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The Rhythm of Text and Music in *Ottocento* Melody: An Empirical Reassessment in Light of Contemporary Treatises

by Scott L. Balthazar

Theoretical discussions of textual declamation in operas have a long history, dating back as far as the forward to Peri's *Euridice* (1601), and in Italy they continued to appear well into the nineteenth century.[1] At least three writers—Giuseppe Baini, Bonifazio Asioli, and Carlo Ritorni—dealt at length with various aspects of the text-music relationship as they attempted to demonstrate a precise correspondence between poetic and musical rhythm in contemporary opera.[2] Baini insisted that "music and poetry are alike in their number [of beats and syllables], in their proportions and symmetry, in their indefinitely extended succession of corresponding . . . musical and poetic accents, [and] in their uniform repetition of poetic feet [which are] similarly proportioned to the uniform repetitions of musical beats."[3] Asioli pressed the same point even more emphatically, arguing that "one can say that the musical phrases are *decasillabe, novenarie, ottonarie, settenarie,* etc."[4] Ritorni provided the most detailed conceptualization of this relationship, although, unlike his colleagues, he took pains to distinguish proper textual declamation in contemporary opera from the fusion of textual and musical expression allegedly achieved by the ancient Greeks in their dramas.[5]

More recently, two important studies have approached these same issues through empirical examination of the *ottocento* repertory: Robert Moreen's dissertation on textual and musical form in Verdi's early operas, and Friedrich Lippmann's study of textual and musical rhythm in late-eighteenth and nineteenth-century Italian opera.[6] Moreen and Lippmann viewed rhythmic aspects of the text-music relationship from opposite perspectives. Moreen concentrated on musical metric accent and its relationship to poetic scansion, that is, the placement of poetic accents within measures, without specific regard for note-to-note melodic rhythms. In contrast, Lippmann's narrower, yet more exhaustive study of melodies from Mozart through Verdi attempts to categorize musical rhythmic motives and to attribute their occurrences to characteristics of various poetic meters. Despite this important difference, in more than a decade since these studies first appeared—perhaps because neither was published as a book—no one has seriously reviewed their implications or tried to assess the validity of their theses, to reconcile their diverging approaches, or to compare their conclusions with contemporary formulations.

In the following pages, my attempt at such an assessment will lead me to propose a new approach for understanding poetic and musical rhythm in *ottocento* opera. We will see that the writings of Baini, Asioli, and Ritorni, while sometimes contradictory and often problematic, provide invaluable clarification of *ottocento* text-setting practices, revealing complexities that we have not previously considered. In doing so, they contribute a necessary contemporary point of reference from which we can evaluate Moreen's and Lippmann's contrasting hypotheses and open new avenues of empirical investigation that enable us to refine present-day views of the text-music relationship.

* * *

Moreen has proposed several relatively simple rules that he believes shaped both the construction of Italian verses and composers' settings of those verses. In his view, each poetic meter follows a characteristic organization in which certain syllables within each line are accented and others unaccented. This summary of *ottocento* patterns of accentuation is given in column 1 of table 1.[7] Moreen divided these accents into two categories. The *accento comune,* which falls on the penultimate syllable of *piano* (ordinary) lines or the final syllable of *tronco* (truncated) lines and the antepenultimate syllable of *sdrucciolo* (extended or, literally, slippery) lines, occurs in all meters and is never omitted.[8] Other, "secondary" accents, Moreen argued, vary from meter to meter, their consistency from one line to the next depending on whether the meter is even-numbered or odd-numbered: they are constant in even-numbered meters, but may change from line to line in odd-numbered meters. According to Moreen, composers always aligned the *accento comune* with a musical accent but did not always provide stress for secondary poetic accents.

Baini's, Asioli's, and Ritorni's discussions of Italian text-setting all support Moreen's position in the broadest sense, since they too focus on accentual relationships between poetry and music and concur in most cases with his summary of the various patterns of accentuation.[9] Yet their views also differ to varying degrees from Moreen's formulation.[10] Unlike Moreen, none of these theorists mentioned *binario* as a viable meter for operatic poetry. Asioli stated that meters having three- and four-syllable lines were "rare," a point on which Baini and Ritorni seem to have agreed, since neither mentioned those meters. Ritorni noted further that *novenario* was little used, deeming it too "prosaic" (*prosaico*), and argued that "what is not first melodious in poetry cannot be [so] in music."[11] In addition, these writers implied that certain meters (e.g., *quinario* and *settenario*) were more regular in their scansions than Moreen has indicated, by recogniz-

Table 1
Accented Syllables in Italian Poetic Meters

Meter	Moreen	Baini	Asioli	Ritorni
Binario	1			
Ternario	2			
Quaternario	3			
Quinario	1 or 2, 4	1, 4	4 (1 or 2)	4
Senario	2, 5	2, 5	2, 5	2, 5
Setternario	1, 2, 3, or 4, and 6	2, 4, 6; 4, 6	4, 6; 2, 4, 6; (2, 6)	4, 6; (3, 6)
Ottonario	3, 7	3, 7	3, 7, (5)	3, 7
Novenario	2 or 3, 5, 8	2, 5, 8; 4, 8	3, 5, 8	
Decasillabo	3, 6, 9	3, 6, 9	3, 6, 9	3, 6, 9
Endecasillabo	6, 10; 4, 8, 10; 4, 7, 10	6, 10; 4, 6, 8, 10; 4, 7, 10	6, 10; 4, 8, 10; 4, 6, 8, 10	6, 10; 4, 8, 10 (4, 6, 8, 10) (4, 7, 10)

ing a smaller number of normal accents. At the same time, numerous inconsistencies among these three theorists concerning the importance of specific accents and the number of acceptable treatments of individual meters demonstrates that the conventions of poetic accentuation were not uniform in every detail (table 1).

Ritorni's discussion, which provides the most explicit conceptualization of principles of textual accentuation seen in these three treatises, also diverges from Moreen's viewpoint in several more fundamental respects. First, Ritorni indicated that certain accents other than the *accento comune* have fixed positions in meters of six syllables or more, including the odd-numbered ones: "We form the line itself all in one piece, like [a] big poetic [foot], with the *longs disposed in certain fixed positions*" (my emphasis). (Ritorni's long syllables are given in table 1.)[12] Ritorni specifically addressed the issue of variable patterns of accentuation in *settenari,* arguing that most variants were atypical, and could inevitably be heard in terms of the standard arrangement with an *obbligato* accent on the fourth syllable (*settenario di quarta*). Commenting on "settenario di terza, in tripla," for which he cited as an example the line "Con sospir mi rimembra," he held that "in lyric songs proper the poet rejects it, because it fails to sustain the melody and breaks it up; and the musician could reject it, because it would mix triple and duple meter."[13]

In further contrast to Moreen, Ritorni distinguished not two, but three types of accents. Two of these are *accenti obbligati,* which are consistent from line to line within a given meter: (1) the accent on the penultimate syllable common to all meters (in Ritorni's words, "the indispensable final accent" ("l'ultimo accento indispensabile"); this is the equivalent of Moreen's *accento comune,* a term also used by Asioli); and (2) other accents that typify individual meters and always appear within those meters. The third type comprises *accenti casuali,* which can vary in their position from line to line within a given meter.[14]

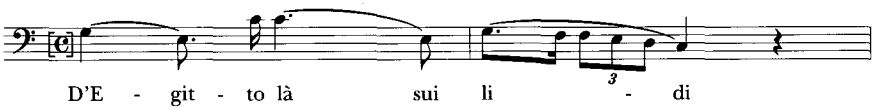
Ritorni's distinctions partly explain the disagreements among the three theorists regarding the accentuation of various meters: Ritorni considered only the *accenti obbligati,* while Baini and Asioli also included the most typical *accenti casuali* (without noting the differences). Ritorni's designation of *accenti casuali* also helps us to refine Moreen's assertion that meters having lines with odd numbers of syllables—and only those meters—may incorporate patterns of accentuation which vary from line to line. Since Italian poetic rules did not allow accents on consecutive syllables, and since in most meters the necessary *obbligato* accents are separated by at most two unaccented syllables (see table 1), *accenti casuali,* if they occur, must come before the *obbligato* accents in each line.[15] (*Ottonario* is the one exception to this rule, since the location of its *obbligato* accents on syllables 3 and 7 allows an *accento casuale* to fall in the middle of the line, on syllable 5.) In three of the odd-numbered meters (*quinario, settenario,* and *endecasillabo*), the first *obbligato* accent appears on the fourth syllable. Therefore, in these three cases, an *accento casuale* may fall on either the first or the second syllable. In meters having even numbers of syllables, however, the series of *obbligato* accents begins with either the second or the third syllable, preventing the occurrence of an *accento casuale* on the second syllable and allowing an *accento casuale* to fall on the first syllable only in *ottonario* and *decasillabo.*

In sum, variable non-obligatory accents may occur in a wider variety of situations than Moreen has acknowledged; that is, not only in odd-numbered meters: changing patterns of accentuation from line to line may occur in all meters except for *senario.* However, in even-numbered meters, such changes result merely from including or omitting *accenti casuali.* Only in odd-numbered meters can *accenti casuali* actually shift between the first and second syllables of consecutive lines. Consequently, although *accenti casuali* may appear in both even- and odd-numbered meters, they can produce a more audible and telling effect in the latter, since those meters provide the only opportunities for true fluctuations between conflicting patterns of accentuation.

Nineteenth-century discussions further contrast with Moreen's position by asserting that the characteristic accents of the poetic meter (*accenti caratteristici* or *accenti obbligati*) always receive musical stress: "the characteristic accent corresponds to an accented note."[16] As a corollary to this principle, Ritorni held that *accenti casuali* are not truly representative of a meter and therefore should not receive musical accentuation. Although he made this point in reference to *quinario,* it clearly had a more general application: "if ever . . . [either in *quinario*] *or in other meters* (my emphasis) musicians demand accents other than the obligatory accents and take into account *accenti casuali,* they exceed the limits of poetry and show that the origins of the two arts are not in accordance."[17] In Ritorni's view, the correspondence between musical and poetic accents begins not at the start of each line, but with the first *accento obbligato:* "the disposition of the accents should not start with [the beginning of] the line, but only at the moment when a downbeat can agree with the first obligatory [poetic] accent."[18]

Ritorni's argument has a bearing on our assessment of melodies in which Verdi and other *ottocento* composers may be presumed to have distorted the accentuation of the text. One example is Zaccaria's "D'Egitto là sui lidi" from act 1 of *Nabucco,* in which Verdi began his setting of the word "Egitto" on a downbeat (example 1).[19] In this case, as in many like it, Verdi's interpretation of the metric form of the poetry is correct by contemporary standards, since it merely ignores an incidental *accento casualo* (on syllable 2). Thus Verdi can hardly be faulted for mishandling the poetic meter, at least in its strictest interpretation. Passages like this one suggest that we should exercise caution when attempting to explain Verdi's rationale for "contradicting" poetic scansion in isolated instances. Although modern listeners might notice such disjunctions, Verdi probably relied on counter-accents "to keep the melody from becoming rhythmically too settled . . . [and] in some other cases . . . to urge the melody on through the tension between text accent and musical accent," much less frequently than Moreen has inferred.[20] Like Ritorni, Verdi and his listeners may in many instances not have heard a textual accent significant enough to produce such a decisive aesthetic effect.

Example 1. Verdi, *Nabucco,* act 1.



Lippmann's extended study of Italian melodic rhythm in the nineteenth century has prodigiously expanded our understanding of that topic and has paved broad avenues for continued investigation. Particularly in his substantial concluding section (part 3), Lippmann traced long-range trends toward greater uniformity of rhythmic motives in the melodies of Bellini, Donizetti, and early Verdi, toward increasing cohesion between vocal and accompanimental rhythms, toward more uniform phrase lengths within melodies, and toward the more frequent use of syncopation for expressive effect. And he discussed librettists' changing preferences for different poetic meters in various dramatic and formal situations and explains how motivic correspondences between melodies can often be accounted for in terms of the similar scansions of the texts that inspired them, rather than in terms of reminiscence or imitation.

The bulk of Lippmann's article (parts 1 and 2) presents a systematic taxonomy of *ottocento* melodic rhythms, which is laid out in multiple levels of groups and sub-groups. With this taxonomy, Lippmann sought to show a correspondence between the poetic meters of vocal texts and the specific patterns of musical durations to which those texts were set. Unlike Moreen's accent-oriented approach, which is echoed by contemporary theorists, Lippmann's view finds no parallel in their writings. In fact, both Ritorni (in the passage quoted in note 5 above) and Asioli denied the existence of a direct relationship between poetic meter and the patterns of durations in melodic rhythm. Asioli set out his position as follows:

> According to the laws of prosody, the long syllable is considered [to have] double the value of the short [one]. But in a musical phrase it is not weighted [so] rigorously, since, always having expressive variety as its aim, [the music] increases or diminishes its duration, with the single precaution of aligning it indispensably with the downbeat. The short syllable, which invariably is found on the weak beats of the measure, sometimes has the value of the long in a fast duple meter, [but] preserves its proper value—or half [that of the long]—in 3/4, 6/8, and 12/8 and falls most frequently in the smaller divisions of the weak beats, which, rushing, so to speak, toward the long syllable and the downbeat, render the accent much more lively and emphatic.[21]

Later, he emphasized the rhythmic diversity possible in different settings of the same poetic meter: "[In setting *decasillabi*] the composer gains an unlimited ability to vary [and] to expand and contract the notes and [thus] the duration[s] of the syllables; [he learns] to imagine for the same meter and words as many diverse phrases as can gush from his fervid fantasy, producing new and growing excitement in the listener."[22]

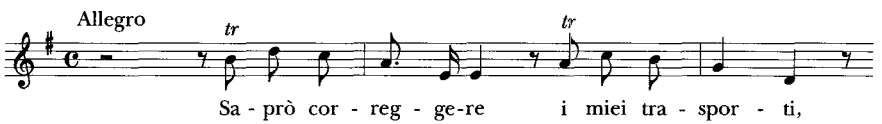
Although Lippmann's thesis lacks corroboration by contemporary theorists, it deserves careful consideration from an empirical standpoint, particularly given the massive body of evidence adduced in its support: Lippmann categorized all the melodies of Bellini and Verdi, most of those by Rossini and Donizetti, and many by a host of secondary composers. Unfortunately, such an evaluation is complicated by Lippmann's failure to stipulate precisely the aspect of melodic rhythm that he feels was influenced by poetic meter. That is, he does not say whether verse forms influenced all note-to-note rhythmic relationships or merely the rhythms to which the text is declaimed, two aspects of vocal rhythm that are equivalent only in simple syllabic settings. The title of Lippmann's study implies a focus on note-to-note relationships, as does his argument that the rhythms of instrumental dances grew out of ones already established in vocal music.[23] However, the patterns that characterize his rhythmic sub-groups are in most cases those of textual declamation, not the complete melodic rhythms of his examples. His descriptive headings for these sub-groups fail to clarify his position, since they refer in most cases only to such specific features as the use of an upbeat, a caesura, or syncopation.[24]

In any case, other features of *ottocento* text setting raise further questions regarding the degree to which poetic meter limited the range of musical possibilities. Melodic and declamatory rhythm often vary substantially from phrase to phrase within a single melody, particularly, but not exclusively, in works written early in the century. Lippmann's explanation that these variations represent shifts from subgroup to subgroup within rhythmic families is not particularly helpful, given the profusion of subgroups that his typology presents. (The number of principal categories, which are further divided into many more sub-categories, ranges from eleven in *quinario* to nineteen in *ottonario;* furthermore, within sub-categories, the rhythms of his examples are seldom identical.) Nor does his argument that these changes constitute responses to fluctuating accents from line to line in such meters as *quinario* and *settenario* seem entirely convincing, since in many cases the adjustments produce no greater consistency of declamation. Lippmann acknowledged that composers often failed to observe *sineresi*—the elision of adjacent vowels in the same word—and *sinalefe*—the elision of adjacent vowels in successive words. Yet he ignored the consequences of these irregularities, even though they cause the actual number of syllables set and their patterns of accentuation to vary from line to line in the same meter. Clearly in these instances—as well as in examples where words truncated by the poet are restored to their original form by the composer—musical factors, and not the scansion of the poetry, determined the composer's choices.

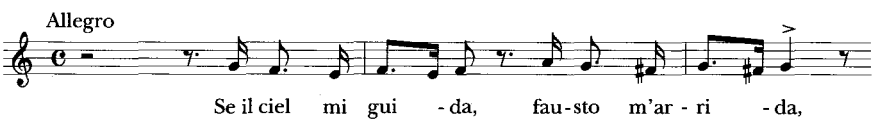
Even if we ignore, for the moment, the difficulties encountered in

applying Lippmann's typology to entire melodies and consider only the initial phrases of those melodies, the plethora of categories and sub-categories comprising the typology, as well as the marked deviations even among divisions within sub-categories, seems to contradict his view of the relationship between text and music. In many cases these variations among rhythmic types result in patterns of rhythmic closure that emphasize different pitches and consequently stress different syllables. Examples 2a and 2b quote representative melodies from the two subdivisions of Lippmann's Group IIIA in *quinario* (melodies that begin on non-accents within the measure in common time).[25] Example 2a provides local rhythmic closure (through motion from short notes to longer ones) and resulting stress on only the fourth and sixth syllables of its first phrase (moving to longer notes for those syllables), while example 2b has, in addition, rhythmic closure on the second syllable. Since in *quinario* the *accenti casuali* normally shift between the first and second syllables (as in example 2b), the second example would contradict in its rhythmic stress those textual accents whenever they fell on the initial syllable of the line (as in the second phrase of example 2b), whereas the first example would not. In short, Lippmann's evidence often fails to support his thesis, suggesting instead that poetic meter played at most a modest role in determining melodic rhythm in *ottocento* opera.

Example 2a. Rossini, *La gazza ladra,* act 2.



Example 2b. Rossini, *Tancredi,* act 2.



I believe that these problems with Lippmann's study arise because his typology is based on superficial morphological relationships among rhythmic motives rather than on ways in which rhythmic patterns serve to reinforce textual accentuation. If, instead, we were to study such functional relationships, we could present a stronger case for the existence of correspondences between rhythmic motives and poetic meters.

To do so, we must devise an objective method for comparing rhythmic treatments of different poetic meters. First, since lines with unequal numbers of syllables will necessarily require dissimilar rhythmic patterns for their declamation, we cannot compare directly the rhythms used for entire lines in different poetic meters. We can, however, examine groups of syllables—textual modules—each containing one textual accent, which fall in corresponding positions within their poetic lines. For these modules to be completely equivalent, they must share the same arrangement of possible accents and non-accents and have the same accentual relationship with the preceding or following modules. For example, *quinario* and *settenario* share two equivalent modules (see figure 1): (1) an opening module that consists of the three syllables preceding the first *obbligato* accent and that normally includes one *accento casualo;* and (2) a closing module that includes the necessary *accento comune* followed by one non-accented syllable in *piano* lines, two in *sdrucciolo* lines, and none in *tronco* lines.[26] In both meters the opening module is followed by an accent (on syllable 4), while the closing module is preceded by a non-accent (on syllable 3 in *quinario* and on syllable 5 in *settenario*). Although neither Asioli nor Ritorni describes poetic lines in terms of modules—and as we have seen above, Ritorni viewed poetic lines as unified wholes—the examples given in Ritorni's text show similar subdivisions, which are indicated by vertical strokes.

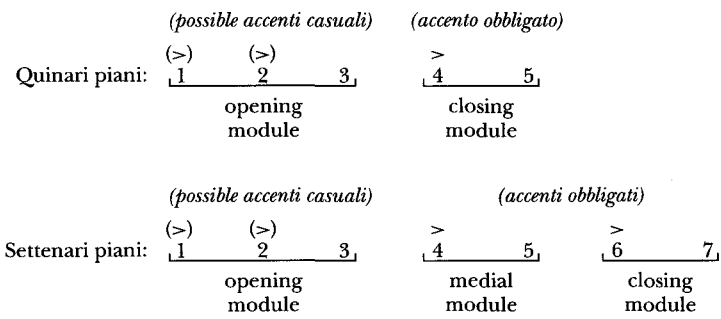


Figure 1. Corresponding Textual Modules in *quinario* and *settenario.*

In addition, we must categorize related rhythmic motives in terms of the two fundamental elements that create musical stress and non-stress. First, we must consider the position of the musical metric accent (or accents, if the primary accent on the first beat of the measure is accompanied by other, secondary accents) with respect to the textual module. As we have seen, this is the aspect of rhythm that most contemporary theorists emphasized. We must also examine the organization of local rhythmic closure and non-closure, or in the terms proposed by Eugene Narmour, the succession of closed "cumulative" rhythms (short-long), open-ended "counter-cumulative" rhythms (long-short), and non-closed "additive" rhythms (equal durations).[27] Asioli alluded to this secondary function for rhythm when he described unaccented syllables set to short notes rushing toward an enlivened poetic accent. Tables 2a and 2b catalogue the different types of two- and three-note rhythms in duple meter according to these two variables—position of accent and organization of closure and non-closure—and give an example for each category.[28]

Knowing this range of rhythmic possibilities enables us to evaluate composers' treatments of the declamation of *quinari* and *settenari* in $\frac{2}{4}$, $\frac{4}{4}$, ¢, or c by comparing the rhythms that accompany the two textual modules that they share in common. Table 3 lists the rhythmic motives employed in the settings of *quinari* and *settenari* that Lippmann has cited as examples.[29] Taken together, tables 2 and 3 substantiate Lippmann's underlying premise—that melodic rhythm is closely related to the poetic meter of the text being set—by demonstrating that from a large collection of possibilities *ottocento* composers actually chose only a very small number of rhythmic patterns for individual textual modules. Seen in this light, the range of rhythmic types for these two poetic meters is even more limited than Lippmann has recognized.

At the same time, the evidence presented in these tables contradicts Lippmann's assumption that such connections between poetry and music occur at the level of the musical phrase and the entire poetic line. Instead, they appear most clearly at the level of the motive and the textual module. Table 3 also shows that wherever *quinari* and *settenari* share equivalent textual modules, composers made no distinction between these two meters, drawing on the same rhythmic motives in both cases.[30] Moreover, poetic meter *per se* had little bearing on whether particular motives were combined in larger phrases. In both *quinario* and *settenario,* all combinations of the four opening and closing modules occur together with some frequency.

In short, composers tended to write similar rhythms for similar textual modules and made little effort to characterize individual poetic meters with musical rhythm when those meters allowed equivalent treatment. Instead, correspondences between musical motives and modular patterns

Table 2a
Possible Three-note Rhythmic Patterns.

Syllable Accented	Counter-cumulative					No Counter-cumulative Rhythm			
	Syllable 2		Syllable 3		Syllables 2 & 3				
	Cumulative Syllable 3	No Cumulative Rhythm	Cumulative Syllable 2	No Cumulative Rhythm	No Cumulative Rhythm	Cumulative Syllable 2	Cumulative Syllable 3	Cumulative Syllables 2 and 3	No Cumulative Rhythm
1									
2									
1 and 2				—			—		—
1 and 3									
2 and 3				—			—		—
1 and *2*				—			—		—
1 and *3*									

Note: Rhythmic patterns are given in common time.

Table 2b
Possible Two-note Rhythmic Patterns
(Examples given in common time.)

