The Kyrie as Sonata Form: A Form-Functional Approach to Haydn's Theresienmesse

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The Kyrie as Sonata Form: A Form-Functional Approach to Haydn’s Theresienmesse
By Halvor K. Hosar

I. Introduction

The theories of William Caplin, James Hepokoski and Warren Darcy have done much to revitalize the dormant Formenlehre tradition, by devising new analytical methods that allow for a more detailed understanding of musical form in late eighteenth-century music than has hitherto been possible.2 Despite the novelty of many of their ideas, their theories are remarkably conservative with regards to the repertoire discussed: while providing an abundance of useful material, Hepokoski and Darcy do not present any unified framework that can be used to understand non-sonata-form works, and Caplin’s treatise is limited to discussing the instrumental works of Haydn, Mozart and Beethoven in the period 1780–1810. Despite this, the latter theory holds great promise for understudied repertoires owing to its bottom-up perspective, where musical themes are explained as the result of concatenations of formal functions, arising from the juxtaposition of melodic groupings and harmonic content,3 and larger musical forms are understood as being created from a succession of themes. Though firmly rooted in the tradition of sonata-form analysis, Caplin also shows that theme-and-variation form, minuet and trio and what he calls large ternary form are all constructed from the same intra-thematic musical procedures as sonata forms. This provides hope for those interested in music traditionally neglected by theorists, as the theory allows for the systematic creation of genre-specific formal taxonomies independent of pre-existing models. The validity of this endeavor for vocal music has been shown in the work of Nathan John Martin, whose studies of operatic arias by Haydn and Mozart suggest that these are largely governed by the same manipulation of harmonic-melodic constructions as contemporaneous instrumental music.4

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1 I would like to thank Prof. Ståle Kleiberg, for his support and for stimulating conversations stretching several years back, and without which this article could never have been written, and Prof. W. Dean Sutcliffe and Dr. Michael Henry Weiss, whose challenges to earlier versions of this article have prevented me from making many an embarrassing error.


4 Nathan John Martin, “Formenlehre Goes to the Opera: Examples from Armida and Elsewhere,” Studia
This article will provide some examples of how a form-functional approach can help us to understand late-eighteenth-century Viennese Kyrie movements, by providing a basic taxonomy of formal strategies found in such movements that are foreign to instrumental sonata-form movements. The Kyrie movement in Haydn's *Theresienmesse* is the main object of study; it has proven surprisingly resilient to analysis consistent with sonata-form procedures which, with a certain dose of pragmatism, have been applied to his other Kyrie settings with little trouble. This study suggests that the work employs a particular set of intra-generic formal types and rhetorical norms that are commonly employed in Kyrie settings, which Haydn obscures, but in doing so, he confirms their structural validity. This demands that one look beyond the traditional sonata form, and consider the generic norms encountered in Kyrie settings.

I begin with a review of previous analyses of this movement, and thereafter look at three aspects of Kyrie movements that previously have been largely neglected: introductions, and how they differ from their instrumental counterparts; the interplay between text and form, including how a middle “Christe” section differs from a conventional development; and the mixing of sonata and fugal expositions. Finally, these insights are combined, to give a new reading of the movement in question.

**II. The Theresienmesse Kyrie: A Historiography**

The Kyrie movement of the *Theresienmesse* has been analyzed numerous times, beginning with Alfred Schnerich’s attempt in 1892. Published English- and German-language analyses are listed in Table 1. Also, most of these analyses are very short and terse, and some conjecture (in brackets) had

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5 The question of how to indicate whether one is discussing texts, movements or movement sections remains a perennial problem in discussions of sacred music. Here, movement sections setting a particular text are given in quotation marks whereas full movements are indicated in plain text.

to be made, as theorists have been surprisingly reluctant to tackle the movement in a thorough manner. More often than not, analyses are little more than a collection of fragmented observations, ultimately leaving the task of connecting them into wholes to the reader. However, when taken together they provide valuable snapshots of how the understanding of the movement has changed.

Over time, two main ways of interpreting the movement have surfaced. In late-nineteenth-century German accounts, the movement was regarded as a fugue surrounded by a recurring *adagio*; the “Christe” section was seen as a soloistic break constituting a structural episode, though not in the fugal sense. This reading is occasionally still referenced. In 1955, H. C. Robbins Landon noted that the section resembled the secondary theme of a sonata-form movement. This began a new tradition of seeing the movement as a sonata form. Cornell Jesse Runestad, following Landon’s lead, was the first to explicitly label the fugal exposition and “Christe” theme “first” and “second” themes, respectively, and he identified the split between the development and the recapitulation. Later writers have generally followed Runestad, and whatever details have been added have largely been done as a consequence of what had previously been established. It is interesting that Landon

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himself was reluctant to embrace this explanation, even if he never really offered an alternative; in his later treatments of the movement he regarded the “Christe” section as a “proper 2nd subject”, but he never labeled the fugal exposition as a “1st subject.”

