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articles

Tracing the Contents of Froberger's Lost Autographs*

By Alexander Silbiger

In the Austrian National Library in Vienna there survive three precious autograph manuscripts of Froberger's keyboard music.[1] Two are dedicated to Emperor Ferdinand III (r. 1637–57) and are entitled "Libro Secondo" and "Libro Quarto." The third is dedicated to Ferdinand's son and successor, Emperor Leopold I (r. 1658–1705); someone—not the composer—added to its title page the inscription "terzo libro," but the dedication to Leopold indicates that this manuscript postdates the Libro Quarto. There are no traces of a Libro Primo or the original Libro Terzo, but it is clear from the Libro Quarto dedication that Froberger had prepared such volumes for Ferdinand: "I have added the fourth part to those already humbly dedicated to Your Majesty."[2] I shall reflect here on the possible contents of those lost volumes, with reference to the music that has come down to us in some fifty non-autograph manuscripts and editions from the seventeenth and eighteenth centuries, and I shall also touch upon the broader issue of the connection between the composer and the pieces in these non-autograph sources.[3]

A good number of the pieces in the Libro Secondo and Libro Quarto also appear in the non-autograph sources, and thus one can reasonably

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* This article is a revised version of a paper read at the *Colloque International Jean-Jacques Froberger: Au carrefour des musiques européennes du XVII*ème *siècle,* Montbéliard, France on 3 November 1990. I wish to thank Akira Ishii for his research assistance and to express my special gratitude to Peter Williams for his helpful comments. The project was supported in part by funds from the Duke University Research Council.

[1] *A-Wn* Mus. Hss. 16560, 18706, and 18707; facs. repr. of all three in *17th-Century Keyboard Music* 3, Robert Hill, ed. (New York: Garland, 1988).

[2] "Ne hò formata e aggiunta la Quarta Parte à quelle, che io già dedicai humilmente alla Maestà Vostra."

[3] I must acknowledge the debt I owe to the pioneering work on Froberger sources by Guido Adler and the more recent work by Howard Schott, even if my conclusions may at times be at variance with theirs. I refer the reader to their editions for information on sources not provided here: Johann Jacob Froberger, *Orgel- und Klavierwerke,* ed. Guido Adler, *Denkmäler der Tonkunst in Österreich,* IV/1:8, VI/2:13, X/2:21 (Vienna: Breitkopf & Härtel, 1893–1903; reprint, Graz: Akademische Druck- u. Verlagsanstalt, 1959); Johann-Jakob Froberger, *Œuvres complètes pour le clavecin,* ed. Howard Schott, *Le Pupitre* 57, 58 (Paris: Heugel 1979–89). In references to specific compositions I have used Adler's numbering (for the most part also observed by Schott), despite its inconsistencies; thus, Allemandes 13, 14 are the Allemandes of Suite Nos. 13 and 14 in Adler's edition. After preparing this paper I learned of the following recent studies on Froberger's biography and sources that comment on the lost autographs: Siegbert Rampe, "Matthias Weckmann und Johann Jacob

assume that some of the contents of the Libro Primo and the Libro Terzo might be included among the remaining pieces in those sources. A further reasonable assumption is that the content and organization of the lost volumes—certainly of the Libro Terzo—would have been similar to that of Libro Secondo, which is also followed in Libro Quarto: a division into three parts, each with its own notational format, with pieces respectively in "Italian" style (toccatas), in contrapuntal style (fantasias, ricercares, canzonas, and capriccios), and in "French" style (dances grouped in suites, and variations). In fact, the generic types in the non-autograph sources correspond precisely to those found in the surviving autographs, whereas other types, such as cantus firmus versets, or popular Italian and French dance types other than the classical foursome (allemande, courante, sarabande, and gigue) are not to be found in these sources.[4]

The dedication dates of the Libro Secondo (1649) and the Libro Quarto (1656) provide chronological limits for a Libro Primo and a Libro Terzo. However, during the years that Froberger served Ferdinand III (from early 1637, when as a young man of twenty he was appointed as third organist, until 1657, the year of his patron's death) he received several extended leaves, during which he is known to have traveled far from Vienna.[5] Speculation on the dedication dates can probably be narrowed down to the periods in which he was actually working at the imperial court and in a position to present his manuscripts to the emperor.

Already within the year of his initial appointment, Froberger received a leave and a stipend to go to Rome and study with the great Frescobaldi; he did not return to Vienna until four years later, in 1641. He disappears

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Froberger: Neuerkentnisse zu Biographie und Werke beider Organisten," *Musik und Kirche* 61 (1991): 325–32; Rudolf Rasch, "Johann Jakob Froberger and the Netherlands," and Rasch and Pieter Dirksen, "Appendix: A Froberger Miscellany," in *The Harpsichord and its Repertoire. Proceedings of the International Harpsichord Symposium. Utrecht 1990,* Pieter Dirksen, ed. (Utrecht: STIMU, 1992). I refer to these studies in footnotes when they provide useful supplementary information or—in a few instances—present views that contradict mine.

[4] Two other lost autographs described by Mattheson seem to have had roughly similar contents; see Johann Mattheson, *Grundlage einer Ehren-Pforte* (Hamburg: Mattheson, 1740; reprint, Kassel: Bärenreiter, 1969), 87–89. Rasch suggests that one of these corresponds to the beautifully bound manuscript that Froberger presented to the Elector of Saxony during his visit to the Dresden court (Rasch, "Froberger," 130). Although this could account for the manuscript's absence in the Nationalbibliothek, Rasch's explanation appears to contradict the statement in Libro Quarto that all four volumes were dedicated to the emperor (see n. 2, above). The same objection applies to Rasch's hypothesis for the loss of Libro Primo: that Froberger brought it with him to Italy and dedicated it to "some Italian prince or other dignitary" (Rasch, "Froberger," 131).

[5] The biographical information on Froberger presented here is from Howard M. Schott, *A Critical Edition of the Works of J.J. Froberger* (Ph.D. dissertation, University of Oxford, 1977), 6–11.

again from the imperial payroll in 1645, and the following years included a return to Italy with visits to Rome and to the courts of Florence and Mantua. In late 1649 he was back in Vienna (and dedicated the Libro Secondo) but soon resumed his travels, this time to parts of Germany, the Netherlands, France, and England. In 1653 he returned to the emperor's service to remain there until 1657.[6] Thus the most likely period for Libro Primo would be the years following the completion of his Roman studies, 1641–45, and for Libro Terzo the years following his European travels (but well before the dedication of Libro Quarto), 1653–55.

Froberger's travels during the early 1650s appear to have been rather eventful,[7] and quite a few of his works can be associated with this period of his life. Of particular significance in connection with these travels is the so-called Bauyn Ms.[8] Although containing mostly keyboard music from the French clavecinistes, it includes twenty-three pieces ascribed to Froberger. While the manuscript was not copied until after Froberger's death, several annotations ("fatto a Bruxellis anno 1650," "fait a Paris") suggest that the pieces had been brought to France or written there during the composer's well-documented visit.[9] A few pieces in the Bauyn Ms. also appear in the autographs (five in Libro Secondo, and two, in modified form, in Libro Quarto), and almost all others can be found in at least a dozen later German Froberger sources, giving confidence in the attributions to Froberger. Considering that hardly any of these pieces were subsequently called upon for inclusion in Libro Quarto, it seems likely that at least some of them found their way into Libro Terzo, probably compiled shortly after Froberger's return to the imperial court in 1653.

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[6] According to Rampe, Froberger rejoined the emperor at the Reichstag in Regensburg and did not go back to Vienna until 1654 ("Weckmann," 330).

[7] During at least part of this period Froberger seems to have been connected with Archduke Leopold Wilhelm (later Leopold I), brother of the emperor and governor of the Southern Netherlands, and there have been speculations that the composer's services extended to the diplomatic realm (see Schott, "Froberger," 8, and, for new findings and hypotheses: Rasch, "Froberger," 123–24, and Rampe, "Weckmann," 330–31).

[8] *F-Pn* Rés, Ms. Vm7 674 and 675; facs. repr. in *Manuscrit Bauyn; Pièces de clavecin c. 1600,* ed. François Lesure (Geneva: Minkoff, 1977). The reader may find it helpful in the following discussions to refer to the annotated Table of Sources in Froberger, *Œuvres complètes* 2: x–xiv, which also provides additional bibliographic information.

[9] A further connection with this visit is provided by Gigue 13, which, while without annotation in the Bauyn Ms., appears in a later German manuscript (*A-Wm* Codex XIV/743, f.78) with the concluding comment "nommée la Russée Mazarini." If this comment, overlooked by earlier Froberger scholars, refers to Cardinal Mazarin, it makes one wonder about the circumstances under which Froberger might have observed the cardinal's cunning, and thus provides additional fuel for speculations that the artist had been drafted by the Hapsburgs for a diplomatic mission (see n. 7, above).

A few pieces appearing only in later sources can also be dated to the Western-European travels because of annotations referring to events of those years: the *plaintes* on his misfortunes in London and in the Netherlands and on the death of the lutenist Blancrocher in 1652.[10] There is also a meditation on his own future death that appears in a copy by Matthias Weckmann, which Froberger may have given him when they met in Dresden during the early 1650s (in any case before 1655, when Weckmann moved to Hamburg) or sent to him some time thereafter.[11]

The chronological placement of the pieces not associated with these travels is more difficult. Only one further composition can be connected with a definite date: the lament for Ferdinand III, who died in 1657. Other than the autograph offered to Leopold I, which, while not dated, must have been dedicated not before 1658 (although the pieces may have been written earlier),[12] almost all other sources appear to stem from after—in some cases long after—Froberger's death in 1667. In fact, a few pieces attributed to the composer in those sources are known to be misattributed, and the authenticity of several others is questionable. By "questionable" I do not mean that the pieces should be rejected as spurious, but merely that at this point neither source tradition nor musical traits compel us to accept them as authentic and that further study on both fronts is needed. When one sets aside these misattributed and questionable pieces, the repertory of compositions that cannot be dated to before 1653, when Froberger returned from his European travels, is not very large. Furthermore, except for dances, very few pieces from the two later autographs found their way into the non-autograph sources; most come from the Libro Secondo. Thus it appears that little of the music in the non-autograph sources stems from the last part of Froberger's life.

* * *

This non-autograph repertory is best discussed by a separate consider-

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[10] Allemande 30 ("Plaînte faîte à Londres pour passer le Melancholi"), Allemande 14 ("Lamentation sur ce, que j'ay êté volé" [on the road between Brussels and Louvain]), "Tombeau faît à Paris sur la mort de monsieur Blanche roche." Blancrocher died after an accident falling down a staircase.

[11] Weckmann's copy of the "Meditation faist sur ma mort future" (Allemande 20) appears in the so-called Hintze Ms., *US-NH* Ms. Ma 21 H 59; see also Alexander Silbiger, "The Autographs of Matthias Weckmann: A Reevaluation," in *Heinrich Schütz und die Musik in Dänemark zur Zeit Christians IV,* eds. Anne Ørbæk Jensen and Ole Kongsted (Copenhagen: Engstrøm & Sødring, 1989), 124. Rampe believes that the meeting took place in the winter of 1649/50, at the beginning of Froberger's journey and that Weckmann's copy dates from 1653–54 (Rampe, "Weckmann," 328, 330).

[12] Although Ferdinand III died in April 1657, Leopold was not elected to succeed him as emperor until July 1658.

ation of the pieces in each of the three styles. To some extent these three groups seem to have their own transmission histories, reflecting no doubt that each was of interest to different classes of musicians at different times. The dances one would expect to be especially welcomed by amateurs and by those favoring the French style; while their popularity had the widest geographic spread, it was also the quickest to fade. The toccatas might have appealed more to the professional virtuoso and to those accustomed to the Italian manner. The contrapuntal pieces would have exerted a special attraction to those interested in composition and theory; their vogue proved to be the longest lasting, especially in Germany and Austria, where copies continued to be made well into the nineteenth century.

For a consideration of the toccata transmission we must return to the Bauyn Ms. This manuscript contains seven toccatas of which three had already been included in the 1649 Libro Secondo; however, comparison of the texts of these three (Toccatas 1–3) shows that some passages have been elaborated in the French manuscript (examples 1–3). The elaboration shown in example 1, from the first toccata, must represent a revision by the composer rather than an editorial change by a French copyist, because a similar revision appears in later German sources: in the Bourgeat edition of 1693 and in the copies made by Gottlieb Muffat (discussed below).[13] The same applies to smaller alterations such as the dotted sixteenths in example 2 from the second toccata. We cannot be quite as sure of the flourish inserted at a cadence in the third toccata, example 3, since this work does not survive in other sources. One notes the self-reference (beginning with the third half-note beat in example 3b) to the beginning of the second toccata (example 2).

The presence of these alterations in both the French and later German copies suggests that those copies did not derive from the dedication autographs (safely stored in the imperial library in Vienna), but from copies in the composer's own portfolio (brought along on his travels), on which the revisions had been entered. Hence the autographs, while generally drawn upon as sources for the most authoritative texts,[14] may not provide us with the composer's final thoughts on a composition.

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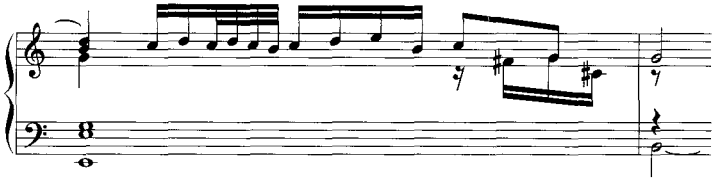
[13] I am assuming here that it would be unlikely for the texts of these German sources to be derived from a privately-owned French manuscript; furthermore, they do not reproduce the frequent inaccuracies and omissions of the Bauyn Ms. or show other signs of being based on it.

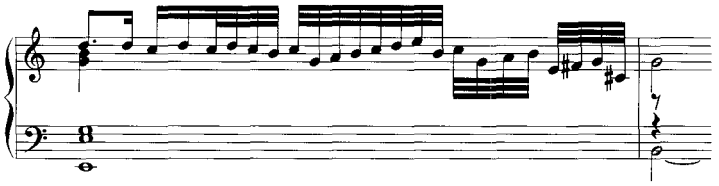
[14] The recent *Œuvres complètes* edition, for example (see n. 3, above), is based on the autograph texts when available, and does not provide the variants from the later sources. Especially peculiar in this regard is an edition by Rudolf Walter, which presents the selection and ordering of the Bourgeat prints, but in the readings of the autographs. See Johann Jacob Froberger, *Toccaten, Fantasien, Ricercari, Canzonen und Capricci,* ed. Rudolf Walter, in *Süddeutsche Orgelmeister des Barocks* (Altötting: Coperath, 1967).

Example 1. Froberger, Toccata 1, mm. 11–12.

a. Libro Secondo

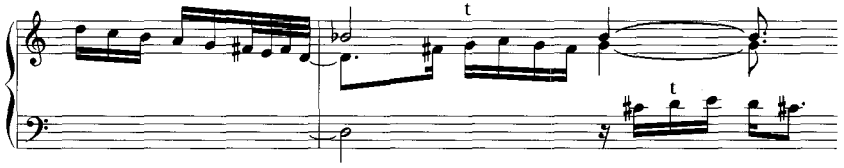


b. Bauyn

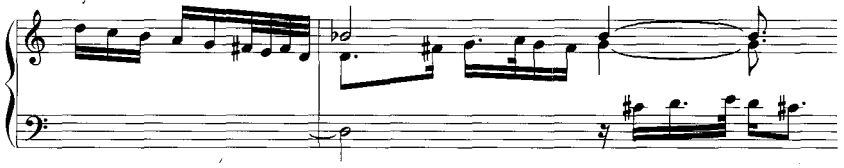


Example 2. Froberger, Toccata 2, mm. 2–3.

a. Libro Secondo



b. Bauyn



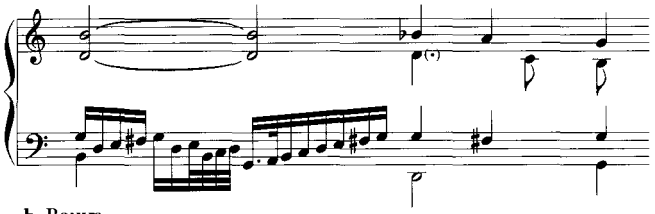
The other four toccatas of the Bauyn Ms. (Toccatas 15, 16, 18, 21) do not appear in any of the autographs; one finds them again in the first printing of Froberger's works, in a collection published in 1693 by Bourgeat of Mainz.[15] All but one of the Bauyn toccatas reappear in this edition, including the revised passages. In addition, Bourgeat included three toccatas not known from earlier sources, one of which is definitely by Johann Kaspar Kerll (Toccata 17).[16] This raises some questions regarding the reliabil-

[15] *Diverse . . . Partite;* facs. repr. in *17th-Century Keyboard Music* 4, Robert Hill, ed. (New York: Garland, 1988), 4–16.

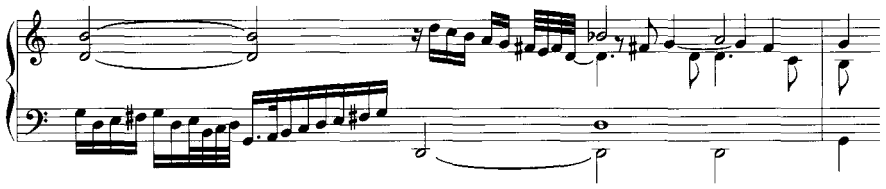
[16] The Kerll toccata is included in a thematic index of his keyboard works prepared by the composer and published in his *Modulatio organica* (Munich: Wening, 1686); repr. in *17th-Century Keyboard Music* 5, David Harris, ed. (New York: Garland, 1988), 72[–82].

Example 3. Froberger, Toccata 3, mm. 36–37.

a. Libro Secondo



b. Bauyn



ity of Bourgeat or his sources. The other two added toccatas (Toccatas 13, 14), unlike those transmitted in the Bauyn Ms., seem to lack the composer's extravagant flights of fancy; they do show Frobergerian traits, but Toccata 13 especially is a bit tame, and I would consider it on the borderline of "questionable."

Aside from three toccatas in the Eckelts tablature that seem to have been misattributed and now are rejected from the Froberger canon (Toccatas 23–25),[17] the only toccatas added by subsequent sources are two included in a large collection of Froberger's music prepared by Gottlieb Muffat around 1734 (Toccatas 19, 20), along with the nine toccatas from the Bourgeat print.[18] The two toccatas added by Muffat had appeared only in fragmentary form in earlier sources of unproven authority, and both belong in my opinion to the questionable category; Toccata 20, in fact, is credited in an earlier source to Simonelli, a Roman composer of whom another toccata, somewhat similar in style to no. 20, is preserved.[19] While

[17] See Christoph Wolff, "Johann Valentin Eckelts Tablaturbuch von 1692," in *Festschrift für Martin Ruhnke* (Neuhausen-Stuttgart: Hänssler-Verlag, 1986), 374–86. The three toccatas originally carried Pachelbel's name, which was subsequently replaced by Froberger's; the person who changed these attributions, while probably mistaken in crediting them to Froberger, may very well have been correct in recognizing that they were not by Pachelbel.

[18] *D-B* Mus. ms. 6712.

[19] A fragment of Toccata 19 appears in *R-BRm* Mus. Ms. 808 from 1681–84 with an attribution to Sign. Geor. Frob.; see John H. Baron, ed., *The Brasov Tablature*, in *Recent Researches in the Music of the Baroque Era* 40 (Madison: A-R Editions, 1982), No. 48. On the three earlier sources for Toccata 20 and their problematic nature, see Alexander Silbiger, "Keyboard Music by Corelli's Colleagues: Roman Composers in English Sources," in *Nuovissimi studi corelliani* (Florence: Olschki, 1982), 258–59; a more detailed discussion will be pub-

Muffat, like Froberger before him, served as organist at the imperial court, he does not seem to have made use of the dedication autographs; most of his copies can be traced directly to the Bourgeat prints and other posthumous sources, with which his versions share errors, misguided "improvements" (see the discussion of examples 4–6 below), and the misattributed Kerll toccata. In summary, the non-autograph sources yield four toccatas that appear to date from the years between the Libro Secondo and Libro Quarto (Toccatas 15, 16, 18, 21), and possibly one or two others that cannot be dated (Toccatas 13, 14).[20]

* * *

Froberger's contrapuntal keyboard pieces come in two types: those of a more severe character, called "fantasia" in Libro Secondo and "ricercar" in Libro Quarto, and those of a more lively character, called "canzon" in Libro Secondo and "capriccio" in Libro Quarto. The name changes in the later volume do not seem to entail changes of character. The Leopold I dedication autograph follows the ricercar/capriccio terminology of Libro Quarto, which also prevails in the non-autograph sources, even for pieces carrying the earlier designations in Libro Secondo; sometimes "fuga" is used instead of "ricercar."

Only one contrapuntal piece is included in the Bauyn Ms. (Ricercar 1), with the caption "fugue de M[r]. Froberger fait a Paris"; it appears to have been transcribed from an open score (*partitura*) and reappears in the Leopold I dedication autograph. That autograph contains only contrapuntal pieces, all notated in *partitura* (as are the contrapuntal pieces in the other autographs); none of these survives in non-autograph sources except the single example in the Bauyn Ms. Furthermore, only one of the contrapuntal pieces from Libro Quarto (Ricercar 7), but nine from the earlier Libro Secondo, made their way to the later German sources.

Most important among the later sources is a manuscript of the 1690s containing a set of six ricercars and six capriccios in open score.[21] The set continued to be copied in its entirety throughout the eighteenth century,

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lished in a forthcoming article "Old Toccatas in New Sources: A Conflicting Froberger Attribution," originally presented at the 1983 Froberger Symposium in Dayton.

[20] My estimate differs notably from that of Rasch, who counts twelve toccatas ("just enough," he remarks, "to fill the toccata sections of both of the lost volumes") by including all those rejected here (Toccata 17, 23, 24, 25) or questioned (Toccata 19, 20), even though elsewhere he and Dirksen list the former four as "doubtful or spurious" (Rasch, "Froberger," 130, and Rasch and Dirksen, "Appendix," 259).