Syllable Accented	Counter-cumulative Syllable 2	Cumulative Syllable 2	No Cumulative or Counter-cumulative Rhythm
1			
2			
1 and 2			
1 and *2*			

Table 3
Distribution of Shared Rhythmic Modules in Examples of
Quinario (5°) and *Settenario* (7°) as cited by Lippmann

Opening Module, 3 Syllables			Closing Module, 3 Syllables			Closing Module, 2 Syllables		
	5°	7°		5°	7°		5°	7°
a. 	9	40	*j.* 	15	44	*q.* 	30	48
b. 	13	39	*k.* 	4	7	*r.* 	25	23
c. 	14	32	*l.* 	5	3	*s.*	6	7
d. 	17	16	*m.*	0	6	*t.* 	5	4
e.	1	9	*n* 	0	2	*u.* 	0	2
f. 	0	3	*o* 	0	1	*v.*	1	0
g. 	0	2	*p* 	1	0			
h. 	0	2						
i. 	0	1						

of poetic accent most likely resulted from the application of rules for text setting outlined earlier. A comparison of tables 2 and 3 shows, for example, that unlike the rhythms that composers rejected, the ones that they favored either reinforce musical meter with corresponding musical rhythmic closure and non-closure (as in 𝅗𝅥 ♩.♪, table 3, motive *a*) or at least avoid syncopated patterns in which rhythmic closure occurs on unaccented beats (for example, ♪♩ ♪, motive *h*, occurs only twice among the melodies examined). These preferred rhythms also tend to avoid excessive rhythmic and metric emphasis of a single syllable. For example, the rhythm ♩.♫, motive *o*, appears only three times (twice for opening modules in *settenario,* once for a closing module in *quinario*). And only one of the rhythms chosen for opening modules produces the metric ambiguity that can result from beginning on a secondary accent (𝅗𝅥|♩♩, motive *d*). Moreover, in two of the three cases where these opening rhythms begin with downbeats, they give a subordinate metric or rhythmic accent to syllable two, compensating to an extent for the shifting textual accent found in most *quinari* and *settenari:*

𝅗𝅥 ♩. ♪ and ♪ ♩ ♪
1 2 3 1 2 3

In contrast, many of the rhythms that appear infrequently or not at all place a subordinate accent on the third syllable, which consistently lacks accentuation in the poetry as does, for example:

𝅗𝅥 ♪ ♩.
1 2 3

The same factors that led to rhythmic correspondences whenever meters shared equivalent textual modules also resulted in contrasting settings for dissimilar meters, to the extent that they contain non-equivalent modules. For example, the opening three-syllable module in *senario* differs from those of *quinario* and *settenario* both because it includes a necessary *accento obbligato* on the second syllable instead of variable *accenti casuali* on syllables 1 or 2 and because the following module begins with a non-accent instead of the *accento obbligato* on syllable 4 found in the other two meters (see figure 2). Consequently, rhythmic patterns chosen for the opening module in this meter begin almost exclusively with upbeats.[31] Moreover, the two motives that appear most frequently in Lippmann's examples of melodies in common time provide secondary stress for syllable 3 involving either metric or rhythmic accent:

♩|𝅗𝅥 ♩ and ♩|♩ ♩., respectively.
1 2 3 1 2 3

The closing module in *senario* is more similar to those of *quinario* and *settenario,* since it includes the necessary *accento comune* on the penultimate

syllable in *piano* lines. However, in contrast, it also incorporates a preceding non-accent and thus comprises three syllables instead of two. For this reason, although it draws on the same rhythms as the other two meters for its last two syllables, it precedes them with an upbeat for its first syllable. Thus the rhythm ♩ ♩ (4 5) in *quinario* becomes ♩ | ♩ ♩ (4 5 6) in *senario.*

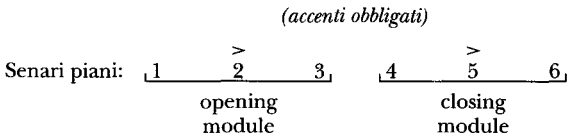


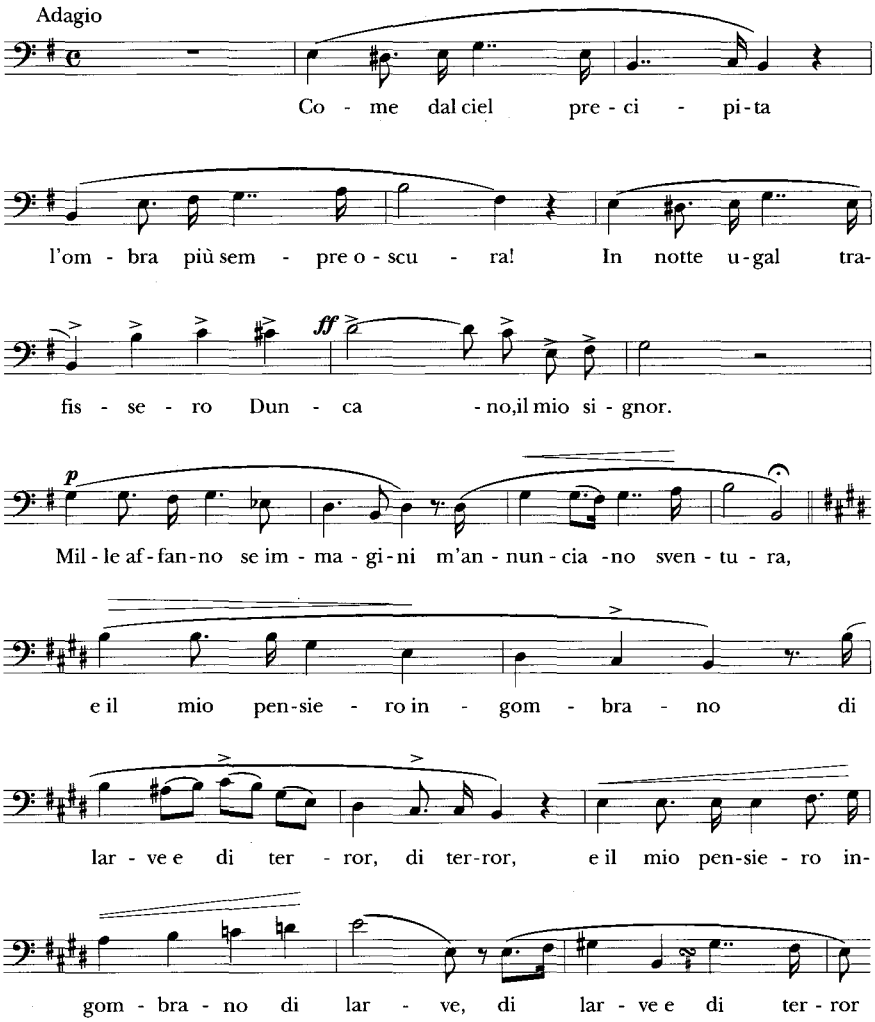
Figure 2. Textual Modules in *senario.*

* * *

So far, I have shown ways in which both musical meter and certain aspects of rhythm had a bearing on the treatment of textual declamation in *ottocento* melody. One other issue remains to be examined, that is, the accuracy with which theoretical formulations regarding textual and musical accentuation reflect the practices of librettists and composers. Briefly, librettists sometimes weakened or omitted the supposedly obligatory accents, giving greater importance to the *accenti casuali.* And, as Ritorni implied in a passage quoted earlier, composers often stressed those incidental accents and, in this respect, ignored or distorted the hierarchies of poetic accent that were described by theorists.

The relationship between theory and practice in the first half of the nineteenth century can be illustrated with a typical example, Banquo's *romanza* "Come dal ciel precipita" from Verdi and Piave's *Macbeth* (example 3). The poetic accentuation of its text, which consists of two quatrains of lyric *settenari,* and the rhythm to which its text is declaimed are diagrammed in figure 3. The *accento comune* is always present, as both Ritorni and Moreen have suggested it should be. Contrary to theoretical dictates, however, Piave failed to supply three of the additional *accenti obbligati* that should fall on the fourth syllable of each line. Instead he provided either a subordinate part of speech (a possessive pronoun, as in line 4, or a preposition, as in line 8) or the secondary accent within a word (line 6, the last syllable of "annunciano"), rather than a decisive *accento obbligato.* In accordance with Ritorni's and Asioli's rules, Verdi aligned the *accenti obbligati* that do appear in the remaining five lines with primary or secondary musical accents. Moreover, his setting recognizes the superior status of the *accenti comuni* by emphasizing them at least as strongly as any other textual accents: as Asioli prescribed, they always coincide with down-

Example 3. Verdi, *Macbeth,* act II.



beats. Although Verdi stressed somewhat the weakly accented fourth syllables in lines 4, 6, and 8 by aligning them with secondary musical accents—and even gave one of them rhythmic stress in line 6—he defined them less decisively in lines 4 and 8 by setting them to additive rhythms.

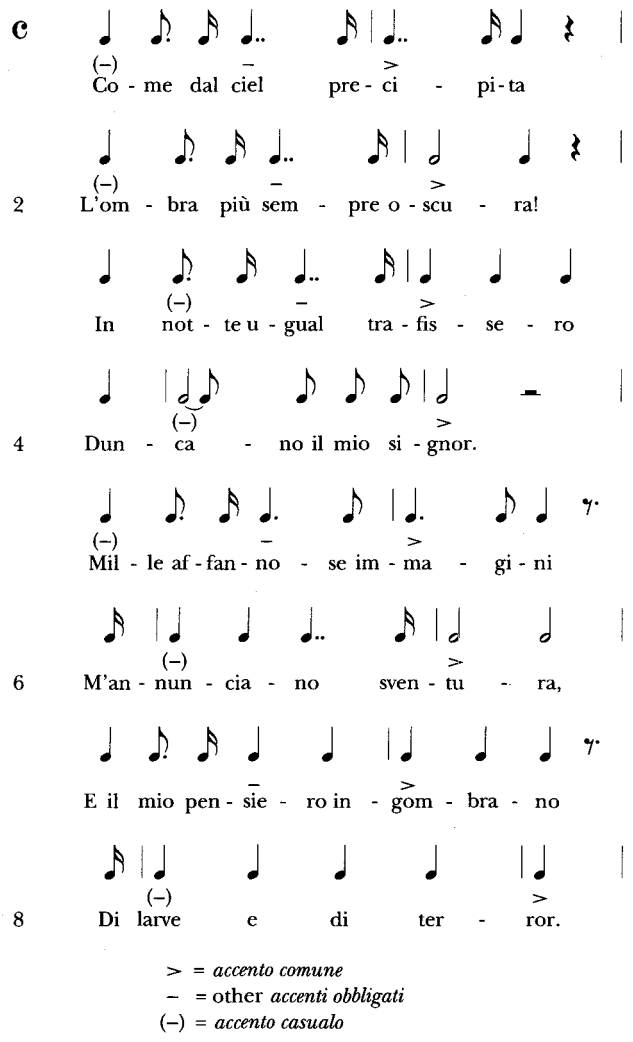


Figure 3. Textual Declamation in "Come dal ciel precipita."

In "Come dal ciel" the rhythms to which the text is declaimed almost always fall into categories that we have found to be standard in the *primo Ottocento.* For example, the principal opening motive (♩ ♪♪) is a diminution of the most common rhythm used in settings of *settenari* (𝅗𝅥 ♩.♪). In one case—the medial motive ♩.. 𝅘𝅥𝅯 seen in lines 1, 2, 3, and 6—Verdi wrote a variant of a more basic rhythm, ♩.♪ (line 5), preserving its metric alignment but exaggerating its lack of closure to reinforce the agitated quality of the melody. The only type of motive in this melody that cannot be found in Lippmann's examples for *settenari* is the opening motive ♩|𝅗𝅥 ♪♪ in line 4, which nonetheless comes close to the more typical motive ♩|𝅗𝅥 ♩ in its treatment of rhythmic closure, although its last note does not fall on a secondary metric accent.

Like his contemporaries—and in accordance with theoretical guidelines—Verdi sometimes undercut *accenti casuali* to maintain uniform rhythms either from line to line (when poetic accents shift) or from an initial presentation of a melody to later ones with different texts. Yet he rarely ignored them entirely. Like Rossini, Bellini, and Donizetti, he normally gave those accents musical emphasis whenever they fall consistently on the same syllable in consecutive lines, as they do in most examples of even-numbered meters and in some examples of odd-numbered ones.[32] Even in setting texts with shifting accents, Verdi took the *accenti casuali* into account either by giving the more frequent textual accent musical emphasis or by varying the prevailing motivic rhythm slightly to make it conform.[33] In "Come dal ciel," for example, the initial downbeat opening of the melody corresponds to accents on the first syllables of lines 1, 2, and 5. Verdi adjusted the rhythm in lines 4, 6, and 8 to accommodate their accented second syllables. Since the beginning of line 7 lacks a clear accent, only in line 3 does a musical accent (on the downbeat) fail to correspond to an *accento casuale.*

Like his contemporaries, Verdi also acknowledged the importance of the *accenti casuali* by avoiding settings in which an accented initial syllable of a line would fall on an upbeat, an arrangement that would juxtapose a subordinate textual accent on the weakest beat of the measure with a non-accent on the strongest one.[34] Verdi and other composers did allow accented syllables to fall on the second beat of the measure, immediately after the downbeat.[35] However, just as they chose rhythmic motives that underscore the accentuation already provided by musical meter, they also tended to reject rhythms that reinforce this metric counter-accentuation of the *accenti casuali,* as in the following hypothetical example:

Instead, they preferred additive or weakly counter-cumulative constructions in which the textual accent has its proper rhythmic relationship to the following textual non-accent, as in line 3 of "Come dal ciel":

In fact, decisive "counter-accentual" rhythms seldom occur unless an *accento casualo* is considerably weaker than the *obbligato* accents.[36]

As I noted earlier, musically unstressed *accenti casuali* occur occasionally in Verdi's early operas, but seem not to represent a conscious manipulation of the text-music relationship. However, in several of Verdi's middle-period operas, such conflicts appear much more frequently in individual melodies and across entire operas. Among those works, this tendency may be observed most clearly in *Il trovatore,* where counter-accentuation contributes to the nervous quality of numerous melodies and underscores dramatic tension in the opera as a whole. Although in this opera Verdi sometimes fell back on a conventional treatment of textual declamation that conforms to his earlier practice,[37] such traditional settings serve in part to highlight other, less regular ones in which he contradicted principles that had guided accentuation in his earlier works. In some instances he rejected his prior approach of accenting the majority of *accenti casuali.*[38] He also wrote several melodies in which *accenti casuali* are mis-aligned until the final lines, where a renewed congruence of text and music releases the tension created in the earlier part of the melody.[39] In others, *accenti casuali* on the first syllables of lines occasionally fall on upbeats, creating a type of counter-accentuation that he had tended to avoid earlier in his career.[40] The most striking cases leave *accenti obbligati* unaccented, while stressing the *accenti casuali* correctly. For example, in the opening stanza of Azucena's "Condotta ell'era in ceppi" (act 2, in *settenari doppi*) Verdi repeatedly set the *obbligato* accent on the fourth syllable of each half line in a metrically weak position, but consistently observed the *accenti casuali,* even adjusting the rhythm in the second half of line 2 and the first half of line 5 to accommodate the shift of textual accent from the second syllable to the first. These examples indicate that among the techniques for enhancing the flexibility and expressiveness of his dramas that Verdi explored during his middle period were new ways of generating aesthetic tension by manipulating the norms of textual declamation.

* * *

Despite their inconsistencies, the three contemporary theoretical discussions of textual declamation examined in this study serve as an indis-

pensable tool for understanding *ottocento* attitudes toward this crucial aspect of compositional technique. They indicate that Verdi and his predecessors were probably more aware of relationships between poetic meter and musical accentuation—the viewpoint presented by Moreen—than of those involving conventionalized patterns of rhythmic durations—the one proposed by Lippmann. In fact, contemporary rules for organizing poetic lines and for observing different types of textual accents in musical settings explain, to a great extent, the existence of the families of rhythmic motives that Lippmann has cataloged. Although such taxonomic relationships between poetic meters and rhythmic types probably did not play a significant role in the compositional process, empirical re-examination of *ottocento* practice has shown that a different aspect of rhythm—the organization of local rhythmic closure and non-closure—did fulfill a crucial function, often serving to reinforce the accentuation provided by musical meter. Furthermore, by revealing the extent to which composers and librettists diverged from textbook rules both in everyday usage and when seeking unusual expressive effects, our comparison of theoretical axioms and *ottocento* practice confirms the assumption that those artists relied more on their own intuitions than on academic standards. Perhaps most importantly, these conclusions show that the act of setting text was less a selective process—in which compositional solutions were chosen from families of conventionalized possibilities—than a more freely generative one, in which compositional decisions were informed by basic principles of musico-poetic accentuation.

NOTES

The author is grateful to Gary Tomlinson for his help in preparing this essay.

[1] Jacopo Peri, "Forward" to *Euridice,* translated in *Source Readings in Music History,* vol. 3, *The Baroque Era,* ed. Oliver Strunk (New York: W. W. Norton, 1965), 14.

[2] Giuseppe Baini, *Saggio sopra l'identità de'ritmi musicale e poetico* (Firenze: Piatti, 1820); Bonifazio Asioli, *Il maestro di composizione,* 2nd ed., 3 vols. (Milano: Ricordi, [1836], pl. nos. 5947–49); and Carlo Ritorni, *Ammaestramenti alla composizione d'ogni poema e d'ogni opera appartenente alla musica* (Milano: Pirola, 1841), an edition of which is being prepared by Professor Alessandro Roccatagliati. Although numerous treatises from this period contain discussions of rhythm, these three are, to my knowledge, the only ones which deal substantively with the rhythmic relationship between poetry and music.

[3] "Si rassomigliano nel numero, nella proporzione, nella simmetria, nella continuazione indefinita de ritorni eguali degli accenti musicali e poetici, nella ripetizione uniforme dei piedi somiglievoli porporzionati alla ripetizione uniforme delle musicali battute." Baini, *Saggio,* 5.

Baini (1775–1844) was a musicologist, composer, and teacher, who based his activities in Rome. He held the position of general administrator of the college of papal singers from 1819 until his death, wrote a famous biography of Palestrina, and edited an early collection of the composer's works. See Sergio Lattes, "Baini, Giuseppe (Giacobbe Baldassarre)," in *The New Grove Dictionary of Music and Musicians* (London: Macmillan, 1980), 2:40.

[4] "Si può dire che le Frasi musicali sono Decasillabe, Novenarie, Ottonarie, Settenarie, ec." Asioli, *Maestro di composizione,* 3:38. Page numbers in subsequent references refer to this volume.

Asioli (1769–1832) was a composer of theatrical and instrumental works, writer of numerous treatises, keyboard player, and teacher. He held positions in Correggio, Turin, Venice, Paris, and, most importantly, Milan. In Milan he taught composition, directed the chapel of the Viceroy of Italy, and headed the newly founded Conservatory. See Andrea Sommariva, "Asioli," in *Dizionario enciclopedico universale della musica e dei musicisti* (Torino: UTET, 1985), 1: 157–58.

[5] "They claim that in the Greek association of music and poetry the result for both was perfect—thanks to the shorts and longs common [to both]—rather than [requiring that] the poetry serve . . . melody and harmony. Among us it is certainly not so, because the greater number of short notes compared to long ones cannot provide the poetry with a frequent, fixed return of the accent, either alternately or [after] every two short notes." ("Si pretende che nella greca sociazione de quella musica e poesia perfetto fosse il risultamento d'entrambe, mercè le comuni brevi e lunghe; cheanzi le poetiche servisser . . . alla melodia, all'armonie. Fra noi certamente non è così, anco perchè il maggior numero delle brevi sulle lunghe non può fornir alla poesia il frequente, ordinato ritorno del battere, or alternativamente, or ogni due brevi.") Ritorni, *Ammaestramenti,* 103–4. See also pp. 105–11.

Count Carlo Ritorni (1786–1860) lived most of his life in Reggio nell'Emilia. A lover of music, architecture, and poetry, he held several political and administrative offices in Reggio and became one of its most illustrious citizens. He wrote extensive chronicles and memoires of theatrical life in that city, as well as two important treatises, the *Ammaestramenti* and the earlier *Consigli sull'arte di dirigere gli spettacoli* (Bologna: Nobili, 1825). On Ritorni's life and writings see Magda Prati, *Carlo Ritorni: I suoi scritti e le sue idee sul melodramma,* Bollettino storico reggiano, vol. 5 (1972).

[6] Robert Anthony Moreen, "Integration of Text Forms and Musical Forms in Verdi's Early Operas" (Ph.D. diss., Princeton University, 1975), 9–26; and Friedrich Lippmann, "Der italienische Vers und der musikalische Rhythmus. Zum Verhältnis von Vers und Musik in der italienischen Oper des 19. Jahrhunderts, mit einem Rückblick auf die 2. Hälfte des 18. Jahrhunderts," *Analecta musicologica* 12 (1973): 253–369; 14 (1974): 324–410; and 15 (1975): 298–333.

[7] This table includes information adapted from Moreen, *Text Forms and Musical Forms,* 13–19; Baini, *Saggio,* 5–6; Asioli, *Maestro di composizione,* 38–41; and Ritorni, *Ammaestramenti,* 106–109. Moreen drew his data from two recent textbooks on Italian poetry: Bruno Migliorini and Fredi Chiappelli, *Elementi di stilistica e di versificazione italiana* (Firenze: Le Monnier, 1960) and Alberto del Monte, *Retorica, Stilistica, Versificazione* (Torino: Loescher, 1968).

In table 1, numerals designate syllables on which accents are said to occur. Numerals in parentheses indicate accents which, according to these writers, are less common than those given without parentheses. Semicolons separate different possible patterns of accentuation for a given meter. For example, according to Asioli, in *settenario,* accents may fall on syllables 4 and 6, or on 2, 4, and 6, or less frequently on 2 and 6.

[8] In traditional Italian versification, *piano* lines have the number of syllables stipulated by the name of the meter. For example, *quinari piani* have five syllables. *Tronco* and *sdrucciolo* lines actually have one syllable less or more, respectively, than their names suggest. Thus, *quinari tronchi* have four syllables; *quinari sdruccioli,* six syllables.

[9] Asioli related musical tempo—by which he refers to the "meter" of modern usage—to poetic declamation ("al numero delle sillabe") and to poetic accentuation ("agli accenti o sillabe lunghe," *Maestro di composizione,* 37). Baini employed the "ritmo" of his title to mean our "meter": "Here it pleases me to point out such a similarity, which relates musical rhythm

and the rhythm of measured verses in the progression of the accents and the beats three by three, four by four, and five by five." ("Piacemi qui di additare una cotal somiglianza, che passa fra il ritmo musicale, ed il ritmo delle versificazioni armoniche nella progression degli accenti e delle battute di terza in terza, o di quarta in quarta, o di quinta in quinta." Baini, *Saggio,* 5. See also pp. 1–2 and 6.) Each of Baini's groupings includes the downbeats of two successive measures, so that, for example, in his terms a progression "three by three" ("di terza in terza") refers to duple meter.

[10] For example, for *settenario,* none of these theorists mentioned possible accents on syllables 1 and 3.

[11] "Non può esser dunque melodioso in musica ciocchè prima in poesia non è" (*Ammaestramenti,* 108).

[12] "Formiamo il verso stesso tutto d'un pezzo, quasi grande piedi, colle lunghe disposte a certe sedi fisse." Ritorni, *Ammaestramenti,* 104. Baini's and Asioli's formulations indicate that they too recognized this principle. See Baini, *Saggio,* 5–6, and Asioli, *Maestro di composizione,* 38–41.

[13] "Nelle canzoni propriamente a cantarsi rifiutalo il poeta, perchè non sostien, e disperde la melodia, e lo potrebbe rigettar il filarmonico, perchè gli farebbe mescolar il tempo dispari al pari" (*Ammaestramenti,* 109). Ritorni and other theorists equated *tempo dispari* with triple meter, *tempo pari* with duple meter.

[14] Ritorni, *Ammaestramenti,* p. 109; Asioli, *Maestro di composizione,* 40. *Accenti obbligati* were also termed *accenti caratteristici* by Ritorni and *accenti necessari* by Asioli.

[15] In his discussion of *quinario,* Asioli implied that accents are best separated by fewer than three non-accents: "*Quinario* has no other obbligatory accent than [that] on the fourth [syllable]; but if it should also have one on the first or second, it would become much more harmonious, since instead of beginning with three short unaccented syllables, it would begin [with an accent] on the first or second [syllable] over a weak beat, to have it end strongly on the *accento comune.*" ("Il Quinario non ha altr'obbligo di accento che sulla 4.ª: ma se l'avrà ancor sulla 1.ª, o sulla 2.ª, diverrà molto più armonioso, giacchè la frase, invece di cominciare con tre sillabe brevi in levare, comincierà sulla 1.ª, o sulla 2.ª sopra il movimento debole, per avere la sua desinenza sull'accento comune nel forte" [*Maestro di composizione,* 40].)