Table 1: Overview of Previous Analyses of the Theresienmesse Kyrie

<table>
<thead>
<tr>
<th>1-8 (adagio)</th>
<th>9-29</th>
<th>29-37 (allegro)</th>
<th>37-51</th>
<th>52-65</th>
<th>66-75</th>
<th>75-91</th>
<th>92-104 (adagio)</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Schnerich 1892</strong></td>
<td>Introductory adagio</td>
<td>Fugal section</td>
<td>Christe solo quartet</td>
<td>Continuation of fugal section</td>
<td>Abbreviated introduction</td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Schnerich 1899</strong></td>
<td>Outer part [Aufiensätze]/Adagio</td>
<td>Fugue</td>
<td>Christe solo 'episode'</td>
<td>[Fugue]</td>
<td>Abbreviated adagio</td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Schnerich 1990</strong></td>
<td>Introduction</td>
<td>Fugal [Fugierter Satz]</td>
<td>Christe solo 'episode'</td>
<td>[Fugal]</td>
<td>Abbreviated introduction</td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Pohl/Botsbier 1927</strong></td>
<td>Adagio introduction</td>
<td>Allegro movement ending in fugue</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Brand 1939</strong></td>
<td>Intro part 1</td>
<td>Intro Part 2 (a)</td>
<td>Fugue</td>
<td>Episode? (a) [Zwischensatz]</td>
<td>Fugue</td>
<td>Intro part 2 (a)</td>
<td></td>
</tr>
<tr>
<td><strong>Hughes 1950</strong></td>
<td>Slow introduction (A)</td>
<td>(a)</td>
<td>Double fugato (B)</td>
<td>Traditional middle section (a, C)</td>
<td>(Double?) Fugato (B)</td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Landon 1955</strong></td>
<td>Introduction</td>
<td>Fugue</td>
<td>2nd-subject-like episode</td>
<td>Fugue</td>
<td>Introduction</td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Runestad 1970</strong></td>
<td>(A, slow intro)</td>
<td>Exposition</td>
<td>Transitional section/development</td>
<td>Recapitulation</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Nafziger 1971</strong></td>
<td>Adagio</td>
<td>A</td>
<td>B (second theme)</td>
<td>A</td>
<td>[Adagio]</td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Gibbs 1973</strong></td>
<td>Adagio (a)</td>
<td>Fugue (part 1)</td>
<td>(a)</td>
<td>Fugue (part 2)</td>
<td>Fugal reprise (part 3)</td>
<td>Adagio return (a)</td>
<td></td>
</tr>
<tr>
<td><strong>Landon 1977</strong></td>
<td>Slow introduction</td>
<td>Middle section</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Krummacher 1988</strong></td>
<td>(a+b)</td>
<td>Fugue I (a)</td>
<td>Middle section (b)</td>
<td>Fugue II (a')</td>
<td>(a+b)</td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Landon/Jones 1988</strong></td>
<td>Adagio introduction (a)</td>
<td>(b)</td>
<td>Fugal exposition (c, related to a)</td>
<td>second subject (b)</td>
<td>Development (a [sic])</td>
<td>Adagio return [a not mentioned]</td>
<td></td>
</tr>
<tr>
<td><strong>Litzel 1990</strong></td>
<td>Adagio</td>
<td>Outer fugal section (b)</td>
<td>Fugato (b)</td>
<td>Outer fugal exposition (b)</td>
<td>[Adagio]</td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>McGrann 1991</strong></td>
<td>Slow introduction</td>
<td>A section</td>
<td>B section</td>
<td>Short development</td>
<td>A section</td>
<td>Reprise of slow introduction</td>
<td></td>
</tr>
<tr>
<td><strong>Schenbeck 1996</strong></td>
<td>A (adagio)</td>
<td>B (fugue)</td>
<td>A (adagio)</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Pedersen 1997</strong></td>
<td>Intro</td>
<td>Exposition</td>
<td>Development</td>
<td>Recapitulation</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Demaree and Moses 2009</strong></td>
<td>Adagio</td>
<td>Allegro</td>
<td>Orchestral ritornello (Section 1)</td>
<td>Section 2</td>
<td>First subsection: Fugal</td>
<td>Second subsection: ?</td>
<td>Third unit: tonally unstable unit + fugal exposition</td>
</tr>
<tr>
<td><strong>Gehringer 2014</strong></td>
<td>Prelude (1-4) (A)</td>
<td>Introduction (5-28) (a)</td>
<td>Fugue 1 (B)</td>
<td>Christe (a)</td>
<td>Fugue 2 [reprise?]</td>
<td>End (92-99) &amp; coda (100-1) (A)</td>
<td></td>
</tr>
<tr>
<td><strong>Alwes 2015</strong></td>
<td>Adagio</td>
<td>(A)</td>
<td>B (solo voices)</td>
<td>A (choral)</td>
<td>Adagio</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

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Writers have on occasion adopted some sonata form nomenclature, but added that the movement is also ruled by other structural elements, essentially freeing them from the constraints of actual sonata-form analysis: Rosemary Hughes understood the work as a palindrome;8 Landon invoked the French overture, drawing support from the Symphony No. 15, at the time of Theresienmesse more than forty years old;9 Runestad saw the tripartite textual form as preventing the restatement of the secondary theme, even if the Nikolaimesse gives a fine example of how this can be done;10 Chester L. Alwes called the decision to include a concluding adagio “Illustrative of the crossover between symphonic process and Mass composition”11 – a claim that surely deserved an explanation that was never given; finally, authors such as Friedhelm Krummacher and Robert W. Demaree and Don V Moses have altogether avoided sonata terminology, instead preferring less prescriptive vocabulary. These solutions are heterodox, and I argue that the problems they propose to solve are largely illusory.12

Given the efforts of so many scholars to identify sonata-form attributes in the Theresienmesse, it is surprising to see that only one attempt at a thorough sonata-form analysis has been made: whereas Runestad had identified the basic components of the movement, a fully fleshed-out analysis did not appear until the 1997 DMA dissertation of Keith Ernest Pedersen, which explores the movements synthesizing aspects of sonata form and fugue in Haydn’s sacred works, which he labels sonata/fugues. If one accepts Runestad’s or even Landon’s basic dicta it is hard to see how one could arrive at very different results, and Pedersen’s analysis may therefore stand in for all its predecessors as the main foil in this article.

For a modern analyst this analysis is plagued by a number of problems. From a traditional sonata-

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8 Hughes, “Two Haydn Masses,” 215.
9 Landon, Symphonies of Joseph Haydn, 603.
10 Runestad, Masses of Haydn, 181. In the Nikolaimesse, “Christe eleison” is set to the secondary theme, and the form itself a sonata form without a development section; in the recapitulation this theme is retexted to retain the textual ABA scheme.
11 Alwes, Western Choral Music, 342.
12 Several sources reproduce aspects of these arguments. See, for instance, Nafziger, Masses of Haydn and Schubert, 103-105; Gibbs, Form in the Late Haydn Masses, 138; Landon, Years of the Creation, 527; Landon and Wyn Jones, Haydn Life and Music, 343.
form perspective Pedersen’s analysis is problematic for its lack of a secondary theme in the recapitulation, which is a violation of Edward T. Cone’s “sonata principle.” This has presented a challenge to analysts that nobody has managed to solve without adding analytical epicycles, essentially conceding that the movement does not work as a regular sonata-form movement.

The movement also contains other formal oddities. The slow introduction is disproportionately long, and parts of it is inexplicably repeated at the end. At the same time, the development section is minuscule and the recapitulation incomplete, making for a very lopsided movement. To be sure, none of these phenomena are foreign to Haydn, but in this case, virtually every aspect of the form is rendered problematic. In light of this, Landon’s reluctance to commit fully to a sonata reading seems understandable.

Caplin’s theory reveals yet further problems. According to Caplin, a primary theme has to begin and end in the home key, yet in Pedersen’s analysis the supposed primary theme modulates to the dominant. If present, this modulation is by definition handled in the transition, a concept that Pedersen does away with entirely by jumping straight from “Theme 1” to “Theme 2.” The choice of primary theme is also problematic for a subtler reason. One of Caplin’s most useful innovations is his refinement of Schoenberg’s concept of thematic looseness. Briefly summarized, a tightly-knit theme exhibits “conventional theme-types, harmonic-tonal stability, a symmetrical grouping structure, form-functional efficiency, and a unity of melodic-motivic material,” whereas a loose theme is “characterized by the use of non-conventional thematic structures, harmonic-tonal instability (modulation, chromaticism), an asymmetrical grouping structure, phrase-structural extension and expansion, form-functional redundancy, and a diversity of melodic-motivic

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16 This nomenclature is used consistently in Pedersen’s analyses, and does not represent an attempt at escaping the strictures of sonata form through using less prescriptive terms.
material.”17 The theory does not only provide a vocabulary for talking about the inner construction of themes, but predicts their use: with rare exceptions, a secondary theme is looser than the primary theme it follows.18 In Pedersen’s reading, on the other hand, one ends up with a primary theme that is extremely loose, but a relatively tightly knit secondary theme.