[21] *D-B* Mus. ms. 6715/1.

and copies survive in the hands of Kirnberger and Forkel, among others. The ricercars generally are called "fuga," and several are paired with capriccios on similar subjects. Five of the pieces in this "Fughe e Capricci" set come from Libro Secondo (Fantasias 2–4; Canzonas 3, 4) and generally follow its text very closely; the other seven are not known from the autograph sources (Fantasia 7; Ricercars 13, 14; Capriccios 9, 10, 13, 18).[22]

Bourgeat's 1693 publication includes five contrapuntal pieces, all familiar from the autographs or from the "Fughe e Capricci" manuscript, but appearing here for the first time in two-staff keyboard score. In the transcriptions, several errors or alterations were introduced, which serve as useful markers for identifying later copies made from this publication, such as the copies made by Gottlieb Muffat and in England by John Blow.[23] Three of these alterations are shown in examples 4–6; in each case the transcriber seems to have wanted to eliminate doubling or tripling the third of a chord. In example 4 this resulted in the loss of the first note of the subject in the tenor entry. In example 5, while providing a more orthodox progression, it resulted in the skip of a seventh a few beats later. In example 6, while removing the consecutive skips in the alto, it resulted in the change of the *re* of the *sol la re* soggetto into a *fa,* and parallel octaves of the alto with the tenor. All three variants are found in the copies by both Gottlieb Muffat and John Blow.[24] It is curious that these two outstanding musicians did not catch Bourgeat's botch-ups—such was the authority of the printed text!

A second Bourgeat publication from 1697,[25] which consists entirely of contrapuntal pieces, introduces only one piece not known from the autographs or the 1690s manuscript (Capriccio 12); no other sources offer further contributions to this repertory of Froberger's contrapuntal pieces. Thus the non-autograph sources add only three ricercars (Fantasia 7; Ricercars 13, 14) and five capriccios (Capriccios 9, 10, 12, 13, 18) to the autograph repertory; all but one of these (Capriccio 12) were transmitted by the "Fughe e Capricci" manuscripts.

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[22] Some of these manuscripts also include the Hexachord Fantasia (Fantasia 1).

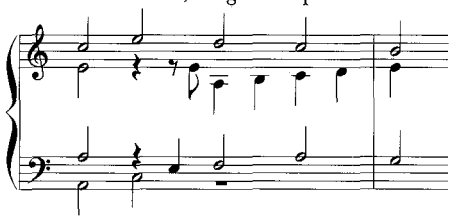
[23] *B-Bc* Ms. mus. 15418; facs. repr. in Elizabeth Edgeworth, *Livre de clavecin XVII*ème *siècle,* in *Thesaurus musicus. nova series* A 9 (Brussels: Editions culture et civilisation, 1980).

[24] I thus disagree both with Howard Schott (*Œuvres complètes* 2/1, x) and with Thurston Dart and Davitt Moroney (*John Blow's Anthology* [London: Stainer & Bell, 1978], 62), who have suggested that the respective copies of Muffat and Blow derive from later autograph versions by Froberger.

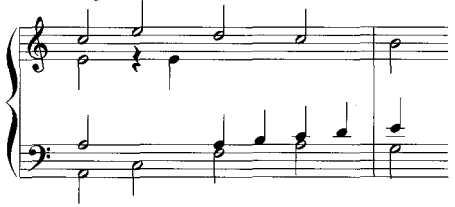
[25] *Dive[r]se Curiose;* facs. repr. in *17th-Century Keyboard Music* 4.

Example 4. Froberger, Fantasia 2, mm. 21–23.

a. Libro Secondo, "Fughe e capricci"

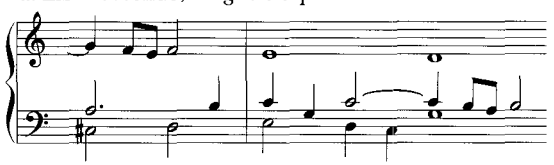


b. Bourgeat, Muffat, Blow

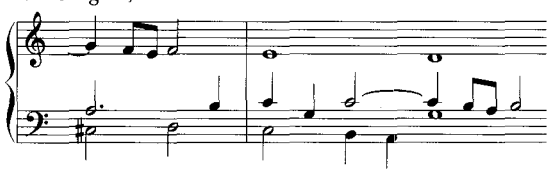


Example 5. Froberger, Fantasia 4 sopra Sol la re, mm. 6–7.

a. Libro Secondo, "Fughe e capricci"



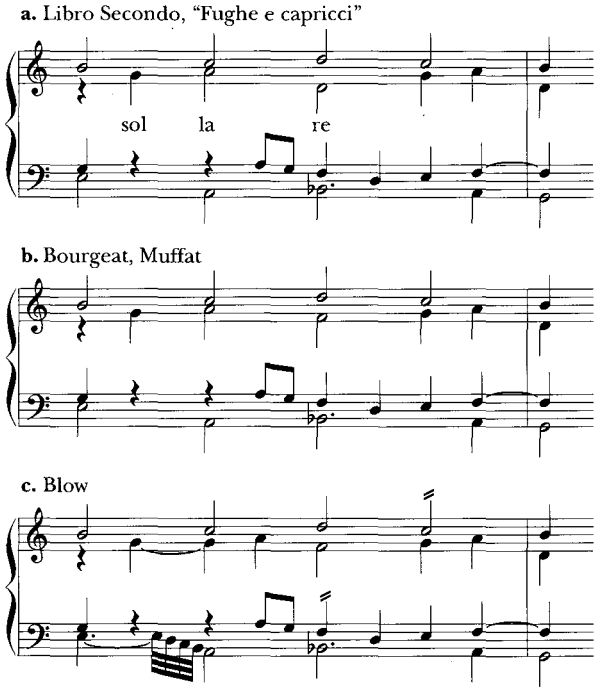
b. Bourgeat, Muffat



* * *

A much larger number of dance pieces survives in the non-autograph sources—both pieces from the autographs and pieces not found there. Traditionally three special problems have been associated with transmission of the dances (none unique to Froberger sources): (1) the content of the suites seems to vary, (2) some pieces are found with doubles, and (3) several gigues are notated with different rhythms in different sources. Although sources sometimes do not transmit all the dances of a suite, and there are occasional variations in the ordering of the dances, in general only gigues actually wander from one suite to another, and their promis-

Example 6. Froberger, Fantasia 4, mm. 13–14.



cuity is mostly encountered in a single source: the so-called Grimm Ms., compiled during the last years of the seventeenth century.[26] Its presumed copyist, Christian Grimm (or his source), apparently wanted each of the suites to end with a gigue, and to those that provided only an allemande–courante–sarabande sequence he added a gigue, either by taking it from another Froberger suite or perhaps by composing it himself. Thus three-movement suites from the autograph are followed by gigues of unknown origin, and gigues from the autographs appear with three-movement suites known from other sources. Such procedures call into question the reliability of this copyist or his sources.

None of the dances in Froberger's autographs is accompanied by a double, except the courante in the "Auff die Maijerin" variations. Since doubles were often added by other composers, the question has been raised whether the doubles found in the non-autograph sources stem from Froberger. There is, however, no more reason to question the authenticity

[26] *A-Wn* Mus. Hs. 16798.

of doubles than that of the dances they vary, since each dance is always accompanied by the same double on each appearance. Thus the allemande from Suite 24 appears in the Bauyn Ms. with a double, and is found with that same double in the later German sources.

Four gigues appear in two different versions, with one in duple meter and the other in some form of triple meter or triple subdivision (Gigues 7, 13, 15, 24). The usual explanation is that these reflect differences in notational convention rather than in intended performance, and that realization as triples was expected in all cases, as would be proper for gigues.[27] The details of the evidence suggest otherwise, however. In the first place, the differences do not correlate with the sources: while the Bauyn Ms. tends to present versions that differ from the other sources, in two cases it provides the triple version (Gigues 7, 11), and in two cases it provides the duple version (Gigues 13, 15). This would argue against its versions representing merely a French notational convention. In the second place, the correspondences between the duple and the triple versions are not consistent. Sometimes ♩ ♩ corresponds to ♪♫, sometimes to ♪♫; similarly ♪♬ sometimes corresponds to ♪𝅘𝅥𝅯♪, sometimes to ♩. ♪♩, which would argue against any kind of generally understood convention. Finally, in addition to these differences in rhythmic notation, there generally are significant differences in pitch content. All this suggests that these rhythmic differences represent actual compositional revisions rather than different notational conventions. However, unlike the situation with the toccatas, in this case the Bauyn Ms. probably provides the earlier versions, since the alterations already appear in Libro Quarto versions of Gigue 7 and Gigue 11.

The presence in the Bauyn Ms. of four suites not found in the autographs, or one or more dances from these suites, suggests that, if genuine, the four date from the early 1650s or before, and may have been included in the lost autographs (Suites 13, 15, 18, 24); to that number should be included the two suites that contain laments datable to that period (Suites 14, 30), and probably the suite including the meditation on the composer's own future death (Suite 20). There remain some ten suites that are found only in posthumous sources and thus are not datable.

Around 1698 Estienne Roger published in Amsterdam a collection of ten suites, reissued in an evidently pirated, but nevertheless "corrected" edition by Pierre Mortier around 1710.[28] This collection includes two suites

[27] See, for example, Howard Ferguson, *Keyboard Interpretation from the 14th to the 19th Century* (New York: Oxford University Press, 1987), 92–95.

[28] *10 Suites de Clavessin;* facs. repr. in *17th-Century Keyboard Music* 4. For a detailed and informative account of the complex publication histories of the Roger and Mortier editions, see Rasch, "Froberger," 135–39.

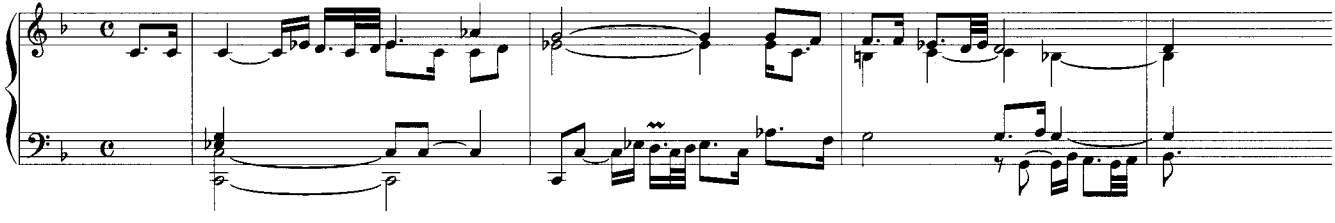
from the Libro Quarto of 1656 (Suites 8, 10), five suites already associated with the 1650s (Suites 13–15, 18, 20), and three suites not accounted for, although stylistically plausible as stemming from the composer (Suites 16, 17, 19). In the Roger and Mortier editions, the dances within each suite, including those from Libro Quarto, appear in the traditional succession (allemande–courante–sarabande–gigue), although in the autograph Froberger positioned the gigue immediately after the allemande, thus ending with a sarabande.[29] According to an annotation by Matthias Weckmann in the Hintze Ms. (following Allemand 20), Froberger had come to prefer this ordering; perhaps his motivation was to counterbalance his increasingly weighty and free—almost prelude-like—allemande by an equally weighty fugal piece within the dance format. The free "a discrétion" sections that terminate several later gigues (Gigues 10, 13, 20) provide some support for this idea. The resulting allemande–gigue–*à discrétion* sequence is reminiscent of some of Louis Couperin's free preludes, in which an imitative section in triple meter interrupts the free texture (although Couperin's prelude sections do not have the binary dance structures that remain part of Froberger's allemandes and gigues). The slow prelude–fast fugue succession also makes some sense for another type of allemande encountered in Froberger's later suites, which stylistically is closer to the beginning of an *ouverture* than to a free prelude (e.g., Allemandes 9, 11, 19). In fact, the allemande of Suite 19 bears a striking resemblance to the opening of the *ouverture* to Bach's B-minor suite for flute and strings, BWV 1067 (see example 7), suggesting that Bach may have known Roger's print, or a later reprint or manuscript copy.

Also probably reliable in its Froberger attributions (if less so with regard to the details of its text transmission) is a manuscript from the early eighteenth century presently in the Minoritenkonvent in Vienna.[30] Its copyist does not seem to have drawn upon any of the known source traditions such as that of the Bourgeat and Roger prints or the "Fughe e Capricci" manuscripts; nevertheless the manuscript includes a number of works found in the autographs and other earlier sources and is especially valuable as the unique source for the laments for Ferdinand III and for Blancrocher. The presence of extensive annotations added to several pieces, in particular the laments, suggests a closeness to sources stemming directly from the composer, in spite of frequent inaccuracies and omissions. Indeed, we

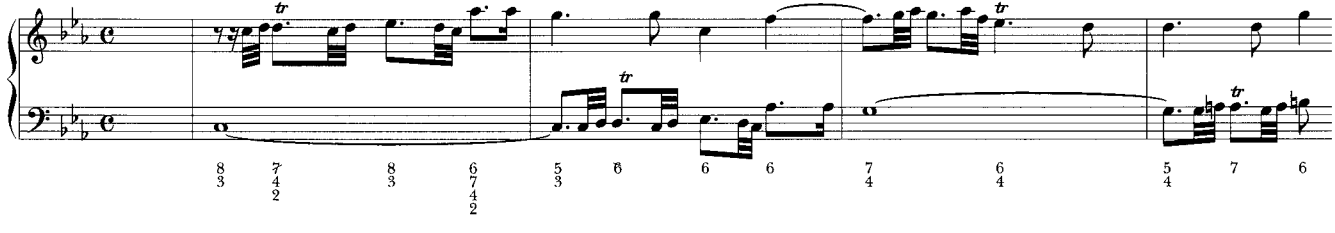
[29] The phrase "mis en meilleur ordre" on the title page of the Mortier edition has generally been thought to refer to the publisher's restoration of the traditional ordering, but Rasch suggests that it merely refers to an improved typographic layout of the score ("Froberger," 138).

[30] *A-Wm* Codex XIV/743.

Example 7a. Froberger, Suite 19, Allemande.



Example 7b. Bach, Ouverture for Flute and Strings (BMV 1067), tranposed from B minor.



owe to this manuscript the identification of the two pieces associated with the composer's misfortunes in the Netherlands and in London (A14, 30; see n. 10).

Five further suites (nos. 21–23, 25, 26) are attributed to Froberger in the Grimm Ms. Most of these do not appear elsewhere, although one (Suite 23) seems to have been widely disseminated and is encountered in several posthumous sources. Because of the lack of reliable source transmission, and perhaps also for reasons of style, the authentication of these suites requires further study (and thus for now they really should be placed in the "questionable" category). The same applies to a fragmentary suite surviving only in a manuscript formerly belonging to Wilhelm Tappert and now in Krakow (Suite 27).[31] Finally, there are a few suites or individual dances that are not attributed to Froberger in any source but that have been or could be proposed as possibly his work for reasons of style, or because of their appearance in sources together with authenticated pieces by the composer. These include an anonymous suite in A minor (Suite 29) and an allemande in G minor in the Minoritenkonvent manuscript,[32] an anonymous suite in E-flat major in the Möller Ms.,[33] and a suite in E minor in a lost manuscript formerly in the possession of Adolph Sandberger, attributed there to Pachelbel.[34] In summary, the non-autograph sources contribute six or seven suites that appear to have been written during the years preceding the time when Froberger was likely to have compiled his lost Libro Terzo (Suites 13–15, 18, 20, 24, 30), three suites that at this point cannot be dated but that probably are authentic (Suites 16, 17, 19), and a number of suites and individual dances, the authenticity of which remains to be established.

* * *

We see that the large number of Froberger sources do not add all that much to the repertory preserved in the three surviving autographs: barely enough toccatas and not a sufficient quantity of ricercars and capriccios to fill another libro, with a somewhat more generous supply of suites. Fur-

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[31] Formerly Berlin, Preussische Staatsbibliothek, Mus. ms. 40035.

[32] *A-Wm* Codex XIV/743, fol. 82; not in Adler's edition.

[33] *D-B* Mus. ms. 40644, p. 45; the suite has been republished as a work of Böhm (e.g., in Georg Böhm, *Sämtliche Klavier- und Orgelwerke,* Gesa Wolgast, ed. [Wiesbaden: Breitkopf, 1952], 45), but Rampe believes he can confirm the suspicion voiced by several earlier Froberger scholars that it should be credited to Froberger ("Weckmann," 331).

[34] Published as No. 29 in *Klavierwerke von Johann Pachelbel,* ed. Max Seiffert, *Denkmäler der Tonkunst in Bayern,* 2/1 (Leipzig: Breitkopf & Härtel, 1901), 72–75.

thermore, most of this non-autograph repertory seems to date from the early 1650s, the years before the Libro Quarto, or earlier, and thus is likely to have formed part of one of the lost volumes. Nothing is specifically datable to the composer's last ten years. Froberger's patroness Princess Sibylla of Württemberg seems to have been speaking the truth when she wrote Constantyn Huygens after Froberger's death that the composer had become wary of letting his music fall into other hands.[35]

A further significant consequence of this study is a reconsideration of the relative value of the sources. While Froberger's surviving autographs retain their central position, and generally can be relied upon as the most accurate texts, we have seen that they might not necessarily represent the composer's last preserved thoughts on a piece. The examples from the Bauyn Ms. show that an exploration of variant versions in the non-autograph sources could well be rewarding; in any case, these sources must not be dismissed merely because autograph versions survive. In addition to this French manuscript, which for pieces not preserved in autographs may give us the earliest readings, the "Fughe e Capricci" manuscripts (especially its oldest representative, *D-B* Mus. ms. 6715/1) emerge as the primary Froberger sources, transmitting more reliable texts than the better known Bourgeat editions. The Minoritenkonvent manuscript Codex XIV/743 also deserves to be included among the essential sources. On the other hand, Gottlieb Muffat's large anthology, much relied upon by Guido Adler, must now be discredited as untrustworthy and derivative in its readings.

These conclusions are of course of a preliminary nature and remain to be tested further by a more thorough study of the sources and their role in the transmission of keyboard music—which should be facilitated by the recent recovery of sources that had been believed lost in World War II[36]—as well as by more detailed analysis of their musical content.

* * *

In closing I want to draw attention to a curious mystery. There has been occasional speculation that some toccatas in a Roman manuscript from Frescobaldi's circle, Biblioteca Apostolica Vaticana, Ms. Chigi Q.IV.25,

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[35] Gustav Leonhardt, "Johann Jacob Froberger and his Music," *L'Organo* 6 (1968): 33. The Princess that added she had promised Froberger not to give out any of his music, or if she did, it should be only "from the first two *opera*." We do not know precisely what she meant by this; Rasch believes it referred to the Libro Primo and Secondo ("Froberger," 131).

[36] These include two mansucripts formerly in the Preussische Staatsbibliothek in Berlin, Mus. Hss. 40035 and 40147, now in the Biblioteka Jagiellońska in Krakow.

should be attributed to Froberger, since they contain passages showing a striking resemblance to other works of his.[37] If so, they would be from his study years, and might have made their way into the Libro Primo, but the case for Froberger's authorship of these pieces is really very weak.[38] There is however a puzzling connection between the imitative segment of a toccata and the first ricercar of the Libro Quarto (see example 8). Howard Schott has commented on the similarity of the subjects,[39] but that similarity extends to the entire exposition, and includes answers in inversion. What is particularly odd is that this idea appears once again in Fugue 5 in François Roberday's *Fugues et Caprices* (Paris, 1660),[40] and that in each case the exposition is progressively extended: Froberger adds a B♭ before the answer enters, and Roberday inserts a D and a C before the B♭. Do these represent three successive stages of a Froberger composition; did Froberger elaborate on an idea of Frescobaldi, and did Roberday, knowing of this, apply the same trick to Froberger; or are there no connections among these pieces except that they happen to present the same subject in inversion? After the exposition the Vatican manuscript version shows no further similarities to the other two. Froberger and Roberday's fugues, on the other hand, are much of the time identical in their subsequent development, although Roberday adds a third section in triple meter to Froberger's two sections in duple meter. It usually is assumed that this is the fugue to which Roberday refers when in the preface to *Fugues et Caprices* he mentions having included a composition by Froberger. However, that still leaves open several alternative possibilities: did Roberday revise Froberger's ricercar, or did the composer do so himself subsequent to its entry in Libro Quarto, that is, between 1656 and 1660? Or is it conceivable that the Roberday fugue, despite the year of its publication, actually represents the earlier version, which, like the pieces in the Bauyn Ms., might have been left behind during Froberger's visit to France in the early 1650s?

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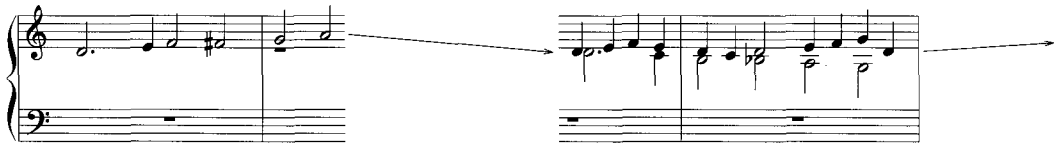
[37] Alexander Silbiger, *Italian Manuscript Sources of 17th-Century Keyboard Music* (Ann Arbor, 1980), 161–67.

[38] Recent opinion on their authorship favors Frescobaldi or his pupil Nicolo Borbone. See the introduction to the facsimile reprint, Alexander Silbiger, ed., *17th-Century Keyboard Music* 1 (New York: Garland, 1988), xi–xiii.

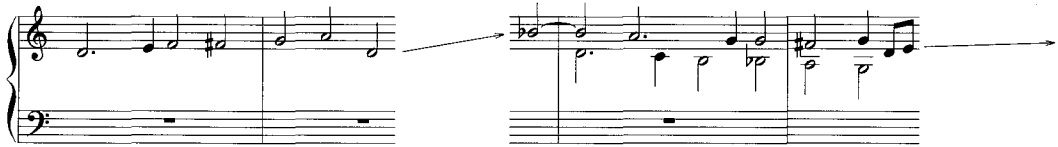
[39] Schott, "Froberger," 12. (Schott calls the toccata segment a "Capriccio," but see Silbiger, *Manuscript Sources,* 162.)

[40] See François Roberday, *Fugues et Caprices,* Jean Ferrard, ed., *Le Pupitre* 44 (Paris: Heugel, 1972), 28.

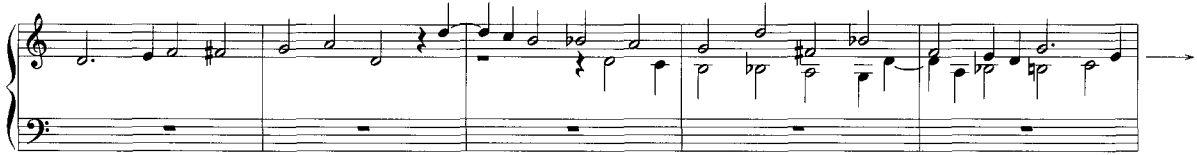
Example 8a. Excerpt from Frescobaldi [?], "Toccata per Organo," Ms. Chigi Q.IV.25, f. 14v, transposed a fifth down (before 1643).



