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Edited by DANIEL N. THOMPSON

REPORTS

Welcome to *Current Musicology* #63! This issue continues our commit-
ment to musicological diversity, with articles on music cognition,
Sundanese performing arts competitions, and "Louis Armstrong and
Coherence in Early Jazz." Our reviews comprise evaluations of books
about Milton Babbitt, Ralph Vaughan Williams, New York subway musi-
cians, and American popular music of the twentieth century. The issue
concludes with two reports: an institutional report from the International
Center for African Music and Dance at the University of Ghana, and a
conference report that provides the different perspectives of five scholars
who attended the 16th International Congress of the International
Musicological Society.

From the beginning, reportage has always been a part of our mission.
The first two sentences of our first issue evidenced the importance the
journal placed on this kind of activity.

> The fruitful exchange of ideas and information is or should be one
> of the chief responsibilities of scholars. By publishing reports of
> graduate research seminars, lecture courses and extra-curricular
> lectures offered by universities and colleges in the U.S. and Canada,
> *CM* aims to make possible increased communication among bud-
> ding musicologists during their long apprenticeship as graduate
> students. (1965:5)

"Reports" became its own section of the journal starting with *CM* #5.
Before that, reports of conferences were included with notices and reports
of lectures, seminars, appointments, and announcements (together with
letters to the Editor) under the heading "Events." Over time, reports of
conference proceedings grew to have more importance as the listings of
seminars and lectures, for instance, diminished in significance.

With the advent of the World Wide Web and the spread of electronic
mail, however, the publishing of conference reports no longer fills the
need it once did. Most scholars in the world today have access to e-mail,
and a very great number of conferences and institutions have their own
websites. Hard-copy publishing in the scholarly world is a necessarily
painstaking process, and the speed with which it disseminates information
cannot compete with that of electronic media.

After careful consideration, we have therefore decided to comply with
what seems to be a sensible trend among journals of musicology, and to
discontinue the publishing of reports. With the exception of occasional

reports of events and programs affiliated with Columbia, this issue will be the last to include reports.

In consideration of this change, it seems appropriate to begin this issue's acknowledgments by thanking Judy Olson, who has consistently done an outstanding job as an editor of reports ever since first assuming the position of Editor of Foreign Reports for *CM* #29 in 1980. I would also like to express my thanks to this issue's authors, to Dieter Christensen, George Edwards, and the rest of the Advisory Board, and to the editors who worked on this issue (all of whom are listed on the inside front cover), particularly Marilyn Nonken and Suzanne Lodato. Finally, thanks to Joyce Tsai for technical support. *Sláinte!*

—DNT

articles

Spatial and Psychoacoustic Factors in Atonal Prolongation

By Fred Lerdahl

Consider the sequences of letters in example 1 and think of them as strings of objects perceived and parsed in space or time. In case (a), each object is distinct. There may be degrees of similarity among them, measured by whatever means, but no member of the string is a point of reference for the others. In case (b), X_1 repeats literally as X_2. One might say that X extends in space or is prolonged in time. In cases (c) and (d), the repetition of X creates a frame or context for Y. The two Xs connect perceptually and Y is perceived inside that connection. In other words, Y is subordinate within the context X_1–X_2. If moving from one object to the next is experienced as a path, the motion $X_1 \rightarrow Y$ represents a departure and $Y \rightarrow X_2$ represents a return. If for some reason, say relative temporal proximity, Y groups with X_1, as in case (c), Y belongs to X_1 in the context X_1–X_2; similarly, in case (d) Y belongs to X_2 in the context X_1–X_2. In these instances one can speak of a constituent hierarchy (that is, the subordinate element is not merely subordinate within its context but is subordinate to a single superordinate element). Sometimes it is not proximity but patterns of repetition that cause the internal grouping, as in case (e). But let us leave to one side the issue of subsegments within a string and look at a few other whole patterns. In case (f), the pattern causes a nesting of departure and return: Z belongs within the context Y_1–Y_2, and Y_1–Y_2 within the context X_1–X_2. In case (g), X returns in a modified form, symbolized as X'; Y is now subordinate within the context X–X'. Here X and X' must be experienced as different versions of the same object. Cases (h) and (i) introduce the factor of salience, symbolized by drawing X larger than Y. For X to be more salient than Y, X must stand out perceptually in comparison to Y; for example, X might be bigger or longer or louder than Y. Then, if X and Y group together and all else is equal, X is judged as dominating Y, with Y either to the right as in (h) or to the left as in (i). Cases (j) and (k) introduce the contrasting factor of stability, symbolized by tilting Y to suggest its relative instability. Again, if X and Y group together and all else is equal, X is judged as dominating Y, with Y either to the right as in (j) or to the left as in (k). X provides the context for Y; X is the prototype against which Y is experienced.

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Example 1: Prolongations abstractly considered.

(a)   (b)   (c)   (d)   (e)

UVWXYZ $X_1 X_2$ $X_1 Y$ X_2 X_1 $Y X_2$ $W_1 X W_2$ $Y_1 Z Y_2$

(f)   (g)   (h)   (i)   (j)   (k)

$X_1 Y_1 Z Y_2 X_2$ $X Y X'$ $X Y$ $Y X$ $X Y$ $Y X$

In all these cases, simple hierarchical relationships arise that are extensible to longer and more complex strings. They pertain to visual as well as to aural objects. In music, these letters stand for sequences of pitches or chords, whether tonal or atonal. As example 1 suggests, minimal amounts of repetition and grouping are required for the inference of a pitch hierarchy. Because music flows in time, a repeat of an event "prolongs" the event; the connection $X_1 \to X_2$ constitutes a prolongation of X. This is ordinary English usage, and one that resonates with its historically shifting music-theoretic meaning, even if it differs in some ways with Schenkerian usage. The "away" events in example 1—the events that are subordinate in the various cases—might or might not be closely related to their superordinate contexts, in ways that could be specified. Although it is significant how subordinate and superordinate events are related, there is a level at which this factor can be abstracted away.

As these remarks imply, I resist attempts to restrict the idea of prolongation to its Schenkerian usage and to limit the "away" material to standard tonal treatments (as in Straus 1987). To be sure, it matters to define and use terms precisely. If someone wants to make different use of the terms "prolongation" and "away," I have no objection. The distinctions at issue, unless they prove to be pointless, must be made anyway, regardless of terminology. In my view, however, generalizing these terms, as long as one is clear, is a conceptual gain.

From a complementary angle, I agree with Straus that the Schenkerian notion of prolongation is locked into the tonal idiom. In my view, it is essential to set Schenkerian orthodoxy aside in any consideration of atonal prolongation. For instance, the basic concept of a *Zug* depends on a hierarchical pitch space, specifically a scale level and a chord level. A *Zug* moves stepwise at the diatonic level between two framing pitches that are also pitches of the prolonged chord. But, in genuinely atonal music, there is no referential hierarchical pitch space, hence no scale and chord levels. In these cases it is inappropriate to search for atonal *Züge*.

More broadly, instead of tying ourselves to conventional meanings of "prolongation" and "away," it is more productive to examine how humans hierarchize in general, and from that perspective to tailor our theories of particular musical idioms. This is the approach taken in Lerdahl and Jackendoff (1983, hereafter *GTTM*) and which I have subsequently taken in my ideas about atonal prolongational structure. I see little interest in making a theory of atonal music that cannot find its place in a general theory of music. One normally listens to Bach, Brahms, Bartók, and Boulez with the same ears, adjusting for the manifest differences. A music theory should reflect this continuity.

Along the lines of example 1, I define prolongational connections in general terms: repetition, partial repetition, departure, and return. Example 1 also assumes a parsing of events into units. As it is prolongational structure that is under consideration, I call these units "prolongational regions." The importance of establishing regions of analysis has been insufficiently appreciated. In pitch-class set theory this is the familiar segmentation problem: which pc sets are picked out in analysis, and why? But it is also a problem for Schenkerian analysis: what are the frames within which tonal lines and chords are elaborated? If this second question has been less recognized, it is because there is greater tacit agreement about what the regions of analysis are in tonal music. Schenkerian methodology does not specify these hierarchically organized spans. However, *GTTM* provides a strict procedure for doing so, first by establishing a hierarchical time-span segmentation based on the interaction of meter and grouping, then by deriving prolongational regions from global to local levels of the segmentation. My theory of atonal prolongational structure adopts this procedure (Lerdahl 1989). Within the resulting regions for an atonal piece, superordinate events are selected not by principles of stability, as is done for tonal music, but by psychoacoustic salience. Thus, the prolongational representations for tonal and atonal music are of the same type, reflecting the need for theoretical integration; but the analyses are derived by contrasting criteria, reflecting differences between the two idioms.

This approach to atonal music forces the realization that even in tonal music the criteria used in determining hierarchical importance are a combination of stability and salience. Most crucial is stability: a dissonant neighbor elaborates a chord tone, a dominant elaborates a tonic, and so forth. But we also hear pitches in the soprano and bass voices as more structural than those in inner voices. Likewise, all else being equal, we select a metrically, durationally, or dynamically emphasized event over one that is not so emphasized. These are criteria of salience. How important is salience in tonal prolongation? It would be curious to perform a reductional analysis of a Beethoven piece entirely according to salience criteria.

Probably the result would be as inapposite as doing a Roman-numeral analysis of Schoenberg's Fourth Quartet. For classical tonal music, salience criteria are supplementary to stability criteria.

The balance starts to shift for chromatic tonal music. Consider the contrasting significance ascribed to the opening C♯ of Debussy's *Prélude à l'après-midi d'un faune*. As shown in example 2a, Salzer (1962), relying exclusively on criteria of stability and on the view that the piece prolongs an E-major tonic triad from beginning to end, treats the C♯ as a local upper neighbor to the immediately following B in m. 1. At the other extreme, Brown (1993) relies implicitly on the greater salience of the C♯ compared to the B, by virtue of the C♯'s greater duration, pitch height, metrical position, and position at a grouping boundary. As illustrated in example 2b, he treats the C♯ as prolonged over the Bs in the first phrase and through the next phrase, where the melody is harmonized beginning with a D-major triad, until its resolution to B in m. 13. I prefer an intermediate interpretation: the arrival on a clear arpeggiation of an E-major triad in bar 3, ending on a B of some duration, resolves the opening C♯ both melodically and harmonically. The second phrase repeats this C♯–B motion with overt harmonization. In this view, the B in m. 1 is too fleeting and the implied harmony too unstable for the C♯ to resolve as suggested by Salzer; yet the stability of the tonic in m. 3 is enough to override Brown's hearing of the opening C♯ as governing mm. 1–13 in their entirety. This interpretation balances criteria of stability and salience. But the point is less to argue which of these interpretations is correct than to observe that they all lie on a single conceptual continuum, with stability criteria at one end and salience criteria at the other. It is doubtful that such a continuum would be useful for Beethoven. Its relevance to Debussy demonstrates that, with the weakening of tonality brought about by chromaticism, salience has infiltrated the system as an organizing principle. Later on, when chromatic tonality gives way to full atonality, the balance tips still further and stability no longer plays a major role.

This picture of stability and salience in forming prolongational analyses can be developed further, either by extending the scope of stability or by supplementing salience with other principles of perceptual organization. I will now explore these two directions, concentrating more on concepts than on derivational details.

To explain how the scope of stability can be extended, it is first necessary to review some features of my theory of diatonic pitch space (Lerdahl 1988), which models the cognitive distance of any pitch, chord, or region from any other pitch, chord, or region. The basic diatonic space appears in example 3. More stable pcs at one level appear at the next higher level. The configuration in example 3 is oriented to the tonic chord in C major

Example 2: Constrasting interpretations of the opening C♯ at the beginning of Debussy's
   Prélude à l'après-midi d'un faune: (a) Felix Salzer's; (b) Matthew Brown's.

(a)

(b)

(C = 0, C♯ = 1, . . . , B = 11). Different configurations represent different
chords and regions. The chord distance algorithm in example 4 trans-
forms the structure in example 3 into other structures inside or outside
the tonic region. Its variables are two cycle-of-fifths operators—one to
transform diatonic scales along the chromatic scale, the other to move tri-
ads around the diatonic collection—and a third factor to track pc non-
duplications that result from these transformations. If values are calcu-
lated for all the chords within a region, the closest distances fall on the
cycle of fifths and the next closest on the cycle of diatonic thirds.
Projected geometrically, the result is the chordal space given in example
5a, which, if extended along each axis, can be expressed toroidally.
Likewise, if distance values are calculated for all the regions, the geometry
takes a similar form, shown in the partial representation of regional space
in example 5b. (Regions are designated in boldface.) This space dupli-
cates Weber's (1817–21) and Schoenberg's (1954) regional charts. Both
spaces correlate with Krumhansl's (1990) data representations based on
experiments on the perceived distances of pitches, chords, and keys from

Example 3: The basic diatonic space.

Octave level:	0						7					
Fifth level:	0						7					
Triadic level:	0			4			7					
Diatonic level:	0		2	4	5		7		9		11	
Chromatic level:	0	1	2	3	4	5	6	7	8	9	10	11

Example 4: The chord distance algorithm.

$\delta(C_1 \rightarrow C_2) = i + j + k,$
where $\delta(C_1 \rightarrow C_2)$ = distance from chord C_1 to chord C_2; i = the number of t7 (mod 12) steps on the chromatic level of the basic space, applied to the diatonic level; j = the number of t4 (mod 7) steps on the diatonic level of the basic space, applied to the triadic, fifth, and octave levels; k = the number of new or "noncommon" pcs, counted at all levels, in C_2 compared to those in C_1.

Example 5: Geometric projections of distances derived from the chord distance algorithm: (a) a portion of chordal space; (b) a portion of regional space; (c) a portion of chordal/regional space.

(a)

iii	V	vii°
vi	I	iii
ii	IV	vi

(b)

e	G	g
a	C	c
d	F	f

(c)

III	V	vii°	iii	V	vii°
VI	e	III	vi	G	iii
ii°	iv	VI	ii	IV	vi

III	V	vii°	iii	V	vii°
VI	a	III	vi	C	iii
ii°	iv	VI	ii	IV	vi

III	V	vii°	iii	V	vii°
VI	d	III	vi	F	iii
ii°	iv	VI	ii	IV	vi

an induced tonic. Example 5c combines the two models into one, with the tonic chord of each region represented by its regional letter name and the regions arrayed as in example 5b.

This spatial organization provides a basis for reductional choices. Take the abstract sequence of events W, X, Y, and Z at any prolongational level, and imagine that X and Y occur within a prolongational region bounded by superordinate W and Z. What prolongational connections do X and Y make? As *GTTM* explains, events cannot connect outside their superordinate endpoints. X could conceivably attach to W, Y, or Z; Y could attach to W, X, or Z. Suppose now that X's least distance in the space is to W and Y's least distance is to Z. Then that is how they attach. If the least distances were otherwise, the attachments would be otherwise. Events are inter-

Example 6: The melodic attraction algorithm.

$$\alpha(p_1 \to p_2) = {}^{s2}/_{s1} \times {}^1/_{n^2},$$

    where p_1 and p_2 are nonidentical pitches; $\alpha(p_1 \to p_2)$ = the attraction of p_1 to p_2; s_1 = the anchoring strength of p_1 and s_2 = the anchoring strength of p_2 in the basic space; and n = the number of semitone intervals between p_1 and p_2. (The anchoring strength of the chromatic level is 1, that of the diatonic level is 2, etc.)

preted by the least distance in their prolongational context. I call this powerful factor the "principle of the shortest path." The length of the path between events also quantifies the extent to which the progression tenses or relaxes.

The basic diatonic space also provides a framework for intuitions of attraction between individual pitches (Lerdahl 1996). For instance, in the context I/C, leading-tone B is more attracted to tonic C than C is to B, and B is more attracted to C than it is to Bb or A or G. The attraction algorithm in example 6 quantifies these intuitions for any virtual or realized melodic or voice-leading context. The operative factors in the algorithm are semitone proximity and the ratio of the depth of embedding of the two pitches in the current configuration of the basic space.

All of these concepts and structures transfer—in principle and, it is hoped, eventually with empirical support—to post-diatonic styles in which there are both a scalar level and a chordal level built from stable elements in the scalar level. For example, octatonic tonal music comes in three varieties, depending on whether the chordal level is filled by a half-diminished seventh chord, as in Wagner, a French sixth, as in late Scriabin, or a triad, as in neoclassic Stravinsky. Substitution within a single scalar or chordal level in one of these spaces effects a kind of modulation across spaces, as, for instance, van den Toorn (1983) has explored for Stravinsky. Any of these spaces can be modeled by the distance algorithm by changing the cyclic operator for its variable j so that chordal motion is capable of being saturated within the collection. For the diatonic collection the cyclic operator for variable j is t4 (mod 7) over the scale level, or the cycle of fifths; however, for the octatonic collection it is t2 (mod 8) over the scale level, or the cycle of minor thirds. Repeated transposition by fifth moves the triad to all possible positions in a diatonic collection. Analogously, repeated transposition by minor third moves a chord—whether a half-diminished seventh, a French sixth, or a triad—to all possible positions of the given structure in an octatonic collection.

Consider as illustration the opening section of the fifth movement of Bartók's Fourth Quartet. In analyzing this passage, Morrison (1991) reviews the stability-salience distinction and proposes stability criteria involving "disposition pairs" (as proposed earlier by Benjamin 1978) and

progression within an octatonic collection. These criteria enable him to mount a prolongational sketch. The pitch-space model can provide a foundation for his approach. Simplifying somewhat, in this passage the diatonic collection is replaced by the octatonic collection and the triadic level is suppressed, resulting in the basic space in example 7. Variable j in the distance algorithm is set at t2 (counting at the scale level) and variable k is unchanged. The treatment of variable i is elementary, for there are only three mutually equidistant octatonic regions. The resultant spatial mapping appears in example 8: the fifth level forms squares and the octatonic regions form a triangle. In the example, the three octatonic regions are indicated by "**oct 0**," "**oct 1**," and "**oct 2**," respectively. This structure resembles Lendvai's (1971) well-known axis system. The purpose of presenting it here is not to repeat what has been said elsewhere but to demonstrate that it derives, with small changes, from the same principles that generate the diatonic structures in example 5.

Added to this system are the disposition pairs derived by Morrison from a statement by Bartók (1976), who completes the aggregate by a combination of Lydian and Phrygian modes built on a single tonic. This Lydian/Phrygian polymode yields double leading tones around the tonic and dominant pitches, indicated by the arrows in example 9. Although one could employ this chromatic voice-leading complex directly (as, for instance, Schoenberg did in his Second String Quartet), Bartók thought in terms of diatonic modes. These four leading tones do not fit within a

Example 7: Octatonic basic space with the usual chordal level suppressed.

Octave level:	0								7			
Fifth level:	0								7			
Octatonic level:	0	1		3	4		6	7		9	10	
Chromatic level:	0	1	2	3	4	5	6	7	8	9	10	11

Example 8: Chordal/regional space for Bartók's Fourth Quartet, V.
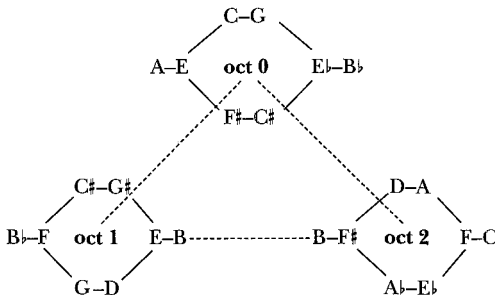
single octatonic scale. Thus, the music at hand employs two overlapping pitch organizations: the octatonic collection and the Lydian/Phrygian polymode. Calculations of the attraction algorithm would demonstrate what is intuitively transparent: among all the pitch pairs in the Lydian/Phrygian polymode, the greatest attractions are from the double chromatic leading tones to the first and fifth scale degrees.

A full prolongational analysis of the Bartók passage would involve a complete time-span segmentation as well as a step-by-step reduction over the associated prolongational regions. I will provide just a few snapshots of the opening section. The material spins out repetitively, making C salient. The role of salience here is not just to establish tonicity by emphasis but to provide orientation within a stability system that is, as implied by examples 8 and 9, intrinsically symmetrical. The asymmetrical diatonic system, by contrast, does not require salience to establish orientation. Level 1 in example 10 distills the crucial elements in the unfolding discourse: at (a), the C–G fifth, in bass and soprano, with leading tones Db and F# frozen into the sonority; at (b), the viola-cello ostinato, adding Ab to the leading-tone mix; at (c), the initial line in the violins, which continues in the same octatonic mode as the music proceeds; at (d), transposition within **oct 0** to a chord on A; and at (e), further transposition within **oct 0** to a chord on F#. In (d), the grace note F, and, in (e), the frozen chord-tone D, arise from transpositions of the Lydian/Phrygian polymode, which unfolds simultaneously with transpositions in **oct 0**. The spelling of the chords in (a), (b), and (d) is Bartók's, indicating that he conceives the foreign tones as having leading-tone function. Level 2 reduces out these frozen leading tones in (a), (b), (d), and (e), on the basis of the hierarchy provided by the octatonic basic space in conjunction with the attraction algorithm's operation on the Lydian/Phrygian polymode. The assumption is that the leading tones are so attracted to the roots and fifths of the chords that they perceptually merge with them. Unlike diatonic tonal practice, the nonharmonic tones thus reside within the prevailing harmony; there is reduction within as well as across events. The melody in (c) reduces to the C#–F# fourth that comprises the frozen leading tones over the prolonged

Example 9: Bartók's Lydian/Phrygian polymode, with double leading tones indicated by the arrows (from Morrison 1991).
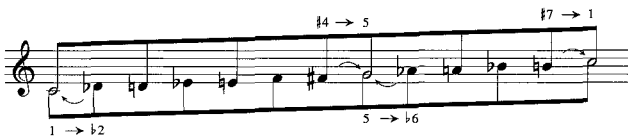
Example 10: Fragments of a prolongational analysis of the first section of the fifth movement of Bartók's Fourth Quartet.

C–G pedal. Here the basis is salience: C♯ and F♯ are boundary tones, and F♯ has the greatest stress and duration. Level 3 adjusts the registers of the prolonged fifths that govern the section, displaying a harmonic progression around the minor-third cycle. In terms of example 8, the path is counterclockwise with C-centricity and within **oct 0**.

Morrison argues for the relative hierarchical significance of the F♯ area, so that the area on A nests within a larger prolongational connection from C to F♯. This interpretation is supported by the pitch commonality between the opening chord built over C at (a) and its tritone transposition at (e). Leaving aside complications arising from the overlapping use of the Lydian/Phrygian polymode, the tritone transposition of (0 1 6 7) duplicates itself, while the minor-third transposition at (d) yields the other pcs of **oct 0**, (3 4 9 10). Hence (a) is closer to (e) than (d) is to either. By the shortest path, (a) connects to (e) in the derivation, with (d) as passing. This is shown at level 3 in example 10.

This discussion has sketched how aspects of Bartók's music are amenable to strict prolongational treatment along the lines of the corresponding tonal theory. The attraction algorithm is unchanged, and likewise (although I have not shown it) with the method for constructing prolongational regions. The crucial differences concern adjustments in the basic space and, consequently, in the distance algorithm. Stability remains a crucial factor. Despite its nondiatonic and nontriadic structures, this music remains tonal in fundamental ways.

When an atonal surface does not elicit a hierarchical pitch space of the type in examples 3 and 7, the distance algorithm fails to apply, and the listener reverts to all-purpose perceptual strategies to make sense of the input. In Lerdahl (1989), I provide a list of interactive factors that mark a pitch event as salient in its context, such as relative loudness, density, duration, registral extremity, and so forth. The psychological premise is that, other things being equal, contextually prominent elements are the most attended-to and the most connected in memory. From relative salience within hierarchically organized prolongational regions, the listener constructs a prolongational reduction of limited depth.

As Boss (1994) points out, however, there is more to atonal prolongation than the contribution of psychoacoustic salience. He proposes two additional ways of distinguishing structural from ornamental events: limiting which events are accepted as structurally connected, and limiting how subordinate events can be ornamental. Unless a musical surface can fit into a hierarchical pitch space like that of the Bartók, the strategy of limiting structural connections comes down to privileging motivically related intervallic structures; that is, closely related motives or pc sets are picked out as prolongationally connected, while unrelated motives or sets are treated as subordinate within that prolongational context. I am uncomfortable with this strategy, at least in the strong form advocated by Forte (1988). A space such as that in example 7 applies, with minor variants, to many pieces; but motives are associational, not hierarchical, structures that are realized in particular ways in particular pieces. Motivic associations play a local, secondary role in tonal reduction; they should do likewise in atonal music. My position in this regard is more Schenkerian than Schoenbergian.

The limitation of ornament types is more promising, for it relates to the standard typology of dissonances for tonal music and can be general in approach. In addition to salience, four principles of perceptual organization help distinguish ornamental from structural tones.

First is streaming. The auditory system automatically parses the incoming auditory signal into simultaneous, continuous streams of activity (e.g., a speaking voice, a humming air vent, and car traffic outside the window).

Bregman (1990) has explored the variables that govern this ubiquitous process, and in ways that impinge on music perception. Generally, the further apart two pitches are registrally and the less similar their acoustic characteristics, the more the ear hears them as belonging to separate streams.

Second is the anchoring principle, articulated in psychological terms by Bharucha (1984). Briefly stated, listeners expect a dissonant pitch to anchor on a subsequent, proximate, and more consonant pitch. The relation between consonance and dissonance is asymmetrical: unstable pitches are judged to be closer to stable pitches than the reverse. Subsequent resolution assimilates the dissonance to the consonance. The attraction algorithm in example 6 models this phenomenon, explaining the asymmetry not by differences in distance but by differences in attraction. The rules of dissonance treatment in tonal syntax implicitly rely on the anchoring principle.