Table 2 demonstrates a reading conforming with form-functional principles based on Caplin’s theory, as well as certain aspects of Hepokoski and Darcy’s Sonata Theory. It should be easy to see how this analysis breaks profoundly with the Runestad/Pedersen tradition. There are several aspects of this analysis that might seem problematic, such as the view that the primary theme is contained in the slow introduction, the “Christe” section is considered part of the development section, and the fugal section includes both the transition and the secondary theme. The rest of this article will argue that these apparent analytic problems can be explained in light of norms for traditional Kyrie setting, as these diverge from codified sonata form by using a small number of hitherto uncodified formal types and strategies. In some cases, these diverge from the codified instrumental conventions on a thematic level, which makes the descriptive powers of Caplin’s theory very useful. Once these differences are understood, many of the problems associated with the movement (and to some extent with the genre as a whole) disappear.

<table>
<thead>
<tr>
<th>Table 2: Suggested rereading of the Theresienmesse Kyrie</th>
</tr>
</thead>
<tbody>
<tr>
<td>Section</td>
</tr>
<tr>
<td>Introduction</td>
</tr>
<tr>
<td>Fugue</td>
</tr>
<tr>
<td>Theme</td>
</tr>
</tbody>
</table>

17 Caplin, Classical Form, 97; in the present repertoire, a possible exception may be found in the Kyrie of Mozart’s Mass in C minor.

18 Ibid., 255, 257; this idea has seen its most complete treatment so far in Caplin, “What are Formal Functions?,” 34-39.
III. Kyrie Taxonomies: Establishing the Repertoire

The question of whether single-movement Kyries even form a coherent repertoire is not without merit. Even the act of establishing it as such presents significant obstacles, as the vast majority of composers writing sacred music at the time have received little or no attention in contemporary music scholarship.\(^{19}\) For this study, the works of Haydn and two of his most important Viennese contemporaries, Dittersdorf and Wanhal, have been considered.\(^{20}\) Wanhal, who was the most prolific Viennese composer of sacred music of his generation, and by whom several works have appeared in print, will be used for generic examples.\(^{21}\)

One might question the wisdom of suggesting a uniquely Viennese tradition of sacred music, as sacred music did travel, if on a limited scale compared to secular music.\(^{22}\) What of Mozart and Michael Haydn in Salzburg? Bruce MacIntyre has noted that masses from Salzburg drew upon instrumental forms that one does not find in Viennese Kyries from the same time, such as rondo forms,\(^{23}\) and as a consequence one finds here a break with strict adherence to the textual ABA scheme at an earlier date than in Vienna. This suggests that one may indeed speak of a Viennese tradition, that, at the very least, was formally distinct from the Salzburg tradition, which justifies the omission of Michael Haydn and Mozart’s Salzburg works. Likewise, terse Missa Brevis settings,


\(^{20}\) An overview of Wanhal’s sacred music can be found in my doctoral thesis, “His Name Immortal – Five Studies in the Sacred Music of Johann Baptist Wanhal” (University of Auckland, 2019). I regard sixty works as having Wanhal as the most likely composer, but only twenty of these can stylistically be said to be by him beyond reasonable doubt. These will be organized by Nokki numbers, which will replace the highly deficient Weinmann numbers. All of the works by Wanhal discussed here can be dated to the 1770s or early 1780s through their presence in historical music catalogues. For Dittersdorf, no attempt at a cataloguing of his efforts has been made since Carl Krebs, Dittersdorffiana (Berlin: Gebrüder Paetel, 1900).

\(^{21}\) Some omissions are obvious: Leopold Hofmann adhered to older styles of writing in his sacred music, possibly owing to the historical prestige of his office as Kapellmeister in the Stephansdom; for all their musical differences, one could say the same about his successor, Albrechtsberger. Salieri, on the other hand, largely wrote his sacred works in the nineteenth century, by which time some of Haydn’s later works had already appeared in print. The two remaining major composers of this generation in Vienna, Steffan and Ordonez, wrote little sacred music.

\(^{22}\) What is more, all three composers worked in other places than Vienna for significant parts of their careers.

minor-mode works and movements whose inner workings appear independent of the tripartite textual scheme have not been considered, as these seem best understood on a case-by-case basis.

What remains, then, is the repertoire of large-scale settings commonly recognized as *missa longae* or (somewhat inaccurately) *missa solemnes* from the most central composers of modern, secular music in Vienna and the surrounding lands, who simultaneously could point to a significant production of sacred works. Together they show what would have been acceptable praxis for the progressive composers of instrumental music born in the 1730s. To regard the similarities of their works as evidence of a particular “school of thinking” therefore has some merit.

**IV. Kyrie Taxonomies: Introductions**

It has often been noted that the slow introductions found in Kyrie movements are roughly analogous to the symphonic slow introduction, and *a tempo* introductions are construed as ritornello-like openings similar to the double exposition in a concerto. A resemblance between the opening adagios of the late masses – including the one in the *Theresienmesse* – and the slow introductions of the London symphonies has often been noted.  

24 Scholars have seldom taken the time to examine such supposed resemblances, and from a form-functional perspective the differences are more striking than the similarities. 25 Indeed, whereas Caplin rightfully stressed the phrase-structural diverseness and unpredictability of slow introductions, 26 the introductions found in the masses are quite homogeneous. 27 This is not always obvious from Haydn’s masses, as the later works finally seem to explode the limits imposed by the traditional mass form – and the *Theresienmesse* is indeed the cusp of this development. If Caplin’s analysis of the slow


25 What is more, Ethan Haimo has noted that one does not find any radical breaks with earlier formal procedures in the slow introductions found in Haydn’s late symphonies. (*Haydn’s Symphonic Forms – Essays in Compositional Logic*, Oxford: Clarendon Press, 1995, 208) Even if the slow introductions found in Kyrie movements greatly resembled those of the symphonies, it would be hard to prove that the London symphonies specifically were seminal.