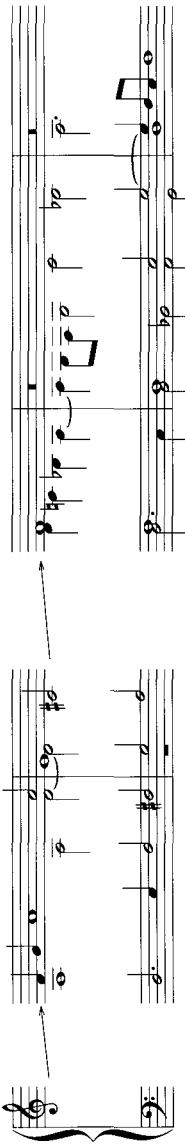
Example 8b. Froberger, Ricercare [7], Libro Quarto (1656).



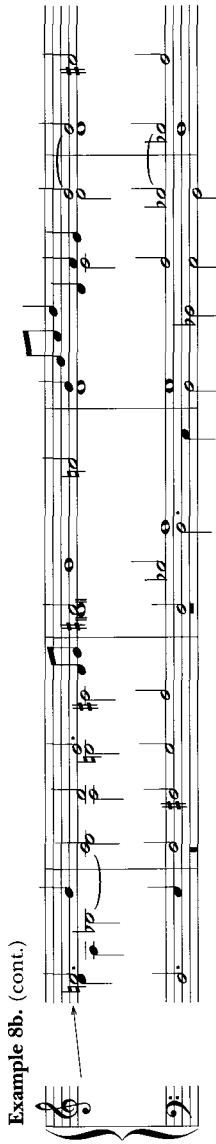
Example 8c. Roberday, Fuge 5^{me}, *Fugues et Caprices* (1660).



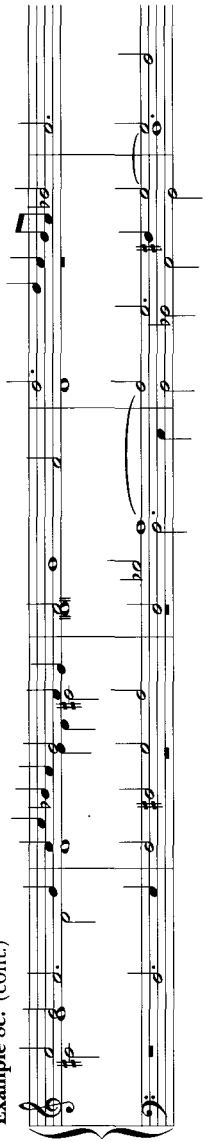
Example 8a. (cont.)



Example 8b. (cont.)



Example 8c. (cont.)



Ned Rorem on Music and Politics: An Interview in Celebration of the Composer's Seventieth Birthday

Eleonora M. Beck, Interviewer

Ned Rorem was born in Richmond, Indiana, on 23 October 1923. He received his early music training at the American Conservatory in Chicago and Northwestern University. He moved to New York City in 1944 and studied with Virgil Thomson before attending Juilliard, where he received his bachelor's degree in 1946 and master's in 1948. The following year he moved to Paris, where he lived until 1959 (excepting a soujourn in Morocco in 1949–51). There he befriended Francis Poulenc, Georges Auric, and Darius Milhaud and studied with Arthur Honegger on a Fulbright scholarship.[1] Rorem returned to the United States to teach at the University of Buffalo (1959–61) and the University of Utah (1966–67). He received a Pulitzer Prize for his Air Music in 1976. Rorem has taught at the Curtis Institute since 1980 and has spent several summers as the Composer-in-Residence at the Santa Fe Chamber Music Festival. His English horn concerto, commissioned by the New York Philharmonic for their 150th anniversary, will be premiered in January 1994.

Anchored firmly in the melodic and sonorous world of tonality, Rorem's music exploits traditional forms, ensembles and instruments. His gift for melody and his Schubertian sensitivity to the nuances of the text are perhaps best heard in the beautiful setting of Tennyson's "Flower in the Crannied Wall" from his song cycle *Serenade of Five English Poems* (1975). Rorem cites the French modernists Debussy, Ravel, and Poulenc as primary influences, as well as the popular sounds of big bands and especially Billie Holiday. One can hear echoes of Debussy in the parallel motion and colorful orchestration of Rorem's *Design for Orchestra* (1953), and echoes of Ravel in the effervescent sonorities of Rorem's *Second Piano Sonata* (1962–63). Rorem once remarked to me in 1987 that, if stranded on a desert island, he would take only the music of Debussy or Ravel. When asked the same question during the interview below, he said, "I would not need to take anything because I have it all in my head."

Recognized as the leading American composer of the art song, Rorem has composed nearly three hundred songs, twenty song cycles, and three operas. His other large works include four piano concertos, three symphonies, numerous tone poems and works for chorus, and eight volumes of

[1] See Ned Rorem, *The Paris Diary of Ned Rorem* (New York: Braziller, 1966), which covers the period 1951–55.

diaries and essays. As a writer, he has a unique confessional style that is provocative, outspoken, gossipy, and insightful.

In the following interview, conducted on 29 March 1993 at Rorem's home on the Upper West Side of Manhattan, he nimbly skips from topic to topic at times revealing himself to be somewhat contradictory; he bristles at the thought of contemporary popular music, yet knows a great deal about the subject; he speaks openly about his homosexuality yet seems uncomfortable about scholars who investigate sexuality and its relationship to a composer's oeuvre; he wishes to talk about music yet deflects questions about style periodization in his songs.

Beck: When I listen to your music—for instance at the premiere of your *Piano Concerto for Left Hand and Orchestra* at Carnegie Hall [5 February 1993]—I have the distinct impression that the composition is just the right length. It never seems to run too long. When composing, are you conscious about the duration of a composition?

Rorem: I would like to think that I know when to stop. There is an ideal length for any work of art that exists in time—like plays or musical compositions. Once a piece is composed, that ideal can be found by the interpreter, who, in my case, should be French-oriented.[2]

I don't think that music can mean anything the way verbs and nouns can, or a painting, which means something very definite. Nevertheless, music does mean *something*, but nobody knows how to say what. It's too precise for words—rather than too vague for words. I may be embarrassed by something in my music that is me, but I don't know exactly what that part of me is because it's music, not prose. Thus I like it to be played without too much feeling, vibrato, or elastic German overlay of expressivity.

Do I know when to stop? I am happiest when writing in small forms, especially songs. All music worthy of the name is a sung expression, whether there is actual singing or not. A tuba sonata or a timpani concerto—insofar as it is music—is a sung expression. A song can say what it has to say in about three minutes. In the concerto that you heard, which is a series of small pieces or vignettes—in fact, one of the movements is called "vignette"—I will expose an idea, and when I have drained it dry, I shut up. Or try to.

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[2] Rorem associates his approach to length with a so-called "French aesthetic" (as opposed to a "German aesthetic"). See the opening of his autobiography, *Knowing When to Stop* (New York: Simon & Schuster, [forthcoming]), which appears in the *Newsletter. Institute for Studies in American Music* 22, no. 2 (Spring 1993), 1.

Beck: Do you think the audiences for your prose and your music are similar?

Rorem: They have nothing to do with each other. I have never realized quite how compartmentalized audiences in America are. My audience is not the same as (who else is my age?) Lee Hoiby's audience. And yet our audiences are closer to each other than they are to, say, John Cage's. And Cage's, in turn, is closer to our audience than to Michael Jackson's. Michael Jackson has fifty million people who have never heard of us. So there is no one audience, in spite of what the monsters of music management say. An audience for classical music is about one half of one percent, and I'm speaking now of Beethoven; the audience for someone like me is a lot smaller than that. . . .

An audience for contemporary music is aristocratic and lean. A living classical composer is not even a pariah, since a pariah exists and the living classical composer doesn't, even in the ken of many highly cultured Americans. When my first book *The Paris Diary* came out in 1966, I had been a professional composer for twenty years; suddenly in six months I got ten times more fan letters. These letters were always personal, even intimate, whereas the letters I got as a composer were always, "Dear Mr. Rorem can you clarify whether the f♯ in m. 27 of your violin sonata is a misprint?" Now it was, "You poor darling. If only I could have been in Paris when you were there, you would not have suffered as you did." But as I also received murder threats from strangers, I had to get my name taken out of the telephone book.

Beck: Some composers in the nineteenth century were fawned over by adoring fans. Have composers lost their glamor in the late twentieth century?

Rorem: The only composers who have that today are pop composers. The problem began with the industrial revolution, when the composer lost his function in society—in the parlor or in the church. Beethoven was the first of the luxury composers; he received no regular salary, but a huge fee or nothing at all. So the myth of the artist starving in the garret began, as well as the myth of having his clothes torn off in the street by raging admirers. Liszt grew his hair long and knew a thing or two about public relations, which didn't exist a century earlier. That stopped about seventy years ago when the performer, who hitherto had inhabited the same body as composer, became an interpreter of other people's music, and bit by bit that music became solely the music of the past. Ninety-five percent of classical performers today perform only fifty masterpieces from the nineteenth century, unless they are specializing in the eighteenth or seventeenth century. No big name today specializes in contemporary music. A

performer—Pavarotti for example—is paid for one evening what a well-known composer is paid to write a whole opera, which will take him years.

Nobody thinks of musicians as composers anymore. They think pop stars make up the words as they go along. Even in *Truth or Dare,* the recent documentary on Madonna (which I rather enjoyed), the source of her lyrics and music is never explained, or even broached, during the three hours of the film. Nor is there a word about the obviously intense choreographic work. There is nothing to dispel her pretense.

Beck: Do you frequently listen to popular music?

Rorem: I was raised, like all Americans, on pop music. The pop of my day was the swing band of the thirties. A singer like Billie Holiday has been more influential on my way of writing a song than any so-called classical singer. I have been deeply influenced by the magic and misery of pop music, not only of composers like Cole Porter and Gershwin, but also of their well-rehearsed bands—mainly the vocal soloists, and primarily Billie. There's a good line in one of Noel Coward's plays: "Extraordinary how potent cheap music can be [*sic*]."[3] The music we fell in love with in high school was pop songs, rather than Beethoven Quartets or Chopin Mazurkas. Pop songs will bring back the past—maybe—but it's the past itself that touches us concretely rather than abstractly, as does the music.

I think that the pop music of today is paradoxically both faceless and vain. Rock and its various off-shoots irritate me. A couple of days ago I heard *Most Happy Fella* on a forty-year-old record of unmiked, really operatic, terrific voices. Today's interpreters aren't singers in the old sense. They mouth miked banalities over tonic-dominant simplicities.

Beck: Did you ever want to write a piece for the theater?

Rorem: People always say: "Ned, write a musical and make some money!" It's not that simple. To write a Broadway musical involves knowing the right people, and I don't. These people are tough, money-minded types to whom you have to audition, no matter who you are. I would have to ache to do it, and I don't. Opera still works on commission; Broadway musicals don't. I was approached a couple of times by a famous producer to write

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[3] See Act I of Noel Coward, *Private Lives* in *Play Parade* (London: William Heinemann, 1934), 496.

something with Kenneth Koch.[4] We asked for a hundred thousand dollars as an advance. The producer said, "It doesn't work that way. On Broadway you live off of the receipts of the performance." We said: "Well, until it works that way on Broadway, we won't do it."

I would like to be able to write a pop song, and I admire the friends who can. A pop song must be able to be transposed immediately and sung fast or slow, high or low, soft or loud, and by a man or woman. But I'm interested in poetry that's a little bit ritzier than that of pop songs.

Beck: Do you think commissions influence what and when you compose?

Rorem: People commission you for what they know you can do, so I have been commissioned by serious concert singers, or by their representatives. In the old days I was obviously not going to be commissioned by Mae West, Marlene Dietrich, or show-biz troupers who are hardly seeking songs on texts of Sappho—though I would have liked it. If commissioned by an orchestra to write a piece for singer and orchestra, I might say "No. I've done enough of that. Let me just write a straight orchestra piece." If you want to do something, you can usually negotiate it.

The left-hand Concerto was commissioned by Curtis for Gary Graffman; I was the logical person to do it because I am on the faculty. After a while a person is commissioned to do what it is known that he can do best. In fact, he gets pigeon-holed. I'd like to get a commission to write an opera. If I really wanted to write another opera, I could probably arrange to get a commission.

Beck: How much time do you spend selling your music? Do you feel uncomfortable doing it? Do you find that you have to do it?

Rorem: After a certain point it is indecent. Publishers do most of the dirty work. They arrange contracts, commissions, royalty, performance collections, and, to some extent, public relations. I feel very lucky to be represented by Boosey and Hawkes (as well as by four other houses who still handle dozens of my earlier works).

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[4] Kenneth Koch (b. 1925 Cincinnati, Ohio) is one of three principal poets of the "New York School," along with John Ashbury and Frank O'Hara, that flourished in the middle and late 1950s. Koch associated himself with Abstract Expressionist painters and used words abstractly and evocatively. He was also influenced by French poets, especially Apollinaire. He has written numerous experimental plays that ran on off Broadway and off-off Broadway, one of which, *Bertha*, was set to music by Rorem in 1963. Koch is currently a Professor of English at Columbia University.

Being a composer is not like being a banker. You don't get a raise. You don't have social security. My social security is not as a composer but as a professor at Curtis and from other lectures and teaching. The I.R.S. form describes my life's work as "Other Entertainment." The government hasn't a clue as to what a composer is. We have nothing to fall back on except savings. There is no security whatsoever for the creative artist in our fair land.

When I started composing, there were fifteen or twenty composers around. Today there are thousands. The paradox is that today, in our Philistine world, there are more composers than ever before. When I mentioned this to Lenny Bernstein, saying, "God must want them," he said, "Well, God wants bedbugs too." But here they are. They have technique to burn and are terribly ambitious, with a strong sense of publicity. Young composers are making new rules, not for how to write music, but for how to get music dispensed. Thirty years ago, most new music was performed in universities, thanks to one man, Paul Fromm, who gave his fortune to schools.[5] Quartets-in-residence would have maximum rehearsal time, so that Milton Babbit *et alia* invented a kind of art that can no longer survive because the unions won't pay enough. Young composers aren't going to be performed by big orchestras, which don't have the time or interest to rehearse anymore. Therefore, these composers are writing for their own little orchestras or groups, as Britten and Peter Maxwell Davies did in England. Big record companies won't touch the music of younger composers—or my music—with a ten-foot pole. As a result, a dozen smaller record companies have sprouted forth. The best ones are really very good. New World Records, for example, is doing not only eccentric little groups but the New York Philharmonic. Masur will record the left-hand Concerto on that label, but he'll do Berlioz's on Philips. The rules of where new music is performed have changed too. None of this affects the quality of the music, but I do think that it alters the language of the music: young people are no longer writing music that is all that complex. Thank God.

Beck: There are scholars in musicology exploring whether a composer's sexuality can be heard in the music they produce.

Rorem: I had to laugh when reading about how Schubert's homosexuality

[5] Paul Fromm established the Fromm Music Foundation in 1952, now located at Harvard University, to foster the composition and performance of contemporary music at universities, and institutions such as the Berkshire Music Center.

was discussed in a recent symposium.[6] Apparently someone in the audience got up and said, "Nobody has mentioned the fact that Schubert was short, fat and ugly."[7] That has certainly as much to do with his music as being homosexual. The interesting component is that which no one can define. Nobody knows what makes music good. I can teach anybody to write what I would consider a perfect song, given the time. But I can't teach someone to make the song breathe and bleed and make a difference. Only God can do that (and who believes in God?). So that which speaks is not Schubert's homosexuality, nor his personal integrity. Monsters like Wagner wrote music so gorgeous you want to expire, yet he was not a decent man, to say the least.

An artist is like anybody else, only more so. He—or she, as the case may be—cannot necessarily see more deeply than other people, but what he does see he formalizes to make it communicable. If he saw more deeply than other people, he wouldn't have any audience. The audiences for Ibsen, Shakespeare, or Tennessee Williams—to name only playwrights—or for Ravel, Mahler or Debussy, are huge. People see themselves in the play or music: they see what they had always intuited suddenly clarified. . . .

Beck: Have you seen the new monograph about homosexuality and the opera?[8]

Rorem: I thought the book was silly. I was going to write a letter to the editor about Edward Rothstein's *New York Times* piece on the book, but was talked out of it.[9] My friend Jim Holmes said that I had missed the point. In the letter, I had wanted to state that most of my male friends are musicians; of these, half are composers; of these, half are homosexual. I don't know one Opera Queen among them. I myself am not interested in opera or opera divas, and I don't know anybody who is. Opera Queens are interested not in music, but in the performance of music.

Most composers are not taken with the glamor of opera. The opera composers who have been somewhat successful in America, like Dominick Argento or Hugo Weisgall, are concerned with obtaining good singers,

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[6] The symposium was held on 2 February 1992 as part of the annual "Schubertiade" at the 92nd Street Y in New York City. The session in question was called "Schubert the Man: Myth vs. Reality."

[7] See Edward Rothstein, "Was Schubert Gay? If He Was, So What? Debate Turns Testy," *The New York Times* (4 February 1992), C11, 16.

[8] Wayne Koestenbaum, *The Queen's Throat: Opera, Homosexuality, and the Mystery of Desire* (New York: Poseidon Press, 1993).

[9] See Edward Rothstein, "Doting on Divas: Private Jokes, Open Secrets," *The New York Times* (28 March 1993), sec. 2, pp. 25, 28.

but not famous singers. Britten and Virgil Thomson, who wrote successful operas, never used famous singers in their operas, though some of their singers *became* famous. The opera queen is as remote from music, as I understand it, as is the whole pop world. . . .

Beck: How do you like your music played?

Rorem: There is no right way to interpret a piece. There are as many right ways as there are good performers. As I said, I happen to like the French approach to my music. I am always rather flattered and touched if a first-rate performer moons around a little, gooses it here, and makes a little *portamento* there. But interpretation per se is not part of me. Sometimes I say I like what you have done, and sometimes I'll put it in the score. On the whole, I don't like my music to be played too slow or too fast. For example, I was honored that Lenny played three big pieces of mine.[10] Yet his metabolism veered from mine. He stretched things so that they became *his* pieces. He'd say, "Ned you don't realize the beauty in this music." But I did.

Beck: Do you compose songs for particular singers?

Rorem: When I first began composing songs, I did not write for love of the voice. I'm not especially interested in the human voice, though naturally I'd rather have a good voice than a bad one. I got into song through love of poetry—wanting to conjoin the art of poetry with the art of music. Then I realized that an actual human being, usually female, would be singing these songs, and I thought about how high or how low she can go. After meeting the mezzo-soprano Nell Tangeman, I chiseled almost all of my vocal music for eight years—and still, maybe do—around what she could do.[11] I have written an awful lot in the past thirty-five years for specific singers, but always with the idea other singers would presumably do the songs too. I seem to write music that singers like to sing, or used to. My songs don't get done much today. But then the song recital too has gone the way of the dodo.

Beck: You have written songs throughout your career. Can your output be divided into stylistic periods?

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[10] Leonard Bernstein conducted Rorem's Third Symphony in 1958 and *Sunday Morning* in 1980, both with the New York Philharmonic, and his Violin Concerto, with Gidon Kramer as soloist, in 1989.

[11] Nell Tangeman (b. 1914 Columbus, Ohio) was a student of Nadia Boulanger. She has sung primarily solo recitals. In 1947 she sang the solo part in Aaron Copland's *In the Beginning* and in 1951 the part of Mother Goose in the premiere of Stravinsky's *The Rake's Progress.*

Rorem: "Periods" are tags used by outsiders. They're useful for historians, who divide into decades, and not even 1952–62, but neatly, 1950–60. People always talk about the "wide-open spaces" Copland as opposed to the "complicated, intellectual" Copland. But the same impulse propels all of his music—same with Stravinsky. Of course there are periods when Stravinsky was influenced by different people, though you can see his penchant for a certain kind of influence at the very start. After Diaghilev died in the First World War, there wasn't enough money for a piece like the *Rite of Spring,* which requires huge forces. So Stravinsky started writing pieces for a small orchestra, and the very timbre of his music changed accordingly. It had to. He thought in relation to timbre, but the musical impulse was the same.

Nobody can see themselves from the outside, so it's not for me talk about my periods. I do think a lot about what I did and why, intellectually, I decided to do it. In Paris in 1949, I said to my friend Shirley [Rhoads], who is now George Perle's wife, "I just want to write songs all my life." She said, "Write a symphony—even if it's mediocre. At least you will have done it." So I sat down and wrote a symphony. It was rather fun to write something that both was long in form—because it was a very *symphonic* symphony—and had no words to guide it.

Beck: You have set a wide range of poets to music, including William Carlos Williams. Is his poetry difficult to set?

Rorem: For years I never got the point of his poetry—I think because it seemed so prosy. Then in the late 1970s I set two poems, "The Dance" and "Nantucket."[12] I think I've found a musical answer to his kind of prosy poetry. In seeking to musicalize verse (or prose, for that matter), my aim is not to find something great or important, but rather to find something that, as Quakers say, speaks to my condition. If something is too "poetic," if it's all full of hearts and flowers and stuff, it can be no good either. That depends on the ear. William Carlos Williams' concerns were not my concerns, but when I found the sonic key to his literary closet, so to speak, his poetry suddenly seemed inevitable and glowed with a light that warmed me.

I set a lot of Sylvia Plath at one time (though I would never do her poetry again), including a very good song cycle called *Ariel,* for clarinet, piano, soprano and mezzo-soprano.[13] It was written for Phyllis Curtin[14]

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[12] "The Dance" and "Nantucket" are the second and third of *The Nantucket Songs,* for soprano and piano (New York: Boosey and Hawkes, 1979).

[13] *Ariel* (New York: Boosey & Hawkes, 1971).

[14] Phyllis Curtin, Soprano (b. 1923 Clarksburg, West Virginia). Curtin sang the lead roles in the premieres of Carlisle Floyd's *Susannah* and *Wuthering Heights* and the American premiere of Poulenc's *Les mamelles de Tirésias.* She gave the first performance of Antoniou's *Paravasis,* which was composed for her, in 1987 at Boston University, where she is dean of the arts.

after her voice had flown a little over the hill, so I wanted to write not so much beautiful music, as theatrical music. The cycle was composed in 1970–71, just after Plath had died and before she would become famous, so it wasn't quite as chic as it would have been later. It spoke to my condition.

Other times I won't set poems because too many other people have. I would never again touch Whitman, Emily Dickinson or Robert Frost. They are done to death. If I write something else for voice soon (I did a lot of Auden fairly recently) I would probably do something by a living poet—maybe Thom Gunn, to whom Robert Phelps introduced me.[15]

Beck: What makes music American?

Rorem: Virgil Thomson said: "All you have to do is be American, and then write any kind of music you want."[16] I feel, however, that we are what we speak. We are what we are. An American writes American music in spite of himself. In some ways I think I write French music, yet when I arrived in France in 1951, Poulenc asked me, "Why are you so repressed, so Quaker, so American? Why can't you write music like we do?" So one doesn't know the effect that one gives.