[16] "L'accento caratteristico risponde ad una nota tempo in battere" (*Ammaestramenti,* 106).

[17] "I musici . . . qualora in questo verso, e in altri richieggano accenti oltre gli obbligati e tengano conto di accenti casuali, van più oltre de'limiti dell'arte poetica, e fan vedere che nonbene s'accordano le origini delle due arti" (*Ammaestramenti,* 109).

[18] "L'ordine delle battute non suole cominciar col verso, ma solamente allorchè può accordarsi una nota in battere col primo accento obbligato" (*Ammaestramenti,* 106). Asioli expressed a similar concern in his discussion of *ottonario:* "The necessary accents of *ottonario* fall on the third and seventh [syllables]. [Consequently] the composer must begin the [musical] phrase two notes before the [first] downbeat, so that the first accent is situated on a strong beat. The three following short syllables occur in the remainder of the measure, in order for the accent on the seventh syllable to fall on the first beat of the next measure." ("Gli accenti necessari dell'Ottonario cadono sulla 3.ª e 7.ª, per cui il Compositore deve cominciare la frase due note prima del battere, affinchè il primo accento si trovi sul tempo forte, e le tre brevi seguenti abbiano luogo nel rimanente della misura per cadere coll'accento della 7.ª sul primo movimento dell'altra misura" [*Maestro di composizione,* 40].)

[19] This and a number of similar melodies have been cited by Lippmann ("Vers und Rhythmus" [1975]: 313) to illustrate the "gross violations of the rhythm of the individual poetic line" ("große Verstöße gegen den Rhythmus des einzelnen Verses") by Verdi and others.

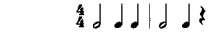
[20] Moreen, "Text Forms and Musical Forms," 25.

[21] "La Sillaba lunga, seguendo le leggi della prosodia, è considerata del doppio valore della breve. Ma nella Frase musicale non è valutata a rigore, poichè questa, avendo sempre di mira la varietà di concento, le accresce, o le diminuisce la durata, coll'unica avvertenza di collocarla impreteribilmente sul tempo ritmico. La sillaba breve, che invariabilmente trovasi sui tempi deboli della misura, è talvolta del valore della lunga ne'tempi veloci e pari, conserva il proprio valore, ossia la sua metà, nelle Triple, Sestuple e Dodecuple, e cade spessissimo nelle frazioni più minute dei tempi deboli, le quali, precipitandosi, quasi direi, sulla sillaba lunga, e sul tempo ritmico, ne rendono l'accento assai più vivo e più rimarcato" (*Maestro di composizione,* 38). As Renato Di Benedetto has observed, Asioli did recognize a relationship between harmonic rhythm and poetic accent and non-accent. See "Lineamenti di una teoria della melodia nella trattatistica italiana fra il 1790 e il 1830," in *Colloquium: Die stilistische Entwicklung der italienischen Musik zwischen 1770 und 1830 und ihre Beziehungen zum Norden (Rom 1978), Analecta musicologica* 21 (1982): 431.

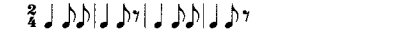
[22] "Qui il compositore acquista un'illimitata facoltà di variare, accrescere e diminuire le note, e la durata delle sillabe; come pure d'immaginare sullo stesso metro e parole, tante e diverse frasi quante ne possono scaturire dalla sua fervida fantasia, ciò che produrrà sempre nuovo e crescente allettamento nell'uditore" (*Maestro di composizione,* 39).

[23] "Vers und Rhythmus" (1973): 258–60.

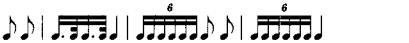
[24] For example, his first subgroup of *quinario* is described as "melodies in all meters that begin with the succession long-short-short" ("Melodien aller Taktarten mit Beginn in der Relation lang-kurz-kurz") in the following form:



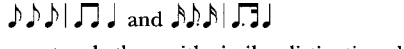
This category includes examples as different in their note-to-note rhythms as:



(Isabella's "Per lui ch'adoro," *L'Italiana in Algeri,* act 2, Lippmann's ex. 27d) and:

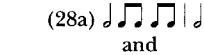


(Tancredi's "Di tanti palpiti," *Tancredi,* act 1, Lippmann's ex. 27c). (See "Vers und Rhythmus," [1973]: 279). Only rarely does Lippmann differentiate rhythmic sub-groups by their note-to-note melodic rhythms. See, for example, pp. 289–90, where he distinguishes two types characterized by the rhythms:



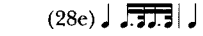
More often, however, he incorporates rhythms with similar distinctions between steady note values and dotted patterns into single subgroups, as in his following examples (p. 280):

(28a)



and

(28e)



[25] "Vers und Rhythmus" (1973): 289–90, examples 45b and 46a.

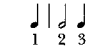
[26] In addition to these opening and closing modules, *settenari* also incorporate a medial module (accented syllable 4 and non-accented syllable 5; see figure 1) which are not found in *quinari* and which, therefore, would not enter into this comparison.

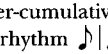
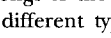
[27] Narmour has explained rhythmic closure and non-closure in *Beyond Schenkerism: The Need for Alternatives in Music Analysis* (Chicago: University of Chicago Press, 1977), 148–52. I have drawn on his terms to facilitate my own discussion of this issue.

Primary accents may coincide with syllables 1 or 2 of the opening textual module in *quinario* and *settenario,* but not with syllable 3, because syllable 4 in these meters is an *obbligato* accent which, according to contemporary rules, must be preceded by a non-accent or weaker accent; secondary accents may occur on any one of the three syllables. Cumulative or counter-cumulative rhythms may be completed by syllable 2, syllable 3, both, or neither. Naturally, a single syllable cannot complete cumulative and counter-cumulative rhythms simultaneously.

[28] In tables 2a and 2b, in the column "Accent," an italicized numeral indicates that the syllable in question falls on a downbeat; a non-italicized numeral indicates that the syllable falls on a secondary accent (the third beat in common time). Across table 2a, headings in the top line indicate whether or not a counter-cumulative rhythm occurs and which syllable (if any) carries the note that completes that rhythm (for example, "Counter-cumulative Syllable 2" means that a counter-cumulative rhythm ends on the second syllable of the module). Headings in the second line indicate whether or not cumulative rhythms occur and which syllable (if any) carries the note that completes that rhythm (for example, "Cumulative Syllable 3" means that a cumulative rhythm ends on the third syllable of the module). Column headings in table 2b are similar to those in table 2a. Bar lines are indicated by vertical strokes whenever they fall within the rhythmic patterns. Otherwise, the first note of a rhythmic pattern falls on the downbeat of the measure.

Augmentations or diminutions of the rhythms represented by the categories presented in these tables are considered to be variations of simpler forms, as are patterns which intensify points of closure or non-closure by exaggerating rhythmic motion. As one illustration, in the poetic-rhythmic module:

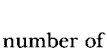


the primary accent falls on syllable 2, a secondary accent on syllable 3. Syllable 2 completes a cumulative rhythm, syllable 3 a counter-cumulative rhythm. Consequently, in table 2a this rhythm falls in column 3, line 5. The rhythm  , which intensifies the same points of rhythmic closure and non-closure, belongs to the same category as my first example. However, the rhythm represents a different type, because its third note completes an additive rhythm instead of a counter-cumulative one. It constitutes a variant of the rhythm  , which appears in column 6, line 5. This system of categorization obviously ignores some rhythmic distinctions that influence melodic affect in order to distinguish and correlate rhythms according to the function that most concerns us, that is, their accentuation of the text.

[29] In table 3, numerals indicate the number of occurrences of each type for each meter. The collection of several hundred examples quoted in Lippmann's article provides a convenient and, I believe, reliable data-base for this type of investigation.

[30] The same closing motives also dominate the remaining poetic meters (*senario, ottonario, novenario,* and *decasillabo*). However, because these meters have non-equivalent opening modules, they necessarily elicit different sets of opening rhythmic patterns.

[31] Lippmann's examples show the following distribution of rhythms:



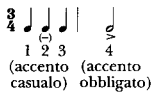
[32] See, for example, Lady Macbeth's "Or tutti sorgete" in *senari doppi* (act 1) and Luisa's "Lo vidi, e'l primo palpito" in *settenari* (*Luisa Miller,* act 1).

[33] It is not at all clear that the trend toward "misplaced" accents intensified when motivically uniform melodies became more commonplace, as Lippmann has suggested ("Vers und Rhythmus" [1975]: 313). In fact, Rossini often wrote more obvious counter-accentual rhythms than later composers would have done in similar contexts. As they more consistently unified

their melodies through motivic repetition, Rossini's followers demonstrated increasing care in balancing the needs of rhythmic symmetry with those of proper textual accentuation.

[34] For example, in "Pietà, rispetto, amore" (*Macbeth,* act 4), he varied the prevailing opening rhythm in lines 5 and 7 (from to) to place their accented first syllables on downbeats.

[35] The following pattern appears frequently in Verdi's melodies:



as in "Deserto sulla terra."

[36] For example, in line 6 ("Le profetesse il trono") of Lady Macbeth's "Vieni! t'affretta! accendere" (act 1), Verdi could put considerable stress on the opening article *Le* because neither of the two ensuing syllables provides a strong accent.

[37] For example, he still devised rhythms that conform to the *accenti casuali* whenever they remain consistent from line to line or, occasionally, adjusted his rhythms to compensate for shifting *accenti casuali.* See Leonora's cabaletta in act 1 ("Di tale amor che dirsi"), in which the *accenti casuali* fall on the second syllable except in line 7, and her "D'amor sull'ali rosee" (act 4), where beginning in line 4 Verdi wrote new rhythms to accommodate the now prevalent stress on the second syllable.

[38] See, for example, Ferrando's "Abbietta zingara" (act 1), in which the predominant accent on syllable 2 is repeatedly set as the second beat of the measure.

[39] See Manrico's stanza "Nè m'ebbe il ciel, nè l'orrido" from the finale of act 2, in which the *accenti casuali* are mostly non-congruent with the musical accents until the final two lines.

[40] See, for example, lines 3 and 4 of Azucena's "Deh, rallentate, o barbari" (act 3, trio).

System and Impulse: Three Theories of Periodic Structure from the Early Nineteenth Century

by George Fisher

Although musicians have long been thinking about music hierarchically, only recently have we begun to think about hierarchy, by which I mean the graduated arrangement of objects, units, or perceptions. Thanks to the pioneering work of Leonard Meyer and more recent contributions by other writers, the scholarly community is becoming more aware of the role that hierarchical organization plays in our thought.[1] Some writers have chosen to demonstrate the variety of ways in which hierarchical systems can be conceived; others have addressed hierarchical aspects of our perception. In this essay, I propose to examine the different ways that hierarchical systems have been constructed and invoked within a narrowly focused body of past theoretical writings.

The writings to be discussed are by Jérôme-Joseph de Momigny (1762–1842), Antoine Reicha (1770–1836), and Adolph Bernhard Marx (1795–1866). All three theorists participate in the tradition of thinking and writing about musical form that extends roughly from Heinrich Christoph Koch in the late eighteenth century to Hugo Riemann in the late nineteenth and early twentieth centuries.[2] The aspect of their work that will be explored in this essay is their thinking about periodic structure, by which I mean specifically the arrangement of musical materials into formal units at and below the level of the period.[3]

None of these writers took the construction of a theory of periodic structure as the main purpose of their work. Reicha perhaps came closest to this project. In *Traité de mélodie,*[4] upon which the present discussion is based, Reicha takes melody as his subject; he sees the period as the essence of melodic structure and proceeds to a description of its parts. Marx and Momigny, on the other hand, offer courses of instruction in composition; they address formal design on both the large and small scales within that context. In *Die Lehre von der musikalischen Komposition* (hereafter, *Kompositionslehre*),[5] Marx adopts a melodic approach applied to the major scale to achieve his pedagogical goals. Momigny, in *Cours complet d'harmonie et de composition* (hereafter, *Cours complet*),[6] bases principles of musical construction on the *proposition musicale,* an element that is essentially harmonic and rhythmic in nature. To illustrate their ideas, the writers draw on examples of music roughly contemporary to them. Momigny and Reicha rely heavily on Haydn and Mozart as well as other composers of lesser stature; Marx pays his greatest homage to Beethoven.

Despite differences in purpose, approach, and repertory, all three writers acknowledge the period (*période, Periode*) as a fundmental unit of form. The use of equivalent terms for a fundamental formal unit and the rough similarity of conceptions corresponding to them provides the justification for extracting the discussions about periodic structure from the broader contexts in which they occur. Below the level of the period, the three writers arrange the musical materials in different ways. A close study of these differences helps focus attention on the more abstract considerations of hierarchy.

An overview of the terminology and arrangement of the three systems is given in table 1. The reader should be forewarned that none of the three systems is ever formulated in the original treatises in precisely the way the example indicates. The parenthetical and alternate readings represent possible interpretations that arise from discussions in different parts of each treatise.

Table 1
Overview of the Three Systems

Momigny	Reicha	Marx
période	période	Periode
vers	rhythm or membre	Satz
hémistiche > phrase?	dessin	Gang or Abschnitt
proposition	(petit dessin?)	Motiv or Glied

The three systems share a terminology borrowed from the description of language, as was common in the nineteenth century and remains prevalent today. Apart from the designation of "period" for the highest level, however, the terms themselves and the kinds of meanings they invoke differ widely. Two general observations about the terminology merit special consideration. The first is that some terms apply to more than one level. The clearest example of this appears in Momigny's system, where *phrase* refers to both of the middle levels. A less obvious example occurs in Reicha's system, where *dessin* and *petit dessin* refer to the two lowest levels. The second observation is that some levels are represented by more than one term. Reicha's system employs both *rhythme* and *membre* for the level below the period; Marx's system uses *Gang* and *Abschnitt* for the third level down, and *Motiv* and *Glied* for the fourth. In both cases, terms suggesting motion (*rhythme, Gang, Motiv*) are coupled with terms suggesting division or stasis (*membre, Abschnitt, Glied*).

In the following three sections of this paper, I shall discuss each theory individually, paying particular attention to the ways the systems are constructed and to the agents of rhythmic motion or impulse within them. The final section will draw conclusions about the primary areas of theoretical interest for the three writers, the number and formal integrity of levels in their hierarchic models, the dynamic and static qualities of their conceptions, and the significance of the dual aspects of their terminologies.

* * *

Momigny's ideas on musical organization take their first shape in *Cours complet.* It begins with a discussion of individual materials and moves to a consideration of how they combine into larger units. In the process it covers nearly all the bases of traditional harmony and counterpoint and provides several short musical examples as well as two extended works for analysis.

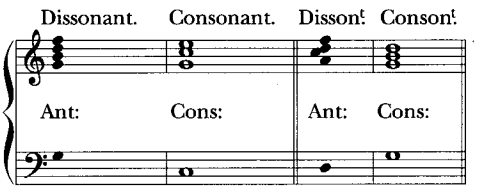
One of the assertions that runs throughout the book is that music is a natural language (*une langue naturelle*). As a language, it is governed by the same elements of discourse that govern verbal languages, which he calls languages of convention (*les langues de convention*).[7] As something natural, it is both universally understood and based in the physical world. The materials of music—isolated notes, intervals, and chords—are described as ideas (*idées*). Only when two ideas are linked together does one achieve a thought (*pensée*).[8]

The first and most important syntactical unit of the musical system is the *proposition musicale* or *cadence harmonique.* It consists of a consonant or dissonant chord linked to a consonant chord; the first is the antecedent and the second is the consequent (example 1). The word *proposition* makes explicit the analogy with conventional language. According to his argument, a grammatical proposition consists of two essential words, a subject and an attribute, linked by an inessential verb. Since music is a natural language, it dispenses with inessential elements. In a musical proposition, therefore, the verb is dropped and only two ideas remain.[9]

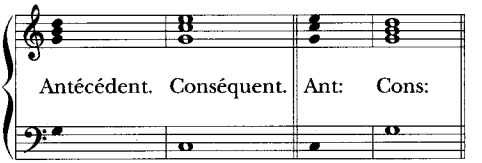
The *proposition musicale* is constituted rhythmically as well as harmonically. It consists of a *levé,* or upbeat, followed by a *frappé,* or downbeat. For Momigny, the fundamental rhythmic movement is thus from weak to strong, and finds its counterpart in the biological processes of walking, breathing, and heartbeat.[10] The *proposition musicale* has a natural tendency to perpetuate itself at regular intervals. It therefore defines a unit of measure, conceived as the combination of upbeat and downbeat. True measures are not confined between barlines as one is led to believe by the notated

Example 1. *Proposition Musicale* (*Cours complet,* Planche 6 [III, p. 21]).

CADENCES ou Propositions Musicales
formées de deux Accords Consonnans.



CADENCES ou Propositions Musicales
formées par un Accord Dissonant et
un Accord Consonnant.



score, but stretch across them. Because of this tendency toward self perpetuation, the proposition is not only the primary syntactical unit in the musical system, but also its primary agent of impulse.

In the introductory section, Momigny refers to the ways in which isolated elements unite to form "*des propositions, des phrases ou des périodes.*"[11] Although the mention of three terms suggests a three-part organization, only the first and third terms are retained in the more informative statement later in the same passage:

> . . . une période, quelque longue, quelque compliquée qu'elle soit, ne présente jamais, en résultat, à l'analyse, qu'une aggrégation de propositions.[12]

This suggestion of a straight-line progression from small unit to large without any particular regard for the intermediate steps is reflected again in chapter 6 ("Du Ton"), where a period is described as nothing but a succession of propositions.[13] Of the three terms mentioned at the outset, *phrase* is the most dispensable.

The term *phrase* reappears in chapter 15 ("De la Composition en général"), and the kind of formal unit it represents is explored more thoroughly. In this chapter, Momigny describes the work of the composer

as analagous to that of the writer, since both must pay special attention to the grammatical and logical order of their propositions as well as to their rhetorical effect. He then states that his own task is to show how thoughts link themselves together to form phrases.[14] This is followed by the assertion that music is generally made in verse and not in prose.

The association of music with verse precipitates a discussion of musical organization in poetic terms. At the same time, it signals an expansion of the intermediate area previously labeled by *phrase* into two intermediate levels labeled by *hémistiche* and *vers*. The passage deserves quotation in full, both because of the evidence it gives for a four-part system, and because of the information it provides about the relations among the parts:

> La Proposition harmonique est composée de deux Accords; un Hémistiche est composé de deux, de trois ou de quatre Propositions musicales; deux Hémistiches composent un Vers, deux Vers, ou trois ou quatre, et quelquefois un plus grand nombre composent une Période. Plusieurs Périodes composent un Morceau.[15]

The levels he outlines here—*proposition, hémistiche, vers,* and *période*—are presented in my example 1, reading from the bottom up.

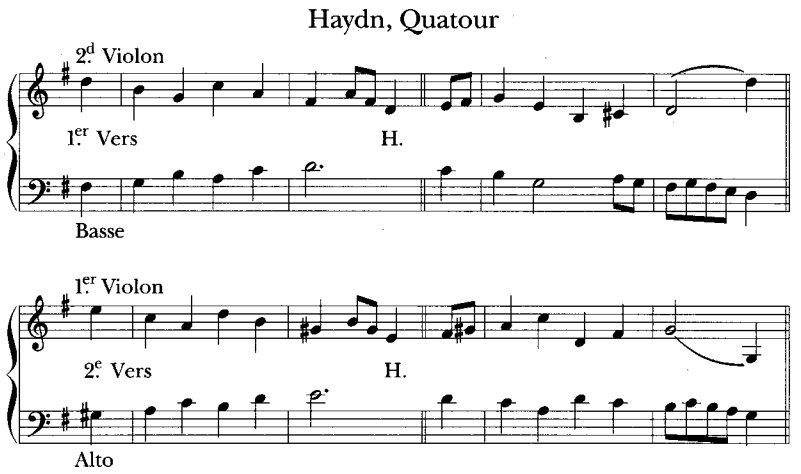
A four-level system is described again with the same terms in chapter 28 ("De la manière de former un Contre-point"). The purpose of the discussion at this point in the treatise is to introduce the reader to musical analysis. This time, however, the terms are presented in reverse order, and correspond to a reading from the top down:

> . . . on doit de même distinguer une Période d'une autre Période, un vers d'un autre vers, un Hémistiche d'un autre Hémistiche, et descendre ainsi jusqu'à la Proposition et à chacun de ses membres.[16]

The first musical example that he analyzes is given in example 2. In the example, *H* stands for *hémistiche.* The accompanying text identifies both pairs of staves as a *période.* The *propositions musicales* are not specifically labelled.

In considering the above remarks it is important to distingush between those terms that are used informally and those that are employed in a technical sense. I agree with Albert Palm, the author of a comprehensive study about Momigny, who identifies *phrase* as an informal term that can apply to any level of organization between the *proposition* and the *période.*[17] From another point of view, however, this confusion about terms is itself indicative of a more basic feature of Momigny's theoretical system. The question of whether the intermediate area consists of zero, one, or two

Example 2. *Période, vers, and hémistiche* (*Cours complet,* Planche 28 [III, p. 95]).



parts is unanswerable in the abstract, since all three positions can be supported by Momigny's statements in various parts of the treatise. The multiciplity of terms points to an intermediate area that is fluid, and reveals a system whose number of levels is not fixed.[18]

If for the sake of argument one accepts the four-level system described in the above quotation, and refers to Momigny's definitions for some of the terms outside of the *Cours complet,* it is possible to perceive a network of relationships among the four levels that argues against a strictly recursive reading of the hierarchy. On the basis of the number of parts into which they are divided, the *proposition* is analogous to the *vers* since both contain two and only two parts. By the same reasoning, the *hémistiche* is analogous to the *période* since both are made up of two, three, or four parts (or possibly more, in the case of the *période*).

The parallel between *proposition* and *vers* is strengthened by the fact that both can be divided either equally or unequally, and that both can end in either a strong or weak way (*masculine ou féminine*). Perhaps most important, the origins of the term *vers* can be traced back to the notion of *cadence,* as stated in the following passage:

> VERS. Ce mot vient de *verser,* faire une chute, une fin, une station ou un repos.
> Les mots *cas, cadences,* et *vers* ont une même origine, quoiqu'ils aient chacun leur signification particulière, et expriment une chute ou un repos d'une importance différente.[19]

On the basis of these observations, one can conclude that the *vers*, an intermediate level of the system, represents the formal reflection of the *proposition* or *cadence harmonique* at a higher level. It thus acquires a certain prominence in the system by virtue of its formal integrity and appeal. The *période* is less closely related to the *proposition*; it acquires prominence as the level of greatest completion. Within a four-level system of small-scale formal design, Momigny has managed to conceive of each of the upper two levels as uniquely priviledged in some way.

It can be argued that the priviledged status of both the *vers* and the *période* is reflected in the ways that Momigny undertakes the two major analyses of the *Cours complet*. The first complete movement that he analyzes is the first movement of Mozart's String Quartet in D minor, K. 421.[20] In the prose that begins the analysis, Momigny states that the first job of the analyst is to see how many *vers* are contained within the first reprise. He counts the *vers*, which are numbered from 1 to 25 in the score, discusses the *propositions* that make them up, and only then considers how they combine to form *périodes*. The second work he analyzes is the first movement of Haydn's Symphony in E-flat, No. 103.[21] In this analysis he steps further back and takes the various *périodes* as his points of entry, addressing first their affective quality and then the musical details within them.

