

In the most general terms, harmony flows from **dominant** to **tonic**. However, because **V** pulls so strongly towards **I**, most harmonic interest lies in how we *arrive* at the **V** chord. Each example which follows is based on a simple **I - V - I** progression, which we will gradually expand and embellish to create increasingly longer and more varied progressions. To do so, however, requires that we understand the concept of Chord Classes, as well as how to embellish and prolong them.

1. A **CHORD CLASS** is a family of chords whose *function* is essentially the same.

2. Thus **V** and **vii°**, whose functions are similar because they both have a strong tendency to move to **I**, would be considered chords of the *same* DOMINANT CLASS. Remember, if writing a **vii°** chord, that there are restrictions in the use of all diminished triads, one of which is that they are not normally found in root position.

chord class:	TONIC	DOM.	TONIC
	[ I ]	[ V (or vii°) ]	[ I ]

3. PRE-DOMINANT-CLASS chords are those, such as **IV** or **ii**, used to *approach* dominant-class chords, and they therefore *embellish* this approach. To *embellish* means to *beautify*, *decorate*, *vary*, or otherwise *make more interesting*. A composition consisting of only tonic and dominant chords would have difficulty remaining attractive for long. The inclusion of pre-dominant-class chords, however, results in making harmonic progressions considerably more interesting; many (most?) compositions are based exclusively on Pre-Dominant-class, Dominant-class, and Tonic chords:

chord class:	TONIC	PRE-DOM.	DOM.	TONIC
	[ I ]	[ ii (or IV) ]	[ V (or vii°) ]	[ I ]

4. We can also create embellishments by combining chords *within* the class. This is one of the techniques of PROLONGATION, which is *the extending of a harmonic region*. If this is done within the Pre-Dominant class, **IV** should precede **ii**. The same technique can be applied to our two Dominant-class chords by moving from **vii°** to **V** or vice-versa:

TONIC	PRE-DOM.	DOM.	TONIC
[ I ]	[ IV - ii ]	[ V - vii° ]	[ I ]

5. The examples which follow show the addition of passing CHORD SEVENTHS to further embellish and prolong the pre-dominant harmony. First we see (a) **IV(7)** moving to **V**, then (b) **ii(7)** is *substituted* for the **IV**, and finally (c) the two pre-dominant chords are used in *combination*:

(a) **IV (7)** **V**

(b) **ii (7)** **V**

(c) **IV (4/2)** **ii (7)** **V**

6. Another prolongation technique is INVERSION. We can extend the starting tonic chord in the above progressions by adding a **I<sub>6</sub>**: (or **I<sub>5</sub><sup>6</sup>**):

chord class:	TONIC	PRE-DOM.	DOM.	TONIC
	[ I - I <sub>6</sub> (or I <sub>5</sub> <sup>6</sup> ) ]	[ IV - ii ]	[ V (or vii°) ]	[ I ]

7. Similarly, the TONIC-CHORD CLASS can *also* be embellished by adding a **iii**; when it follows a **I** chord, the **iii** tends to sound very much like a **I<sub>5</sub><sup>6</sup>** (with a missing root):

chord class:	TONIC	PRE-DOM.	DOM.	TONIC
	[ I - iii ]	[ IV - ii ]	[ V (or vii°) ]	[ I ]

8. Changing  $I_6$  to  $I_5^6$  means we are again adding a **chord-seventh**. As the next examples show, *any chord can be embellished in this way*: just remember to prepare and resolve the 7ths properly:

<i>chord class:</i>	TONIC	PRE-DOM.	DOM.	TONIC
	[ I - iii(7) ]	[ IV(7) - ii(7) ]	[ V(7) (or vii°7) ]	[ I ]

"simple" I - IV - V - I progression:

"embellished" I - IV - V - I progression:

9. Another CHORD-CLASS EXPANSION of the **starting TONIC** is to follow it with a **vi** chord; if you make your second chord  $vi_6$ , the bass stays the same, which furthers our tendency to hear it as a subset (or decoration) of a tonic-class chord:

<i>chord class:</i>	TONIC	PRE-DOM.	DOM.	TONIC
	[ I - $vi_6$ ]	[ IV(7) - ii(7) ]	[ V(7) (or vii°7) ]	[ I ]

The following 4 examples shows some of the *embellishments* of the starting *tonic-class* chord discussed above. #1 and #2 use **inversions** of I ( $I_6$ ,  $I_5^6$ ) on the second-half of the first measure. Note the similarity between the sounds of these chords and the **iii** chord, used in #3. Then compare these with #4, where a first-inversion **vi** chord with **added seventh** ( $vi_5^6$ ) is used in the same place; note that the two **predominant chords** which follow also have **added sevenths** ( $IV_{M7}$ ,  $ii_5^6$ ). Analyze the following:

1.                      2.                      3.                      4.