One writes the music of one's spoken native tongue. And I don't mean just song; I mean a non-verbal symphony, too. A Beethoven symphony could only have been written by a German. It's full of the *achts* and *eins* and *rrrrhs* of the German language. The slight difference between Portuguese and Spanish music, or between Swedish and Norwegian music, echoes the difference between their spoken languages and hence of their collective psychology. Copland, our most self-consciously American composer, uses the *goyische* sounds of our mid-western prairies (they're his prairies too, after all) more than those of his Brooklyn, Jewish-European forebearers. He wrote only one Jewish piece.[17] Schoenberg likewise did his best to neutralize his music with a cast-iron system, yet through all of his

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[15] Thom Gunn (b. 1929 Gravesend, England) has written over thirty volumes of poetry. As a young man he wrote in iambic pentameter, inspired by John Donne, and later turned to a variety of forms, including syllabic stanzas and free verse. Gunn combines traditional poetic forms with such topics as the Hell's Angels, LSD, and homosexuality. Robert Phelps (b. 1922 Elyria, Ohio; d. New York City 1989) was the founder and editor of Grove Press. He edited numerous volumes of [Sidonie Gabrielle] Colette's stories including *The Collected Stories of Colette* (1983). Robert Phelps, Rorem's friend and confidant, wrote the introduction to *The Paris Diary.*

[16] See Joseph Machlis, *Introduction to Contemporary Music,* 2nd ed. (New York: W. W. Norton & Company, 1979, 1961), 327.

[17] Aaron Copland, *Vitebsk. Study on a Jewish Theme,* for piano trio (New York: Boosey and Hawkes, 1961).

works lurk echoes of the Viennese waltz. One writes according to the rhythms of language. The difference between American and English music stems from the fact that the English, in speaking, don't open their mouths. It took the two hundred years between Purcell and Britten for them to loosen their tongues, whereas Americans, with the identical vocabulary, have made of vulgarity a subtle art.

Beck: I was also thinking about Charles Ives, who was very conscious of writing real man's American music and disparaged so-called sissy European music.

Rorem: Ives made notorious statements. He championed "rugged individualism" and the "real man." But show me one real man who even heard of Ives. I'm sure he felt that writing music was sissy stuff and excused himself in the eyes of the world by making homophobic cracks.

Beck: Is a composer more of a sissy in the United States than in other places?

Rorem: Yes. Or at least he used to be; of course today a third at least of composers are women, and they can't correctly be termed sissies.

In 1948 I was interviewed by Alfred Kinsey, after he had just written *Sexual Behavior in the Human Male* and before *The Human Female.*[18] I met him at a party after a concert of Nell Tangeman where Kinsey heard my music. My parents were also there. Kinsey said, "I'm doing a book on artists. Can I include you, with your mother and father, too?" Reluctantly, they agreed. I well remember being at Kinsey's hotel. The interview was 47 minutes long, not 48 or 46. It was very systematized and arranged so that you can't lie, as everybody inadvertently tries to do.

In answer to your question about Europe: After the interview we talked man to man about the music world, which I knew better than he did. I said to Kinsey, "Here are the categories of homosexuality among musicians: organists, 100%; composers, 50%; pianists, 50%. Female pop singers are mostly lesbian. Male pop singers are mostly straight, although they are all drunk. Tenors are not as queer as you think, but baritones are, and so forth. Orchestras are 100% heterosexual with one odd duck." But then I went to Europe. I wrote him a letter saying, "You have to change the title of your book. It has to be called *The Sexual Behavior of the American Male,* because all the categories change the minute you cross the Atlantic. (I was then living in Morocco, where men have homosexual affairs without being

[18] Alfred C. Kinsey, Wardell Pomeroy, and Clyde Martin, *Sexual Behavior in the Human Male* (Philadelphia: W. B. Saunders Co., 1948); Alfred C. Kinsey, *Sexual Behavior in the Human Female* (Philadelphia: W. B. Saunders Co., 1953).

homosexual at all.) Organists in Europe are straight, because they are raised in a religious environment that doesn't consider music sissified—ergo Messiaen. In Europe all types of musicians are heterosexual, as far as I know."

The percentage of homosexual musicians is what it is in the real world—one out of ten. All the fuss in the 1940s about Copland's mafia of queer composers had no basis. Professionally, he was interested not in a person's sexuality, but in whether or not they wrote good music.

Beck: Have you ever had a political message in your music?

Rorem: There's another area where I've changed a little bit. I have always thought, and still think, that there is nothing that art can say about the state of the world that any politician can't say just as clearly. Art never changes anybody. It certainly can't make a Democrat out of a Republican, nor force Jesse Helms to see the light. When we are moved by a work of art, it makes us become more of what we already are. It reinforces, but doesn't broaden, our perceptions. Insofar as a work of art changes a person's notion, it's a lesser work of art. Still, if I could write a piece that would make soldiers run away from battle, instead of toward the fray, I would do so in a trice, and to hell with art. (I'm a Quaker and was raised a Quaker and a passivist, so it's ingrained in me that all war is wrong.) Marches make "brave men" march—but it's the regular beat, not the music, that urges them.

There is not a single work of art that you can show me, of any of the arts, that has been persuasive to a whole people. Art's purpose is not political, yet art has been politicized, especially today. You have to be relevant or it's irrelevant.

Beck: What about the political allusion to Napoleon in the first draft of Beethoven's *Eroica*?

Rorem: If it's a good piece, the reason is not Napoleon, but merely that it's a good piece. Who, listening to it now, thinks it's about Napoleon? Penderecki's *Hiroshima* is supposed to be about a bunch of babies screaming. If you don't know the title, it sounds like a lot of fiddles playing out of tune. I think he very much cashed in, as did John Corigliano with his AIDS Symphony. As soon as you know the subject, you burst into tears. If you judge strictly on musical value, it is a disparate, loosely knit, rather giddy piece. We have to read the program notes carefully because we otherwise wouldn't know what's going on. When I first heard Britten's *War Requiem* I was terribly moved. But then again, it's the words that moved me, and the music through the words. Words mean something concrete that music does not.

In 1968, the mellifluous French baritone Gerard Souzay (who never sang my music when I lived in France) wrote to me, "I'm coming to America. Compose something for me to take on tour." I agreed, keeping in mind that his voice, though still very dramatic, was far less pretty by that point. The Vietnam war was going full tilt, horrifying me no less than everyone else. I went to the prose—not the poetry—of Walt Whitman and wrote a piece called *War Scenes*.[19] There are five dark pictures in the hospital where Whitman tended dying soldiers during the Civil War. They are as applicable to the Vietnam War as the Civil War, for all war is horrible. The piece didn't make passivists out of any listeners, even though the way in which these scenes particularize the anguish has greatly moved listeners. There is a wonderful CD of it, sung by Donald Gramm with Eugene Istomin at the piano. They both voted for Nixon. But your heart melts at their performance.

If the music doesn't deliver the goods, who cares about its program? Mozart can write about countesses hiding under furniture and waiting for Cherubino, and it can all be quite profound. Penderecki can write about the most meaningful subject in the world, while the music itself seems merely pretentious. To have your heart in the right place doesn't guarantee a masterpiece. That's what I think about politics and art.

I have spent my whole life with music, and I still don't know quite what music is, what it means, or what its purpose is. I know what theater, painting, literature, and dance are. But I don't know how music moves us as it does. Usually when a piece of music leads us to burst into tears or laughter, it's the *words* that have hit us.

I don't know why I became obsessed with wanting to express myself through music. Any attempt to solve that mystery is never, to me, in the least bit cogent. Until fifteen or twenty years ago I thought of myself as morbid, bleak, and suicidal. Then I wrote some of the gayest (in the real sense of the word) music in my life. It was liberating. People say, "How sad you must have been when you wrote this or that piece." When you're writing a sonata or a poem, you may have debts, an ache in your hip, or a souring love affair, yet in the act of creating, your worries are on hold. In other words, does a composer write sad music out of his own sadness, or what he knows of sadness? If you're writing a death scene in an opera, you can't have tears streaming down your face, because it takes perhaps a month to write the death scene. You write out of past experience—or rather an *imagined* past experience.

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[19] Rorem extracted the text for *War Scenes* (New York: Boosey and Hawkes, 1969) from Walt Whitman, *Memoranda During the War [&] Death of Abraham Lincoln*, ed. Roy P. Basler (Bloomington: Indiana University Press, 1962).

Music is a craft, it's not self-indulgence. What takes the most time is orchestration and copying, but that is not what causes the most agony. It's getting the ideas down, doing something with them, and then saying it's time to stop. Maybe it's time for us to stop now. Knowing when to stop is crucial, in life as in art.

Music Analysis and the Perceiver: A Perspective from Functionalist Philosophy*

By Naomi Cumming

If musical analysis is to be compelling for practicing musicians, it must provide a way of communicating effectively about perceptions of musical structure. Analysis is a form of interpretation in which a musician's practical engagement with the work is the source of intuitive insight, and it is in seeking to articulate this insight that she may be challenged to bring it into contact with a consciously-acquired knowledge of some theoretical framework. An analyst who makes introspective reference to her own perceptions as a source of information about music becomes for a moment both the subject and the object of analysis. Her concern is manifestly with the relationship between herself and the music. A direct reference to the perceiving "self" is not, however, essential to the work of analysis. An analyst can use her own perceptions as a source of information about musical structures without engaging in any introspective activity, simply by attending to structures that she finds to have intuitive immediacy. There need not be any self-consciousness or separation of the perceptual act from its content when analytic observations are made. It is implied, for example, in identifying a passage as a "descending linear motion," that the passage is perceived in that way.

It may appear that nothing is to be gained from introducing the first-person case into analytic discourse, and that the perceiving subject should remain invisible in the text, but there is a difficulty with analysis that avoids explicit self-reference—namely, its appearance of identifying an objective musical structure. The move typically taken by music theorists, of looking for a systematic approach to analysis, embodies an attempt to transcend the accidents of individual perception. Schenkerian theory, for example, provides a means for testing perceptions against criteria that are grounded in an understanding of contrapuntal and harmonic conventions interacting at various compositional levels. The theory does not, however, provide a set of rigid rules for escaping the position of interpreter. Intuitions of structure informed by Schenkerian theory still differ from one another within the shared framework, and these differing inter-

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pretations direct attention to the analyst's position as subject. Adopting this theory does not then remove the analyst's responsibility for justifying a given interpretation, even when her perceptual position is not explicitly stated in the language of analysis. At issue is not only the analyst's interpretation of the work, but also her application of the theory, and the ability of that theory to give an account of musical structures that are perceived.

A theory that permits descriptions of perceived structure to be made without explicit reference to the perceiver moves away from a "personal" level of discourse towards one characterized by a greater degree of self-distancing. In the twentieth century, some music theorists have established a trend of objectifying discourse about perceived attributes of the score, responding to developments in psychology, particularly in the Gestalt tradition.[1] For example, Leonard Meyer's early application of Gestalt theory to music supported a move from the "personal" to what I will call a "sub-personal" level of discourse. In *Emotion and Meaning in Music* his goal of locating musical affect or "meaning" was realized by relating the perceptual expectancies identified by Gestalt laws to the "conflict" theory of emotional response developed by John Dewey. The frustration of an expectancy formed by innately-determined Gestalt laws was there postulated to cause an emotional response, or "the objectification of meaning."[2] Meyer's references to expectancy involved a personal level of discourse in which the analyst's introspective activity was directly implicated. Yet in his analytical practice he found it less cumbersome to refer directly to attributes of the score. In an analysis of the melodic line from Chopin's Prelude, Op. 28, No. 2 he refers, for example, to "the establishment of a process, its continuation, a disturbance, and finally, the re-establishment of a variation of the original process."[3] It remains implicit in his argument that this description must be taken as the direct correlate of a psychological description, referring to an expectancy, its frustration and later resolution. Objectified terminology was to became standard in his later work, where explicit references to a listener's expectancy were substituted by references to musical "implication." Meyer did not understand this terminological shift to constitute a change in his aesthetic position. He simply presumed the analyst's self-reference to be a methodological necessity not

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[1] For an overview of auditory Gestalt processing see Albert S. Bregman, *Auditory Scene Analysis: the Perceptual Organization of Sound* (Cambridge: MIT Press, 1990).

[2] Leonard B. Meyer, *Emotion and Meaning in Music* (Chicago: University of Chicago Press, 1956), 14 (Dewey), 31–32 (on musical affect), 38–39 (on the objectification of meaning).

[3] Meyer, *Emotion and Meaning in Music*, 93–94.

requiring undue emphasis.[4]

Both the personal and sub-personal levels of analytic discourse accept the reported perceptual intuitions of a listener as valuable sources of information about how musical structures are perceived, but the latter evades direct reference to the perceiving subject. Sub-personal discourse is exemplified in the explicitly cognitive music theory put forward by Fred Lerdahl and Ray Jackendoff in *A Generative Theory of Tonal Music* (henceforth *GTTM*).[5] The insights of Gestalt theory are engaged in *GTTM* in order to identify those perceptual intuitions that are held in common by experienced listeners to Western music of the "common practice" period. As the authors focus directly on the perceived attributes of the score, rather than on the interpretive presence of the analyst, their discourse is "sub-personal," but it cannot be overlooked that the authors' perceptual intuitions are a central point of reference in developing the theory. This stance accords great credibility to the competent listener's reports of "how things seem."[6]

The difficulty in relying on perceptual intuitions is that they are incomplete as an account of perceptual processing, and subject to the influence of the perceiver's own interpretations. They offer an account only of how a perception seems to the perceiver, not of the processes that go into making up that perception. Eugene Narmour's response to this difficulty gives rise to a third possible attitude to the perceiver, one that moves beyond what I have called the "sub-personal" level of discourse to a level that cannot even in principle be verified by reference to the analyst's intuitions. This move is significant, considering the relationship of Narmour's Implication-Realization theory to Meyer's earlier theory of expectancy. Narmour continues to embrace some insights from Gestalt psychology in a way foreshadowed by Meyer's work, but he suspends reference to the listener's intuitions as a source of data about perceptual input and instead locates the Gestalt rules as operating at an unconscious level.[7]

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[4] Leonard B. Meyer, *Explaining Music* (Berkeley: University of California Press, 1973), 114–15n.1.

[5] Fred Lerdahl and Ray Jackendoff, *A Generative Theory of Tonal Music* [hereafter, *GTTM*] (Cambridge, MA: MIT Press, 1983).

[6] "How things seem" is a phrase used by Daniel Dennett in order to refer to the content of a subject's reported experience. In his "heterophenomenological" method for studying consciousness, the subject is deemed incorrigible about "how things seem" to him. This concession does not entail any commitment to a belief in the subject's infallibility about his cognitive processes. See Daniel Dennett, *Consciousness Explained* (Boston: Little, Brown and Company, 1991), chap. 4.

[7] See Eugene Narmour, *The Analysis and Cognition of Basic Melodic Structures* (Chicago: University of Chicago Press, 1990), 59–66.

While Meyer moved from a personal to a sub-personal level of discourse, Narmour thus takes a further step away from self-reference. He assumes an initial attitude of scepticism about the validity of perceptual reports, and reintroduces them only after isolating those features that can be dealt with in an impersonal way.

In this paper I will be concerned with the way that the position of the perceiver and interpreter is addressed by *GTTM* and the Implication-Realization theory of melodic perception. Some perspective on the differences between these theories is gained by considering their divergent relationship to ideas presented by the functionalist philosopher Jerry Fodor.[8] Fodor's model of the mind is highly significant for Narmour, as a way of supporting his methodological decision to separate perceptual input (dealt with in the "bottom-up level" of analysis) from perceptions that are accessible to consciousness, able to be verbally reported, and subject to the influence of theory (the "top-down" level).[9] By contrast, the relationship of *GTTM* to Fodor's model has been established in retrospect by Jackendoff. Working on the belief that its methodological principles are compatible with a cognitive approach, Jackendoff uses the analytical categories developed in *GTTM* as a source of corroborating evidence in refining Fodor's conception of perceptual modularity.[10] The result is that two strongly contrasting interpretations of music cognition each claim compatibility with Fodor's model of the mind.

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To understand Fodor's argument it is helpful to have some background in the main tenets of functionalism. A functionalist position holds that mental processes are fundamentally causal operations in which representations of things in the environment are manipulated according to certain rules. The idea of causality can operate in two different ways. In one sense, a mental representation of some object is caused by the presence of that object in the environment, in that it projects certain light rays onto the retina, or sound waves to the auditory canal. In the second sense, which is important here, causality is present when one mental representation leads to another in such a way that it has a definite influence on the new state.

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[8] Jerry A. Fodor, *The Modularity of Mind* (Cambridge: MIT Press, 1983).

[9] Narmour refers to Fodor's theory in "The Top-Down and Bottom-Up Systems of Musical Implication," *Music Perception* 9, no. 1 (1991): 3, and Narmour, *Basic Melodic Structures*, 48, 50, 56.

[10] Ray Jackendoff, *Consciousness and the Computational Mind* (Cambridge: MIT Press, 1987), 213–45.

Any given mental state can be defined by this causal relationship, rather than by reference to how it might be neurologically instantiated. In the case of music, a causal relationship would be defined by the influence of one musical perception on subsequent discriminations.[11]

The most common way of developing a functional view of the mind is to posit an analogy between the mind and a computer. This suggestion was first made in 1960 by Hilary Putnam, in an article that put forward the main tenets of functionalism. Putnam suggested that if the mind were like a machine, it could be in a given state without necessarily reporting the fact to consciousness (modelled by printing a report), and it could also go through significant state changes without needing to report them.[12] This observation constituted an important move away from the prohibitions of logical-behaviorism, allowing philosophers to recognize state changes that were not overtly manifest in behavior. It also provided a convenient way of solving a problem articulated by Gilbert Ryle concerning how we explain people's ability to apply rules. Ryle felt that an infinite regress would inevitably ensue whenever someone asks "How do you know how to apply that rule?" because the answer would always involve reference to a further set of rules.[13] The machine analogy solved the problem by suggesting that certain primitive conditions are hardwired in the brain and automatically operative without the need for inference.

Fodor's description of perceptual and cognitive processes proceeds in a way that is consistent with Putnam's argument. The primary question that Fodor seeks to answer is how perception can "so represent the world as to make it accessible to thought."[14] The level of perceptual activity being described is thus the most primitive one, at which information from the environment is taken in and represented in the mind before it becomes available to the activities of interpretation that we would usually identify as thought. The perceptual input systems are distinguished from higher levels of cognition because it is these systems that can most readily be con-

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[11] See Mark DeBellis, *Music and the Representational Content of Experience* (Ph.D. dissertation, Princeton University, 1988), 44. For a general introduction to functionalism in philosophy, see Paul Churchland, *Matter and Consciousness: A Contemporary Introduction to the Philosophy of Mind,* rev edn (Cambridge: MIT Press, 1988), 36–38; Daniel Dennett, "Current Issues in the Philosophy of Mind," in *Philosophy, Mind, and Cognitive Inquiry,* ed. David J. Cole et al. (Dordrecht: Kluwer, 1990), 60–61.

[12] Hilary Putnam, "Minds and Machines," in Sidney Hook, ed., *Dimensions of Mind* (New York: New York University, 1960), 143. Reprinted in Hilary Putnam, *Mind, Language and Reality. Philosophical Papers* 2 (Cambridge: Cambridge University, 1975), 367.

[13] See Gilbert Ryle, *The Concept of Mind* (London: Hutchinson, 1949; rpt edn, Chicago: University of Chicago Press, 1984), 30.

[14] Fodor, *Modularity of Mind,* 40.

strued as being limited by physiological hardwiring, and parallel in their operation to a digital computer's hardware. A plethora of metaphors springs from this use of the computer as a model for the mind. The various senses (including language perception) are "transducers" that provide input to translating mechanisms named "input analyzers." These sensory transducers are modular in their operation, in that they are insensitive both to one another and to the influence of conscious reasoning. Most importantly, the activities of each perceptual module are "informationally encapsulated," or insusceptible to modification by the learning processes of the organism, just as a digital computer's hardware is insusceptible to the influence of any software that it might run.[15]

It is of crucial importance to identify what kind of information comes from the modules in Fodor's model, because this is the point of demarcation at which input becomes sensitive to the influence of beliefs. Fodor postulates that when the content of a mental representation becomes accessible to thought, it is then able to be modified by any of the information held in a person's memory, the processes of modification being understood as central rather than peripheral in the computational system. He refers to central processes as activities of "belief fixation," suggesting that what is perceived is tested against a knowledge of reality, and a judgment then is made of what is represented.[16] The computational analogy ceases to be useful at this juncture in the argument. Fodor instead creates a new and very contrasting analogy between the processes of belief fixation and the procedures used for confirming a scientific hypothesis. Processes of inference drawn from scientific method thus model what it might be like to form a judgment of what is in the world even when appearance is deceptive. Any informal distinction that a non-psychologist might wish to make between conscious and unconscious processes is denied by this explanation, in which an overtly conscious process of scientific thought is used to explain an automatic perceptual adjustment. The use of a conscious process to explain an unconscious one is, however, fairly standard in cognitive psychology.[17]

Fodor's scientific analogy for the fixation of perceptual belief returns in a later article, where he clarifies what he means by "the output of perceptual modules":

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[15] Fodor, *Modularity of Mind*, 64.

[16] Fodor, *Modularity of Mind*, 73.

[17] For a justification of this use of conscious processes to explain unconscious ones, see Zenon Pylyshyn, "What's in a Mind?," in *Philosophy, Mind, and Cognitive Inquiry*, 91.

> To a first approximation, the outputs of modules are judgments about how things appear; judgments that are then up for being corrected by reference to background beliefs in the course of "higher" cognitive processing. The idea is that there are two sorts of judgmental processes (perceptual and higher cognitive), one but not the other of which is encapsulated.[18]

In order to give demonstrable cases of the cognitive impenetrability of perception, Fodor refers to examples of perceptual illusions, where the appearance of an object (provided by the perceptual input systems) contradicts what we know of its character (assessed by reference to background beliefs). The account maintains that perceptual illusions cannot be removed by learning or altering our beliefs about the objects concerned.

Fodor's discussion of perceptual illusion has provoked a debate with Paul Churchland, who differs with him both on whether perceptions are cognitively impenetrable and on whether observation terms can be theory-neutral. The differences between them arise from divergent theoretical emphases. Churchland identifies himself with the position of eliminative materialism, which disputes the possibility of reducing ordinary "folk psychological" language for mental states to a set of causal functions that might be realized neurologically in some unspecified way. He is convinced not only that observation terms lack theoretical neutrality, but that their theoretical influence is evident in our perceptions themselves, so that learning a new theoretical framework over time is capable of having an influence on what we perceive. A strong distinction between observation and inference (or perception and cognition) is not consistent with this view because perceptions are understood to be cognitively penetrable by theories.[19] The divergence between Fodor and Churchland on this issue is significant for the investigation of the effect of learning on perception.