Third is virtual pitch theory (Terhardt 1974). When hearing a chord, the ear tries to match the pitches to a harmonic template corresponding to the natural overtone series. Virtual pitches account for the perception of missing fundamentals and chordal roots. If a chord does not fit the template well, the ear weakly infers multiple roots. If the chord fits the template perfectly, the ear infers a single root. (Incidentally, virtual pitches—which were not postulated at the time—underlie intervallic roots in Hindemith's (1942) theory of harmony, rather than the difference (or combination) tones upon which he relied.)

Fourth is the "critical band" and the associated phenomenon of roughness. When a periodic signal reaches the inner ear, an area of the basilar membrane is stimulated, the peak of which fires rapidly to the auditory cortex, causing the perception of a single pitch. If two periodic signals simultaneously stimulate overlapping areas, the perturbation causes a sensation of "roughness." In most pitch ranges this sensation arises from intervals between a unison and a minor third. This area of overlapping is called the critical band. Plomp and Levelt (1965) modernized Helmholtz's (1885) beating theory of dissonance by demonstrating the role of the critical band in judgments of sensory consonance.

The first two perceptual principles, streaming and anchoring, together identify an important kind of atonal ornament: the resolution of a melodic pitch to a subsequent proximate pitch. If two pitches in a sequence are at least a minor third apart, they potentially coexist as members of different melodic streams or as members of an arpeggiated chord. (The pitches may vary in salience, but that is not the present concern.) However, if the two pitches are a minor or major second apart, they un-

equivocally fall within the same stream. In line with the anchoring princi-
ple, and all else being equal, the first pitch is more ornamental and can be
reduced out.

Since the anchoring principle in its tonal application relies not just on
subsequent proximity, but on the relative consonance of the second pitch,
it may be asked whether an extension of the principle to atonal melodic
sequences, where it is assumed (for present purposes) that both pitches
are equal with respect to consonance and dissonance, is justified. A brief
answer is that because anchoring is pervasive in tonal music, listeners
transfer it by habit to superficially similar contexts in atonal music; yet, be-
cause there is no resolution of dissonance in an atonal context, the effect
is comparatively weak. A compatible but more probing answer is that an-
choring depends on attractions, and the attraction algorithm (ex. 6) has
two parts: s^2/s_1, which represents levels of stability (or relative consonance),
and $1/n^2$, which represents proximity. In an atonal context, it is assumed
that pitch space is flat, so both pitches are at the same level and the effect
of s^2/s_1 is neutralized: $s^2/s_1 = 1/1 = 1$. But $1/n^2$ nevertheless remains operative.
If two pitches are a semitone apart, $1/n^2 = 1/1^2 = 1$, which expresses a moder-
ate attraction; if they are two semitones apart, $1/n^2 = 1/2^2 = 1/4$, which is a
rather weak attraction; if they are three semitones apart, $1/n^2 = 1/3^2 = 1/9$,
which is a miniscule attraction. Thus, even without the role of s^2/s_1,
melodic attractions are felt, but the effect of the inverse-square factor ren-
ders inconsequential any attractions between pitches a minor third or
more apart. The distance between a unison and the major-second/minor-
third boundary can be called the attraction band. Attractions within the
band are strong enough to justify the practice of atonal anchoring.

The attraction band agrees with what is established elsewhere concern-
ing proximal pitch perception. Its extent corresponds to that of the per-
ceptual attention band, within which humans focus on proximate more
than on non-proximate pitches, much as they notice objects near to each
other in the visual field more quickly than objects that are far apart
(Scharf et al. 1987). Bharucha (1996) builds his recent connectionist ap-
proach to anchoring on the notion of attentional selectivity: a dissonant
pitch is relatively salient (particularly if it falls on a strong beat), and draws
attention to itself and to nearby stable tones; the focus of attention in-
creases activation at that point in the neural net, and this activation
heightens the appetite for resolution. It is noteworthy that the width of
the attention band corresponds to that of the critical band. Scharf et al.
hint at a common basis for the attention and critical bands, but the physi-
cal mechanisms underlying it are not yet fully understood. Evidently, the
neural firing that gives rise to the critical band is an aspect of the attention

process. Thus, there is a convergence between a critical threshold in values predicted by the attraction algorithm, frequency-selective auditory attention, and the frequency range that gives rise to sensory roughness.

Example 11 illustrates the operation of streaming and atonal anchoring for melodic lines taken from Schoenberg's orchestral song "Seraphita," Op. 22, no. 1; these fragments are discussed by Boss (1994). In a radio talk (published as Schoenberg 1965), the composer beams the violin line as in example 11a, following his intuitive awareness of streaming. Boss evaluates intervals between the two streams, but from a psychoacoustic standpoint such intervals are less important than those within a stream. In example 11b, Schoenberg emphasizes the pitches marked by an "x," connecting them as lines, again apparently on the basis of streaming. In the second fragment of example 11b he treats the second pitch F as a neighboring ornament between E and E♭. From the present perspective, this is so because the F and E♭ occur in the same time-span segment and within a minor third. By the anchoring principle, the F is a quasi-appoggiatura and reduces out. The first note E is structural in comparison to the F on the ground of salience, for it abuts a grouping boundary. Schoenberg and Boss are both interested in bringing out motivic relationships, but the distinctions in question hold anyway. Boss similarly treats the two circled As in mm. 1–2 of example 11c as embellishing neighbors. Again, by the anchoring principle, the D♯ in m. 3 is a quasi-appoggiatura to C♯. The A in m. 3 resolves to A♯ by the same factor, and likewise with C in m. 4 to B in m. 5, and with E♭ to D in m. 5. Although A♯ to G♯ in m. 4 could be treated in parallel fashion, in this case the comparative salience of the A♯ seems to override the anchoring principle. That is, the anchoring principle and salience vie for dominance, in the manner of *GTTM*'s preference rules or of competing activations in a neural net. Under this view, the A♯ wins because of its relative length and the G♯ functions as a quasi-*échappée*. Similarly, the B in m. 1 is sufficiently salient by virtue of its beginning the phrase, that it dominates the B♭ later in the measure.

Example 11d slots these choices for example 11c into a prolongational analysis of the entire line, divided into two streams. Observe that the structural notes of the two lines form intervallic successions that are inversionally equivalent: B–C♯–A♯ in the upper stream, C♯–B–D in the lower. In this analysis, motivic relatedness is a consequence rather than a cause of reductional levels. (At the next reductional level, the two streams would coalesce into one, showing a motion from the opening B to the closing D.)

The third perceptual principle, the extraction of virtual pitches, comes into play not for melodic sequences but for harmonic contexts that include relatively consonant chords. Example 12a, Webern's Op. 7, no. 1, provides a good illustration. Any convincing analysis must address the

Example 11: Application of perceptual principles for distinguishing ornamental from structural tones for melodic lines from Schoenberg's Op. 22, no. 1: (a–b) are taken from Schoenberg (1965:9, 19); (c) from Boss (1994:205); (d) is my prolongational analysis of (c).

(a)

(b)

(c)

(d)

presence of the striking ending on an E♭ major triad. As Berry's (1987) analytic sketch projects, the piece prolongs E♭, first by a high E♭ pedal, then by undulation between E♭ and C♯, with C♯ embellishing E♭ within the attraction band, and finally by the E♭ triad. But the pitch E♭ is in an inner voice; why is it, more than the G that overlays it, recovered at a global level? The reason is that, even in this atonal context, E♭ is the unambiguous virtual pitch, or root, of the sonority. The major triad lends the E♭ psychoacoustic, and therefore hierarchical, prominence.

Example 12b gives a prolongational analysis of the piece. Level 1 presents local connections. An interesting detail concerns the local anchoring of the undulating E♭ and C♯ on D in the violin in m. 8. In a more global perspective, however, this D embellishes the E♭ back in mm. 6–7. The D in m. 8 is then left hanging, in symmetry around E♭ with the low E in the piano; both express an unrealized attraction to E♭ in their own registers.

Example 12: Webern, Op. 7, no. 1, and its prolongational analysis.

(a)

(b)

Level 2 shows global connections between pitches that are superordinate at level 1. Pitches at level 2 are "normalized" (roughly as in Rothstein 1990) into five sonorities, in agreement with the grouping structure. The motion is essentially stepwise in all voices: in the soprano, E♭ by octave transfer throughout, with an inner-voice G–F–E♭ in mm. 3–6 in the violin; in the alto, G♯–B♭–A–G; in the tenor, A–B–B♭; in the bass, E♭ to E, elaborated by a neighboring F♯. From the present viewpoint, such motion takes place within the attraction band, creating the attractional pull that channels these pitches into individual streams.

This is not the occasion to discuss how this analysis is derived. It should be noted, however, that such a derivation cannot be as decisive as one for a tonal piece, because of the inapplicability of the distance algorithm and the weakened applicability of the attraction algorithm. This partial indeterminacy in the analysis reflects the perceptual/cognitive reality of the difficulty in processing atonal surfaces. Nonetheless, the analysis is not merely subjective but is generated by formal procedures. These procedures could be instantiated in a computer program and could be submitted to empirical testing.

The fourth perceptual principle, the critical band and roughness, is important to atonal prolongational theory—beyond its apparent connection to attractions and attention—in the following way. In Lerdahl (1989) I assume that, because dissonance is not syntactically controlled in atonal music, pitch space is flat. However, pitch space is never completely flat, not only because some pitches are more salient than others, but because sequences of simultaneous combinations of pitches yield varying degrees of roughness. Pressnitzer et al. (in press) conduct experiments using complex sonorities in which salience is neutralized and roughness is varied. They find that listeners reliably correlate roughness and tension. The implication for the present theory is that low roughness might partly take the place of high salience in atonal prolongation. That is, within each prolongational region, relatively rough events might be reduced out, leaving more consonant events for the next reductional stage. A potential difficulty with this hypothesis is that relatively rough events also tend to be relatively salient. As a result, salience may conflict with and even overwhelm sensory consonance as a reductional factor. The hypothesis is attractive, however, in its appeal to intuitions of tension and relaxation, which are the starting point in *GTTM*'s conception of tonal prolongation. In this sense, prolongational theory comes full circle. The difference is that for tonal music the chief measure of tension, once local dissonance is reduced out, is a cognitive one, based on distances from triad to triad in the elaborate mental schema that is tonal pitch space, whereas for atonal music the chief measure of tension is psychoacoustic at all levels.

Example 13: The ending of Bartók's Fourth Quartet, together with its prolongational analysis.

The Bartók movement discussed above projects a combination of cognitive and psychoacoustic tension. Cognitively, it creates pitch-space paths in octatonic and other quasi-tonal spaces; it prolongs and resolves to C as tonic. Psychoacoustically, it modulates through degrees of roughness throughout. With the closing gesture shown in example 13, the dissonant (0 1 4) trichords on the upbeat and downbeat move to an implied C-major triad, partly resolving the roughness. This is accomplished by the melodic descent to C (E♭–D♭–C), accompanied by the soprano F♯ moving to E. The final melodic C arrives while, in other streams, G and E linger in memory.

Throughout most of the Webern piece, roughness remains at a more or less even state between pure consonance and crunching dissonance. At the end, however, as the violin ceases and the low E in the piano fades (see ex. 12a), the E♭ triad brings an unprecedented level of sensory consonance. This moment provides a simulacrum of tonal closure, not by cognitive resolution to a tonic in a chromaticized basic space, as in the Bartók, but by sensory resolution to a euphonious sonority within an otherwise unhierarchized space. Although in other pieces Webern often seeks an open form, in this instance his goal is prolongational resolution. To this end, the E♭ triad implicates two psychoacoustic principles: virtual pitch theory for the centrality of E♭ (as mentioned above), and nonroughness for the effect of resolution. Both are needed: a triad with any other root would create an open form by not prolonging the E♭, and a dissonant chord containing a salient E♭ might manifest prolongation but not closure.

In these brief analyses I have ignored pc-set approaches to atonal analysis. I see analysis of that kind as supplementary to a prolongational approach. To take two simple instances: in the Bartók the musical unfolding could not take place without the possibility of partitioning the octatonic

collection into two (0 1 6 7) tetrachords; and, as Morris (1994) discusses, the (0 1 4 7) tetrachord and closely related sets are prevalent throughout the Webern. It is the E in the bass, placing the E♭ chord in a (0 1 4 7) context, that allows a triad to conclude the piece without violating harmonic consistency. By itself, however, a pc-set analysis leaves a piece in a tangle of fragments that are not particularly accessible to the ear. A prolongational theory, freed of encumbering baggage from tonal theory, is required to account for the ways in which atonal pieces act as unified wholes that progress from beginning to end.[1]

Notes
    1. This paper is a revised version of a talk given at a session on atonal pitch organization at the 1996 annual meeting of the Society for Music Theory in Baton Rouge, LA.

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Competition in the Sundanese Performing Arts of West Java, Indonesia[1]

By Sean Williams

Introduction

The area of West Java, Indonesia is home to a rich variety of Sundanese performing arts. The Sundanese number approximately 35 million, and are the second most numerous group in Indonesia after the Javanese.[2] In the latter half of the twentieth century many of the Sundanese performing arts have shifted from being widely dispersed through the rural areas to being concentrated in the regional capital city of Bandung. Several factors have contributed to this shift toward Bandung, including the achievement of Indonesian independence from the Dutch in 1945, increased urbanization, the establishment of performing arts academies, and media influences.[3] Many of the musicians and dancers still performing today have taken part in the dramatic changes that have occurred in establishing Bandung as a cultural center, and have altered their lives—and, in some cases, their ideals, through their acceptance of changing standards of performance—to reserve a place for Sundanese arts and artists in the 21st century. This article examines the competitions, sheds light on the relatively new trend of establishing standards through regional competitions, and highlights potential developments in the local performing arts if the trend of competitions continues.

Prior to Indonesian Independence the Sundanese performing arts were either closely tied to village traditions of agriculture or were supported by (and performed for) the members of the hereditary aristocracy. It is the traditions most valued by the former aristocracy (including dance, instrumental music, singing, and recitation), as well as those that developed after Independence (popular Sundanese music as well as staged and choreographed social dance), that form the backbone of modern competitions in the performing arts. With the breakdown of the patronage system following Independence, many musicians had to move to Bandung to find work. During the post-Independence era many musicians had to temporarily abandon their vocation, seeking livelihoods in any field that provided an income. By the early 1960s the Indonesian economy was sufficiently restructured so that musicians once more thrived under a type of reorganized urban patronage, including performing for department store openings, television shows, hotel guests, and weddings with several thousand people in attendance.

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Since the 1960s, competitions have increasingly become a major av-
enue for the promotion and marketing of Sundanese culture, as well as
for building support for the arts among young people. Eagerly supported
by many urban Sundanese culture enthusiasts, competitions sometimes
determine the extent to which a performer may further his or her career.
In a typical competition, the results include relative fame (and the possi-
bility of a recording contract or other suitable advantage) for the winners,
disgrace for the losers, and enough fuel for years of local gossip. Critics ar-
gue that in a climate driven more strongly by stage performance and me-
dia exposure than by the slow, steady (and relatively private) advancement
of one's art, competitions lead to the continuing development of the "star
system" (see Weintraub 1997:238), standardization of the repertoire, and
the discouragement of diversity among performers, while a small pool of
jurors decides on stylistic appropriateness.

Young Sundanese musicians and dancers are accustomed to competing
within the performing arts. Competitions of various kinds (e.g., reciting
the Qur'an, singing pop songs, dancing basic steps, or identifying aspects
of geography) may begin as young as age five, and the results are printed
in newspapers with photographs of at least the female winner.[4] Repre-
sentatives from various schools compete against one another, with the
competitions beginning in a single grade of a particular school, then pro-
gressing to the district, city, and sometimes the national level. Winners,
even at a young age, receive small prizes, such as school supplies, a cash
bonus, a gift certificate, or other incentives. Parents tend to enter whole-
heartedly into these events, encouraging their children and helping them
to study or practice at home. The young child who wins a competition is
honored at home and in the neighborhood, the newspaper photograph
is clipped and mailed to relatives or framed on a wall of the home, and a
standard of performance is set for others to meet or surpass. That child's
reputation for being intelligent, devout, or talented then follows the child
through most of his or her school career.

Sponsoring a Competition

The competitive spirit is fostered throughout Sundanese society via gov-
ernment and corporate sponsorship. At the competitions, the names of
the sponsors are posted prominently behind the contestants, and photo-
graphs of the winners often include the names of the sponsors in the
background. Competitions may be sponsored by various branches or local
offices of the government, whose members are given the responsibility for
locating sites, selecting a jury, establishing prizes, handling publicity, and
managing the event from start to finish. In a series of interviews con-
ducted in 1989 and 1996, government officials who discussed the sponsor-

ship of competitions were nearly unanimous in their view that sponsoring a competition led to the development of regional and national pride. As one official put it, "If we sponsor a competition, the participants and the audience members become more aware of the arts, better educated, and better citizens of Indonesia." The argument was that the recognition of local talent was good for celebrating diversity—particularly in emphasizing the large number of Sundanese music and dance genres—and that since *Bhinneka Tunggal Ika* (Unity in Diversity) is the national motto, celebrating diversity through regional and national competitions is good for the country.

> Officials use wayang [rod puppet theater] contests as opportunities for recruiting performers who will subsequently lead the masses in their participation in national development. The arts are constructed and valued by the state as a cultural medium for carrying and disseminating messages of development. (Weintraub 1997:189)

Performing artists in Indonesia often lack the steady income that civil service workers enjoy; their income is sporadic and depends entirely on their relationship to the leaders of performance groups. As a result of the difficulty of making a decent living in the arts, many performers seek steady employment in government offices. The government is the largest employer of civilians in Indonesia. The presence of a single performer in a position of power (for example, as the head of an office) leads to other performers gravitating toward that person. Some government offices have a majority of performers among the workers. (The Bandung tax division, for example, is renowned for its performers.) In a competitive event with government sponsorship, the entire office may take the day off to attend (and perform in) the event. Offices may send their best performers to compete against other offices, and everyone turns out to support the candidates. Taking the day off is relatively easy for a performer, because the prestige of winning a competition then reflects well on the performer's office.

Corporate sponsorship is very important in terms of providing large prizes and gifts for the winners. Depending on the nature of the competition, certain corporations tend to sponsor particular events. For example, the cigarette company Remaja (Teenager) is known for sponsoring competitions among up-and-coming rock bands. Department stores also sponsor competitions. Occasionally, representatives from companies (particularly cigarette companies) are on hand to distribute free products, especially at events aimed at young people. Because many competitions require an invitation to be a member of the audience, the mayhem that

might occur at the chance for free products is minimized; showing one's invitation at the entrance may result in receiving a small packet of "sampler" products from the sponsor. Publicity generated by the large number of audience members and hangers-on at these events outweighs any minor financial outlay on the part of the corporate sponsor (see also Coplan 1985:77).

The most prestigious competitions are sponsored by nongovernmental organizations such as the Daya Mahasiswa Sunda (DAMAS), the organization of Sundanese students. In fact, the membership of DAMAS is overwhelmingly constituted by older artists and patrons who are no longer students, but who are deeply committed to the preservation and continuation of the Sundanese performing arts. The members of DAMAS include recognized leaders in the arts, and being a prominent person within the organization means being an important person in the Sundanese performing arts; other organizations convey similar status to their members.[5] Thus, having "DAMAS 1991" printed on one's cassette cover indicates that one has the blessing and sanction of the foremost arts organization in West Java.

Preparation for a Competition

The dates for a particular competition are announced in the newspapers and on the radio months in advance. Following the initial announcement, high-ranking members of the arts community begin to wield their influence to change the dates, and the dates may end up being shifted half a dozen times (with an official announcement and corresponding rumors to the contrary) before they are finally established. Reasons for the shifting of dates have to do with local holidays, conflicting events (such as the wedding of the son or daughter of a local official), or a major national event (for example, the 1996 death of Ibu Tien Suharto, the former president's wife, which entailed a long period of official mourning and, therefore, a change in the scheduled dates of the DAMAS *tembang Sunda* (classical vocal music) competition for that year). Almost immediately after the announcement of dates, the established performers (in particular, previous winners of competitions sponsored by that event's sponsor) are swamped with eager, potential students of all capabilities.

In the pre–competition era (prior to the 1950s), the accepted approach to studying with a master artist involved the student becoming a member of the artist's entourage. A prospective student might work as a servant, bringing tea, running errands, being helpful in a variety of small ways, and listening quietly for long periods of time before actually learning to dance, sing, or play an instrument. In other words, the teacher (*guru*) would become familiar with the student, speak easily to him or her as

from a superior to an inferior, and learn to trust the student's intentions. After this time, the guru might try the student out on a few easy songs or steps, or request a more advanced student to take on the beginner for free in a trial run. The more advanced student, because of the debt he owes his teacher, would then take the beginner under his wing and bring him up to an appropriate level.

During the months preceding a competition in the late 1990s, however, many such conventions may be abandoned. People who plan to participate in a competition find out when lessons or practices (*latihan*) will occur, and begin showing up. Mothers bring their daughters, boyfriends escort their girlfriends, and young men come alone or with friends to the homes of respected performers. In such preparation sessions—for a variety of competitions, including those in dance, vocal and instrumental music, and martial arts—the teacher usually views such outsiders with courteous distance, and may correct only the most obvious errors.

In 1996 I observed a man at a rehearsal for a DAMAS competition of tembang Sunda. He had come to the rehearsal alone, and had no social connections to anyone there. He received correction only on the pitches of the songs, and was offered no sense of phrasing, interpretation, dynamics, or ornamentation. On the other hand, another student who had approached the teacher in the more traditional manner described above was received warmly, and offered more intensively focused guidance than he could assimilate.[6] Similarly, in preparation for a martial arts competition, the teacher repeatedly threw the new (competition-oriented) students to the floor, while speaking in a detailed way to his regular students. Nonetheless, in the hope of winning a competition, prospective students flock to nearly anyone who holds regular practice sessions.

In addition to the process of finding and working with a guru and practicing constantly, contestants occasionally look for success through spiritual and/or medicinal means. Some contestants fast for a single day of each week leading up to the competition (usually on the day of the week that coincides with their birth), or spend time in prayer or meditation (*betapa*). Others consult with sellers of herbal medicine (*jamu*) to find ways to enhance the voice, tone the body, strengthen the muscles, or improve coordination. David Coplan mentions a local equivalent to the latter practice in the context of *sefela* (migrant song) competition in South Africa (Coplan 1994:231).

Anatomy of a Competition

Sundanese competitions are always focused on a particular genre, such as popular song, gamelan, a type of dance, or recitation. Competitions may be held in the daytime or at night, depending on the sponsor.

Government- and school-sponsored events are usually held during the day, beginning in the early morning, because the candidates are already present at work or at school, and the time is made available. Some corporate- or organization-sponsored events may also be held in the daytime, but many are held on several successive evenings. Another option is to hold the initial rounds during the daytime, followed by the final in the evening. In general, the first rounds do not necessarily generate heavy attendance (except by friends and family of the competitors), but the final is a gala event of great social and political significance. Sections of a competition are usually divided by gender, because most Sundanese performing arts repertoires are gender-specific. For example, certain vocal styles (such as the "Rajah" invocation in tembang Sunda) are only appropriate for men to sing, while others may only be sung by women (such as the fixed-meter *panambih* songs of the same genre). Classical and social dances may also divide along gender lines; however, coeducational training in schools has tended to ease (or perhaps temporarily suspend) certain gender boundaries in the performing arts (Williams 1998).

Several weeks prior to the competition the sponsors send out invitations to influential people, detailing the place, date, and time of the event. Because the initial round may be held in a separate location from the final, two separate invitations may be issued. The invitation functions as an entry pass, and considerable networking immediately occurs to obtain extra invitations for friends and family, as well as for people with business or political connections. By this time, the aspiring contestants (*calon*) have either ceased to study (and will not enter the competition), or have intensified the focus of their practices, coming almost daily to their teachers' homes. Contestants preregister with the sponsoring organization.

Women competitors spend considerable time deciding on clothing, hair styles, jewelry, and makeup. Men wear formal performance clothing, but do not otherwise pay extra attention to their appearance (nor are they expected to). Women borrow especially dazzling outfits from relatives, or even rent them from wealthier people. Renting a special outfit (with detailed beadwork, for example) can cost more than $150. However, a costume is likely to be rented only if the contestant expects to reach the finals, when seeing other people and being seen by others are extremely important.

On the morning of the competition audience members arrive and register their names and addresses in a guest book. Each contestant receives a large numbered badge, which is pinned to the costume. If the event is a dance competition, contestants use recorded music. The use of recorded music tends to minimize problems in interpretation, since Sundanese dance drumming often posits a particular stylistic relationship and under-

standing between the drummer and the dancer. Dance contests vary: In classical dance the repertoire is well-known and relatively limited, so the choices are more limited. In contrast to performers of classical dance, choreographed social dance (*jaipongan*) contestants choose from a much larger variety of pieces. If the contestant makes it through the first round, he or she may then proceed to the final.

Song contestants are usually given a choice of pieces (*lagu pilihan*), such as one song out of four options, and are also assigned one required piece (*lagu wajib*). Contestants use live ensembles paid for by the sponsor. In a pop Sunda contest in 1991, the band included a traditional Sundanese set of three barrel-shaped drums (*kendang*), an electric guitar, an electric bass, a Yamaha DX-7 synthesizer keyboard, and a trap set. All day long for each of two consecutive days the musicians were required to play from a very small selection of pop songs for various contestants. By the end, the audience members had memorized all of the words to all the songs and were singing so loudly that the master of ceremonies had to ask them to lower their voices for the sake of the contestants.

Audience participation at most competitions tends to be quite lively. Friends and family applaud loudly for their favorites, and many audience members converse throughout the entire event. Michael Tenzer describes Balinese gamelan competitions in a way that may offer a slightly more colorful illustration of the setting.

