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ETHNOMUSICOLOGY TODAY¹

Alan P. Merriam

I confess at the outset that I am hesitant lest what I say be taken as anything but the set of suggestions it represents: ethnomusicology is currently in a startling state of flux, and quite probably no one either does, or can, grasp all its complexities. Six years ago, when I undertook the discussion "Ethnomusicology Revisited"² it all seemed reasonably simple and clearcut; while I still support—and might well elaborate—the thrust of those remarks, they represent today only one part of what ethnomusicology involves. While we could speak then of ethnomusicology as a field in terms of a set of dichotomies between musicological and anthropological approaches, it is now evident that the intervening period has witnessed the emergence of a host of other specialists who call themselves ethnomusicologists, or who at least use the word in conjunction with their activities. Whether they are, in fact, ethnomusicologists, and whether what they do is ethnomusicology may be debatable, but the fact remains that they exist, they act, and they are part of some kind of entity which involves in some way the word "ethnomusicology."

We have sometimes in the past defined ethnomusicology as "what ethnomusicologists do," a tautology by no means confined to practitioners of our field. Such a definition is unsatisfactory, of course, because it demands that we have prior knowledge of what an ethnomusicologist is, and thus we could just as well reverse the words and define an ethnomusicologist as "someone who does ethnomusicology." It is a tautology, and never-ending in its circularity. But looking at what persons who call themselves ethnomusicologists, or who use the word in association with their activities, do, does have a certain utility, and what it shows us is that things have changed in the past few years. Who, then, are the people who today speak of themselves as having something, at least, to do with ethnomusicology?

One such group consists of the players of ethnic music,³ who today are legion. Some of them play well and some badly, some for fun and others for profit, but what they show us, among many other things, is that bimusicality is rapidly becoming a fact of musical life in our Western world, as it has been for some time in other worlds, such as that of the North American Indian for example.⁴ Some players of ethnic music are self-taught, but most of them, I believe, are either first or second generation students of ethnomusicology programs which have laid heavy emphasis

upon performance, such as U.C.L.A., Wesleyan, Michigan, and Washington. Indeed, it is my impression that a number of academic institutions in the United States teach some ethnic music performance without pretending to offer any sort of ethnomusicology program per se.

Many fascinating offshoots have emerged from the rapid proliferation of performance of ethnic music: for example, the now well-known House of Musical Traditions, which began in New York City, and is now located in Takoma Park, Maryland. I do not, of course, presume to comment upon its financial success, about which I know nothing, but evidence of its continuity and growth is seen both in its extensive displays at the annual meetings of the Society for Ethnomusicology, and in the expansion of the list of instruments it offers for sale. In its advertisement in the September 1973 issue of *Ethnomusicology*, for example, it advertises not only the instruments of India, which formerly constituted almost its entire stock, but also the "dulcimer, dumbek, oud, zils, koto, lute, classical guitar, kalimba, khene, musettes, shakahachi, cheng, recorders, and strings," to say nothing of instruction books to assist the neophyte performer in mastering these instruments. That the business exists, and to outward appearances, at least, thrives, is testimony to the importance of performance and the values for which it stands.

The players of ethnic music may or may not call themselves ethnomusicologists, but clearly what they are doing is broadly viewed as a part of ethnomusicology and, particularly for those who study in various universities, as ethnomusicology.

A second large, and rapidly growing, group is comprised of music educators, and I am thinking here in the main of primary and secondary school teachers. The chief aim of activity in this area is to teach the appreciation of ethnic music, and within the rubric of music education rather than of ethnomusicology as such. A high point in this development was reached with the publication of the October 1972 issue of the *Music Educators Journal*, a special issue titled "Music in World Cultures." This publication was primarily the work of professional ethnomusicologists: Barbara Smith was its special editor; the Music Education Committee of the Society for Ethnomusicology was responsible for compiling bibliography and discography; Elizabeth May put together a filmography; and the list of ethnomusicologist, and other, contributors included Yamaguchi, Susilo, Menon, Slobin, Goines, Grame, McAllester, Kennedy, Gillett, Reeder, Tait, Trimillos, Malm, Wolz, and Klotman. In addition, reviews were published by Rhodes, Lieberman, Nettel, Wade, and Thieme, and I am sure that many others contributed in other ways.

It is my impression that the issue was a landmark in music education, and that it has led to an increasingly higher level of interest in teaching ethnic music in our schools. As this interest is a spin-off from ethnomusicology, so it has produced spin-off of its own, which appears in a

variety of forms, such as books designed specifically for teachers in primary school,⁵ source books for teachers in secondary school,⁶ and developed course materials for college teachers.⁷ It also appears in filmstrips accompanied by teaching manuals, such as "The Music of Primitive Man," issued in 1973.⁸ The September 1974 issue of *Ethnomusicology*, carries an advertisement for an elaborate 4-LP or cassette package prepared by Louis W. Ballard on "The Words, the Sounds, the Cultural Story of the American Indian," including, according to the copy, a special feature: "Dr. Ballard teaches the songs & culture of 22 tribes in 27 songs." The May 1974 issue of *Ethnomusicology* carries an advertisement for 16 mm. color films on various ethnomusicological subjects, distributed by Flower Films. The list is long, the variety of materials substantial and growing, and the main thrust directed toward music teachers.

This group is probably the fastest growing of those with some sort of ethnomusicological interest, and the evidence of its importance lies not only in that which I have noted above, but in the fact that the influence has reached so deeply into the education field that the publisher of *down beat*, long the bible of the jazz field, began his regular column not long ago by writing, "Consider this a first call for a Constituent Assembly to consider the promulgation of a Music Bill of Rights," and he listed a number of items, including the following:

Requirements for a music teacher's certificate shall include demonstrated ability in the following areas: instrumental and vocal world music (Western, Eastern, African, American); various large and small ensembles; individual creativity (improvisation, composition, etc.); therapy (not necessarily as a specialty); contemporary materials literature; and technology.⁹

I am sure that many similar statements are being made in many other journals.

A third group of persons having something to do with ethnomusicology involves all those who see ethnic music in the context of a global view of music, *vis à vis*, particularly, the study of Western "classical" music. Thus Lipiczky can write, for example, that at Wesleyan University, and presumably elsewhere as well, "there is a thrust toward dealing with Western European art music as just one of the many expressions of culture in the musics of the world . . ." ¹⁰ and Palmer refers repeatedly to non-Western music forms in relationship to their contribution to an "American music." ¹¹

Further, composers are well aware of the potentials involved; Reich points out that for today's Western composer, the solution is not to be an ethnomusicologist *per se* (and he employs the term), or to "give up composing and devote himself to trying to become a performer in some

non-Western music," but rather, to ". . . continue composing, but with the knowledge of non-Western music one has studied . . ." The mechanism he has chosen is to

. . . create a music with one's own sound that is constructed in the light of one's knowledge of non-Western *structures*. . . Instead of imitation, the influence of non-Western musical structures on the thinking of a Western composer is likely to produce something genuinely new.¹²

Similarly, Jean Schwarz speaks of "une meilleure connaissance des musiques du monde"¹³ in connection with his own electronic music compositions, and others could be cited.

I am not suggesting that these persons necessarily call themselves ethnomusicologists, or that they see their work as ethnomusicology, but they are clearly cognizant of the field, some of them *are* ethnomusicologists, and they are all keenly aware of the use of ethnic music in Western art music composition. It is, of course, reminiscent of Arthur Farwell and his Wa-Wan Press, which published the North American Indian music-influenced compositions of Charles Wakefield Cadman, Horace Alden Miller, himself, and others, at the turn of the century.

A fourth group is a heterogeneous one made up of persons with a variety of interests, all of which are in some sense "applied." Included here are those professional ethnomusicologists who feel it important to make their knowledge available to teachers for dissemination to school children, a move toward application of materials learned and theory accumulated. Included also is a person such as Chenoweth who, if I understand her work correctly,¹⁴ wishes to analyze music so well that "a description of it enables a foreign musician to understand its theory sufficiently to compose intelligently in the system,"¹⁵ and that the composition itself will be useful in Christian mission endeavors. Although not called ethnomusicology, similar applications of music knowledge have long been made in many parts of the world.¹⁶

Still another possible entry in this group are music therapists, who may or may not be turning to ethnomusicology for assistance. Some of the problems faced have recently been considered important enough to have been discussed in Robertson-DeCarbo's 1974 article in *Ethnomusicology*.¹⁷ Finally, and on admittedly shaky grounds, I have recently received a newspaper clipping from Hawaii which indicates that the East-West Center Culture Learning Institute is in the midst of a program designed specifically to foster interethnic group understanding through ethnomusicology.¹⁸ Some of these activities are more nascent than actual at this point in time, but it seems probable that they will develop further, and that other applied roles will be found for ethnomusicology.

The two final groups of persons calling themselves ethnomusicologists are the same two on which so much attention has been focussed in the past, i.e., the musicologists and the anthropologists, and I will return to them later.

What does all this add up to? What does the proliferation of ethnomusicological activities imply? The answer is that within the past five to ten years ethnomusicology has become "popular," and this, in turn, involves several further ramifications. We have, for example, the simple fact that a rapidly increasing number of people is interested in the field, and this is apparent in such a substantial number of ways that documentation is hardly required—let me only cite, therefore, the steady growth in the membership of the Society for Ethnomusicology, as well as in the number of performers of ethnic music.

This increase in numbers means, in turn, a greater variety of inputs into the field and out-takes from it; one result is that while we do not necessarily have more definitions of the word representing the field, we most certainly have more meanings of it to different groups of people. The term "ethnomusicology," then, has acquired a popular meaning which standardizes as it disseminates. Further, the word has become "valuable" for purposes which are not necessarily academic, and I wish to illustrate this with three examples.

Many of us have recently received an advertisement from Banjar Records in Minneapolis, which informs us of the issuance of a record of Norwegian-American folk music. What is important for the present discussion is that its player-producer is specifically identified as an ethnomusicologist; although the word is used in this sole connection in the advertisement, it is apparently important and valuable enough to *be* used. In other words, the term, "ethnomusicology," has selling power. As a second example, for the first time to my knowledge a trade book on ethnomusicology is planned for publication, in 1976 by Scribners, New York. Up to the present, books in ethnomusicology have been textbooks, learned expositions, theoretical works, monographs—in short, thoroughly academically oriented writing; the new work will be directed toward the general public. Third, Air India has recently advertised a "23-day musical odyssey through India and Nepal," under the title "Musical India." The brochure announces that "on this tour you will visit both traditional and modern cultural centers throughout the country and watch and hear some of India's greatest artists perform. You can also take part in discussions and seminars where leading Indian musicians and dancers will explain to you the subtleties of their art." Although the word "ethnomusicology" is not featured in the brochure, the two leaders of the tour are both identified with "World Music," and one of them is spoken of as a teacher of "World Ethnomusicology." Again, the word has economic power, as well as "popularity," in the general sense of that term. And perhaps the

clearest evidence of the latter is that at the last two annual meetings of the Society for Ethnomusicology, persons who can only be described as "ethnomusicological groupies" have been in full evidence for the first time.

I am suggesting, then, that ethnomusicology has become popular in the sense that it is a known term in the general lexicon as it has never been before; that it is a "valuable" term; and that because it has become popular, it has acquired new meanings. The next question, of course, is what these new meanings are, and thus what the term "ethnomusicology" is, as understood by most of the people who use it. In these terms, and constructing the definition on the basis of "ethnomusicology is what ethnomusicologists do," then "ethnomusicology is the practice and dissemination of ethnic music."

I am not saying that this is my definition or your definition, but rather, that it is probably the definition of ethnomusicology used by most people who have some casual acquaintance with the word and the field. I am also saying that, on another level, it accurately represents the use to which the work of the academic ethnomusicologist is being put. And, of course, it is of our own doing, and of our own conscious doing, with which we associate a positive affect.

From the mid-1950's on, for example, Mantle Hood has consistently espoused performance practice, and has set the example for others through his gamelan (and other) performance groups at U.C.L.A. Indeed, ethnomusicology owes a not insubstantial portion of its growth in that period and through the succeeding ten to fifteen years, to his espousal of the idea that people can be bimusical, and his demonstration of it. His work in this direction led both his own students and others to follow up his success, so that now, Wesleyan University, for example, devotes a substantial amount of energy to ethnic music practice and performance as a fundamental part of its music curriculum.¹⁹ Further, our own general teaching has expanded enormously in recent years, and for the first time, it can be said that we have reached, and are reaching, truly substantial numbers of people. It is a rather extraordinary experience to compare the first course survey undertaken in this country with the most recent one. In the *Ethno-Musicology Newsletter* #3, Bruno Nettl was able to list eleven universities and their course offerings, as well as eight other institutions less centrally concerned, on two 8½" x 11" typewritten pages.²⁰ Almost exactly 20 years later, three compilers required an entire issue of the *S.E.M. Newsletter* to list 75 institutions and their courses on 42 8½" x 11" pages, and in much smaller type.²¹ The number of persons being reached through formal teaching of ethnomusicology has expanded almost unbelievably, and this says nothing of extra-institutional teaching of various sorts.

Another influence which has widened the knowledge of ethnomusicology has been the Music Education Committee of the Society for Ethno-

musicology, which has been in operation since 1968. Considerable support for its projects, most of which have involved the teaching, practice, and dissemination of ethnic music, has been evidenced by the Board of Directors of the Society, by its Council, and by its individual members. Further, the establishment of a resource such as Robert Brown's Center for World Music and Related Arts has the same kind of influence, since its teaching is highly professional and since its mission is viewed precisely as a "cause."²² Indeed, the devotion of many professional ethnomusicologists to the preservation and dissemination of ethnic music has become almost messianic.²³

All these movements toward "popularizing" the field of ethnomusicology must be viewed against the background of at least three other currents of the times which have meshed perfectly with the changes in our field. One of these is the extraordinary change wrought in the past thirty years, and perhaps particularly in the past ten to fifteen, in world communications systems, which has brought about greatly increased public awareness of the world itself and, as a part of the world, music. Concomitant, and surely partly as a result of the changes in world communication, has been the upswing in the booking of concerts by non-Western musicians. It sometimes seems that Ravi Shankar has always been with us, but it was not too long ago that the *Ballet Africaine* wowed the United States public with the question of whether the ladies would or would not wear brassieres. At the time of this writing, Duro Ladipo has brought his folk opera company from Nigeria to the United States for a tour under a professional booking agency. Equally interesting is the fact that organizations considered to be at least partly professionally ethnomusicological arrange bookings as well. Thus the January 1975 issue of *Ethnomusicology* carries an advertisement for "The Performing Arts Program of the Asia Society," which offers booking dates for a Bengali and a Pakistani dance-music troupe. Once again, note that the popular definition of ethnomusicology turns out to be valuable, else professional agencies would not continue to book ethnic music groups. Finally, the third contributing influence has been the development of what we know now as the counter culture and its taking seriously and to itself the performance of local folk musics and then the music of other societies—the perfect way to be different.

All this is in no sense intended to be a gloomy or critical description; rather, it is simply the situation that has developed around us. In sum, the concept "ethnomusicology" has come to be known, and to be popular, for a rapidly increasing number of people. The result is that the term itself has become valuable for them, but in an increasing variety of ways. The most visible way in which ethnomusicology as a field is viewed is as "the performance and dissemination of ethnic music." The question now

is what effect and meaning this has for those who regard themselves, rightly or wrongly, as the core professionals in the field.

Some it affects enormously, particularly those who have staked much on performance, which is certainly a firmly established part of our field. But performance cannot very well be transferred to the printed page, and this means that those who espouse it reach a different kind of audience than those whose inclinations lead them to express themselves in writing rather than in music sound (some do both, of course). Therefore, both the Society for Ethnomusicology, and its journal, remain rather firmly in the hands of one portion of the membership.

Four broad groups seem, then, to be active today:

1) A large, essentially non-academic group whose members use ethnic music for a variety of purposes: for the pleasure of performance, as a part of the teaching curriculum, to make money, and for a number of other purposes.

2) A small group of professional ethnomusicologists who are more or less in the middle, acting as it were as culture brokers between the "popularizers" and the other professionals. Their role in this connection (and they have others) is to translate back and forth between the two groups, disseminating the knowledge of the professionals to the performers, and always urging the former to make their knowledge more widespread, especially through school teaching.

3) A group which in size lies somewhere between the first two, whose members can still be called "musicologists," i.e., those who see the focus of their study as music sound, with their basic definition often taken from Mantle Hood: "Ethnomusicology is an approach to the study of *any* music, not only in terms of itself but also in relation to its cultural context."²⁴

4) A small group (quite probably the smallest, but among the noisiest) whose members can still be called "anthropologists," i.e., those who see the focus of their study as human beings and work out from there saying that "music *is* culture" and "what musicians do *is* society."