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Narmour acknowledges the importance of Fodor's model of the mind for his theory:

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[18] Jerry A. Fodor, "Appendix: A Reply to Churchland's 'Perceptual Plasticity and Theoretical Neutrality,'" in *A Theory of Content and Other Essays* (Cambridge: MIT Press, 1990), 262. See also Jerry A. Fodor, "Observation Reconsidered," in *Philosophy of Science* 51 (1984): 23–43. Reprinted in *A Theory of Content,* 231–51.

[19] Churchland, "Perceptual Plasticity and Theoretical Neutrality: A Reply to Jerry Fodor," *Philosophy of Science* 55 (1988), 178–79, and Fodor, "Appendix," *A Theory of Content,* 253–63. On functionalism, see Churchland, *Matter and Consciousness,* 43–49.

> The implication-realization model expostulated here . . . hypothesizes simultaneous top-down and bottom-up input systems as theoretical constants. Following philosophical and psychological arguments made by Fodor, . . . the model conceives such perceptual-cognitive systems as only partly inter-connected and thus governed by rules that are ineliminably independent.[20]

In accordance with the functionalist position as interpreted by Fodor, Narmour postulates the existence of certain rules for melodic connection whose hard-wiring in the brain makes it unnecessary to engage in an infinitely regressive set of questions about how their application might be accomplished. As the basic functions of a modular input system, these rules represent the bottom line beyond which another level of cognitive activity need not be sought. Following Fodor's description of perceptual input, they are seen as insusceptible to modification by acquired knowledge and automatically operative in the mind of any person, irrespective of their cultural origin or conditioning. By contrast, a parallelism with Fodor's central processes allows "top-down" cognition to be informed by a knowledge of stylistic features, tonality, or any other culturally determined association. For example, the automatic processing of two successive pitches would include a classification of their identity within a pitch collection, their relative distance from one another, and the direction of motion between them, each of these classifications generating a separate implication. A knowledge of tonal function would not, however, become relevant to perceptual processing until after this initial stage, and the application of voice-leading rules could not then entirely override the implications generated at a lower perceptual level.[21]

In order to assess the impact of Fodor's model on Narmour's thought, the development of his theory needs to be considered. In earlier versions of the implication-realization theory Narmour put forward some central ideas that he has sought more recently to corroborate by reference to Fodor's modularity thesis. The separation between bottom-up and top-down processes is foreshadowed in his discussion of the relationship between melody and tonal functions. Narmour postulates the independence of melodic implication from voice-leading by observing pitch connections that are not determined by their higher-level tonal function.[22] A second

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[20] Narmour, "Top-Down and Bottom-Up Systems," 3.

[21] For summary of bottom-up and top-down functions see Narmour, *Basic Melodic Structures*, 70, 73–94 (on parameters for pitch analysis), and Naomi Cumming, "Eugene Narmour's Theory of Melody," *Music Analysis*, 11, nos. 2–3 (1992), 360.

[22] Eugene Narmour, *Beyond Schenkerism: The Need for Alternatives in Music Analysis* (Chicago: University of Chicago Press, 1977), 72, ex. 21.

central thesis, concerning the necessity for parametric separation in analysis, is developed in his discussion of hierarchy. Standard parametric distinctions between harmony, melody and rhythm are augmented by distinctions within the domain of pitch, between different closural principles.[23] Rather than substantially altering these two central ideas, the adoption of the modularity thesis is taken to corroborate them by offering an account of how they might relate to psychological reality. The separate parameters can be seen as autonomous input modules, and tonality as a central system to which they are impervious. The difficulty in developing this interpretation of the modularity thesis is that it requires a description of connective processes that are entirely inaccessible to consciousness and insusceptible to intuitive confirmation because they occur at a level prior to the "output of the input system." In reality, a music analyst must work with perceptions as they are presented to consciousness. To carry through the project of modelling more primitive pitch connections, Narmour must then find a way of avoiding the intrusion of the unwanted theories that inevitably prejudice intuitions of structure. To do so he postulates a series of conditions that are to be rigidly applied, without reference to the analyst's intuitions: the existence of various scaled systems of measurement, and a two-fold notion of implicative relationships based on a judgment of "sameness" or "difference." The resulting rules are necessarily non-intuitive in their exclusion of the most fundamental concepts acquired on exposure to a style.

Narmour's separation of tonal functions from melodic connections is not the only way of reading the implications of Fodor's model. A listener can no more help hearing the elements of a tonal phrase as tonally contextualized than he can help hearing a sentence in his own language as a sentence, rather than as an abstract pattern of sounds. It is significant that when Fodor mentions this ability to recognize sentences, he identifies it as a function of linguistic "input," showing his dependence on Chomsky's idea that the capacity to understand language is in some way innate.[24] In other words, an understanding of syntax is in no way placed in the "central system" but in the input module for language. Fodor says that "the psychological mechanisms that can plausibly be thought of as functioning

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[23] See Eugene Narmour, "Some Major Theoretical Problems Concerning the Concept of Hierarchy in Tonal Music," *Music Perception* 1, no. 2 (1983–84): 157 (on parametric separation); 158–59 (on determinants of melodic closure).

[24] Chomsky's postulation of a "universal grammar" implies that there are innate or "hard-wired" limitations on the possible forms of grammar. See Noam Chomsky, *Aspects of the Theory of Syntax* (Cambridge: MIT Press, 1965), 6. On Fodor's use of Chomsky, see Hilary Putnam, *Representation and Reality* (Cambridge: MIT Press, 1988), 4–7.

to provide information about the distal environment in a format appropriate for central processing . . . would seem to be the perceptual systems *plus language.*"[25] He does not, however, provide for the identification of anything equivalent to language in other cognitive domains. Equating the function of tonality with that of verbal syntax would demand that a culturally specific (hence learned) form of organization influence the processing of musical pitches at a primitive level, and this would deny the informational encapsulation of perceptual input. Despite this, it seems that the cognition of tonal syntax is compared more fruitfully to the cognition of linguistic syntax, than it is to the understanding of the visual phenomena (illusions) that Fodor uses to substantiate his treatment of the other senses.

The relationship of *GTTM* to Fodor's perceptual ideas is influenced by Lerdahl and Jackendoff's appropriation of cross-disciplinary influences contrary to those used by Narmour. The collaboration between Jackendoff, a linguist by training, and Lerdahl, a music theorist and composer, enabled a maximal exploitation of the analogy between linguistic and musical understanding. Their approach to intuition is accordingly appropriated from linguistic theory, where the implicit knowledge of a competent speaker is modelled by a "formal system of principles or rules called a *grammar.*"[26] Lerdahl and Jackendoff presuppose that musical perceptions are informed by a tacitly acquired theory. A capacity for learning musical rules parallels the innate capacity for acquiring language, and certain predispositions, such as seeking to organize information hierarchically, are identified in both of these domains. In Jackendoff's view, access to the rules of a language or musical style must be gained by analyzing structures directly, as they are revealed in intuitively-made distinctions. The processes of linguistic or musical comprehension are recognized as inaccessible to introspection, but they can be extrapolated from consciously accessible structures. Jackendoff explains this point further:

> Computational activity . . . is *always* unconscious: what is revealed to consciousness is the *consequence* of processing, namely an information structure. This means that if there is to be a relation between computation and awareness, it will be most directly revealed by a theory of structure rather than by a theory of processing."[27]

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[25] Fodor, *The Modularity of Mind,* 44.

[26] Lerdahl and Jackendoff, *GTTM,* 5.

[27] Jackendoff, *Consciousness and the Computational Mind,* 45. Jackendoff here paraphrases Karl Lashley, "Cerebral Organization of Behavior," in *The Brain and Human Behavior,* ed. H. Solomon, S. Cobb, and W. Penfield (Baltimore: Williams and Wilkins, 1956), 4.

The importance of this stance cannot be overestimated. It not only accords a central position to the musician's intuitive judgments, as they are formalized by application of ideas from Gestalt theory and linguistics, but accepts the content identified in this way as a reliable account of the final state of perceptual processing. This position does not change when Jackendoff gives a processive narrative of how a piece of music is understood, basing his account on *GTTM*.[28] When it is realized that a story has now been told of what input mechanisms do, without any references to perceptual items that are inaccessible to consciousness, the degree of difference in approach to perception between Lerdahl and Jackendoff's theory and the Implication-Realization theory becomes clear.

Jackendoff and Narmour differ most pointedly on the question of whether it is possible to extrapolate an account of pitch processing from intuitively accessible structures. Jackendoff's refinement of the modularity thesis is based on the assumption that a knowledge of perceptual processes can *only* be gained by analyzing "what is revealed to consciousness." He assumes that each of the four analytical dimensions developed in *GTTM* (meter, grouping structure, time-span reduction and prolongational reduction) represents a distinct aspect of musical structure, and extrapolates from them the division of submodules within the musical faculty. Instead of Fodor's large modules, which are based on a whole faculty (such as music or language), Jackendoff suggests smaller modular operations in this and other domains. Fodor's conception of modularity is in practice too coarse for Narmour also, but he does not make his refinement of it explicit. Instead, he offers definitions of three parameters for pitch analysis (specific pitch, intervallic distance, direction) and accords each of these parameters the characteristics of a perceptual module. Narmour effectively extrapolates from an analysis of musical parameters to form an account of modular subdivisions in perceptual input, accepting the principles of modularity described by Fodor. He does not, however, enter into direct discussion of the means for establishing a correlation between parameters and modularity in cognition, nor does he imply that the individual parameters of pitch processing are isolated in consciously accessible experience. His movement from music theory to an implicit refinement of Fodor's conception of modularity is similar to that exercised by Jackendoff. The point of difference between them is in how to identify a theoretical category as a suitable candidate for modular functioning. This difference centers most fundamentally on the means of access to mental processes—on what significance can be attributed to a listener's reports of her own

[28] Ray Jackendoff, "Musical Parsing and Musical Affect," *Music Perception* 9, no. 2 (1991): 199–229.

musical experience, as found in her assessment of intuitively immediate structures.

This difference is best illustrated in the treatment of tonality. Narmour dismisses intuitive immediacy as irrelevant to unconscious processing. He suggests that if input modules are rigid in their application of rules, even tonal relationships that are intuitively plausible have to be excluded from this level, because they cannot be rigidly formalized into a set of predictive hypotheses. Tonal implications are placed in the "top-down" category, equivalent to Fodor's "central system," because they fail to comply with this demand.[29] The top-down level itself is not formalized, because it is seen as having the unlimited possibilities for informational interaction that Fodor ascribes to his central systems. By contrast, Jackendoff emphasizes structures that are intuitively immediate, or accessible to consciousness, and relies on *GTTM*'s reductive categories as the source of information about tonal processing. In his interpretation, the tonal structures identified by time-span and prolongational reduction form the "output of the input system" for pitch. There is thus a significant difference between the two theories on the level at which tonality is mentally represented.

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Lerdahl and Jackendoff's attitude to the formalization of intuitions is clarified by their reaction to the work of Heinrich Schenker, whose influence they acknowledge. They justify a need for the formalization of rules by pointing out that intuitions of rhythmic and metric influence may be tacitly present in a Schenkerian analysis of tonal structure:

> Schenkerian reductions rely heavily on a tacit knowledge of these areas [rhythm and grouping]. Indeed Schenkerian analysis is workable at all only because the analyst himself supplies (consciously or unconsciously) the requisite rhythmic intuitions. A formal cognitive theory must make this knowledge manifest through a set of explicit rules. [30]

The question is thus raised as to whether the insights offered by Schenkerian theory can be understood from the position of a contemporary understanding of the mind, without modifying the theory.[31] Schenker himself

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[29] Narmour, *Basic Melodic Structures*, 15–19.

[30] Lerdahl and Jackendoff, *GTTM*, 119.

[31] One way a functionalist framework can provide a perspective on the perceptual content of Schenkerian analyses has been explored by Mark DeBellis, who does not find it necessary to seek a further formalization of Schenker's rules, in "The Representational Content of Musical Experience," *Philosophy and Phenomenological Research* 60, no. 2 (1991): 313, and "Conceptions of Musical Structure," *Midwest Studies in Philosophy* 16 (1991): 378–93.

clearly did not see a need for the rigid formalization of rules in order to convey his intuitions of tonal structure, and application of the theory consequently remains an art as well as a science. A further explanation of "musical intuition" is still needed in dealing with Schenkerian practice. It is beyond the scope of this paper to answer this need. A brief consideration of the theory in relation to Fodor's model of the mind can, however, show that one issue of structural hearing remains out of reach of this philosophy of mind, namely, the question of how we account for changes in the perception of structure upon acquisition of the theory.

In teaching Schenkerian analysis, a belief is typically adopted in the responsiveness of some perceptions to the influence of learning, or persuasion by the interpreted experience of others.[32] Learning Schenkerian theory may actually change the way the music seems for a student who has formerly been exposed to only motivic analysis and the fundamentals of harmony and counterpoint. This kind of perceptual change does not sit comfortably with Fodor's view of perceptual input. If there are changes in the appearance of the perceptual object, his model dictates that they must occur at the level of cognitive processing, where perceptual input is tested against material in memory, which has access to an unlimited range of information. There is, however, no reason to believe that the responsiveness of tonal hearing to specific training entails an assertion that tonal discriminations are cognitively penetrable by *any* kind of information at all, as Fodor's model would dictate. A bipartite division of input from "central processing" is inadequate to account for the influence of stylistic knowledge on pitch-connection. Jackendoff's view that modularity may exist in more central cognitive processes is more persuasive in explaining the penetration of pitch perception by tonal information.[33]

Recognizing a diachronic change in perception seems to imply an acceptance that perceptions are theory-laden, but this conclusion cannot be adopted without reviewing how the word "perception" is to be understood. The issue remains unresolved as to whether a phenomenological change in the way things "seem" actually entails a cognitive penetration of perceptual input in any way that Fodor would recognize. An observation made by Leonard Meyer captures the conundrum well. Before knowing the title of Peter Bruegel's *Icarus,* the small mark in the center of the canvas seems of little significance. After reading the title, the entire ap-

[32] I reflect on my observation of the classes of David Gagné (Queens College, City University of New York) and Charles Burkhart (City University of New York, Graduate Center) in 1992–93.

[33] Jackendoff, *Consciousness and the Computational Mind,* 262.

pearance of the painting changes.[34] Has perception been penetrated by knowledge? Fodor would say "no"—knowledge of mythology cannot alter the processing of color and shape. Hearing a progression as a linear descent changes the way it seems, but has auditory processing been changed? Again, Fodor's view would make it impenetrable to learning.

Fodor's way of modelling the mind in two divisions (input and central processing) has received strong criticism from Daniel Dennett, who views it as an exemplar of the false understanding of consciousness found in Cartesian materialism: "the view you arrive at when you discard Descartes's dualism but fail to discard the imagery of a central (but material) Theater where it 'all comes together.'"[35] Dennett gives more credence than does Fodor to the plasticity of perceptual systems (that is, their amenability to learning).[36] Despite marked differences from Fodor in dealing with conscious experience, Dennett's theory does, however, support a distinction between the way things "seem" and the putative facts of how perceptual and cognitive processes work. In the views of both philosophers, all that can be said, with certainty, of a diachronic change in perception is that "the way things seem" reflects the susceptibility of perceptual phenomenology to learning. If what is most interesting about the acquisition of Schenkerian theory is the possibility of phenomenological change in the way that music seems to the listener—a change that is accessible to consciousness and able to be reported—its explanation requires a theory that gives a more central place to "how things seem." Accepting the modularity of input systems does not preclude the recognition of learning as an influence on how input is interpreted at a higher level. At this level, credibility must be given to the analyst's reports of her own perceptions, and judgment reserved on their connection to inaccessible cognitive processes. Dennett's "heterophenomenological method" at least provides working space to describe this phenomenological change.[37]

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Analysis at the bottom-up level of Narmour's theory is necessarily depersonalized, because no reference to introspectible material can be of any help in describing unconscious processing. Exclusion of self-reference

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[34] Personal communication. Quoted with Leonard Meyer's permission.

[35] Dennett, *Consciousness Explained,* 107, 260 (on Fodor).

[36] Dennett, "The Evolution of Consciousness (chap. 7), *Consciousness Explained.*" See also Churchland, "Perceptual Plasticity and Theoretical Neutrality," 179, 184.

[37] Churchland's view of the cognitive penetrability of perceptions would support the idea that input processes themselves are altered by learning the theory ("Perceptual Plasticity and Theoretical Neutrality," 186).

is more than a verbal convenience at this primitive level of cognition. It is essential to Narmour's understanding of bottom-up processing that it should be assessed independently of culturally driven intuitions of structure. An explanatory strategy of isolating the lowest level of perceptual input does not, however, prevent Narmour from making an aesthetic point. The sequence of his publications shows an aesthetically subversive motivation to undermine the hegemony of Schenkerian interpretations as a way of accounting for the "surface" of tonal music. His methodology is designed to show that intuitive reports of what we perceive are so (mis)informed by theory that we end up giving accounts distorting the reality of music as cognized. In his view, the perceptual content of musical experience cannot be assimilated to any received tonal theory, no matter how intuitive the judgments based on a knowledge of tonality may seem.

Because Lerdahl and Jackendoff give centrality to intuitions of structure, including those of tonal syntax, their language can be "subpersonal" only in eliding direct self-reference. In *GTTM* the authors draw on musical intuitions and formalized them into the rules of the theory. As a result, analyses determined by these rules are treated as giving an account of the content of perceptions. This view of the relationship between musical structure and the posited "content" of mental representations reflects a fundamental hypothesis of functionalism. The "hypothesis of computational sufficiency" expresses a belief that "every phenomenological distinction is caused by/supported by/projected from a corresponding computational distinction."[38] That is, there are no events in consciousness that cannot be explained as the outcome of computational procedures in the mind. In musical terms, this belief entails that the content of any musical experience consist in a mental representation of the kinds of relationships captured by the rules of *GTTM*. An introspective focusing on mental states is uncalled for in this view, given that there is nothing about perceptual experience that fails to be captured by an account of its structural content. A subpersonal level of discourse is justified, because exclusion of the subject does not threaten fidelity to experience at the level addressed by the theory. It does, however, remain the responsibility of the interpreter to account for choices made in application of the "preference" rules.

An equation between analyzed structure and perceptual content can be accepted in principle, so that discourse remains at a subpersonal level in sections of an analytic text. Interpretive choices are nonetheless evident in

[38] Jackendoff uses the multiple choice to hedge his bets on whether the "identity theory" or the "epiphenomenal" answer to the mind-brain problem is correct (Jackendoff, *Consciousness and the Computational Mind*, 276).

developing, appropriating and applying any theory. The adoption of a cognitive music theory involves choosing an interpretive approach that will reflect a specific philosophy of the mind. Functionalist philosophy, influenced by Putnam's analogy of the mind with a machine, has drawn heavily on the computer as a way of understanding cognitive functions, and Fodor's model is just one way of realizing the explanatory potential of this idea. This paper has shown that Fodor's modularity thesis is capable of conflicting applications to music theory. Of particular concern is the question of how "bottom-up" and "top-down" levels of processing can be demarcated from one another, because this has direct implications for the treatment of tonality.

Other philosophical approaches to the mind (such as Dennett's theory of consciousness) do not require such a strict bi-polar division, and judgment on the adequacy of Fodor's model must itself be suspended until these positions have been considered.[39]

Computational metaphors are now as powerful and prevalent as those of organicism in the nineteenth-century. Recognizing these metaphors does not discount the value of a theory. Making their influence explicit is, however, useful in rendering visible a hidden interpretive framework. Behind the objective stance of any author there is an interpretive theory, whether articulate or not. In exercizing interpretive choice, the music analyst will be assisted by an awareness of both the potential and the limitations of functionalism and its computational metaphors, as they are appropriated in music theories. She will then have the freedom to move between different levels of perceptual engagement and discourse, drawing on the impersonal to explain cognitive functions that are inaccessible to consciousness and the subpersonal to describe intuitively immediate structures, but also leaving the way open to explore her position as subject in relation to the work.

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[39] Putnam now questions the adequacy of his earlier views on the explanatory power of functionalism in philosophy, as well as their development by Fodor. See Hilary Putnam, *Representation and Reality*, chap. 1, "Meaning and Mentalism" (on Fodor); chap. 5, "Why Functionalism Didn't Work." An account of the limitations of computer models is given by John R. Searle, "Minds, Brains, and Programs," with commentary by Jerry A. Fodor, and Searle's response, in *The Nature of Mind*, ed. David M. Rosenthal (New York: Oxford University Press, 1991), 509–26.

reviews

Douglas Jarman. *Alban Berg: "Lulu."* Cambridge Opera Handbooks. Cambridge and New York: Cambridge University Press, 1991. xiii, 146 pp.

Especially since the premiere of the complete three-act version of Alban Berg's *Lulu* (Paris, 1979), this provocative and enigmatic opera has generated a variety of analytical and critical studies, from short articles to entire volumes, in several languages. It is certain that no other operatic work, not even Wagner's *Ring,* had been so eagerly awaited to be heard in its entirety by so large an audience for so long a time as Berg's second opera, which was fully composed but not completely written out in orchestral score at the time of his death in 1935. What has happened to *Lulu* in the more than half-century since then is a fascinating if disheartening story.

The incomplete *Lulu* had only one production (Zurich, 1937) before war and the pall of Nazism spread over Europe, foreclosing the performance of nearly all of Berg's music for more than a decade. When the opera was eventually produced again (Venice, 1949), the Zurich makeshift of Act III became established as the *de facto* authoritative version: those parts of Act III that Berg had orchestrated as part of his *Symphonic Pieces from "Lulu"* in 1934, fitted with a rudimentary staging that bore only the crudest relationship to Berg's libretto. Shortly after Berg's death, his widow Helene asked Arnold Schoenberg to complete the orchestral score from the surviving *Particell* and drafts, but he declined; the only other one of Berg's close friends whom she might understandably have asked to complete the score was Anton Webern. There is no evidence that she actually did so, and in any case Webern died only a few months after the end of the war.

By 1949 Helene Berg's attitude about the opera had undergone a change. Despite the interest of many musicians and the urging of her advisor, Berg's pupil T. W. Adorno, she came to insist that no attempt should be made to complete the orchestral score and that Berg's documents and working materials should be barred from scrutiny; these wishes she maintained until her death, and they were expressed in the terms of her will. Universal Edition, however, which had contracted with Berg for a three-act opera and was determined to see *Lulu* restored, commissioned the Austrian composer and conductor Friedrich Cerha in 1962 to prepare a performable version of the Act III score in secrecy, so that Helene Berg's opposition might not be aroused. After her death in 1976, as Cerha's twelve-year involvement with the third-act score became known, it was

apparent that a complete opera, representing as accurately as possible Berg's known intentions, would eventually be performed.