27 MacIntyre (*The Viennese Concerted Mass*, 138-152) mentions other options, but these had vanished well before the 1780s, and need not concern us here. It is admittedly problematic in this respect that so many of the works of his contemporaries cannot be dated, but the above has been conducted using the best knowledge available.
introduction from Symphony No. 104, with its modulatory scheme and multi-theme construction, is kept in mind during the discussion below, this should be enough to convince most of their generic differences.  

Bruce MacIntyre states, “one need only to recall the Kyries of Haydn's earlier Masses such as the St. Cecilia Mass of 1766 and the Missa Cellensis of 1782 ... to realize that there were indeed earlier precedents to Haydn’s later introductions.” These largely correspond to what is seen in the works of Haydn’s closest contemporaries, as illustrated by the slow introduction in Wanhal’s mass Weinmann XIX:C7/Nokki 10 (see Example 1). Wanhal’s introduction is a no-nonsense example that shows the formal structure typical of Kyrie movements with admirable clarity: It is formed as a single sentence, ending with a half cadence and a standing on the dominant at the end; the largest difference from the standard model is the use of an extended cadential progression (or E.C.P.) that fuses the continuation and cadential functions, and the extension of the standard eight-bar sentence through a long standing on the dominant; the choir is present throughout. This seems to be the basic shape of a slow introduction as used by Wanhal and Dittersdorf. In addition to their near-universal form as a single sentence, slow introductions to Kyrie movements are generally shorter and more tightly knit than their symphonic counterparts; modulations, or even tonicizations going further than a single secondary dominant, are absent. 

Haydn’s slow Kyrie introductions up to this point largely fit into the same mold, even if one sees a gradual increase in formal irregularities. The older Mariazellermesse introduction (see Example 2) strongly resemble the example from Wanhal seen above, even if it distorts the basic sentence structure by adding a one-bar thematic introduction (or is it rather a three-bar basic idea?) and

28 Caplin, *Classical Form*, 207. One finds a rare exception in Ditters' mass Krebs 327. Here, the slow introduction of twenty-seven bars contain three sections, the first being set in octave strings alone, and a final cadence on V/vi. What is more, the main idea of this introduction is only alluded to in the Kyrie but is reused as the subject the concluding Dona nobis fugue. Whatever Ditters' reasons for this unusual choice were, it is not reflected in his remaining works.


30 I have attempted to keep the harmonic annotations in the examples free of details that are not pertinent to the matter at hand, such as in cases where a harmony is prolonged through inversions and/or mediant relationships.

31 Caplin, *Classical Form*, 45-47.
reduces the size of the continuation. The Heiligmesse introduction (see Example 3) is constructed as a more regular sentence, but is extended by a long standing on the dominant. In the Missa in tempore belli (see Example 4) one finds the same basic model, but now with a number of complicating features. Most obviously, the dynamics are lowered to piano, and the texture is denser motivically. Form-functionally, the basic structure of a single sentence is still in place, but it is elaborated in a number of ways, the most confusing of which is perhaps the apparent fragmentation where one would expect the repetition of the basic idea; the actual length of the opening basic idea is thrown into doubt by the orchestral half-bar that precedes the entry of the voices, and this is further complicated by the ensuing contraction of the idea itself. One might even ask if one can speak of a repetition of the basic idea here, or if the increased melodic rhythm means that the continuation is already under way. If not, one must observe that the tonic pedal in bar 4 is undercut by the introduction of the lowered seventh, and it therefore seems most reasonable to regard the restatement of the basic idea as limited to bar 3. Bars 3-9 are animated by a descent through the chromatically enriched tetrachord c-G. In bars 5-6, opening basic idea is thrown into doubt by the orchestral half-bar that precedes the entry of the voices, and this is further complicated by the ensuing contraction of the idea itself. One might even ask if one can speak of a repetition of the basic idea here, or if the increased melodic rhythm means that the continuation is already under way. If not, one must observe that the tonic pedal in bar 4 is undercut by the introduction of the lowered seventh, and it therefore seems most reasonable to regard the restatement of the basic idea as limited to bar 3. which are separated by a fermata, the chromatic descent allows IV\(^6\) to be reinterpreted as iv\(^6\), and Haydn uses this as an opportunity to shift into the minor mode, which is maintained through the rest of the introduction.

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32 Pre-dominant harmonies are occasionally found to prolong I in basic idea statements if a dominant harmony follows in the ensuing statement (Caplin, *Classical Form*, 38-39). While iv\(^6\) is technically followed by a V here, this only happens when the cadential progression is under way. To see everything before this as a prolongation of I seems unreasonable.

33 Pre-dominant harmonies are occasionally found to prolong I in basic idea statements if a dominant harmony follows in the ensuing statement (Caplin, *Classical Form*, 38-39). While iv\(^6\) is technically followed by a V here, this only happens when the cadential progression is under way. To see everything before this as a prolongation of I seems unreasonable.

34 Haydn might not have been the first composer to introduce this shift: Waihali used it in the undated work Weinmann XIX:D4/Nokki 21. Waihali wrote most of his large-scale masses no later than in the mid-1780s, but this work is conspicuously absent in the locations known to have gathered these works, such as the monasteries of Osek, Rajhrad and Strahov. It is possible that this is a later work, and the use of monothematicism in the Kyrie suggests an indebtedness to Haydn that may well mean it post-dates Haydn’s late masses.
Hosar, Halvor K. “The Kyrie as Sonata Form: A Form-Functional Approach to Haydn’s Theresienmesse.”

Example 1: Wańhal, Missa solemnis, bars 1–16 (edited by Allan Badley, Wellington: Artaria Editions, 2001)

Standing on the dominant
Example 2: Mariazellermesse, Kyrie, bars 1-8

Example 3: Heiligmesse, Kyrie, bars 1-12
Example 4: Missa in tempore belli, Kyrie, bars 1-10

Presentation

Motivic content in the winds

Strings

Basic idea?

Ky-ri-e e-lei-son

Ky-ri-e e-lei-son, Ky-ri-e e-lei-son,

I V₅ I

Continuation

V/IV ₃

5

Ky-ri-e, Ky-ri-e e-lei-son, e-lei-son, e-lei-son, e-

IV₆ iv₆

8

Cadence (evaded)

Cadence

le-son, e-lei-son, e-lei-son

vii/V V₄ ₃ i V
The introductions surveyed so far resemble Wańhal’s “archetype.” They are, however, characterized by thicker motivic textures, more diverse dynamics and eventually by the addition of a tonal swing to the tonic minor. Despite this, they remain much closer to the mass tradition evinced by the Wańhal example from a form-functional perspective than to Haydn’s symphonic introductions. There is therefore something to be said for understanding their development as being part of a gradual change in how the slow introduction was employed in Kyrie movements. Although one must be wary of teleological assessments, it appears that Haydn was gradually increasing the complexity (and perplexity!) of his introductions. In the Theresienmesse he finally transcended the limitations of this form, but in a different way than has previously been assumed.

