to ignore the melodic aspects of music" (p. xxi).

Part II (Diatonic Harmony) presents functional harmony, modulations, and sequences in eighteen chapters, numbered 8 to 25:

- Introduction to Diatonic Harmony
- The Primary Triads: Tonic, Dominant, and Subdominant Chords
- The Dominant Seventh: Embellishing the Tonic Harmony
- The Tonic and Subdominant Triads in First Inversion:
  The IV and I as Embellishing Chords
- Phrase Structure and Grouping
- Linear Dominant Chords: V^6, $vii^{\circ 6}$, and Inversions of $V^{7\,6}$
- The Pre-Dominant II and II^7 Chords
- Melodic Figuration and Dissonance II:
  Suspensions and Other Uses of Embellishing Tones
- The $^6_4$ and Other Linear Chords
- The VI, III, and Other Diatonic Triads
- Rhythm and Meter II: Additional Meter Signatures and Rhythmic-Metrical Dissonance
- The Leading-Tone Seventh Chord and Other Seventh Chords

[5] In this section, page-number citations refer to Gauldin's textbook, *Harmonic Practice in Tonal Music* (2004).

[6] The author differentiates the quality of leading-tone ($vii^{\circ 6}$) and subtonic (VII^6) chords in this title, but uses upper-case roman numerals for all remaining chapter titles.

- Harmonic Sequences I: Triadic Root Movement by 5th, 2nd, and 3rd
- Tonicization and Modulation I: Secondary Dominant Chords
- Tonicization and Modulation II: Motion to V and III
- Harmonic Sequences II: Sequences of Seventh Chords and Other Sequences
- Simple Forms
- Analytical Comments on a Menuetto and Trio by Beethoven

In a progressive manner similar to that of the previous part, harmonic concepts introduced early in Part II provide the "necessary foundation for those introduced later" (p. xxiv). Gauldin systematically presents each diatonic chord and its harmonic function in a variety of musical contexts that stress the interaction between melodic and harmonic forces. He proceeds from generalizations of spelling and partwriting, through examples from musical literature, to practical applications involving the harmonization of melodies. Beginning with basic voice-leading models of the more common harmonic progressions, which he illustrates in C major or C minor, the author selects musical examples that demonstrate the elaboration of these models in various keys, meters, rhythms, and textures. Gauldin's "model-to-music" format is also reversed by a carefully guided process of reductive analysis that reveals the essential harmonic basis of his musical excerpts (p. xxiv-v).

Located in Chapter 10 (The Dominant Seventh: Embellishing the Tonic Harmony) of this second part, the dominant-seventh chord is introduced in root position as an essential cadential chord. It reappears in Chapter 13 (Linear Dominant Chords: V^6, $vii^{\circ 6}$, and Inversions of V^7), along with its inversions, which typically function as linear or embellishing dominant harmonies. In Chapter 19 (The Leading-Tone Seventh Chord and Other Seventh Chords), Gauldin associates the inversions of V^7 with those of $vii^{\circ 7}$, through common bass notes.

The remaining chapters in Part II complete the author's methodical presentation of diatonic chords and their inversions. Identifying the bass and soprano as the most significant structural voices in a musical texture, he promotes the linear properties of embellishing chords which generate rich contrapuntal relationships between these outer parts. He also treats broader topics,

such as phrase groupings, suspension techniques, rhythmic and metric dissonances, as well as harmonic sequences, prior to a discussion of secondary dominants and modulations which foreshadow the chromaticism of subsequent chapters.

The dominant-seventh chord is also included in Parts III and IV, which address chromatic harmony and therefore, exceed the diatonic boundaries of my research. Nevertheless, the author specifically refers to V^7 in Chapters 32, titled "Embellishing Chromatic Chords," 35, "Ninth, Eleventh, Thirteenth, and Added-Note Chords," 38, "Analytical Comments on Wagner's *Tristan* Prelude," and 40, "Modulations to Foreign Keys II."

The Presentation

The first indexed occurrence of the dominant-seventh chord is situated in Chapter 10, suitably titled "The Dominant Seventh: Embellishing the Tonic Harmony." Unlike Aldwell and Schachter as well as Clendinning and Marvin, Gauldin does not specifically refer to V^7 in his introductory chapter, titled "Triads and Seventh Chords." Instead, he defines the seventh chord as an extended tertian structure and historically places its conception in the late Baroque period. He presents the five types of seventh chords commonly found in tonal music and identifies their various intervallic forms: major, major-minor, minor, half-diminished, and fully-diminished. These are illustrated in decreasing size with a common root,[7] then placed diatonically in both C major and C minor, where they are labelled by type or quality as well as with commercial chord symbols. Emphasizing that the presence or absence of chordal tritones is "crucial to [the] identity and function" of seventh chords, these tritones are bracketed in the common-root illustration (p. 63). Gauldin concludes the chapter with a brief introduction to the inversions of seventh chords and their appropriate figured-bass

[7] By choosing E as a common root, Gauldin is able to spell all five seventh chords without the necessity of double sharps or double flats.

symbols, which notably, but without a contextual reference, are demonstrated using the dominant seventh of C major.

The author continues his meticulous examination of fundamental topics, facilitating the student's understanding of chordal spacing, doubling, and partwriting, in a four-voice texture. He also addresses the interaction between melody and harmony, initiating a discussion of melodic figuration that differentiates essential tones from embellishing tones and categorizes the latter. Crossing the threshold into Part II, which houses his presentation of diatonic harmony, Gauldin postpones his treatment of the dominant-seventh chord until he establishes a harmonic model, which identifies the function of each chord – as either variable, pre-dominant, dominant, or tonic – based on the harmonic tendencies of active tones and root movements. He also begins an exploration of the primary chords in root position, focusing on their tonal relationships as well as their contrapuntal relations, particularly expressed in the context of cadential progressions (authentic, half, and plagal).

Gauldin's exposition of V^7 in Chapter 10 (The Dominant Seventh) initiates his expansion of harmonic vocabulary beyond the primary chords with these topics guiding his presentation:

- The Dominant Seventh in Root Position
- Preparation and Resolution of the V^7
- The Cadential Dominant Seventh
- Arpeggiated Tonic Prolongation within the Phrase
- Prolongation of Tonic Harmony using Embellishing Chords
- Melody Harmonization
- The Elaboration of a Harmonic Model

Although the dominant-seventh chord is not specifically cited in the section titled "Arpeggiated Tonic Prolongation within the Phrase," it returns in the following section with this subheading: "The V^7 as an Embellishing Chord to I."

Adhering to the organizational structure of his harmony chapters, Gauldin begins with a short introduction that relates V^7 to the primary chords in the previous chapter, followed by a section in

which he succinctly describes its identifying features, such as its location (ˆ5), quality (Mm7), and spelling (G-B-D-F), carefully highlighting that parallel major and minor modes share the same dominant-seventh chord. After mentioning the dissonant seventh in Chapter 4 (Triads and Seventh Chords) but deferring a detailed discussion of its approach and resolution to this chapter, an explanation of practical partwriting considerations ensues. The author recalls his handling of dissonant embellishing tones in Chapter 7 (Melodic Figuration and Dissonance I) and places the chordal seventh of V^7 in a similar context. He clearly articulates the departure or resolution of the seventh as *always* moving downward by step from ˆ4 to ˆ3 and illustrates several common approaches or preparations. These resemble the melodic contours of four non-harmonic tones – the passing tone, neighbouring tone, suspension, and appoggiatura – depending on the chord of origin which, for the suspension, requires a subdominant chord (IV) and justifies its early placement in the conceptual sequence (p. 147-148).

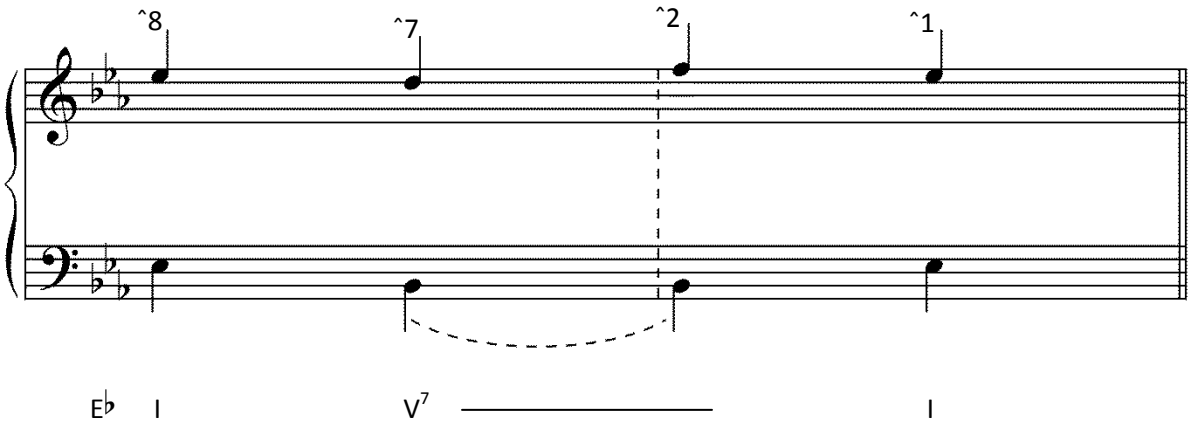
Each of these melodic preparations is illustrated in an author-constructed SATB setting which leaves the dissonant seventh unstemmed and connects the preparation to the resolution with a slur, in a manner that resembles Schenkerian analysis. Four short excerpts of cadential formulas serve as a further demonstration of the seventh's treatment. However, Bach's chorale harmonization of "Nun preiset alle Gottes Barmherzigkeit," intended to represent the melodic contour of an appoggiatura, is inconsistent with Gauldin's definition, as the chordal seventh in this excerpt is metrically unaccented.

Turning his attention to the chordal third or leading tone, the author's explanation of its resolution becomes mired in details. Following a brief mention of the tritone and its tendency to resolve inward or outward according to its numerical value, he considers two strategies: the first places ˆ7 in an inner voice, and the second, in the soprano. The reader is confronted with the possibility of a leading tone leaping downward to the dominant (ˆ7-ˆ5), an awkward-sounding

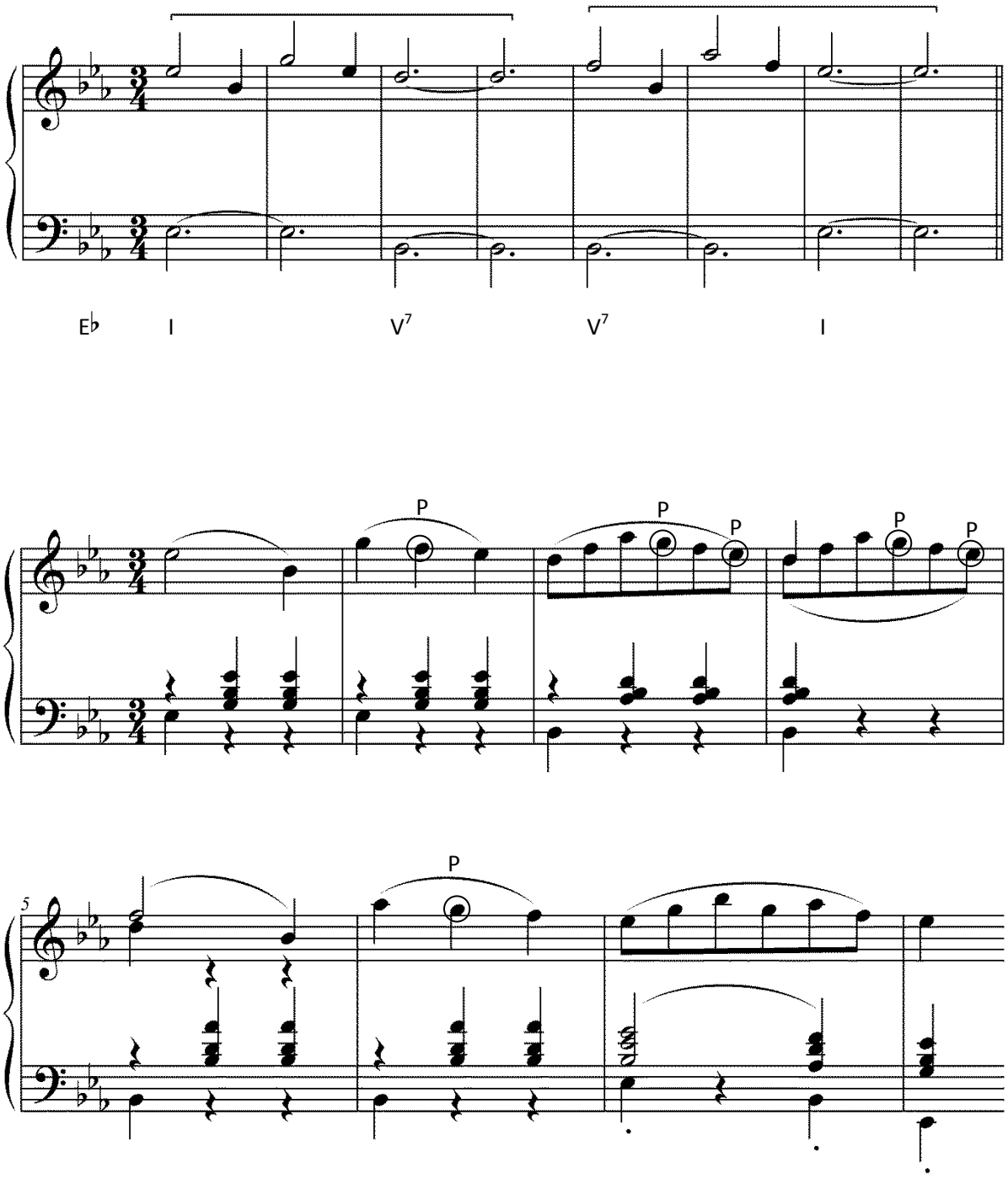
passing tone (ˆ7-(ˆ6)-ˆ5), parallel fifths when the leading tone resolves to the tonic (ˆ7-ˆ8), an incomplete V^7 with the fifth omitted, a tripled root in the resolution to I, or direct octaves with an undesirable doubled third in the tonic resolution. Although each of these options is diagramed with an annotated illustration, practical guidelines for its contextual use or misuse are omitted.

The remainder of the chapter is dedicated to the prolongation of tonic harmony with embellishing chords. Gauldin distinguishes essential or cadential dominants from embellishing dominants by their placement in the phrase, and visually represents them with stemmed notes and unstemmed notes respectively. He considers V as an embellishing chord to I, then V^7, referring to an excerpt from Schubert's Waltz in B Minor which contains both cadential and embellishing dominant sevenths, cleverly allowing for their direct comparison. The author provides two reductions of Schubert's waltz, as well as the subsequent excerpt from Haydn's String Quartet in E-flat Major, but he finishes the chapter by reordering the process and hypothetically creating a simplified version of the trio from Mozart's Symphony No. 39 (p. 161). Gauldin's elaboration of a voice-leading model, incorporating prolongations of both tonic and dominant harmonies, is reproduced in **Example 3.6**.

Example 3.6: Mozart, Symphony No. 39 in E-flat Major, Third Movement (Simplified), Dominant-Seventh Chord (Harmonic Elaboration)



Example 3.6: Continued



In Chapter 13 (Linear Dominant Chords), Gauldin continues his exploration of the dominant-seventh chord, focusing on its contrapuntal role in the creation of melodically interesting bass lines. This chapter engages the following topics:

- The V^6, vii°^{6}, and Inversions of V^7
- Uses of the V^6 and vii°^{6}
- Embedded Voice-Leading Motion
- Examples of the V^6 and vii°^{6} in Music Literature
- Inversions of the V^7
- Examples of Inversions of V^7 in Music Literature
- Arpeggiated Extensions of Dominant Harmony
- Exceptional Treatments of the Chordal 7th
- Extended Embellishment of the Tonic Harmony
- Melody Harmonization

A brief introduction to $V^6{}_5$, $V^4{}_3$, and $V^4{}_2$ groups the first and second inversions with V^6 ($V^6{}_5$) and vii°^{6} ($V^4{}_3$), according to their bass notes. Since the bass notes of all three inversions are active scale-degrees, they tend to resolve to stable scale-degrees in tonic harmony (ˆ7-ˆ8, ˆ2-ˆ1 or ˆ2-ˆ3, and ˆ4-ˆ3) and as a result, typically function as embellishing dominant harmonies.

Returning to the passing and neighbouring tones that previously assisted his treatment of the chordal seventh, Gauldin employs the figuration of these non-harmonic tones, as well as the incomplete neighbouring tone, to describe the bass motions of the inverted dominant-seventh chords. He also presents an expanded linear passage in which he illustrates two distinct levels of voice leading that unfold simultaneously – a phenomenon he terms “embedded” motion (p. 204). Emphasizing the preparation and resolution of the seventh – by passing and neighbouring motion supplemented with suspensions and appoggiaturas – he considers each inversion of V^7 in succession. With the progression I-$V^4{}_3$-I^6, he contradicts the normal downward resolution of the chordal seventh and overrides his earlier statement because of the strong melodic motion involving similar tenths between the bass and soprano voices. The opening passages from three of Beethoven’s piano sonatas provide musical examples of all the dominant-seventh inversions.