> The atmosphere at these events [Balinese gamelan competitions] is much more reminiscent of a sporting event than a concert. . . . The audiences are thoroughly responsive to everything taking place in the music or dance, reacting instantaneously with approving cheers at a particularly well executed passage, or jeering with abandon at the slightest mistake. (Tenzer 1991:110)

Audiences in Sundanese competitions begin to pay close attention when major contenders appear onstage, or when a contestant begins making mistakes. In the former case, the audience listens or observes very closely and quietly, watching for elements of fine skill or for particularly good segments. In the latter, the audience tends to look for mistakes that can be discussed in detail later, either for general amusement or to help future candidates understand the pitfalls of a particular song. Indeed, in 1987 a group of tembang Sunda musicians were still discussing—with great hilarity and accuracy of detail—the single error of an unfortunate vocal contestant who briefly slipped into the melody of a different but very similar song in the DAMAS competition of 1976. This same error was brought up at least four times during my research in 1996, twenty years after the original event. If an audience favorite (especially the projected

winner) happens to make a mistake, the sympathy in the room is palpable: people make a sucking sound through their teeth, hum and nod in pity, and look at each other in distress.

Many competitions include a category for "contestant most favored by the audience" (*juara favorit*). No criteria are offered; instead, a box may be passed among the audience members, who deposit slips of paper marked with the number of a personal favorite. On two occasions (in 1987 and 1989) I witnessed the friends and family members of several contestants stuffing fistfuls of numbered slips into the proffered box. Each group had brought pens of various colors and styles in an attempt to avoid the appearance of cheating.

As the jury begins its deliberation, amateurs and previous contest winners are brought in to entertain the audience. Participation (*kaul*) by nonprofessionals or noncontestants at any event is usually welcomed, and these performers are received with generosity, wild laughter, and applause by the audience. At a government competition, for example, a division head might agree to sing one song, to the wild applause of his underlings. At a school competition, a teacher or parent might perform. At an organization-sponsored competition, a previous winner is expected to perform, and is usually asked politely in advance. Foreigners are sometimes brought onstage, usually with memorable results. Distraction is the aim of this kind of programming, because competitions are fraught with tension. The music or dance teachers of contestants always attend these competitions, and their presence (if they are not already on the jury) adds to the tension and the excitement because of their own histories of professional competition with each other.

Once the winners of the initial selection are announced, the slate is generally wiped clean and all of the finalists have a fair chance at winning the final. Many, if not all, of the original contestants try to at least attend the finals, to participate in the scene as well as to receive pointers for their future work. By listening to audience commentary and observing which contestants' performances are favored by the jury, a future competitor may enhance his or her grasp of currently important criteria for success. Contestants and audience members dress up in their best clothes to attend the final, and many people try to arrive early to socialize and to be seen and photographed.[7] During the meeting of the jury for the finals, guest performers are again brought onstage, but they are generally of good quality and can be trusted to entertain the audience at a professional level. Audience members at the finals tend to have stronger ties to that particular art form than those who come to the lower-level competitions; for example, they may have studied the art form themselves. The announcement of the winners is greeted by approving applause if the re-

sults are obvious, and by gasps, scattered applause, and loud talking if the choice is a surprise. Runners-up are announced first, followed by winners (*juara*) #3, #2, and #1. The winners go home and celebrate, and the losers are usually publicly devastated and morose. A significant amount of gossip can be generated by losers and their friends who mistrust the jury.

Jury Selection and Criteria

In general, juries for Sundanese competitions comprise panels of widely acknowledged experts in the field, and often include at least one or more previous winners of the same competition. Conflicts of interest abound, however, because the best performers tend to have some of the very best students, each of whom is interested in winning a competition and furthering his or her own career. In addition, the parents and patrons of contestants seek out influential members of the juries and offer favors of various kinds, including money, political influence, and increased social standing if their child is selected.[8] Erlmann points out a similar situation in South African choral *isicathamiya* competitions: "[T]here are many ways in which choirs seek to increase their prestige and share of the cake, one of the most prevalent methods being the use of magic and the bribing of judges" (Erlmann 1996:273). Some musicians simply shrug after competitions, saying, for example, that there was really no point in having the competition because the daughter of an officer was competing, and that the jury therefore had no choice but to award the child first prize.

In the most ideal situation (and the one that most jury members strive for), the jury remains neutral. "Our talent is a gift from God," mentioned one male juror. "It is our duty and our honor to bring the next generation forward through fair judging." Euis Komariah, a respected vocalist and frequent juror, openly discussed the possibility of recusing herself from the jury of a particular competition, because her top student was competing. She recognized the possibility of conflict of interest and wanted to offer her student the fairest chance she could. (The student later won the competition twice in a row.)

Contestants are judged by a mutually agreed-upon set of criteria (determined by the jury), which may include accuracy of pitch, skill in vocal or instrumental performance, grace as a dancer, physical appearance or comportment, and the extent to which the contestant has internalized the meaning (*pangjiwaan*) of the piece being performed. For example, at a jaipongan competition in 1989, dancers were judged, first and foremost, on being light on their feet. Even though the dance form requires equal dexterity of arms and legs, performers for that competition needed to be *lincah*, described as "prancing like a deer." The balance between technical and aesthetic criteria is negotiated by the jury prior to each competition.

In tembang Sunda competitions, the repertoire is so firmly established and the range of variation so limited that the jury knows every ornament of every song well, which is in marked contrast to some other competitive traditions, in which presenting something new is absolutely crucial (cf. Turino 1993:67). Variation from established norms is so risky that most tembang contestants will listen closely to one of the famous singers and emulate that singer's style as well as they can. The students of jury members have virtually no choice but to follow the precise direction offered by their teachers. In some cases, a cassette recording of the accepted version of performance is created by an acknowledged master of the genre and made available to contestants in the months prior to the competition (as in the 1996 and 1999 recordings for the DAMAS tembang Sunda competition), so that all contestants have the chance to learn the standardized version.

Becoming a Star

In addition to receiving a very large trophy (up to one meter in height), an adult contestant may receive a significant cash prize (such as one million rupiah awarded to the winning musical ensemble[9] of a 1991 contest, worth about $430 at the time). Other awards might include a motorcycle, a computer, a "lifetime supply" (or at least a year's worth) of a particular food, or bags of rice. Intangibles, which are what most contestants really hope for, include being invited to record at a prestigious recording studio, being invited to become part of one of the more prestigious performing arts groups (*lingkung seni*) if they do not already belong to one, being asked to join an international tour, or being asked to teach in one of the local colleges, schools, or informal teaching settings. Becoming even a local celebrity in one's school or office is a benefit because of the respect and admiration that it engenders.

Winning a competition may also lead to long-term benefits that winners may not even anticipate, such as reaching the upper echelons of society, or being invited to perform at the most important political and social events (such as receptions for foreign heads of state). The most desired result, however, is the launching of one's career as a musician or dancer, with all the risk (particularly financial instability) that being a performer may entail. Ironically, the social mobility that might occur with the winning of a competition seems to be more readily available to a woman than to a man, because a female winner is in a better position to marry upward once she has won a competition.

On certain cassette covers (in small letters on the lower right side) appear an acronym and a date (e.g., DAMAS 1988). This acronym and date signify that the main performer was the top winner (*juara*) of a competition

in a certain year, and is therefore certifiably good enough to merit the purchase of the cassette. No matter how many years it may have been since the competition, one victory can help to set up a performer for life, in terms of establishing a reputation, winning recording contracts, getting good gigs, and earning the respect of fellow musicians.

> The winners [of *wayang golek purwa* competitions] receive recognition among their peers as well as promotion through reports in the popular press. In addition, the top three *dalang* [puppeteers] are invited to broadcast a wayang golek purwa performance on the national radio station network. In this sense, the contest acts as a kind of official sanctioning of certain kinds of performance over others. (Weintraub 1997:193)

Most first-place winners do not enter a repeating competition more than once or twice. The primary reason for being happy with a single win has to do with the sense that one has already established one's credentials. Another reason, which tends to be discussed in whispers rather than openly, is that most winners are afraid of losing ("takut kalah!") on the second try. The musicians or dancers who win a competition two times in a row, however, need never fear that the public mistrusts their abilities, or sees the initial win as a fluke or simple stroke of luck. A double win is lasting proof of both competence and talent, and is attempted by only the very brave.

Gossip and Scandal

Some musicians maintain that what goes on behind the scenes is the best part of the competitions, because it gives people something to talk about for months or years afterward.[10] Some competitions are followed by months of newspaper and magazine articles detailing the rumors of intrigue and secret deals behind closed doors, offering multiple viewpoints and printing interviews with, and letters to the editor from, eyewitnesses. Suspicion of a rigged jury generates the most gossip and the most bitter feelings.

Because the Sundanese performing arts community is rather small and divided in terms of alignment with particular patrons or performing group leaders, the possibilities are seemingly endless for suspicion, accusations of conflict of interest, rumor-spreading, and backstabbing. Musical "accidents" may also occur unless contestants are particularly kind to their musical accompanists; some unscrupulous musicians have been rumored to play incorrectly in order to throw particular contestants off pitch (Williams 1990:160). Journalists sent to cover these competitions rely on

precisely this kind of feuding to get good copy, and some even create quotes from audience members to start the gossip mill turning. In an interview with a journalist from one of Bandung's main newspapers, I was told that part of a journalist's job is to sometimes create commentary "as if it had been mentioned by an audience member or contestant."

Because the audience consists at least partly of performers who know the styles in competition, a significant amount of gossip comes from exploring in excruciating detail the mistakes of previous contestants. In addition to the aforementioned small slip in the 1976 tembang Sunda competition, in 1991 a Sundanese zither (*kacapi*) competition was thrown into chaos when the 20-year-old grandson of a jury member was awarded first place over a famous and very experienced kacapi player (Rukruk Rukmana), whose borrowed kacapi went slightly out of tune as he played. The community immediately fell into two camps: those who felt that the jurist's grandson (Gan-Gan Garmana)—who was indeed both highly skilled and very musical—had every right to expect the first prize for his fine playing, and those who felt that a string slipping out of tune should not have disqualified the more experienced player. To this day, both sides have questions about the event, and the fact that the primary jurist (Uking Sukri, the most well-respected of all twentieth-century kacapi players) is now deceased means that the issue may never be resolved.

Two more examples: In 1987 the room in which a dance competition was held became filled with shouting people when the finest student of one of the most feared and respected jurists (Gugum Gumbira) stumbled and nearly fell; the jurist threw down his glasses and could barely watch the next contestant because he was so angry. In 1996 a tembang Sunda competition generated a newspaper article hinting at possible mistakes (or worse) on the part of the jury when the male winner did not appear to be the audience favorite. Each one of these incidents reveals the tense climate in which some of these competitions take place.

Firing Up Enthusiasm

Almost invariably, the initial response from older Sundanese artists to the question of advantages and disadvantages of competitions focuses on the issue of stewardship: Who will carry on our art once we have gone? Several highly respected elderly artists (including Apung Wiratmadja, Uking Sukri, and Bakang Abubakar) repeatedly expressed serious concerns about what appeared to be a looming twilight for some of the most significant traditional art forms. According to both older and younger artists, competitions have several attractions for young people: most importantly, they "fire up enthusiasm" (*membakar semangat*) for the arts. At a time when Bandung—as the Sundanese cultural center—has become

intensely cosmopolitan, classical dance and music face a crowded field of contenders for the attention of Sundanese youth. Some teenagers are embarrassed by the arts of their parents' and grandparents' generations, and dismiss them as "feudal" (*feodal*) and "ancient" (*kuno*).

Many of the older artists hope that recontextualizing these arts in a lively, modern setting will lift the onus of the pre-Independence past. In his discussion of Peruvian panpipe competitions and the ways in which they serve to legitimize rural music for young urbanites, Thomas Turino observes that "the emcee, the trophies, and a stagelike performance setting (sometimes for a sit-down audience) are framing devices that may be valued by the residents precisely because they link their performances to other established urban venues" (Turino 1993:225).

Sometimes "firing up enthusiasm" conflicts with the logistics of planning an event. In a 1988 competition of sung poetry (*pupuh*), the intent of the competition was to inspire elementary and middle school students to become interested in Sundanese poetic meters. All of the seats at the competition were taken up by teachers and visiting dignitaries (who gave lengthy speeches on the importance of pupuh and how all the students should study it). Meanwhile, the students themselves had to stand outside the building in the harsh sunlight and listen to the competition through inadequate loudspeakers. Some competitions are announced but never actually take place (especially if they involve relatively new or unusual genres), at least partly because they may be announced in the hope of luring a financial sponsor.

The lure of cash and other prizes, coupled with the promise of fame and the possibility of recording or touring, indeed has the desired result of drawing teenagers toward the Sundanese arts. As Apung Wiratmadja (who functions essentially as a statesman in the tembang Sunda community) told me, "They're drawn by the money and the fame, but they stay for love." Other advantages mentioned by the same vocalist are that competitions encourage bravery (performing in front of a large group of people), they allow people to learn from their own mistakes, and they build repertoire among contestants, who are forced to learn a large number of songs very rapidly (Williams 1990:161). The building of repertoire is a strong advantage for would-be professionals. Competitions have even been described by performers, government officials, and young performing arts students as effective in building a sense of community (cf. Erlmann 1996:225 and Turino 1993:66). It was the hope of many—repeatedly echoed in newspaper articles and letters to editors—that the drama and excitement of competitions would help the traditional arts to maintain a strong footing in an arena increasingly challenged by Western and Asian popular culture.

Competitions: Threat or Inspiration?

Although many of the artists with whom I spoke were able to accept the competitions as part of the framework of the modern performing arts, most of these same artists were bitterly vocal about potential side effects. The strongest criticism, brought up again and again, was concern about the chilling effect of competitions upon individual innovation. Sundanese musicians, dancers, and government officials pride themselves on the rich diversity of their arts, citing the official record of over 200 distinct performing art forms within the province. Multiple styles have blossomed within each of these art forms, to the extent that individual teachers claim ownership of certain types of vocal ornamentation or dance movements, and all succeeding students are expected to maintain the distinctiveness of their teachers' variants. Andrew Weintraub, in his discussion of wooden puppet (*wayang golek*) competitions, notes that "The first point is to 'cultivate and correct' principles of performance and, thus, to homogenize regional and other differences in performance practice" (Weintraub 1997:190). The authority of one's own teacher can be undermined, and the songs and dances may take on an increasingly generic character by creating standardized versions acceptable for competition (by fixing the choreography, for example, or releasing a private recording for contestants to study). This critique was offered, ironically, not only by several sponsors of competitions, but also by some people directly involved in the standardizing of the music and dance repertoire.[11]

In addition to the issue of standardization, many performing artists worry about problems of jury selection. Professional performers and academics maintain an uneasy balance of power. Some of the older (and most proficient) artists lack an appropriate academic degree to work as teachers or paid consultants in the schools and colleges. On the other hand, the faculty in Sundanese performing arts institutions have the necessary academic degrees, but a few may lack the skill or musicality to be effective teachers of the traditional arts. This dichotomy is neither universal nor insurmountable; however, stylistic, social, and political divisions sometimes come between the academics and the professional performers. In most cases, current juries consist of both.

Further concerns that were voiced quietly, but frequently, had to do with whether future juries would be selected exclusively from the ranks of unskilled academics or government officials, once the older masters had passed away. In my two years of continuous study, statements such as "Who will guard our treasures?" and "Who will help us remember?" were frequently uttered by elderly performers. In witnessing conversations about competitions—whether in person or through loudspeakers—I often heard a stern warning: "Don't let it happen that the Sundanese have to

go to America to study their own traditions!" [Indonesian: *Jangan sampai orang Sunda harus pergi ke Amerika untuk belajar kesenian diri sendiri!*] While this statement obviously referred in part to a particular foreign researcher,[12] it was also a serious indictment of the problems that could result from preserving an art form in government-controlled "formalde-hyde," killing any hope of development.

Some Sundanese performers positively thrive on competition. One teacher lamented the fact that she had only one serious student, because the lack of competition from a rival meant that the student would never rise above her current state of complacency.[13] In several other areas of the world, competitions have significantly contributed to interest in local culture. Goertzen, for instance, discusses the ways in which modernization has boosted the Norwegian folk revival: "The progressive encroachment of international pop culture facilitated by advances in communication and transportation made anything specifically Norwegian ever more precious" (1998:104). Tenzer points out that without competition, some women's gamelan groups in Bali simply dissolve (1991:109). Turino mentions a similar situation with the following pithy comment: "For [a particular musical ensemble], rehearsing music repeatedly outside the context of a festival would be like practicing cooking and then throwing away the food" (1993:156). Finally, Coplan's discussion of *sefela* competitions highlights the importance—also seen in certain aspects of Sundanese performance practice—of achieving maximum validation of one's musicianship, identity, and community through competition.

> The competitive dimension of sefela performance expresses the social tension inherent in the notion of games as a friendly fight, a conflict that unites people in a common excitation over the display of individual prowess in social accomplishment. Indeed, competition is regarded by many performers as the central dynamic, the point of performance. Some singers, encountered by chance, declined to perform without a partner and rival, someone to resound for and against, while others consented to imagine an interlocutor [in the sense of American minstrelsy] for the occasion, as long as some prize money was provided as a stimulation. Still others I met at home in rural Lesotho explained that, while they enjoyed performing for a local audience, they seldom did so since their village lacked suitable competitors." (Coplan 1994:204)

In the case of Sundanese performers, it is not really enough to get performances, recording contracts, and international tours through skill and connections alone. Having a public affirmation of that skill is an

important way for many young people in particular to guard their reputation as performers and open up access to new musical, social, and financial opportunities.

Conclusion

The chance to participate in a competition is one of the forces that drives new interest in the Sundanese performing arts. It leads to enthusiastic participation and intensive study on the part of young musicians and dancers, and its rewards are tangible and satisfying. The chance to launch a decent career as a performer is an important incentive in a region where unemployment is high and associating oneself with a performing arts group can lead to continuing social and financial rewards. The current excitement surrounding competitions is an important means of ensuring stewardship of the traditional arts. At the same time, the problems of standardization and of covert battles over artistic authority within each genre lead to concerns that the arts of the future may be attractive but empty imitations of their twentieth-century counterparts. Sundanese music and dance forms—in spite of the diversity of genres and the frequent development of new and sometimes short-lived creations both inside and outside the academies—do not necessarily hold the attraction or relevance to modern Sundanese life that other forms of entertainment do. For a young performer who stands at the crossroads of traditional and popular culture, however, a competition can make all the difference.

Notes

1. The fieldwork for this article was conducted in West Java, Indonesia (largely in the city of Bandung) between 1987 and 1989, and again on separate occasions in 1991 and 1996. I am very grateful for receiving a Fulbright-Hays Doctoral Dissertation Award to carry out the main body of my fieldwork, and for receiving permission to do research in Indonesia from the Lembaga Ilmu Pengetahuan Indonesia. I would also like to express my thanks to the many musicians and dancers with whom I worked, especially the *lingkung seni* (performing arts group) Jugala. In addition, various government officials, contestants, and jury members kindly helped me to understand their ideas and ideals surrounding the nature of contemporary competitions. Lastly, I wish to thank the many people who reviewed this article prior to its publication; their comments and suggestions were essential in helping me to refine it.

2. All foreign terms, unless otherwise indicated, are in the Sundanese language. Most direct quotes from performers and government officials are provided in English only. Indonesian and Sundanese were my only languages of communication with Indonesians, so the English-language quotes provided here are my translations of the original statements. In most cases—due to the sensitive nature

of conversations dealing with the issues of competitions—the people making the statements wished to remain anonymous. "You should write all of this down, but don't tell people that I said it" was a common response to my requests for information about behind-the-scenes workings of competitions. Out of respect for the performers and government officials who wished not to be identified, I have offered more generic identification of their positions in society or in performing groups.

3. Bandung is a city of approximately two-and-a-half million inhabitants. It is home to over two dozen institutions of higher education, and is also the center of Indonesia's aerospace technology industry. It supports several influential recording studios and record companies, which market Sundanese music throughout the region and in Jakarta and Bali, where a strong demand for Sundanese music has developed among the tourists. Competitions held in other regional cities outside Bandung—such as Sumedang, Tasikmalaya, and Garut—are often viewed as preparatory for Bandung competitions. When a province-wide competition is hosted by a regional city other than Bandung, it is a matter of great local pride.

4. Women performers are much more frequently featured in the newspapers and on cassette covers than are men. See Williams (1990:188) and Van Zanten (1989:49) for more information about the use of photographic images of men and women in Sundanese music.

5. One of the main reasons that the DAMAS competitions are so meaningful to Sundanese performers is that DAMAS continues to function as the standard-bearer for quality in the traditional performing arts. Some of the most influential members of the organization were alive in the pre-Independence era, and although the arts have changed considerably since the Revolution, the belief prevails that the DAMAS elders are keeping the arts on the "true path."

6. Tembang Sunda was the subject of my dissertation (1990) and that of Dutch scholar Wim Van Zanten (1989). It is considered the most elite of the Sundanese arts and is characterized by melismatic vocal ornamentation, complex phrasing of poetic meters, and themes (in the sung lyrics) of nature, the ancestors, and love. Because tembang Sunda enthusiasts as well as performers of other music and dance genres consider tembang Sunda to be strongly representative of pre-Independence aristocratic culture (Williams 1990:265), appropriate behavior in tembang Sunda rehearsals and performance sessions is sometimes viewed as appropriate Sundanese behavior altogether.

7. Polaroid photographs of the arrivals of competitors and audience members are nearly always available for a small fee during intermissions and after the events. Photographers may be either freelance workers or the employees of a local photography studio.

8. At a beauty contest in 1988 I observed the wife of an important military officer approach a juror, lean over the table toward him, and say that a certain number belonged to her child. He looked at her, cleared his throat, shifted in his seat, wrote something down, and nodded. She went back to her place in the front row, and the daughter later won a place in the top three. Just after a 1988 competition in tembang Sunda a relative of one of the jurors jokingly bemoaned the end of all

the favors from the contestants. "We all get to enjoy these gifts," she said. "Jurors and musical accompanists are treated like royalty for at least a month before each competition."

9. The ensemble was led by Yayah Rochaeti Dachlan, an excellent performer who runs her own performing arts group (*lingkung seni*).

10. On three separate occasions I listened as musicians decided to attend a competition solely for the gossip. "Who cares who wins?" said one. "I just want to see [a certain performer]."

11. Standardization is particularly a late-twentieth-century concern in Sundanese music. The Sundanese population was widely dispersed in remote rural areas even after the Dutch established Bandung as an administrative center in 1864. Although most of the upper-class Sundanese arts were imported from central Java (including batik, some gamelan, and some of the classical dances), they developed into relatively independent local forms.

12. My ability to quickly learn the basics of two Sundanese genres—tembang Sunda and *jaipongan* (social dance)—was a matter of concern for some elderly Sundanese performers. As far as I was able to ascertain, the concern was based on my use of a very accurate (and idiosyncratic) system of notation that gave the illusion of being able to precisely (though awkwardly) reproduce the pitches and ornamentation of any song after a single hearing. The fact that a foreigner could learn so quickly, and that most young Sundanese showed not the slightest interest in learning the music, deeply pained these elderly performers.

13. I was unnerved and amused to discover that some of my own teachers hoped that some other white foreigner would come to Bandung and challenge me, so that they could all watch us compete against each other and speculate about who was the best musician. In almost every case, the "best musician" implies the best teacher; any accolades accorded the student usually reflect on the teacher. According to Euis Komariah: *Kalau muridnya bagus, gurunya terbawa bagus* [If the student is good, the teacher is carried along as well].

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"Telling a Story": Louis Armstrong and Coherence in Early Jazz

By Brian Harker

> *The average [jazz] improvisation is mostly a stringing together of unrelated ideas.*
> —Gunther Schuller

This oft-quoted statement by Gunther Schuller (1986:87) might sound like a critical indictment of jazz, but in fact it serves an apologetic purpose. By acknowledging structural weakness in the playing of most jazz soloists, Schuller can highlight the achievement of the exceptions—those "titans of jazz history" who somehow overcame the forces of entropy at work in the act of improvisation. Unlike their less inspired colleagues, says Schuller, such figures as trumpeter Louis Armstrong and saxophonists Coleman Hawkins and Charlie Parker sometimes created solos that "held together as *perfect compositions*" (1986:87, italics added). Even though, for Schuller, successful solos don't necessarily require coherence, those that have it rise to the level of "composition," a creative process often deemed capable of producing musical "perfection," usually through considerable forethought and revision.[1]

Louis Armstrong appears first on Schuller's list of exceptions for good reason: Armstrong's improvised performances made compelling compositional sense, even to composers of art music for the concert hall. As early as 1936 Virgil Thomson praised the "tensely disciplined melodic structure" in Armstrong's solos (1981:31), and twenty years later the influential French writer and composer André Hodeir made a similar assessment (1956:58). These and other like-minded observers shaped the development, in the second half of the century, of a widely shared critical view of Armstrong's music. Current jazz history textbooks frequently emphasize the well-crafted architecture of his solos.[2]

Given the backgrounds of Schuller, Thomson, and Hodeir in European-based compositional practice, their interest in structural unity is easy to understand. These days, however, their writings inevitably raise the question: Is it necessary or appropriate to apply *coherence*, a bedrock value of Western European musical aesthetics, to the music of African-American musicians like Armstrong? According to leading scholars in black critical theory, the answer is an emphatic no. Bruce Tucker expresses the feeling of many, denouncing "traditional musicologists who have trained the heavy artillery of European formalist analysis on black music . . . leaving the cultural context—which is to say any conceivable significance—far

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behind" (1991:vii).[3] Such writers disdain a "formalist" preoccupation with "the notes" not only for its inadequacy to illuminate black music, but because, for them, such an approach implicitly derogates African-American culture by evaluating it with outside aesthetic criteria instead of its own.[4]

The search for a culturally grounded analytical framework for black music is long overdue.[5] And yet to discard every critical tool that is not specifically African-American ignores both the European influence on jazz and the cultural intersection of the two traditions on certain fundamentals (for example, triadic harmony). More important, many jazz musicians seem not to share Tucker's reservations. Oral histories make clear that jazz musicians have always practiced "close listening" to musical texts, and that they have found—to answer Tucker's objection—plenty of "significance" in the notes themselves, aside from any explicit cultural ties.[6]

On the subject of Armstrong and coherence, a wide range of jazz musicians—both black and white, early and late—corroborate the composer-critics mentioned earlier. Wynton Marsalis, world-renowned jazz trumpet virtuoso, composer, and pedagogue, addressed the topic in a recent interview. Responding to a question about Armstrong's "specific technical achievements," Marsalis declared that "first, he created the coherent solo" (1994). In this statement Marsalis echoes seventy years of interpretation about Armstrong's music from within the jazz community. Armstrong himself allegedly described his approach to improvisation in terms suggesting logical development and progressive expansion: "The first chorus I plays the melody. The second chorus I plays the melody round the melody, and the third chorus I routines" (Sudhalter and Evans 1974:192). As Paul Berliner (1994:201–05) has shown, jazz musicians have traditionally characterized this sort of sequential unfolding in a solo as a kind of "storytelling," a notion presupposing concern for "matters of continuity and cohesion" (1994:202). Indeed, trumpeter Roy Eldridge, widely viewed as Armstrong's stylistic successor, initially perceived the latter's solos as climactic narratives. When he first heard Armstrong in 1932, he recalled, "I was a young cat, and I was very fast, but I wasn't telling no kind of story" (Pinfold 1987:59–60). By contrast, "every phrase [Armstrong played] led somewhere, linking up with the next one, in the way a storyteller leads you on to the next idea. Louis was developing his musical thoughts, moving in one direction. It was like a plot that finished with a climax" (Porter and Ullman 1963:168).