Slow introductions were not the only way to start a Kyrie. One frequently finds instrumental a tempo introductions. These were always performed without participation of the voices, but even if this means that the vocal parts (normally the chorus) enters on material previously stated one looks in vain for anything truly resembling a concerto double exposition, despite insistence to the contrary in the literature. Instead, a tempo introductions took on a somewhat different form. As in the Kyrie slow introduction, one usually finds only a single thematic unit, and like the slow introduction it will virtually always be a sentence or a sentence-like hybrid. Such introductions are most often built on the primary theme, but may also draw material from other themes. In such cases, one can normally find a reason why adding other material was necessary. Here, such introductions are called orchestral introductions, to separate them from the previous type of introduction, where the choir invariably participates. Again one might go to Wańhal for an example (see Example 5). In his Missa Pastoralis, the bucolic primary theme is first presented in an instrumental form, before being introduced in its proper form in the choir. In this introduction,

35 See, for instance, Demaree and Moses, Masses of Joseph Haydn: “When Mac Intyre writes that Viennese composers using that sort of ‘monmodulating ritornello which is integrated into the choral Kyrie’ and notes that ‘quite often the melodic material of the ritornello is the same of an embroidered version of that sung by the chorus,’ he is apparently acknowledging that designs like these have a concerto-like nature.” (281); “The first fifteen bars [of the Kyrie in Haydn’s Nelson mass], all in D minor and functioning like a Baroque ritornello, constitute the first exposition... Now follows that second exposition – the traditional ‘solo exposition’ in the concerto form...” (511-12); “Once again [in the Harmoniemesse] one finds Haydn employing the double-exposition aspect of the eighteenth-century concerto form in a Kyrie.” (692). MacIntyre likewise speaks of “unifying ritornellos” as an example of “Concerto elements” in the mass (Viennese Concerted Mass, 568).

36 As the form more or less demands a continuation function, hybrid 1 (antecedent + continuation) and hybrid 3 (compound basic idea + continuation) themes might be found (Caplin, Classical Form, 63); the latter is used to open the Nikolaiemesse.
later thematic sections are also employed. In the exposition proper, the transition is little more than a repetition of the primary theme’s continuation that has been rewritten to end with a bifocal close, a half cadence in the home key that simultaneously acts as a modulation to the dominant, and to omit this from the introduction entirely would most likely have created a feeling of structural asymmetry in the relations between introduction and exposition. To round the introduction off, an extended codetta taken from the secondary theme is appended at the end. The inclusion of all these aspects were necessary in order to give the opening a convincing ending, and a large enough scope for the ensuing repetition of the material not to feel superfluous.

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Haydn often made use of this form in movements with periodic first themes, necessitating a different strategy than merely using the primary theme in order to avoid redundancy. This is the case in both the Nikolaimesse, where the introduction ends up as an amalgamation of different aspects of all themes employed in the movement, and the Harmoniemesse, where Haydn breaks the normal one-theme limit by exploiting the close connection between the periodic primary theme and the transition, creating a construct resembling a super-thematic sentence. The Missa in Angustiis is the only work by Haydn to closely correspond with the normal practice for such openings, and even there one might suspect that he only deemed this acceptable because of the irregularity of the theme itself.

In Kyrie movements, a tempo introductions were never used as ritornellos, but it was common to use separate instrumental themes at the end of each major section of the sonata form. If encountered, purely instrumental themes are almost always put at the end of the exposition, development and/or recapitulation, with the development section almost always employing its own theme. These themes were not seen as mandatory to recapitulate. While Wāṅhal often included the expositional theme at the end of the recapitulation, Haydn and Dittersdorf generally avoided it, instead normally opting for an ending with full participation from the choir. These instrumental themes may have originated in ritornello practice, but there is little reason to consider them ritornellos in this repertoire. They may instead be regarded as separate instrumental interludes that help delineate the form of the movement but normally contribute little to it.

V. Kyrie Taxonomies: Middle Sections and Secondary Themes

The “Christe” section that normally makes up the middle of a Kyrie movement has not been discussed to any great extent in the literature. In the 1790s, it was not yet common to depart from the tripar-tition of the Kyrie text in Vienna, and only under particular circumstances would the

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38 Wāṅhal also does this in Weinmann XIX:G1/Nokki 45.

39 The situation is different in movements later in the mass, at least in masses from the 1760s and 1770s, where one still finds movements set as conventional arias. Here, one regularly finds introductions later used as ritornellos.

40 The earliest example I have seen of this is Salieri’s Mass in D (Antonio Salieri, Mass in D Major, edited by Jane Schatkin Hettrick, Madison: A-R Editions, 1994) of 1788, where the transition is omitted from the recapitulation in
textual ABA form not be mirrored by a musical ABA form. However, it appears that composers of Haydn’s generation were torn between the desire to use sonata-form procedures and to retain the independence of the “Christe” text – and understandably so, since this would be the first mention of Christ during the mass.

Settings were also shaped by the genre’s history. By this point it was no longer common to write three-movement Kyrie settings, where each line of text received a separate movement, but this tradition would have been well-known to all the composers in question. In such settings, the Kyrie I was normally set as a choral allegro, the Christe as a calm, almost pastoral aria, and the Kyrie II as a fugue. MacIntyre, who had to account for both single-movement and multi-movement settings, not only steered clear of sonata-form trappings in his description, but found that the typical traits for the “Christe” section were largely the same, regardless of whether it was set as a separate movement or as a section within a movement:

1. New thematic material
2. Vocal solo(s), often highly ornate
3. Contrasting key (usually the submediant)
4. Starting a new movement (i.e., new tempo, meter, etc.)

These similarities arise from the simple fact that the middle “Christe” retained many aspects of separate Christe movements. The most normal settings would feature “Kyrie” sections set in strongly resembling choral allegro styles (as in a Kyrie I) and a contrasting middle “Christe” set for one or more soloists (with a soprano and/or an alto being the most common solution).

43 MacIntyre, Viennese Concerted Mass, 195.

42 In Haydn, one finds the secondary theme setting “Christe eleison” in the Missa in angustiis and in the Nikolaimesse. Both of these cases are extraordinary: The former is a setting in minor, where the modulation to the major provides a strong musical contrast that makes an earlier modulation reasonable, whereas the latter is set as a sonata form without development. In both cases, the secondary theme is rewritten in the recapitulation so as to justify that one does not return to the “Christe eleison” text there.

41 MacIntyre, Viennese Concerted Mass, 195.

43 Ibid., 196.
Reminiscences of the Kyrie II fugue were far rarer, but the fugal sections in the *Theresienmesse* owe their existence to this tradition. In this way, aspects of each movement of the three-movement Kyrie can be found juxtaposed in the *Theresienmesse*.