Just as we embellished the **starting tonic** by following it with a **vi** chord, we can similarly vary the **final tonic** by the *same* substitution (**vi** instead of **I**); this produces a *deceptive cadence*:

<i>chord class:</i>	TONIC	PRE-DOM.	DOM.	TONIC
	[ I - $vi_6$ ]	[ IV(7) - ii(7) ]	[ V(7) (or vii°7) ]	[ I (or $vi$ ) ]

Since we have included two **INVERTED** chords already ( $I_5^6$  and  $vi_6$ ), we should point out that *any* of the above chords can also be inverted to good advantage for further variety. *Remember that the basic reason for inverting a chord is to produce a smoother or more attractive bass-line.*

To recapitulate the points made so far, we have discovered that the basic dominant-tonic chord progression can be varied by:

- i) **Inserting** a *predominant-class* chord,
- ii) **Substituting** one chord for another *within* a class (i.e. **IV** instead of **ii**, etc.),
- ii) **Combining** two (or more) chords of the *same* class (i.e. **IV-ii**, or **I-iii**),
- iii) **Adding chord sevenths**, and
- iv) **Inverting chords**.

Many more embellishments are possible. The next type we will focus on involves **CHROMATIC ALTERATION** of one or more notes in a chord.

## Chromatic Alteration producing Secondary Dominants, Mixture, Neapolitan and Augmented Sixths

## CHROMATIC ALTERATION 1; PREDOMINANT CLASS

## 1. SECONDARY DOMINANTS

One type of chromatic alteration covered in first-year harmony is the use of *SECONDARY DOMINANTS*. Any two (or more) chords *whose roots fall by a perfect fifth* can be modified so that the first chord becomes a secondary dominant of the second. The modification is simple; if the first chord is *not* major, use accidentals to make it so (and consider adding a minor seventh), and if it *is* already major, add a minor seventh (= V<sub>7</sub> of ...).

For example, instead of:

<i>chord class:</i>	TONIC	PRE-DOM.	DOM.	TONIC
	[ I ]	[ IV ]	[ V (or vii°) ]	[ I ]

Try:	<i>chord class:</i>	TONIC	PRE-DOM.	DOM.	TONIC
		[ I - $\frac{V_7}{IV}$ ]	[ IV ]	[ V (or vii°) ]	[ I ]

Likewise, instead of:

<i>chord class:</i>	TONIC	PRE-DOM.	DOM.	TONIC
	[ I ]	[ ii ]	[ V (or vii°) ]	[ I ]

Try:	<i>chord class:</i>	TONIC	PRE-DOM.	DOM.	TONIC
		[ I ]	[ $\frac{V_7}{V}$ ]	[ V ]	[ I ]

Don't forget that secondary dominants can be secondary V chords *or* secondary vii° (or vii°<sub>7</sub> or vii°<sub>7</sub>) chords. Thus a further embellishment of one of the above progressions is:

<i>chord class:</i>	TONIC	PRE-DOM.	DOM.	TONIC
	[ I - $\frac{V_7}{IV}$ ]	[ IV - $\frac{vii^\circ_7}{V}$ ]	[ V ]	[ I ]

The example which follows demonstrates two versions of the above progression, the first with both V<sub>7</sub>/IV and V<sub>5</sub><sup>6</sup>/V; the second uses V<sub>7</sub>/IV, vii<sup>6</sup><sub>7</sub>/V, as well as vii°<sub>7</sub>/V(!):



## 2. MIXTURE

We have seen secondary dominants embellishing both the initial *tonic-class* chord ( $\frac{V_7}{IV}$ ) and the subsequent *predominant-class* chord ( $\frac{V_7}{V}$ ). We study several other variations of predominant harmonies in second-year theory. The first of these is MIXTURE, which can be used to chromatically alter *any* diatonic chord, but is *most commonly* used to vary IV (iv) and ii (ii°) in major keys:

<i>chord class:</i>	TONIC	PRE-DOM.	DOM.	TONIC
	[ I ]	[ iv (or ii°) ]	[ V (or vii°) ]	[ I ]
or	[ I ]	[ iv - ii° ]	[ V (or vii°) ]	[ I ]