Other musicians from the Jazz Age have similarly emphasized the powerful teleology of Armstrong's live performances. Tenor saxophonist Bud Freeman said that at Chicago's Sunset Cafe (ca. 1926–27) "Louis would play twenty or more improvised choruses, always to an exciting climax." Pianist Earl Hines remembered another time in Chicago when Armstrong

and trumpeter Johnny Dunn engaged in a "cutting contest," that ubiqui-
tous competitive ritual of early jazz: "When it came Louis's turn I don't
know how many choruses he played, but every time he played a new one
he just kept getting higher and higher. That was the end of the trumpet
for that night" (Pinfold 1987:49–50). Cornetist Rex Stewart recalled a
showdown in the late 1920s between Armstrong and his chief rival, Cladys
"Jabbo" Smith. According to Stewart, "Louis never let up that night, and it
seemed that each climax topped its predecessor. Every time he'd take a
break, the applause was thunderous" (Stewart 1965:26).[7]

Two closely related points stand out in these accounts: the inexorable,
climactic trajectory of Armstrong's solos, and their sheer length. Both ele-
ments stunned 1920s listeners because they displayed a rhetorical concep-
tion far removed from the norm. Armstrong inherited a performance tra-
dition in which cornet soloists typically either played "breaks" or melodic
paraphrases (embellished versions of well-known melodies). Breaks
tended to be flashy, clever, and short—usually no more than two measures
—while melodic paraphrases were more stylistically reserved and could
span an entire chorus (i.e., the length of the melody itself). As long as a
soloist followed the contours of a pre-existing melody, coherence was not
at issue. The problem arose when a musician tried to play an extended
solo on abstract, break-like material: it could sound disjointed and capri-
cious. Judging from early 1920s recordings, most nonparaphrase solos be-
fore Armstrong were either lengthy or coherent, but not both.[8]

The lack of structural continuity, however, may have reflected aesthetic
ideals rather than poor craftsmanship. Jazz musicians of this period em-
braced vaudeville entertainment values summed up in the catchword
"novelty." This term denoted qualities in an act that struck the audience as
original, surprising, or humorous; it could be applied to an enterprising
dancer or juggler as well as to a musician. Early jazz bands performed fre-
quently on vaudeville programs, and their music—which often comically
evoked animal sounds, crying babies, and other real-life phenomena—
amply satisfied the demand for novelty.[9] Significantly, W. C. Handy re-
called that the music eventually known as "jazz" was first termed "novelty
music" (Kenney 1986:234).

Few contemporary musical treatises indicate what "novelty" might have
meant in technical terms. One important exception appeared in 1923
under the title *The Novelty Cornetist*. The author, Louis Panico, was the star
soloist of Isham Jones's Orchestra, a leading white dance band in Chicago
in the early twenties.[10] In the book Panico gives detailed explanations and
illustrations of such performance gimmicks as "the laugh," "the sneeze,"
"the horse neigh," "the baby cry," and the "Chinese effect." Panico also
provides a catalog of two-bar breaks (on both tonic and dominant har-
monies) and brief essays on such topics as "jazz melody," "blues," and "im-

provisation." Panico identifies "stop-time improvisation," in particular, as "the most difficult [practice] . . . known to the novelty cornetist." "Stop-time," a routine borrowed from tap dancers, was essentially a series of contiguous solo breaks punctuated by accented downbeats in the ensemble. Panico considered the practice difficult because it compelled the soloist to "keep on going," that is, to sustain the flow of original material beyond the confines of the two-bar break (Panico 1923:87).

The main challenge of stop-time, according to Panico, was not to produce a unified solo. On the contrary, in keeping with the novelty emphasis on unpredictability and surprise, he admonishes the aspiring soloist to strive primarily for "*variety,* inasmuch as that quality of avoiding monotony and repetition is essential." As a rule of thumb, Panico recommends that "never more than two measures of similarity be used, proceeding into a new idea about every other measure" (1923:83). The lively but rambling recorded solos of players like reedmen Don Redman and (early) Coleman Hawkins, both members of Fletcher Henderson's band, suggest that other dance band musicians held similar aesthetic views.

Armstrong's music created a sensation in the twenties in part because his solos exhibited none of the discontinuity advocated by Panico. The difference was readily apprehended by Bix Beiderbecke and Esten Spurrier, young white musicians who regularly attended Chicago's Lincoln Gardens in 1922–23 to hear Armstrong play with King Oliver's Creole Jazz Band. They recognized that in his solos Armstrong "departed greatly from all cornet players . . . in his ability to compose a close-knit, individual 32 measures with all phrases compatible with each other." Such organization produced, in their words, "correlated choruses." Echoing the language employed by Eldridge, Spurrier elaborated on this idea: "Bix and I always credited Louis as being the father of the correlated chorus: play two measures, then two related, making four measures, on which you played another four measures related to the first four, and so on . . . to the end of the chorus." Contrary to Panico's formula and prevailing practice, Armstrong presented "a series of related phrases" (Sudhalter and Evans 1974:51, 100–01).

When Ralph Ellison once called Armstrong a "rowdy musical poet" (1964:192) he was not just using picturesque language, for Beiderbecke and Spurrier's idea of "related phrases" pertains to musical "rhyme." One can hear it in Armstrong's music as early as 1923, on a Creole Jazz Band recording of Armstrong's own composition, *Tears.* In the middle of the piece Armstrong plays a long series of breaks that alternate every two measures with ensemble passages—a design similar to stop-time. Yet he binds the breaks together motivically as though they were simply successive phrases in a chorus-length solo. The second break in *Tears,* for example, mirrors, parallels, or "rhymes" with the first break in a number of

ways: it begins on the second beat; it inverts the sawtooth contour from descending to ascending; and it reverses the sequence of events, placing the running eighth notes in the first bar and the sustained note in the second (ex. 1). But the strongest link with the first break is in the last five notes. Here the rhythms, contour, minor mode, and final whole step interval are identical, and even the pitches are never farther than a whole step away from their counterparts in the first break. By reserving the strongest similarities for the end of the phrase, Armstrong creates a musical rhyme not unlike that which binds together two lines of traditional spoken poetry. The "rowdiness" referred to by Ellison comes both from Armstrong's rollicking manner of delivery and, in structural terms, from the complex network of internal relationships between the breaks—secondary rhymes, one might say—prior to the closing five notes.

This knack for connecting similar ideas allowed Armstrong to expand his solos beyond the limits of the two-bar break—even beyond the horizon of the single chorus—without losing the thread of continuity. As Marsalis explained it: "[Armstrong] developed, from the conception of playing on breaks, playing solos in which phrases were like—matched phrases that could be played in the context of the rhythm section. And that created the long form solo" (1994). That evolution from break to full-length solo involved negotiating with convention on several levels. At first, Armstrong fashioned his solos around commercial and other "outside" melodies, obscuring them to varying degrees with his own melodic ideas. As Armstrong left the structural safety of pre-existing melodies, he had to rely to an unusual extent (for the time) on harmonic progressions. In one respect this worked well, since his abstract melodic vocabulary consisted primarily of arpeggios and scales. But now the full weight of melodic design fell upon him. As a result, Armstrong took a judicious approach to improvisation. Rather than start from scratch with each new solo, he apparently used improvisation as a means to refine his ideas from one performance to the next—in a sense, "composing" his solos publicly. Over time his best solos acquired a sense of "inevitability" through a frequently climactic overall structure and tight motivic relationships among phrases. That Armstrong often repeated these final incarnations essentially note-for-note explains Schuller's expression "perfect compositions."

An investigation of coherence in Armstrong's solos from the 1920s requires that we first address the following dichotomies: improvisation vs. "composition," melodic paraphrases vs. newly invented lines, and melody-based vs. harmony-based solos.[11] Although these principles are intimately related, we shall see that Armstrong's recordings with Fletcher Henderson illuminate particularly well the roles of improvisation and melodic paraphrase, while his Hot Five (and Hot Seven) recordings reveal more about

Example 1: *Tears:* musical rhyme between Armstrong's first two breaks.

his use of original lines based on harmonic progressions. These issues will
then inform an examination of Armstrong's breakthrough recording, *Big
Butter and Egg Man,* in which he achieved an unprecedented balance and
clarity of structure within a complex web of motivic cross-relations.

<p align="center">* * *</p>

More and more studies of early jazz are suggesting that before the
Swing Era, freely improvised solos were the exception, not the rule.[12]
Critics have long known that certain classic solos of the 1920s, such as
King Oliver's *Dippermouth Blues,* had eventually become "set," that is,
largely unchanged from one performance to the next. Such acknowledg-
ments, however, had to contend with the vociferous ideology, born in the
thirties, that jazz without its spontaneous "folk" element—improvisation—
was not true jazz.[13] Writers for *Metronome* magazine, for example, reported
in amazement in 1938 that the late, legendary Bix Beiderbecke had "pet
choruses" that he played over and over again in the 1920s (1938:19). The
same could be said of Armstrong. The recordings he made with Fletcher
Henderson in 1924–25 open a window onto his creative processes during
this early period because of the relative abundance of alternative takes, in-
cluding those on *Shanghai Shuffle, Words, Copenhagen, Naughty Man, How
Come You Do Me Like You Do?, Everybody Loves My Baby, Mandy Make Up Your
Mind, I'll See You In My Dreams, Why Couldn't It Be Poor Little Me?, Play Me
Slow, Alabamy Bound,* and *Money Blues.*[14] As Jeffrey Magee has observed,
Armstrong played quite similar solos from one take to the next on most of
these pieces (1992:326–31). Some alternative takes, though, show subtle
changes between otherwise identical solos, revealing improvisatory im-
pulses at work. The question, then, becomes: How did Armstrong strike a
balance between preset routines and improvisation?

The first issue to be addressed concerns Armstrong's use of melodic
paraphrase. To whatever extent he relied on an existing melody, after all,

to that extent he was not improvising. In the forty-five solos he recorded with Henderson, Armstrong's paraphrases range from transparent re-phrasing to only distant echoes of the melody. To grasp the scope of his technique it may be useful to propose five types of paraphrase in his play-ing, even though most solos incorporate aspects from more than one type. The five types outline a scale of increasing melodic abstraction:

(1) Armstrong plays original melody with only minor rhythmic alter-ations.

(2) Armstrong plays original melody, but adds extensive melodic em-bellishments and interpolations as well as new rhythms.

(3) Armstrong creates new melody based on fragments of the original melody.

(4) Armstrong creates new melody based on important pitches of the original melody.

(5) Armstrong creates new melody that is *almost* independent of the original one, sometimes basing lines explicitly on the harmonic structure.

Armstrong frequently employs the first type. In *Tell Me, Dreamy Eyes* and *My Rose Marie*, for example, the melodies stand out unambiguously in Armstrong's lines. Except for a few added pitches, Armstrong simply adjusts rhythmic values without distorting the character of the original melodies.[15] In the first takes of *Words* and of *Naughty Man* Armstrong ex-emplifies the second type. While preserving recognizability, he radically transforms the old rhythms and spikes the melody with elaborate neigh-boring riffs, often supplanting an inactive measure with a flourish of new material. The third type brings us to *Go 'Long Mule*, a solo with a specific melodic shape correctly identified by James Lincoln Collier and Magee as one of Armstrong's own creations.[16] But they go too far, in my opinion, to assert that Armstrong made "a clean break from the original melody," as Magee put it (1992:151).[17] Example 2 shows how much Armstrong relied on the tune to construct his ideas. In the first two measures he works over the opening interval of the melody, E♭–C, resolving to B♭ in the third bar (though his point of arrival is G). Similarly, he mirrors the C–B♭ alterna-tion in mm. 5–6. After an arpeggiated break unique to the solo, he re-peats the pattern, referring more obliquely to the melody at first (mm. 9–11), but then reflecting the C–B♭ oscillation as before (mm. 13–14). Although one might not easily recognize *Go 'Long Mule* in this solo, the melody (as distinct from the harmony) clearly provided the structure for Armstrong's ideas. Nor did he simply extract a seed from which to grow an entirely new specimen: the core elements—the alternations of E♭–C and C–B♭—appear in the same places and fulfill similar roles in Arm-strong's solo as in the melody.

Example 2: *Go 'Long Mule:* melody and Armstrong's solo.

Sometimes Armstrong reduces the content of a tune to a few important pitches, then builds a new melody around them. This fourth type of paraphrase appears in his solo on *Copenhagen.* As shown in example 3, Armstrong lifts what might be called in Schenkerian terms the "structural" pitches from the clarinet trio played earlier, and in a sort of "composing out" process, elaborates his own impressively coherent melody on the foundation thus laid. Here it seems that behind his solo statement Armstrong is no longer "hearing" the entire original melody (as seems evident in, say, *Tell Me, Dreamy Eyes*), but rather a skeletal version that suggests global contours for his solo but nothing more.

The melodic reduction in his thinking becomes more evident (and severe) in his solos on four takes of *Why Couldn't It Be Poor Little Me?*[18] I propose a fifth type of paraphrase to explain this approach because the relation between melody and solo dwindles so much, sometimes vanishing completely. Armstrong's solo in the first take loosely paraphrases the

Example 3: *Copenhagen* (Oct. 30, 1924), first take: melody, reduction, and Armstrong's solo
(adapted from Magee 1992:327).

opening melody, primarily by coinciding with the pitches on the first beat
of mm. 1, 3, and 5 (ex. 4). After that, Armstrong abandons the melody
until the last half of the solo, when he matches the first pitches of each
measure again. The next three takes, recorded "probably a few days later,"
according to Walter C. Allen (1973:154), show still greater independence
from the melody. At first glance the second take might seem almost totally
unrelated, but actually the first three-and-a-half measures of the solo rep-
resent an ornamented expansion of the melody's opening figure (ex. 5).

Example 4: *Why Couldn't It Be Poor Little Me?* (mid-Jan. 1925): melody and Armstrong's four solos (break and first eight measures).

While the third take largely repeats the expansion, the fourth is modified just enough to sever this fragile link with the original melody. From this point on, the solo in takes 2, 3, and 4 repeatedly elaborates a blues figure around the lowered third. One point, however, merits attention: in m. 7 Armstrong experiments with various forms of the F-major triad, showing an effort to replace melodic thinking with ideas based specifically on the

Example 5: *Why Couldn't It Be Poor Little Me?* take 2: ornamented expansion of melody's opening figure.

harmony. Few, if any, of Armstrong's other solos with Henderson stray this far from their melodic moorings. If such departures were exceptions for him in 1925, though, they laid the groundwork for more adventurous forays in the future.

Why do the second, third, and fourth takes of *Why Couldn't It Be Poor Little Me?* connect less strongly to the original melody than the first? Whereas the first and second takes vaguely paraphrase the melody in their own ways, the third and fourth paraphrase the *paraphrase* of the second take, thus drifting progressively further away from the melodic source.[19] For this reason, the first take is quite different from the other three, which are, in turn, very similar to one another. Since the last three takes were recorded a few days after the first, Armstrong may have developed a number of transformations in the intervening period, thus accounting for the thematic disjunction between the first take and the relatively unified ones that followed. By the second recording session Armstrong had rethought his approach to the solo and fashioned each take according to his new ideas.

Despite the apparent individuality of the first solo, a couple of spots common to all four takes support this evolutionary hypothesis. Immediately after the opening, take 2 elaborates material beginning two beats earlier in take 1, which takes 3 and 4 then elaborate in turn (ex. 6). The genealogy becomes especially clear in mm. 6–7. Take 4, with its blues inflections, might bear little resemblance to take 1 in m. 6, but takes 2 and 3 provide a link to show the descent. And the next measure confirms the relationships beyond doubt. The first two takes each present "variations" on the F-major triad: a descending arpeggio in take 1 and an ascending chromatic triplet in take 2. Take 3 returns to the descending arpeggio, but take 4 combines the two ideas, unifying all four solos. Such examples prove that while Armstrong had moved to a different level of thinking by the second recording session, he continued to develop ideas from the first.

Example 6: *Why Couldn't It Be Poor Little Me?* (mm. 1–3): Armstrong's melodic elaboration among takes.

The subtle interactions among the various takes on *Why Couldn't It Be Poor Little Me?* reveal Armstrong's apparent improvisational method: to tinker with already stable designs (whether a preset melody or one of his own) rather than to start fresh with each new performance. Not surprisingly, there seems to have come a point in the life of certain solos at which he largely stopped tinkering and simply repeated what he had played before. In this he may have been following a common practice in the 1920s. In the *Metronome* article mentioned earlier, bandleader Paul Whiteman recalled that Bix Beiderbecke "would never play a chorus the same way *until* he got just what he wanted. Then he'd stick to that chorus and play it that same way over and over again. Once in a while he'd try to improve on his finished product, but most of the time he didn't distort his new composition" (1938:19).

Similarly, multiple takes of Armstrong's solos on *Copenhagen* and *Shanghai Shuffle* reveal not the searching experimentation of a restless artist, but the finished product of a satisfied one.[20] The second take of *Copenhagen,* recorded the same day as the first, shows none of the almost constant melodic and rhythmic variability found in the alternative takes of *Alabamy Bound, Money Blues,* and the last three takes of *Why Couldn't It Be Poor Little Me?* There are three barely noticeable changes in the second take of *Copenhagen,* and at least one of them might have been a mistake.[21] But as Magee observes, there is good reason for the nearly identical repeat. The solo is extraordinarily well-crafted; so much so that even tiny changes in the second take seem to diminish its effectiveness. Louis Metcalf recalls being greatly impressed by Armstrong's *Copenhagen* solo

with the Henderson band (Shapiro and Hentoff 1955:206). Armstrong probably honed this and other famous solos through many performances for appreciative audiences.[22]

* * *

As the foregoing musical examples indicate, Armstrong relied heavily on pre-existing melodies to shape his solos with Henderson. Yet he manifested two distinct styles during this period: melodic paraphrase (including the five types discussed above) and breaks or break-like material. This duality can be heard in many solos, including *Go 'Long Mule, My Rose Marie, Words, Naughty Man* (both takes), *Shanghai Shuffle* (second take), *I Miss My Swiss,* and *Tell Me, Dreamy Eyes.* Whereas melodic paraphrases attest to Armstrong's debt to King Oliver and the previous generation of jazz musicians, breaks often expose running arpeggios, a radical approach (for cornetists of the time) that Armstrong borrowed from clarinetists in New Orleans.[23] The breaks in *Go 'Long Mule* and in the second take of *Shanghai Shuffle,* for instance, exploit the sawtooth arpeggiated pattern— so characteristic of New Orleans clarinet style—we first encountered in Armstrong's opening breaks on *Tears.* Armstrong uses arpeggios in breaks in many other ways as well. Example 7 shows some characteristic breaks he played with Henderson, most of which use arpeggios.

Such abstract melodic ideas do not appear only during breaks. The first two "breaks" on *Tell Me, Dreamy Eyes,* for instance, are not breaks in the truest sense of the word because the ensemble continues playing behind Armstrong. But they occur in the designated spot for breaks—at the end of each eight-bar phrase—and Armstrong shifts gears accordingly, leaving his paraphrase style and surging upward with broken chords. Armstrong occasionally introduces break-like material elsewhere in his solos, usually at the ends of phrases. At the end of his solo on *Words,* he unfurls descending triplets in a flamboyant manner typical of breaks. He executes a similarly intricate falling figure, this time with sixteenth notes, in the fourth bar of *Mandy, Make Up Your Mind* (the end of the first phrase of the tune). Both of these complicated passages appear unaltered in second takes. That Armstrong shows no hesitation in playing them suggests that he had worked them out in advance.

The division between melodic paraphrase and arpeggiated breaks so evident in Armstrong's recordings with Henderson would increasingly break down in the years to come. Around 1926 Armstrong began working his flashy arpeggios into the body of his solos rather than confining them to the fringes. Indeed, one of Armstrong's central concerns at the beginning of the Hot Five recording series was to integrate the two approaches —melodic paraphrase and arpeggios—into a unified solo style.[24] This

Example 7: Characteristic breaks Armstrong recorded with Fletcher Henderson, 1924–25 (mm. a–b represent measures immediately preceding solo choruses).

Mandy (mm. 15-16)

Go' Long Mule (mm. 7-8)

Tell Me, Dreamy Eyes (mm. 7-8)

Tell Me, Dreamy Eyes (mm. 15-16)

Tell Me, Dreamy Eyes, 2nd solo (mm. a-b)

My Rose Marie (mm. 15-16)

Words, take 2 (mm. a-b)

Naughty Man, take 1 (mm. a-b)

Naughty Man, take 1 (mm. 7-8)

Naughty Man, take 2 (mm. a-b)

Naughty Man, take 2 (mm. 7-8)

Shanghai Shuffle, take 2 (mm. 15-16)

required him to rely on harmonic progressions far more than he had done in the past.

Of the eleven pieces featuring cornet solos in the earliest group of Hot Five recordings, five show the relation of melodic paraphrase and newly created lines in Armstrong's playing: *Oriental Strut, Muskrat Ramble, Sweet Little Papa, Big Butter and Egg Man,* and *You Made Me Love You.* For various reasons the other six pieces prove unsatisfactory in this regard: Armstrong's solos on *(Yes!) I'm In the Barrel* and *King of the Zulus* consist of fragmentary lines over a minor vamp; *You're Next* and *Sunset Cafe Stomp* feature Armstrong and the rhythm section playing the verse melody (which never reappears); on *Gutbucket Blues* he plays simple ideas over a blues chorus; and the stop-time chorus in *Cornet Chop Suey,* while impressive, turns out to be just another strain (the "patter") in Armstrong's written-out composition.[25] Unlike these pieces, the first five listed above give Armstrong "solo space" in the conventional sense of the term: the opportunity to improvise variations on the structure of the piece being played.

In his discussion of the Hot Five series, Schuller implies that Armstrong moved gradually, in evolutionary fashion, from a solo style based on the melody to one based on the harmony: "Louis's solo conception developed in exact proportion to the degree his solos departed from the original tune. His later [Hot Five] solos all but ignored the original tune and started with only the chord changes given" (1968:103). This view, while accurate in some respects, oversimplifies Armstrong's musical development. As Collier points out, Armstrong never stopped using melodic paraphrase as a shaping device for his solos (1983:181). On the other hand, he began "ignoring" the original tune to follow the "changes" as early as February 1926. His solo on *Muskrat Ramble,* for example, is only vaguely related to the melody of the B section, the part of the harmonic progression used for solos (ex. 8). In mm. 3–4 of his solo, Armstrong does toy with the Bb–Ab–G–F figure from m. 4 of the melody, and the octave descent in mm. 6–7 roughly follows the original tune. But the rest of the solo bears little relation to the melody, having a form and logic all its own. *Muskrat Ramble* lacks the intricacy and grandeur of later chord-based solos such as *Struttin' With Some Barbecue,* but it establishes an equivalent melodic independence.

Armstrong's solos on *Sweet Little Papa, You Made Me Love You, Big Butter and Egg Man,* and *Oriental Strut* reflect their original melodies much more closely. Yet *Oriental Strut* presents an unusual case. With regard to the relation between melodic paraphrase and arpeggios, this solo represents a departure from Armstrong's approach in his recordings with Henderson. In his book *Ellington: The Early Years,* Mark Tucker contrasts the solo styles in 1924 of Armstrong and Ellington trumpeter James "Bubber" Miley. While the two solos on Ellington's *Rainy Nights* and Henderson's *Naughty Man*

Example 8: *Muskrat Ramble* (Feb. 26, 1926), B section: melody and Armstrong's solo.

share the same chord progression, Tucker observes that "Miley almost sounds like an old-timer when placed next to Armstrong, with the latter's rhythmic vitality and athletic leaps" (1991:149). Yet Armstrong, like Miley, stays close to the melody, saving arpeggios mostly for the breaks. A year later Armstrong recorded *Oriental Strut,* a piece that recalls the harmonies of *Naughty Man,* except that the chords change every two bars rather than every one (ex. 9). Here Armstrong continues to structure his solo around the melody, but now connects each melody note with wide-ranging arpeggios. The solo on *Oriental Strut,* however, sounds more experimental than finished in nature. By attaching arpeggios to certain goal notes, Armstrong seems as yet unsure how to merge his two instincts for chord-derived and tune-based melody. In mm. 17–18, for example, the arpeggios

Example 9: *Oriental Strut* (Feb. 26, 1926): melody and Armstrong's solo.

convey a studied quality reminiscent of the preset figures in early solos like *Chimes Blues* and the introduction to *Cornet Chop Suey.*

As *Muskrat Ramble* demonstrates, during this period Armstrong sometimes rejected the technique of melodic paraphrase to create essentially new melodies in his solos. Largely unfettered by predetermined contours, he began constructing melodies around *arpeggios* rather than vice versa, as in *Oriental Strut.* Perhaps the clearest example of this practice occurs in Armstrong's famous stop-time chorus on *Potato Head Blues,* one of the Hot Seven recordings made slightly more than a year after *Oriental Strut.* As example 10 shows, Armstrong makes passing reference to the melody most strongly at the beginning (mm. 1–3), middle (mm. 17–20), and end (mm. 29–30) of the solo. Otherwise he follows his own muse, treating virtually every phrase in arpeggiated fashion. Although one phrase (mm. 15–16)

Example 10: *Potato Head Blues* (May 10, 1927): melody and Armstrong's stop-time solo.