Caplin’s theory allows us to make further observations about the style of “Christe” sections. As mentioned by MacIntyre, “Christe” sections normally use material that is more independent of the surrounding sections than one would find in most sonata forms. In form-functional terms, one might generalize by saying that it is more loosely constructed than a primary theme (and usually more than the present secondary theme), but more tightly knit than a regular development section. One might specifically mention that the common core technique, which Caplin describes as “…a development [involving] the establishment of a relatively large model, which is repeated sequentially one or more times”, is rare. When it is used, the material employed is unusually stable and tightly knit, as if to counterbalance the instability of the construction itself.

The middle section from Wäinhal’s *Missa Pastoralis* (see Example 6) may here serve as an example of both approaches. Here, the “Christe” theme is far more tightly knit than the secondary theme, and it is only through the extended use of sequence in the continuation phrase that it can be said to be looser than the primary theme. The looseness of this middle section stems from the use of core technique, where the entire theme is used as a core. Harmonically, the “Christe” section is normally relatively unadventurous, and rarely contains the extensive tonal swings, sequences or chromaticism that are often found in instrumental development sections. In this movement the core technique is only used twice, and facilitates two modulations (IV-I-vi). After this (not shown), a contrapuntal vocal theme and an instrumental retransition leads the music back to I for the recapitulation.

It might finally be worth mentioning that the presence of an instrumental interlude at the end of such middle sections provide a particular dynamic to the retransition. In Caplin’s words, retransitions are “those passages that modulate back to the home key in preparation for the return of

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44 Caplin, *Classical Form*, 141.

45 Even if this is a pastoral mass, the character of the “Christe” section is not unlike what is seen in other works, and it might therefore work here as a decently representative case.

Some previous opening material.” Such retransitions are usually associated with a standing on the dominant that ends a section, and Caplin insists that “By this time ... the home key has already been confirmed by the half cadence,” and that it “should be applied before the standing on the dominant, presumably at the moment when the modulation to the home key takes place.” If an orchestral theme is present at the end of the “Christe” section, this takes this role, essentially allowing the vocal part of the idea to end with an authentic cadence. This strong textural break further contributes to a feeling of greater independence than is found in a typical development.

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46 Ibid., 157.

47 Ibid.
section, where an equally obvious textural break is hard to achieve. At the same time, orchestral themes often lead directly into the following section without any sort of loss of momentum or stop, which means that middle sections are rarely so clearly separated from the flanking sections as one commonly sees in instrumental music.

VI. Haydn’s Theresienmesse Kyrie

With the above in place, is it possible to analyze the Theresienmesse Kyrie in a manner that solves most of the problems earlier analyses have faced. One must first acknowledge that the adagio contains two thematic areas, which is in defiance of the expected norm. In form-functional terms, bars 1-8 contain a nonstandard theme construction that one might understand either as an antecedent or a basic idea + cadence (bars 1-4) and a standing on the dominant (bars 5-8); thereafter (bars 9-28) follows a more regular sentence, employing the same basic idea, which is prolonged through a modal shift to the tonic minor at the point where the first cadential function were to be expected (bar 16), then a series of failed cadences (bars 19-21), eventually achieving a premature dominant arrival followed by a standing on the dominant (bars 22-28).48 (See Example 7a.)

The irregular nature of the first theme provides an interesting near-analogy to Matthew Riley’s observations about irregularly shaped themes in Haydn’s instrumental works. Riley has observed that Haydn with some frequency uses sentences or sentence-like themes where the continuation is missing from the original statement, but is “recovered” in an iteration of the same idea later in the movement.49 In this case, both the continuation and one of the basic idea statements is removed in order to make room for a four-bar standing on the dominant within an eight-bar idea. While the full-length theme is normally revealed in the recapitulation, it here follows immediately after its first iteration.

48 Caplin, Classical Form, 79-81, 256. A dominant arrival is characterized by the final dominant chord either being a seventh chord and/or inverted, and thus considerably weaker than a root-position dominant as a cadential point; a premature dominant arrival is found when the melodic activity has not reached a point of rest when the chord is achieved.

Example 7a: Theresienmesse, Kyrie, primary theme, bars 1-28

Orchestral introduction

Basic idea

Cadence

Voices

Continuo

I

IV

V7

vi

V7/V

V

HC

Primary theme

Basic idea
Hosar, Halvor K. “The Kyrie as Sonata Form: A Form-Functional Approach to Haydn’s Theresienmesse.”
Example 7b: *Theresienmesse*, *Kyrie*, primary theme, recapitulation, bars 92-104

Presentation phrase identical

<table>
<thead>
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<th>92</th>
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<th>B.i. rep</th>
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<tr>
<td>I</td>
<td>IV</td>
<td>V7</td>
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Tonal swing reinterpreted

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Cadence

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<td>V</td>
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<td>V6</td>
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That the bipartite nature of the adagio has ramifications beyond the immediate context becomes apparent when one considers Caplin’s demand that a primary theme end in the home key. As Pedersen’s reading of the modulating fugal section serving as the primary theme fails at this point, this suggests that the theme must be found earlier. The theme found in bars 9-28 is therefore most obvious candidate.\(^{50}\) The adagio thus presents a cunning sleight of hand from Haydn: the opening adagio is not really a slow introduction at all, but rather an abbreviated orchestral introduction followed by a primary theme. Haydn concealed this by making the introduction unusually short, and by mixing traits typical of different ways of beginning a movement: the chorus enters “too early,” during the first standing on the dominant, and this might be soon enough to suggest that this is in fact a slow introduction with full choral participation; the turn towards the tonic minor in the primary theme would likewise suggest that an introduction was under way. At the same time, the move from choir to soloist participation would undercut this feeling. The more formally potent aspects of cadential articulation do much to suggest that these are separate themes. Rather than locking the two themes in a pseudo-periodic structure by having a weaker cadential articulation followed by a stronger one, the use of a premature dominant arrival for the second adagio theme suggests a gradual opening.

The regularity or irregularity of the recapitulation might give some idea about the strengths of the respective analyses.\(^{51}\) Many commentators have touched upon the abbreviated nature of the final adagio, and some have even stressed its redundancy.\(^{52}\) To the contrary, this analysis would prescribe the repetition of the second adagio theme, which is exactly what happens. What is more, it has been rewritten largely as one what one would expect (see Examples 7a and b). The move to i in the exposition is reinterpreted as V\(^7\)/IV in the recapitulation, meaning that flattened harmonies are still touched upon, while the subdominant is given a stronger emphasis, as is typical of

\(^{50}\) There is a brief half-cadence in bar 32, but while a reading of bars 29-32 (see Example 9) as primary theme might theoretically be permissible, the music at this point feels like it is just getting under way, and the melodic flow remains unbroken, so that one must ask whether this supposed cadence actually ends anything. As will be seen below, the form-functional make-up of the transition will also be more normal if one assumes that the transition is already under way at this point.