The situation seems novel to me, although it may characterize many fields. The first two groups are facing outward to the general public, stressing "the performance and dissemination of ethnic music"; while the second two are facing inward and away from the general public, stressing intellectual problems, and acting as the central group in the Society for Ethnomusicology and the management of its journal. The first two groups can also be combined on the broader level; those involved tend to turn away from formal definitions, to turn toward performance as the central focus in ethnomusicology, to view academic study and the speech mode²⁵ of music as less valuable and viable than the music mode, and to value the feeling and experience of music sound. The second two groups also

form a single, larger group, whose members tend to see performance as one mode of reaching a broad understanding of music and not as an end in itself, to view academic study and the speech mode of music as being as valuable as they ever were, but probably in the end being forced in upon themselves while watching their numbers decreasing *proportionately* to all those who call themselves ethnomusicologists or who regard themselves as being involved with ethnomusicology in some way.

It is my conviction that we cannot define ethnomusicology as "what ethnomusicologists do," or as "the performance and dissemination of ethnic music," and I doubt that many, if any, professional ethnomusicologists would use these definitions seriously either. If I am correct in this as a general supposition, then it appears to me that we find ourselves today back in an old situation but in a somewhat different way. The "old situation" is that the "professionals" are also the "academicians," and the academicians, of course, are the musicologists and the anthropologists. The "different way" is that while these two groups once saw themselves as having antithetical interests, they now find themselves, by chance of fate over which they have little real control, allied together "against" a rapidly growing body of persons who identify themselves in some way or another either as ethnomusicologists or as doing ethnomusicology, but whom they regard as neither, except possibly tangentially. In saying this I do not in any way mean to indicate that all the groups cannot get together, or that yawning gulfs separate us all, but that rather, by intellectual interest and inclination, new alignments have appeared with the emergence of new perspectives which mark the popularity of ethnomusicology. "Revisiting ethnomusicology" is by no means as easy as it once was, simply because the threads are now so much more complex than they formerly were.

One of these complexities, from my perspective, is that I am much less sure now than I once was as to what musicology is, since it appears to have fragmented in the past few years as much as any other field. Historical musicology still seems fairly sharply delimited; systematic musicology is apparently defined in a number of different ways now; some musicologists simply refer to themselves as ethnomusicologists; others refer to themselves as musicologists but say they regard what they are doing as ethnomusicology, and so forth. Still, if one were to make his judgment on the basis of the journal *Ethnomusicology*, he would be forced to say that the musicologists and the anthropologists have not really come much closer together than they were six years ago. Each seem to be doing much the same things as then: in the past year, in *Ethnomusicology*, the musicologists have written about the history of Korean music, or Samoan musical instruments, and the anthropologists have written about linguistics and ethnomusicology, or music as therapy. While we certainly

have much more awareness of each others' points of view, we have not done a great deal about it.

I would like to say as clearly and as emphatically as I can that I am not interested in finding out whose "fault" this is, or in placing "blame" at one point or another; I do not think of the problem in these terms, and in fact, never have. Rather, while I do not claim to be an historian of science, it is from that perspective that the situations in which ethnomusicology finds itself fascinate me. I have always believed that good and compelling, if involuntary, reasons existed for the two approaches so manifest in the field, and in the end, I think it is healthy that we have multiple approaches. I do regret, however, that we do not seem to have been able ever to create a true discipline of ethnomusicology, as opposed to a musicology of music and an anthropology of music living rather uneasily together under an artificial rubric.

Be this as it may, I wish to turn now to a brief summary of what I think anthropologists interested in music (ethnomusicologists of a sort) are doing today. In undertaking to do so, I must enter two caveats: the first is that I am speaking primarily, of course, from my own experience and that of graduate students with whom I work at Indiana University, and I do not know how typical this experience is. Second, I believe, however, that the general threads of interest I will indicate are similar to those in anthropology all over the United States, at least, but that their specific application to ethnomusicology may perhaps be more intense at Indiana than elsewhere. I wish also to point out that graduate students in ethnomusicology at Indiana are artificially separated by academic boundary into those who will earn doctorates in anthropology and those who will earn them in folklore (with a smattering of graduate student interest in the School of Music), but the two groups function to a considerable extent as one, for students are free to take courses and to have advisors across the boundaries, and they are constantly thrown together in a variety of ethnomusicological events.

I think that those looking at music from the point of view of social science today feel even more isolated from the mainstream of ethnomusicology than they did six years ago, and they are thus placing less and less emphasis on the sounds of music, and more and more on other aspects of the music phenomenon. One hears more talk today about organizing ethnomusicological panels within the framework of the American Anthropological Association's annual meetings, as an increasingly attractive and natural forum for discussion. The reason is that music is being viewed in quite different ways from what it was six or seven years ago: the revolution that has recently struck anthropology has had similar impact on ethnomusicologists in anthropology.

These changes must be projected against the background of the general

climate of anthropology and intellectualism in our society, and here I wish to note two streams which are having enormous impact. The first is that the speed of change in anthropological theory has become almost unbelievable in recent years. This is partly because some general intellectual revolutions have occurred, and partly because as more and more persons enter the field, it becomes increasingly important for each to stake out his own individual piece of intellectual turf, so to speak. One of the many results is that anthropology shows a widening gap between theory and evidence, simply because theory is generated faster than it can be verified through research. For example, when *The Anthropology of Music* was published some eleven years ago,²⁶ it represented a new paradigm, but while aspects of that paradigm have come to be accepted theoretically, very few of the suggestions made therein have been tested empirically in field research. Or again, the structuralism of Lévi-Strauss, so important and so "hot" such a short time ago, is already coming under severe criticism. Anthropology is flashing through ideas at this point in its history; it is a very exciting time, but it is also a very frustrating one, and the discipline is presently becoming a less data-oriented and more theoretical discipline.

The second background stream is the intellectual era in which we find ourselves living today; one of its characteristics is the science-antiscience debate, and this is deeply affecting anthropology, and by extension, ethnomusicology. Nicholas Wade for example, has summarized the views of Theodore Roszak, one of the foremost critics of science, as follows:

. . . the objectivity of scientific inquiry is not merely a convenient tool for arriving at agreed results, but rather an ingrained, philosophical attitude, cold, depersonalized, and spirit-sapping, which dehumanizes science and indeed aridifies Western civilization itself, since the scientific view of reality has succeeded in ousting all others. . . . the trouble with science is that it provides only information about the world, without the meaning. Real knowledge . . . avoids the Cartesian apartheid which science has imposed on itself and seeks the 'meaningfulness of things which science has been unable to find as an objective feature of nature.'²⁷

This debate leads, in turn, to the argument about the merits of positivism, structuralism, and transcendentalism (though, I believe, often leaving out humanism as such²⁸), and in the first two the discussion focuses on what we now call surface structure versus deep structure. Anthropology today is asking itself all the questions being asked in the other scientific disciplines: What is science? What is it supposed to do? How do we verify results and data without scientific methodology? Do intuition and empathy really substitute for science's supposed objectivity? This is not the

forum to argue about these, and the myriad of similar questions, but all are of high importance.

It is difficult to relate this directly and methodically to an anthropological view of music, but perhaps the matter can be approximated in this way: students today are often finding their prime interest to be the meaning of human interactions in the artistic performance event. This problem set has developed from the cultural anthropological approach commonly labeled cognitive anthropology, the core of which is expressed by Stephen A. Tyler in the following manner:

. . . cognitive anthropology . . . focuses on *discovering* how different peoples organize and use their cultures. This is not so much a search for some generalized unit of behavioral analysis as it is an attempt to understand the *organizing principles underlying* behavior. It is assumed that each people has a unique system for perceiving and organizing material phenomena—things, events, behavior, and emotions . . . The object of study is not these material phenomena themselves, but the way they are organized in the minds of men. Cultures then are not material phenomena; they are cognitive organizations of material phenomena.²⁹

Interest in cognitive anthropology has led to, and interacted with, other ideas in anthropology, which have been applied, then, to ethnomusicology. For example, the importance of the psychobiological background of cognition is receiving strong recognition; its interaction with music and the resulting altered states of consciousness form the basis for the studies of some persons. The problem of split-brain research and its implications, not only for music but for the other arts as well, is particularly fascinating, as are more specific inquiries such as the correlation between the speed of drumming and the frequencies of brain waves, to say nothing of the effects of circadian and other rhythms.

Communications theory has had a strong impact, beginning with the simple ideas of a sender, a message, noise, a receiver, and feedback, and moving on to more complex models. Involved heavily with linguistic theories and models, a number of students have returned to the problems of meaning: what is the message being sent, and what are the means through which it is sent? But this is a rather different view of meaning than that discussed by ethnomusicologists in the past, and understanding of it is to be reached by rather different means.

Cultural concepts are to be understood as consisting of those ideas, feelings, expectations, beliefs, values, ethics, assumptions, and metaphysical constructs present in a given culture. These do not necessarily find expression in language, since the penchant for verbalization of

ideas is cross-culturally variable. They do not necessarily find behavioral expression in particular non-linguistic expressive genres of a culture, since cultural 'oughts' are often not equivalent to cultural 'ises.' Often their existence can only be ascertained through the observation of their effect in a number of seemingly unrelated and subtle behavioral manifestations, for example, through the gradual understanding of the symbolic meaning of kinesic and paralinguistic data. Thus, the elucidation of some cultural concepts cannot be arrived at through the use of quantitative methods, although such methods may be used to reify hypotheses about their existence; qualitative methods, such as those used by phenomenologists, symbolic anthropologists, and symbolic interactionists, are often the only ones amenable to the collection of such materials . . .³⁰

It is this view which has led to the proliferating ethnomusicological-anthropological studies of symbolism, phenomenology, and symbolic interactionism, and since such studies are viewed as essentially novel, they also require novel techniques of study, such as componential analysis, "an approach to finding significant differences in meaning among a set of terms . . .";³¹ ethnoscience or ethnosemantics, a method in which distinct domains of meaning are isolated in the language of another society in order to understand meanings;³² the importance of emic, as opposed to etic, data, as used by Harris;³³ the probings of the ethnomethodological approach;³⁴ and many others.

At the moment, much of this has focussed upon the performance event itself as the unit of analysis, since it sharply delimits the problems and allows the researcher to probe deeply into structure,³⁵ and the various linguistic, kinesic, gestural, and proxemic codes, often with the use of videotaping equipment as an addition to standard ethnographic techniques. This leads, one hopes, to an understanding of the multiple aspects of the messages being sent between and among persons in the interacting network, the multivocality of those messages, and an ultimate focus on the meaning of what is going on to the people who are doing it.

What has been said here is the briefest of resumés which only touches swiftly upon a few of the aspects of current anthropology-ethnomusicology. In order to make the point clearer, I should like to quote briefly from three research proposals which have recently been formulated and submitted at Indiana University: all three have been funded.

The proposed research will focus upon the interaction and communication processes in musical performance events among the (X people) of (Y country) in order to explain how participants dynamically create, maintain, and change musical meaning and structure. It will investigate the interpretive process in which participants evaluate relevances and expected responses as they construct their per-

formance. More specifically, it will study the 'ambiguity' resulting from partially shared interpretations as exemplified in the differences between intent on the part of the actor and inference on the part of the audience. These musical cognitive processes will also be compared with other cognitive processes in (X people's) interactional situations, such as face-to-face conversations and court hearings. . . . The conceptual framework for this study will derive from the assumptions of symbolic interactionism about the centrality of meaning for actors and audience in the processual construction of performance. . . . It will also draw upon the semiotic-cybernetic aspect of communication theory by utilizing the specific concepts of channel, feedback, redundancy, and noise. . . . The research will begin with the event. . . . Videotape recording equipment will be employed. . . . The act of studying the event will also be considered a social process . . .

* * * * *

The purpose of this research is to investigate the socio-cultural meaning of musical symbols among the (X people) of (Y country) as they are revealed by interaction and behavior before, during and after musical events. The (X people) . . . are particularly suited for this research because they are articulate critics, both verbally and behaviorally, of their music making activities. It is these points of criticism that will reveal important data about the meaning of musical symbols among the (X people). It is my contention that research among the (X people) will provide an example of the general principle that meanings associated with music in any culture can be isolated and illuminated through an analysis of interactions surrounding musical behavior.

This writer discusses the hypotheses which underlie his research, including the ideas that "musical behavior . . . is a symbolic system, communicating meaning," that "musical expectations may be grouped for purposes of analysis in terms of general cultural expectations for any musical performance," and that "these expectations may be expressed either verbally or through culturally acceptable gestures and movements in terms of universal human emotions or feelings, or in terms of culturally specific ideas related to form, structure, sound and movement," and that "musical symbols may be related to other cultural symbolic systems such as religion, myth and values."

* * * * *

The purpose of my research is to make an ethnolinguistic inquiry into musical conceptualization in the dialect of (X people). . . . This project is aimed towards making linguistic, ethnomusicological, and ethnographic contributions to the study of (X) culture.

Rather than focusing on the extrinsic study of musical sounds . . . or on the social-behavioral study of musicians, music-making, and the functions of musical events, my research will pose what I see as a more basic human question: What is the cognitive basis for humanly organized sound in this particular culture? The aim of this orientation is to understand an *ethno*-logic; to explore a domain of culture *in its own terms* and thus to seek out its own internal organizing principles.

In order to work at this level of abstraction, I will be using theories and methods refined in the subfield of ethnolinguistics that has been dealing with formal cultural semantics.

These three examples, literally chosen at random, exemplify the directions in which research is moving today, but this general approach is not without its difficulties, of which I wish to note three in passing. The first is that the kind of research proposed here is essentially microethnography, and the problem is how to relate it to macroethnography. Second, as we dig ever deeper, through the use of more sophisticated concepts and methodological tools, the data become increasingly complex. All ethnographers-ethnomusicologists are thus forced to take more and more material on faith, since the data are less and less subject to verification without the minutest reexamination of the same subject. Third, anthropology, and in this case ethnomusicology by extension, has always claimed to be a generalizing science based on the comparison of data. But it is becoming more difficult to compare data simply because of their increasing complexity, and furthermore, part of the overall scene is a clear disinclination to probe comparative problems. But one cannot help asking whether it will pay to understand more about less if it does result in less comparison, and thus generalization. Or are we on the way to becoming a theoretical, and descriptively-analytic discipline, instead of a theoretical, comparative, and generalizing one? These questions, of course, return us to the problems of positivism-structuralism-transcendentalism-humanism, and to those of surface versus deep structure.

My remarks have been drawn in avowedly broad strokes, and much detail has been omitted. What I have attempted is to give you an idea of what I think ethnomusicology is doing today, and from that, an overview of what is going on among some ethnomusicologists who view themselves as anthropologists. In my association with ethnomusicology through some twenty-five years now, it seems to me I can see a progression (though not in a teleological sense) from a focus on music sound structure, through a concern with music as a socio-cultural phenomenon, and on now to a preoccupation with musical emotion, feeling, and meaning. It is my contention, however, that we have not provided an adequate data base for any one of these three broad views; while I always find it useful to at-

tempt to generalize on the basis of the data at hand, it would be reassuring to have more data.

The development of these differing views in ethnomusicology (whatever that elusive word may mean) is, of course, fascinating to watch. I cannot help but recall a spirited but amicable argument in which Charles Seeger and I engaged some years ago within the confines of the Council of the Society for Ethnomusicology. We jokingly evolved the problem in terms of what would happen to the Society were 1000 drummers suddenly to become members: it was Charles' contention that this would be an upsetting experience of potential dire consequence; I remember it seemed to me at the time, and still does, that it would only mean we would become the Society of Drummers.

NOTES

¹ This paper was originally delivered from notes at a meeting of Professor Dieter Christensen's ethnomusicology seminar at Columbia University in March, 1975. In putting together a written version, I have attempted to keep the informality of the occasion intact, save that I have added some citations for those who may wish to look further into some of the points made. I wish to emphasize that the talk was a general one, meant to indicate overall trends in ethnomusicology as I saw them at that point in time. Both Frank Gillis and Valerie Christian have read the manuscript and made friendly and wise suggestions toward its improvement.

² *Ethnomusicology* 13 (1969) pp. 213-229.

³ I am not particularly pleased with the phrase "ethnic music," but use it here because it is common parlance. For me, it has only relative meaning, and its connotations are faintly pejorative.

⁴ Alan P. Merriam, *Ethnomusicology of the Flathead Indians* (Chicago: Aldine, 1967).

⁵ Elizabeth Crook, Bennett Reimer, and David S. Walker, *Silver Burdett Music* (Morristown, N.J.: General Learning Corporation, 1974).

⁶ James A. Standifer and Barbara Reeder, *Source Book of African and Afro-American Materials for Music Educators* (Washington, D.C.: Contemporary Music Project, 1972).

⁷ Vada E. Butcher, *Development of Materials for a One Year Course in African Music for the General Undergraduate Student* (Washington, D.C.: U.S. Department of Health, Education, and Welfare. Office of Education: Bureau of Research, 1970).

⁸ Stamford, Conn.: Educational Dimensions Corporation, 1973.

⁹ Charles Suber, "The First Chorus," *down beat* 41 (1974) no. 3, p. 6.

¹⁰ Thom Lipiczky, "Report from Wesleyan University: The Wesleyan World Music Program," *Current Musicology* 15 (1973) p. 21.

¹¹ Bob Palmer, "What is American Music?" *down beat* 42 (1975) no. 4, p. 11.

¹² Steve Reich, "A Composer Looks East," *The New York Times*, 2 September 1973, section 2, p. 9.