* alternate fingerings (B-flat trumpet key)

appeared first in his solo on *Tears,* the solo manifests a strong melodic co-
herence at both background and foreground levels of structure. The solo
unfolds in pairs of phrases, most of which exhibit a call-and-response rela-
tionship in which the second phrase recalls elements from the first.[26] This
relationship is especially clear in the two phrases that begin the solo:
Armstrong augments in mm. 3–4 the short-short-long rhythm from m. 2;
the D–D octave descent in mm. 3–4 inverts the F–F ascent in m. 1; and
the oscillating A–C motive that opens the first phrase returns at the end of
the second.

Example 10 (cont.)

Armstrong creates large-scale coherence in a number of ways. At A prime, the beginning of the second sixteen measures, he recalls the opening of the solo, especially in m. 19, which reiterates the emphasis on D in mm. 2–3, and in m. 20, which nearly duplicates the melodic content of m. 4. Yet the dominance of F over D in m. 19 suggests a registral expansion which, indeed, continues throughout the second half of the solo. Armstrong, in fact, builds a climactic series of three descending arpeggios, shown in brackets in example 10. The ledger-line A that begins the first descent reappears much more emphatically exactly four measures later, with an introductory "rip," lengthened duration, and lip shake. After the second descent Armstrong breaks the pattern by waiting two extra measures and by staying well within the lower register. This creates a suspense

that makes the final rip to high C and the arpeggiated two-octave descent in mm. 31–32 much more dramatic. The last three measures—by reviving the oscillating A–C motive, and by following an F-major arpeggio with a sustained D—also recall the first three, thus rounding off the solo.

The seemingly spontaneous—yet coherent—delivery in *Potato Head Blues* suggests that Armstrong had learned to use arpeggios in an unself-conscious manner as fluent elements of his musical language. The somewhat stiff deployment of arpeggios in *Chimes Blues* and *Cornet Chop Suey* had given way to unpredictability and invention. Most importantly, arpeggios became the stuff of melody—the very substance of Armstrong's improvisations. In *Potato Head Blues* Armstrong fuses together the previously separate tuneful and chordal aspects of his melodic approach.

The relatively weak allusions to the melody in *Potato Head Blues* might tempt one to assume that an exploration of arpeggios had driven Armstrong from melody-based to harmony-based improvisation. Certainly arpeggios contributed to that shift. But Armstrong ignored the melody in *Muskrat Ramble* and that solo does *not* show a preoccupation with arpeggios. This raises the question: Why do arpeggios appear with such unusual prominence in Armstrong's *Oriental Strut* solo, which clearly paraphrases the melody, and in *Potato Head Blues*, which shows much greater independence? The answer lies in the stop-time setting of these two solos. Since Armstrong was accustomed to playing arpeggios during breaks, and since stop-time was really just a series of breaks, it became natural for him to fill stop-time solos with arpeggios. Yet even though the stop-time structure of *Potato Head Blues* partitioned Armstrong's lines into two-bar phrases, the performance hangs together as a coherent, well-developed solo. *Potato Head Blues* (and surely countless similar solos played outside the studio) thereby set a precedent for non-stop-time solos based on arpeggios as well. Later Hot Five solos such as *Struttin' With Some Barbecue* and *Beau Koo Jack* provide good examples of this practice.

Still, as mentioned above, Armstrong never ceased playing outright paraphrases, and arpeggios never replaced the other techniques in his soloistic arsenal. Rather, he alternated arpeggiated and linear playing (whether paraphrases or newly invented melodies) to achieve maximum variety and surprise. Looking beyond the Hot Fives we can see this method in his solo on *Sweethearts On Parade*, recorded with his large orchestra in 1930. The second eight-bar phrase of his solo begins with an arching melodic line followed by running arpeggios in double time. Neither passage invokes the original melody very strongly, but each possesses a melodic beauty of its own. While it could well be said that Armstrong is playing on the "changes" here rather than on the melody, arpeggios constitute only one aspect of his harmonic approach. The prism through which Armstrong

shone his luminous ideas was constantly turning, revealing a new creation here, a paraphrase there, a chordal conception followed by an interest in pure linear melody.

<p align="center">* * *</p>

Armstrong once described his state of mind during performance: "When I blow I think of times and things from outa the past that gives me a image of the tune. . . . A town, a chick somewhere back down the line, an old man with no name you seen once in a place you don't remember. . . . What you hear coming from a man's horn—that's what he is" (King 1967:69). As mentioned earlier, Armstrong's telling of these "stories" from his past took the syntactical form of dramatic poetry. Eldridge heard the stories in terms of narrative plot, complete with complication and denouement.[27] Beiderbecke and Spurrier, on the other hand, heard "correlated choruses," in which each melodic phrase would echo a preceding phrase —a notion suggesting musical rhyme. Both elements—the dramatic and the poetic—figure strongly in *Big Butter and Egg Man* (1926), the earliest Armstrong solo widely acclaimed for its architectural elegance.[28]

The solo spans the thirty-two measures in the chorus of the song, following the conventional form, ABCA. In the first sixteen measures (AB), Armstrong plays four two-bar phrases, then two four-bar phrases, making six phrases in all (ex. 11). As in *Potato Head Blues,* the phrases may be heard in terms of call-and-response. In example 11a, the first three phrases sound like repeated "calls" and the fourth a "response." One might even hear a question-answer relationship. The insistent repetition, ascending contour, restless rhythms, and migrating vibrato of the calls connote uncertainty, while the change of harmony every two measures suggests that the "question" is being constantly restated. And the response —with its rip to the top-line F, inverted contour, precipitous descent, and downward octave-transfer of the primary structural pitch A—supplies a decisive "answer." In addition, the move from the repeated As (mm. 1–5) to G–F (m. 7) gives a $\hat{3}$–$\hat{2}$–$\hat{1}$ tonal resolution, underscored by the return of the F triad in the harmony.

The sense of call-and-response between the two four-bar phrases suggests an antecedent-consequent relationship (ex. 11b). Figures common to both phrases appear at the anacruses (the sixth phrase simply drops the last two eighth notes), the beginnings (mm. 9 and 13, beats 1–2, 4), and especially the endings (mm. 11 and 15, beats 3–4). The registral identity and melodic affinity of the two endings bind the phrases together even more strongly than the four eighth notes. In particular, the down-up pattern of the figure in m. 15 counterbalances the down-down pattern in m. 11, just as the rising minor third (boosted by a chromatic appoggiatura) complements the falling minor third by filling in its spaces.

Example 11: *Big Butter and Egg Man* (Nov. 16, 1926): opening six phrases of Armstrong's
solo (first 16 mm.).

Armstrong creates other relationships, however, that cut across the
phrase divisions in example 11. To discover them, it will help to consider
Hodeir's claim that Armstrong paraphrases the original melody (ex. 12).[29]
The first five measures echo the melody by dwelling on A, but the contour
of the lines would not suggest a resemblance. Hodeir maintains that in the
second eight measures "the paraphrase spreads out, becoming freer and
livelier" (1956:57). Yet starting at the end of m. 9 the paraphrase actually
becomes more strict in pitch and contour. And Armstrong's final phrase
(mm. 13–15) is a recognizable variant of the corresponding phrase in the
melody—far more recognizable than his opening lines. The melody in
mm. 13–16, in fact, outlines a melodic kernel that shapes the entire six-
teen measures of Armstrong's solo. Example 13 shows this kernel, a de-
scending pentatonic scale. Armstrong's opening, then, is indeed a para-
phrase, but of the melodic kernel in *retrograde* (minus the G). After three
subtly varied statements of this backward version, Armstrong presents
three compensating phrases in forward position (ex. 14). Whereas in the
backward version he omits the G, in the forward version he adds to
the kernel an auxiliary note E between A and G. The forward phrases
successively fill in the pitches of the kernel: the fourth phrase includes

Example 12: *Big Butter and Egg Man:* melody and Armstrong's solo (first 16 mm.).

Example 13: *Big Butter and Egg Man:* melodic kernel governing Armstrong's solo.

A–E–G–F; the fifth phrase, A–E–G–F–D; and the sixth, A–E–G–F–D–C. That this six-pitch kernel truly governs the AB section of the solo is evident from its appearance in its clearest, most concise form at the return of A, immediately after the bridge (ex. 15). Armstrong's approximately reverse approach to his material—choosing a melodic fragment from the end of a section, beginning with retrograde forms, and saving the most transparent paraphrase for the middle of the solo—counters traditional assumptions that jazz variations move from the familiar to the abstract.

Example 14: *Big Butter and Egg Man:* three forward and three backward phrases in Armstrong's solo.

Example 15: *Big Butter and Egg Man:* melodic kernel at return of A (m. 25).

The three backward kernels followed by three forward kernels create a tripartite melodic arch-form (ex. 16). Armstrong uses this arch-form as scaffolding for a more elaborate structure, especially in the last three phrases. The fifth and sixth phrases, for example, recall all the elements of the fourth phrase, not just the melodic kernel (ex. 17). The fourth phrase provides a skeleton; the fifth and sixth phrases each add an anacrusis; the fifth elaborates the second half; and the sixth elaborates the first half. The endings of the last two phrases clearly echo the ending of the fourth phrase. The Bb–G ending elaborates the fourth phrase by descending a whole step and repeating the figure, and the A–C ending "resolves"

Example 16: *Big Butter and Egg Man:* tripartite melodic arch-form in Armstrong's solo.

Example 17: *Big Butter and Egg Man:* relationships among phrases 4, 5, and 6.

both previous endings. We have already seen how it complements the fifth phrase ending. The rising A–C "resolves" the fourth phrase ending even more strongly, by exactly inverting it. I will provisionally compare the three phrase-endings to two half-cadences followed by a full cadence in Western tonal art music. This analogy will appear in revised and extended form below.

Whence come the figures that surround the melodic kernel in the fourth phrase, and the "elaborations" in the fifth and sixth phrases? The F–C–A that opens the fourth phrase clearly inverts the three previous F-major ascents, approaching the A from above rather than below; this figure reappears an octave lower at the end of the phrase (ex. 18). The anacrusis to the fifth phrase is, in turn, an inverted response to the first half of the fourth: the first four pitches are identical save the octave-transfer of the F, and the eighth-note–dotted-quarter rhythm is simply transposed (ex. 19).[30] The added figures in the second half of the fifth phrase paraphrase the melody, *not* the melodic kernel (ex. 20). And to understand the first part of the sixth phrase we must consider yet another "antecedent" to it. By combining the third and fourth phrases, a new relationship with the sixth phrase comes into view (ex. 21). The semitone anacrusis in the sixth phrase (and, for that matter, the fifth) comes from the only variation in pitch among the first three phrases: the C♯–D in m. 4. The other three semitone gestures in the sixth phrase are permutations and reflections of the anacrusis (ex. 22).[31]

Example 18: *Big Butter and Egg Man:* inversion in fourth phrase of previous F-major ascents.

Example 19: *Big Butter and Egg Man:* inversion relationship between phrases 4 and 5.

Example 20: *Big Butter and Egg Man:* melodic paraphrase in fifth phrase.

Example 21: *Big Butter and Egg Man:* relationship between combined phrases 3 and 4 and phrase 6.

Example 22: *Big Butter and Egg Man:* permutations of semitone anacrusis in sixth phrase.

The antecedent-consequent relationship mentioned above suggests yet another way of considering the form of the music—as four four-bar phrases (ex. 23). We have already seen how the fourth phrase in example 23 in a sense "resolves" the second and third phrases, with the strongest resolution occurring between the fourth and the second. Similarly, the second phrase in example 23 exhibits a pattern of rhythms, pitches, and contours similar to the first. Because it also concludes with the emphatic "answer" to the repeated "question" mentioned earlier, the second phrase seems to *resolve* the first as well. Thus, to continue the analogy advanced earlier (and as the arrows along the left-hand side of example 23 intend to show), the phrases interact in a manner comparable to a classical cadential formula:

    antecedent, half-cadence
    consequent, imperfect authentic cadence
    antecedent, half-cadence
    consequent, perfect authentic cadence

with the fourth phrase resolving not only the third but also—and more conclusively—the second.[32]

Still another parsing of the music reveals correspondences every other measure. Due to the constancy of pitch (A), the beginnings of mm. 1, 3, and 5 sound like rhythmic experiments that Armstrong alternately discards for the eighth-note–dotted-quarter figure at m. 7 (ex. 24). The first "experiment" presents the simplest combination: three quarter notes. The second retains the downbeat on beat three and introduces the dotted quarter on the upbeat of beat one. The third retains the syncopation on the upbeat of one and brings back the downbeat on one. And the fourth combines elements of the three preceding "experiments" by retaining both downbeats on one and three *and* the dotted quarter on the upbeat of one. The resulting eighth-note–dotted-quarter figure is thus the "answer" to Armstrong's "question" which, figuratively, might be, "What rhythm should I use?" As if finally satisfied with this figure, he thereafter presents it at the beginning of the other odd measures (ex. 25). One variation of the rhythm at m. 11 (which recalls m. 3) saves the pattern from sounding mechanical. Otherwise, the figure (as well as its precursors in mm. 1, 3, and 5) supplies structural coherence, dividing the passage into two-bar segments.[33]

In the first half of *Big Butter* (just discussed), Armstrong creates a rich network of melodic relationships, inviting us to consider the music from various angles: as four groups of two-bar phrases followed by two groups of four; as two groups of three unequal phrases; as four groups of four-bar

Example 23: *Big Butter and Egg Man:* division of Armstrong's solo into four four-bar phrases.

* indicates inverted contour

Example 24: *Big Butter and Egg Man:* rhythmic "experiments" in first four phrases.

phrases; and as eight groups of two-bar phrases. The phrases interact like the lines of a particularly complex poetry, calling back and forth multifarious "rhymes" that vary in strength and structural prominence. This interaction suggests an interpretation of "Signifyin(g)"—the African-American rhetorical device that quotes and comments ("Signifies") upon preexisting sources; in this case, the sources are the song melody and Armstrong's own musical ideas, which are transformed with each restatement.[34] Armstrong paraphrases aspects of the melody en route, but he also employs a single melodic fragment to build a clear and elegant underlying form.

Example 25: *Big Butter and Egg Man:* eighth-note–dotted-quarter rhythm and its variants in odd-numbered measures of solo.

Every musical event recalls a preceding one, and several possess multiple meanings, not unlike a pivot chord in European music of the tonal period. Although Armstrong's variational technique may seem extravagant, no gestures are superfluous; all have a demonstrable origin and purpose.

Schuller calls the bridge (C section) the "imaginative climax" of the solo. It is hard to know what he means by this, for "imaginative" suggests a high level of invention or originality, and by almost any standard the bridge is far more straightforward than the beginning. It paraphrases the melody more transparently than is done anywhere else in the solo, and the melodic and rhythmic relationships show less subtlety. Nevertheless, the bridge embodies the climax of the solo by virtue of its emotional intensity: the emphatically repeated Cs contrast with the undulating contours of the preceding section. Equally important, the bridge transposes the melodic kernel at higher pitch levels than the AB section,

thereby continuing the thread of coherence, but with greater energy. The first phrase of the bridge presents the kernel a fourth higher and the second phrase a whole-step higher (with the exception of the B-flat) than the original (ex. 26). Yet the second phrase doesn't complete the kernel; it ends on A rather than the melody note G that Armstrong played in the opening ensemble (ex. 27). The resulting dissonance, which Armstrong emphasizes by repeating the A, creates a tension that is broken by the final figure of the bridge, which Schuller justifiably calls "the high point of the solo" (1968:105). Schuller and Hodeir admire this phrase for its hard-driving rhythmic swing, more characteristic of later jazz eras than the twenties. Structurally, however, the phrase marks the strongest point of the solo because of its recapitulatory nature: it represents a compact variation of the final phrase of the AB section (ex. 28).

The impressive coherence of *Big Butter and Egg Man* suggests that this solo, like *Copenhagen,* had become perfected and "set" through many live performances, a notion supported by documentary evidence. Armstrong performed the piece regularly with Mae Alix (the singer on the recording) at the Sunset Cafe. Pianist Earl Hines recalled that Alix "would throw her arms around [Armstrong's] neck and sing, 'I need a Big Butter and Egg Man.' He would stand there and almost melt . . . and the whole house cracked up" (Pinfold 1987:51). One night Armstrong invited white cornetist Muggsy Spanier to sit in on the piece. Spanier played Armstrong's solo note-for-note, later explaining that since "no one in the world can improve on the way he plays it . . . I'm frank to say that as nearly as possible (because I heard him play it so much and listened so intently) I've always tried to do those famous breaks as Louis did them" (Shapiro and Hentoff 1955:116–17).[35] Spanier's language here implies that he heard the solo repeatedly in live performances, not on a record.

<p style="text-align:center">* * *</p>

Although I have tried to ground my analysis in views held by jazz players who knew Armstrong well, I recognize that Armstrong himself would have rejected the very task I have undertaken—partly out of sheer modesty and partly from a homespun ideology that refuses to sully music with logic: "I don't think you should analyze music. Like the old-timer told me . . . 'Don't worry about that black cow giving white milk. Just drink the milk'" (quoted in Meryman 1966:104). By the same token, Armstrong—and other readers—might have objected to my repeated use in this essay of the word "coherence," loaded as it is with both analytical and cultural assumptions. "Coherence," however, is just a convenient symbol for a musical reality that—as I have tried to show in the case of Armstrong—Western Europe did not invent and does not own. Whatever we choose to

Example 26: *Big Butter and Egg Man:* presentation of melodic kernel in first phrase of bridge.

* alternate fingerings (B-flat trumpet key)

Example 27: *Big Butter and Egg Man,* bridge: second phrase of melody as played by Armstrong in the opening ensemble.

Example 28: *Big Butter and Egg Man:* variation (at the end of the bridge) of the final phrase of the AB section.

call it, whether "telling a story," or "building to a climax," or presenting a "series of related phrases," or unleashing a "rowdy musical poetry," the fact remains that Armstrong traversed the rhetorical gap between two-bar break and full-length solo with a structural eloquence generally unmatched by his peers. Early jazz musicians hailed him for this achievement, and present-day theorists and historians should do the same—by trying to understand it. The current effort to formulate a culturally based analytical framework for black music can speed this understanding if

scholars do not repudiate the *raison d'être* of cultural context: the actual music, which by definition includes the actual notes (or at least the sounds they represent). Even Armstrong, for all his aversion to "analysis," gave profound attention to "all them beautiful notes"—the essence, as he put it, of "my livin' and my life" (Hentoff 1957).

Notes

1. Ted Gioia makes a common argument against jazz when he asserts that "improvisation is doomed . . . to offer a pale imitation of the perfection attained by composed music. Errors will creep in, not only in form but also in execution; the improviser, if he seriously attempts to be creative, will push himself into areas of expression that his technique may be unable to handle. Too often the finished product will show moments of rare beauty intermixed with technical mistakes and aimless passages." Thus, "any set of aesthetic standards which seek perfection or near-perfection in the work of art will find little to praise in jazz." Gioia proposes an "aesthetics of imperfection" to rescue jazz from the burden of its own limitations (1988:66).

2. See, for example, Porter and Ullman (1993:57) and Gridley (1997:71).

3. Inveighing against overemphasis on structural coherence, Samuel A. Floyd Jr. asserts in a similar vein that "explanations of musical works and performances as realizations of 'ideal form' [or] achievements of 'organic unity' . . . are insufficient for black music inquiry because they all separate the works from their cultural and aesthetic foundations" (1991:274).

4. Cultural historians have joined the attack on close readings (i.e., close hearings) of jazz. In his book *Jammin' At the Margins: Jazz and the American Cinema,* film historian Krin Gabbard regrets that "with few exceptions, the mainstreams of jazz criticism today are still devoted to an internalist aesthetics that closes out sociocultural analysis." Gabbard considers most discussions emphasizing musical structure to be based on an obsolete paradigm of jazz "as an autonomous art form." "I would suggest that the myth of jazz's autonomy has served its purpose," he declares, and invites his reader to explore a more pertinent view of the music—from the outside, as it were. One problem with close reading, according to Gabbard, is that "most jazz isn't really *about* jazz, at least not in terms of how it is actually consumed. Jazz is usually about race, sexuality, and spectacle" (1996:1, italics added). For other revisionist perspectives on jazz analysis by cultural historians, see Gabbard's anthologies (1995a, 1995b), and Mark Tucker's cogent review of them in the *Journal of the American Musicological Society* (1998:131–48).

5. The foundation for an analysis grounded in African-American cultural practice was laid years ago by authors like LeRoi Jones—a.k.a. Amiri Baraka—(*Blues People,* 1963), Albert Murray (*Stomping the Blues,* 1976), and Lawrence Levine (*Black Culture and Black Consciousness,* 1977). Recent studies that build upon the work of these writers include the entire fall 1991 issue of *Black Music Research Journal,* Samuel A. Floyd Jr.'s *The Power of Black Music: Interpreting Its History from Africa to the United States* (1995), and Guthrie P. Ramsey Jr.'s address at the 1997 American Musicological Society convention, "Music Analysis and the Practice of Blackness."

6. This point has been exhaustively demonstrated in Paul Berliner's ground-breaking ethnomusicological work *Thinking In Jazz: The Infinite Art of Improvisation,* a book that uncovers a long and vibrant tradition of critical thinking among jazz performers about their own musical process and product.

7. Unfortunately, such protracted improvisational excursions as described in these accounts cannot be corroborated by recordings since early recording technology limited each "take" to approximately three minutes.

8. This generalization might not apply as well to blues solos, which ordinarily did not paraphrase a melody but often manifested a certain riff-based coherence, nonetheless. A famous early example is King Oliver's three-chorus solo on *Dipper-mouth Blues* (1923).

9. See recordings by the Original Dixieland Jazz Band such as *Livery Stable Blues* (1917) and *Bow Wow Blues* (1921), which feature, respectively, the sounds of farm animals and a barking dog. Jelly Roll Morton's *Sidewalk Blues* (1926) introduces traffic noise (arguing motorists and honking horns). Though unrecorded, King Oliver's crying-baby routine was well known by club patrons on Chicago's South Side in the early twenties.

10. Little is known about Panico, who does not show up in standard jazz reference books. We do know that Panico frequently attended the Lincoln Gardens to listen to King Oliver's Creole Jazz Band, for whom Armstrong played second cornet. Trombonist Preston Jackson recalled that Panico and Paul Mares, the cornetist for the New Orleans Rhythm Kings, "were both taking lessons from Joe [King Oliver] then" (Jackson 1935:19). An already accomplished player in the conventional sense, Panico sought out Oliver for his widely recognized mastery of unorthodox muted techniques; thus Panico's book almost surely contains some of Oliver's teachings and perhaps, more obliquely, his aesthetic assumptions. That Armstrong admired Panico is evident from his description, in his 1954 autobiography, of opening night at the Lincoln Gardens: "The place was filling up with all the finest musicians from downtown including Louis Panico, the ace white trumpeter, and Isham Jones, who was the talk of the town in the same band" (1986:237). Panico made a number of recordings of his own novelty playing, producing "satirically comical effects reminiscent of the Original Dixieland Jazz Band," according to William Howland Kenney. In 1925 musical entrepreneur Edgar Benson "lured" Panico away from Jones, "setting him up with his own band in vaudeville and at Guyon's Paradise" (Kenney 1993:82, 84).

11. Other scholars have studied coherence in jazz, often through Schenkerian principles; see Stewart (1973), Martin (1996), Larson (1997), and Strunk (1997). Schenkerian apparatus occasionally appears in the present paper. However, although my diagrams show "structural" pitches, these are privileged not by any abstract system of harmony or voiceleading—far less by ideology—but by Armstrong's recurring, even systematic, deployment of them—particularly in *Big Butter and Egg Man*. For non-Schenkerian approaches to jazz analysis, see Gushee (1981) and Porter (1985).

12. See, for example, Tucker (1991:246, 253) for an account of Bubber Miley recycling essentially the same solos (with refinements) for Ellington's celebrated

recordings of *Black and Tan Fantasy* and *East St. Louis Toodle-O,* and Magee (1992:326–31) for a discussion of Armstrong's near-identical choruses on repeated takes with Henderson (to be discussed below). David Chevan's dissertation *Written Music in Early Jazz* (1997) makes the case that more recorded solos followed a notated source than had been previously supposed. New Orleans jazz bands, once the supposed exemplars of unadulterated improvisation, are now recognized to have relied on memorized (or written) material. Of such bands Lawrence Gushee wrote: "In general there is little improvisation in the sense that term acquired after the early 1920s; routines, once learned, are quite stable" (1988).

13. This conviction has gripped jazz commentary with remarkable tenacity: as late as 1968 Schuller disparaged the Original Dixieland Jazz Band for the "exact repetitions of choruses and . . . great deal of memorization" in their playing, despite the fact that King Oliver's band followed similar if, perhaps, less rigid routines (1968:180).

14. These recordings are available on "The Complete Louis Armstrong with Fletcher Henderson" two-volume series of CDs produced by King Jazz (KJ 119FS and KJ 120FS).