\(^{51}\) To be sure, many of Haydn’s recapitulations are highly eccentric when viewed in light of contemporary practice. It nevertheless appears appropriate to use a variant of Occam’s razor here, and state that an analysis that sees a close relationship between the exposition and recapitulation is more likely to be valid than an analysis that sees little similarity between them.

\(^{52}\) See, for instance, Demaree and Moses, Masses of Joseph Haydn, 575.
recapitulations. The cadential functions of the theme has also been thoroughly rewritten. One may here regard the entirety of the continuation function here as being part of an extended cadential progression, which ends with a deceptive cadence, and with an authentic cadence being added at the end; the long standing on the dominant has been replaced by a much shorter codetta.\textsuperscript{53} Placing the primary theme at the end of the recapitulation may be highly unusual, but when all things are considered, the reshaping of the theme itself is very much in line with ordinary recapitulatory writing.

In this reading of the piece, the “Christe” section (see Example 8) is regarded as belonging to the middle section that assumes the position of a development section, even if in this case it is relatively brief and followed by a more conventional development section based on the fugal material (bars 66-75). That this would be interpreted as a secondary theme in the middle of the twentieth century seems unavoidable when one considers what was then the understanding of the secondary theme as a soft, lyrical theme that was traditionally gendered feminine.\textsuperscript{54} These general characteristics were also traditionally associated with the setting the “Christe” text in both single-movement and multi-movement settings of the “Kyrie” text, however, and it therefore follows that mis-labelling could arise in movements where the break between the exposition and middle/development section is not strongly articulated. As previously mentioned, a form-functional reading of the piece only augments these difficulties, as the theme, despite employing loosening strategies such as contrapuntal activity, sequence and an evaded cadence, is far more tightly knit than the extended fugal section – the supposed primary theme – that precedes it. It therefore will not suffice to observe that the theme has traits typical of a secondary theme and decide that it is so, especially in light of Haydn’s repeated failure to adhere to nineteenth-century prescriptions, and the generic expectation that a “Christe” theme will constitute a contrasting middle rather than a secondary theme.

One generic signifier that is easy to miss speaks against the “Christe” theme as secondary theme. As was previously mentioned, an orchestral theme is often found at the end of the exposition of a Kyrie, following the secondary theme. In the \textit{Theresienmesse} one only finds the barest of vestiges

\textsuperscript{53} Caplin, \textit{Classical Form}, 16.
\textsuperscript{54} Webster, “Sonata form,” 696-697.
of this in bar 51, where a simple cadence leads into the “Christe” section. Its presence nevertheless suggests that the secondary theme has been established before this, confirmed by it being preceded by a perfect authentic cadence in the subsidiary key. This suggests that the exposition is indeed over by this point. Finally, one might consider Hepokoski and Darcy’s concept of \textit{sonata rotation}. In their words, “Rotational structures are those that extend through musical space by recycling one or more times – with appropriate alterations and adjustments – a referential thematic pattern established as an ordered succession at the piece’s outset.”\footnote{Hepokoski and Darcy, \textit{Sonata Theory}, 611.}

In the case of a regular sonata-form movement, or what Hepokoski and Darcy call a Type 3 sonata form, the development section is normally built around a restatement of either all the expositional themes or merely P and TR, which leads respectively to a \textit{full rotation} and a \textit{half rotation}.\footnote{Ibid., 217. A number of other, less common ways of organizing a development section are also possible.} A rotational make-up of the movement has been suggested in Table 2. Examples 7a and 8 show that the basic idea of the “Christe” theme is in fact built by overlapping variants of the idea found in the continuation of the primary theme, and more peripherally a countermelody whose focus on descending thirds connects it to the basic idea of the earlier theme. Thereafter follows a more traditional development on the fugal material. Haydn connects it to the recapitulation with an abandoned cadence in bars 74-75. There naturally follows a rewriting of the fugal section.

As early a theorist as Carl Maria Brand noticed this reuse,\footnote{Brand, \textit{Messen von Joseph Haydn}, 369-370.} which is one of the most ingenious aspects of the movement. The “Christe” works as the primary theme in the developmental rotation, while also managing to retain its own identity. While this justifies the view of this section as part of a rotational scheme, the section still has something of the feeling of contrast that was common in the older ABA scheme with a musically independent “Christe” section. Here the truncated nature of the orchestral introduction becomes important: the “Christe” idea is borrowed from the continuation of the second adagio theme, and it therefore refers explicitly to the suggested primary theme rather than to the instrumental introduction.
Example 8: *Theresienmesse*, *Kyrie*, *Christe*, bars 52-65


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With this in place, the fugal exposition appears to be a fusion of the transition and the secondary theme. This touches on one of the heated debates in modern Formenlehre, namely how to interpret cases where the border between the transition and the secondary theme is less than obvious. According to Hepokoski and Darcy, an exposition without a medial caesura at the end of the transition does not differentiate between a transition and a secondary theme, but should rather
be considered a continuous exposition, which ends with a Fortspinnung-like agglutination that fulfills the purpose of both formal regions. Caplin, on the other hand, regards such instances as transitions which do not end with a half cadence, but rather go into the secondary theme without warning; should the secondary theme also omit or obscure its form-functional beginning, finding the exact location of the change from one to the other might be difficult. This matter has sparked considerable controversy and exchanges between the respective authors. For now, it will suffice to repeat Nathan John Martin’s observation that Caplin’s theory allows for the separation of transition and secondary theme even when a medial caesura is missing, but does not demand this. Below, an attempt has nevertheless been made, as a sentence-like theme that fulfills the role of the secondary theme can easily be postulated. More important than what model is chosen by the individual reader is the fact that both theories allow for this section to provide all the necessary components to complete the exposition.

A reading of the passage in question is found in Example 9. Here, the fugal material has been treated as being within the paradigm of Caplin’s theory. As early a theorist as Edward E. Lowinsky noted that Mozart’s fugues had a certain squareness that set them apart from the Baroque fugue. This seems confirmed in the Kyrie fugue in the Mass in C Minor, where the squareness of harmony and phrase allows for formal functions to be added with ease. The fugal material used in Haydn’s late masses is typically less regular. In this case, the opening fugue subject is a bar-and-a-half long. The lengths of subsequent entries vary, but they as often begin and end on the third beat of the bar as on the first. This further means that the harmonic and melodic groupings often do not follow the bar lines neatly as in most cases. Despite this, one can see the same tendency towards a unity of harmonic prolongation and melodic phrase structure

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58 Hepokoski and Darcy, *Sonata Theory*, 51-64.
59 Caplin, *Classical Form*, 135, 201-203.
60 Martin, “Formenlehre Goes to the Opera: Armida,” 399.
61 While of great interest, the form-functional content of the fugal exposition can only be discussed in very general terms here.
63 This example and others will be discussed in greater detail in Halvor K. Hosar, “Haydn’s Sonata/Fugue Fusions: History and Form,” *Haydn’s Last Creative Period*, edited by Federico Gon (Turnhout: Brepols, 2021).
within the fugal structures as in typical homophonic themes, and an attempt to understand these within Caplin’s paradigm therefore seems warranted.