¹³ Jean Schwarz, *Programme-Bulletin: Groupe de Recherches Musicales* 7 (Paris: Service de la Recherche de l'O.R.T.F., 1974) p. 20.

¹⁴ Vida Chenoweth, *Melodic Perception and Analysis: A Manual on Ethnic Melody* (Ukarumpa, E.H.D., Papua New Guinea: Summer Institute of Linguistics, 1972); V. Chenoweth and Darlene Bee, "Comparative-Generative Models of a New Guinea Melodic Structure," *American Anthropologist* 73 (1971) pp. 773-782.

¹⁵ Chenoweth, "Melodic Perception," p. 10.

- 16 John F. Carrington, "African Music in Christian Worship," *International Review of Missions* 37 (1948) pp. 198-205.
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- 18 George Furakawa, "Course Preserves 'Cultcha!'" *Ka Leo O Hawaii*, 3 March 1975, p. 6.
- 19 David P. McAllester, "Cerebration or Celebration," *Current Musicology* 15 (1973) pp. 95-97.
- 20 Bruno Nettl, "A Survey of Courses in Ethno-Musicology and Related Subjects," *Ethno-Musicology Newsletter* 3 (1954) pp. 5-6.
- 21 R. A. Black, C. J. Frisbie, and E. Zonis, "Ethnomusicology Curricula Survey," *S.E.M. Newsletter* 8 (1974) no. 3.
- 22 Robert E. Brown, *The American Society for Eastern Arts: Center for World Music and Related Arts* (Berkeley: The Center for World Music and Related Arts, 1974).
- 23 See Alan P. Merriam, "Purposes of Ethnomusicology: An Anthropological View," *Ethnomusicology* 7 (1963) pp. 206-213, and McAllester, "Cerebration or Celebration."
- 24 Mantle Hood, "Ethnomusicology," *Harvard Dictionary of Music*, ed. Willi Apel (2nd ed., Cambridge, Mass.: The Belknap Press of Harvard University Press, 1969) p. 298.
- 25 Charles Seeger, "Preface to the Description of a Music," *International Society for Musical Research, Fifth Congress, Utrecht 1952: Report* (The Hague: N.V. Drukkerij Trio, 1953) pp. 360-370.
- 26 Alan P. Merriam, *The Anthropology of Music* (Evanston, Ill.: Northwestern University Press, 1964).
- 27 Nicholas Wade, "Science and Its Critics: Must Rationality be Rationed?" *Science* 185 (1974) pp. 925, 927.
- 28 Mina Rees, "The Scientist in Society: Inspiration and Obligation," *The American Scientist* 63 (1975) pp. 144-149; Gunther S. Stent, "Limits to the Scientific Understanding of Man," *Science* 187 (1975) pp. 1052-1057.
- 29 Stephen A. Tyler (ed.), *Cognitive Anthropology* (New York: Holt, Rinehart, and Winston, 1969) p. 3.
- 30 Nahoma Sachs, "Music and Meaning: Musical Symbolism in a Macedonian Village" (Ph.D. diss.: Indiana University, 1975) p. xiii.
- 31 James P. Spradley, *You Owe Yourself a Drunk: An Ethnography of Urban Nomads* (Boston: Little, Brown and Company, 1970) p. 76.
- 32 Charles R. Adams, "Ethnography of Basotho Evaluative Expression in the Cognitive Domain *Lipapali* (Games)" (Ph.D. diss.: Indiana University, 1974).
- 33 Marvin Harris, *The Rise of Anthropological Theory* (New York: Thomas Y. Crowell, 1968) pp. 568-604.
- 34 Harold Garfinkel, *Studies in Ethnomethodology* (Englewood Cliffs, N.J.: Prentice-Hall, 1967).
- 35 Fremont E. Besmer, *Kidàn Dàrán Sàllà: Music for the Eve of the Muslim Festivals of 'Id Al-Fitr and 'Id Al-Kabir in Kano, Nigeria* (Bloomington, Indiana: African Studies Program, Indiana University, 1974).

THE STATE OF RESEARCH IN ETHNOMUSICOLOGY, AND RECENT DEVELOPMENTS¹

Bruno Nettl

This article attempts to assess the general state of research in the field of ethnomusicology. It pretends to be nothing more than a personal statement of opinion, and I find myself making it with considerable anxiety, for our field has become so large, in terms of its scholarly, human, and musical populations, that it is impossible for one person to control the data of the entire field in a way which makes feasible a good evaluation of recent developments and current affairs. I often look back to my student days, in the late 1940s and early 1950s, when a candidate coming into the doctoral examination might be expected to know nearly all of the significant publications in the field. Now, students of mine grow despondent when confronted with the need to know the whole field. I therefore approach my task humbly, for I certainly cannot claim to know, with any sort of even emphasis, the entire recent literature, and you will no doubt sense that I am best acquainted with what has been published in North America. I therefore intend my remarks to be suggestive, the basis for discussion, rather than in any way definitive. And the reader may find my remarks rather more pessimistic than he might expect; but salvation does not lie in self-congratulation.

Instead of proceeding by continent or country, by culture type or musical stratum, by school of ethnomusicology or approach, I have organized my remarks into a series of numbered statements, each briefly amplified. These statements outline what has been going on in the last ten or fifteen years, what is going on now, and what may perhaps transpire in the immediate future. Some of the statements are simply descriptive. They attempt to give the facts of the situation. More, however, are analytical or synthetic, indicating how I think we as a profession have performed the tasks we set ourselves decades ago, and also how we have encountered problems that we have not been able to solve. Thorough footnoting of a presentation such as this is not practicable. I therefore restrict myself to the occasional mention, in passing, of a scholar or a significant work, and apologize to all whose publications should also have been included.

* * *

1. We are having trouble defining our field of study. In the United States, debates on the definition and the essence of ethnomusicology have been going on for years. This uncertainty is perhaps due to the fact that

ethnomusicology in my view is not a discipline, though surely it claims occasionally to be one, but that it is a *field* which draws members from other areas, particularly from the disciplines of musicology, anthropology, and folklore. I am not sure whether the question of defining ethnomusicology is an issue elsewhere in the world. I would surmise that perhaps it is not, that elsewhere scholars have more often taken a practical approach, setting themselves certain specific tasks and carrying them out within a practical framework decided in advance. But we do frequently read statements that ethnomusicology is simply the study of non-Western musics, which may sound ridiculous to many non-Western scholars; we do deal with the question of ethnomusicology as a study of music that exists in oral tradition, though we realize that the contact between oral and written traditions in many cultures, particularly those of Europe, has always been very close. We grapple with the notion of ethnomusicology as the study of music in culture, of the role which it occupies in human society and societies, and of music as not only sound and associated behavior but a complex which includes, on equal terms, sound and behavior; then we are faced also with a substantial school of musicologists who say that this indeed is the stuff of musicology itself. (Actually, I count myself among them.) We have definitions of ethnomusicology as a field dealing with musical cultures synchronically, rather than diachronically, which is the task of the music historian. But again we look at ethnomusicological literature and find that it is full of history in the sense of "history is what happened," not in the sense of "history is processes," the credo of many social scientists. We are faced with a definition of ethnomusicology as the comparative study of musical systems and cultures, but we are also told that comparison is premature, and that indeed cultures are not really comparable. And if we finally hear that this definition—the one I could subscribe to most readily—narrows the field too greatly, and that in Jaap Kunst's words, there is no more comparison in ethnomusicology than in other disciplines, we can see that we really have not arrived at a definition which is shared by all people who feel that they are somehow subscribers to and workers in this field. Fortunately, students do not worry about this quite as much as their professors, though I have run into some students who have almost despaired because of the difficulty which they had in deciding whether what they were doing was indeed ethnomusicology or not. Sessions of the Society of Ethnomusicology have been devoted to this problem, and publications by Hood, Merriam, Reinhard, Daniélou and others speak to it.

Let me comment just a bit on one of the widely used definitions of ethnomusicology, that it is the study of music in oral traditions. One thing that has become clear to me is that it is difficult to identify this music, in contrast to other kinds. Sure enough, the polarity between the

music of an isolated tribal group and the most academic music of Europe is not difficult to handle, and it has served as a model for much scholarly thought. But perhaps most of the music of the world lies along a continuum between the written and the oral; yet we have assumed that it is easy to place all music in one camp or the other. I believe the dichotomy is erroneous. The aural component in the learning of music of all sorts is enormous—if we discount only some of the most avant-garde music of recent times. Even the current performance practice of Mozart and Beethoven has significant components that are transmitted in oral tradition. Moreover, much of the music which we regard as definitively folk music, around the world, has close relationships to written traditions, especially if we consider the words as well as the music. I feel therefore that I should not devote myself simply to what we call orally transmitted music, or what we were once permitted to call folk music, but instead to the study of all music from the point of view of its oral tradition; and this, for me, is one of a number of acceptable definitions of the field of ethnomusicology. At the same time, let us try not to delude ourselves. The cultures we are studying have changed more than have we, in recent times. And within this context, to which the mass media have contributed mightily, we ought to clarify the entire question of the oral and the aural, and to take a realistic look at its relationship to the written and the recorded.

Nonetheless, we do not have much difficulty deciding what music actually constitutes the core of our field. It is the outskirts, the borders, that are difficult to define. But they are, of course, crucial because it is at these borders that we would expect new kinds of work (by “new” I mean the study of “popular” music, the development of a cognitive ethnomusicology, or the notion of an “applied ethnomusicology”). There are new approaches, there are new ideas, but have these had the thrust of innovation that one might expect? In other words, it is curious that, despite new technology and greater accessibility of field research, we are still rather close, in our kinds of activity, to those carried out by the grand old men and women who founded our field: Erich von Hornbostel, Belá Bartók, Carl Stumpf, Frances Densmore, and the others. Is this perhaps in part because the borders of the discipline are not very well defined and the scholar who wishes to investigate at these borders is in a certain sense discouraged? The point that I must reluctantly make is that recent developments are, in my view, not dramatic in their impact on our scholarly consciousness *because* we have had trouble defining our efforts. But let me move on to a second, related statement.

2. We are having trouble communicating. One reason for this is of course the size of the field. If we have not progressed in dramatic impact, we have certainly increased in numbers and in a recognition of the com-

plexity of the network of world musical cultures. A specialist in the folk music of one Eastern European nation has his hands full controlling the data, the multitudinous song types, styles, dances, instruments, culture types, text-music relationships in different languages, and with the large multi-lingual literature of that field. One can hardly expect him also to know a good deal about the music of Korea, Java and South America. Yet the student of the music of Java or Korea or South America may be doing precisely the kinds of things that our Balkan specialist also wishes to do. And he needs to be aware of them.

When ethnomusicologists meet, they have a small amount of common knowledge, and even this seems to me to be decreasing. There is very little subject matter which one can expect all ethnomusicologists to hold in common. Moreover, scholars with a number of differing approaches have difficulty communicating with each other, in dialogue or in publication. There are scholars who regard themselves primarily as performers and propagators of non-Western and folk music. There are schools in which social science-style model building is the most important activity, and there need be almost no direct contact with musical material or indeed even with the facts of human musical behavior. There are the comparativists. And then there are, of course, the scholars who have emerged from the world's new nations, from what we still call the Third World, and these scholars sometimes have difficulty being persuaded that others—Europeans, North Americans—will ever really understand the musics which they are studying, to say nothing of the artists and intellectuals coming from these cultures. It is difficult to refute this argument; within the system, musical and social, of the music of a West African nation, or of Iran or Thailand, the Western ethnomusicologist plays a distinctively minor role, that of contributing what insights an outsider, *because* he is one, can provide, adding them to what we must regard as the primary view, that of the music by its own culture. But it is not surprising that ethnomusicologists coming from such diverse backgrounds, with so many different approaches and motivations, do not always communicate well. This lack of communication, curiously, is a development we must take into account.

3. The grand old men really had the answers. We are filling gaps in the field, but there are times when the field of ethnomusicology seems to give us substantially no new ideas of what the world of music is like. Have we discovered all musics? I do receive many new ideas of how to work, ideas on methodology and theory, but the substantive descriptions of musical style and musical culture seem to me to have changed relatively little. After carrying out some studies in Persian and Arabic improvisation, I again looked into Robert Lachmann's little book, *Musik des Ori-ents*, and realized that either explicitly or by implication he already, almost 40 years ago, had stated in a few sentences what I had stated in a

series of articles. Among the most significant developments is the republication of classics and of earlier writings, going back to the 16th century. What emerges from this rather critical catalog is the idea that we are indeed filling gaps in our understanding of the musical ethnography and the musical style map of the world, but we have found few surprises. The area in which we are making progress and in which we must seek for excitement is the area of theory and methodology.

4. We are becoming comparative again. If we are discovering or rediscovering our own past, perhaps we are going back to earlier precepts, and this trend runs counter to our having trouble communicating. The reprinting of the work of such scholars as Hornbostel and Brailoiu is a stimulus for those who feel that it is possible for someone to comprehend a number of musical systems sufficiently well to compare them. Really formidable obstacles stand in the way of comparison, obstacles that extend from the difficulty of controlling a sufficient quantity of data, to the epistemological problems of comparability. We are again returning to the idea that musics can be compared, that they lend themselves, at some level of study, to quantified comparison and that one is perhaps unable to absorb information about a new musical culture except by making implicit comparisons to something already known. This has educational as well as scholarly implications. To me the most exciting work of a comparative nature in recent years has been the work in the cantometrics project, headed by Alan Lomax. I must say that while I feel critical of its techniques and methods of approach, I feel also very sympathetic to its basic assumptions—that musics *can* be compared, that one *can* find an appropriate sampling for each of the world's musics (treating this concept now like languages) and that in some way a music *must* reflect the cultural and social system that produces it.

5. The question of transcription seems to have receded. Transcribing music in order to analyze and preserve it in that most important artifact of Western tradition, the book, was once regarded as a major activity of the ethnomusicologist. In the 1950s and 1960s, technological progress reached even into our field, and a number of highly sophisticated approaches to transcription were developed, including—as Mantle Hood summarizes them—an approach involving the traditional notation systems as they exist in non-European cultures, another one making very precise phonetic notations with the use of electrical and electronic machinery, and a third proposing the inclusion, in a transcription, of all aspects of musical and associated behavior. If one now looks through publications from the last few years one finds, indeed, that there are still scholars who regard transcription as a very important preserving force and as a way of presenting material for analysis and description of musical features and musical style. More often, however, we find that transcription lately has not been treated as an absolute and monolithic concept, but one

which is flexible and thus more of a tool for arriving at particular kinds of information than for a complete presentation of the music in visual form. Exceptions to this seem to me to be found primarily in European folk music, an area which for obvious reasons has all along probably lent itself better to the notation of transcription in Western notation. But what surprises me is the relatively small number of publications that have actually made use of new methods of transcription. (I must mention a recent special issue of the *UCLA Selected Reports* as an exception.) I suppose that we are simply interested in other matters, and that we have finally begun to use recordings in a way that will make visual presentation of music gradually less and less important and desirable. At any rate, it is interesting to see that the old whipping boy of the enthusiasts of transcription, Western notation, is still very much in use, with the symbols and types of symbols developed for it by the ethnomusicologists of the early 20th century. Again, perhaps we are rediscovering our past and recognizing that these early scholars had many of the answers.

6. Interesting developments are occurring in the area of analysis and description. I believe that transcription and analysis are, to a substantial extent, part of the same process. While straight transcription itself seems not at the moment to be highly productive, the activities resulting from transcription are. Perhaps the most important of these involves the introduction, by such scholars as Nattiez, of the concept of semiotics into music, a concept which has almost acquired the force of a bandwagon movement. The use of linguistic models, first from the structural linguistics of Jakobson and later from transformational grammar, has become popular, although it has been criticized. The idea that any form of communication has certain elements which are significant and other elements which, because they are predictable or devoid of specific symbolism, are less significant, is easily accepted. The notion that a musical system can be described by a rather small number of basic rules and operations in the manner of transformational grammar is also very attractive, but does not seem to me to have been stated with sufficiently convincing force.

Some of the studies which attempt to show that music can be understood in the same terms as language seem almost to be contributions more to linguistics than to musicology or ethnomusicology, for they demonstrate the elegance of linguistic analysis but, as David Feld has recently indicated, do not necessarily tell us anything about the music that we do not already know intuitively from hearing it.

The main issues in the area of analysis seem to me to be two. First there is an infinity of statements we can make about a piece of music, and even a semiological analysis seems to me to be large and perhaps cumbersome. Therefore we may have difficulty saying anything about an entire body of music. Indeed, this kind of analysis may give us trivial in-

formation. Second, there is inevitably a collision between the scholar who believes that one can discover the essence of a music by an analysis of its structure and the scholar who believes that only the person who understands the culture by having internalized it, either as a native or as an intensive participant-observer, can have the proper insight. This conflict seems to me to be symptomatic of the stress between the outsider and the insider as the scholar of greatest consequence. I cannot say that I have resolved it in my own mind.