15. The "original melodies" shown in the following musical examples have been transcribed from the ensemble sections that first present them in Henderson's band.

16. Another example of this type is his solo on *Shanghai Shuffle*. Here Armstrong reconfigures the G–A♭–F pattern in the taut, brooding melody to generate rhythmic excitement.

17. Collier claims that Armstrong "frequently paraphrased the original melody, as on 'How Come You Do Me Like You Do?' but at other times, as on 'Go 'Long Mule,' he made original melodies [of his own]," implying that the latter solo bore no relationship to the melody played by the Henderson band (1983:132).

18. Henderson recorded six takes of *Why Couldn't It Be Poor Little Me?* (matrix number 5811) of which the first and third were never released. For the sake of clarity I will refer to takes 2, 4, 5, and 6 as the first, second, third, and fourth (issued) takes in the following discussion. For pioneering articles on improvisation that compare multiple versions of a prominent jazz musician's solo on the same piece, see Dodge (1934:105–10) and Gushee (1981:151–69).

19. Magee speculates in a similar vein: "It seems unlikely that the music [for Armstrong's solos] was actually written down. More likely, Armstrong's encounter with a new melody caused him to recompose the tune (on trumpet) and use his revision as the basis for later solos. From this perspective, Armstrong's approach resembled that of a traditional composer more than of a band musician who renders his part the same way each time" (1992:327).

20. Jeffrey Magee has explicated the stability of these two solos, with an especially perceptive analysis of *Copenhagen* (1992:326–31).

21. In the eighth bar Armstrong plays a high B♭ rather than an A♭, as before. Since the same fingering serves for both notes, he may have simply over-reached for the A♭, a common error among brass players.

22. For a detailed discussion of the process by which jazz musicians pass solos and licks through several generations of improvisatory treatment, gradually adding

new technical and stylistic features over the course of many performances, see the chapter "Improvisation and Precomposition: The Eternal Cycle" in Berliner (1994:221–42).

23. For more on the influence of the clarinet on Armstrong's style, see Harker (1997:124–37).

24. The complete Hot Five/Hot Seven recordings are available on four CDs in the Columbia Jazz Masterpieces series produced by Columbia/CBS records (CK 44049, CK 44253, CK 44422, CK 45142).

25. David Chevan has shown that Armstrong notated essentially his entire solo to *Cornet Chop Suey* on a copyright deposit two years before he recorded it in the studio (Chevan 1997:295–306).

26. Samuel A. Floyd Jr. proclaims the "Call-Response" principle the "master trope" of African-American music (1991:276–77).

27. This hearing suggests parallels with the rhetorical structure of the black sermon, a topic that merits extensive further study by jazz scholars. For one approach to sermonic rhetoric in jazz, see Lewis Porter's analysis of John Coltrane's solo on *A Love Supreme* (1985:613–19).

28. Hodeir notes that "this solo makes sense in the way a melody should. . . . It stands as a finished example of an esthetic conception that other solos of that time merely suggested in a confused way. It has a beginning, a middle, and an end" (1956:58). For Schuller, the solo "displays [Armstrong's] intuitive grasp of musical logic and continuity" (1968:103).

29. Xs below the staff in example 12 indicate correspondences of pitch between the melody and Armstrong's lines.

30. It also mirrors the anacrusis in the second phrase (see ex. 12, mm. 2 and 8).

31. The G–F♯ figure also paraphrases the melody (see ex. 12, m. 13).

32. It may seem that I have abandoned the metaphor of "call-and-response" for its classical analogue, "antecedent-consequent," but that is not my intention. I use the latter term here (and earlier) for convenience: it bears formal connotations relevant to Armstrong's music that, to my knowledge, have no counterparts yet in African-American critical theory.

33. Schuller acknowledges this figure as a unifying device, but denotes only the three instances that descend by whole step in the first sixteen measures (mm. 7, 9, 15) (1968:104).

34. On Signifyin(g), see Gates (1988).

35. Spanier apparently is using the term "break" to mean "phrase" in the solo, perhaps reflecting his arch-traditional, somewhat purist, view of jazz, both in the twenties and in subsequent years.

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reviews

Andrew Mead. *An Introduction to the Music of Milton Babbitt.* Princeton: Princeton University Press, 1994. 321pp.

Reviewed by Jason Eckardt

Milton Babbitt's compositions and writings stand as some of the most dazzling and provocative contributions to post-World War II music and scholarship. His music is among the most individual and vital of our time, and his articles and teaching have played an important role in the establishment of composition and contemporary music theory as viable academic pursuits. Babbitt was also one of the pioneers of electronic music composition, and several of his works in this medium are considered seminal. It therefore seems appropriate that his work be given the treatment it deserves in an extended volume.

Much of the writing on Babbitt's music has concerned his compositional methods. *An Introduction to the Music of Milton Babbitt* continues this tradition, and Andrew Mead writes on his subject with authority, lucidity, and enthusiasm. The author's analysis and discussion of Babbitt's compositional practices are consistently decisive and articulate and will reward careful study. The bibliography is extensive, and the discography and list of compositions are thorough and helpful. Mead's discussions of the compositional factors and designs in Babbitt's music are excellent. His writing is generally clearheaded and straightforward. Several works are considered, and many musical examples are provided. Mead has wisely chosen to analyze, for the most part, works that have been recorded, so that the reader may listen to works discussed in the text. For anyone interested in the way Babbitt makes his music, this volume is a valuable resource.

My primary criticism of the book is that Mead's analyses, as fine as they are in detailing Babbitt's compositional techniques, often do not serve the author's stated intention to "elucidate ways of hearing that will lead the listener to a greater appreciation of a rich and rewarding musical world" (4). Mead proclaims that "the best introduction to Babbitt's music is to listen" (9), and he justifies his analyses, stating, "Our appreciation of . . . Babbitt's music . . . depends on our ability to perceive the underlying structure behind the local details, to follow events below the surface" (5). Given that Mead's analyses illustrate the methods employed by Babbitt in the composition of both the background and surface of his music, I

assume that the "underlying structure" to which he refers in the previous statement is Babbitt's compositional design for a given work.[1] Underlying structure is probably inferred by assembling details of the musical surface into meaningful patterns. But following those details may lead the listener to infer different structures, ones that may have little or no relation to Babbitt's compositional designs. Mead believes that "unless we attempt to hear the ways [Babbitt's musical surfaces] reveal the underlying long-range motion . . . that forms the lasting emotional drama of his compositions," the listener will only receive "incidental gratification" (4). Although Mead and I are in agreement that "[o]ne of the rewards of listening to and thinking about Milton Babbitt's music is that it constantly offers up new interpretations" (202–03), the only "informed hearing[s]" (3) that his analyses suggest are ones reliant on the perception of Babbitt's compositional designs. I believe that an attentive listener can have a rich and satisfying hearing of Babbitt's music that yields both fascinating structures and strong emotional responses without any knowledge of the background structures employed by the composer. My assertion assumes that the definition of an informed hearing of Babbitt's music is open to debate; for Mead, it appears to be a closed issue.

Although he believes that a listener must engage in "a radical reinterpretation of the significance of virtually all our basic musical perceptions" (11) to properly hear twelve-tone music, Mead spends frustratingly little time discussing strategies for hearing structural aspects of this repertoire. To comprehend twelve-tone music more clearly, Mead reasons, the listener must perceive pitch-class aggregates (the twelve pitch classes of the chromatic scale) as they pass across the musical surface. He writes:

> [G]iven a collection with a large number of different pitch classes, each represented once, we *can* recognize . . . whether or not any additional note represents a new pitch class. By interpreting the recurrence of a pitch class as a signal that we have crossed a boundary, we can parse a highly chromatic undifferentiated musical surface into a discrete series of large bundles of pitch classes that we might call *perceptual aggregates*. (12)

Key to Mead's position on hearing twelve-tone music is the perception of repetition. By recognizing pitch-class repetition, the listener infers structural boundaries that segment the musical surface. Despite Babbitt's and Schoenberg's predilection for pitch-class repetition within aggregates, Mead maintains that this is a cornerstone of the perception of twelve-tone music.[2]

I question this assumption. As much recent writing on music cognition suggests, pitch is only one parameter used by listeners to parse the surface

of an atonal work.[3] While pitch certainly plays a role in the listener's orga-
nizational strategies, factors such as timbre, dynamics, rhythm, register, ar-
ticulation, temporal adjacency, and textural density are likely to be impor-
tant, perhaps dominant, factors in perceptual segmentation. Since Babbitt
makes use of non-pitch parameters to articulate various pitch-class aggre-
gate structures, it seems odd that the author does not acknowledge the
importance of these parameters. Furthermore, some pitches "present" on
the musical surface can sometimes elude a listener because of the acoustic
effect of "masking," whereby, due to the varying degrees of amplitude of
simultaneous sounds, lower-amplitude sounds become difficult or impossi-
ble to hear.[4] If certain pitches are unintelligible during audition, the lis-
tener's ability to hear aggregates, following Mead's strategy, would be
seriously impaired.

Any decent musical analysis will provide for the reader new ways of
thinking about the piece it analyzes and, therefore, influence the way in
which the reader hears that piece. Several of Mead's observations un-
doubtedly provide interesting things to listen for in Babbitt's composi-
tions. Nevertheless, even the most careful and experienced listeners will
need to bend their ears to hear all the underlying structural detail de-
scribed in Mead's extended analyses.

Chapter 1 offers a brief discussion of tonal and atonal music, followed
by a fifty-page primer on "Milton Babbitt's Compositional World." For the
reader with a moderate-to-thorough knowledge of these materials, this
chapter will serve as a reminder of the wide range of Babbitt's composi-
tional technique and clarify the terminology that appears in the following
chapters. However, for those unfamiliar with twelve-tone theory, this is
hardly an introduction.[5] Complex and abstract compositional procedures
are presented with few musical examples and are often explained hastily.

The second chapter, "Mapping Trichordal Pathways (1947–1960),"
looks at Babbitt's earliest mature works. Particular attention is paid to
Composition for Four Instruments (1948), *Composition for Viola and Piano*
(1950), the Woodwind Quartet (1953), and String Quartet No. 2 (1954).
In this chapter, we are finally shown the depth of Babbitt's compositional
technique, as exemplified in his works. Certain invariants in Babbitt's
methods are discussed. Most important of these is the principle of maxi-
mal diversity (i.e., the systematic exhaustion of all possibilities in some
fixed domain).[6] Serialism could be seen as possessing this property, since
the entire chromatic is cycled through before the repetition of a pitch
class. Babbitt extends this principle to domains other than pitch, such as
combinations of instruments, structures of the twelve-tone rows, and distri-
butions of rows in individual compositions.

Mead's analysis of *Composition for Four Instruments,* for flute, clarinet, vio-
lin, and 'cello, provides a breathtaking example of Babbitt's compositional

craft and invention. Although informed by the serial techniques of Schoen-berg and Webern, *Composition for Four Instruments* exploits serial principles in a highly idiosyncratic way.[7] Perhaps most striking is Babbitt's construc-tion and subsequent musical realization of a trichordal array.

As Mead shows in example 1, a trichordal array comprises four ordered twelve-tone rows, each of which is partitioned into four groups of tri-chords; they are then superimposed on one another, so that each horizon-tal row of the array (or "lyne") and each vertical column forms an aggre-gate.

Each trichord of *Composition for Four Instruments*'s array features an in-tervallic structure with a rising or falling interval of either three or four semitones. Read horizontally, the top lyne of the array, shown in example 1, forms intervals within trichords of +3/−4, −4/+3, −3/+4, and +4/−3: all the possible combinations of these interval pairs. Similarly, each colum-nar (vertical) aggregate is formed by four trichords, each of which repre-sents one of the four intervallic ordering pairs. (The first column, from top to bottom, reads +3/−4, −3/+4, −4/+3, and +4/−3.) The interval pairs, because of these interval orderings, collectively present the four "classical" transformations of the twelve-tone system: prime, inversion, ret-rograde, and retrograde inversion.

These trichords are registrally stratified in the opening clarinet solo of *Composition for Four Instruments* (ex. 2), with the top two lynes of the array in the high register and the bottom two lynes in the low register. Mead ex-plains that Babbitt's array lyne-pairing choices are not arbitrary. Each hexachord of a lyne may be combined with the hexachord of the other lyne of the pair to create the aggregate. In this instance, if we combine the first trichords of the lyne pairs, both result in the hexachord type [0 1 4 5 8 9].[8] This is a harmonic contrast to the [0 1 2 3 4 5] hexachord type found in the lyne aggregates (ex. 1). Most often, the trichords are not pre-sented in their entirety but rather with some interpolation of pitch classes from some other trichord from a different lyne. By the end of the first ag-gregate of *Composition for Four Instruments* (mm. 1–6, ending on F), we have heard the completion of the first columnar aggregate, while each of the lyne aggregates, remaining stratified in their own registers, is not com-pleted until the fourth and final columnar aggregate is (mm. 13–16).

In Babbitt's compositions, abstract structures are realized on the musi-cal surface and simultaneously embedded at deeper levels. As Mead ob-serves, the conjoining of array lyne trichords, rather than their solo pres-entation, characterizes the opening of *Composition for Four Instruments*. Example 3a illustrates the distinction between trichords that are inter-twined and those presented alone, with regard to their register, temporal placement, and their transformation type (which is derived from each trichord's ordered interval pair, where the prime form is +4/−3). If we

Example 1 (from Mead, p. 60): Trichordal array, *Composition for Four Instruments* (excerpt).

P = prime, I7P = inverted prime at a transposition level of 7 semitones, Q = prime with tri-
chord orderings reversed for each hexachord, I7Q = inverted prime at a transposition level
of 7 semitones with trichord orderings reversed for each hexachord.

compare this chart to the distribution of instruments throughout the
eight sections of the piece (ex. 3b), it becomes clear that Babbitt is inter-
preting the same abstract pattern in two musical dimensions.

Mead discusses these points, and many others about *Composition for Four
Instruments,* with clarity. However, if his intention is to show us how "this
piece . . . illuminates a wide variety of Babbitt's compositional practices
and dramatically demonstrates their effect on our hearing of twelve-tone
music" (55–57), he neglects important issues. The above analysis is fo-
cused on the domain of pitch, exploring how pitch classes are stratified in
various registers and form trichordal interval patterns. Mead writes very
little about other parameters, many of which have a strong influence on
my hearing of *Composition for Four Instruments.* For example, Mead is
concerned with the perception of pitch-class repetition in the determina-
tion of "perceptual aggregates." It seems that the beginning of the third
aggregate of the clarinet solo should have particular salience for the lis-
tener. In m. 9, the clarinet completes its second aggregate on G-natural.
The clarinet's third aggregate begins with B_3 on the last eighth note of
m. 9, with a dynamic marking of *mezzo piano.* As the third aggregate begins
with the same register, dynamic, and pitch class as the first sound in the
piece, I suggest that this is a clear indication of a structural boundary.
This boundary is powerfully reinforced by the two eighth-note rests that

Example 2: Opening measures, *Composition for Four Instruments.*

[Musical notation: Clarinet in C, ♩ = 120, with dynamics and time signature changes]

Example 3a (from Mead, p. 61): Distribution of trichords, *Composition for Four Instruments.*

Partition:	1 + 3	2 + 2	3 + 1	2 + 2	3 + 1	2 + 2	1 + 3	4 + 0
High	R	1	RI	P	T6RI	T6P	T6R	T6I
	RI	P	R	I	T6R	T6I	T6RI	T6P
	I	R	P	RI	T6P	T6RI	T6I	T6R
Low	P	RI	I	R	T6I	T6R	T6P	T6RI

$$P = +4/-3$$

Example 3b (from Mead, p. 58): Distribution of instruments, *Composition for Four Instruments.*

Partition:	1 + 3	2 + 2	3 + 1	2 + 2	3 + 1	2 + 2	1 + 3	4 + 0
VIOLIN	X	X	X		X	X	X		X	X
CELLO	X	X		X	X	X	X		X	X
FLUTE	X	X	X	X	X		X	X	X
CLARINET	X	X	X		X	X		X	X

precede the B-natural, providing the longest silence heard thus far. Mead does not acknowledge these factors.

The boundary between the first and second aggregates (mm. 6–7) is articulated in a different way. The first aggregate ends on F-natural (m. 6), followed by a rest. On the next downbeat (m. 7), the C-sharp begins the second aggregate. The dynamic of the previous three and a half measures has been *mezzo piano*. With the beginning of the second aggregate, the dynamic environment changes. The C-sharp is sounded *mezzo forte*, and then there is a sudden shift to *piano* on the B-natural, followed by a *fortissimo* B-flat on the second half of the third beat (m. 7). This sudden flux of dynamic levels offers a sharp contrast and seems to me an even stronger indication of a boundary than the pitch-class repetition beginning in m. 7. Furthermore, Babbitt writes a slur over the first six measures, and the articulation distinguishes the opening aggregate from those that follow. Again, the boundary between aggregates is marked with a silence (an eighth-note rest, m. 6). While an attentive listener might hear a boundary between the D-natural and the F-natural in m. 6, since it represents the longest rest heard thus far in the piece, the combination of a rest with the following shift in dynamic and articulation beginning with C-sharp strongly suggests a more significant boundary.

I have chosen to focus on only one of the works considered in chapter 2, which adequately demonstrates the rigor of Mead's analyses. Other analyses in the chapter maintain a similar set of concerns, with particular attention paid to the ways in which Babbitt creates new works through the reinterpretation of the array structure used in *Composition for Four Instruments*. These analyses are very detailed and the pace of presentation is rapid; even a passing point will sometimes require close examination of the examples and musical excerpts. One gets the impression that Mead cannot write enough about Babbitt's music, and the author frequently laments the lack of space available to expound on issues he raises.

The author's concern is more pronounced in chapter 3, "Expansion and Consolidation (1961–1980)." Rather than attend to a few representative compositions, as he does in chapter 2, Mead discusses excerpts of several works to illustrate Babbitt's development of new compositional techniques. Because Babbitt's use of these new compositional tools becomes even more particular to individual works, Mead does not want to short-change the breadth of Babbitt's ideas in the interest of more extended analyses of single pieces.

According to Mead, the "structural hallmark of Babbitt's compositional practice in his second period is the all-partition array" (125). An all-partition array, like its trichordal counterpart, is a two-dimensional concatenation of lynes partitioned so that their individual segments, when superimposed on other segments from different lynes of the array, create

aggregates that are formed vertically, in columns. An array in which lynes are partitioned in all possible ways, with respect to the number of pitch classes in each partition, is an all-partition array (ex. 4). These lynes are paired together in the array, and also become connected in particular ways in Babbitt's music, as they were in *Composition for Four Instruments*.

Mead also discusses a major change in Babbitt's compositional technique: the development of the time-point system, a method of interpreting arrays in the rhythmic domain. While Babbitt had been using various techniques to derive his rhythms from serial structures, the time-point system carried heavier implications for rhythmic formation in his work.[9] In the time-point system, Babbitt interprets the integers of the array as attack points in a finite temporal span, or modulus, which is divided into twelve equal parts. For example, a simple modulus is a measure of $\frac{3}{4}$, in which each sixteenth note in the measure represents one of twelve time points. If 0 is considered the first sixteenth note, then 5 falls on the sixth time point. That time point in a modulus of $\frac{3}{4}$ occurs on the sixth sixteenth note of the measure, the second sixteenth note of the second beat. (The time-point system only prescribes the placement of attacks, not duration.) In Babbitt's works, these time points are coordinated in various ways with pitch-class interpretations of the same array, or some transformation of it.

The time-point system provides Babbitt with a new and powerful way of structuring surface rhythmic formation. However, Babbitt's treatment of the dimensions of pitch and rhythm raises certain issues for Mead. Most problematic is the reconciliation of the time-point modulus with octave equivalence. By dividing the time-point modulus into twelve parts, with each consecutive set of twelve time points beginning a new modulus, Babbitt makes an analogy to pitch-class octave equivalence. Clearly, however, these are two domains so different that they hardly seem complementary. Babbitt himself is quick to point out that the number twelve has absolutely no inherent significance in the temporal domain (Babbitt 1962:71–72).[10] It is worth noting, as Mead does, that a pitch-class interpretation of the array in Babbitt's music is most often dependent on register or timbre for the stratification of lyne pairs on the musical surface. Babbitt turns to other parameters, usually dynamic, to connect time points in individual lynes and to distinguish lynes or lyne pairs from one another. It is through these techniques of distribution of time points and pitch classes, Mead argues, that Babbitt is able to realize rhythmic structures with the same subtlety that he does his harmonic structures.

While critics have tried to reduce Babbitt's array composition to the obligatory fulfillment of a series of *a priori* decisions, Mead's sections "Composition of Details" and "A Brief Venture into Comparative Anatomy" convincingly present arguments to the contrary. Mead writes that "arrays contain certain structural potentials that can be realized in a

Example 4 (from Mead, p. 274): All-partition array, *Post-Partitions* (excerpt).

T-P Mod.	P-C Reg.														
8	high	5	2			67	79	4		03		3	e	t8	81
		t	31				0	8e		7245		59		6	
3	↑	1	8		te	3		0	4976	6	2		5		
		6	9		954	2	2	7	e	e8		01		3	t
7		7	4			89e	e6	6	0532			2t	1		
		3	t0	01		5	5	2				8e764		9	
4		0	5	.	32	t	t1				74		489		e6
		8	e		76	4	4	9			3t			0152	
6		e	6	89		1		1t							304572
		2	7	54		0	3	3	t	t19	986			e	
5	low	4		732	0			5	81		1e		t6		9
		9		6te	18		8				50		0237	74	

T-P Mod. = Time-Point Modulus
P-C Reg. = Pitch-Class Register

number of different strategic solutions" (128) and illustrates this point by showing us the ways in which Babbitt "composes out" his array structures. Mead demonstrates how, by stratifying their materials in particular musical dimensions, Babbitt takes the same abstract array structures and uses them to create remarkably different pieces.

Chapter 3 ends with two extended analyses, the first of which discusses *Post-Partitions* (1966), one of Babbitt's most well-known compositions for the piano. The opening of this work reveals much about Babbitt's middle-period compositional practice. *Post-Partitions* begins with an outburst of dyads, which exhaust the entire registral range and dynamic capacity of the piano. The pitch and rhythmic material of the first measure is represented in the first column of *Post-Partitions*'s array (ex. 4). In the pitch domain, Babbitt has stratified each lyne pair in register from high to low, and the dyads that appear in the opening are composed of these array lyne pitch classes. Each lyne in each pair is distinguished by articulation: the top lyne of each pair (but not necessarily the highest in register) is presented staccato, while the lower lyne is sustained. In the rhythmic domain, Babbitt casts each lyne pair in a different time-point modulus, from thirty-second-note subdivisions to triplet eighth-note subdivisions. Each time-point integer is distinguished by one of twelve dynamic levels from *fffff* to *ppppp*[11] (ex. 5).[12, 13] Example 6 reproduces the first measure of *Post-Partitions*, with time-point integers enclosed in circles.[14] Although this example is brief, it nevertheless brings to light the vigor of Babbitt's compositional techniques as described by Mead.

Example 5 (from Mead, p. 175): Time-point moduli, *Post-Partitions.*

Time points:	0	1	2	3	4	5	6	7	8	9	t	e
Dynamics:	*fffff*	*ppppp*	*pppp*	*ppp*	*pp*	*p*	*mp*	*mf*	*f*	*ff*	*fff*	*ffff*

Again, Mead provides much valuable information too detailed to mention in this context. In his pursuit of deeply embedded structural connections, however, he sometimes loses sight of his intention to provide information that might contribute to a clearer hearing of Babbitt's music. For example, his analysis of *Post-Partitions* ends with a discussion of the last attack of the piece and the events that lead up to it. The final measure of *Post-Partitions* (ex. 7) features a *fffff* attack on F-sharp, C-sharp, and F, over an A-flat sustained from the previous measure. Mead connects these pitch classes to the E found in the highest register of the penultimate measure and to the E-flat that precedes it, also in this measure. Mead's goal is to extract the [0 2 3 4 5 7] hexachord type from the texture, since this hexachord underlies the formation of array lynes and surfaces throughout the piece. Mead points out that all the pitches of this hexachord are marked with loud dynamics, and the E-flat and E appear in the higher registers of the penultimate measure. However, the E-flat and E appear simultaneously with their dyadic counterparts of G and B, respectively.

Example 6: First aggregate, *Post-Partitions,* m. 1, with time-point annotations.

Example 7: Last two measures, *Post-Partitions.*

Furthermore, the B of the {E B} dyad is higher in register than the E-flat. The dynamic level of the first {E B} dyad attack is *ppppp*, a distinctly lower dynamic than the dynamics ranging from *f* to *fffff* associated with other members of this hexachord type. Essentially, Mead expects the listener to ignore the lower-register pitch classes of the {E♭ G} and {E B} dyads, to disregard the *ppppp* dynamic level of the first attack of the {E B} dyad, and then to connect the E-flat and E to the {F♯ C♯ A♭ F} appearing in a different register in the last measure. Since the [0 2 3 4 5 7] hexachord type is an important structural element in the piece, Mead may claim that the hearing he proposes has been "prepared." Nonetheless, on a surface as dense and restless as that of *Post-Partitions,* a hearing this specific to hexachordal associations may prove inaccessible for even the most careful listener.

Over the past forty years, Babbitt's structural concerns have grown more vast and elaborate, and his compositional techniques have developed accordingly. The fourth and final chapter, "The Grand Synthesis (1981–)," focuses on Babbitt's present compositional procedures, which have produced perhaps the most complex and individual works of his career; they have also supported works of the greatest scope with regard to their variety of surface figurations and details, underlying structural formations, duration, and instrumental forces.