The following section introduces dominant prolongations using various inversions of V^7 in an ascending or descending bass arpeggiation. This extension of dominant harmony leads the author to examine three exceptional treatments of the chordal seventh. Demonstrating with voice-leading reductions that accompany excerpts from the literature, he describes a delayed resolution, a displaced resolution, and a transferred resolution. Returning to tonic prolongations, the chapter concludes with extended embellishments of tonic harmony and the placement of embellishing dominants in the practical context of melody harmonizations.

Expanding his family of dominant-function chords in Chapter 19 (The Leading-Tone Seventh Chord and Other Seventh Chords), Gauldin presents the leading-tone seventh ($vii°^7$) as a substitute for V^7. Although the dominant-seventh chord and each of its inversions receives a significant portion of the initial discussion, they are, of course, cast in a subordinate or comparative role. But their similar pitch-class content allows the author to align V^6_5 with $vii°^7$, V^4_3 with $vii°^6_5$, and V^4_2 with $vii°^4_3$, effectively reinforcing his previous discussion of embellishing dominant harmonies. This chapter begins the progression of dominant sonorities toward a greater sense of tonal tension, and since the use of $vii°^7$ in the major mode requires a chromatic alteration,[8] it may also symbolize the convergence of diatonic and chromatic harmony.

In his introductory remarks, Gauldin articulates a relationship between language and music, suggesting a correlation between the acquisition of linguistic skills and musical skills, which enable the expressions of speaking and writing language, as well as performing, interpreting, and explaining music (p. xxix). This premise is perpetuated throughout Gauldin's text, exhibited in the clarity and precision of his prose. It is also manifest in the pedagogical organization of his textbook, both in the sequential arrangement of its theoretical concepts and the internal succession of conceptual inferences within each topic. Gradually progressing from simple to more sophisticated issues, he

[8] Gauldin considers the chord tones of the leading-tone seventh ($vii°^7$) to be diatonically derived in the minor mode.

structures his presentations to begin with matters of musical "spelling" that address generalizations such as chord constructions and scale-degree placements. He proceeds with partwriting models that demonstrate musical "grammar," including illustrations of typical usage in excerpts from the musical literature, and concludes with the melodic contextualization of musical "syntax," which introduces exceptions and embellishments relevant to the concept's application. This gradual progression is duplicated in the larger structure of Gauldin's textbook, reminiscent of the hierarchical levels that characterize Schenkerian analysis. Evidence of Gauldin's systematic organization is also represented in his basic harmonic models which are situated in either C major or C minor. This allows for a direct voice-leading comparison from one to another but may limit the student's ability to both see and hear harmonic progressions in various keys.

Musical Excerpts

Referring back to Gauldin's "model-to-music" format (p. xxiv), the text of *Harmonic Practice in Tonal Music* is extensively provisioned with musical examples. These excerpts, drawn from a wide range of literature that extends from the Baroque period to the twentieth century, represent diverse vocal and instrumental genres. Facilitating their keyboard playability, the examples are occasionally simplified and, with the exception of lieder or solo sonatas, ensemble works are condensed on two-stave scores. Additionally, all the musical excerpts featured in the text, excepting single-line melodies, are also included on a supplemental CD-ROM that encourages a direct "transition from theory to ear training and performance" (p. xxvi).

Concentrating on the musical excerpts that pertain directly to the dominant-seventh chord, **Table 3.4** summarizes their inclusion in Chapter 10 (The Dominant Seventh: Embellishing the Tonic Harmony).

Table 3.4: Summary of Musical Excerpts in Relation to the Dominant-Seventh Chord

Chapter	Composer	Excerpted Work	Conceptual Inference
10	Berlioz	*Symphonie fantastique*, fifth movement	7th approached through passing motion
	Bach	"Nun preiset alle Gottes Barmherzigkeit"	7th approached through an appoggiatura
	Mozart	Symphony No. 40 in G Minor, first movement	7th approached through neighbouring motion
	Mendelssohn	"Retrospection" (from *Songs Without Words*, Op. 102, No. 2)	7th approached through a suspension
	Chopin	*Berceuse*, Op. 57	extended alternations of I and V^7
	Schubert	Waltz in B Minor, Op. 18, No. 6	essential and embellishing chords
	Haydn	String Quartet in E-flat Major (*Joke*), Op. 33, No. 2, second movement	a problematic half cadence (phrase groupings)
	Mozart	Symphony No. 39 in E-flat Major, third movement, Trio (simplified)	elaboration of a harmonic model

(pp. 150-161)

Table 3.5 presents a summary of the musical excerpts in Chapter 13 (Linear Dominant Chords: V^6, vii°^{6}, and the Inversions of V^7), again limited to examples that relate directly to the dominant-seventh chord.

Table 3.5: Summary of Musical Excerpts in Relation to the Dominant-Seventh Chord (Inversions)

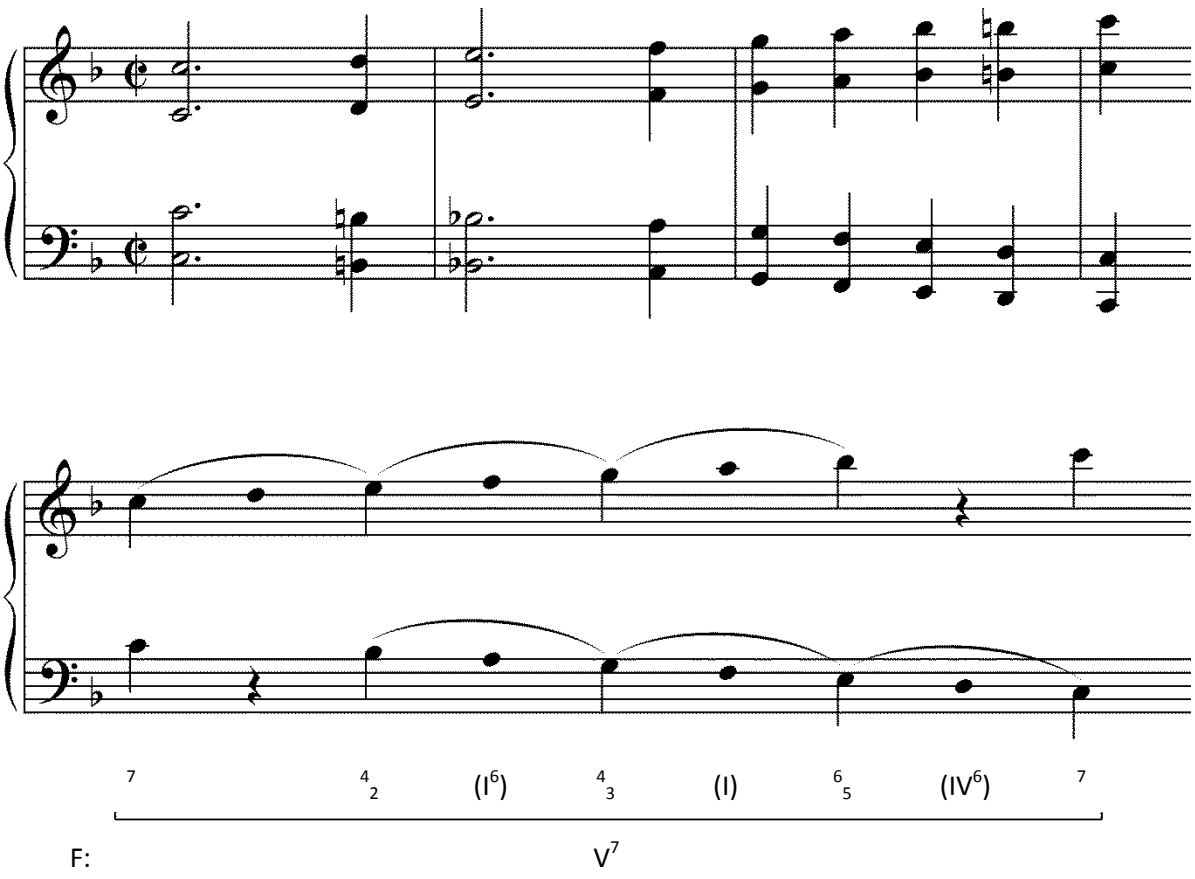
Chapter	Composer	Excerpted Work	Conceptual Inference
13	Beethoven	Piano Sonata in A-flat Major, Op. 110, first movement	V^4_3 (and V^4_2) in passing motion from I to I^6
	Beethoven	Piano Sonata in A-flat Major, Op. 26, first movement	embedded passing motion (V^4_3) within neighbouring motion
	Beethoven	Piano Sonata in C Minor, Op. 10, No. 1, second movement	V^6_5 as an embellishing neighbour and an essential chord
	Chopin	Waltz in B Minor, Op. 69, No. 2	V^4_3 and V^6_5 as embellishing neighbours (changing tone figuration)
	Sousa	"The Thunderer"	dominant prolongation through passing motion
	Beethoven	Piano Sonata in E-flat Major, Op. 31, No. 3, third movement	dominant prolongation through arpeggiation
	Mozart	Piano Fantasia in D Minor, K. 397	delayed resolution of the 7th (dangling 7th)
	Schubert	"Heidenröslein," Op. 3, No. 3	displaced resolution of the 7th
	Beethoven	Piano Sonata in E-flat Major, Op. 7, first movement	transferred resolution of the 7th

(pp. 208-215)

Comparing these two tables, the diversity of excerpted works has narrowed from Chapter 10 to Chapter 13, in their representation of both genre and historical style. Although portions of Chapter 13 which are not specifically concerned with the dominant-seventh chord include excerpts from several of Bach's chorales, as well as Purcell's *Dido and Aeneas*, the overwhelming majority of musical examples in this chapter are Classical piano pieces. Perhaps a wider range of repertoire would convey the significance of this chord across stylistic boundaries. The introduction of Sousa's march (**Example 3.7**), which is the chapter's most contemporary work, serves as an example of

dominant prolongation, and the author's reduction illustrates the embellishing chords that bridge its implied inversions of V^7(p. 212).

Example 3.7: Sousa, "The Thunderer," Inversions of the Dominant-Seventh Chord (Dominant Prolongation)



The Reviews

Seeking to situate my observations of Gauldin's textbook, I consulted the reviews of two authors: Gene Biringer (Lawrence University) and John Check (University of Central Missouri), both of whom received doctoral degrees from Yale University and studied with Allen Forte. I was compelled to investigate their qualifications, as both reviewers responded to Gauldin's text more or less unfavourably. Although Biringer (1998) describes *Harmonic Practice in Tonal Music* as a "welcome

addition to the withering corpus of serious textbooks for first- and second-year theory," he criticizes its overtly Schenkerian emphasis as a "source of significant problems" (p. 152). Similarly, Check (1999) views Gauldin's "commitment to Schenkerian graphic techniques" as the text's "greatest weakness," objecting to its "rudimentary stem-and-slur notation," which he finds "too cursory to be effective." In addition, he exposes the pedagogical implications of encouraging students to make analytical graphs of their own, arguing that this activity may distract them from understanding the harmony. He does, however, mention Gauldin's choice of musical examples which "help to make the theoretical points they illustrate accessible and interesting," as well as his appealing instructional tone which "engages students (and teachers) by posing questions" (p. 383). Biringer agrees, adding that these questions "stimulate active involvement in the text" by prompting the reader to "discover an answer rather than digest it passively." He also alludes to the text's "intelligent sequence of topics and the sensible pacing within each section" (p. 153), but a significant portion of his article is concerned with Gauldin's "questionable graphing practices" (p. 155).

My estimation of Gauldin's textbook may not align with Biringer and Check as I am considering its second edition, published seven years after the first. Additionally, the integration of Schenkerian analytical techniques within the traditional domain of tonal harmony has greatly expanded in the intervening years. Nevertheless, my examination of this text, in relation to the dominant-seventh chord, will conclude with two related questions. Does the multi-dimensional interaction of both melodic and harmonic elements contribute positively or negatively to the introduction of a new concept, such as V^7? Is it beneficial to begin with one element or the other, and if so, which one?

Kostka and Payne: Tonal Harmony

Tonal Harmony: With an Introduction to Twentieth-Century Music, authored by Stefan Kostka and Dorothy Payne, was first published in 1984. Kostka, professor emeritus of music theory at the University of Texas (Austin), received his Ph.D. from the University of Wisconsin. Prior to his faculty appointment in Texas, he taught at the Eastman School of Music and initiated courses involving computer applications in music at both locations. His subsequent interest in atonal theory and contemporary compositional techniques led to a second publication – *Materials and Techniques of Twentieth-Century Music* (2005). Payne was former dean of the School of Music at the University of South Carolina. Previously, she taught at the Eastman School of Music, where she completed both undergraduate and graduate degrees, as well as at Pacific Lutheran University and the University of Texas (Austin). Holding administrative positions at the University of Connecticut and the University of Arizona, she also served the National Association of Schools of Music on both the Executive and Accreditation Boards. *Tonal Harmony*, used extensively by post-secondary institutions in the United States, represents her success, along with Kostka's, in the field of music theory pedagogy.

A Conceptual Sequence

The conceptual sequencing of Kostka and Payne's text has been organized in six parts:

- Fundamentals
- Diatonic Triads
- Diatonic Seventh Chords
- Chromaticism 1
- Chromaticism 2
- Late Romanticism and the Twentieth Century

The first part provides an overview of the fundamental elements of music in four chapters:

- Elements of Pitch
- Elements of Rhythm
- Introduction to Triads and Seventh Chords
- Diatonic Chords in Major and Minor Keys

While Chapters 1 and 2 are intended as a thorough but concise review, Chapters 3 and 4 begin an introduction to triads and seventh chords, as well as their inversions, incorporating various textures and placing them in a tonal context.

Part 2 (Diatonic Triads) opens with a presentation of voice-leading principles, limited to root position triads, which is followed by a systematic discussion of normative harmonic progressions. Successive chapters discuss triads in inversion, basic elements of musical form, and non-chord tones as follows:

- Principles of Voice Leading
- Root Position Part Writing
- Harmonic Progression
- Triads in First Inversion
- Triads in Second Inversion
- Cadences, Phrases, and Periods
- Non-Chord Tones 1
- Non-Chord Tones 2

Clarifying concepts of voice leading, harmonic structure, and formal procedure, the authors establish the purpose of their manuscript in its preface – to "elucidate tonal logic at the phrase and section level, as well as from one chord to the next" (p. v).[9]

The dominant-seventh chord is briefly mentioned in Chapter 7 (Harmonic Progression), but its formal presentation is positioned in the first chapter of Part 3 which is devoted entirely to diatonic seventh chords. This part contains three chapters, numbered 13 to 15:

- The V^7 Chord
- The II^7 and VII^7 Chords
- Other Diatonic Seventh Chords

Appearing as early as Chapter 5 (Principles of Voice Leading), a surprising number of examples and exercises include the analysis of seventh chords – the dominant seventh in particular – but in spite of their increasing frequency and complexity, Kostka and Payne have chosen not to address the

[9] In this section, page-number citations refer to Kostka and Payne's textbook, *Tonal Harmony: With an Introduction to Twentieth-Century Music* (2004).

specific details of their treatment until Chapter 13, which is comparatively late in the pedagogical sequence.

The index cites two additional references to the dominant-seventh chord, both in Chapter 26, titled "Further Elements of the Harmonic Vocabulary." Located in Part 5, the pertinent portions of this chapter involve discussions of the dominant with a raised fifth as well as the common-tone diminished-seventh chord – chromatic sonorities that lie outside the bounds of my research.

The Presentation

Although the dominant-seventh chord is not officially discussed until Part 3 (Diatonic Seventh Chords), elements of its construction are described in Chapter 3 (Introduction to Triads and Seventh Chords) which presents these topics:

- Introduction
- Triads
- Seventh Chords
- Inversions of Chords
- Inversion Symbols and Figured Bass
- Lead Sheet Symbols
- Recognizing Chords in Various Textures

Intentionally disregarding contextual information, the authors define seventh chords as extensions of tertian triads and illustrate the five types in common usage (major, major-minor, minor, half-diminished, and diminished). These illustrations are labelled by chord type (major-minor), symbol (Mm7), and construction (major triad, minor 7th). As a review of seventh chords, this presentation would be adequate but as an introduction, it lacks a musical perspective and implies the memorization of harmonic vocabulary that is detached from its source. Furthermore, an assumption that the student will "begin to become familiar with [seventh chords] through examples and analysis assignments" (p. 42) resembles the biological process of osmosis and leaves the accumulation of knowledge to an indiscriminate and unconscious practice of assimilation.