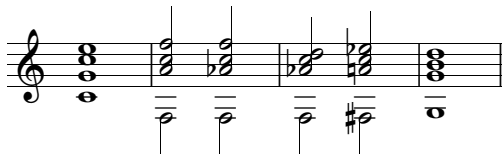
Mixture forms of predominant chords can be combined with secondary dominant forms of the same chords, an example of which follows:

<i>chord class:</i>	TONIC	PRE-DOM.	DOM.	TONIC
	[ I ]	[ iv (or ii <sup>°</sup> <sub>6</sub> ) - $\frac{\text{vii}^{\circ}7}{V}$ ]	[ V ]	[ I ]

Even longer combinations of predominant-class chords are possible:

<i>chord class:</i>	TONIC	PRE-DOM.	DOM.	TONIC
	[ I ]	[ iv - ii <sup>°</sup> <sub>5</sub> - $\frac{\text{vii}^{\circ}7}{V}$ ]	[ V ]	[ I ]
or	[ I ]	[ IV - iv - ii <sup>°</sup> <sub>5</sub> - $\frac{\text{vii}^{\circ}7}{V}$ ]	[ V ]	[ I ]

This last chord progression above written out in musical notation follows. Analyze:



### 3. NEAPOLITAN SIXTH chords (bII<sub>6</sub>)

are yet *another* chromatically-altered form of pre-dominant harmony. This chord, typically in first inversion with b<sup>2</sup> in the soprano, can be plugged into our chord-flow charts in several ways; the following are just a few of them:

<i>chord class:</i>	TONIC	PRE-DOM.	DOM.	TONIC
	[ I ]	[ bII <sub>6</sub> ]	[ V (or vii <sup>°</sup> ) ]	[ I ]
or	[ I ]	[ IV - bII <sub>6</sub> ]	[ V (or vii <sup>°</sup> ) ]	[ I ]
or	[ I ]	[ iv - bII <sub>6</sub> - $\frac{\text{vii}^{\circ}7}{V}$ ]	[ V ]	[ I ]

etc.

4. **AUGMENTED SIXTH** family of chords. These chords can be regarded as a *combination of mixture and secondary dominants*, since they *all* use the b<sup>6</sup> common to mixture chords (Ab in C major) in combination with the #<sup>4</sup> secondary leading tone (F# in V/V in C) necessary for secondary dominants.

<i>chord class:</i>	TONIC	PRE-DOM.	DOM.	TONIC
	[ I ]	[ Fr <sub>6</sub> or Ger <sub>6</sub> or It <sub>6</sub> ]	[ V (or vii <sup>°</sup> ) ]	[ I ]

There are many *combination* possibilities; here is just one of them:

<i>chord class:</i>	TONIC	PRE-DOM.	DOM.	TONIC
	[ I ]	[ IV <sub>6</sub> - Fr <sub>6</sub> ]	[ V (or vii <sup>°</sup> ) ]	[ I ]

### ☞ Combining Chords Within a Class (combination platters); A Rule of Thumb:

A rule of thumb to use when combining chords within a chord class is to **move from least intense to most intense**.

What the heck is an *intense* chord? What does this mean?

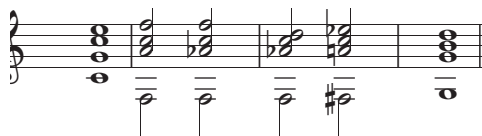
1. Adding a **chord seventh** is one way of *intensifying* a chord; a *triad* is more stable (and hence less intense) than the same chord *with a seventh*. For this reason:

$$[ V - V_7 ] - I, \text{ or } [ \text{ii} - \text{ii}_7 ] - V \text{ etc. are common, but}$$

$$[ V_7 - V ] - I, \text{ or } [ \text{ii}_7 - \text{ii} ] - V \text{ etc. are generally not used.}$$

2.1 **Chromaticism** further intensifies sonorities.

2.2 Clark's Hypothesis: *a chord with two chromatically-altered notes generally feels more intense than a chord with one*, especially if the two chromatically-altered notes use different types of accidentals (like a sharp as well as a flat). How true do you think this is? Let us re-consider an earlier example containing a long string of predominant chords (analyze):



The predominant sonorities above begin with an un-altered IV (*no accidentals*), which moves to iv (*one accidental*), then  $ii^{♭6}_5$  (*one accidental plus a chord seventh*), then  $vii^{♭7}/V$  (*two accidentals plus a chord seventh*). According to our hypothesis, **each chord would therefore be progressively more intense than the previous one**, which heightens our sense of anticipation as we approach the V chord. Do you feel this to be true, as you play the progression yourself?