This difference in starting point for the two analyses can be explained in part by the immediate goals of the analyses and in part by the way the book was written. With reference to analytic goals, Momigny moves from an identification of the various *vers* in the Mozart example to an identification of the individual *propositions* that make them up. In the Haydn, he proceeds from the *périodes* to a discussion of their affective quality within the larger movement. Thus, Momigny approaches a discussion of lower-level organization from the *vers* and aspects of higher-level organization from the *période*. With reference to the way the book was written, the difference reflects the serial writing and publication of the work. The Mozart analysis appears at the end of volume 1 and the beginning of volume 2 (chapters 30 and 31). The Haydn analysis appears near the end of volume 2 (chapter 56), and is separated from the Mozart analysis by over twenty chapters on various topics. One of the consequences of serial publication is to preclude revisions of earlier material. This can be a drawback, as Momigny himself acknowledges at the end of the second volume when he apologizes for the resulting imperfections. It can also be an asset, since it allows both the writer and reader to explore the same concepts in different ways in different parts of the text.[22]

Reicha begins the *Traité de mélodie* (hereafter, *Traité*) by asserting that melody and harmony are of equal importance to musical construction. He laments the lack of theoretical attention paid to the former, and proposes to remedy that lack in his own treatise. In the following passage from the preface, he draws attention to the importance of the *période* as the basis for melody:

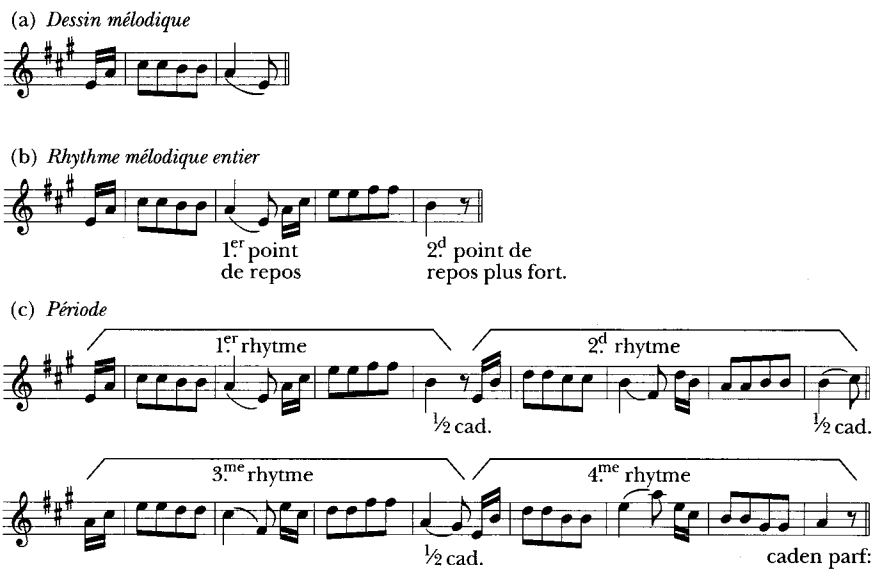
> On verra dans le courant de ce Traité que la période musicale existe, et qu'elle est la base de tout ce qu'on appelle la véritable Mélodie. Cette période est restée jusqu'à nos jours un secret: jamais on ne l'a prouvée ni définie d'une manière indubitable; et, lorsqu'on en a parlé, elle n'a été que trop confondue avec les phrases, les dessins et les membres mélodiques, qui n'en sont que des parties.[23]

Like Momigny, Reicha invokes an explicit parallel between music and language. In particular, he views melody, harmony, and discourse as successions of comparable things.[24] Unlike Momigny, he makes no clear distinction between musical materials and aspects of harmonic and temporal organization. His category of knowledge preliminary to the study of melody includes scales, intervals, and note values as well as more complex phenomena such as modulation, rhythm, and cadence. In Reicha's usage throughout the text, *cadence* refers explicitly to points of repose. It partakes of none of the quality of movement toward a downbeat that is represented by Momigny's term. Reicha does claim that there are more varieties of cadence possible for melody than for harmony, and he introduces the ideas of quarter cadence and three-quarter cadence to supplement the ideas of half and full cadence already in use.

Continuing the analogy with language, Reicha asserts that melody is governed by principles comparable to those of poetic narration. It demands a theory of rhythm, by which he means a study of cadences, of the relation between ideas, and of periods and their connections. To create a pleasing effect, a melody must proceed in a manner that is symmetrical and well-articulated. These general qualities of symmetry and articulation provide the framework for the discussion of melodic organization.

Chapter 1 proposes an organizational scheme consisting of three levels, *dessin, rhythme,* and *période.* Each of the levels is illustrated by successively longer passages from the opening of the Andante movement of the Haydn Symphony in D, No. 53 (examples 3a–c). The smallest unit, *dessin,* is introduced as a melodic division or idea which must end with a slight repose—a quarter cadence (example 3a). As it is used here and in other parts of the treatise, *dessin* seems to be characterized more by its pattern of rhythmic durations than by any other attribute.

Examples 3a–c. *Dessin, rhythme, and période* (*Traité*, Planches, p. 1).



Because of its brevity and slight degree of repose, the first *dessin* is repeated by a second with different pitches. This results in the formation of the next larger unit, *rhythme*, which leads to a greater repose—a half cadence (example 3b). Although the term *membre* is not used at this point, it has been mentioned previously in the treatise and appears frequently in later passages to refer to this intermediate level composed of two or more *dessins*. A good melody must continue to the third and final level, the *période*, since it cannot end without a perfect cadence and since the ideals of symmetry and unity demand that the first *rhythme* be followed by a second of equal length. In the passage cited, neither the second or third *rhythmes* end with a full cadence, so the melody is obliged to proceed to the fourth (example 3c). As Reicha defines it, *période* is characterized primarily by the quality of repose with which it ends. It is the main syntactic unit of the hierarchical system. Reicha takes pains to distinguish between each of the three levels of his system, although he is careful to allow for exceptions and irregularities, and, indeed, explores them with relish.

He also takes pains to distinguish between *rhythme* and *membre*, but the number and variety of footnotes he devotes to the topic suggest that the terms remain problematic in his own mind. His first attempt at distinguishing them reads as follows:

> Le rhythme est une autre espèce de mesure musicale et parfaitement comparable aux mesures ordinaires de cet art. Il fait les mêmes fonctions, c'est-à-dire il fait en grand ce que la mesure fait en petit: la mesure partage en parties égales une suite de tems simples (comme, par exemple, des noires dans la mesure à quatre tems), et le rhythme partage en parties égales, et par conséquent d'une manière symétrique, une suite de mesures.[25]

In this passage, *rhythme* is portrayed as a kind of hypermeasure, serving the same function on the large scale that the measure serves on the small. The conception of meter he invokes is durational rather than accentual; meter is defined by a succession of equal spans rather than by any accentual gestalt.

In the second attempt he approaches the problem from a different angle:

> Le membre et le rhythme sont égaux, quant à la quantité des mesures; mais ils diffèrent en ce que le rhythme ne fait que compter la quantité de mesures d'un membre, tandis que celui-ci s'occupe du dessin; et tout en gardant la même quantité de mesures (c'est-à-dire en gardant le même rhythme), le membre peut varier son dessin; tantôt le membre n'a qu'un seul dessin, tantôt il en peut avoir deux, trois et même plus; et une période peut être régulière par rapport au rhythme, et très-défecteuse par rapport au dessin de ses membres. . . .[26]

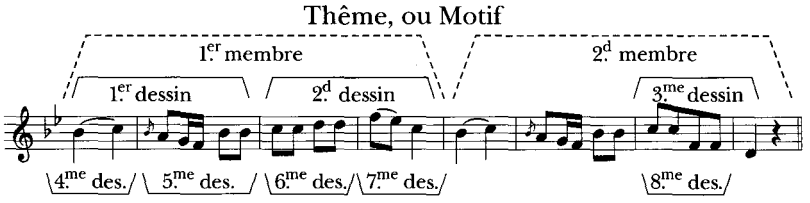
While *rhythme* and *membre* may refer to the same span, the former term addresses the length of the span and its tendency to repeat itself, and the latter addresses its melodic content and the construction by *dessins.*

As I understand the distinction between the two terms, it boils down to a question of where he's coming from and where he's going. Reicha uses *rhythme* when he's thinking from bottom to top with an eye for combining smaller elements into larger; he uses *membre* when he's thinking from top to bottom with an eye for breaking down larger units into smaller. The first process is composition, and the second is *decomposition,* a word used in the treatise to indicate the analysis of a theme. The distinction is an important one, which we've already seen in Momigny and to which we shall return in the discussion of Marx.

The process of *decomposition* or analysis of a theme is first demonstrated in a chapter entitled "Sur la manière de développer un motif." For Reicha, *motif* is used synomously with *thême.* Both refer to the melodic material of a period, especially the opening period of a composition. The musical ex-

ample that provides the starting point for discussion is the opening of the Mozart String Quartet, K. 458 (example 4). Included in the text accompanying the example is the following sentence that summarizes its formal levels: "Thus this *motif* contains 2 *membres*, 3 *dessins*, and five *petits dessins*. . . ."[27]

Example 4. Subdivisions of a theme (*Traité*, Planches, p. 46).



This example has been cited frequently in the secondary sources, and is revealing in a number of respects.[28] In one respect, it provides additional information about the nature of the *dessin*. It emphasizes its graphic qualities—its "design"—rather than its length or propensity for motion. The application of the term to material of different lengths also shows its potential for operating on a number of different scales or levels at the same time.[29] In another respect, it reveals more about the kind of hierarchic thinking behind the analytical machinery. The nesting of brackets in the musical example and the distinction between *dessin* and *petit dessin* in the text seem to provide evidence for a hierarchical system of four levels rather than three. If one views the same information in a different light, however, and recalls the related discussion in reference to Momigny, it argues more strongly for a fluidity of levels in the lower area of formal organization. The fact that Reicha can identify both a two-measure unit and a one-measure unit in the same way indicates that the concept of level is not yet securely in place.

It is important to note that example 4 appears within a discussion of how a theme is constructed and how thematic material is developed. It does not appear within the context of the discussion of periodic structure *per se*. The chapter on thematic construction ("Sur la manière de developper un motif") comes late in the treatise, after the discussion of periodic structure has been completed. It also appears after a chapter in which basic terms from the early part of the book are defined, giving the impression that the terms associated with periodic structure are somehow more important, or at least more technical, than those associated with thematic development.[30] In the theoretical view of Reicha's *Traité de mélodie*, then, periodic structure and thematic development are related but not yet systematically integrated.

Although the *Traité* was not published serially, it shares with Momigny's *Cours complet* the quality of progressive writing described above. As one example of this, I refer again to Reicha's use of the term *phrase.* The term is used in the preface along with *dessin* and *membre mélodique* to describe parts of a *période* in a general way. Apart from this passage, *phrase* is conspicuously lacking in discussions of terminology in the early chapters of the book. Only during the chapter on developing a *motif* does it reappear, this time as an exact synonym for *membre.* In the subsequent chapter, "Sur la manière de s'exercer dans la mélodie" (pp. 76–95), it is used widely in both the text and examples to indicate the level below the *période* in a two-level model. This distillation of terminology into two central concepts, *phrase* and *période,* characterizes the remainder of the discussion and illustrations in the *Traité.*[31]

* * *

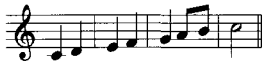
Marx's *Kompositionslehre* is arranged in four volumes and conceived in two parts: the first two volumes comprise the course of "pure composition" (*die reine Kompositionslehre*), and the second two comprise the course of "applied composition" (*die angewandte Kompositionslehre*). Within the first part, the discussion of musical materials and the manner in which they are used appears in volume 1, and the discussion of large-scale artistic forms appears in volume 2. Marx's essential ideas on small-scale formal structure are presented at the beginning of volume 1, in the section entitled "Composition in One Part" ("Die einstimmige Komposition").[32]

The first section begins by promoting the major scale as the most natural basis for tonal succession, and proceeds by teaching principles of composition with reference to it. During the course of describing the major scale, Marx introduces two concepts that run throughout the remainder of the work. One is that music is a form of human expression, and must therefore embody the qualities of completion and closure.[33] Another, closely related to the first, is that all musical forms derive from the same basic contrast or oppostion (*Gegensatz*). This opposition involves the progression from rest to movement to rest (*Ruhe—Bewegung—Ruhe).*

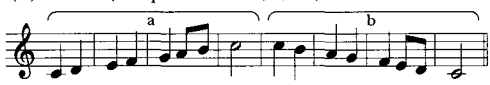
The discussion of these concepts leads to the identification of the three fundamental forms (*die drei Grundformen*) that provide the basis for all musical composition (examples 5a–c). The first is the *Satz,* which is illustrated by an ascending major scale, beginning and ending on a strong beat (example 5a). It is defined as follows: "Eine in Hinsicht des Toninhalts sowohl, als des Rhythmus befriedigend abgeschlossne Melodie nennen wir *Satz.*"[34]

Examples 5a–c. The three fundamental forms.

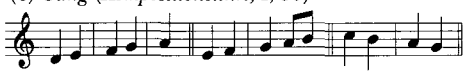
(a) *Satz* (*Kompositionslehre,* I, 27)



(b) *Periode* (*Kompositionslehre,* I, 28)



(c) *Gang* (*Kompositionslehre,* I, 30)



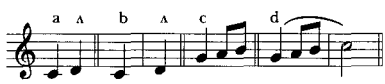
The *Satz* embodies the basic process of "Rest—Motion—Rest" but proceeds in one direction only.

While the *Satz* is satisfying with respect to its tonal and rhythmic motion, it is unsatisfying because it proceeds in only one direction. Greater satisfaction results when one *Satz* combines with another that proceeds in the opposite direction. In Marx's conception, the first *Satz* calls forth its contrast or opposition (*Gegensatz*), and the two combine into the second fundamental form, the *Periode.*[35] It is illustrated by ascending and descending scales (example 5b). The third fundamental form is the *Gang.* It is described negatively as a tonal succession lacking definite closure, and is illustrated by various scale fragments (example 5c).

At this point in the text, *Satz* and *Periode* are described as being similar in their quality of completion, but different in the direction of their motions. Once the compositional resources have been expanded later in the treatise, however, their differences are further elaborated. One difference relates to their degree of closure. The first part of a *Periode* (the *Vordersatz*) ends with a half-close; the second part of a *Periode* (the *Nachsatz*) ends with a full close. Furthermore, the *Satz* possesses a dynamic quality that the *Periode* lacks, since it calls forth a second *Satz* to follow it. It thus shares some of the generative quality of the *rhythme* in Reicha's system.

The second section of the discussion of one-part composition is devoted to the invention of melodies. The technical means for invention is the *Motiv,* a term he illustrates with two-, three-, and four-note fragments of the scale previously introduced for the *Satz* (example 6). The *Motiv* is described as the model for subsequent tonal successions, and likened to a germ or a seed.[36] Melodic invention proceeds from the creation of a *Motiv* to its extension through the various techniques of repetition, transposition, retrograde, and augmentation and diminution.

Example 6. *Motiv* (*Kompositionslehre,* I, 32).



The introduction of the *Motiv* allows Marx to return to his previously introduced terms and describe them in new ways. In the two subsequent sections of the book, the *Gang* is redefined in a positive way as arising from the continuation of a *Motiv;* it is likened to the *Motiv* by its quality of indefinite extension. Although the *Gang* must end, its closure is externally imposed. The *Satz* and *Periode,* on the other hand, share the quality of definite, internally derived termination. *Motiv* and *Gang,* which are primarily characterized by their tendency to continue, are thus essentially different from *Satz* and *Periode,* which are characterized by closure and completion.

The first four sections of the chapter on one-part composition present the primary terms for Marx's system in two different ways. The first way gives priority to the *Satz* as the main fundamental form and introduces the *Periode* and *Gang* as the other two fundamental forms. The second way gives priority to the *Motiv* as the source of musical material, and proceeds in increasingly larger units through the *Gang, Satz,* and *Periode.* The first way emphasizes the syntactic unit on which the system is based; the second emphasizes its agent of impulse.[37]

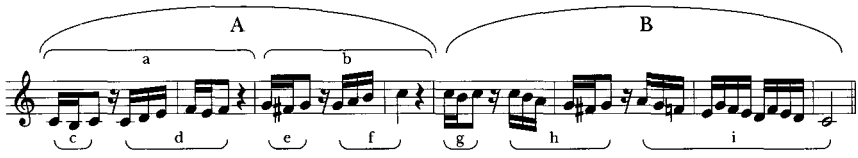
In order to provide a different perspective on the discussion of periodic structure in the *Kompositionslehre,* I would like to digress briefly to an essay that is divorced from pedagogical considerations. In "Die Form in der Musik," Marx devotes a part of one section to the melodic representation of the fundamental forms.[38] The discussion proceeds from the smallest unit to the largest. The *Motiv* consists of the joining of two or more musical elements and is described as the *Urgestalt* of all music. Since it lacks completion and closure it does not achieve the status of a formal unit. In this presentation, the *Gang* is the first fundamental form. It is characterized by continuation and ceases only when "craft, time or pleasure" run out.[39] The second fundamental form is the *Satz,* which is the first unit to achieve closure by internal means. The *Periode* is the last unit of the formal system, but it does not retain the privileged status of either of the preceding two terms by being labeled as a fundamental form. It is described as the joining together of two or more *Sätze.*

The discussion in "Die Form" differs from that in the *Kompositionslehre* by the order in which the terms are initially presented and by the number of fundamental forms it identifies. The terminology is the same for both, however, and the distinction remains between terms of motion and terms

of closure. Both discussions also retain the idea of twin focal points for the system, one which represents closure and one which represents continuation (*Satz* and *Motiv* in the treatise, *Satz* and *Gang* in the essay). At the risk of oversimplification, one can generalize further about the levels. In Marx's theoretical vision, the *Satz* represents the center of gravity, so to speak, and the *Motiv* and *Gang* represent its driving force. Their union into the same complex framework achieves a degree of integration between periodic and thematic elements that had only been suggested in the earlier theories.

While the terms mentioned above—*Motiv, Gang, Satz,* and *Periode*—are the main terms used to describe different formal levels in the *Kompositionslehre,* they are not the only ones. In the fifth and final section of the discussion of one-part composition, Marx introduces two other terms to represent the lower levels of formal organization. The first is *Abschnitt,* which divides a *Satz* in half through the agency of a resting point of some kind. The second is *Glied,* which divides the *Abschnitt* in a similar fashion. They are illustrated by example 7. The entire passage is a *Periode;* A and B are the *Vordersatz* and *Nachsatz.* The *Abschnitte* are labelled by *a* and *b,* and the *Glieder* by *c, d, e, f, g, h,* and *i.*

Example 7. Subdivisions of a *Periode* (*Kompositionslehre,* I, 50).



The terms arise within the context of considering how rests and pauses can be introduced into compositional practice. Their use can be understood in reference to the distinction drawn above between forms that close and those that continue. Since the use of rests highlights the way in which material can become fragmented or closed off, a need has been created to describe the levels below the *Satz* by words that represent a close of some secondary kind. *Abschnitt* and *Glied* fill that need. They are used instead of *Gang* and *Motiv* when the primary concern is the division of larger units into smaller. Their role in Marx's system is analogous to the role of *membre* in Reicha's; they are terms employed when the levels of the system are viewed from the top down.

* * *

In reviewing the three systems, we see a shift of primary theoretical interest from the *proposition musicale* for Momigny, to the *période* for Reicha, to the *Satz* and *Gang* for Marx. Because of the different areas of primary interest, the internal dynamic of each system is unique.

Each system models formal construction by a number of hierarchical levels. The number is fixed most securely in Marx's system, which consistently depicts four levels regardless of the particular terms employed to label them. Reicha's system is primarily three-layered, although the lower level is less fixed in its identity than either of the upper two. Momigny's is most clearly presented in four levels, although the intermediate area lends itself to a number of different ways of modeling.

Each of the systems has agents of impulse or generation, although their positions in the systems and the ways in which they operate differ. For Momigny, the *proposition musicale* is the primary agent of impulse because of its tendency to perpetuate itself. To the extent that the qualities of the *proposition musicale* are preserved at each higher level of organization, this generative quality is preserved throughout the hierarchy. For Reicha, the *rhythme* is the primary agent of impulse, through its power to call forth another *rhythme* of equal length in pursuit of balance and greater repose. Both of Reicha's other levels (*dessin* and *période*) are conceived in ways that highlight their qualities of closure (even though the closure of the *dessin* is not particularly strong). In Marx's system, the quality of motion inheres most strongly in the *Motiv* and the *Gang* through their tendency toward continuation. Yet even the *Satz*, the primary syntactic unit, retains an impulsive quality since it is able to call forth a contrasting *Satz* in the formation of a *Periode*. Of the three systems, Momigny's is the most dynamic, Reicha's is the most static, and Marx's combines dynamic and static qualities most thoroughly.

The systems of both Reicha and Marx provide the possibility of naming some levels with words of motion or words of closure. As has already been mentioned, this dual aspect of the terminology seems related to whether the process is primarily compositional or analytic—whether one looks up the hierarchy or down. This phenomenon is significant since it allows the same musical passage to be described in different terms depending on the quality that one is most concerned with describing at any given time. The same passage can be described as a *rhythme* or a *membre*, as a *Gang* or an *Abschnitt*, depending on whether one wishes to emphasize its qualities of continuity or its qualities of closure.

This study of three nineteenth-century theories of periodic structure has emphasized the conceptual differences among theoretical systems that

might at first glance appear very similar. In the views of Momigny, Reicha, and Marx, the formal units at different levels of the hierarchy are organized in different ways. Furthermore, the relationships among levels within each system are complex. Considered together, the three theories reveal an approach toward hierarchic modeling that is not monolithic, but that lends itself to idiosyncratic treatment depending on the nature of the materials and the primary concerns of the theorist.

NOTES

This article is a revision of a paper read at the 1988 Annual Meeting of the Music Theory Society of New York State. I am grateful for the criticisms of several teachers and colleagues, including Ian Bent, Scott Burnham, Sarah Fuller, Jonathan Kramer, and Justin London.

[1] See in particular Meyer's discussions of hierarchical organization in *Music, the Arts and Ideas; Patterns and Predictions in Twentieth-century Music* (Chicago: University of Chicago Press, 1967), 96–97; and *Explaining Music; Essays and Explorations* (Berkeley: University of California Press, 1973), 80–105, especially 89–90. Other pertinent references include: Eugene Narmour, "Some Major Theoretical Problems Concerning the Concept of Hierarchy in the Analysis of Tonal Music," *Music Perception* 1 (1983): 129–99; Allan Keiler, "On Some Properties of Schenker's Pitch Derivations," ibid., 200–28; and Fred Lerdahl and Ray Jackendoff, "An Overview of Hierarchical Structure in Music," ibid., 229–52. Also, see the more recent forum including Arthur Komar, "The Pedagogy of Tonal Hierarchy," *In Theory Only* 10, no. 5 (1988): 23–28; Kevin Mooney, "Theoretic Problems in Komar's Conception of Tonal Hierarchy," ibid., 10, no. 7 (1988): 31–35; and Candace Brower, "Tonal Hierarchy Reconsidered," ibid., 11, no. 3 (1989): 31–35.

[2] For an account of the historical significance of these writers and the ideas with which they are most closely associated, see Birgitte P. V. Moyer, "Concepts of Musical Form in the Nineteenth Century with Special Reference to A. B. Marx and Sonata Form" (Ph.D. diss., Stanford University, 1969); and Ian Bent, with a glossary by William Drabkin, *Analysis* (New York: Norton, 1987).

[3] Justin London addresses a similar subject, though in a different way, in a paper entitled "The Historical Background of Hierarchic Models of Music" (Paper delivered at the 1989 Meeting of the Mid-Atlantic Chapter of the American Musicological Society, 1989). In that paper, he describes the emergence of a recursive model of musical hierarchy in the nineteenth century—that is, a model in which the structural principles for each level are the same—and relates it to the broader ideological concerns of organicism and unity. London's approach emphasizes the similarities among nineteenth-century theories; mine emphasizes their differences.

[4] Antoine Reicha, *Traité de mélodie* (Paris: J. L. Scherff, 1814).

[5] Adolf Bernhard Marx, *Die Lehre von der musikalischen Komposition praktisch-theoretisch.* 4 vols. (Leipzig: Breitkopf & Härtel, 1837–1847 [1/1837, 2/1837, 3/1845, 4/1847]). The sixth edition of vol. 1 (1863) was used for this study.