Perhaps the information included in the preface, particularly in the section addressed to the student, could be incorporated in this introductory chapter. The preface provides an engaging exploration of "Harmony in Western Music" that considers its historical origin and distinguishes it from the music of other cultures. Asking open and thought-provoking questions, the authors formulate a definition of harmony and examine the evolutionary fluctuations that affect its horizontal and vertical interactions. Proceeding toward a definition of tonal harmony, they contemplate the complex relationships of harmonic function and demonstrate with two chords that may be interpreted as V^7 resolving to I in B-flat major (**Example 3.8**). The student is asked to play the first chord (V^7) several times and "listen to where the chord *wants* to go," then play the second chord (I) which "will seem to follow [it] perfectly" (p. xi). This discussion offers an appealing environment for the derivation of functional harmony, but its conversational tone and inquisitive mood are not continuously maintained throughout the text.

Example 3.8: Tonal Harmony (Functional Tendency)

Returning to Chapter 3 (Introduction to Triads and Seventh Chords), the authors introduce inverted seventh chords following a similar exposition of triads. Alternately identified as "bass positions," the inversions are labelled with complete figured-bass symbols, condensed symbols, and a brief description of the root's location relative to the bass note. A presentation of "lead sheet" or popular chord symbols compares and contrasts this contemporary system with the traditional Baroque system. Although both notational processes facilitate improvisation, figured-bass symbols accompany a bass line and indicate chords to be played above it, while popular symbols accompany

a melody line and indicate chords to be played below it (p. 47). The chapter concludes with a practical explanation designed to assist students, especially non-keyboardists, with the analysis of chords distributed over two or more staves.

Chapter 4 (Diatonic Chords in Major and Minor Keys) addresses the issue of contextualization that was absent in the previous chapter. Following the diatonic placement of triads in both major and minor keys, seventh chords are similarly positioned on every scale degree and indicated with upper- or lower-case roman numerals. Concentrating on the quality and spelling of these chords, Kostka and Payne summarize this information in two tables, instructing the student to learn and memorize them.

Seventh chords continue to appear in the examples and analysis exercises of subsequent chapters, consistent with the authors' aspiration to "build a solid foundation for ... later chapters" (p. 64). In Chapter 7 (Harmonic Progression), this intention is accelerated with an observational directive to the student: "You will see that in almost every case seventh chords function in the same way as triads; for example, both V and V^7 tend to be followed by the I chord (or sometimes by the vi chord)" (p. 110). Examining chord successions typical of tonal harmony, the authors organize their presentation of diatonic chords (Chapter 7) using a sequential root progression of descending fifths. Extending backward from the tonic, they introduce all seven chords in the order I-V-ii-vi-iii-vii°-IV, considering common exceptions and minor-mode discrepancies. The leading-tone chord is represented as a substitute for V or V^7, despite the dominant seventh's unknown conceptual status.

Finally, in Chapter 13 (The V^7 Chord), the dominant seventh receives its official unveiling. This chapter is structured as follows:

- Introduction
- General Voice-Leading Considerations
- The V^7 in Root Position
- The V^7 in Three Parts
- Other Resolutions of the V^7
- The Inverted V^7 Chord
- The V^6_5 Chord
- The V^4_3 Chord
- The V^4_2 Chord
- The Approach to the 7th

A definition of the dominant-seventh chord emphasizes its major-minor quality, its placement on ˆ5, and its characteristic inclusion of the leading tone which must be raised in minor keys. This leading tone is indentified as "tonic-defining" and considered essential for any chord with a true dominant function (p. 197).

Describing themselves as "naturally suspicious of generalizations," Kostka and Payne recommend that the chordal seventh of V^7 *almost always* resolves down by step and the leading tone, in an outer part, *almost always* resolves up by step (p. 197-98). While the comprehensive nature of these statements is understandable, given the reality of exceptional circumstances, the authors' perceived lack of commitment to either principle may encourage the student's lack of attention. However, in an effort to substantiate the rationale for their voice-leading principles, the authors have illustrated both good and bad resolutions of the seventh, as well as the leading tone, carefully differentiating the two. They have also attempted to generate an aural discernment of melodic tendencies, asking the student to play each resolution and listen for potentially "startling" or "disappointing" effects (p. 198).

Reinforcing the intrinsic movement of both the chordal seventh and the leading tone, the inward and outward resolutions of the tritone are briefly highlighted. In the root-position progression from V^7 to I, a respect for the natural tendencies of the tritone results in an incomplete tonic chord, illustrated with three roots and one third (common) or two roots and two thirds

(uncommon). Alternatively, the authors itemize the conditions under which a complete tonic chord is realizable: by means of an incomplete V^7 that omits the fifth (common) or the third (uncommon); a complete V^7 with a "frustrated" leading tone in an inner part, which falls to the fifth of I (ˆ7-ˆ5); or a complete V^7 with parallel fifths by contrary motion, occasionally found in instrumental music (p. 200). They describe this last possibility as an exception and discourage its use, adding a reference to the second movement of Beethoven's Piano Sonata, Op. 14, No. 2 (mm. 17-18) which contains an exceptional *upward* resolution of the chordal seventh, but it is not excerpted.

Kostka and Payne also illustrate the dominant-seventh chord in a three-part texture that necessarily omits either the fifth (common) or the third (less common). Throughout the chapter, indeed throughout the manuscript, various textures are employed in the author-constructed illustrations of part writing. Perhaps this variety creates a bridge, connecting the contrived demonstration of a particular chord progression with an excerpt drawn from the musical literature that exhibits a similar progression but in a non-chorale (SATB) texture. The authors explore other resolutions of the dominant seventh as well – involving the root-position submediant chord and the first-inversion tonic, although they disapprove the latter because of its implied parallel octaves.

A discussion of the inverted dominant-seventh chord begins with a firm statement, prohibiting the use of inversions as a substitute for V^7 at significant cadences. This is followed by a review of applicable figured-bass symbols and a summary of voice-leading principles that are indicated with scale-degree movements (ˆ7-ˆ1, ˆ4-ˆ3, ˆ2-ˆ1, and ˆ5-ˆ5). Each inversion is introduced successively (V^6_5, V^4_3, and V^4_2), along with a simulated illustration and a musical excerpt. V^6_5, illustrated in both three and four parts, is assigned to a relatively weak position in the phrase. V^4_3, seldom used in three-part textures, harmonizes ˆ2 in a ˆ1-ˆ2-ˆ3 or ˆ3-ˆ2-ˆ1 bass line, similar to the passing V^6_4 or vii^{o6} chords. The progression I-V^4_3-I^6 receives two voicings: the first displaying a regular downward resolution of the chordal seventh (ˆ4-ˆ3) and the second, an exceptional upward resolution (ˆ4-ˆ5)

that creates parallel tenths. The authors recommend that V^4_2 *almost always* resolves to I^6 but do not propose a viable replacement. Instead, they suggest an optional, although less conventional, treatment of the upper voice in which the fifth of V^4_2 leaps to the fifth of I^6 (^2-^5). This option is reminiscent of the exceptional soprano movement presented by Clendinning and Marvin in their second illustration of V^4_2 resolving to I^6.

Kostka and Payne conclude the chapter with a consideration of several approaches to the chordal seventh, which are classified according to their contour, utilizing non-chord tone terminology. A suspension figure approaches the seventh through an identical pitch class; a passing tone figure, from a step above the seventh; a neighbour tone figure, from a step below; and an appoggiatura figure, historically the least common, usually approaches the seventh by ascending leap. The authors illustrate each of these contours using an unaccompanied melodic line, then a setting in four parts that places the same melodic line in the soprano voice, enabling its greatest visibility. They also suggest a re-examination of several musical excerpts contained in the chapter, re-purposing their analysis for approaches to the chordal seventh and describing their observations in the text.

With clear and concise explanations, Kostka and Payne have provided a comprehensive educational resource, not only for the dominant-seventh chord but for the overall understanding of tonal harmony. They offer practical techniques that clarify underlying issues of voice leading, harmonic syntax, and formal structure, thereby accentuating authentic musical practice. Their text is generously infused with examples that reveal specific conceptual inferences through coloured highlights and often include textural reductions as well. Although the accessibility of their text is undeniable – "principles are explained and illustrated, ...exceptions are noted" – the authors' petition to emphasize the traditions of "actual" music over its "rules or prohibitions" is pedagogically ineffective (p. v). Without a reliable recognition of the conventions that organize

tonal music, a student's appreciation for its meaningful irregularities may not be brought to fruition. A consistent approach to the syntactical regulations of tonal harmony is imperative in the introductory stages of its theoretical instruction. As the student's experiences accumulate, the "rules" may be relaxed – in accordance with the dictates of "actual" musical practice.

Musical Excerpts

In their presentation of harmonic procedures, Kostka and Payne introduce the "most common vocal and instrumental textures encountered in tonal music" (p. v). Encouraging the correlation of reading and writing skills with performing skills, they include an abundance of musical examples in both score and reduced-score formats. These support the traditional four-part chorale settings that illustrate many concepts, along with frequent three-part textures and a variety of keyboard styles. **Table 3.6** summarizes the excerpts included in Chapter 13 (The V^7 Chord) and the corresponding voice-leading principles. This list is comparatively exhaustive – only the deceptive resolution of V^7 is absent as well as uncommon resolutions, such as an incomplete V^7 that omits the third, an incomplete I with two roots and two thirds, and a V^7-I^6 progression.

Table 3.6: Summary of Musical Excerpts in Relation to the Dominant-Seventh Chord (Resolutions)

Chapter	Composer	Excerpted Work	Conceptual Inference
13	Schubert	String Quartet (*Death and the Maiden*), Op. post., first movement	V^7-i, incomplete tonic
	Bach	"Nun ruhen alle Wälder"	V^7-I, incomplete V^7 (5th omitted)
	Beethoven	String Quartet, Op. 18, No. 1, fourth movement	V^7-I, complete V^7 (frustrated leading tone)
	Haydn	String Quartet, Op. 76, No. 1, third movement (piano score)	parallel 5ths (contrary motion)
	Bach	Sinfonia No. 9	V^7 in 3 parts (5th omitted)
	Mozart	Piano Sonata, K. 570, third movement	V^7 in 3 parts (3rd omitted)
	Mozart	Piano Sonata, K. 309, third movement	V^6_5
	Mozart	Horn Concerto No. 3, K. 447, second movement	V^4_3
	Beethoven	Piano Sonata, Op. 13, second movement	V^4_2

(pp. 199-210)

Each of the musical excerpts is fully analyzed with chord symbols and clearly accentuated with notational highlights that emphasize its conceptual or procedural focus, facilitating recognition. By reallocating previous excerpts (**Table 3.7**), the authors shift their focus from the resolution of V^7 and its inversions, to an examination of the chordal seventh's approach.

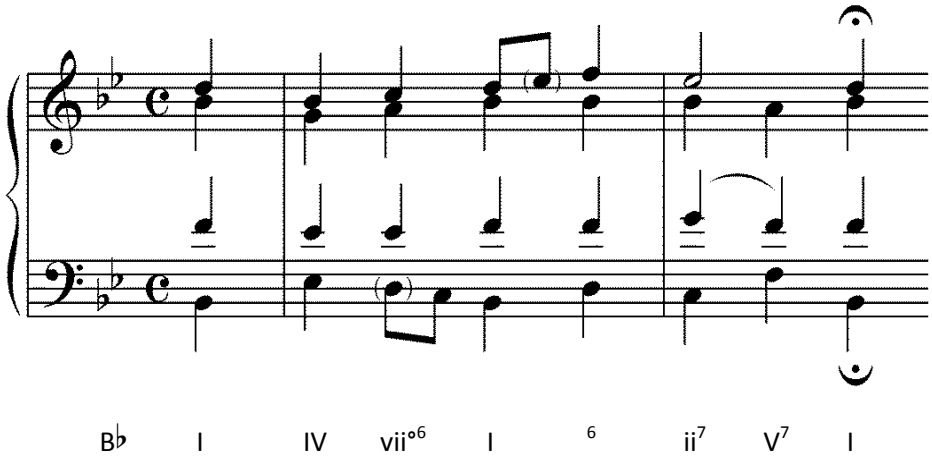
Table 3.7: Summary of Musical Excerpts in Relation to the Dominant-Seventh Chord (Approaches)

Chapter	Composer	Excerpted Work	Conceptual Inference
13	Bach	"Nun ruhen alle Wälder"	suspension figure
	Beethoven	String Quartet, Op. 18, No. 1, fourth movement	neighbouring tone figure
	Mozart	Piano Sonata, K. 309, third movement	passing tone figure (descending)
	Mozart	Horn Concerto No. 3, K. 447, second movement	passing tone figure (ascending)
	Beethoven	Piano Sonata, Op. 13, second movement	appoggiatura figure

(pp. 200-210)

An excerpt from Bach's "Nun ruhen alle Wälder" (**Example 3.9**) will serve as a demonstration of the authors' dual-purpose examples. First cited as a root-position resolution of V^7 to I with an incomplete V^7 that omits the fifth and doubles the root, Bach's chorale is recast as an approach to the chordal seventh with a suspension figure, which is true of both the ii^7 – a chord not yet fully disclosed in the text – and the V^7. Perhaps the suspension figure is more suitably identified as a preparation of the seventh, although the concept of preparation may be implicit in the descriptor "suspension." By definition, it involves a three-part musical event, requiring not only the dissonant suspension and its resolution, but also a preparation of that dissonance at the same pitch level.

Example 3.9: Bach, "Nun ruhen alle Wälder," Dominant-Seventh Chord (Resolution and Approach)



The Reviews

Concerning the academic reception of this text, Ann McNamee (Swarthmore College, until 2001) begins her review of *Tonal Harmony* with a brief description of its pedagogical strengths: a flexible format which encourages supplementary study; "Self-Tests" which develop student confidence; and "gender-neutral prose" which reaches "*all* of [its] audience" (1986, p. 310). The remainder of her article is less complimentary, describing three pedagogical problems: material introduced too soon, material left until too late, and "organizational quirks" (p. 310). Of these three, she relates the second problem specifically to the dominant-seventh chord. In addition to the implication that students must wait until the end of the second semester to use V^7, she refers to an exercise in the corresponding workbook where students are asked "to fill in the voice leading of a IV-V^4_3-I progression" six chapters prior to its introduction (p. 311). As McNamee's review continues, it becomes evident that there are more than three problematic issues. Her most serious charge is that "no theoretical core appears to guide this book" (p. 312), but Graybill (1993) disagrees. He suggests the "falling-fifth root progression" as its point of departure (p. 257), although he criticizes

this model since it does not directly account for additional commonly used progressions (p. 258) or the possibility of irregular progressions (p. 262). Comparing Kostka and Payne's "condensed treatment" of harmonic topics with Aldwell and Schachter's "leisurely approach," Graybill questions whether the efficiency of *Tonal Harmony* is pedagogically desirable (p. 259), while McNamee, who takes exception to its "conflicting analyses and unreconciled viewpoints," somewhat derogatorily considers it to be "eclectic" (p. 314).

This eclecticism may offer an element of harmonic variety, which McNamee highlights as its "strongest selling point" (p. 314), but it also suggests the lack of a pedagogical focal point. My questions, therefore, emerge from this perceived deficiency. Why did the authors choose to wait until Chapter 13 when V^7 and its inversions are especially prevalent in the musical literature? How is a student of tonal harmony to discriminate which of its myriad voice-leading techniques to choose? Where and when? Is the rote memorization of part-writing rules an effective conduit to conceptual understanding, and if those rules are open-ended, are they rules at all?

Roig-Francolí: Harmony in Context

Miguel Roig-Francolí, author of *Harmony in Context*, is professor of music theory and composition at the College-Conservatory of Music (University of Cincinnati). Receiving his early training in Madrid, he completed both M.M. (Composition) and Ph.D. (Music Theory) degrees at Indiana University. Prior to his current appointment in 2000, he taught at Ithaca College, Northern Illinois University, and the Eastman School of Music. His compositions have been widely performed, and in 1997, he was appointed artistic director of the Chicago Symphony Orchestra's Manuel de Falla Festival. His research interests include Renaissance compositional practices, particularly in relation to Spanish composers, the music of György Ligeti (1923-2006), post-tonal music, and the pedagogy of music

theory. Now in its second edition, *Harmony in Context* was first published in 2003, followed in 2006, by *Understanding Post-Tonal Music*.

A Conceptual Sequence

The contents of Roig-Francolí's text are sequentially ordered in a series of three parts:

- The Fundamentals of Music
- Diatonic Harmony
- Chromatic Harmony and Form

The first of these, titled "Introduction," includes the following seven chapters, labeled A to G:

- Pitch: Notation and Intervals
- Rhythm and Meter
- Tonality: Scales, Keys, and Transposition
- Introduction to Species Counterpoint
- The Rudiments of Harmony I: Triads and Seventh Chords
- The Rudiments of Harmony II: Labeling Chords
- Musical Style

These opening chapters provide both a thorough review of fundamental subjects as well as an introduction to musical style and species counterpoint. As a summary, they attend to significant conceptual elements and prepare for the subsequent study of tonal harmony.