Douglas Jarman, Lecturer at the Royal Northern College of Music in Manchester, brings to his book on *Lulu* a profound and meticulous knowledge of Berg's works. Jarman's thorough analytical comprehension of the published portions of *Lulu* was well known even before the 1979 Paris premiere, and his book *The Music of Alban Berg,* published the same year, still remains the most important analytical survey of all of Berg's major works.[1] The Berg Archive at the Österreichische Nationalbibliothek became accessible for research in the following year, 1980.

Jarman's *Lulu,* a companion volume to his 1989 book on *Wozzeck* in the same series, is a welcome contribution. Briefer than his own and Perle's earlier studies of *Wozzeck* and *Lulu,*[2] it is just as broad in scope, if far less technical. It includes much illuminating detail that will benefit not only the average opera-goer but also the professional musician seeking greater familiarity with a magnificent and difficult work.

Jarman's initial chapters deal with Berg's early interest in Frank Wedekind's Lulu plays, which had only recently been published when Berg first became acquainted with them and were still regarded as the *ne plus ultra* of radical and even immoral dramaturgy. It was not until 1928, three years after the success of *Wozzeck,* that Berg gave up his plan for writing an opera on Gerhart Hauptmann's *Und Pippa tanzt* to begin working on *Lulu.* The chapter on Wedekind and on Berg's careful adaptation of the plays is especially detailed, with not only an absorbing overview of the contemporary German theater but also a good account of the difficulties Berg faced in cutting the two lengthy and wordy pieces for use as a libretto. Chapter Three contains a synopsis of the action, together with Berg's meticulous specifications of the formal design. As Perle first demonstrated, the formal design, if abstract, is more precisely detailed and more closely correlated with the stage action than in any other opera in history, even Berg's own precedent-breaking *Wozzeck.*[3]

"To turn to the history of *Lulu* in the fifty years following the composer's death is to plunge into a series of events almost as convoluted and as bizarre as those of the plot of the opera itself," Jarman writes at the beginning of Chapter Four, "Posthumous History" (p. 39). This is almost

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[1] Douglas Jarman, *The Music of Alban Berg* (Berkeley: University of California, 1979).

[2] George Perle, *The Operas of Alban Berg:* vol. 1, *Wozzeck* (Berkeley: University of California Press, 1980) and vol. 2, *Lulu* (1985).

[3] George Perle, "*Lulu:* The Formal Design," *Journal of the American Musicological Society* 17 (1964): 179–92.

an understatement. The principal events were, of course, the suppression of the Act III materials for more than four decades, Cerha's secret preparation of the full score of Act III and the eventual validation and vindication of his version, and the triumphant success of Berg's complete opera in a number of productions since 1979. The Paris production, directed by Pierre Boulez and subsequently recorded, was recognized everywhere as a first-class musical achievement, but Patrice Chéreau's deconstructionist staging (its wilful distortions included changing the final setting from a London garret to a public toilet in the Paris Métro, and substituting Lulu's first client, the silent professor, with a dwarf), aroused a fury of indignation that has hardly abated today. The 1988 Brussels production was, if anything, even more absurdly distortive of Berg's intentions. But the opera has had some excellent productions, too, such as the American three-act premiere (Santa Fe, 1979) and the Metropolitan Opera production of 1980–81, in which every effort was made to highlight Berg's precise integration of stage action and musical detail with all necessary exactitude.

Chapters 5–7 deal with the music of *Lulu*. In Chapter Five Jarman discusses the huge sonata form divided between the second and third scenes of Act I and the variations in Act III. In Chapter Six he discusses thematic issues, especially in relation to the different twelve-tone series identified with the various personages and with rhythm and harmony and their serial basis. Chapter Seven is a detailed analysis of the end of the opera. Jarman demonstrates with admirable clarity how Berg's sense of musical structure and drama reinforce each other in this gripping scene. I noticed one error in his analysis of the sustained chord supporting Lulu's "No, no—no, no!" just before the *Todesschrei*. It is not a diminished seventh chord but a half-diminished seventh chord (G♯–D–F♯–B); in this spacing it is a transposition of the *Tristan* chord, already heard untransposed in Act II at the moment where Alwa tells Lulu he loves her. (Berg also used the chord in the *Lyric Suite*, at the very end of the second movement and in the famous passage in the middle of the sixth movement.)

Chapter Eight is a penetrating discussion of the moral and psychological significance of the opera. According to Jarman, Berg does not try to evade the paradoxical absurdity of Wedekind's drama, with its retinue of alternately stereotypical and freak characters and its seemingly pointlessly contrived situations. Instead, he strips them down to their motivational essentials, using the failures and hypocrisies of the late nineteenth-century Viennese haut-monde as a stark background for the human contradictions of the central characters. Lulu herself is simultaneously the most transcendent and most enigmatic of these, and much of the dramatic development revolves around her in spite of her will and her own actions. Her character

is measured by how others perceive her, above all her parade of lovers, among whom we must include Berg the composer, whose most profoundly affecting music in the opera is always associated with Lulu. Jarman writes about the end of the opera:

> The difference between the luxuriant, elegiac music and the events on stage produces an emotional disorientation that is deeply disturbing; it can also, if we respond to the music and are prepared to give these characters the understanding and compassion that the humanity of Berg's score demands, be humanly restorative. . . . Despite, or perhaps because of, its absurdities *Lulu* touches not on the unreal but on something that is too real and too close for us to feel comfortable or complacent about the work. In the end we must either reject the piece outright or we must face those aspects of ourselves to which we would rather not admit but which this extraordinary opera forces us to confront. (pp. 100–01)

Five appendices contain valuable documents not easily found elsewhere: translations of Karl Kraus's review of the 1905 Vienna production of Wedekind's *Die Büchse der Pandora,* the first of the Lulu plays, and the obscenity opinion handed down by the Royal District Court of Berlin in the same year, and Wedekind's rebuttal; Perle's 1964 summary of his examination of Berg's manuscript materials; and Jarman's own article on the autograph manuscript of the *Symphonic Pieces from "Lulu,"* a score which was actually not lost, as it had long been thought to be.

Like his handbook on *Wozzeck,* Jarman's *Lulu* companion makes for an excellent practical guidebook for those who want to get acquainted with a unique musical masterpiece and a monument of our own time.

—Mark DeVoto

Ockeghem's Missa cuiusvis toni: in its original notation and edited in all the modes; with an introduction by George Houle. Publications of the Early Music Institute, ed. Thomas Binkley. Bloomington and Indianapolis: Indiana University Press, 1992. Paperback: 145 pages; soprano, alto, tenor and bass part books (30, 30, 25 and 26 pages). $35.00.

In his *Dodecachordon* (1547) Heinrich Glareanus coined the term "catholicon" for pieces that could be performed in different modes. Johannes Ockeghem wrote two such clefless compositions, the *Missa Cuiusvis toni* ("Mass in any mode you wish") and the three-from-one canonic chanson "Prenez sur moi."[1] The Mass was composed by 1476–77, when it was copied at St. Donatien in Bruges.[2] Three complete sources survive: the Chigi Codex (Vatican City, Biblioteca Apostolica Vaticana, *MS Chigi C VIII 234*); Vatican City, Capella Sistina 35, the only surviving source copied during Ockeghem's lifetime; and Petreius, *Liber quindecim missarum* (Nuremberg, 1539).[3]

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[1] Richard Wexler points out that the final cadence of *Prenez sur moi* "excludes the possibility of performing it in the Phrygian mode" so that "the piece cannot be a *catholicon* in the full sense evidently intended by Glareanus" (Johannes Ockeghem, *Collected Works* [hereafter *OCW*] 3, *Motets and Chansons,* Richard Wexler, ed., with Dragan Plamenac [Philadelphia: American Musicological Society, 1992], lxxxix). The most comprehensive study of the chanson is Leeman L. Perkins, "Ockeghem's *Prenez sur moi:* Reflections on Canons, Catholica, and Solmization," *Musica Disciplina* 44 (1990), 119–83; see also David Fallows, "*Prenez sur moy:* Okeghem's Tonal Pun," *Plainsong and Medieval Music* 1, no. 1 (1992): 63–75.

[2] According to Alfons Dewitte, a fragment (fols. 14*v*–15*v*) from a register now in the Diocesan Archive, Bruges, lists payments from the workshop of the church of St. Donatien to music copyists between 24 June 1475 and 23 June 1476, including "Martino Colins, pro missa de Mimi" (fol. 14*v*) and "Martino Colins, pro scriptura Patrem de Vilage, de Okeghem" (fol. 15*v*). Dewitte adds that the Missa Cuiusvis Toni was "copied in St. Donatien by M. Colins 1476–1477, but without indication that it is a mass by Ockeghem" (fol. 15) (trans. by Jan Gratama). See Alfons Dewitte, catalog item 24 in *Johannes Ockeghem en zijn Tijd: Tentoonstelling gehouden in het Stadhuis te Dendermonde 14 november–6 december 1970* [Johannes Ockeghem and his time: exhibition held in the town hall of Dendermonde] (Dendermonde, Belgium: Oudheidkundige Kring van het Land van Dendermonde, 1970), 117–18.

[3] David Fallows, ed., *Johannes Ockeghem. Missa Cuiusvis toni for four voices* (hereafter *MCt*). *Version in the Phrygian mode. Mapa Mundi Renaissance Performing Scores,* Ser. B, No. 17 (London: Vanderbeek & Imrie, 1989), 2. My thanks to Dr. Fallows for a copy of his edition. The score is currently available from Martyn Imrie, 15 Marvig, Lochs, Isle of Lewis PA86 9QP, Scotland, at £4.30.

In these sources, signs resembling stylized question marks show the location of the modal final at the beginning of each staff. A preliminary step in deriving different modal versions from this notation is to determine the range of the vocal parts for each mode. The subsequent task of working out the interval structure of each voice is complicated by the need to avoid prominent melodic tritones, adjust penultimate intervals at cadences, and correct occasional dissonant intervals between voices. In his new edition George Houle offers four distinct modal versions and provides a valuable elucidation of their derivation in terms of solmization theory.

The issue of range has led some modern scholars to discuss the realization of the *Missa Cuiusvis toni* by means of different clef combinations.[4] This method does not, however, allow Phrygian and Mixolydian versions to be read in their natural positions on e and g without octave transposition. In the *Collected Works* edition Dragan Plamenac provided four clef combinations to produce Dorian on d; Lydian on f, with a parenthetical one-flat signature; and, with signatures of one flat, Phrygian on a and Mixolydian on c.[5] This puts the Mixolydian version in an unrealistically high range, with the superius reaching c^3, two ledger lines above the treble staff.

The modal finals of Houle's versions are a for Phrygian, f for Lydian, and g for both Dorian and Mixolydian. Houle argues that a few flats and clefs in the Chigi Codex establish the mode as Phrygian and "specify a pitch on a, transposed up a fourth from e" (p. 12). Earlier editors differ: Plamenac reads the signs as "somewhat oddly shaped" baritone and bass clefs, the flats indicating a resolution in the Dorian mode, whereas David Fallows calls them "inconsistencies" that "tell us nothing about the work, merely about the copyists of the Chigi Codex."[6] Houle otherwise avoids the vexing question of pitch level, suggesting perspicaciously that solmization may make clefs redundant (p. 11). (Leeman Perkins points out that fifteenth-century singers may have used the location of the final rather than simply clef signs to guide their solmization of the notes as

[4] Joseph S. Levitan, "Ockeghem's Clefless Compositions," *The Musical Quarterly* 33 (1937): 440–64; Carl Dahlhaus, "Miszellen zu einigen niederländischen Messen," *Kirchenmusikalisches Jahrbuch* 63–64 (1979–80): 1–7.

[5] Dragan Plamenac, ed., *OCW* 1. *Masses I–VIII,* 2nd, corrected ed. ([New York:] American Musicological Society, 1959), 44.

[6] Plamenac, *OCW* 1, xxviii, and Fallows, *MCt,* 2. The signs appear in the tenor and bass parts of Chigi, fol. 102, corresponding to m. 94 of the Credo in both the Plamenac and Houle editions.

written.[7]) Indeed, in working out complete realizations in each mode Houle has treated the *Missa Cuiusvis toni* as a virtuoso exercise in the application of hexachordal solmization.

Houle's account of solmization theory as applied to each modal version of the Mass is admirably clear and detailed. For the first section of the *Sanctus* he gives a complete solmization in each of the four modes, including two possible realizations in Lydian. Houle points out that many of his decisions about pitch inflection were guided by Karol Berger's work on *musica ficta*.[8] The Mass confirms Berger's conclusions about the use of sharps or naturals (rather than flats only, as in sixteenth-century practice) to correct harmonic conflicts. Houle also argues that only one flat beyond the key signature should be added to avoid *mi contra fa*, making "chains of flats in order to correct successive conflicts impossible."[9] His application of these criteria in the *Sanctus* solmizations is generally convincing.

Houle's main volume comprises an extensive introduction and scored transcriptions in the Phrygian, Mixolydian, Lydian and Dorian modes. The transcriptions are in modern clefs, with alto (contratenor in the sources) and tenor voices in transposing treble clef. Except for a single parenthetical indication in the Qui venit, voice names do not appear at the beginning of movements in the score. Houle uses unreduced note values, and mensuration signs rather than modern meter signatures. Vertical dashes through the top line of each staff indicate metric divisions and obviate the use of ties. Houle discusses tempo in terms of a "steady" *tactus* of "somewhere between 60 and 80" beats per minute, specifying that breves under *tempus imperfectum diminutum* (described as duple proportion) are equivalent to semibreves under undiminished *tempus perfectum* or *tempus imperfectum* (p. 11).[10] Editorial accidentals appear above the notes in the usual way, but Houle departs from standard editorial practice by placing square brackets over groups of notes in the transcription to indicate either ligatures or coloration, a confusing idiosyncrasy not explained in the introduction.

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[7] Leeman Perkins, "Modal Strategies in Okeghem's *Missa Cuiusvis Toni*," in *Music Theory and the Exploration of the Past*, ed. Christopher Hatch and David W. Bernstein (Chicago: University of Chicago Press, [forthcoming]), 79. My thanks to Professor Perkins for a copy of his essay.

[8] Houle, pp. 14–19, cites Karol Berger, *Musica ficta: Theories of accidental inflections in vocal polyphony from Marchetto da Padova to Gioseffo Zarlino* (Cambridge: Cambridge University Press, 1987), 60, 73–75, 76, 81, 82–83, 79, 95–107, 117, 119, and 121. Houle, p. 19n.59 refers to Berger, *Musica ficta*, 96, rather than 93, as printed.

[9] Houle, p. 15, citing Berger, *Musica ficta*, 121.

[10] Houle, p. 11. Fallows, *MCt*, 3, maintains that "there is no basis for the widespread belief that 15th-century performers kept to a single tempo throughout."

Edward Lowinsky once remarked that a modern edition should include enough information to make possible the reconstruction of its sources if they were to burn. This view is less apocalyptic than it sounds: according to Richard Wexler (personal communication) *Capella Sistina 35*, one of the two manuscript sources of the *Missa Cuiusvis toni*, has become unreadable in many places where the ink has corroded the paper. Although an exhaustive critical apparatus may not be appropriate for a performance edition, an editor can still provide basic information on sources and transcription procedures, as does David Fallows in his recent edition of the Mass.[11] Regrettably, Houle provides neither a description of the sources nor critical notes, but only states that the text underlay in the mensurally notated parts is based on the Chigi Codex (p. 1).

Yet the text underlay is virtually identical to that of Plamenac, who followed a peripheral source, the Munich University copy of Petreius, which includes handwritten corrections by Glareanus.[12] Whereas Plamenac put text not found in any source in italics, Houle prints all text in Roman type, enclosing some but not all of the editorial additions in parentheses. Houle's silence as to how he arrived at his texting (particularly that in parentheses) leaves one wondering whether his underlay is based directly on Glareanus's annotations or copied from Plamenac's edition.

Houle puts the notation of the Chigi choirbook into the partbook format of the 1539 print so that the Mass can be sung from its "original" notation. Such a daunting task will probably only be undertaken by scholars or specialized performers, who might prefer to use the published facsimile of Chigi,[13] for Houle's mensural parts contain unacknowledged editorial emendations as well as errors, listed below in the appendix.

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[11] Fallows, who bases his edition on the best single source, the Chigi Codex, emends eleven of its musical readings (listed in *MCt*, 3; note that *MCt*, 17, Sanctus, soprano, m. 10/2 reads a-flat^1 rather than c^2). On the other hand Plamenac conflated the three sources in *OCW* 1 (Fallows, *MCt*, 2).

[12] Plamenac, *OCW* 1: xxix. At the following places Houle has shifted a syllable by one note: Gloria: soprano, m. 7; tenor, mm. 57, 83; bass, m. 56. Credo: soprano, mm. 179–80; alto, m. 113; bass, mm. 10–11. Sanctus (Osanna): bass, mm. 40–41. Glareanus's suppression of the words "Deus Pater" in the Gloria is evident in performance, because tenors and basses begin a homorhythmic syllabic phrase with "Omnipotens Domine Fili" (Plamenac, *OCW* 1, 45, m. 18; Houle, *Mct* score, m. 18 on pp. 37, 65, 93, 121; corrected in Fallows, *MCt*, 6, m. 18). In the Credo, Glareanus deleted another reference to God the Father, changing "Qui cum Patre et Filio" to "et cum Filio" (mm. 124–26 in both Houle, *Mct* and Plamenac, *OCW* 1; corrected in Fallows *MCt*, 14, m. 79. Only "et Filio" appears in Chigi; for the other sources see Plamenac, *OCW* 1, xxvii, xxix–xxx).

[13] *Vatican City, Biblioteca Apostolica Vaticana, MS Chigi C VIII 234. Renaissance Music in Facsimile* 22 (New York: Garland, 1987), fols. 96v–106.

Though the mensural note-shapes and ligatures are clear, many dots of addition overstrike staff lines. The original semibreve and minim rests are anachronistically reproduced as whole and half rests positioned according to modern usage, rather than in the original groupings that may provide visual cues to the metrical position of notes, especially under ternary mensuration of the breve.[14] In addition to the mensural notation, each part book includes the individual vocal line in four transcriptions duplicating the modal versions in the score.

The uneven musical results of Houle's four transcriptions demonstrate how fiendishly difficult it is to formulate four audibly distinct modal versions of the Mass that conform to contemporaneous norms of dissonance treatment. Houle remarks that the Mass "can most easily be performed in the Phrygian and Mixolydian modes, it is more difficult to sing in the Lydian, and it is a serious test of any performer's solmization technique in the Dorian mode" (p. 7). Performers and audiences can certainly enjoy the almost Schubertian contrast between the pathetic Phrygian and the bright Mixolydian versions of the Mass. The brief Kyrie and the lyrical Agnus Dei (in which the modal final appears in the highest soprano register, prolonged by a ravishing 9–8 suspension) deserve inclusion in the standard choral repertoire.

A concern to preserve the identity of the modal species in each version, however, would require one to alter as few notes as possible in Dorian and Lydian, because adding two flats turns them into Phrygian and Mixolydian, respectively. But as Houle points out, those insisting on "pure" Dorian and Lydian versions must accept disconcerting musical results: "whatever choice the performer makes, unresolved dissonant conflicts must be tolerated in the Dorian mass" (p. 22); there are difficulties in Lydian as well. These two modal versions seem to embody an irreconcilable conflict between melodic and contrapuntal requirements, on the one hand, and fixed modal interval structures, on the other.[15] Yet to conclude that the Mass is necessarily musically unsatisfactory in these two modes would make the claim in its title seem like Henry Ford's offer to his customers of any color car they wanted as long as it was black. I suspect that stylistically successful realization of the Mass in Dorian and Lydian will require us to define mode in

[14] Edward Houghton, "Rhythm and Meter in 15th-Century Polyphony," *Journal of Music Theory* 18, no. 1 (1974): 190–212; see p. 201 for an example from the *Missa Cuiusvis toni.*

[15] Margaret Bent has explored this dichotomy in a provocative discussion of music by Willaert, Josquin, and Obrecht in "Diatonic *ficta*," *Early Music History* 4 (1984): 1–48. Her statement that "Glareanus's exhaustive modal designations, despite their illustration from actual music, take no account of the need to disturb the official modal interval structures for reasons of contrapuntal necessity" (pp. 45–46) surely applies here.

broader terms than interval species, and to accept that altering scale degrees does not necessarily change the mode.[16]

Leeman Perkins addresses the issue of modal definition with respect to those features of the Mass that may be considered apart from their functions in a polyphonic fabric. He proposes that Ockeghem's "compositional choices involving the range of individual voices, the articulation of structurally significant intervals in the melodic lines, the selection of pitches for internal cadences, and the use of figures calling for the introduction of accidentals were determined in large measure . . . so that an experienced listener would in fact perceive reasonably characteristic examples of any mode the performers wished to follow."[17] Perkins's observation that the greatest number of internal cadences occurs on the fourth degree above the modal final—a cadential goal most characteristic of the modal pairs on both E and G—confirms the privileged status of the Phrygian and Mixolydian versions.[18]

Perkins argues that altering an interval species did not necessarily compromise modal identity, citing "a fair number of compositions from the fifteenth and early sixteenth centuries with an A final designated as 'quarti toni'" by virtue of "the juxtaposition of E and A as the pivotal pitches for melodic and cadential organization . . . even though the B above the confinal A was generally sung as mi rather than fa."[19] Such flexibility also applies to the fourth degree of the fifth mode, which Houle tends to solmize as mi (B♮) where possible, outlining tritones at the beginning of his Lydian Kyrie and Sanctus. But the B♭ signatures in such Lydian works by Ockeghem as the *Missa Quinti toni*, the *Kyrie* of the *Requiem*, and the *Missa Prolationum* support singing the fourth degree as fa, B♭, as in Houle's alternative solution for the beginning of the Sanctus (p. 31).

Although the Plamenac edition with its comprehensive critical apparatus remains fundamental to the scholarly study of this Mass, Fallows's

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[16] Clemens Goldberg ("Cuiusvis Toni: Ansätze zur Analyze einer Messe Johannes Ockeghem," *Tijdschrift van de Vereniging voor Nederlanse Muziekgeschidenis* 42, no. 1 [1992], 3–35) writes, "Because of the structure of its voices, the Mass only functions in two modes." On the basis of the interchangeability in fifteenth-century contrapuntal theory of the two sizes of thirds and sixths above the modal final (minor in Phrygian, major in Mixolydian), Goldberg construes the two versions as "identical in their vertical exposition. In this respect, the name 'cuiusvis toni' may be taken literally in a surprising way" (p. 14). As an example of Renaissance *imitatio* he points out Josquin's citation of the opening of the Mass in the well-known *Deploration de Iohan. Okegehem*, "Nymphes de Bois" (p. 31).