[6] Jérôme-Joseph de Momigny, *Cours complet d'harmonie et de composition,* 3 vols. (Paris, l'Auteur, published serially 1803–1806; a one-volume edition was published in 1808). Ian Bent gives detailed bibliographic information about the *Cours complet* in his "Momigny's 'Type de la Musique' and a Treatise in the Making," in *Music Theory and the Exploration of the Past,* ed. Christopher Hatch and David. W. Bernstein (Chicago: University of Chicago Press, forthcoming).

[7] *Cours complet,* 1: "Discours préliminaire," 29. [N.B. Page numbering in vol. 1 is problematic; pages of the "Discours préliminaire" are numbered from 9 to 32, after which chapter 1 begins again with page 1.]

[8] Ibid., 1:143.

[9] Ibid., 1:50–53.

[10] It would be hard to overemphasize the role that this concept plays in Momigny's thinking, in this treatise and other works. The following passage from the entry *"Temps"* in the *Encyclopédie méthodique* underscores this point: "Yes, music proceeds from upbeat to downbeat, and not from downbeat to upbeat. This truth is so important that it should be written above the door of music schools, and that it alone, engraved on my tomb, will preserve my ashes from oblivion." (Pierre Louis Ginguené, Nicholas Etienne Framery, and Jérôme-Joseph de Momigny, *Encyclopédie méthodique: musique* [Paris: Panckoucke, 1814], 2:518).

[11] *Cours complet,* 1: "Discours préliminaire," 30–31).

[12] "[A] period, no matter how long or complicated, never presents to analysis but an aggregate of propositions" (ibid., 1: "Discours préliminaire," 30–31).

[13] "[L]a Période Musicale n'est qu'une suite de Propositions Harmoniques, composées d'un Accord antécédent et d'un conséquent" (ibid., 1:49).

[14] "[C]omment ces pensées se lient ensemble pour former des phrases" (ibid., 1:145).

[15] "The harmonic proposition is composed of two chords: a hemistich is composed of two, three, or four musical propositions; two hemistiches make up a verse; two verses, or three or four, and sometimes a greater number make up a period. Several periods make up a piece" (ibid., 1:145–46).

[16] "One should likewise distinguish one period from another period, one verse from another verse, one hemistich from another hemistich, and descend in this way to the proposition and to each of its parts" (ibid., 1:271).

[17] Albert Palm, *Jérôme-Joseph de Momigny: Leben und Werk* (Cologne: Arno Volk Verlag, 1969), 179. This position is further supported by passages from Momigny's other writings. The entry *"phrase"* from the *Encyclopédie méthodique* begins: "La musique moderne ne se compose plus en prose, mais en vers; chaque phrase y est, selon le cas, un hémistiche ou un vers entire" (2:263).

[18] London interprets a similar phenomenon in the writings of Gottfried Weber as evidence for Weber's strongly recursive approach ("The Historical Background," 6–7).

[19] "This word comes from *verser,* to fall, end, stand still, or rest. The words *cas, cadence,* and *vers* are of the same origin, although they each have their particular significance and express a fall or rest of a different importance" (*Encyclopédie méthodique,* 2:551).

[20] *Cours complet* 1:307–39.

[21] Ibid., 2:586–95.

[22] Bent describes the writing in this treatise as "formative," since theoretical concepts are subject to ongoing development without generating serious local inconsistencies ("Momigny's 'Type de la Musique'").

[23] "We will see in the course of this treatise that the musical period exists, and that it is the basis of all that is called true Melody. This period has remained a secret up to now; never has it been either proven or defined in an indubitable manner; and, when it has been spoken of, it has only been greatly confused with phrases, designs, and melodic members, which are only its parts" (Reicha, *Traité de mélodie* [Paris, 1814], ii).

[24] "La Mélodie est une succession de sons, comme l'Harmonie est une succession d'accords, ou bien comme le Discours est une succession de mots" (ibid., 5).

[25] "The *rhythme* is another kind of musical measure and perfectly comparable to the ordinary measure of this art. It performs the same functions; that is, it does in the large scale what the measure does in the small; the measure divides into equal parts a succession of simple times [*tems*] (as, for example, the black notes in the measure of four beats [*tems*]), and the *rhythme* divides into equal parts, and consequently in a symmetrical manner, a succession of measures" (ibid., 17, n 1).

[26] "The *membre* and the *rhythme* are equal with regard to the quantity of measure, but they differ in that the *rhythme* only counts the quantity of measures of a *membre,* while the latter occupies itself with the design *(dessin)*; and all the while keeping the same quantity of measures (that is in keeping the same *rhythme*), the *membre* can vary its design. Sometimes the *membre* has only a single design, sometimes it has two, three, or even more; and a period can be regular with respect to rhythm *(rhythme)* and very defective with respect to the design of its *membre*" (ibid., 11, n 2).

[27] Ibid., 71.

[28] See Bent, *Analysis,* 17; and Renate Groth, *Die franzosische Kompositionslehre des 19. Jahrhunderts* (Wiesbaden: Franz Steiner Verlag, 1983), 161. Groth's paraphrase of the analytic discussion refers to *rhythmes* instead of *membres*—a usage that is consistent with the rough interchangeability of the terms in the treatise, but that belies the conceptual distinction outlined above.

[29] This observation is also made by Bent (*Analysis,* 17).

[30] Reicha's discussion of periodic structure in the *Traité de mélodie* appears on pp. 9–19; the table of technical terms, on p. 31; and the section on developing a *motif,* on pp. 71–76.

[31] Reicha's reliance on *phrase* and *période* as the main terms for describing small-scale formal structure persists in his later treatise (*Traité de haute composition musicale* [Paris, 1924–26; 1833], 2:234–35). Although he begins his discussion by referring the reader back to the *Traité de mélodie,* he makes no further mention of the *dessin, rhythme,* or *membre.*

[32] Scott Burnham writes extensively of the *Kompositionslehre* and its pedagogical purpose in "Aesthetics, Theory and History in the Works of Adolph Bernhard Marx" (Ph.D. diss., Brandeis University, 1988), chap. 3, passim.

[33] "The first thing that we ask of a tonal succession—as of every human expression—is that it present itself as something complete [*Fertiges*], as something absolutely self-contained [abgeschlossen für sich Bestehendes]" (ibid., 1:23).

[34] Ibid., 1:28.

[35] "[D]ie erfundne Satz rief seinen Gegensatz hervor, und vereinigte sich mit ihm zu einem grössern Ganzen, der Periode, in der beide Sätze als Vordersatz und Nachsatz stehn" (ibid., 1:31).

[36] Burnham is careful to point out that this discussion of the *Motiv* emphasizes its contextual rather than its developmental properties. I shall return to this point below.

[37] Burnham attributes this idiosyncratic mode of presenting basic concepts to the pedagogocal purpose of the *Kompositionslehre.* The procedure Marx adopts is consonant with the pedagogical principle that "no motivic development is undertaken without a structural framework in mind from the outset" (Burnham, "Aesthetics, Theory and History," 95). The *Satz* and *Periode* are introduced first in order to provide the formal units within which the *Motiv* and *Gang* will operate.

[38] Marx, "Die Form in der Musik," in *Die Wissenschaften im neunzehnten Jahrhundert,* ed. J. A. Romberg (Leipzig: Romberg's Verlag, 1856), 2:29–31. I am grateful to Scott Burnham for bringing this article to my attention.

[39] "Er hört irgendwo auf, wie Alles einmal aufhören muß weil Kraft, Zeit oder Lust ausgeht. . ." (ibid, 2:30).

report

Report from the University of Hong Kong:

Fourth Symposium of the International Musicological Society

by Nicholas Cook

The Fourth Symposium of the International Musicological Society was held in Osaka, Japan, from 21–25 July 1990. About one hundred papers were presented by delegates largely from Japan, but also from North America, Europe (with strong representation from Eastern Europe), the USSR, Africa, the People's Republic of China, Hong Kong, and Australia. To be sure, the numbers of participants did not match up to those of the Melbourne SIMS, held in 1988. But this very fact resulted in greater cohesion and sense of purpose in Osaka than there had been at Melbourne. This had less to do with the topics under discussion (which were grouped under the three broad headings of "source criticism," "symbolism," and "intercultural reception") than with a frequently emerging current of concern about the role of musicologists vis-à-vis tradition, and the ideological, economic, and political factors implicated in their work.

A particularly striking illustration of the economic and political context of musicology was provided by a paper delivered with an irresistible Scottish-Japanese lilt by Takamatsu Akiko,[1] of Tokyo, who presented the results of her fieldwork among the Scottish Travellers (who are sometimes referred to as gypsies, though they are of mixed origin). She demonstrated the existence of two distinct strands within the Travellers' singing, one modelled to a greater degree than the other on instrumental style and conceptualization. What impressed me most, however, was the experience of hearing about Japanese fieldwork in my own country, Britain, particularly as Takamatsu played some amazing recordings of a style of singing I had never heard before. Really, there is no reason to be surprised at this reversal of the traditional pattern according to which Western musicologists study Eastern folk practices; after all, Nissan and Toyota have factories in England, and ethnomusicologists have always followed in the footsteps of the empire-builders (whether political or economic). Being the subject of such a study was a new and startling experience.

An important socio-political focus of the conference was traditional music in its relation to Western-derived styles. Shen Qia (Beijing), for instance, outlined a comprehensive and controversial plan for securing the survival of traditional Chinese music. A hundred years ago, he claimed,

there was a single unified tradition of Chinese music (only a Han Chinese could make such a remark, but let it pass); now, under the influence of the West, this tradition had lost its identity. The solution, he argued, was to distinguish among the various types of music found in China today—genuine traditional music, Westernized music, and hybrids—and to develop a separate policy for each. In particular, he urged the institution of a kind of musical museum, where traditional Chinese music would be preserved in its original form. He thought it was also important to develop a proper theory of Chinese music because without this the music could not be taught effectively, nor could qualifications in it be accredited within the context of present-day institutional structures. And he held up the successful interaction of traditional and contemporary musical styles in Japan as a model to be followed in China and elsewhere.

Shen's paper touched several raw nerves and provoked a variety of responses. Keith Howard (Durham), citing Alan Thrasher, objected that there was no such thing as an original, unified style of "traditional Chinese music"; it was a historically changing entity, constantly in flux. Tsuge Gen'ichi (Tokyo), echoing the concerns of many delegates, pointed out that Japanese traditional music is living on borrowed time; as virtually nothing but Western music is taught in Japanese schools, he could not share Shen's optimism about the future of traditional music in Japan. The most telling intervention, however, came from Mayeda Akio (Zurich), who maintained that the survival of traditional arts in present-day Japan is the consequence of Japan's cultural pluralism and democratic politics. Without saying it in so many words, Mayeda suggested that Shen's bureaucratic solution to the problem of preserving traditional music—I don't think it's unjust to call it a typically Chinese solution—involves an attempted separation between music and its socio-political context; it is, in fact, predicated on a specifically Western concept of musical autonomy. Something similar might be said of Shen's proposal to establish a theory of Chinese music, too: this is surely a recipe for Westernizing the music at a deeper (and perhaps more insidious) level than the sort of Westernization that results simply from assimilating things like pianos and common-practice harmony.

The issue of musical autonomy surfaced repeatedly. During a round table devoted to "Intercultural Reception in Music," the virtuoso Vietnamese musician Tran van Khe (Paris) talked about the way in which different Asian cultures have imported different instruments from China. The explanation, he said, lies in the degree of compatibility between the various Chinese instruments on the one hand, and the particular musical style of the recipient culture on the other; musical phenomena must be explained in musical terms. Again it was Keith Howard who raised objections, citing various socio-political factors that have demonstrably affected inter-cul-

tural reception in East Asian music. Tran van Khe was visibly nettled by this, and retorted testily that art and science are different spheres—one should be extremely cautious about explaining music in terms of external factors.

Many of the papers given at the Symposium bore upon related issues. Bruno Nettl (Urbana) contrasted the quite different social roles played by indigenous and Western musical styles in Blackfoot Indian communities; music of the Western tradition is seen as being autonomous of context, and therefore not important in the same way as is the socially-embedded music of traditional Blackfoot culture. William Malm (Michigan) explained how the urge to preserve ethnic identity means that traditional music tends to be preserved in a relatively unchanging state in expatriate communities; he cited an enthusiastic *koto* player in Iowa who propagated the instrument so effectively that it is nowadays taught in a number of public schools in Iowa—a paradoxical state of affairs, since schools in Japan do not teach it. Linda Barwick (Armidale) talked about nineteenth-century collectors of Italian folk music, showing how the way in which they documented the music reflected their own social and ideological values rather than those of their informants. Jann Pasler (San Diego) described a rather similar phenomenon in France around 1900, when the Republican government supported the collection and publication of *chansons populaires* (folk songs) with the aim of substantiating the existence of a unified, indigenous culture shared by all Frenchmen.

What Teirsot and other collectors of *chanson populaires* were really doing, of course, was inventing a tradition that had never existed as a homogeneous entity among the diverse peoples that make up modern France; as Passler demonstrated, they were interpreting the past in the light of their present purposes. And the idea of inventing traditions is very much relevant to contemporary Asia. Keith Howard gave a paper in which he described how Samul Nori, the percussion group involved in the international promotion of the Seoul Olympics, evolved their own brand of "traditional" Korean music in the late 1970s as a result of the interaction between a moribund traditional culture and the pressures and demands of contemporary society. Samul Nori's claims of authenticity were themselves prompted by these social pressures. To say this is not to say that Samul Nori are a fraud; it is to say that musical styles develop within sociopolitical contexts, and that there is no such thing as a traditional style existing in a pure, primordial form, uncontaminated by its context—exactly the point Howard was making in his objections to Shen Qia and Tran van Khe.

Do issues of this kind have a bearing on Japanese musicology? Allan Marett (Sidney) sketched an answer in a paper in which he looked back at

his own earlier studies of traditional Japanese music. As one of Laurence Picken's pupils, he had applied Western-derived methods of criticism to Japanese sources, aiming to reconstruct the original state and performance style of the Togaku repertory. He explained how his work had been viewed with suspicion by Japanese musicians, for whom the authenticity of Togaku was rooted in its continuity and authenticity as an oral tradition; to such musicians, this kind of source criticism was a sacrilege, and they would not perform his reconstructions. At the same time, Marett had become increasingly aware of the extent to which his critical methods were based on a Western concept of authenticity that he had hitherto taken for granted; in a sense, he had himself been inventing a tradition. These concerns prompted his own withdrawal from the field of Japanese music. But he did not think that the right solution to such difficulties was the easy one of reserving Japanese music studies for Japanese, European music studies for Europeans, and so on; cross-cultural interpretation was inevitable and desirable. What was necessary, however, was for musicologists to make a conscious attempt to become aware of their own hidden motivations and presuppositions.

Did Marett's paper strike a chord with any of the numerous Japanese musicologists who work on Western music? It is hard to say. Only one Japanese musicologist—Ohsaki Shigemi, of Yokohama—tackled such issues in an explicit (though understandably circumspect) manner; his disquiet was evident as he wondered how far the Japanese experience of music may differ from the Western experience of it, and he urged the need for the musicologist to sensitize himself to the needs of the society in which he works. Yamaguti Osamu (Osaka), who was principally responsible for the admirable organization of the Symposium, also tackled the issue of cross-cultural interpretation in musicology, he outlined what he calls a "multi-emic" methodology, the purpose of which is to render explicit the assumptions and interpretative criteria which the musicologist applies in his work. Here, as in his emphasis on the need to guard against too uncritical a reliance on documents, Yamaguti's concern parallels those of Marett, Barwick, and Howard; but he is approaching the issue from a quite different perspective. Marett and the others are all arguing for a musicology that is aware of its own ideological and political status; Yamaguti, by contrast, is arguing for a musicology that seeks to neutralize the musicologist's presuppositions, and so to achieve maximum objectivity.

Yamaguchi's orientation is towards the "systematic musicology" more characteristic of German (and Australian) scholarship than of contemporary work in North America and Britain. If this conference was anything to judge by, Japan remains a stronghold of what might be called unreformed, pre-Kerman positivism. Many of the papers given by Japanese musicolo-

gists urged the advantages of source criticism based on external criteria (paper types, philological methods, and so on) over style analysis, on the grounds that style analysis is not only methodologically uncertain but also open to charges of subjectivity. Now the achievements of Japanese musicologists in text-oriented musicology, particularly in the field of Bach studies, are not in doubt; Japanese musicologists play leading roles in the Bach, Mozart, and Schumann *Gesamtausgaben.* And a paper by Okabe Shinichiro (Yokohama) demonstrated the value of methods derived from recent Beethoven scholarship, particularly the matching of profiles, when applied to the Webern sketches in the Paul Sacher-Stiftung; Okabe's work will help to provide the indispensable chronological framework upon which future interpretations of the sketches and the consequent redefinition of Webern's stature as a composer will be based. At the same time, it seems as if the question Kerman asked about American musicology ten years ago could just as well be asked about Japanese musicology today: we have the groundwork without which interpretations are not possible, but where are the interpretations?

A round tale session, "Source Criticism and Style Criticism in Musical Scholarship," brought these issues out into the open. Wolfgang Ruf (Mainz) outlined what has become the current orthodoxy regarding "authentic" editions: the idea of authenticity is a nineteenth-century concept of limited historical validity, based on the Romantic concept of genius. (My own paper touched on this, focusing on Schenker's work as an editor). After that, two distinguished Japanese scholars (Sumikura Ichiro and Kobayashi Yoshitake) discussed specific source-critical problems in Bach's music, dealing with problems of attribution, chronology, and the establishment of correct readings. It seemed as if they were simply taking for granted the applicability of the nineteenth-century concept of the "definitive text" to Bach's music; their views did not engage Ruf's, but rather sailed past them in the night. After several contributions that dealt with minutiae, Allen Marett could stand it no longer. He pointed out that the idea of authenticity under discussion was an entirely European one; it would nice, he observed acidly, if we could have a perspective on this issue that took some account of the existence of cultures other than European, for instance, that of Japan. At first it seemed as if Marett's intervention would be ignored; there was a minor controversy about whether the European idea of authenticity dated from the seventeenth or the nineteenth century. But then people began to take up Marett's challenge. One delegate noted that there is an idea of authenticity in traditional Japanese culture, but it does not have to do with interpreting a text: rather, it means belonging faithfully to a given tradition of performance. James Siddons, echoing a paper by Marie Göllner, said that the same applied to the chorale tradition

within which Bach worked; the basic unit of analysis should not be the individual setting, but the group of related settings into which it falls. As during the round table on inter-cultural reception, however, it was a senior Japanese musicologist who made the most telling remark. In Japan, said Tokumaru Yoshiko (Tokyo), it isn't considered of paramount importance to record or transcribe the playing of the most famous traditional musicians; rather, the musicians are themselves designated as "living national treasures," because authenticity is only meaningful in terms of the human individual—and not just the sound he makes when he plays his instrument. That remark prompted everyone to reconsider their own position.

This report is necessarily incomplete, as during this conference it was normal for three sessions to proceed simultaneously. I have not mentioned superb individual presentations on subjects as diverse as the imagery of Orpheus and Hercules in Baroque music, given by Don Harran (Jerusalem), and the influence of hillbilly on Japanese pop music, given by Mitsui Toru (Kanazawa). Nor have I mentioned the excellent and varied series of concerts that were presented to coincide with the Symposium. But I hope I have suggested how the Osaka SIMS succeeded in focussing attention on some peculiarly sensitive issues that are involved in cross-cultural interaction. And in hoping this, I am thinking of the interaction not only of musical traditions, but also—and just as importantly—of musicological ones.

NOTE

[1] In this report, Japanese names are given in Japanese style, i.e., surname first. The same applies to Chinese names.

reviews

Explorations in Music, The Arts, and Ideas: Essays in Honor of Leonard B. Meyer. **Edited by Eugene Narmour and Ruth A. Solie.** Stuyvesant: Pendragon Press, 1988. xiii, 473 pages.

> Leonard is fond of pointing out that "people aren't 'all of a piece.'" A seemingly casual remark, it also reflects one of his serious skepticisms. It is a skepticism about the reasoning that biographers and historians sometimes use to try to show the "unity" of a person's life and creative works. (P. 439)

So begins Janet M. Levy's "biographical vignette" of Leonard B. Meyer. Surely Meyer himself serves as a prime example of a scholar whose life and work reflect not so much unity as plurality. Indeed a look at the bibliography of Meyer's publications reveals articles in such diverse areas as music therapy, aesthetics, ethnomusicology, contemporary culture, linguistics, music theory and analysis, music history, and music perception, appearing in the major journals of these fields.[1] All this in addition to five influential books that examine, among other things, the relation between Gestalt psychology and music perception, the role of expectation in creating musical meaning, rhythmic grouping and hierarchical accentuation in tonal music, twentieth-century culture and the music it has spawned, information theory as a music-theoretical tool, paradigms for melodic structure in tonal music, and a history and theory of musical style.[2] It is no surprise, then, that a *Festschrift* in Leonard Meyer's honor should reflect the man's diversity. Essays on music-psychological experimentation and perception coexist in this volume with detailed musical analyses, musicological research with computer-implemented empirical studies, and so on. The plurality that this book celebrates is its primary weakness, however, since the articles vary in quality as well as in subject matter.

Narmour and Solie have organized the sixteen essays into four groups, followed by Levy's biographical essay and a bibliography of Meyer's works, published and unpublished. In the editors' introduction, the book's four divisions are outlined as follows: Part I inhabits "the terrain where musical experience intersects with the phenomena of history," Part II constitutes "a multidisciplinary meditation on theorizing and what to make of it," Part III explores "the role of empirical studies in these post-positivist days," and Part IV "addresses the experiences of listeners directly demonstrating how analytic and critical tools may be fashioned that are more respectful of those experiences" (pp. x–xii).[3] Readers familiar with his work will recog-

nize several themes in this organizational scheme that recur with some regularity in Meyer's publications, most notably the empirical bent of several articles, the attention given to musical meaning and to the aural and creative experiences of listeners and composers, and the critical examination of the methodology of music theorists and historians. All the authors represented here show their indebtedness to Meyer's work in some manner, either by direct citation or by their choice of subject matter or approach.

Part I consists of four essays focused primarily on historical musicology, but from a perspective that examines human responses to, and contexts for, musical experiences. The first two articles, by Ruth A. Solie and John Platoff, are among the most important musicological contributions to the collection. They are critical and philosophical evaluations of the assumptions underlying a collection of music-historical documents: in the first case, nineteenth-century critical responses to Beethoven's Ninth Symphony, and in the second, twentieth-century evaluations of Mozart's *Idomeneo.* The opening article, Solie's "Beethoven as Secular Humanist: Ideology and the Ninth Symphony in Nineteenth-Century Criticism," compares writings on Beethoven's Ninth Symphony with respect to the image projected of the composer and symphony, reactions to the symphony's form, and Christian and humanist interpretations of the work. As Solie puts it, "this essay . . . is not 'about' Beethoven, nor 'about' the Ninth Symphony. Rather, it takes that piece and its attendant commentary as exemplary of the ways in which religious, philosophical, and political ideologies are reflected in the interpretation of music during the nineteenth century" (p. 3). Her bibliography alone is a valuable resource, containing more than 50 reflections on Beethoven by such authors as Hector Berlioz, Claude Debussy, Vincent D'Indy, Edward Hanslick, A. B. Marx, Lowell Mason, Friedrich Neitzsche, Robert Schumann, and Richard Wagner.

In a telling examination of an important issue, John Platoff's "Writing about Influences: *Idomeneo,* A Case Study" questions the value of "influence statements" in musicological research. Platoff quotes a number of authors who compare Mozart's *Idomeneo* with Gluck's *Alceste* and who assert that Mozart was influenced by Gluck's work. This prompts an investigation into the nature of musical influence itself, beginning with three conditions that must be satisfied in order to assert that "X influenced Y with respect to *a*"; these are Awareness, Similarity, and Change (p. 46). Briefly, it must be shown that Composer Y knew the music of Composer X, and that the two works in question are similar with respect to element *a,* which is being compared. Further, it must be shown that Composer Y's music, previous to the influence of Composer X, either did not contain element *a* or contained a different treatment of *a.* Platoff gives numerous

examples from the musicological literature that illustrate authors' awareness or lack of awareness of these conditions. He concedes that influence statements are attractive because they seem to offer explanations for changes in a composer's style, but warns that such attributions should be made only with careful consideration of their limitations.