Part 1 (Diatonic Harmony), which begins with elementary definitions and voice-leading guidelines, includes all of the diatonic triads and seventh chords, covered separately and progressively. Its fifteen chapters are titled as follows:

- The Connection of Chords
- The Tonic and Dominant Triads in Root Position
- Harmonic Function; the Subdominant Triad in Root Position
- Texture; Triads in First Inversion
- Cadences
- Melodic Organization I: Phrase Structure
- Melodic Organization II: Thematic Development; Phrase Extension; Formal Functions
- Nonchord Tones
- $^{6}_{4}$ Chords
- The Supertonic; Metric Reduction
- Harmonic Rhythm; Hypermeter
- The Dominant Seventh and Its Inversions

- The Leading-Tone Triad
- The Mediant, Submediant, and Subtonic Triads; Diatonic Sequences
- Other Diatonic Seventh Chords

Balancing a "flexible and eclectic acceptance" of disparate pedagogical and theoretical approaches, Roig-Francolí aspires to provide guidance concerning the "craft" of written harmony and the techniques of voice leading as well as a proficient understanding of the harmonic processes that occur in musical literature (pp. x-xii).[10]

In relation to the dominant-seventh chord, the author places its presentation in Chapter 12 and treats all facets of its common usage, including both root position and inversions, in this single location. Prior to Chapter 12, he introduces the tonic and dominant triads as constituents of the basic two-chord unit that facilitates the harmonic organization of tonal music. In a "Note" to the reader, Roig-Francolí concedes that the dominant often appears as a seventh chord (V_7),[11] rather than a triad (V), and that its presence is recognized in his selection of musical examples. However, he pragmatically chooses to handle its voice-leading complexities after the connection of diatonic triads is well-established (p. 158). Accordingly, he does not present V_7 as an isolated vertical construction but instead, like every chord throughout his text, as a functional component within a larger musical structure as well as a product of horizontal or linear processes.

Although the dominant-seventh chord (V_7) appears frequently in the musical examples and the surrounding text of most chapters – beginning with the first example in the first chapter – the index does not record these occurrences. In addition to Chapter 12, it cites only two references: Chapter 15 (Other Diatonic Seventh Chords), in relation to the leading-tone seventh chord; and Chapter 23 (The Neapolitan and Augmented Sixth Chords), with the Neapolitan as a substitution for the

[10] In this section, page-number citations refer to Roig-Francolí's textbook, *Harmony in Context* (2003).

[11] The author notates figured-bass symbols with subscript numbers, rather than the more conventional superscript numbers.

dominant-seventh chord. Of these, the latter is positioned in Part 2, encompassing chromatic harmony, which places this citation beyond the diatonic limit of my current research.

The Presentation

Facilitating his comparatively late discussion of the dominant-seventh chord, Roig-Francolí, like Kostka and Payne, confirms elements of its construction in the introductory chapters. Beginning with Chapter E (The Rudiments of Harmony I: Triads and Seventh Chords), he addresses "Chords," then "Triads," which incorporate the following topics:

- Diatonic Triads in the Major and Minor Keys
- Bass and Root
- Chord Position: The Inversion of Triads

His subsequent exposition of "Seventh Chords" is informed by these same topics which are presented again in a condensed form. He explains the formation of seventh chords, referring to the quality of their constituent triads and their sevenths, listing the most frequently encountered combinations (major-minor, major-major, minor-minor, half diminished, and fully diminished). He also summarizes the seventh-chord inversions and their corresponding figured-bass symbols, highlighting the chord member that resides in the bass for each inversion (root, third, fifth, and seventh).

Before placing seventh chords in the diatonic context of major and minor keys, Roig-Francolí emphasizes their dissonance and describes the origin of the dissonant seventh primarily as a consequence of linear or melodic motion (p. 95). Positioned on every degree of the major scale, the resulting seventh chords are labeled according to their quality (Mm7). A similar process involves the harmonic minor scale and produces the most commonly used seventh chords, excepting the chord built on the mediant (ˆ3) which does not incorporate the leading tone.

In Chapter F (The Rudiments of Harmony II: Labeling Chords), the author places seventh chords within the tonal hierarchy of harmonic functions and introduces roman numerals as an indication of these functions in relation to the tonic or tonal centre. Employing quality-appropriate symbols, he establishes a correspondence between roman numerals and bass scale degrees, combined with figured-bass symbols in root position, but the seventh chords themselves are not notated. The ensuing discussion describes the role of figured bass as a clarification of inversion and provides a summary of seventh chords in a table that lacks a musical orientation. The student must recall, without prompting from the author, a similar discussion in the previous chapter which includes a notational illustration of the seventh-chord inversions.

Reasoning that the dominant seventh "normally presents some voice-leading difficulties for the beginning harmony student" (p. 377), Roig-Francolí delays its introduction as a distinct sonority until Chapter 12 (The Dominant Seventh and Its Inversions). Following a systematic presentation of the basic consonant triads, which exclude those constructed on the leading tone, mediant, submediant, and subtonic, this chapter is organized in two sections, and the first, titled "V_7 in Root Position," is further organized by these topics:

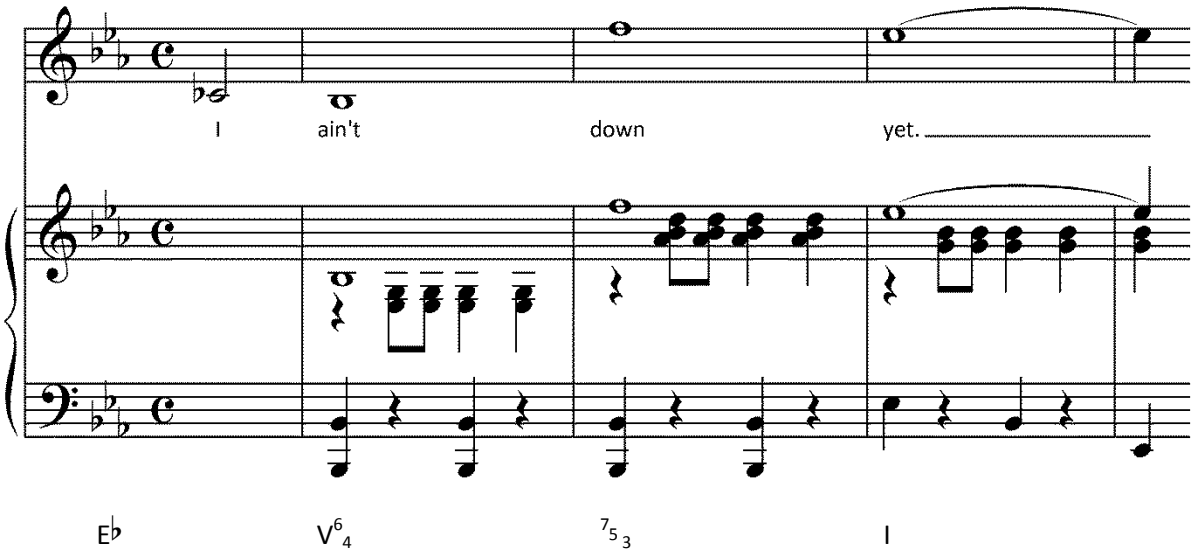
- Doubling
- The V_7-I Progression: Voice-Leading Guidelines
- Preparing the Seventh in V_7

Identified as an Mm7 that includes scale degrees ˆ5-ˆ7-ˆ2-ˆ4, the dominant-seventh chord's tendency to resolve to the tonic is equated with the tendency of dissonance to resolve to consonance. This predisposition is enhanced by the linear movement of its dissonant intervals – the minor seventh between ˆ5 and ˆ4 as well as the tritone between ˆ7 and ˆ4. The tendencies of the leading tone (ˆ7) to resolve upward to ˆ1 and the dissonant seventh (ˆ4) to resolve downward to ˆ3 are demonstrated in an author-constructed illustration. Curiously, the resulting tonic chord contains two roots and two thirds, with the supertonic (ˆ2) also resolving to ˆ3. Roig-Francolí does

not refer to this unusual doubling nor to his motivation for choosing a doubled third over the customary tripled root. His subsequent discussion of doubling issues concern the organization of the dominant seventh but not its chord of resolution.

The final cadence in Meredith Willson's "I Ain't Down Yet" (**Example 3.10**), from *The Unsinkable Molly Brown*, offers an example of the dominant seventh's two tendency-tone resolutions. An uncharacteristic but refreshing choice of repertoire, the predominantly four-part texture of this excerpt expands to five parts, accommodating the fourth member of the dominant-seventh chord along with a root doubling, but contracts again to four parts at the tonic resolution. As a result, the linear movement of the leading tone (D), which the student – without assistance – has been asked to observe, is problematic. The resolution of the cadential $^{6}_{4}$ is also unusual, but the author justifies its dramatic change in register with a consideration of the text (p. 378).

Example 3.10: Willson, "I Ain't Down Yet," Dominant-Seventh Chord (Linear Tendency)



Roig-Francolí continues his examination of voice leading with a discussion of approaches to the dominant-seventh chord. He demonstrates its melodic origin in the movement from the doubled

root of V (ˆ5) to ˆ3 through a dissonant passing tone (ˆ4). He also presents V_7 as a harmonic sonority with the dissonant seventh treated as a suspension and prepared as a consonance in the previous chord. From his musical excerpts of Schumann's "Ein Choral," which illustrate both of these approaches to V_7, the author derives a summary of voice-leading procedures that instruct its resolution. In addition to addressing the tendencies of the leading tone (ˆ7-ˆ1) and the chordal seventh (ˆ4-ˆ3), he recommends that the fifth (ˆ2) may move *either* up to ˆ3 or down to ˆ1. While the ˆ2-ˆ3 voice-leading option is evidenced in his own illustrations, a doubled mediant (ˆ3) is not substantiated by the musical examples he has chosen to reproduce.

The author's summary of voice-leading guidelines includes a list of characteristic melodic fragments that may be harmonized with a V_7-I progression. The majority of these patterns also apply to a V-I progression (ˆ2-ˆ1, ˆ2-ˆ3, ˆ7-ˆ1, and ˆ5-ˆ5) with only the ˆ4-ˆ3 pattern requiring the presence of a chordal seventh. Conceivably, the inclusion of ˆ2-ˆ3 in this list, which is typical of the voice leading from a dominant triad to a tonic, is the source of the author's optional resolution of the supertonic (ˆ2) as a member of the dominant-seventh chord, and consequently, the doubled third in his concluding tonic. Referring back to Chapter 1 (The Connection of Chords), Roig-Francolí, in his discussion regarding incomplete chords, advises that "if a chord has no fifth, you may either double the third or triple the root" (p. 140). However, this advice contradicts his earlier statement that "unnecessarily stressing [or doubling] the third usually weakens the sound of a triad" (p. 139).

Whether the supertonic (ˆ2) moves up or down, the application of these voice-leading principles in the resolution of a complete dominant seventh will result in an incomplete tonic chord, which avoids the potential for parallel fifths in a V_7-I progression. The author demonstrates this potential with an illustration that, perhaps inadvertently, includes a spacing error between alto and tenor voices. The ensuing discussion explores multiple resolutions of V_7 and illustrates various

complete (C) and incomplete (IN) chord combinations (C-IN, IN-C, and C-C), including an inner-voice resolution of the leading tone (ˆ7) to the voice immediately above it.

In his presentation of approaches to the dominant-seventh chord, Roig-Francolí involves the subdominant (IV, iv) and supertonic (ii^6, $ii^{\circ 6}$) chords, both of which may "properly" prepare the seventh "by repetition" (p. 381). To these approaches he adds the dominant triad (V), facilitating his demonstration of an 8-7 motion over a stationary bass and his subsequent inclusion of the cadential $^6_4$. Along with the conventional figured-bass motions that produce a complete V_7 (8-7, 6-5, and 4-3), he also illustrates an alternative voice leading with the sixth above the bass moving to the seventh (6-7 and 4-3), producing an incomplete V_7.

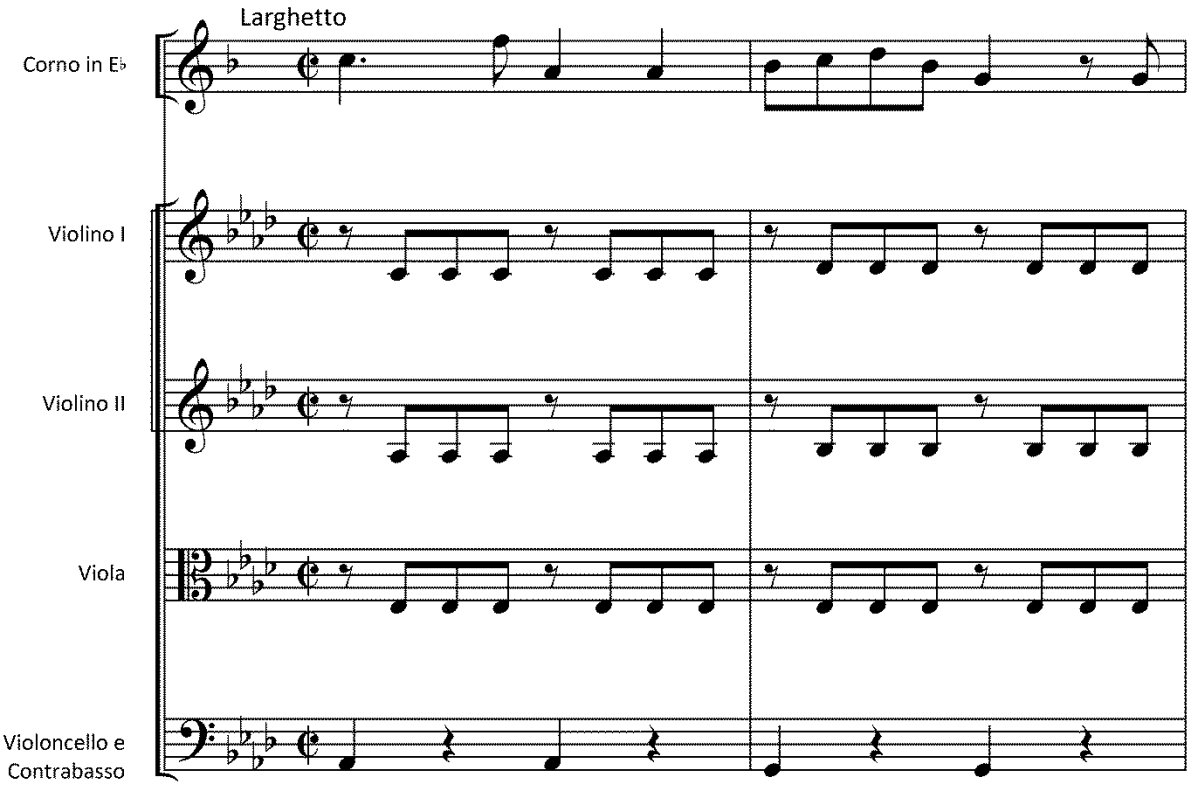
Preceding his subsequent introduction to the inversions of the dominant-seventh chord, the author highlights a supplementary section, titled "Practical Application and Discussion," in which he documents several examples from the musical literature that include V_7, particularly in authentic cadences. The works he considers are included in the anthology that accompanies the text:

- Mozart, Sonata in D Major, K. 284
- Mozart, Sonata in A Major, K. 331
- Haydn, Divertimento in C Major, Hob. XVI:1
- Paradis, *Sicilienne*
- Verdi, "Libiamo ne'lieti calici," from *La Traviata*

Encouraging the study of these examples – specifically their doubling and voice-leading procedures – Roig-Francolí poses several questions: "Are the chords complete or incomplete? Do tendency tones resolve as expected? Are all the voice-leading guidelines … followed?" (p. 382) The two passages from Mozart's D Major sonata also enable the author's definition of the term "register transfer." Inviting the student to observe the ˆ5-ˆ4-ˆ3 line, which involves a preparation of the chordal seventh, the seventh, and its resolution, he describes the line's interruption or displacement by a change of register (p. 382).