The fusion of fugue and sonata exposition makes sense from a tonal perspective. A sonata transition normally prepares for a secondary theme in the subsidiary tonality with a modulation to the dominant; a fugal exposition fluctuates between the dominant and the tonic, but is also likely to go to the dominant as the first proper modulation of the piece. In this case, the modulation is achieved by the addition of a fifth entry after each voice has presented the subject once. Warren Kirkendale has labeled such entries “redundant entries,” owing to their not introducing a new voice; the entry in question is also identified as such by Pedersen.\(^6^4\)

A form-functional perspective will help to clarify how the roles of these entries differ. The first subject (bars 29-30) prolongs I, and thus functions as a basic idea. The answer (bars 30-31) may strictly speaking be in V, but the inclusion of the flattened seventh on “-ri-” means that the passage does not fully modulate, but only achieves a half cadence. This allows the two to be interpreted as the antecedent of a period.\(^6^6\)

For the following entries the answer and subject are reversed. This creates a closed I-V|V-I construction that is occasionally found in periods,\(^6^7\) and would predict that the fourth statement of the subject ends with an authentic cadence. However, as the fourth entry is in the bass voice, the subject’s end on the third scale degree means that the final tonic is in the first inversion. It therefore fails to achieve a cadence, and must be interpreted as a failed consequent.\(^6^8\) The “redundant entry” (bars 35-37) corrects this by modulating to the dominant and cadencing on V/V.


\(^6^6\) While a contrasting idea usually contains a melodic profile that is clearly differentiated from the basic idea, even in cases when they present very similar material one can separate a statement-answer repetition of the idea and a contrasting idea by their harmonic make-up: the former prolongs the dominant, the latter closes with a cadential progression (Caplin, Classical Form, 49).

\(^6^7\) Caplin, Classical Form, 53.

\(^6^8\) This concept has yet to be properly theorized, but a variant is briefly mentioned in *ibid.*, 89.
Example 9: Theresienmesse, Kyrie, transition and secondary theme excerpt, bars 29-43
Hosar, Halvor K. “The *Kyrie* as Sonata Form: A Form-Functional Approach to Haydn’s *Theresienmesse*.”


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**subordinate theme option 1**

sentence-like

quasi-presentation

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**Bb: I**

\[ V/V \]

**F: IV**

\[ V \]

\[ V/V \]

\[ V \]

\[ [\text{I}] \]

preliminary dominant arrival

---

**subordinate theme option 2**

irregular

continuation

---

\[ V \]

\[ V/V \]

\[ IV \]

\[ ii \]

\[ V^6 \]

\[ I \]

\[ vii^b/V \]

\[ V^4 \]
Bar 37 is the earliest point at which one may say that the transition has ended. Bars 37-40 essentially contain two fugal subjects that prolong the dominant harmony, with the second being set to a standing on the dominant. These might both be understood as what Caplin calls a “new idea,” a substitute for a basic idea that is supported by a dominant harmony. If the secondary theme is said to begin at this point, the theme assumes a sentence-like construction. Alternatively, one might see the first of these entries as a second attempt at achieving a cadence and the second as a standing on the dominant, or of the second entry as a short standing on the dominant that ends the preceding theme. In the last reading, the secondary theme begins on the third beat of bar 40, and goes straight to the continuation phrase. Readers may choose one alternative over the others, or even prefer to see the work as having a continuous exposition. However, each of these choices allows a more nuanced explanations of an exposition that does not obviously have both a transition and a secondary theme, thus circumventing one of the problems of Pedersen’s analysis. From this perspective, too, the exposition is complete without the “Christe” theme being included as part of it.

VII. Summary and Further Prospects

This completes the sonata rotation scheme. One now has a transition between two themes, an exposition, development and a (reversed) recapitulation that are all built on the same themes, an explanation of the partial recurrence of the adagio, and internal proportions and looseness between the sections that are more in line with generic expectations than earlier analyses. This could not be provided without an understanding of generic norms. Throughout the Theresienmesse Kyrie Haydn reconsiders the nature of the traditional parts of the single-movement Kyrie, and looks at ways to subvert expectations for unusual effects. Rather than primarily indicating borrowings from instrumental music or from styles alien to the late-eighteenth-century mass, Haydn's solutions suggest a rethinking of every element associated with this tradition. His commitment to this end and the lack of understanding of norms in Kyrie movements have led earlier analysts into mis-labelling almost every component in the exposition and development of the movement, and to obscuring a structure that compensates for its

69 Ibid., 113-115.
subversion by being relatively simple in terms of tonality and motivic development.

This highlights the necessity of a better understanding of the generic norms of other repertoires which have been ill-served by traditional Formenlehre, and, in turn, the developmental histories of such formal types. Caplin’s theory provides a strong tool for developing and delineating the formal vocabulary necessary for such projects.

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Abstract

Haydn’s single-movement settings of the Kyrie text have long been analyzed within a sonata-form paradigm. This has proven very difficult in the case of the Theresienmesse. This article draws on the theories of William E. Caplin and the works of Haydn and his contemporaries Wannhal and Dittersdorf to suggest that this difficulty arises from a number of peculiar aspects of Kyrie settings that do not conform to typical instrumental sonata-form movements:
• Slow introductions in Kyrie movements are distinct from those found in symphonies, and a tempo (orchestral) introductions of those found in concertos, especially through their more modest size and sentence-like structure.

• The “Christe” section of a Kyrie does not normally resemble a development section, but instead works as a more tightly-knit contrasting middle. It usually sets new material, resulting in an ABA’ form.

• Orchestral themes within the movement are optional, but when employed are used to delineate the borders between exposition, development and recapitulation.

These insights produce an analysis that suggests that the opening adagio conceals both a short orchestral introduction and a primary theme, and that the “Christe” is the opening of the development section, rather than a secondary theme, as has previously been posited; the ensuing fugal section becomes amalgamation of transition and secondary theme. In this analysis, the partial recurrence of the opening adagio can be explained, and the resulting analysis conforms more closely to Hepokoski and Darcy’s notion of sonata rotations.