The final two essays of Part I, strong contributions by Margaret Murata and Rose Rosengard Subotnik, discuss cultural contexts for our understanding of music. Murata's "Scylla and Charybdis, or Steering between Form and Social Context in the Seventeenth Century" opens by distinguishing between two types of music-historical perspectives, as typified by publications of Charles Burney and Hugo Riemann:

> Burney's history is untouched by Hegelian theories. Riemann's is on its way to the New Criticism. This is to say that Burney's interest in music is archaeological. Riemann, using a Hegelian metaphor, is tracking the spirit of music through history by its "forms" and is well on the high road to a scientific compilation of universal musical principles. (P. 69)

She continues by noting that "we have inherited a jumble of approaches to Western music" (p. 69). In addition to those noted above, a critical approach emerged that assigned aesthetic evaluations to works. The assignment of value to some types of music over others divided absolute music from functional music, however, with the latter condemned to a subsidiary status. Analysis of the "ideal" absolute music revealed inner structural coherence, and the study of that structure, in turn, led to an isolation of the art work from the social and historical context in which it was created. Murata's article considers the sociological and philosophical implications of these changes of perspective. In addition, she contrasts the roles of the written and the oral transmission of musical knowledge, focusing on seventeenth-century practice. Among her conclusions is the idea that musical scores exist somewhat separately from their social functions. She concludes that:

> Music is created in the social context . . . of a *double* oral culture. The first is the social one that determines the demand for music; it conditions what is expected and what is expressed, but not in great detail. The second consists of the transmission of music by and among musicians, through performances. The language of this second oral culture is musically specific, and it is syntactical. . . . Both oral cultures are historical, of course, but scores and society should not be expected to speak reciprocal languages. (P. 82)

Subotnik's "Toward a Deconstruction of Structural Listening: A Critique of Schoenberg, Adorno, and Stravinsky" is well-placed after Murata's essay, since it examines in more detail the cultural bias toward "scientific" approaches to musical understanding that Murata touches upon in her introduction. Subotnik cites writings of Schoenberg, Adorno, and Stravinsky that advocate the structural hearing of a musical composition as the organic unfolding in time of a generating musical conception. Structural listening is an active perceptual process, based entirely on the listener's comprehension of interrelations formed as the music unfolds, and thus is not dependent upon the listener's previous knowledge of the composer's compositional system or the context in which the piece was written. She argues that the opposite pole from structural listening is "medium":

> A historical parameter of music, signifying the ongoing relationship of any composition to a public domain of sound and culture, from the time of its initial appearance up to the present. This pole is defined principally through the presentation of sounds, organized by conventional or characteristic usages, into particular configurations called styles. . . . (P. 88)

The article is in two parts, the first presenting a cultural history of structural listening and the second, a case against it. Subotnik warns the reader that this mode of listening is so firmly established as the norm in American educational institutions "that it is all too easy for us to assume its value as self-evident and universal and to overlook its birth out of particular historical circumstances and ideological conflicts" (p. 88).

The articles of Part II take a critical look at the role "theory" plays in three distinct academic communities: the literary critics, music psychologists, and performers and scholars of medieval music. The opening essay, Barbara Herrnstein Smith's "Masters and Servants: Theory in the Literary Academy," draws no parallels to the musicological or music-theoretical community, though such connections could be made. Instead, it examines the general relationship between theoretical activity and the institutions that support it, drawing examples from the author's field of expertise, literary criticism. She notes, for example, that theoretical activity in academia is constrained by various institutionally-developed structures and practices. Further, the conservative elements of administration are reinforced by an "institutional inertia," consisting of long-standing traditions and a system of governance by people with well-established academic careers, with "increased vested interests and decreased capacity for personal transformation" (p. 126). In short, the institution exerts subtle conservative control upon its theorists, to ensure that their activities uphold an

institutional mission.[4] All this is preparatory to Smith's primary message: that when theorists' work becomes too innovative, the conservative elements within the institution may work to oppose and contain it. By way of example, she notes "that certain relatively novel forms of theoretical activity in the literary academy are now widely seen as forces of treachery, channels of heresy, and agents of transgression and dissolution" (p. 128). At issue is the relationship between the text itself and the criticism, which has traditionally maintained a master-servant relation. That is, formerly the criticism served the text, not only by explicating its meaning and structure, but also by elevating its status as a master work. Some recent literary theories, on the other hand, seek not to serve the text, but to master it; this suggests that the function of theory is not merely to serve as custodian of a textual canon, but it may extend to other theoretical purposes. In the essay's concluding pages, the author notes that one of the major values of theoretical activity to an institution is its ability to "subvert institutional structures and throw standard operating procedures off course"; theoretical activity "thereby operates as a vehicle for the discipline's capacity for adaptive self-transformation or, as we say, its 'vitality'"(p. 137).

The two essays that conclude Part II focus on music theory and its relationship other disciplines; Burton S. Rosner explores "Music Perception, Music Theory, and Psychology," while Jan Herlinger discusses "What Trecento Music Theory Tells Us." These two contributions, along with Eugene Narmour's "On the Relationship of Analytical Theory to Performance and Interpretation" (in Part III), are important readings for any scholarly musician because they so clearly demonstrate the relation between theory and practice. Rosner divides his examination of the relationship between music perception and music theory into three categories of interaction: first, psychology as explanation of music theory, focusing on Helmholtz's music-physiological experimentation, and the influence of Gestalt psychology upon Meyer's theories of emotion; second, psychological experiments as evaluations of music theory, including Krumhansl's experiments on perception of tonal hierarchies and Rosner and Meyer's experiments on perception of melodic processes; and third, music theory as a source of mental structures, focusing primarily on hierarchical tree structures and the work of Lerdahl and Jackendoff. Herlinger's point of departure is his irritation at scholars who assert a wide separation between medieval theory and practice. In a concise and convincing discussion, Herlinger gives two instances in which such assertations about Marchetto of Padua can be disproved. In the first, Herlinger cites Willi Apel's conclusion that the rhythmic notation in the caccia "Or qua conpagni" absolutely contradicts the teaching of Marchetto; in the second, he quotes François-Joseph Fétis and August Wilhelm Ambros, who cite chromatic

progressions in Marchetto's *Lucidarium* as bold harmonic experiments that were not understood or used by musicians of the time. But, in fact, Herlinger shows a passage from Marchetto that precisely accounts for the rhythms that troubled Apel, and provides five musical examples from the period that match Marchetto's "bold" progressions exactly. Having established that Trecento treatises do indeed reflect musical practice, the remainder of Herlinger's essay concentrates on what information the writings of theorists reveal that cannot be gleaned from examining the music alone, including important documentation about rhythmic notation and practice, *musica ficta,* and tuning.

The five articles that comprise Part III are those that use empirical methodology, but this methodology serves decidedly different aims. The first two essays, by Robert O. Gjerdingen and Frank Tirro, undertake empirical examinations of the characteristics that describe pieces within a given musical repertory, then formalize this information to write computer programs that will generate new works in that style. Diana Deutsch's empiricism takes the form of psychological experimentation; she reports on a study that tests listeners' perception of pitch direction in stimuli designed to minimize octave placement. The final two articles of Part III use empirical methods in the service of music analysis: in the first case, John Chestnut examines Schubert's *Moment musical,* op. 94, no. 6, and in the second, Eugene Narmour critiques performances of various compositions in light of his musical analysis.

Robert Gjerdingen's research attempts, in spirit, to reproduce via computer program the type of sixteenth-century singer who could improvise correct counterpoint on the spot. "Unlike the modern student, the sixteenth-century singer would not have need to pay great attention to averting errors; the use of concrete correct patterns would have been habitual as part of the singer's internalized knowledge" (p. 201). This is the model behind Gjerdingen's, "Concrete Musical Knowledge and a Computer Program for Species Counterpoint." His program, called PRAENESTE, is based not on rules of species counterpoint, but on stylistic constraints that are retained in memory as concrete patterns. As the author puts it,

> In response to each new contrapuntal situation . . . PRAENESTE uses a small but powerful memory of various concrete musical schemata to provide for itself a selection of correct melodic patterns. Then, given what it has done up to that point, it selects a single melodic path that best satisfies a number of higher-level aesthetic constraints. For PRAENESTE, being correct is a matter of course; its main concern is with style. (P. 201)

Gjerdingen's essay is a clearly written prose description of the aesthetic and stylistic choices made in designing each subroutine of the counterpoint-writing program.

Frank Tirro, in "Melody and the Markoff-Chain Model: A Gregorian Hymn Repertory," also uses the computer to generate music within specific style constraints, but he takes as his criteria for program design not empirically determined "artistic" standards, but instead probabilities that are mathematically determined by a first-order Markoff chain. A Markoff chain assumes that, given a series of events, the earlier events create a context from which the probability of the next event's identity can be determined. In a first-order Markoff chain, an event's likelihood is based on the probabilities suggested by the single preceding event; in a second-order chain, an event's likelihood is calculated based on the last two preceding events, and so on.[5] Tirro makes a simple tally, given the entire repertory of Tone 1 and Tone 2 hymns of the *Antiphonale Monasticum,* of the number of transitions that span any one pitch to any other (e.g., how many times does C proceed to C, C to D, C to E, etc.). These are represented graphically on a two-dimensional array, and probabilities calculated for each possible transition. Finally, these data are used to compose Gregorian-style melodies. One cannot help noting that a first-order Markoff chain is not a very sophisticated model for musical structure; surely it is for this reason that the author chose a monophonic repertory, with fairly predictable recurring melodic patterns. Tirro ought to consider a further study using higher-order Markoff processes and a more musically-complex repertory. It would be interesting, for example, to compare the results of a Markoff-generated program for sixteenth-century counterpoint with those of Gjerdingen's PRAENESTE.

Diana Deutsch's experiments attempt to provide empirical evidence for supporting or questioning some of the fundamental tenets of music theory. Among the issues she tests in "Pitch Class and Perceived Height: Some Paradoxes and Their Implications" is perceptual invariance under transposition. After an explanation of the distinction between pitch class and pitch height, she describes an experiment that uses tones constructed so that pitch height is minimized in favor of pitch class (Shepard tones); this is done by arranging the frequencies of simultaneously sounded octave-related pitches so that no one octave placement is perceived as dominant.[6] In one experiment, she presented a series of melodic tritones, using Shepard tones, and asked her subjects whether the interval ascended or descended. Her results showed that "thinking of the pattern as successively transposed up in semitone steps beginning with C-sharp as the first tone of a pair, the pattern was first heard as ascending, and then, when F-sharp was reached, it was heard as descending; and so on" (p. 268). In

what she termed the "tritone paradox," the listeners' perceptions were altered as the stimuli progressed around the pitch-class circle; the tritone C♯–G was heard as ascending, but F♯–C was heard as descending. The essay describes several other experiments, one in which two contrapuntal lines, A and B, were heard as though melody A were the lowest sounding voice when played in the lower end of the pitch-class circle, but when transposed to the upper end, A was heard as the upper voice and B as the lower. Deutsch sees her results as a counter-example to the accepted psychological model of pitch representation, after Shepard, as a rising helix with pitch classes on the circular dimension and octave-related pitches vertically aligned (p. 291), and as a counter-example to the principle of invariance under transposition. However, by suppressing pitch height in favor of pitch class, she creates an artificial context which probably would not be duplicated in a musical situation. Although her experiments raise interesting perceptual issues, these results should not lead musicians to question the perceptual validity, given true musical contexts, of Shepard's helical model, nor of invariance under transposition.

John Chesnut's "Affective Design in Schubert's *Moment musical,* op. 94, no. 6" is the most disappointing essay in the empirical group. Chestnut begins by criticizing traditional theories of formal analysis, first because its abstractions obscure individual differences between compositions, and second because similarities and differences between formal sections are not adequately categorized in his opinion. He proposes instead a new system that focuses on comparisons among formal sections, based on four affective dimensions: forcefulness, activity, brightness, and complexity. Based on the extremes of each of these dimensions, eight categories may be derived that define a semantic space, such as resigned versus exuberant, tragic versus cheerful, agitated versus masterful, and angry versus tranquil. Thus, "analyzing the affective design of a musical composition involves tracing a time-line through this semantic space" (p. 298). The remainder of the article consists of an experiment performed on "an audience of one: myself" (p. 300). Chestnut listened to a recording of the Schubert composition and rated each of the phrases (from 1 to 5) within a semantic space. Needless to say, it is questionable whether the results can be generalized for any other listener, since the categories and criteria for rating were so vague and since the experimental group of one was so limited. Despite his criticisms of traditional theoretical approaches, Chestnut's theory seems to suffer from more weaknesses than the theory he wishes to replace.

"On the Relationship of Analytical Theory to Performance and Interpretation," by Eugene Narmour, uses the medium of commercially-released recordings to compare interpretations of compositions by Brahms,

Haydn, Mozart, Handel, and Strauss. Narmour examines "both why from an analytical point of view a given performance may be heard as being either good or bad, and why performing a given passage one way or another makes a significant difference to the listener's experience" (p. 318). He begins by considering the issues of form (chiefly the recognition and treatment of motivic/thematic recurrences), and function (in this case, a retransition that is dovetailed with the recapitulation), as well as the power and effect of dynamic changes improperly applied. He then proposes a brief theory that categorizes several levels of closure, based on the congruence or noncongruence of certain melodic, harmonic, and rhythmic patterns that are deemed cumulative or counter-cumulative. He draws upon Meyer's work in his discussion of melodic implications, and the various performance choices that can strengthen their effect. The article closes with an extremely detailed and revealing comparison and critique of recorded excerpts from Strauss's *Der Rosenkavalier.* Narmour analyzes the excerpt with respect to the issues previously discussed in the article, then compares the interpretive decisions made by various artists to those his analysis would suggest.

The essays in the final part of this collection examine ways in which listeners make sense of musical relationships as they are heard. Again, each author does so from a decidedly different perspective: Patricia Carpenter from her examination and understanding of Schoenberg's writings, James Kidd from his theory of melodic tonal strength, Robert Hopkins from writings on the function of the coda, and David Brodbeck from the perspective of the composer as "listener," as he examines via manuscript study the various musical criteria by which Brahms reordered movements. The article that opens this section, Carpenter's "Aspects of Musical Space," is an important contribution to the collection for its discussion of Schoenberg's perspectives on tonality and form. She defines musical space several ways: as "the constructed and perceived continuum of a musical work," and "the background against which both the coherence and the unity of the work unfold" (p. 342). It is "ultimately a conceptual space, the space in which a thought takes shape, gathers body to itself, unfolds" (p. 368). Carpenter uses her analysis of the Schubert Impromptu, op. 90, no. 3 as the vehicle for a discussion of Schoenberg's views on musical structure. Most valuable is her clear definition of *Grundgestalt* and her illustration of the role it plays in her analysis of the Schubert piece. The *Grundgestalt*

> is a concrete shape, constructed by the composer, grasped by the listener. The theoretical basis for its concrete unity is the unity of the two-dimensional space; in this sense the musical idea is neither melody

> nor harmony nor rhythm, but a concrete entity consisting of all three. (P. 354)

She also explains in some detail Schoenberg's conception of tonality and extended tonality, in terms of a dynamic conflict between forces that support the tonal center and those that challenge it, using examples drawn from the Impromptu.

James C. Kidd's concept of tonality is not nearly so well defined as Schoenberg's. Indeed Kidd's "Tonality in a New Key" is analytically naive throughout, and one of the weakest contributions to the volume. It amounts to little more than affective descriptions of selected passages of music; this, for example, is his description of a Mozart sonata theme:

> The sensation of these three Cs is nearly identical to watching a small ball bouncing on a table-top, losing energy in a mathematically-graded way with each decreasing rebound. Mozart's eighth-note upbeat is nearly passive, wanting to hold slightly before gently nudging the phrase over the edge into motion. It is difficult to imagine a more simple initiation of motion, or straight-forwardness of intention, yet there is an elegance and almost a feeling of insouciance in the descent. (P. 382)

Kidd has three complaints about most examinations of tonality: first, while the definitions may be technically correct, they reveal little of the listener's experience of tonality; second, few theories exist that consider tonality as it functions in melodies, without regard to harmony; and, third, "analytical discussions about or involving tonality almost always concentrate on the long-range features of the tonal-structural hierarchy" (p. 375). The fact that the author wishes to undertake a study of tonality that disregards harmony (without considering the fact that melodies imply harmonic contexts), and that disregards hierarchical considerations altogether, is in itself somewhat suspect. Kidd undertakes a study of "four diatonic melodies" in order to examine the nature and perception of melodic tonality. His premise is that not all melodies in C major are simply in C major, but that instead they exhibit a range of "C-majorness." He offers as examples the opening themes from the third movement of Mozart's Piano Sonata in C Major, K. 309, the opening theme from the first movement development section of Schubert's Piano Sonata in A Major, D. 959, from Faure's thirteenth Barcarolle, and from "Jimbo's Lullaby" from Debussy's *Children's Corner* (transposed to C for purposes of comparison). This choice of musical materials calls into question the very purpose of the comparison, since with the exception of the Mozart melody, none of these is a diatonic C-

Major melody; the Schubert and Faure contain chromatic tones, while the Debussy is pentatonic and does not even include the pitch-class C. Regarding the pentatonic passage, Kidd says, "I do not know how to categorize this passage technically, but what I do know with utter conviction is that its quality of motion is of a very special order, not light, not slow, not soft, but totally free of any resistance or surface tension" (p. 391). He concludes that "tonality is not something generalized and abstract . . . it is the perceived and realized quality of motion that is tonality" (p. 392). The reader is left without a sense that Kidd really understands tonality at all.

The last two essays of the collection mark a return to the type of article with which this *Festschrift* opened; these are musicological studies, now with an emphasis upon listener perception of formal function and musical coherence. The first examines the various roles Beethoven's codas play, as well as previous writings on the functions of codas from such musicologists as Kerman, Ratner, and Newman; the second is a manuscript study of the Brahms *Liebeslieder Waltzes,* but focuses on elements of perceptual coherence and closure in various orderings considered by the composer. Robert G. Hopkins's "When a Coda is More than a Coda: Reflections on Beethoven" is a good historical overview of the coda's expansion in nineteenth-century sonatas and symphonies, particularly those of Beethoven. He cites a number of previous publications on this subject as well as his own analyses in formulating three types of functions for expanded codas, for which he provides a number of well-chosen examples. First, an expanded coda may contain the resolution of some thematic or tonal "issue"; second, it may serve as a final recapitulation or peroration; and, third, it may offer tonic resolution for some non-tonic element in the recapitulation. In the final essay, David Brodbeck discusses "Compatibility, Coherence, and Closure in Brahms's *Liebeslieder Waltzes."* This is a study of sketches and correspondence in which Brahms proposed several alternative organizational schemes for *the Liebeslieder Waltzes.* Brodbeck compares and evaluates each of these orderings with respect to three criteria: first, compatibility of style and character; second, coherence (as evidenced by tonal, motivic, and textual links between movements); and, finally, closure (satisfactory tonal, textual, and aesthetic finality at the end of each subgrouping, as well as at the end of the entire cycle).

Leonard Meyer should be proud of this collection in his honor. It is clear that his work has deeply influenced a generation of scholars. The editors agree that "what these writers have learned from Meyer is the refusal to be defeated by or capitulate to the sometimes argumentative interplay between the historical persona of musicology and its more analytical moods" (p. x). In many of these essays, the authors manage to "step back" and take a critical and evaluative look at the nature of musicological

and music-theoretical research, both in relation to other disciplines and in relation to the musical experience of composer, performer, and listener. For the impetus behind these studies, we may have Leonard Meyer to thank.

—*Elizabeth West Marvin*

NOTES

[1] A sampling of Meyer's publications in these areas include, in chronological order, "Learning, Belief and Music Therapy," *Music Therapy* 5 (1956): 27–35; "Some Remarks on Value and Greatness in Music," appearing first in *Journal of Aesthetics and Art Criticism* 17 (1959): 486–500; "Universalism and Relativism in the Study of Ethnic Music," *Ethnomusicology* 4 (1960): 49–54; "The Dilemma of Choosing: Speculations about Contemporary Culture," in *Value and Values in Evolution,* ed. Edward A. Maziarz (New York, 1979), 117–141; "Grammatical Simplicity and Relational Richness: The Trio of Mozart's G Minor Symphony," *Critical Inquiry* 2 (1976): 693–761; "Innovation, Choice, and the History of Music," *Critical Inquiry 9* (1983): 517–544; and "The Perceptual Roles of Melodic Process, Contour, and Form," with Burton S. Rosner, *Music Perception* 4 (1986): 1–39.

[2] Leonard B. Meyer, *Emotion and Meaning in Music* (Chicago: University of Chicago Press, 1956); *The Rhythmic Structure of Music,* with Grosvenor W. Cooper (Chicago: University of Chicago Press, 1963); *Music, the Arts, and Ideas: Patterns and Predictions in Twentieth-Century Culture* (Chicago: University of Chicago Press, 1967); *Explaining Music: Essays and Explorations* (Berkeley: University of California Press, 1973); and *Style and Music: Theory, History, and Ideology* (Philadelphia: University of Pennsylvania Press, 1989).

[3] A number of other groupings might have been possible. The editors might have chosen to pair some essays to emphasize their topical connections: for example, the Solie and Hopkins articles for their focus on Beethoven's compositions, the Gjerdingen and Tirro for their computer implementations, the Subotnik and Carpenter essays for their insights into Schoenberg's aesthetics, or perhaps the Carpenter and Chestnut for their differing perspectives on two Schubert piano compositions.

[4] Her description of the means by which an institution's mission is perpetuated is wonderfully apt:

> These [means] include the repeated ceremonial narration of self-heroizing myths of the institution's history, along with the repeated invocation of the spirits of its patron saints and exemplary heroes, whose names, engraved on the institution's gates, greet and inspire its latter-day practitioners every morning and whose portraits, hung on its corridor walls, accompany and chastise their every hour of work. (P. 126)

[5] A succinct and clear explanation of Markoff processes may be found in Jonathan Kramer's *The Time of Music* (New York: Schirmer Books, 1988), 22–23.

[6] These are often called Shepard tones, after Roger N. Shepard, who first synthesized them. See, for example, his "Structural Representations of Musical Pitch," in *The Psychology of Music,* ed. Diana Deutsch (New York: Academic Press, 1982), 344–390.

From Ideology to Music: Leonard Meyer's Theory of Style-change

Leonard Meyer. ***Style and Music: Theory, History and Ideology.*** Philadelphia: University of Pennsylvania Press, 1989. xi, 376 pages. Studies in the Criticism and Theory of Music.

Leonard Meyer's splendid new book, *Style and Music: Theory, History and Ideology*, provides a rich feast of food for musical thought and (inevitably) for musical controversy. Theorists will, of course, be drawn to the author's nuts-and-bolts functional analyses of the various musical passages he discusses in making his argument; and music historians, doubtless, will find much to stimulate them, as well as to argue about, in his historical characterization of the Classical and Romantic periods in music and of their relevant social, political, and philosophical backgrounds. But philosophers of art like myself will surely fasten upon Meyer's bold attempt to connect the pure musical parameters of syntax and structure to the reigning ideologies with which they co-exist. Nor, I think, will it be out of place to concentrate on this attempt in the present review essay; for it is the major theme and argument of Meyer's book.

I call the attempt to connect music and ideology "bold" because—and I think Meyer would agree—this is one of the most difficult and contentious things to make out in the "philosophy of music." In my view, it is one of the two master problems of the discipline, the other, to which it is obviously related, being the problem of making out exactly what the nature is, in the first place, of the aesthetic satisfaction we take in absolute music, given that such music seems, at least on the surface, bereft of semantic or representational content, and, yet, has come to occupy a place in the pantheon no less prominent than that accorded the semantic and representational arts.