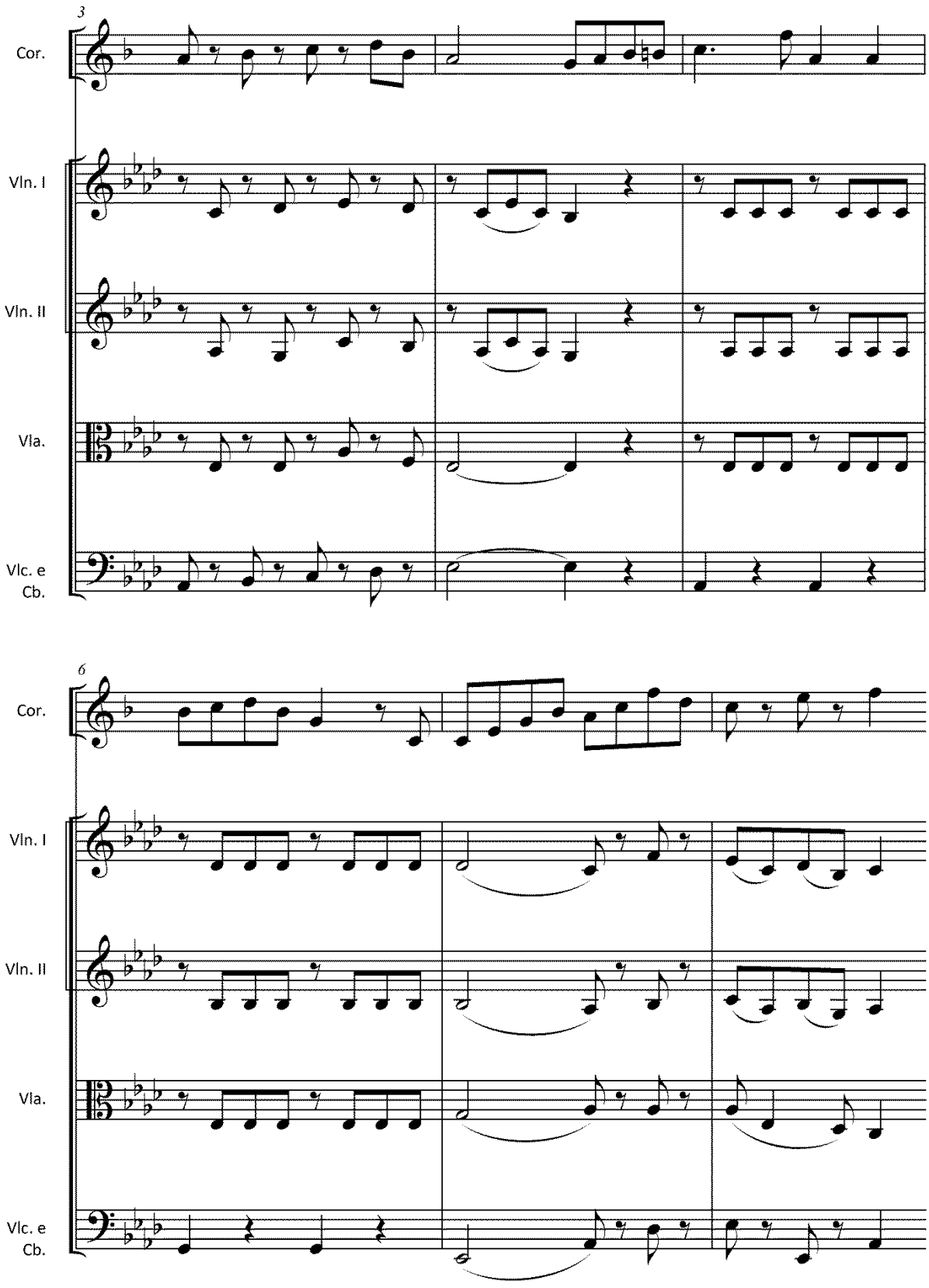
The inversions of the dominant-seventh chord are presented in the context of a listening exercise. Instructed to analyze the opening of the second movement from Mozart's Horn Concerto in E-flat Major (**Example 3.11**),[12] the student will encounter a familiar bass line (ˆ1-ˆ7-ˆ1-ˆ2-ˆ3-ˆ4-ˆ5). Although Roig-Francolí proposes the harmonization of ˆ7 with V_6, prolonging the initial tonic chord with a neighbour motion, and ˆ2 with a passing $^6_4$, also prolonging the tonic (I-P^6_4-I_6), the student will discover that Mozart used inversions of V_7 in both locations – V^6_5 in place of V_6 and V^4_3 in place of P^6_4. The prolongational positioning of these inversions also validates the author's observation that "all three inversions [of V_7] usually function as linear chords" (p. 383).

Example 3.11: Mozart, Concerto in E-flat Major for Horn and Orchestra, K. 447, Second Movement, Dominant-Seventh Chord (Inversion)



[12] Roig-Francolí provides a reminder to transpose the horn part a major sixth below the notated passage.

Example 3.11: Continued



Each inversion, which normally appears in complete form and resolves to a complete tonic triad, is discussed in succession. V^6_5, as well as prolonging the tonic as a neighbour chord, may do so as a passing chord, approaching the tonic from below (I-IV_6-V^6_5-I). V^4_3, with its fifth in the bass, resolves down to the tonic in root position (I) or up to the tonic in first inversion (I_6). Like V^6_5, it functions in a linear configuration, either as a neighbour chord or a passing chord, which the author represents graphically with prolongational reductions. In a "Note" to the reader, he refers back to the I-V^4_3-I_6 progression in Mozart's horn concerto, justifying the exceptional upward resolution of the chordal seventh with the linear movement of the outer voices (bass and horn) in parallel tenths. V^4_2, which the author maintains will always resolve to I_6, functions frequently as a passing tone that prolongs the dominant (V-V^4_2-I_6). Additionally, it may be approached by a predominant chord (IV or ii_6) with a repetition of the subdominant (ˆ4) in the bass voice.

The chapter concludes with a reminder of "Typical Errors to Avoid," followed by a second "Practical Application and Discussion" of accumulated concepts. This section concentrates on two excerpts from the accompanying anthology:

- Beethoven, Sonata in C Minor, Op. 10, No. 1
- Kuhlau, Sonatina in F Major, Op. 55, No. 4

The student is led through several analytical applications that extend from a review of formal characteristics to a realization of metric reductions. While the author's focus is concerned primarily with the linear function of inverted V_7 chords, he widens his questioning to encompass the student's perception of harmonic prolongation and its potential for the enrichment of performance. In the final section, titled "Combining Prolongational Chords," Roig-Francolí encourages further analysis through the combination of isolated linear patterns, including those from preceding chapters: I-IV-I, I-N^6_4-I, I-P^6_4-I_6, V-N^6_4-V, IV-P^6_4-IV_6, I-V^6_5-I, I-V^4_3-I_6, and V-V^4_2-I_6 (p. 387).

The dominant-seventh chord also appears briefly in Chapter 15 (Other Diatonic Seventh Chords), along with a discussion of "The Leading-Tone Sevenths." In this location, Roig-Francolí

introduces both the half-diminished seventh ($vii^{ø}_{7}$) and its fully diminished counterpart ($vii°_{7}$) as dominant function chords that are closely related to V_7. Sharing three common tones (ˆ7-ˆ2-ˆ4), he establishes a comparison between V^{6}_{5}, $vii^{ø}_{7}$, and $vii°_{7}$, all of which are built above the leading tone. V^{6}_{5} is differentiated from the others by its inclusion of the dominant; $vii^{ø}_{7}$, by the submediant; and $vii°_{7}$, by a flattened submediant. As a result of their commonality, leading-tone sevenths often move to V_7 before resolving to the tonic.

In summary, the author's presentation of the dominant-seventh chord is efficient and logically organized, with an accessible style that incorporates his broad and inclusive vision of tonal harmony. Determined to avoid an "outline format," Roig-Francolí maintains that "explanations are necessary and pedagogically desirable," as are "analytical discussions" of repertoire (p. x). Embedded in these analyses is one of the most compelling assets of his manuscript – its contextualization of theoretical concepts. The "context" to which his title refers embraces not only the traditional aspects of harmony, but its metric and rhythmic features as well as its historical and stylistic expression, which may extend to complementary disciplines, such as literature and theater. The student is encouraged to understand the relevance of harmonic processes within formal structures and to translate a heightened awareness of their tonal direction, as well as their function, into improved performances and informed listening activities, providing a "true context" for music theory (p. x).

However, despite the author's contextual purpose, his exposition of the dominant-seventh chord involves an unusual resolution of the supertonic (ˆ2-ˆ3) that is contradictory and not sufficiently explained. Regrettably, this voice leading, which results in a tonic chord with a doubled third, is encountered in the first illustration of the progression V_7-I, and presumably, represents an example that the student will continue to reference. Additionally, the comparative complexity of several excerpted works, while beneficial as a broadening of the student's familiarity with musical

literature, may obscure the newly acquired conceptual knowledge. Roig-Francolí accompanies many of these excerpts with directed questions designed to involve the student in an "active process of inquiry and discovery" (p. x), but their answers are not always obvious and may lead to confusion or frustration. Perhaps the solutions could be included in an appendix, thereby ensuring that the author's instructional objectives are realized.

Musical Excerpts

Roig-Francolí's text is generously equipped with examples from the musical literature. These incorporate a diverse selection of genres, representing various national traditions and historical periods which extend from the Renaissance to the twentieth century. They also embrace the music of women and minority composers, as well as jazz, musical theater, pop, and rock genres, with recordings of most examples provided on a supplementary set of CDs.

Although the introductory chapters include an assortment of excerpts, the discussion pertaining to seventh chords – in Chapters E and F (The Rudiments of Harmony I and II) – contains only two fragments of Handel's Sonata for Flute and Continuo, Op. 1. Enclosed in a relatively complex examination of figured bass, Handel's original work is reproduced with a possible keyboard realization of the basso continuo. While Roig-Francolí's associated commentary identifies a root-position seventh chord in the first passage and two first-inversion seventh chords in the second, just one of these is a dominant seventh and not specifically identified as such.

Proceeding to Chapter 12 (The Dominant Seventh and Its Inversions), as well as Chapter 15 (Other Diatonic Seventh Chords), **Table 3.8** identifies the excerpted works and outlines their instructional objectives concerning the dominant-seventh chord. Haydn's piano sonata as well as Saint-Georges'[13] sonata for violin and piano, both include prolongational reductions that serve as

[13] The composer's name is alternately spelled "Saint-George" but I will adopt Roig-Franacolí's spelling for this section of my document.

examples. These are intended to guide the student, who is requested to create similar reductions for the Granados excerpt and Saint-Georges' adagio. Mozart's sonata for violin and piano as well as the excerpt from Grieg's *Peer Gynt* suite are featured in the exercises that close Chapter 12. These exercises provide additional practice in the context of authentic musical literature.

Table 3.8: Summary of Musical Excerpts in Relation to the Dominant-Seventh Chord

Chapter	Composer	Excerpted Work	Conceptual Inference
12	Willson	"I Ain't Down Yet" (from *The Unsinkable Molly Brown*)	resolution of tendency tones
	Schumann	"Ein Choral" (from *Album for the Young*), Op. 68	melodic origin of the 7th
	Mozart	Concerto in E-flat Major for Horn and Orchestra, K. 447, second movement	linear function of inverted dominant sevenths (V^6_5 and V^4_3)
	Haydn	Trio in G Major, third movement	V^4_2-I_6, approached by a predominant
	Haydn	Piano Sonata in C Minor, first movement	neighbour-group prolongation of the tonic
	Granados	*Escenas Románticas*, No. 5	comparison with previous excerpt
	Chevalier de Saint-Georges	Sonata No. 2 for Violin and Piano	prolongational combination of linear chords
	Chevalier de Saint-Georges	Adagio in F Minor for Piano	prolongation of tonic and dominant
	Mozart	Sonata for Violin and Piano, K. 377, second movement	linear function of inverted dominant sevenths
	Grieg	"The Rape of the Bride" (from *Peer Gynt*), Suite II, Op. 55, first movement	harmonic prolongation of the tonic
15	Beach	"Barcarolle" (from *Three Pieces*), Op. 28, No. 1	vii°$_7$ moving to V_7 before resolving to I

(pp. 378-394, p. 442)

The Reviews

True to the title of his textbook, Roig-Francolí is to be "commended for his consistent effort to contextualize chords and their harmonic functions by interjecting related concepts that stimulate interest" (Traut, 2006, p. 156). This sentiment is shared by Ken Stephenson (University of Oklahoma) who describes *Harmony in Context* as an "eminently successful synthesis of the traditional Rameauvian-based harmonic method and Schenkerian prolongational models" (2001, p. 103). Fieldman adds her voice with an appreciation of the author's attempt to "bring our pedagogy up to date with our scholarship" (2008, p. 370). However, once the niceties are dispensed, Fieldman, with Traut in agreement, tackles the delayed presentation of V^7 ten chapters after V, protesting a strategy that "does not reinforce the extent to which function and voice-leading overlap" and citing this misalignment as a symptom of Roig-Francolí's tendency toward "multiple, non-overlapping presentations of related ideas" (p. 371). She also criticizes his "eye-ear dis-integration," which she associates with his failure to distinguish between descriptive and interpretive goals in analysis, as well as his neglect of aural involvement in either task (p. 373). However, the misalignment with which Stephenson "simply cannot agree" is Roig-Francolí's demonstration of common-practice functional harmony with twentieth-century popular repertoire (p. 110) – a contextual discrepancy between the author's "pedagogical goals and the pedagogy that the book itself offers" (Fieldman, p. 374).

My disagreement involves a doubled third in the resolution of V^7 to I. While certainly a topic for discussion, why would Roig-Francolí choose this questionable resolution for the student's first exposure to the dominant-seventh chord? Is this resolution prevalent in the musical literature?

Chapter 4:
Comparison

A Comparison of Textbooks

In this first section of Chapter 4, a comparison of the five textbooks will summarize their instructional administration of the dominant-seventh chord in relation to the observational criteria that directed the previous analyses: conceptual sequences, presentations, and musical excerpts. Each of these sub-sections will begin with a review of relevant topics, including supporting tables, followed by an evaluation of specific topics that distinguish the pedagogical techniques of each textbook, and conclude with an interpretation of its educational advantages and disadvantages. For the purpose of clarity, textbooks with multiple authors will be represented in the succeeding text by an amalgam of the authors' names, such as Aldwell/Schachter. Additionally, heterogeneous terminology and treatment of notational symbols will be homogenized.

Conceptual Sequences

Each of the five textbooks begins with a similar survey of notational practices, along with preparatory concepts, which are collectively regarded as fundamental requirements for the study of tonal harmony. **Table 4.1** summarizes the topics included in these introductory chapters and accentuates the extensive intersection of their subject matter.

Table 4.1: Summary of Preparatory Concepts in Relation to the Study of Tonal Harmony (Seventh Chords)

Author(s)	Introductory Section	Preparatory Concepts
Aldwell & Schachter	The Primary Materials and Procedures	Keys, Scales, and Modes Intervals Rhythm and Meter Triads and **Seventh Chords** Procedures of Four-Part Writing
Clendinning & Marvin	Building a Musical Vocabulary: Basic Elements of Pitch and Rhythm	Pitch and Pitch Class Beat, Meter, and Rhythm: Simple Meters Pitch Collections, Scales, and Major Keys Minor Keys and the Diatonic Modes Beat, Meter, and Rhythm: Compound Meters Pitch Intervals Triads and **Seventh Chords**
Gauldin	The Basic Elements of Music	Pitch and Intervals Rhythm and Meter I: Beat, Meter, and Rhythmic Notation Tonic, Scale, and Melody Triads and **Seventh Chords** Musical Texture and Chordal Spacing Partwriting in Four-Voice Texture Melodic Figuration and Dissonance I: Categories of Embellishing Tones
Kostka & Payne	Fundamentals	Elements of Pitch Elements of Rhythm Introduction to Triads and **Seventh Chords** Diatonic Chords in Major and Minor Keys
Roig-Francolí	The Fundamentals of Music	Pitch: Notation and Intervals Rhythm and Meter Tonality: Scales, Keys, and Transposition Introduction to Species Counterpoint The Rudiments of Harmony I: Triads and **Seventh Chords** The Rudiments of Harmony II: Labelling Chords Musical Style

In every text, seventh chords, which are highlighted with boldface type, receive preliminary attention and include factors such as quality, diatonic placement in major and minor keys, roman numeral and figured-bass analysis, as well as inversion. Additionally, Aldwell/Schachter and Clendinning/Marvin address the spelling and memorization of seventh chords, but only Aldwell/Schachter describe their melodic origin. Both Aldwell/Schachter and Clendinning/Marvin refer specifically to the dominant-seventh chord, while Clendinning/Marvin also highlight its unique quality and begin a discussion of its harmonic significance, which continues through the subsequent text.

Concerning the placement of the dominant-seventh chord in a conceptual sequence, the following diagram illustrates the relative positioning of V^7 in each textbook, arranged from earliest to latest:

Aldwell/Schachter → Gauldin → Clendinning/Marvin → Kostka/Payne → Roig-Francolí

Table 4.2 outlines the varying degrees of conceptual awareness that precede the dominant seventh's introduction. Naturally, a longer list implies a greater comprehension of harmonic vocabulary, which may also suggest a deeper understanding of tonal hierarchies. Alternatively, a voluminous quantity of preparatory material may conceal the relative importance of V^7 as a dominant-function chord and diminish its participation in the fundamental harmonic progression (tonic-dominant-tonic).