Here are the various diatonic and chromatically-altered **predominant** chords discussed thus far, with some inversions:



IV (7)    V    ii (7)    V    V (7) of V    iv (m7)    V     $ii^\circ$  (°7)    V    N6 (6/5)    V



V6/5 of V    V    V4/3 of V    Fr+6 (of) V    It+6 (of) V    Ger+6 (of) V    Fr°3 (of) V

## CHROMATIC ALTERATION 2; DOMINANT CLASS

Aha! Now we *finally* get to **dominant-class embellishments**! *All* the harmonic embellishments discussed above are *also* available for dominant-class chords. These include:

- 1) **Substitution** (i.e.  $vii^\circ$  instead of V, etc.),
- 2) **Combinations** (i.e.  $vii^\circ - V$ ),
- 3) **Inversions**, and
- 4) **Adding chord sevenths** (as well as adding/substituting other notes, like 9ths, 11ths, 13ths)

All of these embellishing techniques are by now so familiar that they need no further explanation; adding a *chord seventh*, for example, to dominant harmony occurs so often it is practically ubiquitous. (*Ubiquitas* is Latin for *everywhere*.) The addition/substitution of 9ths, 11ths, and 13ths is covered in chapter 26.

The other possibility we have discussed,

- 5) **Chromatic Alteration ...**

is *also* available for dominant-class chords; the fifth of V can be chromatically raised or lowered, often in combination with the addition of a seventh.

The most common form of chromatic alteration is **MIXTURE**, which, when applied to dominant harmony, results in the following chords in major keys:

$V^{b9}$  (which uses  $b\hat{6}$ ),  
 $V^{b13}$  (which uses  $b\hat{3}$ ), and  
 $vii^\circ 7$  (which uses  $b\hat{6}$ ).

The chromatically-altered V chords ( $V^{b9}$  and  $V^{b13}$ ) are covered in chapter 26;  $vii^\circ 7$  has already been discussed under “**Mixture**”.

**OTHER CHROMATIC ALTERATION** is also possible; it involves raising the fifth of the V chord chromatically ( $V^{+5}$ ) or lowering it ( $V^{b5}$ ). Both of these chords may also include added sevenths, and are *also* be covered in chapter 26.<sup>1</sup>

<sup>1</sup>It would perhaps be more accurate to write that “we will cover this material when we get to chapter 26,” because not all the alterations mentioned are actually covered in our text.  $V^{b5}$ ,  $V^9$ ,  $V^{b9}$ ,  $V^{11}$ ,  $V^{13}$ , and  $V^{b13}$ , are mentioned only

---

## 6. VOICE-LEADING EMBELLISHMENTS (FIGURATION)

We have thus far not discussed some of the most-common types of embellishments, such as the addition of **suspensions**, **accented** (or unaccented) **passing tones**, **appoggiaturas**, or **escape tones**. These *voice-leading* embellishments, which are also known as *figuration*, may be used to decorate *any* class of harmony. The types of figuration which most-commonly affect the **V** chord are:

1. The **CADENTIAL**  $\frac{6}{4}$  (which might involve double *suspensions*, or *accented passing tones*, or *neighbours*, etc., depending on how the  $\frac{6}{4}$  is approached), and the

2. The **4-3 SUSPENSION** over a root-position V. If V is in inversion, this suspension (i.e. delaying the third of the chord) is labelled differently. Think about this, then write and explain the labels for a delayed third in  $V_5^6$ ,  $V_3^4$ , and  $V_2^4$ .

The cadential  $\frac{6}{4}$  and the 4-3 suspension can be used separately, or in combination with one another. Other suspensions are also common. **Any chord tone can be delayed by suspension, in any voice, in any inversion.** Just remember that all suspensions resolve *downwards* by step (**retardations** resolve *upwards* by step, typically  $\hat{7}$ - $\hat{8}$  over a I chord), and are prepared by common tone. See my *SUSPENSIONS* handout for more information.

3. 9ths, 11ths, and 13ths also derive from voice leading embellishments. They are typically accented passing tones, suspensions, neighbors, or escape tones which resolve within dominant harmony, although they sometimes do not resolve until the next chord (usually tonic) is reached.

---

The following example combines many of the elements discussed in this handout. It is breathtakingly beautiful, or stunningly-so; I cannot decide which. It will undoubtedly bring a tear to many an eye, especially if played or chanted quietly amongst people you trust. Go ahead! **Analyze** it! Discuss it in hushed tones with others in your support group, then take a moment to reflect on how this celebrates the glorious mystery which is Life:



**Voice-leading embellishments** are available for chords in *any* harmony-class, and are a highly recommended way of decorating simple harmonic progressions.

*All donations welcome!*