It may sound like a platitude, but the central thesis of Professor Meyer's book, as I see it, is that *musical composition is a process of choice-making.* Such compositional choice-making is of at least two distinctive kinds: choice among the alternatives that a given style allows and choice determinative of styles themselves, that is to say, choices that cumulatively change a style, as, to take the style change most important to Meyer's book, the compositional choices that eventually traversed the passage from Classic to Romantic.

Composing within a style is a matter of choosing available possibilities, hedged in by a set of constraints that make the given style identifiable as just that style. "The constraints of style are *learned* by composers and per-

formers, critics and listeners." But such *learning* is seldom the result of self-conscious instruction; it "is largely the result of experience in performing and listening rather than of explicit formal instruction in music theory, history, or composition. In other words, knowledge of style is usually 'tacit': that is, a matter of habits properly acquired (internalized) and appropriately brought into play" (p. 10).

Working within a style is, furthermore, a matter of devising what Meyer calls "strategies." "Strategies are compositional choices made within the possibilities established by the rules of the style. For any specific style there is a finite number of rules, but there is an indefinite number of possible strategies for realizing or instantiating such rules" (p. 20). The spelling out of these strategies—in terms of the possibilities open to the composer, the constraints laid upon him or her by style, and the reasons for consequent compositional choices made—is the goal of music theory and style analysis. Specifically, style analysis asks, "*Why* do the traits described 'go together'?" To explain this, it is necessary to relate the strategies employed both to one another and to the rules of the style, including the particular ways in which the several parameters interact." And: "Because such relational sets are understood as being synchronic, style analysis need not consider parameters external to music—ideology, political and social circumstances, and so on" (p. 45). In a word, style analysis is completely self-contained, completely within the pure musical parameters themselves, as, indeed, conventional, "formalistic" wisdom would have it. So far, then, there need be no appeal to anything beyond the "game" of music itself.

But what of style changes themselves and the compositional choices involved in effectuating them? Here matters are very different. Analysis within a style may be an autonomous discipline. "But the history of style," Meyer writes, "cannot, in my view, be explained without reference to aspects of culture external to music" (p. 45). Why should this be the case? To answer this question we must first observe that the "history of style" is, of course, the history of *style change.* For if style did not change, it would not have a history at all. Second, we must ask ourselves why a perfectly obvious, and often cited "explanation" of style change, which does not require the controversial appeal to extra-musical causes, will not wash. The explanation of which I write is simply appeal to the desire (the innate desire?) for novelty. And it will not wash because in explaining everything, it in effect explains nothing. Any change, one would think, can be explained as the satisfaction of the desire for novelty. But since there are innumerable ways in which a musical style may change—innumerable directions in which innovation may go—the simple desire for novelty tells us nothing about why a musical style changed in the particular ways that it did. Classical style could have evolved in countless ways, and the desire for

novelty could "explain" all of them. But the question is, Why did it evolve into the style we call Romanticism rather than a hundred other possible styles? This the desire for novelty or innovation cannot explain. And, on Meyer's view, we must reach for factors external to the "game" of the pure musical parameters for such an explanation: in a word, to "ideology."

It is Meyer's working hypothesis that "a musical style changes precisely because some of its constraints do not reflect (are not congruent with) some of the dominant parameters of the culture in which it exists" (p. 118). I am going to call this Meyer's *global* hypothesis of style change, and contrast it with two less ambitious hypotheses: the *limited* hypothesis that some musical styles have changed precisely because some of their constraints did not "reflect" (were not congruent with) some of the dominant parameters of the cultures in which they existed; and the *particular* hypothesis that Classical musical style evolved into Romantic because some of its constraints did not reflect (were not congruent with) some of the dominant parameters of the culture in which it existed. Meyer's major argument for the global hypothesis is a detailed attempt to establish the particular hypothesis. My own suspicion—something beyond a gut reaction but certainly short of firm belief—is that the global hypothesis is false, the limited hypothesis at least a possibility, and the specific hypothesis quite plausibly defended by Meyer, although there seem to me to be gaps in the argument that need filling in. My reasons for all of this will emerge as the discussion proceeds.

How does ideology "explain" style change? In general, the explanation goes this way. If ideology and musical style get out of phase—that is to say, if prevailing musical style ceases to reflect prevailing cultural ideology—then the prevailing ideology, presumably shared by the composer, will influence him or her to make such compositional choices as counter the prevailing stylistic restraints or tendencies in a way to bring style and ideology back into phase and make the former again reflect the latter: thus old style gives way to new under the pressure of changing ideology.

Of course it is one thing to enunciate such a hypothesis; quite another to convince anyone of it. For it is just here that the skeptical eyebrow will be raised. How can ideologies, of all things, be reflected in musical notes—in the pure parameters of musical structure and syntax? Meyer is well aware of how crucial the question is. As he puts it, "if economic, political or other [external] circumstances are to influence the history of musical style, they must be translated into real, nuts-and-bolts compositional choices in such a way that they can affect the choices made by composers" (p. 145). And so a large portion of his book is devoted to making such "translations," showing how, in musical detail, ideology, for the most part Romantic ideology, was translated into real, nuts-and-bolts compositional

choices. These nut-and-bolts translations are extensive and rich in analytic detail. And one cannot possibly give any but the most sketchy idea of Meyer's piling up of detailed examples in the abbreviated format that is all a review allows. I shall have to make do here with just a small sampling.

The over-arching ideological principle of the Romantic movement, according to Meyer, is egalitarianism. "At its core," he writes, "was an unequivocal and uncompromising repudiation of a social order based on arbitrary, inherited class distinctions. This rejection was not confined to the arts or philosophy; rather it permeated every corner of culture and all levels of society. It was, and is, Romanticism with a capital *R*" (p. 164). But if, as Meyer believes, "a crucial question for the history of music is how ideological values are transformed into musical constraints and specific compositional choices" (p. 218), then clearly the crucial question at hand is how the ideological "repudiation of a social order based on arbitrary, inherited class distinctions" can be "transformed into musical constraints and specific compositional choices." What, in other words, is the real musical pay-off, in the coinage of the pure musical parameters, of a basically political ideology.

According to Meyer, as I read him, the link between ideology and the pure musical parameters in the Romantic era is disdain for the established conventions. In the over-arching political and philosophical ideology it is disdain for the unjust establishment of social classes and conventions, the most obnoxious symbol of which being the inherited nobility. In musical practice, this is reflected in the fact that "ideologically, whatever seemed conventional (familiar cadential gestures, commonplace melodic schemata, stock accompaniment figures, and so on) was anathema to Romantic composers" (p. 219).

In *Style and Music* Meyer considers two ways of "making the claims of [Romantic] ideology compatible with the inescapable conventions of tonal syntax." The first strategy was to use syntactical constraints and conventions but to "disguise" them. "The second . . . involved the use of means less definitely dependent upon constraints and ones less patently conventional" (p. 222). In other words, Romantic composers reflected the ideological rejection of convention, in the nineteenth century, not merely by rejecting musical convention in kind but (more cleverly) by using it in camouflage.

The camouflage was of two kinds: what Meyer calls "disguise through emergence" and "disguise through divergence." An example of the former will have to suffice.

The last cadence of Debussy's *Prelude to the Afternoon of a Faun* is "not surprisingly, the most decisive closure" in the piece. "Closure is articulated by an ostensibly normal ii-V^7-I progression that accompanies two coordi-

nate melodic closing gestures" (p. 223). The first cadential gesture is compared to another "instance of such a gesture, from the second movement of Mozart's String Quintet in E♭ Major (K. 614)." Debussy's is "disguised" by its organic connection with what goes before, whereas Mozart's is just an out-front conventional tag, tantamount to *finis* at the end of a film. "For Mozart's cadential gesture, unlike Debussy's, does not grow out of earlier events. Indeed, nothing resembling it occurs earlier in the movement, or does it complete a process begun before. The gesture signifying closure is not essentially part of the intra-opus style of this movement, but rather part of the dialectic of Classic music. As such, it is unequivocally and unashamedly conventional." But in Debussy's cadence: "because the gesture grows out of the melodic, orchestral, and textual process that precede it, its identity and integrity are masked. And so, as a result, is its conventionality" (p. 224).

Going from the disguise of conventional syntax to its outright rejection, Meyer opines that: "the gradual weakening of syntactic relationships, coupled with a correlative turning toward a more natural compositional means, was perhaps the single most important trend in the history of nineteenth-century music." (p. 272). Of this weakening, and even rejection, Meyer has many carefully worked-out examples, each of which not only supports his thesis but invariably casts new light on the music he discusses. Of particular importance in this regard is a whole class of non-syntactic features of music which Meyer calls the "secondary parameters." I shall confine my remarks to these.

Of the distinction between the primary and secondary parameters, Meyer writes:

> The primary parameters of tonal music—melody, harmony, and rhythm—are syntactic. That is, they establish explicit functional relationships. . . . Secondary parameters, on the other hand [e.g., "louder/softer, faster/slower, thicker/thinner, higher/lower"], are statistical in the sense that the relationships to which they give rise are typically ones of degree that can be measured or counted. . . . [T]he syntax of tonal music, like other kinds of syntax, is rule governed, learned, and conventional. The secondary, statistical parameters, on the other hand, seem able to shape experience with minimal dependence on learned rules and conventions. (P. 209)

Thus, a musical structure based on the secondary, rather than the primary parameters would seem more appropriately to reflect the Romantic ideology, with its negative attitude towards social stratification and conventions, than would a musical structure based on the primary ones. And so, as Meyer maintains, it would be altogether expected that "complementing

the trend toward syntactically weakened harmonic and tonal relationships [in the Romantic era] was an increase in the relative importance of secondary parameters in the shaping of musical process and the articulation of musical form" (p. 303).

At this juncture, with Meyer's general argument well in tow, we can step back and take a critical look at it. I have two major points to make, the first concerning what I have called the particular hypothesis, the second concerning what I have called the limited and global hypotheses.

The particular hypothesis, it will be recalled, is that the parameters characteristic of Romantic musical style can be explained by appeal to the regnant ideology of the times. The appeal is by way of the concept of *choice.* The argument is that composers have been influenced by their beliefs in this ideology to choose those musical parameters that reflect, that are in accord with the ideology. And because the Classical parameters ceased to be seen by composers as reflecting, as being in accord with the Romantic ideology, they chose other strategies that were so seen.

Now I said at the outset of this essay that the central thesis of Meyer's book, platitudinous though it may sound, is that musical composition is a process of choice-making. We are now about to see how crucial, and how unplatitudinous this thesis really turns out to be.

If we want to *explain* why someone is behaving—or had behaved—in a certain way by saying that he or she *chose* to do it, we must fulfill certain necessary conditions for such an explanation. First, we must be able to rationally reconstruct a plausible *practical* argument leading from thought to choice. So, for example, if I explain why Rudolph is now waddling around on the floor like a duck, going "Quack! Quack!" by saying that he *chose* to do so, and is not (say) under post-hypnotic suggestion or simply a nut, I must make good my claim by reconstructing a rational argument from what Rudolph believes and wants to a practical conclusion to the effect that waddling around on the floor, quacking like a duck, is, under the circumstances, the (or a) rational thing for Rudolph to be doing. My explanation is: He wanted to entertain his five-year old niece, who was crying; so, since he knew she liked ducks and had left her rubber duck at home, he decided on the present (undignified) strategy.

One important thing to notice is that a necessary condition for making the rational reconstruction plausible is that the chooser be just the sort of person for whom the particular reconstruction, whatever it might be, would seem appropriate. Thus if, for example, we knew that Sarah was an extremely selfish person, a rational reconstruction of the deliberations leading to her choice to give a million dollars to charity involving benevolent motives might be rejected in favor of one involving considerations of tax advantage, on the grounds that Sarah is not the sort of person whose

deliberations would be likely to involve benevolent motives at all.

Of course, in giving a rational reconstruction of a practical argument leading to choice, we need not necessarily be suggesting that, in the particular instance, the chooser actually went through the steps laid out. Alice *chooses* to run to her right, rather than her left, in order to answer Jim's overhead smash, because she knows that if she does so, she will have a fifty-fifty chance of returning the ball, whereas if she stays in center court, and waits to see whether Jim hits to the right or the left, it will be too late to return the ball at all, no matter which side Jim hits to. But, clearly, there is no time for Alice to go through this argument in the heat of the moment. Rather, as we say, she has "internalized" this strategy, made it "second nature," so that she can act, in the event, instantly, without thinking at all. Nevertheless—and this is crucial—if Alice *never* went through either the reasoning process that the rational reconstruction lays out or one like it, then I think we would be loath to call her behavior a matter of *choice.* Presumably, there was a time when Alice was taught to go randomly to her left or right, and not get caught in center court, because doing that would raise her chances of returning a smash from zero to fifty-fifty. She understood that this was the rational thing to do, and chose to internalize that mode of behavior. On the basis of her once having made this conscious choice, we say now that each time she behaves in this way, she *chooses* to do so, for just the reasons cited. However, had she never entertained any practical argument leading to this mode of behavior as its conclusion, had she been born doing this, then, clearly, we would not explain her behavior as the result of choice, but in some other way: "instinct," or whatever.

Armed with these common-sensical preliminaries, let us now ask ourselves if Meyer has indeed made it appear plausible to explain the musical parameters of Romanticism as the result of compositional *choice* predicated upon Romantic political and philosophical ideology. I have chosen examples of this compositional choice not only to illustrate the nuts-and-bolts of Meyer's argument, but to now suggest that there is a gap in the argument, which one of them exhibits but the other does not.

Let us take the successful example first. Meyer's explanation for the increasing tendency in the nineteenth century to choose secondary rather than primary parameters as structural features was that they more accurately reflected the ideological rejection of conventions and class distinctions and the endorsement of egalitarianism. For the primary parameters are rule- and convention-based, while the secondary ones "seem able to shape experience with minimal dependence on learned rules and conventions."

Now if we are to find the choice explanation plausible, we must be able

to give a rational reconstruction of a practical argument that leads from ideological belief to compositional choice. And we must be able to plausibly imagine the composer as the kind of person who would be likely to have gone through, at one time or another, such a reasoning process. The second condition will become crucially relevant when I come to consider the limited and global hypotheses. But for now I will put it aside, assuming that it is met in the present instance (which I happen to believe is true), and concentrate on the first condition. Can we make a rational reconstruction of a practical argument that leads from belief in the Romantic ideology to the compositional choice of secondary over primary parameters? I think the answer is yes, and here is how I think it goes, as implied, I believe, in what Meyer says. Romantic political and philosophical ideology was against class and convention, and basically egalitarian. The Romantic composers shared this ideology, wished to write music that reflected their ideological convictions, and tried to do so. So they chose, among other things, to reject the primary, rule- and convention-governed parameters in favor of the secondary ones. But what made this a *rational* choice, given their ideological commitment?

Well, to put it bluntly, if you are ideologically egalitarian, then it is reasonable to assume that you endorse music for the masses, not music for the elite. But the masses will not have the musical education and experience of the elite; so, if the music you write is to be accessible to the masses (more exactly, in Meyer's terminology, the audience of "elite egalitarians"), it must be music that can be enjoyed without any considerable learning or experience. The favoring of the secondary over the primary parameters now follows as a natural egalitarian strategy. As Meyer points out, the primary parameters, being syntactical (which is to say convention- and rule-governed) must be learned and can only be appreciated by an elite, musically sophisticated audience, whereas the secondary parameters, being more "natural," do not depend for their appreciation upon learned rules and conventions. Thus, given their egalitarian sentiments, the choice of secondary over primary parameters on the part of Romantic composers seems an entirely rational one. Can the same be said for the choice of "convention disguised"? Here I have problems.

Can we derive from Meyer's text a rational reconstruction of a practical argument that goes from Romantic ideology to the use of such disguised conventions as are illustrated by the close of Debussy's *Prelude to the Afternoon of a Faun*? If we cannot, then with regard to these numerous and important parameters of Romantic musical style—of which the example from Debussy is but one representative instance—the explanation Meyer gives of the change from Classic to Romantic style is incomplete and in need of fleshing out. I do not say, I hasten to add, that such a fleshing out

is impossible. I certainly have no argument to that effect. All I am going to suggest is that with regard to the Romantic compositional strategy of disguised conventions as Meyer describes it, there is a crucial step missing from the practical argument connecting ideology to compositional choice that it may or may not be possible to provide, and without which the rational reconstruction necessary for a plausible choice-based explanation is impossible.

The problem is this. I see no rational connection between embracing Romantic ideology—in particular, the rejection of social rules and conventions—and the choice, as a compositional strategy, to use and to disguise rule- and convention-driven musical parameters. Indeed, if one pursues the line of argument just outlined to explain the choice of secondary over primary parameters, the choice of disguised primary parameters seems positively to contradict Romantic ideology. For if the secondary parameters are egalitarian, disguised primary parameters are even more elitist than undisguised one, since, one would think, they require even more musical sophistication to appreciate. Whatever musical learning and experience an undisguised musical convention may require for its perception, a masked one cannot require less; and, common sense suggests, it must require something more, for the result of camouflage is, obviously, to make things more rather than less difficult to make out. It would be rational for an adherent to Romantic egalitarianism to choose as few conventional formulae as possible. But to disguise the ones chosen would not soften the blow; it would, on the contrary, rub salt in the wound.

What has gone wrong here? The culprit seem to be the use of such vague words as "reflect," "compatible," and the like for expressing the relationship between musical parameters and ideologies. *Why* should it be a rational strategy for a composer to choose parameters that reflect or are compatible with his political and philosophical ideology? Well, that all depends upon what the cash value of "reflect" or "compatible" is. For under some interpretations of these terms, it would not be a rational, which is to say plausible, understandable strategy at all, and hence the rational reconstruction of a practical argument from ideology to compositional choice could not go through, leaving a gap in the explanation. To illustrate what I am getting at, let me suggest two possible interpretations of "reflect" that do make for rational strategies, although, in the event, neither seems an acceptable one for disguised conventions.

We might say that musical parameters reflect an ideology just when there is a practical connection between the parameters and the ideology: when the ideology implies a musical strategy for effectuating an end that the ideology endorses or recommends. The choice of secondary over primary parameters, because it makes music more accessible to the masses, is

an example of just such "practical reflection," as, in a later day, and reflecting a similar ideology, was Hanns Eisler's proletarian musical style. But, as we have seen, that particular mode of reflection will not work for the strategy of disguised conventions. Indeed, from the point of view of accessibility, it would seem that the strategy of disguising conventions reflects, on the contrary, the elitist ideology and indeed reflects it even more strongly than the Classical employment of conventions out front.

There is, however, a second, obvious way of construing "reflection," staring us in the face, that might indeed provide a very plausible practical connection between Romantic ideology and the disguising of conventions. Why do we not say that the disguised conventions present us aesthetic "symbols" or "representations" of the ideological rejection of class distinctions, and the ideological endorsement of natural Man? What better way, after all, of symbolizing these things in music than by weaving a musical fabric that, although held together by convention-driven parameters, gives the *appearance* of being purely natural and conventionless because those parameters have been artfully hidden? And by undertaking the aesthetic symbolization or representation of the ideology—since it can be seen, at least if certain other conditions obtain, as a rational strategy aimed at promulgating what is symbolized or represented—the reconstruction of a practical argument from ideology to compositional choice is accomplished, and the explanation completed.

But, alas, the step to symbolization or representation where pure instrumental music is concerned is a dangerous one that no music theorist of Meyer's sophistication is likely to take very cheerfully. Indeed, I would venture to guess that one of Meyer's reasons for choosing such vague and noncommittal words as "reflect" and "conform" is just to avoid making a commitment to anything so dangerous and problematic as either symbolization or representation, especially where "pure" instrumental music is concerned. For the problems that arise in making such claims stick are legion. To make the practical argument from ideology to compositional choice complete, one must at the very least prove that composers *intended* to symbolize or represent, even if they did not succeed. And, so far as I can see, Meyer provides no such proof. So we are again at a loss for a rational connection between espousing the Romantic ideology and making use, in musical composition, of disguised conventions. Without such a connection, the explanation, based on ideology and choice, of how these parameters became prevalent remains importantly incomplete, although, as I have said before, perhaps not necessarily so.

At this point, I imagine, the lure of the "unconscious" will strongly beckon. One will be tempted to claim that, although there seems to be no plausible reason why an adherent to the Romantic ideology should con-

sciously choose disguised conventions as a compositional strategy, there is an unconscious desire, or compulsion, perhaps, impelling one to use them, driven by some unconscious set of "reasons" and "motives" that connect the two. Might the disguising of the musical conventions be the expression of guilt feelings due to a mistaken (and unconscious) belief that to use musical conventions is to betray the ideological directive against social conventions? We could then liken Debussy's *Prelude to the Afternoon of a Faun* to the compulsive washing of hands thirty times a day by a gentleman who unconsciously believes that he is responsible for the death of his mother in childbirth and is driven to useless, even damaging behavior by the unconscious and mistaken belief that the washing of hands is the cleansing of sin. (You don't have to take my example seriously to get my point.)

But such a path, the path of the unconscious, is not open to Meyer. For it is the very heart and soul of his book, as I understand it, to divert us from such causal explanations based on the paradigms of natural science and to direct us to explanation based on the assumption, which I share, that "human behavior is the result of intelligent and purposeful—though not necessarily deliberate, fully-informed, or even judicious—choice" (p. 76). An individual choice may indeed not be "deliberate," and in this perfectly innocent and non-technical sense be "unconscious," as is Alice's choice to instantly run to the right rather than the left to maximize her chance of returning Jim's smash. But that is not "unconscious causation" in the Freudian or any other psychologically deterministic sense. And in order for Alice's response to be correctly described as "choice," there must have been some point in her past, as we have seen, before such responses were internalized, when Alice's choice was "deliberate."

Nor, I should point out as a caveat, can one translate this unconscious practical argument into a conscious one in order to evade the vagaries of the unconscious and solve the present problem, because the practical argument will not, if a consciously entertained train of thought, pass muster as a "rational" one, for the crucial premise that explains the *disguising* of the conventions cannot be plausibly thought to be held consciously—which is to say reflectively—by a rational, indeed sane person. Who could rationally, consciously, reflectively believe that guilt felt over breaking a rule can be expiated by hiding the breach from prying eyes (or, in this case, ears)? As Meyer points out, the composer's choice need not be either "fully-informed, or even judicious" for his argument to go through. But it must be within the bounds of what we can plausibly believe a rational and sane human being might hold in the relevant time and place; and to believe consciously what I have just laid out as a set of unconscious beliefs is not within those bounds.

The perception that there is some kind of "rightness of fit"—some kind, therefore, of rational connection between believing in the Romantic rejection of social conventions and choosing the compositional strategy of convention disguised—remains a beguiling one. But we should not be beguiled too soon. We are owed here, as in any other explanation of human behavior made in terms of choice, the spelling out of a plausible, rational scenario that makes it plain why a person who believes *p*, should be expected to choose *q*. I do not think that Meyer, either explicitly or implicitly, has given us a scenario to connect belief in the Romantic ideology with the compositional choice of disguised conventions. To that extent, his explanation of how Romantic ideology might "explain" Romantic compositional practice is incomplete, though not, perhaps, fatally flawed, if completion is possible.

This brings me to my second problematic. How successful has Meyer been in establishing the particular, the limited, or the global hypotheses? The particular hypothesis—that Romantic ideology can explain through the concept of rational choice the evolution of Classical to Romantic musical style—fails to be supported whenever there is a gap in the rational reconstruction of a practical argument from belief in ideology to choice of musical strategy, as there is, so I have argued, in the case of convention disguised. But, contrariwise, whenever that reconstruction is complete, as it appears to be in the argument from ideology to choice of the secondary parameters over the primary ones, the particular hypothesis is confirmed. In this particular regard, do Meyer's successes outweigh the failures? My own estimate is that more rather than less of the time some kind of plausible reconstruction can be made. So this part of Meyer's argument in support of the particular hypothesis appears to me to merit a cautiously favorable judgement.