But the significant point is that, on the one hand, we find scholars attempting to create universal systems for analysis and others urging us to use the cognitive framework of a culture for analysis of its own music. And on the other hand, the analytical sophistication of many recent publications comes from a willingness to limit analytical methods and techniques to what is needed for the task at hand, the questions being asked in a particular research project. (I should refer you, by the way, to a recent article by Marcia Herndon, treating this subject in detail.) So, I would venture to say that the success of recent work in analysis is due to its particularism, to the concept of analysis not as something one does to all music, automatically and always following a single rigorous procedure, but as a tool for answering a multitude of questions with a large repertory of approaches.

7. We are more interested in how musical *repertories* came to be as they are, and we are looking at them with a new perspective. Formerly, we tended to take for granted that the concept of music everywhere was that of the "piece" as it is in Western music, that pieces consist of notes, which we regard as the smallest units of Western musical thought, and so on. We are now beginning to be interested also in such strictly musical matters as processes: composition, improvisation, models, and types of tradition. In other words we are interested in looking at the motivating forces behind the creation of music. Of three examples, let me mention first the study of music in culture, or music as culture, to which we have always paid lip service, but which, until recently, has been treated rather by the publication of simple ethnographic statements—an overt use of a song, the overt uses of music in a tribal group, and the like. Lately, the interaction of music with other elements of culture has been treated with more sophistication (by scholars such as Merriam and Blacking), the way in which culture types are related to musical styles has begun to be restudied, and generalized models have been constructed to explain the role of music vis-à-vis other elements in human culture (by such scholars as William Archer, Klaus Wachsmann, and Charles Seeger). A second area generally neglected in the past is that which we may (reluctantly) call performance practice, including such matters as singing style, which has been subjected to melographic and sonographic examination and to quantification by scholars such as Ruth Katz, Födermayr, and

Lomax. Third, we would like to find out what is the structure of the processes by which music comes about, be it improvisation on a model such as a maqam or a dastgah, or the development of a tune family, or indeed the establishment of a system of stylistic boundaries to which composers adhere and beyond which they are permitted to go only in exceptional cases. It is particularly interesting to see the large number of recent studies on improvisation and it is gratifying to see that this whole concept is undergoing substantial examination and revision, by scholars from Germany, North America, South and West Asia, and even historians of Western music such as Leo Treitler. Sophistication has increased in the area of tune classification, particularly in Eastern Europe, and I would venture today that an understanding of the genesis of orally transmitted repertoires is the basic reason for this trend as well. At any rate, I think it would be fascinating to examine the earlier and recent changes in our field, in such basic concepts as "the piece," "composition," "the musician," and "music."

8. We have moved from history to synchronic study and now back again to history with a new slant. Ethnomusicology has always been oriented toward history. In its beginnings, the reconstruction of man's early music was a major stimulus. Then, for a time, the field was dominated by descriptive, preservative, and functionalist studies. In the last decade we have become more interested in the processes by which music and musical cultures change and in the *kinds* of change, rather than the specific individual changes. Following as usual in the footsteps of anthropology, we have become interested particularly in the kinds of change that are engendered by the rapid modernization and Westernization of the world. We are therefore changing our conception of authenticity; in the early days of the International Folk Music Council, authenticity, as I remember it from the conference at Indiana University in 1950, was one of the hotly debated key issues. This authenticity was essentially defined as synonymous with the old, the unchanging, music untouched by the modern world. We have had to abandon this essentially romantic view.

Today many significant studies in ethnomusicology involve recent change of the sort that occurred because of the enormous impact of the West upon the musical life of the world, and because of the coming of the mass media. In the past, ethnomusicologists regarded urban music as something exceptional, as an unusual kind of rural music which required adjustments in the standard model for the field. We have moved away from that unrealistic stance. Rather than maintaining the substance of the field as rural, we now accept urban venues of music and musical culture and we even accept popular music, because its tradition is essentially oral. Most of the interest in what is new and recent comes not from the desire to study what is now socially or politically relevant, but rather because it demands an approach to the processes of history in which the

source materials change before our eyes. There is no doubt in my mind that certain new areas, such as urban ethnomusicology and studies of modernization and Westernization and culture change as reflected in music, will be far more significant contributions to an understanding of the history of music, than will the once widespread reconstruction of the musical pre-history of man. A more realistic view of the nature of 20th century culture, already heralded by Walter Wiora and now perhaps fully accepted, seems to me to be a significant "recent development."

9. Our attitude toward field work has changed. We are more interested in participating rather than just observing—although I am aware of important exceptions. We have, in recent years, come to expect of a field worker much more intensive contact with his object culture than was the case 20 or 30 years ago. It is more common now for a scholar to make a career of repeated visits to one culture. On the other hand, the "field" comes to us, as cultures throughout the world begin to broadcast and to issue records for their own use, records that we can buy, analyze, and use in some ways more confidently than elicited field tapes.

Moreover, the concept of field work has also changed. In earlier days most scholars were expected to do more or less the same thing in the field. There was even a time when the IFMC attempted to establish guidelines to standardize field research. But now the assumption is that each scholar must develop field methods and techniques of his own, in order to solve his own special problems. The notion that one goes into the field in order to comprehend the whole musical culture and to make a truly representative sampling of recordings has had to go by the wayside, as we begin to recognize the enormous complexity of musical cultures everywhere, including even the simplest, and as we begin to accept the fact that cultures are constantly changing and have always been changing.

Field methods are becoming more problem-oriented. Field techniques have also changed as technology advances. Recording devices of enormously high fidelity and, of course, sound film are the most recent significant developments. These we accept with pleasure. At the same time we are faced with yet another aspect of modernization which impinges on our field work, the role that the field worker has in the lives of the people whose music and musical culture he is studying.

I am speaking, of course, about the question of ethics in field research and the whole problem of the field worker's obligation to the people who are helping him. Is he to present himself as a buyer or as a student? Should he help people to preserve their music, whether they wish to have this done or not? Should he share with them some of the fruits of his work? We do face ethical and moral issues. To be sure, most of us do not make much money from the issuing of recordings or books about the music of folk and tribal and Oriental cultures. Nevertheless, most of us

are building careers which result from the willingness of our so-called informants to help us understand their music. Do we have the right to study the music of a tribal group if this tribal group will soon itself produce ethnomusicologists who may do an altogether different but in some ways much better job? Do we have the right to record music and information which the majority of people in a culture do not want recorded, even though the musician who is working with us is quite willing, for a price, to divulge the material? These kinds of questions have always been with us but they have only been recognized in recent times. No doubt, suspicion of the West and of modern ideas by members of many cultures throughout the world affects ethnomusicological field research. All of this has helped to raise questions in the minds of many scholars, questions whose answers will have far-reaching effects on the future of our field. Certainly this is one area in which the social and political changes in the world have had an enormous impact, and the changing relationship between field worker and informant is a significant "recent trend." A final word on this topic: the emergence of many scholars from non-European societies, whose main aim is the study of their own musical cultures, inevitably puts the concept of "the field" into a completely different perspective.

10. Ethnomusicology is being greatly influenced by other disciplines. That ethnomusicologists were influenced by the leading natural scientists, from geology and biology to psychology, of the late 19th and early 20th centuries, has been eloquently stated by Walter Graf in a paper to be published in our *Yearbook*, Volume 6. In the 1960s, ethnomusicology, at least in North America, was substantially under the influence of historical musicology, and particularly of that branch which maintained an interest in the performance by the musicologist of unusual and old musics, and in the study of performance practice. And this no doubt is in part responsible for the wide popularity of the participant-observer approach in field work and the performance approach in teaching. Today, we are again being influenced substantially again by anthropology with its interests in model building, by linguistics and particularly the wide net linguists have thrown over a number of disciplines, and by the field of dance research, which is beginning to emerge as a major force in the Academy of the Humanities. The association of music and dance has never really been denied, but only in recent years has it come to be recognized for its full significance.

11. We are redefining our categories. At one time ethnomusicology was regarded as the study of folk music. Indeed all music that was not the art music of the Western world was classified as folk music by some individuals. We were rather vague about the role of what we at one time called primitive music in this whole scheme, making it at one point coeval with folk, at other points the non-Western equivalent to the whole

complex of folk-popular-art musics found in modern industrialized societies. I suppose some of us have always been troubled by these rather facile distinctions, by the notion that one can readily distinguish art music from folk music in any culture, including our own. We have now turned away from this kind of classification to some extent, and are more willing to approach the music of a culture as a total unit. Hand in hand with this tendency goes the recognition that each culture is likely to have its own kind of musical stratification. Such diagnostic traits of art music as professionalism among musicians, a training system, and theory may all in varying ways be present in the cultures which have heretofore been thought to have no art music at all: the kinds of distinction between the "art" and the "folk" that we have come to expect in Western culture must actually almost be reversed to understand certain cultures. We are, therefore, beginning to realize that our classification does not work everywhere, and that what we once thought was simple, tribal, homogeneous has its own complex systems of social and musical stratification, perhaps analogous, conceptually, if not in detail, to the distinction made in the highly complex Western culture which has served as a model for our classifications. In essence, we are finding that each musical culture has its own distinct musical and social stratification, and its own way of classifying its music.

12. We have developed very little theory. Perhaps this is characteristic of a humanistic field. The humanities do not, as a whole, develop bodies of theory which holistically explain the major facts of the data with which they deal. But in its association with the social sciences, in its interest in comparison, in processes, and in the role of music in human life, one would expect ethnomusicology to generate theories. I mean theories that tell us how to proceed and theories that explain our findings. We have very few of these. Not long ago I taught a seminar involving recent change in musical cultures of the world, and I found myself hard-pressed to provide students with any body of theory specific to music around which we could work. Indeed, I found that practically the only kind of theory that has been developed to account for musical change is the well-known and already much criticized concept of syncretism developed by Herskovits, Waterman, and Merriam. It is important to realize that in earlier days, scholars such as Sachs, Hornbostel, and Lach made approaches to this question. But their theories are not really taken very seriously by the scholars active today, and these younger scholars have not developed materials to take their place, perhaps because they are enveloped in a kind of particularism that, I must admit, goes contrary to my earlier statements about the comparative nature of the field.

I hope I will be forgiven for turning what was originally intended to be a discussion of recent developments into a critical, exhortative, and in some ways negative and pessimistic, though perhaps in other ways en-

thusiastic, appraisal of the state of our art. I am also sorry that it has not been possible to discuss certain areas, such as the study of attitudes and of aesthetics, tune classification, computer applications, the attention paid to minority cultures, and other trends, which surely form an important component of recent developments. I have not discussed the enormous recent changes in world musical cultures, and of the impact of these changes on the musical awareness of the world's Western or Westernized public—perhaps because they have not been all that influential on our work as yet. I have consciously avoided discussion of many specific studies because they are too numerous, because some of my points are taken from between the lines, and because I feel that it would be offensive to single out a few significant works. But since this paper is to lay the groundwork for discussion I believe that some generalizations about our current place in the history of ideas are useful for assessing just where we seem to be headed.

NOTE

¹ This article was originally prepared as a lecture for presentation at the 23rd Conference of the International Folk Music Council, Regensburg, in August 1975, and entitled "The State of Research in Orally Transmitted Music." It was also given as a lecture in a seminar at the Columbia University Center for Studies in Ethnomusicology in February 1975. I should like to apologize for its informality, and to explain that it was indeed intended for oral presentation. And I should like to express my gratitude to Professor Dieter Christensen for suggesting that I write it in the first place, and for inviting me to present it at Columbia, where I found the reactions of the student and faculty audience most stimulating.

JOHANN MEDERITSCH,
CALLED GALLUS (1752-1835):
COMPOSER AND COPYIST IN
VIENNA AND LEMBERG

Theodor Aigner

The focal point of the musical world in the second half of the 18th century was undoubtedly the city in which Joseph Haydn and Wolfgang Amadeus Mozart experienced their artistic maturity. It is thus not surprising that Vienna also produced countless lesser musicians. Their names were on everyone's tongues, but great renown faded just as rapidly as new names emerged.

One of these musical comets was Johann Gallus Mederitsch. On 27 December 1752, he was baptized Johann Georg Anton Gallus in St. Stephan's church. "Gallus" was thus one of his baptismal names. The composer later preferred to use "Gallus" alone and in many memoranda and on some title pages of his works only this name "Gallus" appears, without the family name of Mederitsch. The name "Gallus" was already borne by his father, an orchestra and church musician. He may have been the first to introduce the young Gallus to music. Later Gallus was a student of Georg Christoph Wagenseil (1715-1777), who also taught the Empress Maria Theresa. Wagenseil, in turn, had been a student of Johann Joseph Fux (1660-1741) and of Matteo Palotta (1680-1758). Thus Johann Mederitsch, *detto* Gallus, could boast of great teachers and associate himself with the most important representatives of the Viennese School.

FIRST EMERGENCE AS A COMPOSER

Only at the age of twenty-seven did Gallus Mederitsch first come to the attention of the public. On 26 August 1779, his *Singspiel Der redliche Verwalter* was given its première in the Bauernfeindsaal of the Vienna Josephstadt as was, two months later, on 14 October, his melodrama *Arkatastor und Illiane, oder: So wird Grausamkeit bestraft*. Later the opening of the theater in the Vienna Leopoldstadt under the direction of Carl von Marinelli offered the thirty year-old Gallus the opportunity to become better known as a composer. Within the last quarter of 1782, three of his *Singspiele* were first performed there: *Die Seefahrer* on 14 October, *Der Schlosser* on 14 November, and *Die Rekruten* on 6 December. How enduringly Mederitsch addressed the spirit of the Vienna suburbs is shown by a glance into the manuscript records of the Kapellmeister at the

Theater in the Leopoldstadt, Wenzel Müller: the three *Singspiele* remained in the repertory there for twelve years.¹

The Viennese *Singspiel* experienced its heyday under Kaiser Leopold II. Names like Florian Gassmann, Ferdinand Kauer, Wenzel Müller, Johann Schenk (also a student of Wagenseil), and Franz X. Süssmayr, to name only a few, characterize the colorful life of contemporary suburban art: childish frolic, glittering stage decorations, and happy, light music. And this was the environment that influenced and molded Mederitsch and his music.

After his successes in the Leopoldstadt Theater, Mederitsch ventured a leap forward: on 9 February 1783 in the K.K. National-Theater the première of his *Singspiel Rose, oder Pflicht und Liebe im Streit* occurred. After two performances, however, it was removed from the theater's repertory. Four days before that performance, in a letter to his father dated 5 February 1783, Wolfgang Amadeus Mozart rendered a judgment that unfortunately reveals little about his opinion of the qualities of the music of Mederitsch, if one disregards the characterization of "galimatias":

. . . this coming Friday, that is, day after tomorrow, a new opera will be given, the music—a galimatias [sic]—by a local young man, a student of Wagenseil, whose name is Gallus Cantans, in arbore sedens, gigiri faciens; presumably it will not please many, but indeed better than its predecessor, an old opera by Gasman [sic]: *La notte critica*, in German, *Die unruhige Nacht*—which lasted 3 performances only with difficulty . . .²

That Mederitsch left no satisfying impression upon the Hoftheater with this *Singspiel*, which aroused little excitement musically or textually, cannot be solely the fault of the insignificant libretto; that which was capable of filling the listeners and viewers of a suburban Viennese theater with enthusiasm was not guaranteed a success at the K.K. National-Hoftheater.

In the coming years, Mederitsch occupied himself chiefly with chamber music. In 1784, through Schott in Mainz, his string quartets Opus 1 and 2 appeared in print. Over a period of three decades, Mederitsch came to grips with the medium of chamber music and left three piano quintets, forty-three string quartets, three string trios, and five string duos.

MEDERITSCH AND SCHIKANEDER

The great success of his *Die Zauberflöte*, with music by Wolfgang Amadeus Mozart, must have led the librettist Schikaneder into writing similar works patterned in both content and external trappings after that model. But only in 1797, after several vain attempts, did he achieve another meaningful success: on 25 October, in the Freihaustheater of

Vienna, occurred the first performance of "Eine grosse heroisch komische Oper" *Babylons Pyramiden*. Mederitsch wrote the music for the first act; the Kapellmeister to the Kurfürsten of Bavaria, Peter Winter, composed the second act. The action takes place in pyramids, temples, royal tombs, and subterranean passageways. Ceremonial acts, animal scenes with serpents and crocodiles, ghostly apparitions—all this was aimed at the audience's lust for show and designed to call forth the memory of *Die Zauberflöte*. For Mederitsch, this was all suitable material for musical setting. Crowd scenes made effective choruses possible: with one chorus on the open stage and the other in the temple, he achieved impressive effects. In a manner similar to that of Tamino's flute-playing in *Die Zauberflöte*, Timoneus' shawm-playing pervades the entire opera.

The best-known piece from *Babylons Pyramiden* is the priest-choir at the end of the first act. The mystical effect, which emanates from the priest-choir off-stage, is here further expanded because the four male voices stand in contrast to the string quartet with soprano.