Table 4.2: Summary of Conceptual Experiences in Relation to the Dominant-Seventh Chord (Preparation)

Author(s)	Harmonic Framework	Conceptual Preparation
Aldwell & Schachter	I-V-I and Its Elaborations	I, V, and **V^7**
Gauldin	Diatonic Harmony	Introduction to Diatonic Harmony The Primary Triads: Tonic, Dominant, and Subdominant Chords The **Dominant Seventh**: Embellishing the Tonic Harmony
Clendinning & Marvin	Linking Musical Elements in Time	Intervals in Action (Two-Voice Composition) Melodic and Rhythmic Embellishment in Two-Voice Composition Notation and Scoring Voicing Chords in Multiple Parts: Instrumentation
	The Phrase Model	The Basic Phrase Model: Tonic and **Dominant** Voice-Leading
Kostka & Payne	Diatonic Triads	Principles of Voice Leading Root Position Part Writing Harmonic Progression Triads in First Inversion Triads in Second Inversion Cadences, Phrases, and Periods Non-Chord Tones 1 Non-Chord Tones 2
	Diatonic Seventh Chords	The **V^7** Chord

Table 4.2: Continued

Author(s)	Harmonic Framework	Conceptual Preparation
Roig-Francolí	Diatonic Harmony	The Connection of Chords The Tonic and Dominant Triads in Root Position Harmonic Function; the Subdominant Triad in Root Position Texture; Triads in First Inversion Cadences Melodic Organization I: Phrase Structure Melodic Organization II: Thematic Development; Phrase Extension; Formal Functions Nonchord Tones $^{6}_{4}$ Chords The Supertonic; Metric Reduction Harmonic Rhythm; Hypermeter The **Dominant Seventh** and Its Inversions

In Aldwell/Schachter's text, the dominant-seventh chord is readied with the introduction of tonic and dominant harmonies as well as the progression I-V-I, which facilitate many subsequent voice-leading techniques. Gauldin includes the subdominant chord in his categorization of harmonic tendencies, adding a pre-dominant function to the tonal polarity of the tonic-dominant relationship and initiating a discussion of cadences. Clendinning/Marvin explore both the melodic and harmonic characteristics of V^7 in the context of a phrase model. Although limited to tonic and dominant-function chords, considerable care is given to the preparation of voicing procedures through the examination of species counterpoint.

Both Kostka/Payne and Roig-Francolí introduce the dominant-seventh chord disproportionally late in their successive organization of tonal elements. In Kostka/Payne's text, V^7, which leads a presentation of diatonic seventh chords, is sequentially positioned to follow all triads and their inversions, including first and second inversions, as well as basic aspects of musical form and non-

chord tones. Similarly, Roig-Francolí addresses triadic inversions, melodic organization, and non-chord tones prior to the presentation of V^7, but confines his harmonic vocabulary to tonic, dominant, subdominant, and supertonic chords. Interestingly, he also addresses the interrelation of harmony and melody with rhythm and meter, but this discussion may have been enhanced by an earlier exposure to the dominant seventh, as it figures prominently in the author's contextual example of harmonic rhythm.

While the introductory section in each of the five textbooks reviews similar rudimentary subjects, the placement of the dominant-seventh chord in the sequential organization of each text varies widely. The initial presentation of V^7, which occurs as early as chapter 6 in Aldwell/Schachter's text and as late as chapter 19[14] in Roig-Francolí's, is reliant on the preparatory accumulation of conceptual knowledge. Aldwell/Schachter's approach, which is not obscured with harmonic vocabulary beyond the tonic and dominant chords, easily associates V^7 with dominant harmony and establishes its importance in the fundamental tonic-dominant relationship – a factor that is reinforced throughout their text, advantageously encouraging a comfortable familiarity with its usage. The disadvantage of this approach involves the perceived scarcity of musical excerpts that are restricted to a vocabulary of tonic and dominant chords. In contrast, the delayed presentation of V^7 by both Kostka/Payne and Roig-Francolí essentially ignores the frequent occurrences of this chord in the musical literature as well as in their chosen excerpts.

Regarding the dominant seventh's conceptual preparation, Clendinning/Marvin provide the most effective instruction for two reasons: first, their discussion is contextually situated in the literature; and second, it is not contained in a single all-purpose location. Rogers (2004), in his observations of "Mind Training," refers to the idea of "presenting new topics as outgrowths of

[14] Roig-Francolí's presentation of V^7 occurs in the nineteenth chapter of his text, but since the introductory chapters are labeled with letters from A to G, it is identified as Chapter 12 (The Dominant Seventh and Its Inversions).

previously studied material and simultaneously as preparation for future topics" (p. 36). This idea implies a spiral approach, which Clendinning/Marvin have utilized both extensively and successfully. Referring to the dominant seventh's sequential placement, Aldwell/Schachter's early positioning, which emphasizes the functional significance of V^7, is most beneficial, although Gauldin and Clendinning/Marvin are similarly positioned, with Gauldin including the subdominant chord and Clendinning/Marvin, a consideration of counterpoint.

Presentations

Having determined the sequential placement of V^7 in relation to its conceptual preparation, the ensuing discussion concerns the formal presentation of the dominant-seventh chord in each textbook. An examination of specific conceptual inferences will establish their convergence or divergence in these texts and will feature concepts that are common to each exposition, followed by those that are not, further categorized according to their association with the root-position or inverted V^7. While the comparative position of the dominant seventh's introduction may influence the extent of its initial treatment, the author(s)'s pedagogical approach may also shape this first exposure. The relative number of conceptual issues that each textbook addresses, suggested by the chapter's applicable subheadings, is illustrated in the following diagram, arranged from least to most:

Gauldin → Clendinning/Marvin → Roig-Francolí → Aldwell/Schachter → Kostka/Payne

Both Aldwell/Schachter and Gauldin leave the explanation of inversions to a later chapter, which implies a less comprehensive rendering of the dominant seventh, but **Table 4.3** does not necessarily reflect that implication.

Table 4.3: Summary of Conceptual Experiences in Relation to the Dominant-Seventh Chord (Presentation)

Author(s)	Chapter Title	Conceptual Presentation
Gauldin	The Dominant Seventh: Embellishing the Tonic Harmony	The Dominant Seventh in Root Position Preparation and Resolution of the V^7 The Cadential Dominant Seventh Prolongation of Tonic Harmony using Embellishing Chords
Clendinning & Marvin	The Basic Phrase Model: Tonic and Dominant Voice-Leading	The Versatile Dominant Seventh Resolutions of V^7 and Its Inversions Dominant Seventh Resolutions in Music Literature Doubling Guidelines Authentic Cadences[15]
Roig-Francolí	The Dominant Seventh and Its Inversions	Doubling The V_7-I Progression: Voice-Leading Guidelines Preparing the Seventh in V_7 First Inversion Second Inversion Third Inversion
Aldwell & Schachter	I, V, and V^7	V^7 as a Dissonant Chord V^7 and the Soprano Voice V^7 in Four Voices: Doubling V^7-I: Voice-Leading Techniques V^7-I: Doubling ˆ3 V^{8-7} Expanding V^7
Kostka & Payne	The V^7 Chord	Introduction General Voice-Leading Considerations The V^7 in Root Position The V^7 in Three Parts Other Resolutions of the V^7 The Inverted V^7 Chord The $V^6{}_5$ Chord The $V^4{}_3$ Chord The $V^4{}_2$ Chord The Approach to the 7th

[15] Clendinning and Marvin place a discussion of authentic cadences immediately following their presentation of the dominant-seventh chord and implicitly incorporate V^7 in this topic.

While **Table 4.3** may simply highlight the organization of each presentation, it also suggests the relative significance of particular concepts. All five textbooks recognize the dissonance of the dominant-seventh chord, although neither Aldwell/Schachter nor Gauldin reiterate its major-minor quality beyond their introductory sections. Clendinning/Marvin emphasize the tonal implication of its distinctive quality, considering the symbolism of an unresolved V^7 in the context of a nineteenth-century lied. Every textbook incorporates figured-bass symbols and confirms the omitted fifth in an incomplete doubling of the chord's root.

A consideration of the tritone, as well as the natural resolution of its two tendency tones (ˆ4 and ˆ7), facilitates the introduction of voice-leading procedures in a V^7-I progression. Each text explores multiple resolutions of V^7, involving the recognized combinations of complete and incomplete chords. While all five demonstrate a complete V^7 resolving to an incomplete I, Gauldin (2004) suggests that a tripled root is appropriate "only at cadences" (p. 148). Kostka/Payne (2004) illustrate two tonic resolutions: the first with three roots and one third, which is described as "common"; the second with two roots and two thirds, described as "unusual" (p. 199). Roig-Francolí also illustrates these two resolutions but in a manner that indicates their equality, placing Kostka/Payne's "unusual" resolution ahead of the conventional tripled-root tonic. Aldwell/Schachter (2003), whose text may have precipitated this discussion, endeavour to distinguish pleasant from "unpleasant effect" but nevertheless, qualify the doubled third as "irregular" (p. 92). Gauldin decisively portrays the doubled third as "undesirable" and advises against its usage (p. 149).

Returning to the remaining doubling combinations, the resolution of V^7 that involves an incomplete dominant seventh with a complete tonic is shown in every textbook, and the resolution in which both chords are complete is also addressed in all five texts. This voice leading, which Kostka/Payne describe as a frustration of the leading tone (p. 200), is contextually placed in Bach's

chorale settings by Aldwell/Schachter who describe this practice without a musical example, and Kostka/Payne who do not make a narrative connection to Bach but provide an excerpt.

An examination of conceptual inferences that are not shared by all five textbooks is summarized in **Table 4.4**. These concepts, which concern the root-position dominant-seventh chord, have been loosely categorized in groupings of melodic and harmonic considerations as well as two- and three-chord progressions, respectively. Recognizing spatial limitations, Aldwell/Schachter is abbreviated as A/S; Clendinning/Marvin as C/M; Gauldin as G; Kostka/Payne as K/S; and Roig-Francolí as R-F. Additionally, a re-ordering of the textbooks is necessary, with Clendinning/Marvin presenting the least number of conceptual issues and Aldwell/Schachter, the most.

Reviewing each category in turn, the melodic or horizontal considerations surrounding the dominant-seventh chord are covered most extensively by Aldwell/Schachter who include relatively sophisticated and nuanced linear contours, involving incomplete neighbouring motions and melodic interpolations, in their initial presentation of V^7. Kostka/Payne and Gauldin restrict their linear contours to stepwise motions, as does Roig-Francolí who effectively demonstrates the integration of a melodic dissonance into the harmonic sonority of V^7, but who chooses not to pursue the discussion beyond a passing tone. Melodic dissonance, which is absent from Clendinning/Marvin's presentation, was originally introduced by the authors in a previous chapter, along with the topic of two-voice composition, and it resurfaces in their later discussion of tonic prolongations.

Harmonic or vertical considerations surrounding the dominant seventh are also extensively covered by Aldwell/Schachter. Elementary matters of chord construction are handled variously by the other textbooks, excepting Clendinning/Marvin's which again, introduced these elements in a previous chapter. Notable is Kostka/Payne's singular inclusion of a three-part texture, which

addresses the omission of a chord member and as a result, may facilitate the analysis of excerpts from the instrumental literature.

Table 4.4: Comparison of Conceptual Experiences in Relation to the Initial Presentation of the Dominant-Seventh Chord (Root Position)

Conceptual Inference	**C/M**	**K/P**	**R-F**	**G**	**A/S**
contrapuntal origin of the dissonant 7th		X	X		X
dissonant 7th as a passing tone		X	X	X	X
dissonant 7th as a neighbouring tone		X		X	X
dissonant 7th as an incomplete neighbouring tone					X
melodic interpolation (decoration)					X
leading tone accidental in minor keys		X		X	X
harmonic support for ˆ5, ˆ7, ˆ2, and ˆ4			X		X
ˆ5 in soprano of an incomplete V^7 (implication)					X
three-part texture		X			
dominant function	X		X	X	X
V^{8-7} (extension)			X		X
transfer of dissonance (expansion)					X
essential (cadential) chord				X	
authentic cadence	X			X	X
resolution in freer textures (music literature)	X				
movement of fifth (up or down)			X		
melodic fragments (soprano)			X		
deceptive resolution		X			
tonic prolongation			X	X	
alternation of I and V^7				X	
embellishing chord (to I)				X	
preparation of dissonant 7th as a suspension		X	X	X	
preparation of dissonant 7th as an appoggiatura		X		X	
approach from cadential $^6_4$ (and alternative voice leading)			X		

A comparative review of two-chord progressions involves the resolution of a root-position dominant-seventh chord and in most circumstances, implies movement toward a root-position tonic chord (V^7-I). Its deceptive resolution to a submediant chord (vi or VI) is illustrated by Kostka/Payne (2004) alone – the only authors to have previously introduced this chord. Their distinctive

application of the "circle-of-fifths progression" (p. 101) contests the prevalence of a functional approach to tonal harmony and accounts for the appearance of the submediant in their exposition of V^7, as well as the nonappearance of its "dominant function" designation. Indeed, the absence of concepts underlying the resolution of the dominant seventh in Kostka/Payne's text suggests a somewhat superficial treatment of the subject matter.

While each textbook examines these resolutions from a unique perspective, some discussions may broaden the introduction of V^7 to excessive proportions, such as Aldwell/Schachter's consideration of its extension and expansion; some may complicate its resolution, such as Roig-Francolí's insistence that the fifth move up or down; and some may highlight its relevance, as do Clendinning/Marvin by placing the resolution of V^7 in the freer textures of selected musical excerpts. Roig-Francolí offers a practical list of melodic fragments that may be associated with a V^7-I progression, which Aldwell/Schachter similarly undertake in a subsequent chapter, although their summary is more comprehensive, including progressions of three chords and inversions. These three-chord progressions involve the resolution of the dominant-seventh chord as well as its preparation.

Gauldin provides a thorough interpretation of this preparation-and-resolution procedure, effectively differentiating between essential and embellishing dominant sevenths, which imply two- and three-chord progressions, respectively. Embracing the Schenkerian principle of tonic prolongation that organizes Gauldin's presentation, Roig-Francolí adds the suspension to his earlier consideration of the passing tone but does not mention the appoggiatura nor the neighbouring tone in relation to the dissonant seventh. He does, however, include the cadential $^6_4$ as a possible chord-of-approach, which Kostka/Payne are also positioned to include but choose otherwise. Both Aldwell/Schachter and Clendinning/Marvin address tonic prolongation in successive discussions.

Table 4.5 represents a comparison of the inverted dominant-seventh chords, which excludes Aldwell/Schachter and Gauldin who introduce inversions in a later chapter. The following concepts are similarly organized according to two- and three-chord progressions with a narrative explanation of contextual issues separating them.

Table 4.5: Comparison of Conceptual Experiences in Relation to the Initial Presentation of the Dominant-Seventh Chord (Inversions)

Conceptual Inference	**C/M**	**K/P**	**R-F**
resolution of V^6_5 to I	X	X	X
resolution of V^4_3 to I	X	X	X
resolution of V^4_3 to I^6 (parallel tenths)		X	X
resolution of V^4_2 to I^6	X	X	X
V^4_2-I^6 (with melodic motion between ˆ2 and ˆ5)	X	X	
stronger and weaker progressions	X		
transferred resolution of the dissonant 7th	X		
linear function of inverted dominant sevenths			X
V^6_5 neighbouring I			X
V^6_5 passing from vi or IV^6			X
V^4_3 neighbouring I			X
V^4_3 passing from I^6 to I		X	X
V^4_3 passing from I to I^6 (parallel tenths)		X	X
V^4_2 passing from V			X
V^4_2 passing from a cadential $^6_4$		X	
V^4_2 approached by I6 (neighbouring motion)		X	
V^4_2 approached by IV or ii^6 (suspension)		X	X

A comparative review of two-chord progressions reveals relative consensus and few conceptual discrepancies. Clendinning/Marvin mention an exceptional upward resolution of the chordal seventh but defer their illustration until its placement in the context of a tonic expansion involving passing motion (I-V^4_3-I^6). However, their demonstration of unusual voice leading in the resolution of V^4_2 to I^6 counters this reasoning as no contextual explanation is given. Kostka/Payne (2004) describe

this treatment as “less conventional but certainly effective” and provide a musical example to substantiate their declaration (p. 209).

Using a basic phrase model with which to contextualize the creation of stronger and weaker progressions, Clendinning/Marvin singularly discuss the appropriate placement of V^7 and its inversions – at the beginning, in the middle, or at the end of a phrase. Perhaps this discussion is reminiscent of Gauldin’s essential and embellishing dominants, although Clendinning/Marvin have chosen to delay prolongational progressions until later in their text. Roig-Francolí describes the linear function of the inverted dominant-seventh chord, which initiates his examination of applicable three-chord progressions. These are presented in an extensive illustration that includes various approaches to V^7, such as the submediant chord which has not been formally introduced, but excludes the cadential $^6_4$. Kostka/Payne’s succession of illustrations is less comprehensive.