But the rational reconstruction is not, it will be recalled, the only necessary condition for a successful explanation connecting ideology to musical parameters by way of choice. Another is that the choosers be the kinds of people who we can reasonably assume would go through the kinds of deliberation from ideology to musical choice that Meyer describes. How does the explanation fare against that requirement? Very well, one would think, given how articulate and how prone to aesthetic theorizing the Romantic composers were. As Meyer rightly observes, "artists as well as aestheticians believed in and fostered the ideology of Romanticism" (p. 180). And the composers were not laggard in this regard: not by any means mere followers, but in the forefront of Romantic speculation, at the cutting edge. Berlioz, Schumann, and Wagner (to name merely the most prominent of the musical "thinkers") were not content to receive the Romantic ideology as a gift from the philosophers, but helped in its forg-

ing through their voluminous theoretical writings and music criticism. Thus the Romantic composer represents just that type of artist-thinker that one can well imagine going through the kind of cerebration from ideology to compositional choice that Meyer's account seems to require. Here, without a doubt, Meyer holds a winning hand.

But there's the rub. For just that very special character of the Romantic composer and his penchant for theorizing and speculation that make him so plausible a subject for Meyer's account of the relation of ideology to compositional choice in the nineteenth century make one skeptical of finding his like in all music-historical periods or perhaps even in any except the one in which the prototype flourished. Given what we know about society, musical culture, and intellectual climate in the late seventeenth and early eighteenth centuries, for instance, or in the fifteenth, can we plausibly picture to ourselves a J. S. Bach or a Johannes Ockeghem making rational compositional choices, regarding the pure musical parameters, based on serious consideration of philosophical, political, or other such over-arching ideologies? Indeed, in the case of Ockeghem, or any other composer who did not work in a period when pure instrumental forms were an important compositional option, it seems problematic whether Meyer's explanation of style change can be applied at all since, as Meyer himself points out in explaining why he concentrates for the most part on instrumental music in his discussion of the nineteenth century, "the connection between compositional restraints and ideological ones can be more easily traced when it is not complicated by the further, not necessarily congruent, constraints of text setting and theatrical performance" (p. 219). Furthermore—and perhaps this is just another way of putting the same point—no one thinks it difficult to show how a composer of any period responds in musical parameters to the meaning of a text he or she is setting. And no one thinks it difficult to show how the meaning of a text reflects the regnant ideology of its time, since it has the cognitive resources to express fully such an ideology. So that where a text intervenes between an ideology and the pure musical parameters, we are not accomplishing the really hard and controversial trick of showing how the pure musical parameters respond *directly* to ideological considerations, given that these former are bereft of representational or semantic possibilities.

But putting this added complication of text intervention aside, can we plausibly picture composers other than those of the Romantic era—who lived, after all, in an intellectual climate of just the right kind to nourish and nurture the "speculative" artist—going through the ideological deliberation necessary to make Meyer's account really work? This is not, I hasten to add, merely an idle, groundless question, aimed at raising a little skeptical dust. For there is at least some historical evidence to support the

notion that before the late eighteenth century—just the time to which Meyer begins applying in earnest his explanation of style change through ideology and choice—the intellectual climate would not have been such as to either produce or encourage the necessary speculative composers, whereas the late eighteenth century is exactly the time when one would expect such composers to appear. I do not say the evidence is conclusive; but it is highly suggestive.

I have in mind here a seminal two-part article by Paul O. Kristeller in which he argued convincingly that what he called "The Modern System of the Arts" was a product of Enlightenment thought.[1] The relevance, for present purposes, of Kristeller's discovery, is that before the eighteenth century, music was not considered a "fine art" at all, and composers, by consequence, were not considered and did not consider themselves "artists." Of course this does not imply that before the eighteenth century music was not an art nor composers artists. But it does imply, I want to urge, that because composers were considered artists neither by others nor by themselves, they would not have had the training or the inclination, the encouragement, or the precedent to make them think about ideological questions at all, let alone to think them relevant to their compositional choices of the pure musical parameters. If you think of yourself in the social and intellectual class of jewelers and furniture-makers—which is to say, craftsmen—rather than in that of poets, you are hardly the sort of person likely to speculate in the grand manner, like a Berlioz or a Wagner, or even in the clumsy, somewhat illiterate, but nonetheless serious and sincere manner of a Beethoven. Indeed, you are not likely to "speculate" at all. Plumbers think about pipes, not principles.

Thus, it was a profound social and intellectual change during the eighteenth century that made the "speculative" composer possible. That, I argue, is why it seems unlikely that a composer living before this revolution took place would have the kind of relation to ideology necessary for Meyer's account to work (allowing always, of course, for exceptions and historical anomalies). And that is why, by consequence, it also seems unlikely to me that the global hypothesis could be true, or the limited hypothesis anything but very limited.

I do not think the argument I have advanced above is in any way conclusive, but merely suggestive. What we must do if we are to verify or refute either the global or the limited hypothesis is dig into the historical and musical materials the way Meyer has so splendidly done for the Romantics and see what we come up with. Indeed, it is one of the many virtues of Meyer's challenging book and one of its most valuable accomplishments that it leaves musicologists and analysts with a research program to pursue for many years to come. And I cannot summarize this

aspect of Meyer's study more cogently or insightfully than Meyer has himself. Of his conclusions, Meyer writes:

> They are hypotheses. Some may be downright wrong, others will require refinement. All need to be tested through applications to genres and repertoires not considered here. It is a program of work to be done, of ideas and hypotheses to be evaluated and perhaps rejected, explored and perhaps extended. (P. 352)

—*Peter Kivy*

NOTE

[1] "The Modern System of the Arts," *Journal of the History of Ideas* 12 (1951): 496–527; 13 (1952): 17–46.

***Chopin Studies.* Edited by Jim Samson.** Cambridge: Cambridge University Press, 1988. viii, 258 pages.

Chopin Studies is a significant collection of critical essays and analyses representing current Chopin research. More than twenty-five years have elapsed since the publication of Zofia Lissa's *The Book of the First International Musicological Congress Devoted to the Works of Frederick Chopin*,[1] and Samson's book vividly illustrates the considerable extent to which analytical studies in particular have transformed the landscape of Chopin scholarship. With its wealth of documentation from autograph sources, Samson's collection includes detailed theoretical investigations and interpretations of Chopin's music by leading scholars, revealing a wide spectrum of viewpoints which focus on aspects of genesis, style, and structure. Recent advances in Chopin scholarship, particularly in genre and autograph studies, are apparent if the present contributions are compared with those in Lissa's 1963 publication. Only a scant three percent of the contributions in Lissa's volume are directly concerned with autograph studies, and these are primarily represented in critical essays by Krystyna Kobylańska, Arthur Hedley, and Jan Ekier. The remaining essays in Lissa's collection are devoted to style criticism, performance problems, and questions of aesthetics and historiography. *Chopin Studies*, on the other hand, focuses on aspects of genre interpretation from several theoretical perspectives. The emphases of *Chopin Studies* serve as a measure of the current analytical interest in Chopin's music.

The first three essays, by Jeffrey Kallberg, Wojciech Nowik, and Jim Samson, are autograph studies. In "The Problem of Repetition and Return in Chopin's Mazurkas," Kallberg describes Chopin's successive stages of manuscript revision and distinguishes between the function of low-level repetition, sectional repetition, and sectional return in selected mazurkas. Among Kalberg's conclusions, one finds that modern editions of Chopin's music have erred in their transmission of material previously altered by Chopin. This essay is a worthy successor to Kalberg's previous work on genre interpretation in Chopin.[2]

Wojciech Nowik's "Fryderyk Chopin's op. 57—from *Variantes* to *Berceuse*," interprets little-known historical commentary from Bohdan Zaleski's memoirs regarding Chopin's original conception of the Berceuse, and elucidates the reasons for the change to the title.[3] Through examination of various autographs, including a sketch, a fair copy, and a copy (all of which are reproduced in clear facsimiles), Nowik illustrates Chopin's extensive array of interpretative markings, including phrasing, pedalling, dynamics, expression and tempo—documentation that will prove useful to both performers and scholars. Jim Samson's contribution, "The Com-

position-draft of the Polonaise-fantasy: The Issue of Tonality," draws upon the work of Fred Lerdahl and Ray Jackendoff[4] to define four categories of musical structure relevant to the piece: associational structures, metrical structures, grouping structures, and tonal structures. Samson's approach here expands principles summarized in the introductory chapter, "The Nineteenth-century Background," of his book, *Music in Transition: A Study of Tonal Expansion and Atonality, 1900–1920.*[5] Samson provides a balanced synthesis of theoretical viewpoints, including that of Lerdahl and Jackendoff; he summarizes and synthesizes ideas of Schoenberg, Schenker, and the more recent work of Robert Bailey. Facsimile reproductions of relevant Chopin autographs are included.

The next four studies attest to the diversity of this book; the authors bring radically different perspectives to bear on Chopin's musical language. William Kinderman, in "Directional Tonality in Chopin," analyzes the function of the tonic key as it relates to directed goals within the compositional process, rather than as the initial point of orientation in Chopin's works. Kinderman's intriguing concluding statement concerning the impact of Chopin's formal innovations on composers such as Liszt and Wagner is certainly worth further consideration.

Eugene Narmour describes a fresh methodological approach, derived in part from the work of Leonard Meyer,[6] in his analytical study "Melodic Structuring of Harmonic Dissonance: A Method for Analyzing Chopin's Contribution to the Development of Harmony." Narmour, who argues against a Schenkerian approach to Chopin, accounts for melodic parameters within dissonant vertical sonorities by means of four theoretical models: process, reversal, processive reversal, and registral return. Chopin's rhythmic style is interpreted in William Rothstein's essay, "Phrase Rhythm in Chopin's Nocturnes and Mazurkas." The central issue, drawn from Edward Cone's *Musical Form and Musical Performance,*[7] concerns the "tyranny of the four-measure phrase." Rothstein's Schenkerian reductions illustrate the extent to which Chopin employed overlapping phrases and that to which counterpoint is used to extend phrases in order to avoid anticipated cadential articulations. This technique expands upon earlier musical conventions of phrase length and periodicity, particularly those characterizing dances such as the mazurka. Such dances were more often than not based on elements extracted from earlier folk sources, and they commonly exhibited a high degree of symmetry within closing phrases. Last among this second group of analytical interpretations, Zofia Chechlińska's essay, "The Nocturnes and Studies: Selected Problems of Piano Texture," sets forth the premise that the performance medium largely determines the texture of specific genres. In turn, the texture functions as an integrating element within the composition, a concept

that can easily be applied to other genres within Chopin's oeuvre.

The final three contributions are critical and analytical studies of specific works. Jean-Jacques Eigeldinger's critical essay, "Twenty-four Preludes, op. 28: Genre, Structure, Significance," places the prelude in a musical and historical context, citing earlier collections which may have been known to Chopin, including those of Bach, Clementi, Hummel, and Szymanowska. He presents perceptive observations to demonstrate that the twenty-four Preludes are structurally unified by motivic cells, primarily generated by sequences of thirds and rising fifths, as dictated by the temperament of Chopin's piano. John Rink's analytic interpretation, "The Barcarolle: *Auskomponierung* and Apotheosis," probes the extent to which the "composing out" of a given work, in this case, the Barcarolle, op. 60, functions in conjunction with various compositional elements to create unity and variety, thus defining the "essence" of the art work. Using Schenkerian transformational processes among background, middleground, and foreground, Rink first analyses the way in which harmonic and melodic elements combine to intensify the musical momentum. His compelling analyses support conclusions regarding the way in which rhythm, phrase rhythm, dynamics, sonority, and timbre work together to create variety within the established rhythmical and metrical symmetry of the traditional barcarolle. The concluding article in this volume, Carl Schachter's analytical study, "Chopin's Fantasy, op. 49: The Two-key Scheme," is immanently concerned with Chopin's compositional process. Schachter employs a Schenkerian approach, incorporating the ideas of Oswald Jonas[8] to explain the function of Chopin's dual tonal structures in Chopin's op. 49, and he addresses such provocative questions as, "What is the artistic purpose of the two-key scheme; how does it influence the piece's larger shape, its details, and its expressive character?" The author approaches musical problems through a deeply detailed analysis that sheds light on the dramatic-musical qualities of the Fantasy, thereby broadening the scope of abstract analysis to include aspects of narrative interpretation.

In view of its focus on analytical interpretations, Samson's *Chopin Studies* is a ground-breaking publication and a weighty addition to nineteenth-century musical studies. The book is stimulating and enriching, and will prove enormously valuable to those concerned with innovative approaches to the interpretation and analysis of Chopin's music.

—*Anne Swartz*

NOTES

[1] Zofia Lissa, ed., *The Book of the First International Musicological Congress Devoted to the Works of Frederick Chopin* (Warsaw: Państwowe Wydawnictwo Naukowe, 1963), 85–259, 271–455, 463–88, 495–640, 649–735.

[2] Jeffrey Kallberg, "The Rhetoric of Genre: Chopin's Nocturne in G minor," *19th-Century Music* 11 (1988):238–61.

[3] Franciszek German, "Zofia i Bohdan Zalescy a Fryderyck Chopin," *Rocznik Chopinowski* 15 (1983), 46.

[4] Fred Lehrdahl and Ray Jackendoff, *A Generative Theory of Tonal Music* (Cambridge, Mass.: The MIT Press, 1983), 36–67.

[5] Jim Samson, *Music in Transition: a study of tonal expansion and atonality, 1900–1920* (London: J. M. Dent & Sons, Ltd., 1977), 1–18.

[6] Leonard B. Meyer, *Explaining Music: Essays and Explorations* (Berkeley: University of California Press, 1973), 131–241.

[7] Edward T. Cone, "The Picture Gallery: Form and Style," in *Musical Form and Musical Performance* (New York: Norton, 1968), 74.

[8] Oswald Jonas, *Einführung in die Lehre Heinrich Schenkers. Das Wesen des Musikalischen Kunstwerkes*, rev. ed., (Vienna: Universal Edition, 1972), 61–62.

Winton Dean and John Merrill Knapp. *Handel's Operas, 1704–1726.* Oxford: Clarendon Press, 1987. xx, 751 pages.

Handel's Operas, 1704–1726 is an impressive volume in which Winton Dean and John Merrill Knapp present a detailed study of Handel's first seventeen operas. The book comprises the first volume of a study of Handel's complete operatic output, and covers slightly fewer than half the works. The authors should be praised for providing the first major work devoted to the subject of Handel's operas, though even in a book of this scope there are bound to be a few omissions.

In chapter 1, Dean spells out his perspective on Handel as an opera composer, which is essential to a reading of the rest of the book. Chapter 2, "Performance Practice," provides useful information often lacking in scholarly works, information that allows us a practical perspective on the theatrical realities of Handel's time. Thus it gives the potential performer a starting point for an authentic performance. Subsequently, three contextual chapters are provided, each prefacing a group of detailed chapters on individual operas (those written for Germany, Italy, and England). Thus, unlike the organization of Dean's *Handel's Dramatic Oratorios and Masques,*[1] whose plan this book's otherwise resembles, the overall layout of the chapters places detailed information on any particular work as closely as possible to the discussion of its social and historical background. The English operas, the most numerous and chronologically widespread (and of course incomplete in this volume), are subdivided chronologically into two groups, each with its own general chapter describing the theatrical context of that period and discussing other operas performed concurrently. Finally each opera is the subject of an entire chapter.

Dean's first intention, stated explicitly in the opening pages, is to persuade the reader that Handel "ranks with Monteverdi, Mozart, and Verdi among the supreme masters of opera" (p. 1). Unfortunately, as he explains in chapter 1, much of his revaluation of Handel's status depends on his view that the operas are theatrically effective works, something few of us have the opportunity to judge for ourselves. Dean's proposal is enticing but can be less than convincing because it depends on something we cannot easily substantiate. The second aim of the book, to document as fully as possible Handel's operatic output, is admirably fulfilled in the detailed chapters.

The general chapters for each period provide introductory material essential to our understanding of the individual operas. These discussions, which are limited to a single chapter each, cover the various musical and theatrical environments in which Handel was involved and by which he

was influenced. Musical examples are sparse, which is unfortunate because scores for many of the works mentioned are not easily accessible.

In the chapters on individual operas, Dean and Knapp provide thorough documentation of all contemporaneous aspects of the works. In conformity with Dean's *Handel's Dramatic Oratorios and Masques*, each chapter is divided into two. The first part comprises a detailed plot synopsis with stage directions, a discussion of the origins of the libretto and its dramatic effectiveness, a description of the musical numbers, and an assessment of the music within the broader context of Handel's entire operatic output. Dean and Knapp view the music of the operas in terms of dramatic integrity, marking an important change from the traditional viewpoint of *opera seria* as merely a series of dramatically unrelated arias designed for particular singers. The second part of each chapter provides exhaustive documentation on the performance history of the opera and its libretto during Handel's lifetime, and on manuscript and printed scores.

The volume stops midway through Handel's operatic career, with no concluding chapter. Some kind of summation would have been helpful, along with discussion of Handel's influence on other composers. The book concludes with eight appendices, which provide much useful reference material relating both to early productions and to the music itself. A few minor problems arise here. The reader should not be misled by the title of appendix A, "Structural Analysis," which simply lists on one page the musical numbers of all the operas discussed in the body of the text, categorized by form. The "Short Bibliography" inconveniently omits many references found in the notes.

The biggest disappointment is that while performances are listed for Handel's lifetime and for this century, no mention is made of the intervening 150 years. Given the neglect of Handel's operas during that time, such a list should not have been a lengthy affair, and would have made the chronology satisfyingly complete. Dean, however, declares himself to have no interest in revivals, and therefore one might assume his attitude also applies to the opinions of later critics. Despite this lack of interest in the reception of Handel's operas after his death, frequent reference is made to Charles Burney's comments on Handel's operas. Yet Burney was not born until 1726, the year this volume stops. He not only came from a later generation but also showed a notorious lack of interest in dramatic matters, which is quite the reverse of Dean and Knapp's attitudes. Burney's commentary would have served usefully in a chapter devoted to later attitudes towards and revivals of music from Handel's operas.

In the end, we may or may not be convinced of the validity of Dean's contention that Handel was a great opera composer, but we must welcome

the massive amount of new information presented here in so clear and well organized a form.

—*Jane Girdham*

NOTE

[1] London: Oxford University Press, 1959.

Stephen Banfield. ***Sensibility and the English Song: Critical Studies of the Early 20th Century.*** Cambridge: Cambridge University Press, 1988. xvii, 619 pages.

Although the history of English music contains examples of composers who wrote well for single voice and instrument—Dowland or Purcell come first to mind—a tradition of art song with piano accompaniment developed in England much later than the German Lied and French *mélodie.* The retarded development of the art song in England, its subsequent flowering and present continuation are chronicled extensively in Stephen Banfield's book *Sensibility and the English Song.* Banfield has undertaken the heroic task of surveying in one volume the course of English art song from the Victorians to the present; the result is a significant achievement, though one unfortunately marred by lapses in organization, perspective, and discrimination.

Sensibility and the English Song is a remarkably inclusive book. While Banfield mercifully excludes such peripheral figures as Liza Lehmann and Maude Valerie White (preface, x), he examines a catholic assortment of music, ranging from the songs of such major composers as Vaughan Williams and Britten to those of Benjamin Burrows, who is described as "an obscure freelance music theory tutor who led an unadventurous life in Leicester" (p. 228).

The usefulness of *Sensibility and the English Song* is found in the presentation of the songs themselves. Banfield is refreshingly free of theoretical preconceptions in dealing with the music at hand. He employs analytical methods selected or conceived with the goal of illuminating the individual song; these methods range from simple description, such as is employed to examine Herbert Howell's "The Goat Paths" (pp. 218–20), to reductive analysis, such as illustrates "Dear Heart, Why Will You Use Me So?" by Eugene Goosens (p. 352). This approach allows the author to assess a great range of music while respecting the stylistic diversity of each song. The musical examples are ample and aptly chosen to support Banfield's theoretical argument. The extent of the musical examples is especially helpful for more obscure songs, such as "On Another's Sorrow" by John Sykes (p. 363).

The overall organization of the book is puzzling, however. The relation of the text and the appended material is a case in point. Banfield seems to have gradually expanded the scope of the text as his research progressed; the postscript and three appendices make up eighty-one pages in a volume of four hundred pages. In the relatively short space of the postscript, the author attempts to comment on the vocal music of such composers as

Warlock, Bliss, Walton, Berners, Britten and Tippett. As he struggles to introduce a great deal of disparate music, Banfield occasionally allows his prose to become undisciplined. Moreover, this section becomes unwieldy as Banfield includes works which are properly outside the genre of art song, such as Walton's *Façade* (pp. 371–78). Banfield's critical opinions are less persuasive in the postscript than in the rest of the book; it is surely quixotic to link the whimsical songs of Lord Berners with the social criticism implicit in Britten's *Our Hunting Fathers.*

Banfield generally marshals his vast phalanx of fact and opinion in an efficient manner, and the flow of information is never allowed to congeal into a mere list of detail. But there are lapses in his effort to present this formidable body of information in the context of an adequate historical perspective. It is disheartening to read such a commonplace as "Bridge's pupil Britten was the first English composer since Purcell who could display technical brilliance and literary sensibility in a secure and acceptable combination" (p. 69). Britten is certainly one of the enduring glories of English music, but the "Purcell-to-Britten" theory of English musical history—first embraced during Britten's lifetime by eager critics—ridiculously slights the achievements of Elgar, Holst, and Vaughan Williams. (An instance of this is Ned Rorem's 1975 review of Britten's *Death in Venice:* "For two centuries after the death of Henry Purcell in 1695, England produced no music of consequence. With Benjamin Britten's birth in 1913 the land awoke like Sleeping Beauty and picked up where she left off.")[1] Holst's wonderful song "Betelgeuse," for example, combines technical brilliance and literary sensibility in a manner that matches the best of Britten's works in this genre.

A further weakness is Banfield's indiscriminate insistence on linking aesthetic evaluation with amateur psychological sleuthing: "In considering Elgar, Parry, Quilter, Butterworth and Ireland, an attempt has been made to show that a sympathetic reading of a composer's songs can give rise to a certain amount of biographical or psychological interpretation which in turn can enhance one's understanding of the music" (p. 179). Banfield skates on very thin ice here, both aesthetically and psychologically, and he rarely glides over such hypotheses fast enough to avoid such crashing innuendos as these:

> But Housman was attractive to composers chiefly on account of two qualities in his verse. The first of these was pastoralism mixed with a strong flavour of fatalistic, *fin-de-siècle* gloom, both carrying overtones of repressed homosexuality. Some of the composers, including Butterworth and Ireland, can be seen in retrospect to have identified, the latter sometimes to the point of self-pity, with the homo-

> sexual element. *The homosexuality may have been only subconscious* [present author's italics], for the homosexuality, as had already been mentioned, was not publicly alluded to until after Housman's death in 1936, with the publication of the more explicit *More Poems* (1936) and *Additional Poems* (1937 and 1939). (P. 239)

Delving into a subject's unconscious is a careful and laborious business. But to take out of context the choice of text of a composer long dead as the basis of summary conclusions about his subconscious is a hazardous business indeed. Banfield does not substantiate these insights into the psyches of Butterworth and Ireland with any mere cold biographical fact, even though he has earlier convicted Ireland of pederasty on similar thin evidence (p. 167). If Banfield has any incontrovertible facts in this and other case, and it they are relevant to an understanding of the music, then he should present them fully.

Banfield has demonstrated the richness of the English art song through copious research and flexible analysis. The book he has written is unnecessarily prolix, however, through the introduction of sensational speculation and irrelevant material. Despite the several problems outlined above, Banfield's broad knowledge and manifest enthusiasm for his subject make this a welcome addition to the slim literature on the English art song.

—Byron Adams

NOTE

[1] Ned Rorem, "Britten's Venice," *The New Republic* 172, no. 6 (1975):31–32. For a similar reductive view, see Arthur Oldham, "Peter Grimes," in *Benjamin Britten: A commentary on his works from a group of specialists,* ed. Donald Mitchel and Hans Keller (New York: Philosophical Library, Inc., 1952), 101.