HIS PIANO STUDENT FRANZ GRILLPARZER

Mederitsch had to earn his living largely through giving piano and violin instruction. One of his piano students at the turn of the century was Franz Grillparzer, later one of the greatest poets of Austria. To Grillparzer we owe a superior character-study of his teacher, which naturally, as the reminiscence of a mature man upon his boyhood, reflects emphases rather different from those he must have felt at the time of the occurrences. Grillparzer writes in his autobiographical studies that Mederitsch gave piano instruction merely to avoid starvation, "although it was unpleasant enough for him." Mederitsch was very fond of Grillparzer, but his piano instruction was nothing more than "a series of childish pranks"; one would describe the fingers with laughable names: the dirty one, the clumsy one; teacher and student seemed to have spent more time crawling around the piano than playing on it. Gallus could only appease Grillparzer's mother "by fantasizing and fugueing in the second half of the hour, and often longer, so that her heart laughed within her body."³

HIS LAST YEARS IN VIENNA

In the year after the première of *Babylons Pyramiden*, the *Allgemeine deutsche Theaterzeitung* (Pressburg, 1798) announced the first performance of the play *Jolante, Königin von Jerusalem*, for which Mederitsch had written the music for the entr'actes. Mederitsch had already experimented with this genre two years earlier and with great success. On 5 March 1796, in the Vienna Freihaustheater (Theater an der Wieden), there took place the first performance of the five-act tragedy *Macbeth*, by

Shakespeare, for which Mederitsch had written the incidental music as well as an overture for each act. The three marches and the witches' choruses became well-known far beyond the confines of Vienna.

In 1808 the play *Die Bestürmung von Smolensk*, by Johanna von Weisenthurm was presented in the Vienna Burgtheater; Mederitsch composed the overtures to the five acts and one entr'acte. In 1811, in the theater in the Leopoldstadt, two more plays with incidental music by Mederitsch were presented: on 30 March the romantic play *Krakus, Fürst und Erbauer von Krakau*, by J. B. J. Hirschfeld, and on 4 December, *Hamlet* by Shakespeare. As Johann Mederitsch approached sixty years of age, one might expect his creativity to be at an end, but the last twenty years of his life belie that assumption.

HIS OLD AGE IN LEMBERG

At the age of sixty-five, Mederitsch moved to Lemberg, but not to retire there as a crotchety old man and embittered artist. That which we today possess by his hand from these years exhibits unbroken vitality: Mederitsch copied more than six thousand pages from the works of composers of the 17th and 18th centuries. The extremely painstaking and correct copies that have come down to us are exhilarating to any musical heart. Works like the *Art of Fugue* (BWV 1080) and the *Musical Offering* (BWV 1079) of Bach and the *Adoramus te, Christe* (KV⁶ Anh.A. 10) of Quirino Gasparini stand next to *unica* of Mederitsch's teacher Wagenseil; whole operas, like *Egeria*, *Festa Theatrale* and *Alcide al Bivio* by Johann Adolph Hasse next to Händel compositions not mentioned by Chrysander; all in all, there are approximately four hundred works by thirty-two composers.⁴

Certain questions arise concerning the manner in which Mederitsch obtained all this material and for whom he copied it. The answers are to be found in the copied music itself. Repeatedly, the name Kirnberger appears, as composer as well as arranger. Johann Philipp Kirnberger (1721-1783) was, until the mid-18th century, Kapellmeister and music director "with the young nuns of the Bernhardine order at Reusch-Lemberg."⁵ It may be consequently assumed that Mederitsch was employed at the Lemberg nunnery in a capacity similar to that of Kirnberger. That seems to be the only satisfactory answer to the unspoken question that has disturbed everyone who has concerned himself with the "singular" Gallus Mederitsch: What motivated this man to move out of the city of his greatest successes in order to settle for the rest of his life in a place like Lemberg? Only a nunnery could, in my opinion, offer an old eccentric—which Gallus had certainly become—the necessary understanding and the artistic activity of which he was still capable. As organist and music

teacher, the famous composer, who had not had an easy time of it during most of his life, must certainly have been well cared for by the nuns.

HIS COUNTERPOINT STUDENT, MOZART'S SON

In the last part of Gallus' life occurred his meeting with Wolfgang Amadeus Mozart (the younger). Walter Hummel writes:

Studying with Gallus, the well-grounded practitioner of all branches of music, Mozart made up with all diligence for the unavailable neglect of earlier times. He valued Gallus beyond measure and found in him a fatherly friend. The manner in which Wolfgang thanked his teacher and friend is revealed in a letter that he directed in December 1827 to the famous pianist Ignaz Moscheles in London in order to interest him in Gallus and to win the financial assistance that Gallus so urgently needed. In no way did he merely satisfy himself with attempts to create outside help for the old man, but instead staked his own surely not overly abundant means in order to help the old man struggling in need and misery: for six years until Gallus' death, Mozart single-handedly supported him.⁶

This letter of 25 December 1827 from Mozart to Moscheles contains much that is incorrect and exaggerated. For example, at the time Mederitsch had been living in Lemberg for ten years, not twenty years; his daughter, who died at the age of thirteen, could not have been married; and his *Macbeth* score which, according to Mozart's son, he "sent with a faithless friend to England," was included in Mederitsch's estate. Yet this letter throws a rather benevolent and good light upon the man and musician Gallus Mederitsch, who remained young and vigorous well into old age.

The central part of the letter deals with Mederitsch's financial distress. Mozart's son introduces him as "the most glorious renowned composer," whose "classical music to Shakespeare's tragedy *Macbeth*" must be known to Moscheles, as it "has created a great sensation all over"; and today this man, "perhaps the greatest contrapuntist of our time," must struggle with poverty and need. Mozart appeals to Moscheles without Mederitsch's knowledge, because the latter is "much too proud and noble-minded to accept charity."

This letter by Mozart's son is the last contemporary account. Yet, Mederitsch lived eight years more; he died on 18 December 1835, in Lemberg. Mederitsch bequeathed his entire musical estate to his friend and student Wolfgang Amadeus Mozart (the younger), who in turn left the greatest part of his possessions, in 1844, to the Dommusikverein and Mozarteum, which had been established in Salzburg in 1841.⁷ When these

two institutions were divorced from one another in 1880, the Mozart estate was divided between them. One portion remained in the Mozarteum (today the Internationale Stiftung Mozarteum), the other in the Dommusikarchiv. During the cataloging of the works of Mederitsch, it became evident that most of his compositions exist in autograph in the Internationale Stiftung Mozarteum and in the Salzburg Dommusikarchiv.

A quintet fragment and a piano concerto, both in the library of the Gesellschaft der Musikfreunde in Vienna, a trio from the opera *Babylons Pyramiden* in the music division of the Austrian Nationalbibliothek (Vienna), and a quintet fragment in the conservatory collection of the Bibliothèque nationale in Paris, all carry Aloys Fuch's verification of authenticity, "Mederitsch-Handschrift." In the Vienna Stadtbibliothek lies an autograph of the priest-march from *Babylons Pyramiden* with the remark, "Authenticity guaranteed by Adolf Müller." Thus through the clear identification of the Mederitsch autographs, the most productive copyist of Mozart's son's estate was identified and assigned to the first third of the 19th century.

INTERPRETATION OF HIS MUSIC

His church music shows Mederitsch to be a musician who, as a student of Wagenseil, enjoyed good counterpoint instruction: a profound knowledge of theory, clean voice-leading of the individual parts, and knowledgeable instrumentation characterize his works. At the same time, the dependence upon the masses of Joseph Haydn is unmistakable. Mederitsch writes the "classical mass" of the Baroque period. Arias, duets, alternation between soloist and choir, and long orchestral passages have made their entry from the opera into the realm of church music.

With Mederitsch, we are dealing with a musician utterly at home with Fux's *Gradus ad Parnassum*, from which he could never completely divorce himself, even though he also honestly endeavored to forge new paths of his own. With regard to instrumentation, he shows himself to be complete master of the string body, which has to carry the main burden of the harmonic foundation. The winds are employed nearly without exception as reinforcement in tutti passages of the chorus. Striking, in this regard, is the fact that Gallus never utilizes the trombones in support of the individual voices, as might correspond to contemporary usage, but instead delegates this function to the oboes and bassoons, while the three trombones are employed completely independently. In his church music, Mederitsch furnished evidence of a deep religious piety. He shows that he is capable of the most tender sentiments, but also of the most passionate outbursts of feeling and their musical and orchestral realizations.

His *Singspiele* are stamped with wholesome, popular, often drastic

humor, thus his simple, folk-like melodies. They must have been sung without strain by actors, most of whom had enjoyed no thorough vocal training, and absorbed without difficulty by the listeners. Material and content were drawn from country life, the lives of craftsmen or soldiers, indeed the world of the modest, sentimental, middle-class suburban Viennese. Mederitsch trod here in the footsteps of Hiller and Dittersdorf; he understood masterfully how to express rustic simplicity and cunning and brought to his music a roguish charm that must have made a convincing and enduring impression upon the listeners.

His music for the theater belongs, along with the string quartets, among his best. With *Macbeth*, the orchestra was expanded to proportions enormous for the time: two each of flutes, clarinets, oboes, bassoons, four horns, two trumpets, five kettledrums, and strings; in addition, there were trumpets and drums onstage. The interchange of tone-colors paints magical tone-pictures; contrasts between wind groups and string body delineate a musical kaleidoscope of impressive beauty. With *Macbeth*, we have before us a music for theater that could scarcely have been more originally contrived. The meows of the cats, the hooting of the owl, the croaking of the frog, the bleating of the goat, the ghostliness of the witches' appearance, the torn inner strife of Macbeth, all is convincingly portrayed in music. One understands why Mozart's son mentioned specifically this music in his letter of entreaty to Moscheles.

With *Macbeth*, Mederitsch shows himself to be master and connoisseur of the orchestra; here he works with tone-colors and introduces contrasts between individual groups. Violoncellos and horns go their own ways; the kettledrums are independent of the trumpets; indeed, five kettledrums even function soloistically in order to render the sinister quality of the witches' cave tangible. Trumpets, clarinets, and drums off-stage achieve special effects. Frenzied chromatic runs can only be executed practically by means of glissando. The woodwinds have uncommonly difficult problems to overcome. This *Macbeth* music alone should have made Gallus Mederitsch unforgettable, immortal. That it made a lasting impression upon Franz Grillparzer we know from his autobiographical studies.

In number the string quartets occupy the greatest space within the work of Mederitsch. No fewer than forty-three quartets exist, of which twenty appeared in print during the composer's lifetime. In the management of the individual strings, Mederitsch successfully endeavored to write suitably for the quartet medium. All his quartets show that the first violin under no circumstances assumes a virtuoso leadership role, as it did in the early string quartets of Joseph Haydn and even in the *Quatuor brillant* of Giovanni Battista Viotti (1755-1824). Mederitsch explores all possible group combinations: violoncello and first violin stand in opposition to the two middle voices, the higher voices in contrast to the two

lower voices, viola and first violin are paired against the violoncello and second violin, etc. But for the very reason that he does desire to treat all voices equally, it is difficult for Mederitsch to free himself from the confines of counterpoint. He never acquired the capability of writing an "Obligates Akkompagnement." When he attempts to achieve at least a "Galanter Stil," his harmony becomes a source of embarrassment. A colorful mixture of tonalities in places where he does not compose contrapuntally, general chromatic uncertainty, and enharmonic confusion are all beloved devices of his. In addition, there are, of course, the long cantabiles of the slow movements and the burlesque, playful nature of his minuets and scherzos; in these he is a genuine "Musikant."

In the final analysis, Mederitsch wished to imitate neither Haydn nor Mozart, nor even Beethoven. He wrote his quartets in the manner he had learned in the school of Fux and Wagenseil, and he was practically never able to surpass this school, let alone forsake it. Despite many original inspirations, his music was agreeable *Gebrauchsmusik* in a time and a city that had never completely forgotten the heyday of counterpoint. The fact that in 1951, 170 years after their creation, six Mederitsch quartets were printed by Schott in Mainz under the name of Wolfgang Amadeus Mozart, demonstrates that his music has made an impression upon our own century.⁸

(Translated from the German by Peter Dedel)

¹ Wenzel Müller, handwritten diaries (Vienna: Stadtbibliothek, Signature 51926 Jb). A typewritten version, transcribed by Hildegard Gaul, is in the author's collection.

² Wolfgang Amadeus Mozart, *Briefe und Aufzeichnungen*, complete edition and with commentary by Wilhelm A. Bauer and Otto Erich Deutsch, vol. 3 (Kassel: Bärenreiter, 1963) p. 254.

³ Franz Grillparzer, *Autobiographisches/Studien* (Vienna: R. M. Rohrer, 1949 [Gesammelte Werke, 5]; Bergland Verlag, 1952) p. 28.

⁴ See Theodor Aigner, *Thematisches Verzeichnis der Werke von Johann Mederitsch detto Gallus* (Munich: Musikverlag Emil Katzbichler, 1974 [Musikwissenschaftliche Schriften, 3]). Also Aigner, "Johann Gallus Mederitsch: Komponist und Kopist des ausgehenden 18. und frühen 19. Jahrhunderts," *Die Musikforschung* 26 (1973) pp. 341-344.

⁵ Siegfried Borris, *Kirnbergers Leben und Werk und seine Bedeutung im Berliner Musikkreis um 1750* (Kassel: Bärenreiter, 1933) p. 17.

⁶ Walter Hummel, *W. A. Mozarts Söhne* (Kassel: Bärenreiter, 1956) p. 152.

⁷ Walter Senn, "Das Vermächtnis der Brüder Mozart an 'Dommusikverein und Mozarteum' in Salzburg," *Mozart-Jahrbuch* 1967, pp. 52-61.

⁸ Hermann Abert, "Sechs unter Mozarts Namen neu aufgefundene Streichquartette," *Mozart-Jahrbuch* 3 (1929) pp. 11-58; Karl Pfannhauser, "Unechter Mozart," *Mitteilungen der Internationalen Stiftung Mozarteum* 8 (1958) no. 3/4, pp. 8-14.

AN ANALYSIS OF THE PITCH ORGANIZATION IN BOULEZ'S "SONATINE" FOR FLUTE AND PIANO

Carol K. Baron

Over the past twenty-five years composers have come to realize the limitless possibilities of twelve-tone composition. However, with the exceptions of the twelve-tone classicists Schoenberg, Berg, and Webern, the personal vocabularies which these composers have evolved have remained, for the most part, rather obscure to others. On the level of what constitutes structural unity very little is known. For example, how do the twelve tones function on the background level—if they do? What are the techniques composers use to bring about our perception of a logical form or a coherent experience? The following analysis of Pierre Boulez's

DIAGRAM 1: (shaded areas indicate combinatoriality)

		P →												
		0	1	2	3	4	5	6	7	8	9	10	11	
I	0	C	B	G	C#	G#	E	Eb	A	D	Bb	F	F#	11
↓	1	C#	C	Ab	D	A	F	E	Bb	Eb	B	F#	G	10
	2	F	E	C	F#	C#	A	Ab	D	G	Eb	Bb	B	9
	3	B	Bb	F#	C	G	Eb	D	G#	C#	A	E	F	8
	4	E	Eb	B	F	C	Ab	G	C#	F#	D	A	Bb	7
	5	G#	G	Eb	A	E	C	B	F	Bb	F#	C#	D	6
	6	A	Ab	E	Bb	F	C#	C	F#	B	G	D	Eb	5
	7	Eb	D	Bb	E	B	G	F#	C	F	C#	Ab	A	4
	8	Bb	A	F	B	F#	D	C#	G	C	Ab	Eb	E	3
	9	D	C#	A	Eb	Bb	F#	F	B	E	C	G	Ab	2
	10	G	F#	D	Ab	Eb	B	Bb	E	A	F	C	C#	1
	11	F#	F	C#	G	D	Bb	A	Eb	Ab	E	B	C	0
		11	10	9	8	7	6	5	4	3	2	1	0	
		← R												

Sonatine for Flute and Piano tries, therefore, to contribute towards an understanding of the possibilities of twelve-tone usage.

Written in 1946, *Sonatine*¹ was, according to Boulez, "my first venture into serial composition as I understand it."² Massimo Mila captures something of the spirit of the piece when he says "it displays a self-willed determination of form which forces the various episodes . . . into a framework of a single, uninterrupted intensely tart movement."³ Susan Bradshaw and Richard Rodney Bennett, in their article "In Search of Boulez," refer to Golea's interviews with Boulez when they state: "Boulez has always insisted that his works are, in certain respects, impossible to analyze because, within a given framework, the details 'follow one another as directed by the inspiration of creative fantasy.'" However, the assumption that, therefore, the pitches of the musical ideas cannot be traced to the row, is erroneous: the series is more than a "shape" "in the mind of the composer."⁴

The ordered series of twelve notes is only one use of the row for Boulez. His repudiation of the row as theme⁵ and his consequent conception of a style which suited him, already find expression in *Sonatine*. Here the motives as well as the totally athematic material are derived from characteristic intervals, shapes, symmetries, and combinatorial aspects of the row. In the subsequent analysis one will find that the characteristics of the row which are discussed are those which revealed themselves, through the music, as characteristic of the piece as a whole.