Highlighting a varied assortment of features, the presentation of the dominant-seventh chord is distinctly delivered in each textbook. While a number of conceptual inferences concerning $V^7$are common to all five texts, including its dissonance, the resolution of that dissonance, and the doubling issues it entails, there is a significant discrepancy in the extent to which this topic is treated. Commonalities aside, Clendinning/Marvin address nine related concepts, which is less than both Gauldin and Aldwell/Schachter who do not consider inversions. At the other end of the spectrum is Roig-Francolí’s text which addresses a total of twenty two – only slightly more than Kostka/Payne’s. From a musical perspective, these two texts, with their later exposition of the dominant seventh, have accumulated a greater volume of preparatory material, enabling a more inclusive discussion. But from an educational perspective, this advantage may prove to be disadvantageous, given the overwhelming magnitude of both presentations.

As with the dominant seventh’s conceptual preparation, Clendinning/Marvin provide the most effective introduction to this chord, having created a contextually-relevant discussion that is

appropriately portioned for a first exposure. Within their spiral approach, the authors are able to extend their exploration of V^7 over several chapters, allowing the conventions of its treatment to become established before shifting their attention to the exceptional circumstances in which the dominant-seventh chord may be located.

Musical Excerpts

A brief examination of excerpts from the musical literature will summarize the content of the five textbook analyses. This comparative summary, condensed in **Table 4.6**, will concern two factors: the composers whose works are included in each exposition of the dominant-seventh chord and the genres that these works represent. From top to bottom, the composers' names are recorded in chronological order, and from left to right, the textbooks are ordered according to the number of musical excerpts utilized in the presentation of V^7, arranged from least to most. Mozart's Concerto for Horn, K. 447 is the only work to be excerpted by more than one author or author combination. This example is reproduced in **Example 3.11** and highlighted with boldface type in **Table 4.6**.

Aldwell/Schachter's text features a single musical excerpt from the Classical repertoire in their initial presentation of the dominant-seventh chord. Clendinnig/Marvin's text demonstrates the dominant seventh with specifically-intended excerpts from the Baroque, Classical, and Romantic literature that address the distinctive quality of V^7, tendency-tone resolutions, and the resolution of $V^4{}_2$. Gauldin's excerpts also provide a musical context for the dominant seventh, representing a wide range of genres and the same three style periods. These excerpts exhibit the chordal seventh as a non-chord tone, extended alterations of I and V^7, as well as both essential and embellishing dominant sevenths. Additionally, Gauldin addresses analytical problems that arise in the consideration of a musical example, and he explores the contextual elaboration of a harmonic model.

Table 4.6: Comparison of Musical Excerpts in Relation to the Initial Presentation of the Dominant-Seventh Chord (Composers and Genres)

Composers	Genres	A/S	C/M	G	K/P	R-F
Bach	chorale			X	X	
	sinfonia				X	
Handel	aria		X			
Haydn	piano sonata					X
	string quartet			X	X	
	symphony	X				
	trio					X
Chevalier de Saint-George	piano piece					X
	violin sonata					X
Mozart	**horn concerto**				X	X
	piano sonata				X X	
	symphony			X X		
	violin sonata					X
Beethoven	piano sonata		X		X	
	string quartet				X	
Schubert	string quartet				X	
	waltz			X		
Berlioz	program symphony			X		
Mendelssohn	piano piece			X		
Chopin	piano piece			X		
Schumann	lied		X			
	piano piece					X
Grieg	orchestral suite					X
Granados	piano piece					X
Willson	song					X

With few exceptions, Kostka/Payne's excerpts are drawn from the Classical literature. Annotated with coloured highlights, they demonstrate both conventional and unconventional voice-leading procedures, including contrary fifths and three-part textures that omit the leading tone. In contrast, Roig-Francolí has chosen musical excerpts that extend from the Classical period to the twentieth century, although nineteenth-century composers are less well represented. He addresses voice-leading or linear tendencies in the resolution of V^7 and its inversions, notably using a number of musical examples to contextually position his discussion of practical applications and his analysis exercises.

The genres that are itemized in **Table 4.6** may be classified in four categories according to the performance ensembles for which they were composed. These categories include orchestral, chamber, keyboard, and vocal genres, which the following diagram arranges from the least often excerpted to the most:

Vocal ⟶ Orchestral ⟶ Chamber ⟶ Keyboard

Considering the fact that tonal harmony is principally derived from the vocal traditions of the past, particularly Bach's chorales, this diagram is surprising. Perhaps it represents a contemporary application of harmonic principles positioned in an instrumental context which is perceived to be more accessible, and this accessibility may hinge on the customary placement of a piano in the music theory classroom.

Nevertheless, Roig-Francolí's larger number of excerpted works and their greater stylistic exposure would seem to be advantageous for his introduction to the dominant-seventh chord. However, only four of the ten examples are featured in the presentation portion of his discussion, and the relative complexity of these works diminishes their effectiveness. Kostka/Payne's excerpts, although more narrowly confined in historical style, represent diverse genres and textures, while their unique coloured highlights encourage the awareness of specific conceptual elements.

Concerning the intrinsic value of the musical examples that supplement each presentation of the dominant-seventh chord, Gauldin offers a collection of excerpted works with the greatest pedagogical potential. Although Kostka/Payne include a similar number of excerpts and both texts supply correlated audio recordings, Gauldin meaningfully engages his selected examples. He embeds an exploration of their musical paradigms in his discussion, reproducing complete phrases, rather than isolated measures, and providing explanatory reductions. Consequently, the conceptual excavation of Gauldin's excerpts, coupled with his reliance on musical literature for theoretical inferences, is reminiscent of the Kodály Method and its instructional process.

A Comparison with Kodály's Methodology

This section will reconsider the pedagogical practices that structure the Kodály Method in relation to the five textbooks that constitute the analytical portion of my research. This discussion will involve the comparative application of Kodály's methodology, in the form of a theoretical framework derived from its educational procedures, which will serve as the basis for my examination.

The four-step process, which structures the overlapping presentation of concepts in Kodály's methodology, is represented by four instructional objectives that prepare, make conscious, reinforce, and asses the new learning. These words are verbs, which typically describe actions, and symbolize the active pursuit of conceptual goals. The musical skills that enable the new learning to occur – hearing, singing, deriving, writing, reading, and creating – are also action words. A brief summary outlines the integration of these musical skills with the acquisition of musical concepts, which together comprise Kodály's instructional process.

1. Prepare through Hearing and Singing: the rote-teaching of a core repertoire, and the internalization of previously-learned concepts necessary for the understanding of an unknown element

2. Make Conscious through Deriving: the transfer of a subconscious musical experience to conscious awareness with carefully selected questioning

3. Reinforce through Writing: the practice of notating the newly acquired knowledge and learning new material that contains the relevant concept

4. Assess through Reading and Creating: the measure of comprehension that involves recognizing a new element in unknown materials, and the creative activities of improvisation and composition

Choksy's adaptation for older students modifies this process to address the teaching of art music, and by extension, the teaching of music theory. Often, teachers rush through an extraordinary number of concepts with the intent of presenting as much musical information as possible. However, as a consequence of this hurried delivery, their students acquire a "vocabulary of surface facts about music but do not develop musical skills and understandings" – these take time (Choksy, 1999a, p. 171). As an alternative, Choksy suggests that "teachers must stop trying to cover the vast subject of music and begin to uncover it a little bit at a time" (p. 171). Kodály's instructional process provides a means to this end.

Preparation

The preparation stage of the process incorporates two related procedures: the acquisition of a core repertoire and the attainment of specific conceptual understandings, both of which facilitate future understandings. Within my analytical examination of Aldwell /Schachter's *Harmony and Voice Leading* (2003), the pedagogical components of Kodály's four-step instructional process are not readily apparent. While an inspection of the textbook's introductory section reveals a thorough foundation of conceptual readiness for the dominant-seventh chord, the absence of musical excerpts in this section implies an intellectual, rather than a musically-derived, preparatory

presentation. Further, the accumulation of a core repertoire from which to derive the dominant seventh is absent, obliging a musical element to be taught through a physical sense other than an aural one – the sense with which music is directly involved.

In relation to the other textbooks, my search for Kodály's preparation stage elicited a similar result. With specific reference to the dominant-seventh chord, Gauldin, Kostka/Payne, and Roig-Francolí all provided more than adequate conceptual preparation, but none of these authors placed their readiness presentations in a musical context, nor did they prepare a core repertoire from which to derive subsequent conceptual understandings. However, there is one notable exception. Clendinning/Marvin include two separate excerpts from Van Heusen and Burke's "Here's That Rainy Day," which illustrate triads and seventh chords in a popular style. They also discuss doublings in Rogers and Hart's "My Funny Valentine," and both of these musical experiences precede the official introduction of V^7. It is necessary for these excerpts to be played at the piano, or to be played and sung, but this element of participation serves to activate the student's musical senses and to augment the intellectual abstraction of the presentation with a concrete experience. Regarding the preparation of a core repertoire, this component of Kodály's process is implemented to some extent as the authors' pedagogical sequence unfolds.

Conscious Awareness

The make conscious portion of the instructional process indicates the synaptical moment when an unconscious experience becomes conscious knowledge – when the unknown becomes known. The overlapping sequences that are intrinsically embedded in Kodály's methodology usually incorporate a single make conscious experience in the course of an individual lesson. This mental shift from unconscious to conscious awareness involves the teacher labeling a particular concept, such as the

dominant-seventh chord, and attaching a symbol (V^7) to that sound, thereby transferring the experience from sound to sight.

None of the textbooks I analyzed incorporate this phenomenon, as they all attempt a more or less exhaustive description of my sample conceptual element. The extent of each presentation depends on the placement of V^7 in its sequencial organization as well as the intent or instructional scope of each manuscript. For example, Aldwell/Schachter address common-practice harmony and voice leading exclusively; Clendinning/Marvin, Gauldin, and Roig-Francolí include baroque counterpoint; Clendinning/Marvin, Kostka/Payne, and Roig-Francolí add twentieth-century theory. The pedagogical approach embraced by the author(s) is another factor that contributes to the relative comprehensiveness of each text's topical rendering. Again, Clendinning/Marvin's *The Musician's Guide to Theory and Analysis* is positioned separately from the others as it is the only textbook of the five to incorporate a spiral-learning approach which compliments the overlapping implementation of Kodály's methodology.

Reinforcement

The reinforcement process involves a practical application of newly-acquired conscious knowledge. This stage of instruction implements the notational symbolization of the relevant concept, such as the dominant-seventh chord (V^7), and moves toward its abstraction. In the context of Kodály's methodology, an examination of the repertoire from the preparation stage leads to repeated discoveries of the new element in multiple circumstances. However, in relation to all five textbooks, the absence of this core repertoire unavoidably eliminates subsequent reinforcement activities. Instead, these activities are replaced with sequentially-ordered exercises.

Each of the five textbooks is accompanied by a workbook or set of workbooks that provide written assignments in addition to those found within the text. Confining an examination of these

exercises to the chapter in which the dominant seventh is initially introduced, the following diagram illustrates their relative quantity, arranged from least to most:

Aldwell/Schachter → Roig-Francolí → Kostka/Payne → Clendinning/Marvin → Gauldin

This measure of quantity recognizes the number of distinct written tasks but not necessarily the total number of assignments. For example, Kostka/Payne uses similarly designed exercises to reinforce V^7 in root position, then again in inversion. Excluding analysis assignments, which will be discussed separately, **Table 4.7** presents a summary of the reinforcement exercises in each workbook and their comparative distribution.

Table 4.7: Comparison of Reinforcement Exercises in Relation to the Dominant-Seventh Chord

Written Assignment	**A/S**	**R-F**	**K/P**	**C/M**	**G**
chordal spellings			X	X	X
roman-numeral part writing (resolutions)		X	X	X	X
(preparations and resolutions)			X		X
cadences				X	
short progressions		X		X	
identification of errors					X
figured-bass realizations (shorter)			X		
(longer)	X	X			X
unfigured basses (implied harmonies)		X	X		X
melody harmonizations (shorter)	X				
(longer)	X	X		X	X
voice-leading reductions					X

A consideration of the outermost workbooks emphasizes Aldwell/Schachter's remarkably brief engagement with the subject matter. Lacking exercises that practice part-writing skills as a separate competency, a student may be unable to attain a sufficient level of procedural proficiency before

the part writing is complicated with a simultaneous deciphering of melodic fragments or figured basses. Conversely, Gauldin provides the most comprehensive practice exercises which are sensibly organized according to increasingly sophisticated levels of difficulty.

However, a majority of the assignments highlighted in **Table 4.7** do not relate to the reinforcement intentions of Kodály's methodology, as the fabrication of harmonic drills placed in author-constructed environments negates the innate musical value of the subject matter. Exceptions to this restriction are found in the melody harmonizations of Clendinning/Marvin and Gauldin as well as in Gauldin's voice-leading reductions. Four of the five textbooks, excepting Aldwell/Schachter's, also incorporate analysis exercises that employ excerpts from the musical literature. These works, ordered by appearance, are listed in the following table (**Table 4.8**).

Table 4.8: Summary of Musical Excerpts in Relation to the Dominant-Seventh Chord (Reinforcement Exercises)

Author(s)	Composer	Excerpted Work
Clendinning & Marvin	———	"Hush, Little Baby"
	———	"The More We Get Together"
	Mozart	Piano Sonata in C Major, K. 545, first movement
	Beethoven	Sonatina in F Major, Op. Posth., second movement
	Mozart	"Sull' aria" (from *The Marriage of Figaro*)
	Mozart	Symphony No. 41 in C Major (*Jupiter*), fourth movement
Gauldin	Bach	*Brandenburg Concerto* No. 4 in G Major, third movement
	Haydn	Symphony No. 97 in C Major, third movement
	Chopin	Etude in E Major, Op. 10, No. 3
	———	"Sweet Bye and Bye"
	———	"Londonderry Air"
	———	"Let All Mortal Flesh Keep Silent"
Kostka & Payne	Bach	"Ich dank' dir, lieber Herre"
	Beethoven	Sonata, Op. 2, No. 1, third movement
	Mozart	Quintet, K. 452, first movement
	Schumann	"Im Westen," Op. 25, No. 23
Roig-Francolí	Haydn	Sonata in D Major

Overall, the composers of these excerpted works represent a variety of compositional styles that range from the Baroque to the Romantic periods with the instrumental genres of the Classical Viennese composers most extensively referenced. Both Clendinning/Marvin and Gauldin expand this conventional repertoire to include traditional melodies drawn from carols, hymn tunes, and folk songs. If these melodies are previously known to the reader and selected for that purpose, their inclusion in reinforcement activities approaches Kodály's ideal.

Assessment

The evaluation or assessment of conceptual understanding is laden with complex issues, as the measurement of comprehension, which involves personal interpretation, is in essence, an impossibility. Therefore, rather than assessing an intangible mental state, Kodály's methodology focuses on student behaviours, appraising musical knowledge through the demonstration of specific skill sets, such as performing, identifying, reading, writing, analysing, and creating (Choksy, 1999a, p. 184). This last skill is the primary focus of the assessment stage in Kodály's instructional process. Through the activities of improvisation or composition, which feature the new concept in a fresh context, a discernment of the relevant conceptual knowledge is exhibited.

Three of the five textbooks include creative exercises: *The Musician's Guide to Theory and Analysis* (Clendinning/Marvin), *Tonal Harmony* (Kostka/Payne), and *Harmony in Context* (Roig-Francolí). **Table 4.9** illustrates the assorted configuration of these exercises. Kostka/Payne's compositional assignments seem advantageously extensive but only the exercises marked with an asterisk include musical notation, and the absence of a reference for either of these illustrations implies their contrived assembly. Roig-Francolí's assignments are similarly lacking a musical context. In contrast, Clendinning/Marvin's piano arrangements and creative writing exercises develop naturally out of their melody harmonizations and utilize traditional folk songs – "Hush, Little Baby"

and “The More We Get Together” – including their respective texts. In this manuscript, the mastery of the dominant-seventh chord, along with every other concept, is correlated with composing, improvising, performing, and sight-reading – activities that endorse the relevance of music theory and music practice. This quest for comprehensiveness echoes the “total musical experience” that embodies Kodály’s pedagogical principles (Choksy et al., 2001, p. 140).

Table 4.9: Summary of Creative Activities in Relation to the Dominant-Seventh Chord (Assessment Exercises)

Author(s)	**Written Assignment**
Kostka & Payne	set a short text for 4-part chorus compose a period in 3-part texture create an elaborated version for 3 trumpets create a piano texture from a soprano/bass framework* set a song melody for 4-part chorus* compose a version for piano
Clendinning & Marvin	arrange piano accompaniments for melody harmonizations* recast melody harmonizations in parallel minor keys combine settings to create a sectional variation form
Roig-Francolí	write progressions using required harmonic elements compose a keyboard-style accompaniment

Concluding my study, the following chapter will offer commentary relating to the synthesis of a Kodály-centred instructional process and the post-secondary teaching of tonal harmony. I will reflect on the implications of this integration, consider the limitations of my research, and propose areas for future inquiry.