Central to the composition of Babbitt's recent music is the superarray, a structure created by layering arrays on top of one another. The superarray provides Babbitt with an even denser contrapuntal framework within which to compositionally maneuver. Babbitt maintains careful control of the superarray's presentation, using parametric definition (in the domains of register, dynamic, timbre, and articulation) to distinguish the constituent arrays of the superarray, much in the way he distinguished lynes and lyne pairs in his earlier compositions. Implicit in the superarray is the duplication of pitch classes during the simultaneous presentation of multiple columnar aggregates.[15] Babbitt's composing-out of the superarray in various works both highlights and obscures this property.

In example 8a Mead provides the superarray whose first composite column is realized in the opening of *Mehr "Du"* (1991), for soprano, viola, and piano (ex. 8b). The two simultaneous aggregates of the first three measures are assembled from lynes that are stratified in the lowest register of the viola in the top array, and in the low voice, mid-high and mid-low registers of the piano in the bottom array. Here, Babbitt avoids setting the same pitch classes in rhythmic unison or in temporally adjacent positions.

The synthesis to which Mead refers in the title of his last chapter is the fusion of two major concerns in Babbitt's previous periods: trichordal and all-partition arrays. While some of his superarrays utilize a single array

Example 8a (from Mead, p. 254): Superarray, *Mehr "Du"* (excerpt).

sul pont.		23e10t	976			6845	
pizz.		34021 5786t		1(e) t9		9	
high Va.				754623	980te1	3	
med			8 5	8	562	7e	e9t0 2431
low	e98t67 023154						
Voice (high)		9e	4	0	437	0t21	7568
Voice (low)	20e1					7 9t	784653
high			et2 467	201 598	3	8	
	5	786		34 6t	402	1e	t9
Pno		9	980		7 te1	54(6)23	1
low	79t8 643		351			0	0e 2
		te 104(2)35		e7	986 5		

Top Array: high / med / low Va. with Voice (high).
Bottom Array: Voice (low) with high ↑ Pno ↓ low.

Example 8b: Opening measures, *Mehr "Du."*

Sop. Du   sträubst und   wehr - st!   (ff)

Va.   (sul pont., pizz.)   ff

Pno.   ff

transformed through twelve-tone operations to produce derived arrays
that are then superimposed, others utilize non-derived constituent arrays,
often combining trichordal arrays common to the first period with all-
partition arrays of the second. Trichordal formation, crucial to earlier
pieces, continues to occupy Babbitt in the form of the all-trichord row, a
twelve-tone row whose ordering contains overlapping partitions of nearly
all of the trichord types.[16] Babbitt further integrates his former practices
by sometimes using these all-trichord rows as the lynes in all-partition ar-
rays. These arrays are then themselves combined with other arrays to form
superarrays.

Perhaps because there is no "typical" Babbitt superarray composition,
Mead shies away from extended analyses, opting mostly for ones that last
no more than a few pages. Presumably, Mead is attempting to illustrate
the various ways in which Babbitt has reinterpreted a central structural
idea in his music. Yet, with ideas as complex as those presented here, it
would have been more rewarding to be guided through a significant por-
tion of a superarray composition. Noticeably absent is any extensive dis-
cussion of Babbitt's recent time-point techniques, leaving the reader to
wonder how Babbitt has integrated new developments such as the superar-
ray into the rhythmic domain.

In the brief analyses Mead does offer us, he details the structural rich-
ness and surface variety in Babbitt's recent music. Again, I am disap-
pointed that Mead is so determined to offer us analyses outlining Babbitt's
compositional designs that many striking features of the music are
slighted or ignored. For example, in his discussion of *Whirled Series* (1987),
for saxophone and piano, Mead describes the end of the piece as a "fero-
cious conclusion [where] the final composite aggregate [is] composed out
over an extraordinary twenty-four bars" (226). The ending to this piece is
so unique that Mead obviously felt it was worth mentioning. But in light
of Mead's attempt to offer information that will aid in our hearing of
Babbitt's music, I am surprised that he does not discuss in greater depth
the sense of finality that is achieved by the suspension of the last compos-
ite aggregate. A cadence is generally thought of as a harmonic resolution
to a stable point of rest. While all of the music that precedes the conclu-
sion of *Whirled Series* is characterized by a much faster aggregate turnover
rate, the ending obsessively reiterates the final composite pitch-class aggre-
gates of the superarray over a considerable period. It thus sounds compar-
atively stable, setting the piece's harmonic motion at rest by settling on a
"cadential" aggregate group (ex. 9).

An Introduction to the Music of Milton Babbitt provides a meticulous and
comprehensive study of Babbitt's compositional techniques. As an intro-
duction to Babbitt's music, this book will be a challenge for anyone not

Example 9: Final measures, *Whirled Series.*

possessing a strong background in twelve-tone theory and not somewhat familiar with Babbitt's compositional techniques. As a guide to hearing Babbitt's music, *An Introduction* frequently relies too heavily on the relationships and features found in the composer's structural designs. Mead often disregards the more obvious surface characteristics that may lead a listener to some of Babbitt's structural underpinnings, and he never examines ways structure might be aurally perceived outside of Babbitt's compositional designs.

To be fair, Mead remarks that his analyses only "scratch the surface" (76, 202) or "pass over much of the richness of the composition's details" (115). Because Mead believes that Babbitt's underlying compositional designs are "the source that animates the farthest reaches and ramifications of the sounding surface" (5), perhaps he would argue that we are always in some sense "hearing" Babbitt's designs since surface details are local manifestations of deeper levels of large-scale structure. Nevertheless, the

Example 9 (cont.)

translation from background compositional structure to musical surface realization may be too complex for the listener to explicitly infer an intricate compositional design such as an array in the degree of detail that Mead describes in his analyses. What this book does show us is how Milton Babbitt composes.

Notes

    1. "Composition" here refers to the structural planning that produces a set of constraints before the "composing" begins, as well as to the production of the musical score.

    2. Mead acknowledges that "[i]n most twelve-tone music there are extensive examples of pitch-class repetition within aggregates" (13), but he never makes clear how the listener might distinguish internal pitch-class repetition within, as opposed to between, aggregates.

3. Non-pitch parameters and their role in the perception of atonal music have been explored by Deliège (1989), Krumhansl (1991), Clarke and Krumhansl (1990), Tenney and Polansky (1980), and Nonken (1999), among others.

4. See Morris (1987:295); Bregman (1990:320–23, 392).

5. Excellent resources for the terms discussed and notation used in Mead's book may be found in Forte (1973), Rahn (1980), Morris (1987), and Straus (1990).

6. For a detailed discussion of maximal diversity in selected compositions by Babbitt, see Dubiel (1992).

7. Babbitt discusses the influence of Webern's *Concerto for Nine Instruments* on the structure of the opening aggregate of *Composition for Four Instruments* in Dembski and Straus (1987:24–28).

8. Pitch classes are notated in integers where C=0, C-sharp=1, D=2, etc. To avoid confusion, the pitch-class integers 10 and 11 are notated as "t" and "e," respectively. Collection classes (i.e., pitch-class set types that are equivalent under transposition and inversion) are notated in square brackets; curly braces denote unordered collections that are not equivalent under transposition and inversion.

9. Babbitt's most notable earlier rhythmic practice was the use of duration rows. Duration rows are built on orderings of durational values from 1 to 12 that increase incrementally in size. For example, if the durational value of 1 is a sixteenth note, 2 would equal an eighth note, 3 would equal a dotted eighth note, and so forth. Typically, duration rows are numerical translations of ordered pitch-class integers found in pitch-class rows.

10. It should further be stated that the number twelve has no inherent significance in any musical domain. While the octave in Western art music is divided into twelve equidistant parts, this is still not an inherent quality of pitch.

11. Mead offers insightful comments with regard to Babbitt's dynamic markings, noting that the extremes of dynamic do not represent absolute levels of amplitude but rather "indicate inflections within a normal range of dynamics [so that] we can hear in his music a series of contours of intensity that maintain their identity under various sorts of transformations. . . . These notated contours reflect the flexibility available with the dynamic range, a quality found in performances of, if not precisely notated in, the more familiar repertoire" (176–77). However, for a listener to be able to aurally distinguish, for example, time-point lynes by hearing the incremental differences in the dynamics that stratify these lynes, the listener must make distinctions between absolute dynamic levels. Mead fails to address this contradiction.

12. Babbitt sometimes repeats a time point within a measure if the modulus is shorter in duration than the measure, and the position of the time point within the repeated modulus in the measure allows space for reiteration of the time point. In m. 1 of *Post-Partitions,* time point 0 is repeated (as the *fffff* {A E} dyad attack on the downbeat of beat four) as well as time point 2 (the *pppp* {Bb F} dyad attack on the second triplet eighth note of beat three).

13. The dynamic stratification of individual time points coupled with the use of different, simultaneous moduli in *Post-Partitions* is somewhat unusual in Babbitt's

oeuvre. More often, time-point array lynes are cast in the same modulus, with each lyne or lyne pair stratified by different dynamic levels.

14. In some cases, such as with time points 1 and 2, and 6 and 8, in m. 1 of *Post-Partitions,* certain attacks, although from different moduli, occur simultaneously. Babbitt specifies different dynamic levels for the upper and lower pitch classes of the dyads that fall on simultaneous time points to distinguish the time-point lynes from one another.

15. Pitch-class duplication within array columns also occurs in earlier works, in which Babbitt has transformed the array in such a way that the lyne aggregates are preserved but the array columns contain pitch-class duplications. These columnar collections that contain pitch-class duplications, and are therefore less than twelve pitch-class types, are referred to as weighted aggregates.

16. Mead suggests that Babbitt has omitted the [0,4,8] and [0,3,6] trichord types because "[t]he former cannot be ordered to represent the four classical transformations [prime, inversion, retrograde, and retrograde inversion] unambiguously, and the latter is the single trichord type that cannot generate an aggregate" (156).

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Reviewed by Edward Macan

For many years after his death in 1958, Ralph Vaughan Williams was a figure in eclipse. Considered the doyen of living British composers during the interwar years, his stock began to plunge after World War II—slowly at first, then more quickly after his death. By the early 1960s, when even relatively conservative composers had adopted elements of serialism (Copland, Ginastera, and Britten, to name a few), it had become fashionable to view Vaughan Williams as a reactionary composer whose pastoral ruminations were escapist and narrowly parochial. It is true that the standard biography—by his widow, Ursula Vaughan Williams (1964)—and the standard study of his music (Kennedy 1964) appeared during the 1960s. Otherwise, though, interest in Vaughan Williams's music was certainly at low ebb in the quarter century between the early 1960s and mid-1980s.

In the last decade, however, there have been signs that Vaughan Williams's stock is once again rising. There has been a notable increase in the number of Vaughan Williams recordings released, including both reissues of historic performances and new releases of previously unavailable works; the first-time availability of the film music, currently appearing on a series of releases by the Naxos label, is especially welcome.[1] During the past few years the academic world has witnessed, after a long dry spell, the appearance of several Ph.D. dissertations devoted to Vaughan Williams, as well as Wilfrid Mellers's (1989) study of the music, and a bibliographical guide (Butterworth 1990); a second guide is currently in preparation.[2] And now, for the first time, comes a collection of essays on Vaughan Williams and his music, entitled *Vaughan Williams Studies*, edited by Alain Frogley and published in 1996 by Cambridge University Press.

To say this is a welcome addition to the canon of Vaughan Williams writings, however, is not to say that the merit of the individual essays is as consistently high as one might desire. To be sure, several of the ten essays do break genuinely new ground. On the other hand, there is a tendency in some of the essays to present conventional wisdom as new revelation. Furthermore, with a couple of notable exceptions, one finds a somewhat troubling lack of engagement with, if not an outright lack of awareness of, new works from both inside and outside the discipline which have the potential of profoundly affecting future Vaughan Williams research.[3] Much of the book is permeated by an overreliance on the same three sources: Kennedy, Ursula Vaughan Williams, and Mellers.

The writer who shows the surest grasp of relevant new sources is, not surprisingly, editor Alain Frogley. In his "National Character and the Reception of Vaughan Williams," Frogley argues, for the most part successfully, that the stereotype of Vaughan Williams as a rustic pastoralist out of sync with the twentieth century tells us more about the biases of contemporaneous critics than it does about Vaughan Williams, and that a more balanced assessment is long overdue. Frogley points to recent work by historians and cultural theorists dealing with the important cultural implications of pastoralist imagery in twentieth-century British thought as indicative of Vaughan Williams's engagement with (rather than evasion of) mainstream intellectual currents of his era. He argues that the insular (i.e., "peculiarly English") element of Vaughan Williams's music has often been exaggerated by critics, although Vaughan Williams's writings, which are often much more dogmatically nationalistic than his music, may have left him open to some of the charges of parochialism that have been leveled against him. He notes that the "conservative" element of Vaughan Williams's music was long exaggerated as well. Only since the 1970s, when it has again become "permissible" for art music composers to write tonal music, has it become easier to apprehend the quietly subversive tonality that runs through much of his music.[4] Towards the end of his life, when he had become the living embodiment of British music, Vaughan Williams made an inviting target for younger composers, who saw him as a complacent Establishment lackey. As Frogley notes, this was especially unfair, as Vaughan Williams's socialist and internationalist views were far from the reactionary image of him that eventually emerged.[5]

While Frogley does emphasize the impact of English nationalism, socialism, and pastoralism on Vaughan Williams's work, he never identifies the three as being explicitly linked together into a larger, overarching perspective. This is unfortunate. Vaughan Williams's equation of Englishness, communitarianism, and pastoralism would seem to link him to a tradition of "radical pastoralism" in British culture that stretches back at least to Blake and William Morris in the nineteenth century, if not to the radical seventeenth-century religious/political sects like the Ranters and the Seekers. I believe that viewing Vaughan Williams as part of this larger cultural/political trend in British history invites a promising new interpretation of British musical pastoralism, one that emphasizes its engagement with earlier British cultural, political, and social concerns, rather than focusing on its lack of engagement with (and apparent reaction against) early twentieth-century musical modernism. It is also unfortunate that Frogley seems to be unaware of work done independently by Bill Martin and myself, which sees this vein of radical pastoralism extending into British popular music of the 1960s and 1970s; this would have enabled

him to connect Vaughan Williams's work not only backward, but forward in history.[6] On the whole, though, Frogley has done a real service by citing a number of relevant recent texts by historians and cultural theorists; a musicologist wishing to pursue an interdisciplinary approach to Vaughan Williams scholarship could easily compile a working bibliography from Frogley's footnotes.

Two of the other contributors, Julian Onderdonk and Jeffrey Richards, take up different strands of Frogley's nationalist/pastoralist tapestry. Onderdonk's "Vaughan Williams's Folksong Transcriptions: a Case of Idealization?" (which summarizes some of the key points of his forthcoming Ph.D. dissertation) focuses on the cultural implications of Vaughan Williams's folksong collecting activities. During the late nineteenth century, as the social changes wrought by industrialization became more acute, English folksong became a major component of an emerging ruralist nationalism that was especially strong amongst the British intelligentsia. Folksong was credited with almost mythic powers of social and cultural renewal, and was seen as a potent tool for reforming popular musical taste. During the past thirty years, folklorists have evaluated the folksong revival of Cecil Sharp, Vaughan Williams, and their circle from a Marxist perspective, and have tended to see their work in a largely negative light.[7] Folklorists point to the social and cultural separation of the urban middle-class collectors from the rural agrarian workers who were their subjects, and the way that the collectors idealized (and thus distorted) folksong, as part of a process whose effect was "to reinforce the existing power structure at a time of national uncertainty" (119).

While not denying that in his notations Vaughan Williams did sometimes unconsciously simplify given folksongs to create an idealized version of the tune, Onderdonk notes that at other times Vaughan Williams could be completely scrupulous in his notation of textual and melodic irregularities, even if he felt the singer had rendered the folksong incorrectly. In short, Onderdonk argues that Vaughan Williams's folklorist critics are unjustifiably reductive in their argument that his collecting work was simply a ruse for him to "invent" a folksong tradition. There are too many examples where Vaughan Williams lets the singer's irregular performance "speak for itself," even when it must have been tempting for him to edit the performance down to a version that would have more closely corresponded to his own ideas of effective melodic writing (especially in terms of avoiding excess repetition). Likewise, Onderdonk chides the folklorists for their one-dimensional interpretation of the rural nationalism of the Sharp/Vaughan Williams circle as mere cultural imperialism. It is true that the folksong collectors did use folksong to express a strain of English pastoralist nationalism that tended to the advantage of the upper classes, by focusing on an idealized stable rural society ("stable" being the key

word here) as the cornerstone of English greatness.[8] On the other hand, they also showed genuine respect for agrarian working-class culture, and their work shows a real utopian impulse through its encouragement of interclass cooperation and, by extension, the creation of a more egalitarian society. It is therefore surprising that Onderdonk never mentions that both Vaughan Williams and Cecil Sharp were socialists. As the collectors themselves must have realized, the glorification of folksong contained genuinely subversive undercurrents vis-à-vis prevailing class relationships, somewhat similar, I would suggest, to the glorification of African-American jazz by white American jazz critics earlier in this century.[9]

Jeffrey Richards's "Vaughan Williams and British Wartime Cinema" takes up a very different strand of Vaughan Williams's nationalism: his music for British propaganda films during the World War II era. In its attempt to rally public morale during the grueling fight against Nazi Germany, the Ministry of Information sought to project in its films an image of British character that emphasized tenacity, courage, selflessness, and egalitarianism. For Vaughan Williams, who had made the "construction of Englishness" in music one of the goals of his life's work (143), scoring these films must have seemed like a very natural assignment. Richards gives a fairly expansive survey of the films (which include *49th Parallel, Coastal Command,* and *The Flemish Farm*) as well as the accompanying music. This is most useful, since both the films and (until very recently) the music have been unavailable. He notes that Vaughan Williams's approach to film scoring was different from that of Hollywood film composers, who wrote the music very rapidly in conjunction with a rough-cut of the picture. Vaughan Williams was sent a script and a set of cues, and often composed his score before the film was finished, leaving it to the musical director to fit the music to the finished film. While Vaughan Williams himself saw such film scores simply as a means for a composer "to serve the community directly through his craft if not through his art" (140), it is clear he also felt that some of this film music transcended the purely functional; Richards cites examples of several themes from the film scores that were to reappear in the Sixth Symphony.[10] Furthermore, Richards notes that the films offered Vaughan Williams a forum in which to reconcile his British nationalism with his equally strongly held political internationalism.[11]

Two of the shortest essays in the collection, by Michael Vaillancourt and Hugh Cobbe, are among the most important: both address (from different angles) the relationship of Vaughan Williams's oeuvre to the German tradition. Vaillancourt's "Coming of Age: the Earliest Orchestral Music of Ralph Vaughan Williams" traces, for the first time, the emergence of Vaughan Williams's mature style through a series of unpublished orchestral manuscripts (now located in Yale University Library and the

British Library). Vaillancourt sees 1902 as a watershed year, and notes that in the orchestral work composed between 1902 and 1907 (of which only *In the Fen Country* survives in any published form) the Germanic influences decrease in direct proportion to the emergence of the hallmarks of the mature Vaughan Williams style: pentatonic melodies, modal harmony, ternary structures, and widely-spaced chord streams moving in oblique or contrary motion.

Cobbe's "Vaughan Williams, Germany, and the German Tradition: a View from the Letters," forms a nice counterpoint to Vaillancourt's article, since it draws on Vaughan Williams's writings (including a number of un-published letters and forgotten articles) to trace a profound shift between 1890 and 1910 in Vaughan Williams's attitude toward the German tradi-tion. Between 1890 and 1900, Vaughan Williams viewed "great music" and German music as essentially one and the same, and was an enthusiastic Wagnerite.[12] Soon after the turn of the century, however, Cobbe sees a notable cooling on Vaughan Williams's part towards the German tradition and all it entailed. Of course, he never rejected it entirely—throughout his life, he grappled with the legacies of Bach and Beethoven (and to a lesser extent, perhaps, Wagner and Brahms). However, as his own style co-alesced between 1900 and 1910 under the impetus of English folksong, Tudor church music, and French impressionism, he evinced increasingly less sympathy for German music after Wagner; he was cool to Strauss and Mahler, and quite disliked the music of the Second Viennese School. Many years after the emergence of his mature style, when he undertook to help musicians fleeing Nazi Germany, he urged the refugees to respect English musical institutions, lest the resurgent influence of German music overwhelm the revived English tradition he had done so much to bring into being.[13] As Cobbe suggests (although perhaps not as straightfor-wardly as he could have), the "insular" and "parochial" aspect in Vaughan Williams's polemics about national style must be understood in light of these fears.

The remaining five essays are somewhat more problematic. Anthony Pople's essay "Vaughan Williams, Tallis, and the Phantasy Principle" assays to demonstrate how Vaughan Williams's justly renowned *Fantasia on a Theme by Thomas Tallis* (1910) stems from the turn-of-the-century revival of the Elizabethan/Jacobean "phantasy" genre (encouraged from 1905 by W. W. Cobbett's competitions, which generated 134 "Phantasy" composi-tions between 1905 and 1907), yet totally transcends the limitations of the genre.[14] Pople achieves this goal admirably enough, but his article loses focus as he attempts to grapple with too many other issues simultaneously. He suggests the unstated program of the Tallis Fantasia is nothing less than to present a journey through English music history. This hypothesis

is interesting, but highly subjective, since it assumes precisely the kind of unwritten program that Vaughan Williams was constantly rejecting in connection with his symphonies.[15] He also spends considerable time mulling the reasons behind the revisions of 1913 and 1919, although A. E. F. Dickinson (1962:177–94) undertook a similar task, and Pople never really makes a case for challenging Dickinson's conclusions. I find it curious that Pople never mentions Elgar's *Introduction and Allegro* of 1904. This work prefigures the unusual antiphonal division of string orchestra and string quartet that is such an important part of the Tallis Fantasia, embraces a similar approach to melodic evolution in a loose ternary structure, and also makes a nod to the nascent early-music movement (Elgar's stated model was Handel's concerto grossi). It seems extremely likely that Vaughan Williams would have been familiar with the piece; the period of his greatest interest in Elgar coincides closely with the date of the Tallis Fantasia's composition (Foss 1950:31).

Byron Adams's "Scripture, Church, and Culture: Biblical Texts in the Works of Ralph Vaughan Williams" sets out to document the development of Vaughan Williams's religious beliefs over the course of his life. Adams's conclusion is that during the World War I era, Vaughan Williams shifted from a hard-nosed atheism to a "soft" agnosticism, and seems to have accepted the possibility—perhaps even the likelihood—of some kind of existence after death. He finds specific evidence of this shift in viewpoint (i.e., Vaughan Williams's use of an excerpt from Plato's *Phaedo* concerning the immortality of the soul as an epigraph to his *Sancta Civitas* of 1926), and more generally notes that Vaughan Williams did not set any Biblical verse until 1913, but that he then proceeded to do so with increasing frequency during his later years. While I tend to agree with Adams's conclusion, I do not find it particularly revelatory—as Ursula Vaughan Williams said of her husband in her biography of 1964, "He was an atheist during his later years at Charterhouse and at Cambridge, though he later drifted into a cheerful agnosticism: he was never a professing Christian" (1964:29). Adams argues that it is necessary to set the matter straight because of the "often-heard argument that Vaughan Williams was some sort of *chrétien malgré lui*" (109); however, it is hard to avoid the conclusion that Adams is simply creating a straw-man here, since he cites no commentator, major or minor, who has advanced such an argument.[16]

I suspect that Adams may, to a certain degree, exaggerate the hard-edgedness of Vaughan Williams's youthful atheism. It certainly seems doubtful that he was ever really a materialist along the lines of "the Apostles," a circle including G. E. Moore, G. M. Trevelyan, and Bertrand Russell, with whom he had a great deal of contact during his years at Cambridge. A word that has often been used in connection with Vaughan

Williams's music is "visionary." Other than listening to the music itself, I think the best way to understand the application of this word to Vaughan Williams's music is through the following statement by the composer himself:

> [T]he object of an art is to obtain a partial revelation of that which is beyond human senses and human faculties—of that, in fact, which is spiritual. . . . The human visible, audible and intelligent media which artists (of all kinds) use, are symbols not of other visible and audible things but of what lies beyond sense and knowledge. (Vaughan Williams 1987:122)

This Neoplatonic concept of the nature of music is quite removed from the materialist mentality of the Cambridge apostles. Although annunciated in 1920, I think it reflects a philosophy that is just as operative in the early masterworks (e.g., the Tallis Fantasia of 1910) as in his post-World War I output.

The last three essays in the collection deal more strictly with stylistic matters, and argue against the notion of Vaughan Williams as musical reactionary and rustic country bumpkin. Lionel Pike discusses the importance of rhythmic development in the Fifth, Sixth, and Eighth Symphonies in his "Rhythm in the Symphonies: a Preliminary Investigation." Pike does succeed in demonstrating the importance of rhythmic development to the overall symphonic process of the three symphonies he chooses to discuss, especially the Sixth. One is again struck, however, by the manner in which conventional wisdom is presented as new revelation. Pike repeatedly emphasizes the importance of the interplay of duplet and triplet rhythms in Vaughan Williams's music, which he attributes to the influence of Brahms (167). However, as early as 1954 Elsie Payne (whom Pike never cites) emphasized the duplet/triplet interpenetration as a major aspect of Vaughan Williams's style, and demonstrated convincingly that this element of Vaughan Williams's practice emerged as a result of his work with English folksong (Payne 1954:103–26).

Pike also fails to distinguish between two very different approaches to rhythm apparent in Vaughan Williams's work. There is the prose-rhythm approach often associated with Vaughan Williams, and evident in the Tallis Fantasia, the Mass in G minor, and the first, second, and fourth movements of the Pastoral Symphony: A slow quarter-note pulse is a constant element, but there is a weak sense of regular beat groupings (hence the shifting meters in the composer's notation), and a fluid shift between duplet and triplet divisions of the beat. After the mid-1920s, however, a second, more motoristic approach begins to appear with greater fre-

quency: the speed of the pulse increases, beat groupings become much more regular and marked, and short, repetitive patterns are juxtaposed to generate cross-rhythms (often of a duplet versus triplet nature) and poly-rhythms.[17] The first, third, and fourth movements of the Fourth Symphony, "Satan's Dance of Triumph" from *Job*, and the Scherzo of the Fifth Symphony (which Pike discusses) exemplify this approach to rhythm, which seems to have resulted from Vaughan Williams's exposure to inter-war neoclassicism in general, and in particular to his friend Gustav Holst's music of the 1920s.[18] I have discussed these two rhythmic approaches in greater detail elsewhere (Macan 1991:263–77). Pike does not cite my work, which is unfortunate, since I believe that a major challenge facing Vaughan Williams commentators is to address how these two approaches are synthesized in the music of Vaughan Williams's final twenty years, the era that takes in all three of the works Pike discusses here.