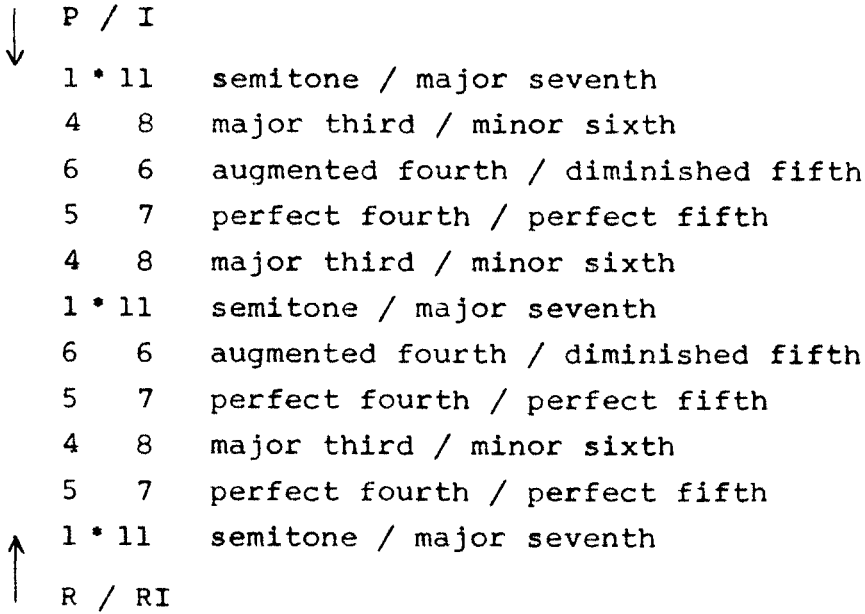
* * *

The initial series of notes of the piece presents the row. The permutations of the row (see Diagram 1) are used as the basis for the foreground material which follows. Study of the row reveals the following interval content (see Diagram 2); note that the series contains no major seconds/minor sevenths or minor thirds/major sixths.

In "Musical Technique" in *Boulez on Music Today*, Boulez speaks of the "rational use" of familial interval patterns in discussing his *Third Sonata*. He maintains that this technique "is one of prime importance if use is to be made of the symmetry of elementary figures in the internal structure of a series and the functions which derive from it."⁶ He discusses the ambiguity which is created by partially symmetrical series: "By means of this ambiguity isomorphic figures can create privileged linking functions as well as series of privileged networks."⁷ The technique of linking and overlapping elements is already much favored in this early work.

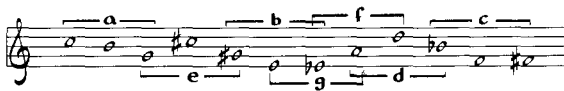
The row used in *Sonatine* has a number of isomorphically related segments: a, b, c, and d all contain the same intervals (see Example 1). Since the series begins and ends with a semitone and also has one between the two hexachords (creating a kind of symmetry), the semitone can be

DIAGRAM 2



used as a linking device (see Example 2). Note also that between the first and last notes of segments d, e, and f the semitone/major seventh relationship can be created when these trichords are used as simultaneities; in addition, segments a and g both begin with a semitone and then add a

EXAMPLE 1



different interval. Furthermore, isomorphic segments exist in different forms of the row. The pitch content of the prime (4-9), the inversion (4-9), the retrograde (2-7), and the retrograde inversion (2-7) on any given note are identical (see the darkened areas of Diagram 1), a type of combinatoriality which is even applicable down to the level of identical dyads. Indeed, all four aspects of the complete row beginning on the same note share identical dyads.

Curiously, the juxtaposition of the first and last notes of a given row, always a tritone, is carefully avoided. In the coda, beginning in measure 492, F#s and C#s have a strong feeling of dominance, resolving into Cs, Bs and Fs. The G-F# (or F#-G) the penultimate dyad in the piano, re-

EXAMPLE 2

The image shows four staves of musical notation in treble clef. The first two staves are grouped together, and the last two are grouped together. Each staff contains a sequence of notes with fingerings indicated below them. The labels above and below the staves are as follows:

- Staff 1: P-C (above), R-C (above)
- Staff 2: P-G# (above), RI-A (above)
- Staff 3: I-B (above), RI-B (above)
- Staff 4: R-D (above), I-E# (above)

Fingerings are indicated as 0 1 2 3 and 5 6 7 8 below the notes on each staff.

solving to C-B (or B-C) is amusing in its dominant-tonic relationship. G-F# begins the prime which ends with G-C#, but here, too, the juxtaposition of the beginning and the end of a series is avoided: they do not appear as simultaneities in moments of drama. This is worthy of note and unusual. The row seems to contain, in itself, its own polarity and tension. Also, this procedure is interesting by way of contrasting it to Schoenberg's use of entire series which represent contrasting "tonal" or content areas.

Finally, a hierarchy of notes seems to exist in *Sonatine*: those rows on C, F, and B dominate. (Some of the implications of this will be explored below.) The first and second pages of the piece contain an interplay between C-B and F-F#. C# is also an important note, often appearing with D or C.

Many of the above-cited characteristics of the series, and their implied potential, are presented in the opening section—not all. Examples of overlapping occur immediately. The first series, P-C, ends in F-F#. These notes are also O-1 of the inversion on F which begins at the end of measure 2; I-F, O-6 are given. In measure 4 the piano part is produced from I-B, O-5. The flute presents steps 7-11; here the semitone interval is developed motivically by altering the pitch order and linking steps 6 and 8, and 7 and 9, producing semitones. Then F#-F, steps 10 and 11 of I-B, are treated as steps 1 and 0 (a reversal) of I-F, and the entire contents of this series follows, ending with C and B (steps 10 and 11). C and B is also 0 and 1 of R-C which appears in measures 7, 8, and 9, with the steps in correct order, divided between the flute and piano. In measure 10 the flute begins R-C (the piano can be interpreted as R-C, 4-9 or P-F#, 2-7); the series ends in the piano with dyads of steps 6 and 7, 8 and 9, and 10 and 11. (These last six notes in the piano are also P-F#, steps 0-5.)

In the flute part in measure 13 and 14, steps 2, 3, and 4 (G, C#, Ab) and 6, 7, 8 (Eb, A, D) of P-C are used without using the first two steps of the series (in Example 1 these are segments e and f). The Eb, step 6 (measure 14), is pivotal because it is followed by steps 7, 8, and 9 in correct order in measures 18 and 19. In the piano (measure 16) there is again a series of semitones (major sevenths). In I-Eb these notes are 2-11 of the series. In Example 1 these steps make up segments e and d plus the semitones of steps 5-6 and 10-11. Measures 23-25 again have groups of major 7ths. These represent the semitone dyads that appear naturally in the rows grouped by twos, but they are gathered from different permutations. C-B, G-Ab, and F#-F are 0-1, 5-6, and 10-11 from I-B: C#-D, Bb-A, and E-Eb derive from R-E as steps 5-6, 10-11, and 0-1. (Together all 12 notes are represented). In measures 27-28 the C and the B are steps 5-6, F#-C#-F are 7-8-9, and Bb-A are 10-11 of I-Eb. The G-C#-Ab of measure 29 appears (as in measure 1) as 2-3-4 of P-C. The preceding F-F# are the last two notes of P-C. The same use of the other intervals natural to the row can be found, but the semitone/major seventh is by far the most frequently used interval. To continue with the preceding type of description is unnecessary, since the same principles are followed throughout the piece.

Various motives are constructed from the row, which contain the characteristics of the row itself, as previously defined. Compare the material of the opening measures of the piece to that in measures 29 to 33 and measures 507 to 510. The trichord G-C#-A in the right hand of the piano part appears in all three places as a simultaneity. It thus surrounds the lyrical, fantasie-like introduction, and might be said to circumscribe the entire piece, since it is heard at the opening and then just before the end.

The segments in Example 2 are exploited as the source for the motive of the *Rapide* section (beginning in measure 32). It can be found in measures 33, 40, 51 (in retrograde), 56, and 67. It always begins with a major seventh expressed in quarter notes, which is followed by a dotted quarter, a sixteenth, and an eighth note. It has a lyrical quality in contrast to the jagged lines and rhythms surrounding it, with which it forms a polyphonic texture. This surrounding material is from full series as well as characteristic segments and intervals.

Another motive derived from the row is developed through the section *Très modéré, presque lent*. The motive here consists of trills and quick arpeggiated flurries of notes. The length of the flurry increases with each appearance. The row origin of the notes of the flurry becomes evident only by studying the more developed ones; we then see that it is made up of dyads which are derived from a specific characteristic of the row, used motivically: namely, the linking of the semi-tone/major seventh. The flurry in the first measures of this section, measure 97, can be understood only as an incomplete form of the motive.

Other motives appear in the body of the work, such as groups of semitones or major sevenths or linked dyads which become familiar through reiteration but have less distinction motivically. However, a form-defining motive is made up of just such a combination of elements in the *Rapide* section beginning in measure 296. Here, small groups of discontinuous dyads from specific rows overlap with such groups from other rows. For example, F-F# and G-G# are dyads in the same row form; G-C# is the pivot and the following C-E belongs to another row form. Measures 296 to 340 are described by Boulez in "Proposals" as "an athematic passage in which the development is made without any support from the marked contrapuntal cells."⁸ Rhythmic cells are used here in all three voices in an assigned pattern, but they are unrelated to any melodic cells.

Measure 342 returns to the piano writing of the first *Rapide* with its jagged rhythms and registers, and the *Rapide* motive (measures 362, 368, 378 etc.). The *Très rapide* which follows (measures 378 ff) combines the scherzando motive (as yet to be discussed), jagged lines, characteristic intervals, and complete statements of the row in even staccato notes. From measure 430 on, the elements are combined, in thicker three voiced polyphonic writing, with a continuous accelerando to the climax and "deceptive" cadence in measure 491.

The *Très modéré, presque lent* which follows is essentially a coda which calls back key fragments from the entire piece. Those motives which define form are integral parts of individual sections or "blocks" of sound. Susan Bradshaw and Richard Rodney Bennett in their article "In Search of Boulez," say the following about Boulez's use of the principles of "block" technique:

This principle is to be found throughout the composer's work, in all three periods. It grew from his great admiration for the music of Stravinsky written between 1913 and 1920 (especially the *Symphonies for Wind Instruments*) and was further influenced by many works of Messiaen. Whether the musical material is quasi-static as in 1918 Stravinsky, or in a state of continuous development as in Boulez, it is obvious that conventional ideas of statement, contrast, development and reprise are no longer valid and since Boulez is so strongly opposed to the "automatic" or even "non-existent" forms of much recent music, he has had to find his own solution.⁹

The construction of this piece exists on two levels; one level reveals individual sections, which make up the large form, with short interruptions recalling material from other sections.¹⁰ The element of "continuous development" which is mentioned above is certainly not the "development" of classical definition but, rather, signifies the variety of technics used and their combinations. "Dynamism" and "stasis" on the level of

the individual blocks is developed through registral and rhythmic techniques. In "Proposals," an article written approximately two years after *Sonatine*, Boulez says:

It seems to me imperative that, in the technique of twelve tones, in order to obtain kinds of values corresponding to such tonal values as modulation, one should have recourse to totally different procedures based upon the mobility or fixity of the notes. This is to say that in mobility, each time a note occurs it will be in a different register; and in fixity, the contrapuntal scheme will be formed within a certain disposition in which the twelve tones will each have a well-determined place.¹⁰

The key to the perception of the second level of construction may be found in the recurrence of C-Eb; interestingly, the minor third is not one of the intervals of the row. The first two bass notes of the piece are C and Eb, the notes in the lowest register on the first page. G to C in the flute part (measures 6 and 7), each note having a comparatively long duration, establishes some feeling for C. C, in measure 10, is the highest note on page 1. The repeated low Cs going to Eb in measure 26 are answered in measure 33 by Eb to C (the beginning of the *Rapide*). By the end of the piece (measure 508) the C-Eb appears again, now as an integral part of the "scherzando motive." By tracing the occurrence of minor thirds and this motive, some idea may be gained as to how these elements relate to each other on a structural level. After measure 33, the appearance of a minor third in measure 97 can be discounted because of the cumulative way in which the motive of the *Très modéré* is built, as described above. The next appearance of the minor third (expanded to a minor tenth) is meaningful: in measure 105 and 106—part of the *Très modéré*—what will become the motive of the *Scherzando* appears for the first time, beginning on G in the flute part. In measure 140, just before the *Scherzando* section begins, the notes C and Eb are again isolated in the bass of the piano. (Notice that the same low register is generally used when the *scherzando* motive appears on C and, sometimes, G in the piano). The flute then takes up (measure 142) the minor third beginning on G, and this time states the *scherzando* motive in the rhythm that is to characterize it in the next section, the *Scherzando* itself. The minor third appears again, with the motive, in measures 146-147 and 149-150 of the piano part.

The *Scherzando* section then begins with a three-voice polyphonic texture derived from the *scherzando* motive. The opening statement of the motive is on F#. In measure 153 the motive appears on C for the first time in the body of the *Scherzando* (see Example 3); here the figure is notably more transparent than in the surrounding polyphonic complex. This is also the case when the motive appears again on C in measure 195 in the

EXAMPLE 3



piano and in measure 199 in the flute part. These clear, full statements of the motive on C, fully anticipated by the previous recurrences of C-Eb, have structural importance which is created through redundancy. Moreover, a singular, though hidden, relationship exists between the motive and the row, creating a totally integrated structure. Remember, the most characteristic intervals of the motive, the minor third and the minor seventh, do not exist in the row itself. Nevertheless the motive is made up from the pitch content of steps 3 to 8 of the row on B (see Diagram 1). This six-note motive becomes the origin of a new matrix, the source of the melodic material of the *Scherzando* sections.

The interruption of the *Scherzando* by the slower, lyrical *Très modéré* episode (recalling the previous *Très modéré* and the Introduction) leads to a cadential section in measures 217 to 222 which is, in effect, repeated from measures 503 to the end of the piece. The *scherzando* motive concludes the former section with an appearance on G; at the end of the piece the motive is on C. The dominant-tonic relationship is obvious.

After the *Scherzando*, a *Rapide* section consisting of dyads from overlapping series comes to a dramatic end on high C in the flute (measure 342), with an F# in the bass. This combination is rare. The C-F# represents the capsulation of the prime series on F# which is then stretched out over eight measures of the bass (measures 342 to 349) and ends very prominently on C. (The next few measures contain notes in the low register which are among those important in the hierarchy of notes.)

A slower interlude, beginning in 362, contains the motive of the first *Rapide* (first in the flute part). The *Rapide* returns but now the motivic material consists of parts of the *scherzando* motive and overlapping twelve note series. The rhythmic pattern is largely made up of staccato notes of equal duration. In measures 386 to 391 the *scherzando* motive on C appears in its usual register. It then appears on E (measure 394), on G# (measure 395), G (measure 396), again on G# (measure 399), and then on G in measure 400 with a major third. The line ends on Eb—C, very exposed, in measure 401. The Eb—C is repeated in measure 403. In measures 433 434 there is a leap into the lowest bass register when the *scherzando* motive in C appears in retrograde. In measure 474 the *scherzando* motive appears in G and is soon repeated, emphasizing the diatonic dominant. Four

measures from the end of the piece, the *scherzando* motive, beginning with the minor third on C, very dramatically recalls the end of the introduction, but here the motive is complete.

The C minor sonority, then, defines and limits the total musical area. And the *Scherzando* motive which grows out of the minor third, also exists throughout. Beginning with the first two bass notes C-Eb, a redundant and unifying element is thus present which dips in and out of the design. It becomes the motive of its own section, and is linked to other motives in the process of developing a complex, fluid, but totally integrated form. Boulez's conception of twelve-tone technique led him to develop a row whose characteristics were responsive to his creative intuition in direct and fascinating ways. His compositional procedure combined defined "tonal," serial, rhythmic, and registral parameters; the process led to the development and integration of motivic material through reiteration in different contexts and new combinations. The resultant momentum both creates and unifies the "fantasy" form of the *Sonatine*.

NOTES

¹ Published in Paris by Amphion Editions musicales, 1954. All measure and page numbers in the analysis refer to this edition.

² Susan Bradshaw and Richard Rodney Bennett, "In Search of Boulez," *Music and Musicians* 9, no. 5 (January 1963) p. 12.

³ Massimo Mila, notes on the record jacket to *The New Music*, Vol. 2, RCA Victrola, VICS-1312.

⁴ Bradshaw and Bennett, p. 12.

⁵ Expressed by Boulez in 1952 in "Schoenberg is Dead," *Notes of an Apprenticeship*, trans. H. Weinstock (New York: Alfred A. Knopf, 1968) pp. 268-276.

⁶ Pierre Boulez, "Musical Technique," *Boulez on Music Today*, trans. S. Bradshaw and R. R. Bennett (Cambridge, Massachusetts: Harvard University Press, 1971) p. 80.

⁷ *Ibid.*, p. 78.

⁸ Pierre Boulez, "Proposals," *Notes of an Apprenticeship*, p. 67.

⁹ Bradshaw and Bennett, p. 12.

¹⁰ Edward T. Cone's analysis (in "Stravinsky: The Progress of a Method," *Perspectives on Schoenberg and Stravinsky* [Princeton: Princeton University Press, 1968] pp. 157 f.) can be compared with our description of *Sonatine* and is certainly relevant in understanding Boulez's inspiration — particularly the Stravinskian technique of "points of interruption."

¹¹ Boulez, "Proposals," p. 65.

reviews

ELEANOR PERÉNYI – *LISZT: THE ARTIST AS ROMANTIC HERO*

Boston: Little, Brown and Company 1974 (466 pp.)