[17] Perkins, "Modal Strategies," 75.

[18] Perkins, "Modal Strategies," 75–76.

[19] Perkins, "Modal Strategies," 76.

edition better serves the practical needs of performers while reflecting as faithfully as possible the primary single source of the music. The introduction to Houle's edition is a stimulating essay in Renaissance performance practice, and it would be captious to fault his attempt to realize four distinct modal versions of the *Missa Cuiusvis toni.* But in treating the Mass primarily as a problem in solmization, Houle dissociates performance practice from textual scholarship; neglecting the latter, he has given us a flawed edition of a fascinating work.

—*Michael Eckert*

Appendix

Ockeghem, Missa cuiusvis toni, ed. George Houle[20]

I. Editorial Emendations of the Chigi Codex in the Mensural Parts

Soprano

Credo: p. 4, Chigi has a *punctus divisionis* between mm. 177/3 and 178/1.

Alto

Credo: p. 3, m. 31/4 is a step lower in Chigi and CS 35 (all three modern editions give the higher note); the flat sign appears at the beginning of m. 94 rather than m. 95; p. 4, m. 163, Houle and Plamenac give dotted M/M/SM as in CS 35, whereas Fallows (*MCt,* p. 15, m. 98) has M/dotted M/SM, as in Chigi and Petreius; p. 5, m. 173/1, one step lower in Chigi and CS 35, consonant with the other voices (as in Fallows, *MCt,* p. 16, m. 103); Houle and Plamenac follow Petreius, resulting in a dissonant skip.

Sanctus (Qui venit): p. 6, mm. 13–14, Chigi reads (13) M/S/M (14) dotted SM/F/F/F/M/M, totaling one SM less than the value of two complete measures.[21]

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[20] The number following a slash gives the ordinal position of the note in the measure (counting rests) rather than the beat number. Measure numbers appear in the mensural parts only at the beginning of each staff, and may be most easily located by referring to the transcribed parts or scores. (Note that measure numbers start over in the Osanna, Benedictus, and Qui venit sections of the Sanctus.) Mensural note values are abbreviated L (longa), B (brevis), SB (semibrevis), M (minima), SM (semiminima), F (fusa). References to CS 35 and Petreius (1539[1]) come from Plamenac's editorial notes (*OCW* 1, xxvii–xxx) and have not been checked against the sources.

[21] Fallows (*MCt,* p. 21, m. 14/3) makes the most plausible correction here by dotting the M corresponding to Houle's m. 13/3. To do this in Houle's mensural part (Alto, p. 6, beginning with the sixth note on staff 4), dot the M at m. 13/3, change the M at m. 14/1 to a dotted SM, and delete the first of the four succeeding fusae. Houle's reading in m. 14 is identical to Plamenac's (*OCW* 1, p. 55, m. 100) except that that latter ties the initial M to the succeeding F. Plamenac's version is problematic since neither single notes worth five fusae nor ties occur in mensural notation.

Tenor

Gloria: p. 1, mm. 7/4–8/1 are contracted into a SB in Chigi; m. 13/5, mensural part as in Chigi but transcriptions a step higher (as in *OCW* 1, p. 45, m. 13/5).

Credo: p. 3, m. 107/2–3, two M's in Chigi rather than dotted M/SM, as in the other sources and all editions.

Osanna: p. 4, m. 8/2, one step lower in Chigi (and in Fallows, *MCt*, p. 19. m. 37/4).

Agnus: p. 5, mm. 8/3–9/2, ligature *c.o.p.*, half-colored; mm. 21–23/1, a four-note ligature concluding with the colored B (minor color).

Bass

Gloria: p. 1, mm. 58/3– 59/1, the repeated M's are contracted into a SB in Chigi and CS 35 (as in Fallows, *MCt*, p. 8, m. 45), and "nobis" is omitted in Chigi; m. 81/2, one step lower in Chigi (the other sources and all three modern editions give the higher note).

Credo: p. 2, m. 33/3, M rather than SM in Chigi and CS 35, without m. 33/4 (also in Fallows, *MCt*, p. 11. m. 33/3); p. 3, m. 106, the two pairs of repeated M's are contracted to two SB's in Chigi and CS 35, "finis" is omitted in Chigi.

Benedictus: p. 5, m. 25/2, colored SB (minor color).

II. Errata

A. Mensural Parts

Soprano

Gloria: p. 2, m. 32, diminution stroke missing from mensural signature; m. 44/1, dot missing.

Credo: p. 3, m. 16, L rest missing; m. 94, diminution stroke missing; p. 4, m. 108/2, dot missing; m. 108/3, SM rather than M; m. 109/1, SB rather than M; m. 151, "unam" should read "unum"; m. 178 is misnumbered 188.

Osanna: p. 5, m. 1 is misnumbered 34.

Alto

Kyrie: p. 1, m. 8, diminution stroke missing from mensural signature.

Gloria: p. 1, m. 18/1, SB rather than M; p. 2, m. 32, diminution stroke missing from mensural signature; m. 60, "quonian" should read "quoniam."

Credo: p. 3, m. 34, diminution stroke missing from mensural signature; p. 4, m. 94, diminution stroke missing from mensural signature and flat missing; m. 139/4, dotted erroneously.

Sanctus: p. 5, m. 15/5, L rather than B; m. 17/2, M missing from the space a third above the initial note of the immediately following ligature.

Qui venit: p. 6, m. 19/3, dot missing.

Agnus: p. 6, m. 47/4, dot missing.

Tenor

Kyrie: p. 1, m. 1, B rest missing.

Credo: p. 3, m. 167/1, one step too low in the mensural part only; m. 172/2, dot missing.

Osanna: p. 4, m. 8/3, dotted SB; m. 21/1, the last note of the three-note *c.o.p.* ligature is one step too high.

Bass

Credo: p. 2, m. 11/7–9, 11, flags reversed; m. 74, "secuncum" should read "secundum"; m. 75, "(scipturas)" should read "(scripturas)"; p. 3, m. 148/2, M rather than SB.

Sanctus: p. 4, mm. 20–21, oblique *c.o.p.* ligature printed one step too high.

Osanna: p. 4, mm. 36/2–37/1, printed a third too high.

B. Partbook Transcriptions

Soprano

Gloria: pp. 8, 14, 26, m. 67/1, "Domine" should read "Dominus"; p. 9, m. 18/4, a step higher than in the mensural part (*OCW* 1, p. 48, m. 18/4, gives the higher note after Petreius; Fallows, *MCt*, p. 10, m. 18/4, the lower after Chigi and CS 35); p. 20, m. 67/1, "Dominis" should read "Dominus."

Credo: pp. 10, 16, 22, 28, m. 151, "unam" should read "unum."

Alto

Sanctus: p. 11, m. 15/5, the L has an extra stem; p. 29, m. 15/5, the L has an erroneous dot.

Qui venit: p. 12, a full barline by mistake between mm. 13 and 14.

C. Full Score

Soprano

Gloria: pp. 40, 68, 124, m. 67/1, "Domine" should read "Dominus"; p. 96, m. 67/1, "Dominis" should read "Dominus"; p. 40, m. 69/3, whole rather than half note.

Credo: pp. 50, 78, 106, 134, m. 151, "unam" should read "unum."

Sanctus: p. 81, the measure number "10" is placed over m. 9/3.

Alto

Credo: pp. 50, 78, 106, 134, m. 152, "unam" should read "unum."

Tenor

Kyrie: pp. 35, 63, 91, 119, m. 18, the ligature bracket beginning in m. 16 should continue below, rather than above, the staff.

Bass

Credo: p. 42, m. 4/1, delete the whole note; p. 50, m. 149/1, e instead of c; p. 78, m. 149/1, d instead of B; p. 106, m. 149/1, c instead of A; p. 134, m. 149/1, d instead of B♭.

Lawrence Kramer. Music as Cultural Practice, 1800–1900. Berkeley and Los Angeles: University of California Press, 1993 paper rpt. of 1990 edition. xv, 226 pp.

In *Music as Cultural Practice, 1800–1900* Lawrence Kramer sets out to demonstrate that music can have meanings that express cultural values. Whereas his earlier book, *Music and Poetry: The Nineteenth Century and After,* pursued the possibilities of discovering parallel structural processes in music and literature,[1] this newer study takes the inquiry one step further by seeking to expose the patterns of thought that lead to such parallels. Kramer proposes to situate a carefully chosen selection of musical works in, as stated in the case of Wagner's *Tristan und Isolde* and Wolf's "Ganymed," "a network of discursive and representational practices" (p. 135). What he finds are "structural tropes"—procedures that represent typological instances of expressive actions in the historical and cultural context in which the works arose.

For Kramer, making such a connection between music and cultural values requires two steps. The first is to "open hermeneutic windows" (p. 6) into the music by identifying problematic aspects of each work that allow a critical insight into its meaning—a process rooted in deconstruction. Kramer's studies succeed because he latches onto works or aspects of works that clearly elude the reach of standard analytical methods, which are based on classifying conventional procedures. In other words, the deconstructionist launches criticism just where analysis founders.

It is precisely in these unconventional areas where Kramer situates the critic's second step: to make them intelligible through insights that reveal the work "as a field of humanly significant actions" (p. 6), a historical/cultural approach he labels "critical historicism" (p. xii). To be sure, Kramer concedes the difficulty with inherently unmethodological tactics: "Recognizing structural tropes is an empirical, even a catch-as-catch-can, matter: no formal discovery procedure is available for them" (p. 12). Although he offers a five-step "map" for a hermeneutical approach to a work, the last of these turns out to be "Perform these steps in any order and as often as you like, omitting any that you do not need. . . . In fact, throw away this map before you use it" (p. 14). Such an opening proposition might well put off

[1] Lawrence Kramer, *Music and Poetry: The Nineteenth Century and After* (Berkeley and Los Angeles: University of California Press, 1984).

most readers, for as Kramer has admitted elsewhere it can reasonably be asked what, given such an amorphous analytical and critical method, prevents any conclusion from representing a mere *jeu d'esprit* of the author or simply a lucky shot in the dark.[2] Of even more concern, this critical stance, like all deconstructionist method, runs the risk of championing the values of the critic over those of the work. In picking and choosing among steps (or wandering down alleys) that happen to intrigue him rather than pursuing a well-conceived strategy designed to illuminate the work, the critic may simply find what he is looking for and, ironically, may obscure the very musical and cultural ideas he seeks to illuminate. As a consequence, more is often learned about the critic than about the work. Not surprisingly, though Kramer's interpretations of nineteenth-century cultural values in the music prove convincing in most instances, much is certainly revealed about the author's values, as well.

* * *

Kramer's first undertaking, an analysis of Beethoven's two-movement piano sonatas opp. 54, 78, 90, and 111, provides an excellent demonstration of his approach. Because their two-movement structure is obviously unconventional, the sonatas constitute a justifiable repertoire for critical examination. Kramer identifies the artistic procedure of "expressive doubling"—the presentation and re-presentation of a pattern in such a way that the second occurrence offers a significant change of perspective. Using examples from music and other arts, he shows expressive doubling to be a common structural trope in Romanticism. He then explores the two-movement Beethoven sonatas as instances of expressive doubling, in that some significant element of the first movement is re-presented and reinterpreted in the second. Ultimately, the structural trope of expressive doubling allows a new way to distinguish between the values that characterize the works of Beethoven's middle and late period. In the sonatas of the former period the doubling—Kramer hears it as "travesty"—takes the form of iconoclasm and physical energy directed toward change. In the late sonatas, the doubling, as "transfiguration," represents the replacement of a troubled beginning by an ending expressive of peace and joy. The middle-period examples move from the lyric to the carnivalesque (op. 54), or the idyllic to the fantastic (op. 78); the late ones proceed from the dramatic (op. 90) or the heroic (op. 111) to the idyllic. The late

[2] Lawrence Kramer, "Dangerous Liaisons: The Literary Text in Musical Criticism," *Nineteenth-Century Music* 13 (1989), 159.

two-movement sonatas thus embody for Kramer the cultural values of utopian philosophy. Yet with op. 111, the way in which the slow movement embraces heterogeneity, he argues, shows the music espousing a utopian vision whose accommodation of diversity avoids any repression.

Kramer takes as his second example Chopin's A-minor Prelude, another work problematic because of its unconventionality, and therefore one that opens alluring hermeneutic windows for the critic. Analyzing the piece at length, Kramer proposes that it represents the structural trope he calls "impossible objects." That such music seems impossible, in this case by its intrinsic strangeness, causes it to become an object of compulsive fascination. Impossible objects, in "combining expressive insistence with formal perplexity" (p. 91), force the composer's subjectivity into the foreground. The physicality of the object, in turn, makes it a trope for the psychology of bodily desire. By objectifying desire, the work may either exercise control over subjectivity, release it, or do both in a process of dialogue and dialectic.

Third, Kramer takes up the issue of gender in Liszt's *Faust* Symphony, the conclusion of which he says "is supposed to be" (p. 102) a setting of Goethe's "Chorus Mysticus" from *Faust.* Kramer's claim is provocative in allowing at least two readings: that the conclusion ought to be, but really is not; or that someone has supposed, perhaps uncritically, that it is. He rejects the usual (and perhaps facile) interpretation of Gretchen as an embodiment of feminine purity—unperverted by her contact with Faust and Mephistopheles, she is ultimately able to redeem Faust. In contrast, Kramer imagines the stability of the character of Gretchen in the symphony as the symbol of a pornographic attitude toward woman—an attitude which reduces the female to the immobile object of the male gaze. In readings such as this, the kinds of meanings offered by deconstructionist criticism seem to shift. In deliberately dismissing the straightforward, the critic may reveal less about the cultural values of the work itself than about the personal values by which he critiques the work's culture. The critic may even manipulate the work to force a foreign set of values on it. Kramer proposes that the close of the *Faust* Symphony expresses male-centeredness, because the eternal feminine "can make herself heard only in the tones of a male voice" (p. 131). But without altering any of Kramer's analysis, it is equally plausible to describe the same passage by saying that when the musical structure transcends the symphonic present and the "male voice" emerges in eternity, the voice can articulate only the idea of the eternal feminine. Kramer's somewhat cynical reading amounts to *his* interpretation, and nothing in the text makes his version more convincing than the conventional one. At best, his proposed interpretation stands beside, and in dialogue with, the more direct and common

one; at worst, it might appear as a deliberate and even perverse distortion of the composer's meaning.

Turning next to *Tristan und Isolde* and Hugo Wolf's setting of Goethe's "Ganymed," Kramer demonstrates how these works present an understanding of sexuality that anticipates the Freudian model. According to Kramer, the music reveals that the libido operates as a fluid force rather than as a property of the object of desire. The "libidinal dynamics" of the music (which Kramer outlines in a tedious analysis of *Tristan und Isolde* and a more compact one of "Ganymed") work through the structural trope "of recurrent attachment within a context of pure mobility" (p. 169). Here, of course, no question arises with regard to the understanding of the sexual content of the works, for both texts explicitly represent the nature of sexual experience. Grounded as it is in the text, Kramer's point, that Freud's accomplishment was actually to codify expressive and discursive practices already in place, is effective and convincing.

In the final chapter Kramer discusses the important but difficult issues of narrative structure in musical expression. In distinguishing the narrative mode from the lyric, Kramer notes, incontestably, that the lyric mode generally operates through reflection and relationships that suspend temporality; narrative, by opposition, operates through action and relationships that depend on causality. For Kramer, however, the defining feature of narrative structure resides not in a temporally understood and coherent course of events, but rather in the presence of evidence that the events are recounted by a subject (narrator) who stands outside the temporal order. Such a subject becomes evident only when the course of events becomes inexplicable; the narrative position is revealed not by coherence but incoherence—not by continuity of action but discontinuity. This discontinuity reflects "an imperative to combine storytelling with the continuous representation of an epistemological gap" (p. 189). Kramer's demonstration piece is the last movement of Beethoven's String Quartet op. 18, no. 6 ("La Malinconia"), a movement fraught with discontinuities, which he finally describes as, "[l]ike any good narrative, . . . ultimately a bafflement" (p. 199). Likening it to literary examples, he argues that "[t]he music narrates in order to fail at narration" (p. 202) and that the failure reveals the presence of the narrator, because the discontinuities suggest a personal subject (composer/narrator) too overcome with emotion to remain coherent. Finally, he proposes, "the critical uncertainty of ideal subject matter becomes, or provokes, a productive agency: productive of meaning, and productive of openness of meaning" (p. 213). And this largely exemplifies the effect of deconstructionist criticism—the story becomes an example of narrative when it fails to take place; meaning depends on uncertainty.

* * *

Assuredly the weakest aspect of Kramer's study is the musical analysis. Again and again he slogs through analysis and description far more detailed than the point requires. At worst, the analysis demands correction; at best, it tends to bury the perceptive and provocative argument under extraneous data. His argument consequently subjects itself to a great many possible objections. One might be taken aback by errors of fact, such as as when he misnames transformations of important melodic motives. Explaining the melodic process of the Chopin Prelude, Kramer misidentifies the motive of the descending minor third and major second (d^1 b a) as the retrograde—rather than the retrograde inversion—of the descending major second and minor third (e^1 d^1 b; b^1 a^1 $f\sharp^1$) (p. 93). In discussing Beethoven's op. 78, Kramer refers to the motive $d\sharp^2$ $c\sharp^2$ $b\sharp^1$ as "inversionally related" to $a\sharp^1$ b^1 $c\sharp^2$ (p. 41), when the second motive is actually a retrograde of the first. To be sure, naming these relationships more precisely would not have invalidated the significant points in the analysis, yet such careless errors tend to undermine the credibility of Kramer's argument.

For the most part Kramer could have justified his significant statements about the music with vastly less note-by-note explanation. It hardly seems worthwhile, for example, to adduce twelve pages of melodic and harmonic description in order to identify the Chopin A-minor Prelude as an "impossible object." Kramer sometimes makes a simple analytical comment more complicated than necessary, as in his elucidation of the fugato of the Adagio introduction to the "La Malinconia" movement (mm. 21–29). Most of a page is spent discussing how the harmony moves backward through the cycle of fifths, reinterpreting each of a series of tonicized minor chords as the sudominant in a cadence to a new key (i.e., i = iv —> V—> i = iv, etc.). He observes that "the pattern rotates upward," illustrating this point by means of a tabulation in which each new cadential progression appears below the previous one (p. 196). Such presentations of analysis, even when correct, do not help the reader to understand the critic's point more clearly; if anything, they merely numb one's critical faculties. The cynical reader might wonder whether the analyses in *Music as Cultural Practice* are intended to do precisely that.

* * *

We certainly need to find a means by which to demonstrate the relationships between musical thinking and cultural values and experiences in general, and we must be grateful to any writer who attempts to do so. Kramer's tactic, reasonably enough, is first locating the structural pro-

cesses that operate both in works of music and in other forms of art, and then comparing artistic structures to cultural values. Whereas previously Kramer has described the connections between works as "convergence" and those between structures and values as "interplay"—such that the discovery of the former leading to the clarification of the latter[3]—here he opts for the image of "overlap" (pp. 102, 183–84). The new term suggests a far more dubious critical procedure; it supposes not an active relationship among works or between structures and values, but instead the laying of one inert object against another—all according to the critic's will. For this reason readers may become increasingly suspicious.

By dismissing the evident meanings of a work, deconstruction may allow critics to "open hermeneutic windows" in a work's structure so wide that they begin to alter the design of the edifice itself. Such openings may eventually produce in works gaps large enough to restructure them, yielding completely new and foreign meanings. A splendid facility in deconstructive technique might enable a critic to overlap any work with any other, to plot any structure onto any value. As a result, one ends up reading such virtuosic deconstruction as Kramer's with hesitation, lest the windows open too wide, the analytical techniques misrepresent the works, and critical facility metamorphose into critical trickery. The deconstruction of a work might then not explore the music as an embodiment of the cultural values of its time, but, as noted above, exploit it to promote those of the critic. In its most extreme abuse, deconstruction would simply let the critic play with the work as a toy.

The greatest value of Kramer's deconstructive criticism is, in the end, not that it enlightens us about the works deconstructed. Rather, in Kramer's concluding words, it "keeps discourse circulating and thaws frozen positions. It is a sign of life" (p. 213)—not necessarily the life of the works, but at least the life of the critic. One might imagine that the critic engages in deconstruction in order to assure himself that he is alive.

Certainly one legitimate function of the work of art is continually to engage and challenge us, and Kramer, as the lively critic, facilitates that, whether or not we accept his particular conclusions regarding these works as carriers of nineteenth-century culture. Ultimately the interest in Kramer's book does not derive from what is learned about a handful of musical or literary masterpieces or about the cultural values of the nineteenth century. Nor does the value arise from its offering of a critical system or model, for it certainly does not do so. Instead, the interest consists in the pleasure of the brilliant author's company—the breadth of his reading,

[3] Kramer, "Dangerous Liasons," 162.

the intriguing juxtapositions he raises, the complexity of his thought, even the very need to dispute with him over what seems erroneous, extraneous, or the product of critical sleight-of-hand.

—*Douglass Seaton*

Martin Ruhnke, ed. Georg Philipp Telemann: Thematisch-Systematisches Verzeichnis seiner Werke: Telemann-Werkverzeichnis: Instrumental Werke 2. Kassel: Bärenreiter, 1992. ix, 245 pp.

This volume, the second of the *Telemann-Werkverzeichnis (TWV)* and a supplement to Bärenreiter's selected critical edition of Telemann's works, completes the catalog of the chamber music.[1] Thus for the first time an overview of the composer's entire output is possible (although the third and final volume of the *TWV,* covering the orchestral works, will include some works omitted from thematic catalogs presently available).[2] As Martin Ruhnke points out in the preface, one of the more popular claims about Telemann's compositional facility—that he composed more than Bach and Handel together—can now be confirmed (pp. vii–viii). In fact, the number of Telemann's works (3,617 by Ruhnke's count) is nearly double that of Bach's and Handel's combined output. This revelation may do little to diminish Telemann's reputation as a polygraph or (to use the more colorful German term) *Vielschreiber,* but a more or less complete *catalogue raisonné* should intensify the ongoing process of reassessing his music.

Covered in this volume are the chamber works for two or more melody instruments and continuo, as well as a few orchestral works. As one would expect, the most space by far is devoted to the trio and quartet sonatas. Not surprisingly, given the long-standing popularity of these works, this is not the first attempt at a catalog of the repertory. Hans Graeser included a non-thematic catalog of Telemann's instrumental chamber music (including keyboard works) as a supplement to his 1925 dissertation.[3] Far from complete and never published, Graeser's catalog has been of limited use to scholars. More recently, J. Robert Flexer included a thematic "Index of

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[1] Telemann's music for one melody instrument and continuo, melody instruments without continuo, and keyboard is covered in Martin Ruhnke, ed., *Georg Philipp Telemann: Thematisch-Systematisches Verzeichnis seiner Werke: Telemann-Werkverzeichnis: Instrumental Werke* 1 (Kassel: Bärenreiter, 1984).