Chapter 5:
Synthesis and Conclusion

Synthesis of Kodály's Methodology and Tonal Harmony

The Implications

At the outset of my research project, I was confronted with a pedagogical disparity between the procedural practices of Kodály's methodology and the instructional traditions of music theory. The objectives of a Kodály-based educational program, as outlined by Choksy, are:

- to develop to the fullest extent possible the innate musicality present in all children;
- to develop musical literacy – the ability to think, read, write, and create with the traditional language of music;
- to impart a sense of cultural identity through the use of the [students'] own folk music heritage and to further the understanding of other peoples and cultures through knowledge of their folk music;
- to make available to children the great art music of the world so that through performing, listening, studying, and analy[s]ing masterworks, they will come to a love and appreciation of music based on knowledge about music;
- to encourage the performance abilities of all students – to sing in classes and choirs, to [play] in ensembles and orchestras – to use such participation in musical groups as a way of enriching their lives. (1999a, p. 184)

These educational objectives are not as far removed from the discipline of music theory pedagogy as was initially presumed. Excepting Kodály's incorporation of "cultural identity" and "folk music heritage," his remaining intentions are entirely compatible with music theory instruction.

The Kodály Method evolved amidst the "historical ... development of Hungary as a nation" (Zemke, 1974, p. 1). In her doctoral dissertation, Sister Lorna Zemke, director of Graduate Music Studies at Silver Lake College (Manitowoc, Wisconsin), discusses the domination of German-trained musicians over their Hungarian counterparts as a result of the Austrian Hapsburgs' rule. Consequently, a desire to rectify his country's loss of contact with its "true Hungarian musical

heritage" fueled Kodály's work as an ethnomusicologist and prompted his educational focus (p. 2). In the context of our twenty-first century globalization, this cultural motivation may not be necessary, but Kodály's emphasis on folk music had a pedagogical purpose as well.

Establishing an equivalence between skill acquisitions in language and music, Kodály maintained that "folk-song is the child's musical mother tongue" and that musical knowledge must be awakened in the "same manner as he learns to speak" (Szőnyi, 1973, p. 25). In a university environment, the student of tonal harmony is expected to have attained at least a rudimentary knowledge of music theory – its "spelling" and "grammar" – which diminishes the necessity for this beginning folk-song phase. Furthermore, the multi-cultural disposition of a typical theory class produces a predicament in relation to the primary "musical mother tongue." But this folk music debate does not detract from the philosophical aspirations of the Kodály Method and their significance for teaching music theory.

From a procedural perspective, the correlation is less obvious. However, as I compared the textbook data with Kodály's methodology, an investigative congruence emerged between the three criteria of my observational analysis and the four steps of Kodály's instructional process. The following diagram illustrates this parallel.

Observational Criteria:		Instructional Process:
Conceptual Sequence	→	Preparation
Presentation	→	Conscious Awareness
Musical Excerpts	→	Reinforcement and Assessment

In each textbook, an examination of the dominant-seventh chord's sequential placement facilitates a similar examination of its conceptual preparation. The textbooks' presentation of V^7 corresponds with Kodály's derivation of conscious knowledge, and the excerpted works, while indispensable at every stage of the instructional process, provide material with which to reinforce and assess conceptual understanding. Perhaps the Kodály Method may offer solutions to the questions raised at the conclusion of each textbook analysis in Chapter 3.

Beginning with Aldwell and Schachter's text, my concern involves contextual decisions regarding the resolutions of V^7 and the factors that determine its appropriate usage. How does a student choose between conventions and exceptions? This dilemma may be settled with an exploration of the musical literature. In the context of Kodály's methodology, the "frequency of occurrence of specific melodic turns and rhythmic figures" establishes the hierarchical sequencing of its musical skills and concepts (Choksy, 1999a, p. 174). This statement may be expanded to include "harmonic elements," implying that the harmonic content of the literature governs the conceptual content of the instruction. Taken a step farther, the exceptional resolutions of V^7 should not be introduced until the conventional resolutions are securely mastered – an argument supported by both Professors Ford and Caza.

My disagreement with Roig-Francolí's text engages a related issue. He illustrates a doubled third in the resolution of V^7 to I which is not only exceptional, but questionable as well. Why would he select this voice leading for the student's first exposure to the dominant-seventh chord? While I cannot provide an answer, I can attest to the non-prevalence of this resolution in the musical literature and therefore, to its unfortunate placement in this author's presentation.

Kostka and Payne, as well as Roig-Francolí, introduce V^7 and its inversions comparatively late in the sequential organization of their textbook. Quoting László Dobszay (Franz Liszt Academy of Music) from *After Kodály – Reflections on Music Education* (1992), Choksy writes: "I have become increasingly convinced that the direction of music teaching can best be determined by the inner logic of the music itself" (Choksy, 1999b, p. 77). As a realization of this logic, Kostka and Payne should have synchronized their discussion of the dominant-seventh chord with its first inclusion in their musical examples – eight chapters ahead of its formal placement. But a matter of greater concern is the authors' handling of harmonic conventions, asking the student to learn and remember tables of information. Is the rote memorization of part-writing rules an effective conduit

to conceptual understanding? A well-trained Kodály practitioner is unobtrusive, speaking sparingly and never "describing" or "explaining" musical principles. Instead, these are "demonstrated by the teacher or inferred and derived by the students" from musical experiences (Choksy et al., 2001, p. 138). This experiential immersion enables the students' involvement in the educational process, fostering both their intellectual development and their emotional fulfillment.

Clendinning and Marvin's presentation of V^7 is contextually derivative, positioned in a spiralled exploration that builds conceptual awareness through continued experiences. By gradually moving toward abstractions of the concept, their pedagogical approach resembles Kodály's, but is this approach theoretically thorough? Following her description of a representative listening strategy, Choksy concludes with this paragraph:

> The approach suggested here is very different from the ones commonly in use in the schools. The focus is on the music, throughout. It is better to study two works a year in this kind of depth than to listen to ten works superficially, because this analytical approach makes generalizations possible. The student who has studied Mozart's Symphony No. 40 in G Minor, who knows the work thoroughly, can sing its themes, follow its forms and its harmonic progressions and key changes, can then listen with much greater understanding to all Mozart and Haydn symphonies. He or she is able to transfer the knowledge acquired and, even more importantly, the appreciation that goes with the knowledge to other works in the same style and period. (1999b, p. 79)

Perhaps the student of music theory would benefit from a deeper investigation of its fundamental elements, rather than from the broadest depiction of its subject matter. Such a latitudinal examination may compromise the richness of significant conceptual understandings, along with their transferability.

In Gauldin's text, the introduction of V^7 incorporates a multi-dimensional interaction of both melodic and harmonic elements. Does this interaction contribute to a more meaningful educational experience? The four steps of Kodály's instructional process (prepare, make conscious, reinforce, and assess) are interwoven with a series of pedagogical skills (hearing, singing, deriving, writing, reading, and creating), and both hierarchies are further entwined with the concepts of rhythm,

melody, harmony, and form. This overlapping or "polyphonic" teaching strategy may seem exceptionally complex, but its planning, which involves the simultaneous progression of distinct conceptual inferences, is logical and rational. The dominant-seventh chord does not exist in isolation – a factor that should be reflected in its multi-faceted presentation.

The Limitations

Initially overwhelmed by the enormity of analysing five textbooks, I selected the dominant-seventh chord (V^7) as a specific harmonic element with which to unify my research. Chosen as a point of intersection between Kodály's methodology and the post-secondary teaching of tonal harmony, the dominant seventh was also an element that incorporated a variety of allied conceptual inferences and ultimately enhanced my data. However, a number of issues imposed limitations on my study.

I began with a review of V^7 in each textbook's index, but these references differ widely in comprehensiveness – from over seventy in Aldwell and Schachter's text to less than five in Kostka and Payne's. While one represents an intricate web of cross-annotations, the other compiles an unadorned consolidation of information. Consequently, the dimensions of Aldwell and Schachter's index precipitated the restricting of my study to V^7 in a diatonic context. The spiralled approach of Clendinning and Marvin's text emphasizes the presentation of V^7 in multiple settings, conflicting with the single site of its conventional exposure. As a result, my textbook comparison in Chapter 4, which defined the presentation of V^7 as its *initial* introduction, may have been biased against Clendinning and Marvin's textbook. Similarly, the root-progression approach that organizes Kostka and Payne's manuscript contrasts with the prolongational approach of the others and therefore, affects the conceptual sequencing of V^7's presentation.

In my comparative discussion of reinforcement exercises, which involves the workbooks that supplement each text, an absence of musical literature from the chapter that correlates with

Aldwell and Schachter's presentation of V^7 is unexpected, given the extensive list of musical examples that prefaces their workbook's contents. However, a closer examination of the manuscript in its entirety reveals the continual inclusion of a section titled "Study and Analysis," beginning with the chapter immediately following the dominant seventh's introduction in Unit 6. This section, which incorporates a diverse assortment of excerpted works, is more representative of the authors' pedagogical approach but is omitted from the chapter that delineates my study. Roig-Francolí distinguishes his materials by including extensive exercises at the conclusion of each chapter in his textbook. As a result, his workbook exercises, which compared less favourably to the others, are not crucial to the conceptual reinforcement of the dominant-seventh chord.

Future Inquiries

My exploration of music theory pedagogy, in relation to the Kodály Method, is based on the premise that an analysis of characteristic university-level textbooks on tonal harmony will represent the traditional conventions of harmony instruction in that environment. The empirical component of my research – case-study interviews with university professors who teach tonal harmony – has directed me to the realization that a textbook is individually implemented, either in whole or in part. The influence of this humanistic element on the outcome of my inquiry will certainly demand further consideration, as will the amalgamation of a Kodály-centred methodology and a conventional harmony curriculum designed for older students.

The Kodály Method has been adapted for use on most continents with translations in Chinese, Estonian, French, German, Japanese, Latvian, Polish, Russian, Spanish, Swedish, as well as English (Choksy, 1999a, p. 4). Its instructional sequence, rather than being rigid or inflexible, is pliant and adjustable, intended to be "altered according to the population [for] whom it is to be used" (p. 179).

Clendinning and Marvin's text, *The Musician's Guide to Theory and Analysis* (2005), is most closely aligned with the pedagogical components of Kodály's methodology. The introductory section, which is inseparable from the remaining text, is generously provisioned with musical excerpts and provides a thorough preparation for my sample conceptual element. The spiraled presentation of the dominant-seventh chord extends over several chapters, which enables its repeated reinforcement and strengthens the development of its conceptual understanding. In addition, the text is infused with "Try it" exercises that offer frequent practice opportunities for newly-acquired concepts, as well as prominent creative activities that encourage both synthesis and internalization.

Embracing the contemporary approach of this textbook, I am interested in the authors' sequencing of theoretical concepts other than the dominant-seventh chord as well as their simultaneous coordinating of multiple musical elements, such as melody, harmony, and structure. I wish to pursue the instructional implications of each conceptual strand, clarifying its independent educational objectives and illuminating its individual contribution to the collective understanding of tonal harmony. Perhaps an examination of these "parts" would suggest a strategy by which Kodály's methodology could be implemented in a context similar to Clendinning and Marvin's, benefiting the "whole" of music theory pedagogy.

Concluding Remarks

If Kodály's educational philosophy were to be expressed in a single word, it would inevitably be "singing." Through a direct association between the voice and musical experience, a series of conceptual understandings are not only intellectualized by the students, but are developed and internalized. From a pedagogical perspective, this experiential approach differs fundamentally from standard instructional practice. Its comprehensive and highly sequential methodology moves from

concrete to abstract and precedes symbolization with extensive musical experience. Is this not advantageous? Can we not, as educators, create an environment in which the teaching of tonal harmony is derived from an active experience of music?

In Kodály's words, "Music must not be approached from its intellectual, rational side, nor should it be conveyed to the [student] as a system of algebraic symbols, or as the secret writing of a language with which he has no connection. The way should be paved for direct intuition" (1974, p. 120).

Appendix A: Consent Form

uOttawa

Université d'Ottawa
Faculté d'éducation

University of Ottawa
Faculty of Education

University of Ottawa
Consent Form for EDU7190

Project title: The Kodály Method and Tonal Harmony: An Issue of Post-Secondary Pedagogical Compatibility

Names of researchers and contact information

Mrs. Lori Lynn Penny
Master's Student
School of Music
University of Ottawa
Tel:
Email:

Barbara Graves, Ph.D.
Associate Professor
Faculty of Education
University of Ottawa
Tel:
Email:
Office:

Invitation to Participate: I have been invited to participate in a research project conducted by Mrs. Lori Lynn Penny under the supervision of Professor Graves as part of her course, Qualitative Research I, at the University of Ottawa.

Purpose of the Study: The purpose of the study is to collect information on the teaching of tonal harmony at the post-secondary level from multiple perspectives.

Participation: My participation will consist of participating in an interview about my experiences with my undergraduate theory class. The time needed for this is approximately 45 minutes. This will take place at a time and location convenient to me. Mrs. Penny will audio-record my responses.

Assessment of risks: My participation in this study entails no foreseeable risks. However, if I experience any discomfort, Mrs. Penny has assured me that she will make every effort to minimize this discomfort. I may decide to stop the interview at any time.

Benefits: By expressing some personal ideas about my experiences with my theory class I will contribute to an enlarged understanding of the subject from the perspective of a teacher.

Privacy of participants: I have received assurance from Mrs. Penny that the information I share will remain strictly confidential. My identity will be protected. The contents will be used for this course assignment and may also be used for the student researcher's proposed thesis work.

Confidentiality and conservation of data: The data will be used for the purpose of the course assignment. The data may also be used as part of the future thesis work of the student researcher. I have been assured that the audio recording will be kept in a secure manner at the researcher's home during the research, and upon completion of the project will be stored on Professor Graves password protected computer. If used exclusively for the course, the data will be kept for one year following the end of the course in December 2011. In December 2012, all material data will be shredded and electronic data will be erased. If used as part of the student researcher's thesis work, the data will be securely safeguarded for a minimum of five years along with the other data collected for the thesis.

Appendix A: Continued

uOttawa

Université d'Ottawa
Faculté d'éducation

University of Ottawa
Faculty of Education

Voluntary Participation: I am under no obligation to participate and if I choose to participate, I can withdraw from the study at any time and/or refuse to answer any questions, without suffering any negative consequences. If I choose to withdraw, all data gathered until the time of withdrawal will be destroyed.

Acceptance: I, _____, agree to participate in the above research study conducted by Mrs. Lori Lynn Penny as part of her course, Qualitative Research I, at the Faculty of Education, University of Ottawa under the supervision of Professor Graves.

_____I AGREE to have the data used for completion of the coursework in EDU7190.

I also AGREE that the data may be used for the thesis work of the student researcher.

☐ YES

☐ NO

If I have any questions about the study, I may contact Mrs. Penny or Professor Graves.

If I have any questions regarding the ethical conduct of this study, I may contact the Office for Ethics in Research, University of Ottawa,

Tel:
Email:

There are two copies of the consent form, one of which is mine to keep.

Participant's name	Signature:	Date:

Lori Lynn Penny

Researcher's name	Signature:	Date:

Appendix B: Interview Questions

The Kodály Method and Tonal Harmony: An Issue of Post-Secondary Pedagogical Compatibility

My thesis involves music theory pedagogy and the analysis of 5 university-level textbooks on tonal harmony (Aldwell & Schachter, Clendinning & Marvin, Gauldin, Kostka & Payne, Roig-Francolí). I am interested in the sequencing of concepts, their individual presentation, and the inclusion of musical excerpts. I am also interested in the Kodály Method, and have structured my theoretical framework around its pedagogical components (prepare, make conscious, reinforce, assess). I have chosen the dominant-seventh chord as my comparative element.

Conceptual sequencing of V^7:
What textbook do you use in your classroom?
How closely do you follow its sequencing of concepts?
What is the sequential placement of the dominant-seventh chord?
What previous knowledge is required of your students?
What learning follows the introduction of V^7?
Are you satisfied with this sequence? Why or why not?

Initial presentation of V^7:
How do you initially present the dominant-seventh chord?
How much of the topic do you cover in this first experience (resolutions/progressions/inversions)?
What is your procedure?
What materials do you use (chalkboard/whiteboard/projector)?
What activities do you include in your presentation (listening/reading/writing)?
Do you use patterns (scale degrees/chord tones) to assist your students?
What exercises (homework) do you assign?
How is V^7 incorporated in future presentations and assignments?

Musical excerpts containing V^7:
What musical examples do you use in the presentation of the dominant-seventh chord?
How do you and your students engage with these examples (playing/singing)?
What repertoire or excerpted repertoire do you use?
Is it familiar to your students?
Do you revisit this repertoire in the context of other conceptual learnings?

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