Rena Mueller

It is a curiosity of scholarship that it sometimes falls to a writer outside of our discipline to produce an important work on a composer or his epoch. This occurrence reflects the fact that now, more than ever, material unearthed by people in other fields can add spectacularly to our knowledge of those non-musical events that contributed to composers' *oeuvres*. Eleanor Perényi's *Liszt: The Artist as Romantic Hero* is a result of this treatment, drawing upon scholarship across a wide spectrum of the humanities as well as her own intensive research into the subject. She has produced a volume of great scope and sound intellect, one that deserves to be on any 19th-century scholar's shelf—probably on any shelf at all.

A book that sets out to treat a subject as vast as the "romantic hero" has a rocky road to negotiate. After all, the very definition of "romantic" is a puzzle still to be unravelled. Various applied to epochs and individuals, the term remains a catch-all; grouped beneath the rubric of "romanticism," one finds as apparently disparate entities as nationalism, naturalism, *Sturm und Drang*, exoticism, eclecticism, neo-platonism, and so on *ad infinitum*. Fashionable as it once was to call the period in music from c. 1800 to c. 1900 "romantic," it should no longer be so, if only because we have come to redefine our own terms more precisely. "Romanticism" began as a literary trend in the mid-18th century and the movement peaked in Germany and England before 1815, though it did not reach a climax in France and the Mediterranean countries until the second quarter of the 19th century, owing to political as well as cultural reasons. It is the spirit of this Italo-French brand of romantic thought that flavors Mrs. Perényi's narrative so thoroughly, and if at times we become a trifle impatient with her obvious enthusiasm, we are often rewarded with a sophisticated description of the elusive romantic phenomenon. Regrettably, her interesting but diffuse discussion of "Romantic Origins" raises more questions than it answers, probably because her zealous pursuit of solutions to *all* the myriad problems "romanticism" posed has produced an aura of superficiality about the argument. On the one hand, she speaks cogently about the question of classic versus romantic:

Misrepresentation is inevitable when the classic-romantic antithesis is invoked to enforce artificial categories. Stretched to infinity, the terms become useless—as, for example, when romantic comes to stand for the chaotic and undefined, while classic means discipline and clarity . . . [p. 22]

But only shortly thereafter, she calls forth the well-worn and slightly dubious comparisons of Berlioz's *Les Troyens*, Delacroix's *Massacre at Scio*, Stendhal's fictions with their "Spanish" endings, Liszt's Symphonic Poems, and Hugo's passionate meditations on exotic themes, all of which belong to Romanticism "by virtue of their defects. They are like buildings under construction, for which the plans, received in a dream, have been mislaid." Mrs. Perényi still believes in the concept of the "flawed masterpiece," as if all these works shared a common error that was built into them by their creators knowingly and with forethought. One cannot juxtapose these works without running the risk of producing a specious argument, and it is this peculiar blend of intelligent reasoning and perfunctory criticism that mars her discussion. We marvel at the ease with which she moves into the literary camp and provides copious examples of the contemporary thought-processes, mingling these with anecdotal material on all of those in Liszt's circle. But after reading these eight chapters we still experience some disquiet: the "Romantic Artist" remains a spectre, a compendium of myriad impressions and unspecific feelings that leaves more to our imagination than ever before.

Thus Mrs. Perényi's book does not resolve the "romantic" dilemma, but it makes a valiant attempt to put Liszt and his milieu in perspective. In a way, one of the main problems with which she had to deal was how to approach Liszt, the man, after 1861—and she neatly skirted the issue by ending her book at that point. An easy way out for her; a problem for us, since it has pejorative implications for "Liszt, the Artist No Longer as Romantic Hero"—that is, after 1861. She tags Liszt "the child of French Romanticism, and its prisoner," but one asks what, in Mrs. Perényi's eyes, took place in 1861 that caused him to be cast out from among the romantic heroes? It is a date recommended only by his rupture with the Princess Carolyne Sayn-Wittgenstein and subsequent embarkation on his *vie trifurquée*, as he himself later styled it. Only the fact that he ceased living on intimate terms with the second of his two most prominent inamoratas appears to justify Mrs. Perényi's title—a questionable and rather limited approach to a sticky problem. For, what was Liszt's withdrawal from society and movement toward the church if not the ultimate "romantic" solution for the disenfranchised artist? As it turned out, he did not even have to make those many sacrifices necessary for a younger postulant and was able to maintain, more or less within reason, his previous mode of life. He had gone as far—if not further—as his once-idolized

Abbé Lammenais ("Not only did he adopt Lammenais's teachings root and branch, he clung to them more tenaciously than Lammenais did himself." [p. 107]) and applied well-learned lessons from Novalis, Saint-Simon, Schlegel, and others to his own life situation. This romantic-Christian ethos had led Wagner toward the day-night symbolism of the *Liebestod* of *Tristan und Isolde* (the debt to Schopenhauer notwithstanding); Liszt's embrace of the church was a natural sequel to his more worldly experiences and a tangible demonstration of religious devotion (a trait that was not altogether alien to him, after all). It seems to this writer that Mrs. Perényi could have carried her case for this composer as "romantic" artist to the end of his life, but she opted not to do so.

The author deals engagingly with the factual material she has at hand, bringing to her study a depth of insight and intuitive knowledge of the human condition that has been decidedly lacking in previous studies of the composer. Paradox, poseur, charlatan—she admits that he might have been all of those things. But his artistic gifts were staggering, and if he abused them as only an artist of that time could have, she suggests that we cannot stand in judgment of him on that score. As with any study of Liszt, three people remain the focal points: Countess Marie d'Agoult, Princess Carolyn Sayn-Wittgenstein, and Richard Wagner. The two ladies never became the cross to bear that Wagner did, but at times it must have appeared to Liszt that personally he was forever fated to be the dispenser of charity, compassion, and intellectual understanding while remaining the recipient of but a fraction of the same kindnesses. Mrs. Perényi has, in effect, put on Liszt's own skin and suffers his pains and pleasures with him—perhaps all too knowingly for an objective observer. She rightly takes issue with works in the vein of Ernest Newman's *The Man Liszt*, heavily biased toward Wagner and completely antipathetic toward Liszt, to give a stellar example, and questions certain aspects of Barzun/Berlioz's treatment of her subject. She attempts to sort out the conflicting stories (apochryphal and otherwise) to produce the right blend of perspective and truth, and for this writer she has, by and large, done so effectively. There are some interesting lapses, though, as the following few examples will show.

Liszt's relations with Wagner ran the gamut. Asked to be both provider and whipping-boy, Liszt remained remarkably constant in his feelings toward the other man when one considers the tortures he endured.

I have always proclaimed without reserve my high admiration for Wagner's genius . . . while always distinguishing between . . . the theoretician, the poet and the musician. Nowhere have I said or written that I adhered to any troublesome theory whatever . . . Wagner is the [foremost] poet and dramatic composer in Germany

today—enough reason for me to pay him homage. The rest will settle itself or be forgotten . . . [p. 341; Liszt to Halévy in 1861]

Perényi comments: “In the long run, he may have been right. In the short, the music of the future wrecked itself on the rocks of Wagner’s theories, and it might have been better to pay closer attention to them for that reason alone.” This is not so. Liszt clearly realized that terms such as “music of the future” and “Neu-Deutsche Schule” were ephemeral and that the demon he and all kindred innovators were fighting was any ordered society’s defensive posture against the encroachment of new and different styles upon traditional ones. That Wagner happened to be personally objectionable and Liszt the epitome of every German burgher’s nightmare vision of the French *artiste* only served to exacerbate an already bad situation, since Germany had already had its romantic fling and was now ready to settle back into a more comfortable and familiar musical lifestyle. Liszt’s entire presence was disruptive, and his championing of contemporary and often little-known composers and their music, coupled with his apparently exotic tastes and questionable morals, was disturbing for the conservative tastes of the Weimar public. Wagner’s theories had nothing to do with the demise of the so-called “music of the future;” indeed, the music itself never founders, only its name-tag, as succeeding generations of composers who took their leads from Liszt and Wagner were to demonstrate.¹ Liszt was simply out of place in that small, provincial environment, where the calibre of the literary minds in the salon assembled by Princess Carolyne never approached that which he had encountered in Paris or Italy, and Mrs. Perényi’s barbed evaluation (“Liszt must often have felt that he had hitched up with a road company”) makes its undeniable point. Many of the musicians whom he drew to him in the early Weimar years deserted him later (Cornelius, Raff, Joachim), but the music spawned during that era held its own after its sobriquet became an object of ridicule.

Mrs. Perényi treats Wagner with the acid that she accuses others of hurling at Liszt. She admits that there was an element of tragedy in him, compelled to the creation of stage works of genius and far-reaching importance, but unable to get an adequate (or even inadequate) forum for many years. Berlioz remained on relatively good political grounds in his native land, though he too suffered the tortures of a composer unappreciated by his countrymen, but Wagner’s exile from Germany (and one cannot deny the importance of the German *Geist* to his lifestyle and creative processes), as ludicrous as it might seem in retrospect, was a reality for many critical years. His desperate scrounging for money and recognition was emotionally debilitating and the path to bitterness. He made his own life a misery and that of many others, but as despicable as one

might perceive his attitudes to have been, they must all be thrust aside in the face of the musical whole. Liszt realized this, probably was as saddened by it as he was about the plebian musical attitudes of the populace and his own limited acceptance as a composer, yet he continued to promote Wagner's works even during the period of estrangement over Cosima's desertion of von Bülow. That Liszt was a finer human being and Wagner a lesser one does not alter the fact that musically—and especially in the face of opposition—they were, as a man, in almost total artistic sympathy. Mrs. Perényi goes even further: "In Wagner's view, Weimar existed to serve him personally, and on the whole Liszt agreed. His need for atonement matched Wagner's urge to exploit. They fitted like lock and key. That was the calamity—for Liszt" [p. 327]. Was it? "Calamity" is too strong a term. Liszt remained steadfastly Wagner's supporter, refused to take sides when it came to Berlioz vs. Wagner and subsequently lost, at least in part, the good offices of both. But his relations with Berlioz never depended on personal contact, and he learned the hard lesson of trying to maintain a stable friendship with Wagner, so his partial breaks with both never really amounted to much. He got what he wanted from them musically from their scores (the reverse was true for them), which cut through the verbiage.

Sometimes, rarely to be sure, even Liszt does not receive the benefit of the doubt from Mrs. Perényi for his own capabilities. On p. 353, she relates information about Liszt's visit to Zurich in 1853 at Wagner's insistence, during which he first heard the *Ring* poem, newly printed and circulated among Wagner's friends. Citing Liszt's views of stage presentations ("There cannot be any question that in many cases art does not suffer in the least when it renounces the attempt to represent *everything*, realize *everything*, make *everything* clear to the senses"), she goes on as follows:

With these prejudices and in the absence of the music [the score?], it is doubtful if he [Liszt] got much of the Nibelung readings at Zurich—delivered with "incredible energy" to an audience that included Herwegh.

This is presumptuous. Liszt would have understood completely what Wagner was getting at. Mrs. Perényi is confusing artistic comprehension with sympathy for the subject matter, which is another question entirely. It is obvious that they were rarely attracted by the same dramatic material (the conception of Wagner's *Faust* music and Overture antedates his personal acquaintance with Liszt but provides an illuminating glimpse of his familiarity with Berlioz's and Liszt's harmonic idiom), but Liszt was so much the complete musician that Wagner's rasp-voiced performances at the piano would have told him all that he needed to know about

the music that was still locked inside Wagner's head. Further, Robert Bailey has shown conclusively that musical sketches existed for *Siegfrieds Tod* "before he had written *Opera and Drama* [1851], and the treatise is thus to some extent the result of at least some practical experience in working out a new manner of writing musical drama, rather than purely a presentation of theoretical ideas in advance, as we have always supposed."² Wagner could have had an Orchestral Sketch in his pocket, for all we know, when playing the music in Liszt's presence. Later on, Mrs. Perényi asks, ". . . could a transcription [of Liszt's symphonic poems], even played by Liszt himself, really have given him [Wagner] a clearer idea than the orchestral scores?" [p. 359]. Of course: she had already treated extensively the subject of Liszt's uncanny ability to transform piano music into an orchestral simulacrum, and Wagner's ability to comprehend the music could not have been less formidable.

Mrs. Perényi deals admirably with the touchy question of Liszt's "folk" studies and their culmination in the publication of *Des Bohémiens et de leur musique en Hongrie* (1859). Liszt as a Hungarian patriot falls short of the mark, but her defense of his various postures does both Mrs. Perényi and Liszt considerable credit. Less good, though, is her apologia in the same section for Liszt's being "taken in" by Ossianic fiction: "Citing Ossian, Liszt did not know that he was the victim of a famous literary hoax—which seems typical too. They could have told him in England, if he had asked, that 'Ossian' did not exist" [p. 219]. That is gratuitous and not the point: even if he knew that "Ossian" (James Macpherson's concoction) never existed, it didn't matter. The tales were good subject matter and representative of the literary trends of the period. It would have been contrary to his nature to have discarded Ossian because he wasn't real. Berlioz is lauded for a hypothetically conscientious approach to folk-music research, an attitude, Mrs. Perényi feels, that was not shared by Liszt (" . . . it wasn't beyond him [Liszt] to do a respectable job [collecting authentic folk material] as Berlioz, one feels, would have"). But Berlioz was even more the "victim" than Liszt (according to this logic) when it came to folk studies, and it would have been catastrophic for the rest of the 19th century if he had overlooked the bogus Ossian. Aubrey Garlington's short but compact study, "Lesueur, *Ossian*, and Berlioz,"³ convincingly details Berlioz's indebtedness to his teacher Lesueur and his opera *Ossian ou les Bardes* for the conception of the "Air Fantastique" (and the use of the term "Simphonie [sic] fantastique"), as well as the idea of the "dream sequence" that was later to be so magisterially transferred to the *Symphonie fantastique*.

Mrs. Perényi's insights are often so compelling that it seems appropriate to cite some here. Marie d'Agoult's attitude toward Liszt is summed up in one brief statement:

For all her pretentious twaddle about his mission and his genius, she neither respected nor appreciated the kind of genius he was, and never overcame her innate disdain for musicians, who remained inferior to writers in her eyes. She did not love music, or not enough to make up for the (to her) degrading facts of the working musician's life. [p. 132]

This, of course, was a carry-over from the old aristocratic attitude toward the performer/composer, who remained only slightly more important than a hand-servant until the beginning of the 19th century, an aspect of musical life that Mrs. Perényi has already examined in detail [p. 4ff.]. And Marie *was* eternally a Countess, a Flavigny (rarely a Bethmann, except when it suited her). She never approached George Sand's stature as a writer or escapee from the strictures of proper conduct, though she deluded herself into believing that she had done so. While Sand defied convention and revelled in it, Marie longed for the respectability she had thrown away for Liszt and never forgave him for continuing his "itinerant" life. That she willfully became pregnant at times when she sensed she was losing him is made clear by Mrs. Perényi's lucid reconstruction of the chronology of their affair; and Liszt's neglect of their children, save when it seemed to him that they were too much in their mother's orbit, is treated gently and put in its unfortunate perspective.

Princess Carolyne Sayn-Wittgenstein appears as a more shadowy figure, when viewed in the light of the surrounding characters. Perhaps it is because she was a slightly lackluster individual, but it is more probable that she purposely retired to the background, content to play the muse, while Liszt leaped to the fore. Mrs. Perényi's description of her is not flattering, but it has a ring of truth, and the same can be said for the portrait of Marie Sayn-Wittgenstein, whom Liszt apparently cared for more than his own children.