[2] See the thematic catalogs in Siegfried Kross, *Das Instrumentalkonzert bei Georg Philipp Telemann* (Tutzing: Hans Schneider, 1969) and Adolf Hoffmann, *Die Orchestersuiten Georg Philipp Telemanns* (Wolfenbüttel and Zürich: Möseler, 1969). A thematic catalog of the Telemann concertos preserved at the Sächsische Landesbibliothek in Dresden is included in Manfred Fechner, *Studien zur Dresdner Überlieferung der Instrumentalkonzerte von G.Ph. Telemann, J.D. Heinichen, J.G. Pisendel, J.F. Fasch, G.H. Stölzel, J.J. Quantz und J.G. Graun: Untersuchungen an den Quellen und Thematischer Katalog* (Ph.D. dissertation, University of Rostock, 1991).

[3] Hans Graeser, *Georg Philipp Telemanns Instrumental Kammermusik,* 2 vols. (Ph.D. dissertation, University of Munich, 1925).

the Trio Sonatas by G.Ph. Telemann" with his edition of a trio sonata for recorder, violin, and continuo (TWV Anh. 42: C).[4] This catalog is fairly accurate and complete (even including listings of modern editions), but is hindered by a rather awkward system of classification. Due to its relative scarcity, it has become well known only among specialists. Finally, Ortrun Landmann's non-thematic catalog of the Telemann holdings of the Sächsiche Landesbibliothek in Dresden includes a wealth of information on the manuscript sources at one of the two principal repositories of Telemann's instrumental music (the other being the Hessische Landes- und Hochschulbibliothek in Darmstadt).[5] While Graeser's and Flexer's catalogs have been largely superseded by the *TWV,* Landmann's should remain an indispensable guide to the Dresden sources.

* * *

This music has as often been praised for its inventiveness and idiomatic writing as it has been derided for being facile. One myth that the *TWV* should help dispel is that Telemann devoted little thought to his chamber music, a myth largely inspired by the sheer volume of his output and the publication of some of his less significant works. Telemann himself left no doubt that during his tenure as *Konzertmeister* and *Hofkapellmeister* at the Eisenach court (1708–12) he invested considerable time and effort in the composition of trios and other instrumental genres:

> And how could I possibly remember everything I composed for strings and winds? I particularly devoted myself to the composing of trios, and arranged it so that the second part appeared to be the first, and that the bass progressed as a natural melody and in closely following harmony, every note of which had to be that way and not otherwise. People even flattered me as having done my best work here.[6]

To be sure, there are more than a few works in this repertory that, al-

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[4] J. Robert Flexer, ed., *Georg Philipp Telemann: Trio in C major* (Palo Alto: Palo Alto Telemann Society, 1976).

[5] Ortrun Landmann, *Die Telemann-Quellen der Sächsichen Landesbibliothek. Studien und Materialien zur Musikgeschichte Dresden* 4 (Dresden: Sächsiche Landesbibliothek, 1983).

[6] Johann Mattheson, *Grundlage einer Ehren-Pforte* (Hamburg, 1740; rpt Kassel: Bärenreiter, 1969), 362: "Und wie wäre es möglich, mich alles dessen zu erinnern, was ich zum Geigen und Blasen erfunden? Aufs Triomachen legte ich mich hier insonderheit, und richtete es so ein, daß die zwote Partie die erste zu seyn schien, und der Baß in natürlicher Melodie, und in einer zu jenen nahe tretenden Harmonie, deren jeder Ton also, und nicht anders seyn konnte, einhergieng. Man wollte mir auch schmeicheln, daß ich hierin meine beste Krafft gezeiget hätte."

though skillfully crafted, strike one as rather undistinguished or even mediocre. But there are also dozens of works of high quality, including some of the most imaginative and attractive chamber music of the early eighteenth century. Even those already acquainted with the richness of the repertory will find pleasant surprises scattered throughout the catalog, for many of Telemann's best efforts remain unpublished or are available only in obscure editions. (Amadeus Verlag's ongoing project of publishing all of Telemann's trio sonatas will go a long way toward alleviating this problem.) The following are just a few of the more interesting works that remain unavailable in modern editions:

> A trio for violin, bassoon, and continuo (TWV 42: B 5); two trios for scordatura violins and continuo (TWV Anh. 42: A 1 and TWV 42: d 6); a quartet for violin, two horns, and continuo (TWV 43: D 8); a quartet for flute, violin, bassoon, and continuo (TWV 43: G 11); two quartets for flute, bassoon, viola da gamba, and continuo (TWV 43: C 2 and TWV 43: h 3);[7] and a set of six quartets for flute, violin, viola, and continuo published in Paris as the *Quatrième livre de quatuors* some time after 1752, but which probably dates from the 1710s (TWV 43: C 1, D 4, F 1, A 4, G 5, and d 2).[8]

It is appropriate that the editorship of the *TWV* has been undertaken by Martin Ruhnke, co-editor of the Telemann critical edition and one of Germany's most distinguished Telemann scholars over the past three decades. Ruhnke has been a vigorous defender of Telemann against his critics, arguing persuasively that his music has been undervalued and unfairly compared with that of J.S. Bach, whose aesthetic agenda very different from Telemann's.[9]

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[7] For a facsimile edition see *Georg Philipp Telemann: Two Concertos, H-Minor and C-Major for Flauto Traverso, Viola da Gamba, Fagotto e Cembalo* (Bandhagen: Autographus musicus, 1991).

[8] Facsimile edition: Mark Meadow, ed. (Basel: Musica Musica, n.d.).

[9] On Telemann's publishing activities and the early Parisian editions of Telemann's works, see Ruhnke, "Telemann als Musikverleger," in *Musik und Verlag: Karl Vötterle zum 65. Geburtstag am 12. April 1968,* ed. Richard Baum and Wolfgang Rehm (Kassel: Bärenreiter, 1968), 502–17; and "Die Pariser Telemann-Drucke und die Brüder Le Clerc," in *Quellenstudien zur Musik: Wolfgang Schmieder zum 70. Geburtstag,* ed. Kurt Dorfmüller (Frankfurt am Main: Peters, 1972), 149–60. On Telemann's life and works in general see Ruhnke, "Relationships Between the Life and Work of Georg Philipp Telemann," *The Consort* 24 (1967): 271–79; "Zu Ludwig Finschers neuestem Telemann-Bild," *Musica* 24 (1970): 340–45, a response to Ludwig Finscher, "Der angepaßte Komponist: Notizen zur sozialgeschichtlichen Stellung Telemanns," *Musica* 23 (1969): 549–54; and the Telemann entries in *Die Musik in Geschichte und Gegenwart: Allgemeine Enzyklopädie der Musik,* ed. Friedrich Blume (Kassel: Bärenreiter, 1966) and *The New Grove Dictionary of Music and Musicians,* ed. Stanley Sadie (London: Macmillan, 1980).

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Following the principle of organization established in volume one of the *TWV* (modelled on Anthony van Hoboken's Haydn catalog), Ruhnke has organized the chamber music according to scoring. Thus there are 152 trios (TWV 42); sixty-six quartets (TWV 43); twenty-four quintets, sextets, and septets (TWV 44); and thirty-one Polish dances for melody instrument with or without continuo (TWV 45). For the orchestral music, there are twenty-five works other than concertos and orchestral suites: sinfonias, divertimenti, marches, and fanfares (TWV 50). Individual entries are organized by key, and assigned letters and numbers for subdivisions 42 and 43 (e.g. TWV 42: C 3), or simply numbers for subdivisions 44, 45, and 50 (e.g. TWV 44: 12).

The chief advantage of this system, of course, is that newly discovered pieces can be assigned numbers without disturbing the overall order. For subdivisions 44, 45, and 50, Ruhnke has thoughtfully left gaps in the numerical order with future insertions in mind. This means that groups of works belonging together are split up, but cross-references allow the user to reassemble collections easily. Listed first in each key-group are the works that appeared in eighteenth-century printed collections, most of which were engraved by Telemann himself. Spurious works, works of doubtful authenticity, transposed versions, and arrangements are listed at the end of each key-group in a small *Anhang* rather than at the end of the catalog. In one instance, the original version of a work is erroneously listed as an arrangement: the quartet for flute, two scordatura violins, and continuo (TWV 43: A 7) is also transmitted as a trio sonata, omitting the flute part (TWV Anh. 42: A 1). Ruhnke has evidently decided that the quartet version carries greater authority, and therefore lists the trio version as an arrangement. But the flute part turns out to be a rather clumsy conflation of material from the violin parts and is present in only two of the piece's four movements. I have little doubt that the flute part is not the work of Telemann, and that the trio setting is the earlier of the two versions.

In individual entries, Ruhnke restricts himself to providing incipits and listing sources and modern editions. With few exceptions, the occasional commentaries supply little information about manuscript sources, and paper types are not described at all. Ruhnke is realistic about the extent to which the catalog can be definitive at the current stage of Telemann research, explaining that the *TWV* is not concerned with questions of sources, especially those concerning chronology and copyists' hands.[10] While it is of course necessary to limit the scope of such a large undertaking as the

[10] Ruhnke, *TWV* 2, viii.

TWV, I think it unfortunate that more details about the sources are not given; Ruhnke undoubtedly gathered much relevant information in the course of preparing the catalog. Landmann's datings of the Dresden manuscript sources, for the most part very approximate (often "first third" or "first quarter" of the eighteenth century), are included, as are the more precise datings for the Darmstadt manuscript sources made by Brian D. Stewart in conjunction with Oswald Bill (in an unpublished study of the Darmstadt paper types). It cannot be stressed enough that all dates in the catalog must be treated with caution, as they represent only *termini ante quem* for the composition of works; none of Telemann's chamber music survives in autograph manuscripts. Among the Darmstadt and Dresden manuscripts, those copied by Christoph Graupner, *Kapellmeister* at Darmstadt, and Johann Georg Pisendel, first violinist and later *Konzertmeister* at Dresden, are identified by Ruhnke as such. But manuscripts prepared by the other principal copyist of the Darmstadt collection, long known to be the *Konzertmeister* Johann Samuel Endler, or those by other known copyists in Dresden and Schwerin are not identified. Nor are the identifications of Graupner and Pisendel manuscripts made with much consistency. The paucity of references to secondary literature, as limited as it may be, is to be regretted.

A conceptual weakness of the catalog is Ruhnke's failure to define the criteria by which he classifies works as chamber music, an omission that leaves one wondering why certain works are included in this volume of the catalog. This is not a minor point, for the line between "chamber" and "orchestral" styles of writing is often obscured in Telemann's instrumental music. From the time of his tenure at the Eisenach court, Telemann displayed a keen interest in blurring the generic distinctions between concerto, sonata, and suite—distinctions which in any case were far from solid during the first decades of the eighteenth century. On the basis of stylistic and documentary evidence, several groups of works in the catalog have claims to being orchestrally conceived. In the following instances, commentary by Ruhnke might have helped to resolve some of the problems associated with genre classification in Telemann's instrumental music:

(1) A concerto for solo violin with an accompaniment of two violins and continuo (TWV Anh. 43: B 1) is one of several Telemann works designated in the sources as both "sonata" and "concerto." Ruhnke explains that since the solo violin part is independent throughout, there is a genuine tutti-solo contrast, and the violins are often in unison during tutti passages, the work will be included among the concertos in the third volume of the *TWV.* Two similar works, however, are classified without comment by Ruhnke as quartets. TWV 43: g 3 (called "Concerto di camera" in the sole manuscript source) is essentially a concerto-suite for re-

corder, and TWV 43: F 2 ("Sonata" written over "Concerto") is a concerto for two chalumeaux.[11] Both works feature an accompaniment amounting to violins in unison and continuo: the former has two marginally independent violin parts written out, while the latter has a single line with the indication "Violin: unison:." In his comments to TWV 50: 1 and TWV 50: 21, Ruhnke again mentions unison violin writing as indicative of orchestral performance.

(2) Nine works included in Adolf Hoffmann's catalog of the orchestral suites are re-classified by Ruhnke as suites for five-part chamber ensemble (TWV 44: 3, 6–10, and 12–14). Instead of the usual four- or five-part string texture with or without wind instruments, these works omit violins or violas or strings altogether.[12] It may well be that the works transmitted as suites for four winds and continuo were intended for one-to-a-part performance, but the single source for TWV 44: 8 suggests that this may only have been one performance possibility. Here the upper parts indicate "Violino e Hautbois," while the wrapper for the parts indicates "Hautbois ou Violons." This example raises the possibility that the oboe parts in these wind "quintets" were intended for violins as well. Other suites, such as TWV 44: 6, scored for two violettas doubled by chalumeaux, and 44: 7, for two violins and two horns seem even more likely to have been performed with doubled strings.

(3) Some of the other works listed as quintets, sextets, and septets seem stylistically far removed from Telemann's chamber music, and may have been performed orchestrally. TWV 44: 1, for trumpet and strings, evokes the Italian sinfonia tradition much more than the sonata. Although the work is called "Sonata" on the title page of the manuscript source, the parts are all labelled "Sinfonia" (Ruhnke misleadingly includes "Sinfonia" in the tempo indication for the first movement). Furthermore, the numerous dynamic indications in the second and third movements suggest an ensemble of doubled strings, which is reinforced in the outer movements by a trumpet doubling the first violin line and otherwise providing har-

[11] Wolfgang Hirschmann, "Telemanns Konzertschaffen im Beziehungsfeld von Quellenforschung—Edition—Interpretation," in *Historische Aufführungspraxis im heutigen Musikleben. Studien zur Aufführungspraxis und Interpretation von Instrumentalmusik des 18. Jh.* 42 (Michaelstein/Blankenburg: Institut für Aufführungspraxis, 1990), 87–96, argues that TWV 43: F 2 should be included among Telemann's concertos. Ruhnke fails to cite the entry for this work in the Breitkopf thematic catalog (Part III, 1763, 33): "Concerto del TELEMANN, a 2 Sampogoni, Violini Unisoni c. Basso." See Barry S. Brook, ed., *The Breitkopf Thematic Catalogue: The Six Parts and Sixteen Supplements 1762–1787* (New York: Dover, 1966), 113.

[12] A tenth suite, for two oboes, two horns, and continuo (TWV 44: 16), is not included in Hoffmann's catalog.

monic support. One of the sources for TWV 44: 11 ("Sonata") contains doublet string parts, while the source for TWV 44: 42 ("Concerto") has four unfigured parts for the bass line ("Cembalo," "Basson," "Basso," and "Violone"). In TWV 44: 41, 42, and 43 (all called "Concerto" in the sources) the upper voices are often split into antiphonal groups in a manner recalling the third Brandenburg Concerto.[13] TWV 50: 4 is another work called both "Sonata" and "Concerto" in the single source ("Concerto" is crossed out).

(4) A group of seventeen works (TWV 43: D 5, Es 1, E 2, e 5, F 3–5, G 7–9, A 5–6, a 4–5, and B 1–3), scored for two violins, viola, and continuo, are classified by Ruhnke as quartets.[14] These pieces, only two of which are available in modern editions, stand apart from Telemann's chamber music stylistically. In fact, their predominantly homophonic textures, passages in unison or octaves, unusual periodic structures within individual movements, echo effects created through contrasts in dynamic level, and "orchestral" gestures normally associated with the concerto all raise serious doubts about their classification as quartets. Also unusual are the frequent use of a three-movement formal scheme—relatively uncommon in Telemann's chamber music—and the scoring for strings and continuo. Telemann published no quartets with such a scoring, and both Scheibe and Quantz, who viewed Telemann's quartets as models of the genre, recommended that the upper voices in a quartet be written for a mixture of strings and winds or winds alone.[15] Such anomalies in scoring, structure, and style become unproblematic, however, when one assigns the works in question to a genre associated with orchestral forces: the concerto for four-part strings, commonly known as the *concerto a quattro* or, to use Vivaldi's more descriptive term, *concerto ripieno.* These works defy classification as sonatas written in the style of the concerto (in Scheibe's

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[13] Hirschmann, "Telemanns Konzertschaffen," 94n.8, asserts that TWV 44: 41, 42, and 43 should be included among Telemann's concertos. In *Studien zum Konzertschaffen von Georg Philipp Telemann* (Kassel: Bärenreiter, 1986), 11, he makes this assertion with respect to TWV 44: 43.

[14] Another work, TWV 40: 200, is listed by Ruhnke, *TWV* 1, 132 as a sonata for four-part strings without continuo. Ruhnke makes the specious argument that the multiple-stops in this movement constitute evidence that Telemann intended a performance without continuo. In keeping with this view, the modern edition of the piece (Hellmuth Christian Wolff, ed. *Hortus musicus* 108 [Kassel: Bärenreiter, 1963]) is entitled "Streichquartett A-dur."

[15] Scheibe, *Critischer Musikus,* 2nd ed. (Leipzig, 1745; rpt Hildesheim and New York: Georg Olms, 1970), 679 (orginally published in Hamburg, 20 January 1740); Johann Joachim Quantz, *Versuch einer Anweisung die Flöte traversière zu spielen* (Berlin, 1752; rpt Kassel: Bärenreiter, 1983), 302.

terminology, the *Sonate auf Concertenart*[16]), for they exhibit relatively little of the contrapuntal textures associated with the sonata. Evidence for performance with doubled strings is found in the doublet parts for first violin and "Violone" in the Darmstadt source for TWV 43: G 7.

A problem of a different sort involves Ruhnke's use of terminology and the confusion that it might easily engender. In his listings of instrumentation, Ruhnke usually refers to the two types of flute (recorder and transverse flute) as "Blockflöte" and "Querflöte," respectively. But on occasion he uses the apparently neutral term "Flöte," as if to suggest that either instrument is appropriate in performance or that neither is indicated in the sources. In the works with secure attribution to Telemann, however, one can almost always determine which instrument is intended. Most of the sources for the works intended for recorder, but assigned to "Flöte" by Ruhnke (TWV 42: e 6, F 6, F 8, F 9, F 14, f 2, g 13, a 9; TWV 43: g 4, a 3; and TWV 44: 41, 42) use the term "Flauto" (the usual eighteenth-century designation for recorder), are in keys that favor the recorder (flat-side tonalities), and display writing idiomatic to that instrument. The highest part in TWV 44: 41 even begins with a sustained f‴, a notoriously difficult note to produce on a one-keyed transverse flute. The works for transverse flute either are identified in the sources as such (TWV 42: g 15: "Flauto Traverso"; TWV 43: h 2 from the *Nouveaux quatuors*: "Flute Traversière"; TWV 50: 5: "Flauto Traversiero"), or exploit the range of that instrument (the previously mentioned quartets of the *Quatrième livre,* arranged from earlier quartets for two violins, viola, and continuo).

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The appendix is devoted to emendations and addenda to the first volume of the *TWV.* Among the new entries are a few newly-discovered keyboard works, two organ arrangements by J.S. Bach, and three sonatas (fragmentarily preserved) for three melody instruments without bass, published in Paris between 1738 and 1742.[17] The list of bibliographic additions and comments, indebted to the work of Jeanne Swack, includes, among other things, the identification of new sources and arguments against the authenticity of more than a dozen solo sonatas.[18] A modest

[16] Scheibe, *Critischer Musikus,* 675–76.

[17] These last works, together with their companion trio sonatas (TWV 42: d 5, f 1, and A 7), have recently been reconstructed by Winfried Michel and published by Amadeus Verlag (trios without bass: BP 650; trios with bass: BP 2593–95).

[18] Swack, *The Solo Sonatas of Georg Philipp Telemann: A Study of the Sources and Musical Style* (Ph.D. dissertation, Yale University, 1988).

attempt at identifying Telemann's self-borrowings in his chamber music takes the form of a list of "similarities or correspondences among beginning themes of other works by Telemann." To judge from the incipits, most of these "similarities" can be attributed to the repeated use of common formulas rather than to actual self-borrowing. Nevertheless, they usefully call attention to aspects of Telemann's melodic and rhythmic practice. As possible instances of self-borrowing, I found the following movement-pairs to be the most persuasive: TWV 42: E 2, v and TWV 43: e 4, iv; TWV 33: 5, i and TWV 43: G 2, ii; and TWV 33: 8, i and TWV 43: a 3, iv. Other correspondences not involving works from the earlier volume are found among the comments to individual entries. At least one such correspondence is convincing as a case of self-borrowing: the opening themes of TWV 42: d 1, ii (*Trietto terzo* in *III Trietti methodici e III Scherzi,* Hamburg, 1731) and TWV 43: d 1, iii (the quartet from *Musique de table* II, Hamburg, 1733). Users of the catalog will note that lines 14, 19, and 20 in the list duplicate information already given above.

The inclusion of several other lists would have made the appendix significantly more useful. Both Flexer's and Landmann's catalogs have been cited extensively in the secondary literature on Telemann's instrumental music, and for this reason a concordance of their numberings with those of the *TWV* would have been especially welcome. The absence of such a concordance is somewhat surprising, because Ruhnke cites several entries from Flexer's catalog in his preface and borrows information from Landmann's. In addition, Ruhnke's reclassification of works included in Hoffmann's catalog also necessitates a listing, for Hoffmann's numbers appear frequently in the literature and on recordings. One would also like to see a listing of works by instrumentation (especially helpful to performers) and a listing of sources by library (especially helpful to scholars).

* * *

In many respects, the catalog is remarkably accurate and easy to use. Ruhnke has cast a wide net in locating the sources for Telemann's chamber music, and I am aware of only one manuscript source not included in the catalog: D Rou, Mus. saec. XVII. 18–51[25] (TWV 43: G 7). The layout of the volume is luxurious: margins are ample, as is the spacing within and between individual entries. The engraved incipits (those in the first volume of the *TWV* were handwritten) are generally easy to read and, usefully, include measure counts for each movement. Among the incipits the level of accuracy seems high. I was able to spot only a few relatively minor errors: the last movement of TWV 42: c 5 has 44 measures, not 20; the first movement of TWV 42: d 9 should read "Pocco [*sic*] Spirituoso"; the mea-

sure counts for TWV 42: G 11 are 24, 75, 29, and 69; and the outer movements of TWV 43: g 4 have the meter ¢ rather than **c**. The listings of modern editions are relatively complete up to about 1987, but many editions appearing after that date (especially those published by Amadeus Verlag) are absent.

Although some of the problems outlined above lessen the accuracy, and therefore the usefulness, of this volume, it is nevertheless an important addition to the literature on Telemann and on early eighteenth-century instrumental music in general. One hopes that the final volume of the *TWV* appears soon, and that, meanwhile, volume two inspires renewed interest in a repertory that has much to offer to both scholars and performers.

—*Steven Zohn*