This book will undoubtedly be consulted by musicologists often, and for this reason it is unfortunate that Mrs. Perényi's musical observations are not of the same quality as her other remarks. Perhaps this is because she lacks some requisite technical language, to give her the benefit of the doubt, rather than because she does not know the music itself. The results are sometimes obvious or simplistic statements, such as the following: "A passage like the second subject in the *Dante* Symphony—possibly the first to be written in 7/4 time . . ." [p. 293]. One needn't pour through the earlier literature to find chapter and verse for previous occurrences of 7/4 meter. It is simply a poor example for a fact that she had offered clearly, but briefly, earlier in the discussion: "His own compositions were not easy." The case was made there, but unfortunately Mrs. Perényi chose to amplify it with the *Dante* example. She needed only to look at any page of the piano music to observe that the rhythmic complexities Liszt set

before the performer were legion in whatever meter he was writing. Her assessment of the compositions completed while under Carlyne's influence at Weimar offers a mixture of keen observation and shallowness. "His failures, which have in common a loquacity, a mushy emotional undergrowth and a leaning toward the obvious in the material, have her [Carolyne's] atmosphere about them. . . ." is a telling statement, all but ruined by the following comment:

Even his tendency to repetition seems, perhaps unfairly, to owe something to her presence. Like a bore who raises his voice, he had a way of saying the same thing twice—a semi-tone higher or in a changed key. [p. 403]

Mrs. Perényi's examples, the opening of *Ballade No. 2, Ce qu'on entend sur la montagne's* middle section, and *Mazeppa's* ride, are all, indeed, repetitive in the way she describes, but her explanation that Liszt "defended this on the ground that it was part of his search for new forms and that it helped the uneducated public to follow what was going on" smacks of fantasy. Numerous compositions of Beethoven's middle period repeat material in this way as a structural device (the openings of the "Waldstein" and "Appassionata" sonatas, opp. 53 and 57 respectively, to name but two of the most well-known), but Liszt's repetitions, like Beethoven's and Wagner's, are rarely literal and usually involve changes in timbre, register, orchestration, or rhythm as well as key area, so that one never hears the second statement as identical to the first. But when the repetition is literal and a second ending provided, it is because Liszt, the ultimate showman, knew when he had hit upon a show-stopper that bore repeating—as in *Mazeppa's* ride, not an unwise decision for a composer just beginning his career as an orchestral writer. Later Mrs. Perényi redeems herself with this penetrating observation:

If, as I believe, Romanticism was the matrix of modern art, Liszt is the only composer who proves it within a single lifetime. No one else traversed the space between the romanticism of the *Dante Sonata*, to choose a random example, and the instrumentally uncolored 'purity' of *Am Grabe Richard Wagners* or the *Csárdás macabre*. The evolutionary process is in him speeded up—as if, had he been a painter, he had started out like Delacroix and ended like Juan Gris, with the proviso that his late music does not refute the earlier. [p. 405]

Her bibliography reflects a curious mixture of current and dated items in music. The second edition of Peter Raabe's *Franz Liszt: Leben und Schaffen* (1968), revised by Dr. Felix Raabe, has been ignored, and since

the worklist of that fine book adds considerable depth to our knowledge of manuscript sources and chronology, it should have been consulted. (Mrs. Perényi dismisses the first edition of this work in a footnote [p. 36] as “. . . dull and in German, a hindrance to those weak in that language,” a remark that should send a chill of warning up one’s spine, since it bodes ill for thorough research.) The third edition of *Grove’s Dictionary of Music and Musicians* appears, but the latest edition is the fifth, and in it Humphrey Searle first published his immensely important article on Liszt—an article that subsequently became the monograph *The Music of Liszt* (1954; revised paperback edition, 1966). These are standard tools, as is the lengthy article in *Die Musik in Geschichte und Gegenwart*, vol. 8 (1960) by Hans Engel and Julius Kapp’s *Liszt: Eine Biographie* (1911), neither of which apparently has been consulted. Margit Prahacs’ *Franz Liszt: Briefe aus ungarischen Sammlungen, 1835–1886* (1966) is also missing, while Mrs. Perényi gives all too much credence to the material in Alan Walker’s compendium *Franz Liszt: The Man and His Music* (1970), a book that leaves much to be desired as a reference work.

As we have mentioned earlier, Mrs. Perényi’s prose could have used some pruning here and there. One cannot help but wince at some of the stilted expressions that crept into her language (“lucubrations,” “after-life” for later life, “distract” for inattentive, “taboo’d”) or wonder at a few of the editorial errors (Wallenstedt for Wallenstadt, Béranger for Béranger, the description of Lola Montez’s “graduation” from Liszt to “Bavaria’s mad king”—surely Ludwig I was meant, the grandfather of Wagner’s protector!).

In sum, we have a new tool for 19th-century research. One certainly wishes that the author had paid more attention to the audience for which, in all likelihood, it was *not* written—the musicological—but that aside, Mrs. Perényi has produced an extraordinarily worthwhile volume—readable, informative, and often highly illuminating.

NOTES

¹ With reference to the term “Music of the Future,” Wagner himself protested to Berlioz in 1860 “that it was not I who invented ‘musique de l’avenir’ but a German music critic, Herr Professor Bischoff of Cologne. . . . The immediate cause of the invention of this crazy expression seems to have been a misunderstanding, as daft as it was malicious, of an essay I wrote and which I published ten years ago, under the title ‘The Work of Art of the Future’” (quoted in Herbert Barth, Dietrich Mack, and Egon Voss, *Wagner: A Documentary Study*, trans. P.R.J. Ford and Mary Whittall [New York: Oxford University Press, 1975] p. 192).

² Bailey, “Musical Sketches for Siegfrieds Tod,” *Studies in Music History: Essays for Oliver Strunk* (Princeton, N.J.: Princeton University Press, 1968) p. 462.

³ Garlington, “Lesueur, Ossian, and Berlioz,” *Journal of the American Musicological Society* 17 (1964) pp. 206-208.

WILLIAM JOSEPH BEASLEY—
THE ORGAN IN AMERICA, AS PORTRAYED
IN "DWIGHT'S JOURNAL OF MUSIC"

Ph.D. Dissertation: University of Southern California, 1971.

Volume I, xiv, 286 pp.; Volume II, 287 pp.

Ann Arbor: University Microfilms (UM 71-12,372)

David E. Campbell

During the first half of the 19th century, music in the United States began to split into two separate and often conflicting camps; one continued the practice and traditions of European art music and sent its young to the Continent to cultivate "classical" musical tastes, while the other was more concerned with the creation of an indigenous vernacular musical voice based upon popular and folk songs. The former group idolized Germany as the font from which all then-current music of worth sprang. As early as 1822 the American hymnodist Thomas Hastings, in his *Dissertation on Musical Taste*, proclaimed:

We are the decided admirers of *German* musick. We delight to study and to listen to it. The science, genius, the taste, that every where [sic] pervade it, are truly captivating to those who have learned to appreciate it. (p. 194)

While Hastings admitted that those for whom he spoke were in a minority, he would have been pleased to know that thirty years later there would be a considerably larger number of Americans laying claim to his quote.

In this country two cities, New York and Boston, were the centers of musical activity. New York nourished performance and publishing while Boston served as the seat of policies of aesthetics and "culture." In response to the growing interest in European art music among American middle and upper classes, John Sullivan Dwight (1813-1893) inaugurated a "Magazine of Art and Literature," *Dwight's Journal of Music*. The first issue of the *Journal* went to press on 10 April 1852. In the pilot editorial Dwight stated that this new periodical was to be "simply an organ of what may be called the musical *movement* in our country; of the growing love of deep and genuine music . . ." (p. 1). Dwight went on to define this "deep and genuine music" as essentially German music. Out of the conviction that America was in need of direction and education in the art of music, as well as a forum for the advertisement and exchange of ideas,

he singlehandedly directed the *Journal* through almost thirty years of publication, editing 1,051 issues. Included in its pages were critical reviews of concerts, correspondences from abroad, notices of musical performances in the United States and in Europe, historical and analytical essays, translations of foreign-language biographies, treatises, periodical articles, and letters, in addition to commercial advertisements for musical instruments, sheet music, private music instruction, and festival and benefit concerts. Dwight had no taste for popular music, as was shown in his belittlement of the songs of Stephen Foster. His concern in music was with "the *enduring* . . . in contrast with the ephemeral."

One of the abiding loves of Dwight, and one which he copiously nourished in his columns, was the organ. Throughout the *Journal* one finds articles, notices and other references to the "king of instruments." Although his knowledge of technique and construction of the organ was minimal, Dwight gave generous space both to aesthetic responses and to registration tables of this instrument.

William Beasley, in his Ph.D. dissertation written at the University of Southern California, chose *Dwight's Journal of Music* as a vehicle by which to examine the construction, use and appreciation of the organ in the United States during the 19th century. Pages 1-28 of this dissertation are devoted to a brief biography of Dwight and to the circumstances surrounding the creation of his magazine. Thereafter, Mr. Beasley examines the work and products of organ builders mentioned in the *Journal*, who are categorized, in chapters, according to their respective geographic areas of activity:

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| 2. Early Boston builders
pp. 29-91 | — John Snetzler, Thomas Appleton, E. I. Holbrook, John Roberts, John Baker, George Stevens, William Simmons and his various partners |
| 3. Philadelphia builders
pp. 92-110 | — John Standbridge, Henry Knuff |
| 4. New York builders
pp. 111-199 | — George Jardine, Henry Erken, Richard Ferris, Thomas and William Robjohn, Thomas Hall and John Labagh, Levi Stuart, Henry Crabb, John and Caleb Odell, Hilborn L. and Frank H. Roosevelt |
| 10. Chicago builders
pp. 368-422 | — William A. and William H. Johnson |

11. Miscellaneous builders — H. and W. Pilcher, William Mohr, Moritz Baumgarten, John Wesley Steere.

An individual chapter is given to the brothers Elias and George Hook. Other chapters take close looks at the construction, operation, and history of selected American organs: Tremont Temple, Boston; Worcester Mechanic's Hall, Worcester, Massachusetts; Plymouth Church of the Pilgrims, Brooklyn; Springer Music Hall, Cincinnati; and others. An additional chapter is devoted to William and William Johnson (father and son) of Westfield, Massachusetts, and some minor New England builders. Four appendices are included at the end of the dissertation. The first reprints Dwight's prospectus for the *Journal*. The second documents the work of Henry Willis and his innovations in the design and construction of a combined radiating and concave pedal system. Willis' instrument bearing this system was exhibited at the Great Industrial Exhibition in London, 1851. Appendix C deals with collections of organ music and instruction manuals published by John Zundel and advertised in the *Journal*. Appendix D gives a table of contents of the *Journal's* coverage of organ news from 2 May 1863, through 1 October 1864. The corpus of addenda is completed by a listing of 19th-century organists active in the United States, a glossary of common technical terms for the organ, an index, and a bibliography. The format of the dissertation is enhanced by the inclusion of sixty-one photographs, five illustrations, and ten tables of registrations for organs discussed.

It is evident from reading this dissertation that Mr. Beasley has an extensive knowledge of *Orgelbau* and an expert grasp of documentary source material relating to his subject. The data and photographs of the organs discussed show a first-hand acquaintance with the various American instruments. With such a body of information gathered from actual inspection of these organs, one might wonder at first why Mr. Beasley chose *Dwight's Journal of Music* as the gravitational center of his essay. Dwight himself, as already mentioned, laid no claim to any technical or acoustical knowledge of organs, relying upon his correspondents to provide specific data on registration and measurements. Furthermore, many organs which were constructed in the United States during the life of the *Journal* never received mention in its pages. What does favor the *Journal* as a historical window through which to view the organ in this period of American history is Dwight's own zeal and devotion to that instrument, not less his perceptive coverage of activities relating to it and his encouragement of its cultivation in this country. Mr. Beasley uses this perspective to excellent advantage, combining meticulously documented information from printed sources with data acquired from on-site inspection. The result is a work of considerable scholarship and a highly useful tool in the further investigation of this field.

There are certain matters which call for clarification, however. A glaring error in dating occurs in chapter two of the dissertation, "Early Boston Builders." On page 29 Mr. Beasley writes that "possibly the earliest organ in America referred to in the *Journal* is of English manufacture, a 1761 Snetzler installed in Christ Church, Cambridge, Massachusetts, in 1764." Apparently the author did not examine the *Journal* with sufficient care on this matter of the earliest date; in fact, the earliest organ mentioned in the *Journal* was documented in its 19 August 1854 issue, in a reprint of an article from *Moore's Encyclopedia of Music* (Boston, 1854) entitled "Organ Building in New England." In this article one finds the following:

The first organ built in America was built by Edward Bromfield, Jr., in Boston, in 1745. In 1752 Mr. Thomas Johnston built an organ for Christ Church, Boston.

Why Mr. Beasley did not notice this reprint in the *Journal* is hard to ascertain, since his citation of Moore in his bibliography indicates his use of it as a source.

In Appendix D, Mr. Beasley has reproduced portions of *Journal* reports on the organ constructed for the Music Hall in Boston by the German builder, E. F. Walcker, in 1863. Here a gross misspelling in the primary source is left unexplained. In a *Journal* article reprinted from the *Washington Star* of that year is found the opening line:

Boston has been greatly excited lately over the inauguration at the Music Hall in that City, of the largest organ in the world, built expressly for "the hub" by *Welcher* [sic] of Wurtemberg.

Perhaps the misspelling of Walcker's name was intentional on the part of the *Star* reporter, for the tenor of the article is decidedly one of less than purely objective journalism. He wrote that, in the inaugural concert of the Music Hall organ, four renowned organists performed on the pedals at one time, and that

this great detonation of sound [lifted] the heavy tin roof from the wall sockets some fifteen feet into the air The walls of houses throughout the city were sensibly shaken At Newburyport . . . the sound [was thought to be] a heavy naval engagement of Boston Harbor At Jamaica Bay . . . the barometer fell several degrees . . . [and] numerous dead bodies of drowned persons were brought to the surface in the harbor and in Charles River by the same concussion. (Beasley, p. 525)

Mr. Beasley surely could have devoted at least one sentence to this misspelling, if only to point it out as such.

Another impression one gets from Mr. Beasley's dissertation is that organ construction as documented in *Dwight's Journal of Music* was confined to the three metropolises of the northeastern seaboard, and Chicago, Cincinnati and Salt Lake City. Such was not the case. Mr. Beasley mentions in passing organs built for churches in Pittsburg and Charleston. Yet virtually nothing is said about organs in smaller cities, especially those removed from the main population centers. On page 57 of his essay Mr. Beasley writes: "The last entry in the *Journal* linking Willcox with the firm [of Simmons and Willcox] is dated in July of 1860." He could have elaborated on this entry (21 July 1860, vol. 17, p. 134), entitled "Organ for St. Paul's Cathedral Church, Louisville, Ky.," to provide a more balanced geographic representation of his subject. The anonymous contributor to the *Journal* attended the inaugural performance of this organ and reported that

the diapasons are round, or rich, pure tone and volume. . . . Among these the finest stop is the "German Gamba". . . . The 'Flute Harmonique,' also, is an admirably toned stop, giving great brilliancy to the general effect, or serving a valuable purpose as a solo.

The "German Gamba" (viola da gamba) stop of the Louisville organ (No. 5, Great Manual; 8') was actually introduced one year earlier in the United States by Simmons and Wilcox in the organ of the Appleton Chapel of Harvard University, as was its companion stop, the viola d'amor (Louisville: No. 5, Swell Manuel; 8'). Also antedating the *flûte harmonique* of the Louisville organ was that of the organ of St. Joseph's (Roman Catholic) Cathedral at Albany, New York, also made by Simmons and Willcox in 1859. Yet the organ of St. Paul's in Louisville merited a hearty commendation and a listing of its complete registration in the *Journal*: 12 Great, 13 Swell, 7 Choir, and 3 Pedal stops, along with 9 mechanical registrations. Although it was not as large or prestigious as those of Cambridge and Albany, the Louisville Simmons and Wilcox organ was a masterful instrument and one of the first to grace the region of the inland South.

In conjunction with the above, Mr. Beasley reports that 17 organs from Simmons' firm are mentioned in the *Journal*. A most welcome aid would have been a comparative table detailing dates, locales, contractors, and costs of these organs in order to establish with greater accuracy the place of Simmons in the organ work of his day.

The space given the foregoing points should not be interpreted as an attempt to diminish the worth of Mr. Beasley's contribution. As skillful

and perceptive as his research are his observations found in Chapter 13, "Summary and Conclusions." Here the author distills four primary traits in the building of American organs during the tenure of *Dwight's Journal of Music* and, indeed, for the whole of the nineteenth century. They are:

1. A deep respect for the workmanship and construction methods of 18th-century organ builders (both American and European);
2. A thorough understanding of the importance of a properly balanced voicing throughout the entire organ and a harmonious relationship of timbres;
3. A natural inventiveness of builders in adapting European features to new circumstances (such as experiments with pneumatic and electro-pneumatic actions and innovative pipework); and
4. A patient and loving attention given to casework design.

Mr. Beasley posits possible avenues for further research and application of work in organ construction in the United States. He also reports that information on organs of the United States can be obtained from the Organ Historical Society, York, Pennsylvania, and from the Organ Clearing House, Cornwall-on-Hudson, New York. The latter organization publishes a monthly journal, *The Tracker*.

To the bibliography of this dissertation may be added the following list of recent publications dealing with organs in the United States:

- Armstrong, W. *Organs for America: The Life and Work of David Tannenberg*. Philadelphia: Pennsylvania University Press, 1968.
- Barnes, W. and E. B. Gommans. *Two Centuries of American Organ Building*. Glenn Rock, New Jersey: Fischer, 1967.
- Bleyle, Carl Otto. *Georg Andreas Sorge's Influence on David Tannenberg and Organ Building in America During the Eighteenth Century* (Ph.D.: University of Minnesota, 1969). UM 70-01779.
- Hart, Kenneth Wayne. *19th Century Organ Builders of Cincinnati*. (Ph.D.: University of Cincinnati, 1972). [No UM listing]
- Johnson, David Nathaniel. *An Acoustical Investigation of Certain Aspects of the Holtkamp Organ in Crouse College Auditorium, Syracuse University*. (Ph.D.: Syracuse University, 1956). UM 00-19381.
- Nye, E. M. "The Work of John Snetzler in America." *Organ* 50 (1971) pp. 97-105.
- Ochse, Orpha. *The History of the Organ in the United States*. Bloomington: Indiana University Press, 1975.
- Sharp, James Raymond. *Tonal Design of the American Organ: 1910-1969*. (Ph.D.: Michigan State University, 1970). UM 71-02165.