Arnold Whittall's "Symphony in D major: Models and Mutations" addresses the quietly subversive treatment of tonality in the Fifth Symphony to demonstrate that Vaughan Williams is capable of projecting a sense of ambivalence and doubt that is totally in tune with the twentieth-century artistic modernism he supposedly spurned. Whittall is especially interested in the ramifications of the opening sonority (a D-major triad over a C pedal point). The movement is cast in a sonata-allegro format, but the predictability of the thematic structure is at odds with its tonal instability, since C and F seem to have as much claim to "tonic" as D (even at the close of the movement, when the D over C sonority returns without bring-ing a sense of resolution). Resolution, Whittall argues, comes only in the fourth movement, after a final reappearance of the D over C sonority, when D is finally confirmed, and the music is freed to rise peacefully into the stratosphere, metaphorically speaking, into a realm beyond human comprehension. Even here, Whittall argues, "all traces of a question mark cannot be entirely erased . . . Vaughan Williams's Fifth uses its 'human side' to raise questions about 'eternity' which are by definition unanswer-able in terms of human experience" (212). The work is, therefore, emi-nently modern in spirit.

Whittall's detail and insight is first-rate, if occasionally long-winded, although his anxiety to establish Vaughan Williams as a "good modernist" now seems a bit dated, since, as he also points out, one could just as easily claim him as a precursor of what he calls the "anti-modern" movement typified by composers such as Górecki, Pärt, and Tavener (188). One also wishes that Whittall (and some of the other authors, for that matter) had engaged Richard Greene's important new study of Gustav Holst (see note 3). Greene's analysis of Holst's music on semiological lines, and his identification of various pastoralist musical metaphors in Holst's style, has

obvious relevance to Vaughan Williams scholarship—the two composers shared certain stylistic gestures as a result of their common interest in English folksong and Tudor church music—and offers an obvious complement to Whittall's hermeneutic interpretation of the Fifth.

The final essay in the collection, Oliver Neighbour's "The Place of the Eighth Among Vaughan Williams's Symphonies," succeeds better in its subtext—discussing Vaughan Williams's symphonies as a coherent body of music—than it does in its stated goal, which is to elucidate the special nature of the Eighth. Neighbour notes that Vaughan Williams did not view his symphonies as a consciously planned sequence of works with special significance until the last decade of his life: by the time of the Eighth Symphony's publication (1956), when he had finally agreed to sanction the numbering of his symphonies, his view seems to have changed somewhat. Neighbour avoids implying that one should attempt to read the sequence as autobiographical or even programmatic (in the Lisztian sense). He argues, however, that there are certain philosophical preoccupations which Vaughan Williams returns to again and again in the symphonies, perhaps more single-mindedly than in any other genre he worked in. Neighbour finds a pervasive "near despair at the human condition"; "the search for stoicism in [life's] contemplation"; and "a counterbalancing belief in things of the spirit" (227). Neighbour argues that some of the symphonies develop one or another of these themes in particular: the Third ("Pastoral") is concerned with stoic contemplation, the Fourth with despair, and the Fifth with the possibilities of spiritual transcendence.

This formulation seems to me to be the first successful explanation of Vaughan Williams's symphonies as a unified body of music, and it is only when he turns to the place of the Eighth Symphony in the group of nine that his inspiration falters. In an attempt to identify some sort of overriding idea that predominates in the Eighth, Neighbour cites a number of apparent cross-references Vaughan Williams makes in this symphony to his own earlier works, as well as to the works of other composers. However, beyond identifying a very vague "human quality" (232), Neighbour never clearly articulates what, if any, deeper correspondence these quotations may have, so that at the end he is left merely stating the obvious: the Eighth is a lighter work than the other symphonies.

In sum, then, *Vaughan Williams Studies* is a mixed bag. Unfortunately, Cambridge University Press does nothing to help the book's cause. The volume contains no information on the contributors, virtually no bibliography, and only the most perfunctory of indexes; it is hard to avoid the impression that the publisher skimped wherever possible, which hardly seems justifiable based on the cost ($59.95 in the U.S.). And while the authors do sometimes cite each others' essays, it is usually in a perfunctory

way: with the possible exception of Frogley, they never seem to really engage each others' work in the manner of (to give but one example) the magisterial collection of essays on Wagnerism edited by William Weber[19] (Large and Weber 1984). But perhaps this is an unfair comparison. After all, there has now been a century of serious study of Wagner and his music, but, as Frogley notes, "in many ways, the work of Vaughan Williams research has only just begun" (xvii). Perhaps the present volume is not a giant step in this direction, but it is an important one, nonetheless.

Notes

1. The release of the film music is to be especially welcomed because it focuses attention on Vaughan Williams's engagement with the popular culture of his day, a facet of the composer's life work that has been in danger of being submerged by the emphasis placed on his "serious" works.

2. The most important new study of Vaughan Williams's music to appear in the last decade is Mellers (1989). Butterworth (1990) was the first bibliographic guide to appear; a similar guide by Alison McFarland is forthcoming from Scolar Press.

3. Within the discipline, Richard Greene's (1994) important new study of Gustav Holst's music, which makes extensive use of semiological analysis, would certainly seem to offer some important new avenues to analysts of Vaughan Williams's music; for instance, it identifies and discusses a number of distinctive "pastoral" metaphors in Holst's music that have obvious counterparts in Vaughan Williams's output. From outside the discipline come a number of studies by historians and cultural theorists which attempt to evaluate the work of Vaughan Williams, Holst, and contemporaneous British composers from a cultural and political, rather than from a strictly musical, perspective. Among the most important are Harrington (1989), Stradling and Hughes (1993), and Boyes (1993). It is fair to say that all of these studies arrive at some debatable conclusions, and Stradling's and Hughes's *English Musical Renaissance,* while an important work and genuinely groundbreaking in many ways, is undermined by its unexamined but pervasive premise that British art music of the 1860–1940 era must in fact be inferior to contemporary Continental music. Nonetheless, this new body of work does shed new light on connections between Vaughan Williams's music and contemporary cultural currents, and offers opportunities to evaluate Vaughan Williams's achievements in a new light.

4. Arnold Whittall discusses this issue in connection with the Fifth Symphony in his essay in the present volume. I would also point to the Third ("Pastoral") Symphony, where the quiet, placid surface of the music does not succeed in obscuring the sense of uncertainty, and at times anguish, conveyed by the frequent bitonal episodes.

5. Currently, the authoritative study of Vaughan Williams's politics is Harrington (1989). For an attempt to reconcile Vaughan Williams's nationalist and internationalist perspectives, see Jeffrey Richards's "Vaughan Williams and British Wartime Cinema" (145–46) in the present volume.

6. I discuss explicit stylistic connections between the music of Vaughan Williams, Holst, and British popular music in Macan (1992). My *Rocking the Classics: English Progressive Rock and the Counterculture* (1997:51–55) discusses the music of Vaughan Williams and Holst and the English progressive rock movement of the late 1960s and 1970s as chronologically disjunct manifestations of a similar radical or utopian pastoralism. Martin (1996:55–58) discusses the radical pastoralism of Blake and its impact on British popular musicians of the 1960s and 1970s.

7. Particularly pertinent here is Harker (1985). Harker's essential argument is that the folksong collections of Cecil Sharp, Vaughan Williams, et al. are essentially an "invented" body of music, having very little connection with the realities of rural working-class musical culture. Harker sees the folksong-collecting activity of the early twentieth century as little more than expropriation of workers' culture by bourgeois mediators for the use of their own class. For well-expressed counter-arguments to several of Harker's principal premises, see Pegg (1987:346–50).

8. There was a strong element of primitivism driving the English folksong movement—a belief that the folksong collectors were somehow tapping into a vein of liberating primal energy that would renew a decadent and sterile modern society —that has obvious parallels with earlier trends of thought (the Romantic movement) and later developments (the critical ideology surrounding American jazz and rock music). Pattison (1987:30–55) draws some interesting parallels between the impact of primitivism on Romantic and rock ideology; I suspect some of his observations could be extended to the English folksong movement as well.

9. During the popular heyday of jazz (late 1920s to early 1940s), white American jazz critics tended to view jazz in much the same fashion as English folksong collectors viewed English folksong—a conduit to a liberating primal energy that would revivify a sterile and effete modern culture. This is obviously a very "white" view of what jazz was all about—it is extremely doubtful that black jazz musicians (or, for that matter, English folksingers) saw their work in this light. However, the fact that the critics were imposing white, romantic myth on black music doesn't negate the genuinely subversive social and cultural ramifications of their support for the music. It was hard for critics to praise African-American musical culture without at least implicitly criticizing social institutions that oppressed or marginalized African-American people—a point that many cultural conservatives of the era, who rabidly denounced jazz, were quick to realize. Interestingly, Sir Edward Elgar, a political/cultural conservative and rabid Tory, greatly disliked the folksong movement. Coincidence? Possibly, although I doubt it.

10. This would seem to lend further credence to the conjectures of some commentators who have insisted, against the composer's wishes, on interpreting the Sixth as a reaction to the War.

11. The key to successful political internationalism, Vaughan Williams believed, was fostering individual nations' cultural nationalism through music and other arts (see Richards, page 146 of the present volume).

12. He even chose to study in Berlin with Max Bruch in 1897–98 because "Berlin was the only town at that time where they performed *The Ring* without cuts" (Foss 1950:30).

13. A letter from Vaughan Williams to Ferdinand Rauter, a refugee musician who invited Vaughan Williams to be Patron of a newly formed Anglo-Austrian Music Society, offers a full exposition of Vaughan Williams's concern that the refugees could trigger a new era of Teutonic dominance of British music (see p. 95 of the present volume).

14. As Pople notes (50, 80), the great bulk of the music that came out of the "Phantasy revival" now sounds quite dated.

15. For instance, the repeated claim that the Fourth Symphony was a musical reflection on the political state of Europe in the 1930s, or that the Sixth Symphony was a musical reflection of the Second World War (with the final movement raising the specter of nuclear annihilation).

16. In my own perusal of the secondary sources, I am not aware of any author who has advanced such a claim. Hugh Ottaway does call Vaughan Williams a "disappointed theist," which, as Ottaway himself points out, is not the same as saying he is a *chrétien malgré lui* (a Christian despite himself) (1986:99). The writers who seem embarrassed by Vaughan Williams's agnosticism (e.g., Foss 1950) tend to simply ignore it. (Incidentally, Adams could have profitably considered the influence that Gustav Holst's interest in Eastern spirituality may have exerted on Vaughan Williams, especially because by the mid-1890s he was becoming closer to Holst than to the Cambridge circle.)

17. By cross-rhythms, I mean two rhythmic patterns that share a common downbeat but have different interior accents (for instance, a pattern in $\frac{6}{8}$ juxtaposed against a pattern in $\frac{3}{4}$). By polyrhythms, I mean two rhythmic patterns of different lengths where the downbeats coincide sporadically (for instance, the passage near the opening of the third movement of the Fourth Symphony, where a pattern in $\frac{5}{8}$ is juxtaposed against a pattern in $\frac{6}{8}$; the downbeats of the two patterns coincide once every five repetitions of the $\frac{6}{8}$ pattern and every six repetitions of the $\frac{5}{8}$ pattern).

18. Although Vaughan Williams's output of the 1920s shows few of the anti-Romantic symptoms evinced in much of Holst's music of this period, Vaughan Williams was not totally immune to the "back to Bach" movement of that decade, with its emphasis on linear counterpoint, "sewing machine" sixteenth-note rhythms, dry orchestration, and closed, symmetrical forms. His *Suite of Six Short Pieces* for piano (1921) and *Concerto Accademico* for violin (1925) are almost textbook examples of interwar neoclassicism; parts of *Job* (1930) and much of the Fourth Symphony (1934) fuse the stylistic resources of neoclassicism with expressionistic vehemence.

19. One short example of the lack of engagement between the authors of *Vaughan Williams Studies* will have to suffice. Anthony Pople and Michael Vaillancourt, in their articles, both seem to assume that meaning is generated in Vaughan Williams's music chiefly through melodic processes. In his article on the Fifth Symphony, however, Arnold Whittall focuses on how Vaughan Williams plays on traditional harmonic expectations to create a sense of ambiguity. So is meaning in Vaughan Williams's music created chiefly through melodic processes? Through harmonic structure? Through a combination of the two? Or are some works best

understood in terms of harmonic structure and others in terms of melodic processes? While I would not have expected the authors to answer these questions definitively in the course of their articles, I would have preferred that they show more awareness that these questions will very likely occur to someone who reads through *Vaughan Williams Studies*. In each case, engaging the differing assumptions that guided the other authors would have allowed the writers to bring greater depth to their own essays.

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Susie J. Tanenbaum. *Underground Harmonies: Music and Politics in the Subways of New York.* Cornell University Press, 1995. xiv, 270 pp.

Reviewed by Stephen Mamula

Susie Tanenbaum's *Underground Harmonies* is a significant addition to the scant scholarly literature on musical performance in public spaces (literature which includes Harrison Pepper 1990; Prato 1984; Reyes Schramm 1982). The author's investigation takes the form of an ethnography, which was conducted from 1990 to 1994.[1] A major strength of this study lies in Tanenbaum's correlation of key historical dimensions of her subject (i.e., music in the New York City subway system) with *current* political, social, cultural, and economic variables. In alignment with this correlation, her theoretical/methodological framework integrates diverse approaches drawn from several disciplines: urban anthropology/planning/ecology, social research, history, folklore, and, most prominently, political theory and constitutional law. Particularly with reference to the latter two approaches, a dichotomy between musical performance mediated by "cultural institutions, corporations, and government agencies" (x) on the one hand, and performance unmediated by such factors on the other, becomes a major theme exploited throughout the text.

Most fundamentally, *Underground Harmonies* treats music performance less as a product conveying a personalized expression within a private venue, and more as a collective practice or process contingent upon spontaneous production/consumption within a *public* space. The author's processual, spontaneous concept of (subway) music-making derives from a meticulous observation of "social interaction and cross-cultural exchange among musicians, between musicians and audience members, and among audience members" (x). Within this approach she effectively incorporates theoretical constructs with empirical analysis. For example, in maintaining that subway music defies previously held anthropological theories regarding dichotomies between public and private space, Tanenbaum argues (referencing Hannerz 1980) that there now exists a "flow between the two domains. . . . [P]ublic acquaintances can turn into private friends, and thus public space may contribute even more permanently to urban people's lives" (120). Accordingly, her ethnographic data are fraught with cases that amply demonstrate how public subway music production generates otherwise inhibited forms of private social action, such as dancing, singing, and dialogue.

Related to this theoretical-empirical connection, the author explicates the customary *distinction* between social and cultural phenomena on the one hand, and the *consolidation* of these two phenomena on the other.[2] Cultural and social dimensions of subway music are treated within the theoretical rubric of "focused interaction," applied primarily to the observed cooperative relationship developed between performers and audience members in the underground subway system through the shared experience of music[3] (Goffman 1963). This experience in turn produces a sense of (social) community between and among peoples in an urban environment customarily inhospitable to such a sense. The author cites several instances whereby New York subway musicians who represent a specific ethnic tradition (e.g., Andean music from Peru) effect a reassertion of cultural identity to those fellow members of their ethnicity in the underground audience who are also far removed from their ethnic homeland. She argues that music performed live within a highly dense, complex, public space—like subway music—often negates previously dominant cultural and ethnic boundaries, as well as boundaries related to race, class, and generation. As a result, through live musical communication in a public urban space, heterogeneity becomes homogenized, *society* becomes—if only temporarily—*culture*. "Subway music either introduces us to or blends familiar with unfamiliar cultural conventions; we may begin to . . . integrate these new aural and visual textures into our . . . cultural repertoires" (109).

Fueling this argument is the notion that subway music as a form of focused interaction generates value and purpose for riders through its ephemeral character and its demand for involvement within an immediate, public setting: "[Focused interactions] are things going on at the moment, from moment to moment. . . . [They include] one's attention, interest, and orientation—in short, one's capacity for involvement" (102). "[M]oments *in transit* have meaning, both symbolic and real, for the cross section of New Yorkers who gather spontaneously in subway music scenes" (105). Moreover, the author stresses that much of this spontaneous, participatory, meaningful quality of subway music may be attributed to the *local* milieu in which it is expressed.[4]

Following this extensive analysis of subway music as a social, cultural, and local phenomenon, Tanenbaum examines the complex web of federal and municipal political, legal, and legislative factors that powerfully affect it on a day-to-day basis. The most important of these factors concerns the relationship between First Amendment rights to free speech, the proposed subway regulations regarding performance, and MUNY ("Music Under New York," a city licensing program that regulates music

performance in the New York City subway system). MUNY was established
in 1985 by the Metropolitan Transit Authority (the subway system's chief
governing body) as "part of its overall campaign to use art to draw New
Yorkers back into the subways" (150). (Subway ridership had declined
considerably during the years immediately preceding the program's estab-
lishment.) Subway musicians' main incentives for joining the program in-
cluded access to highly sought-after and lucrative performance spaces,
protection from the police, and promotional publicity, all of which serve
as advantages not available to "freelance" musicians, who are not a part of
MUNY (132). In assessing the advantages and disadvantages of the pro-
gram, Tanenbaum highlights the latter, arguing convincingly that MUNY
is primarily a self-serving bureaucracy, promoting the needs of the MTA
over those of the musicians, and is discriminatory, in that it denies First
Amendment constitutional rights to nonmembers by disallowing them
free-speech-related activities in a public space. Moreover, through its selec-
tive auditioning process, which the author judges to be based on biased
notions of professionalism, MUNY may serve to socially and artistically di-
vide subway musicians, by implicitly ascribing them either legitimate
(MUNY) or inferior (non-MUNY) status.

    Tanenbaum explores the constitutionality issue in detail, critiquing the
proposed, new subway regulations—submitted in 1989 following the 1985
reinstatement of musical activity in the subways—as an apparent conspir-
acy by the MTA to eliminate freelance musical activity underground.
These regulations would have banned musicians' amplification systems
on subway platforms (amplification often being indispensable to a musi-
cian's creative style and imperative to audibility in a high volume environ-
ment), and, more significantly, completely eliminated performance on
those platforms (which are one of the most lucrative spaces for subway
musicians). These proposed regulations created a backlash in the free-
lance subway music community that in turn effected a four-day set of pub-
lic forums which debated the First Amendment constitutionality of these
bans. In these forums, extensive testimony was given from both perspec-
tives: the MTA's, who argued that freelance subway music creates safety
hazards by attracting crowds which might block access to trains and thus
cause accidents, and that it also violates rider's "privacy rights" since the
audience is "captive" (unable to escape); and the riders, who predomi-
nantly maintained that the ability to escape a performance had never
been an important issue, and additionally, that subway music of any kind
provides musical entertainment to many who would not be able to afford
it otherwise. These hearings ultimately prompted the MTA to revise their
proposed regulations to take account of First Amendment rights to free
speech and to authorize "expressive activity on subway platforms." This

applied not only to musicians—both MUNY and freelance—but also to political, religious, and charitable organizations (161).

Despite the revised regulations, law enforcement officials, presumably through ignorance, continue to equate MUNY membership with legal validity and consequently criminalize freelance musicians by issuing them summonses for frivolous infractions (often precluding their performances entirely). As a result, Tanenbaum's final argument strongly suggests that subway music might be better served if it were virtually *self-regulatory,* and thus free from unsolicited police intervention and the discriminating, bureaucratic constraints of MUNY. In this way, equitable treatment of *all* musicians, and spontaneous interaction generated between musicians and audience members—key to subway music's public appeal—may stand a greater chance of being realized.

Underground Harmonies is cohesively organized, with each chapter constructed logically and seamlessly from the one it follows. Moreover, the text smoothly integrates scholarly analysis with a flowing, coherent writing style, rendering the contents (even those related to complex legal statutes) comfortably accessible. A comprehensive index is included, as well as numerous, informatively annotated, high-quality photographs.

The book, however, is not without a few shortcomings. Perhaps the most telling is in regard to the kind and number of musician-respondents employed.[5] Only about twenty were utilized in Tanenbaum's four-year study, the majority from the South American Andes musical tradition. A broader numerical and stylistic pool of musician-respondents would have created a broader and more diverse database from which to support her conclusions. Additionally, the author's political leanings, which often suggest an innate suspicion of all bureaucracies, occasionally obscure her otherwise even-handed approach to the subject matter, and mildly influence some of her findings. For example, several allusions are made to the virtues of self-regulation for subway music, which would in practice free it from control of law enforcement and MUNY. Yet her interview data suggest that this control is not universally practiced by the police (178, 180); neither is it always perceived by the musicians, nor necessarily unwelcome (182). Additionally, although Tanenbaum frequently criticizes MUNY for the divisiveness it creates between freelance and sponsored musicians, she nevertheless supports the program's continuation by offering extensive suggestions for modification—in other words, advocating how to rebureaucratize an existing bureaucracy.

Despite these relatively minor flaws, Tanenbaum's text serves as an exceptional model not only of local ethnography but of ethnographic inquiry in the broader sense. Its holistic, cross-disciplinary approach reflects an orientation too often ignored by scholars in the social sciences. This

approach, when treated in a focused, systematic manner, as the author does, can produce enlightening and meaningful results. In sum, *Underground Harmonies* incites the reader to ponder the social, cultural, political, and *musical* world in which s/he lives, and is, moreover, one of the most valuable and intensive studies on music in public spaces to date.

Notes

1. *Ethnography* is here defined as "a descriptive approach to music going beyond the writing down of sounds, to the writing down of *how* sounds are conceived, made, appreciated, and influence other individuals, groups, and social and musical processes" (Seeger 1994:89, emphasis added).

2. *Culture* "refers to the distinctive ways of life, the shared values and meanings, common to different groups—nations, classes, subcultures" (Bocock 1996:152). *Social* is defined as "of or related to human society, the interaction of the individual and the group, or the welfare of human beings as members of society" (*Webster's Ninth New Collegiate Dictionary* 1987:1118).

3. *Focused interaction* "refers to situations in which 'a set of people . . . relate to one another through the medium of a common activity'" (quoted in Levine 1988:56)—in this case, subway music activity.

4. *Local* refers to music disseminated live rather than through electronic mediation (i.e., television, radio, compact discs, etc.), consumed in the context of everyday life within a specific spatial/temporal domain, and performed primarily by amateur, part-time musicians rather than by full-time professionals. For lucid discussions on, and applications of, local ethnography, see Cohen (1993), Shank (1994), and Finnegan (1989). Finnegan is frequently cited in the present study.

5. *Respondents,* also known as *informants,* are those who are interviewed and observed as primary sources for data acquisition in an ethnographic inquiry.

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Martha Bayles. *Hole in Our Soul: The Loss of Beauty &*
***Meaning in American Popular Music.* University of**
Chicago Press, 1996 [1994]. viii, 453 pp.

Reviewed by Daniel N. Thompson

Hole In Our Soul, an expansion of an article entitled "Hollow Rock & the
Lost Blues Connection," published in the summer 1993 issue of *The Wilson
Quarterly* (and subsequently excerpted in Bayles 1993b), is essentially a
polemic on popular music by a cultural critic.* Like the article, the book
takes a highly favorable view of most pre-1960 African-American popular
music (particularly the blues) but is very critical of later genres (e.g., funk,
rap) as well as most post-1950s "white" popular music.

Bayles's musical aesthetics might best be described as "conservative
populism." Unlike both Theodor Adorno (with whom she disagrees be-
cause of his leftist political philosophy) and Allan Bloom (with whose gen-
eral politics she seems to agree), she *likes* popular music—the popular mu-
sic of 40, 50, and 60 years ago.[1] It might seem tempting to dismiss her taste
as simply a penchant for the "oldies but goodies," but what follows instead
is a fairly detailed examination—together with generous quotations to
better convey the character of the author's writing—of a text that is exem-
plary of a stance still held by many cultural conservatives in this country.
Bayles is not a high-art elitist; nonetheless, she essentially believes that
the types of music that appeal to her are inherently better than those
that don't, and that the rest of us—regardless of our different personal
histories—should share her musical aesthetics.

The book consists of twenty-one chapters grouped together into four
parts. Part 1 is called "The Weird Music of the New World," and includes
the introduction as well as five more chapters, entitled "Why Music is the
Wild Card," "The Three Strains of Modernism," "The Obstacle of Race,"
"The Taint of Commerce," and "Cubists and Squares: Jazz as Modernism."
Part 2 ("From Rock 'n' Roll to Rock") and part 3 ("From Inspiration to
Polarization") take a chronological approach to popular music in America
and Britain, covering the 1950s through the early 1970s, with representa-
tive chapters on the British invasion, the counterculture, hard rock, and
soul music. "The Triumph of Perversity" is the final part of the book, and
its chapter titles cover the music from the late 1970s up until the early
1990s (e.g., "Punk: The Great Avant-Garde Swindle," "High on High
Tech," and the book's short, concluding chapter: "Coda: Escape from
Postmodernism").

Bayles holds very strong opinions about popular music—usually color-fully expressed—and she indicates the intended audience for these opinions on the first page:

> To the reader who finds nothing offensive in current popular music:
> Please don't put the book down; you are the person I am most anxious to persuade. To the reader who is repelled by everything out there to the point of giving up: Please bear with me. My intention is not just to rub your nose in the latest swill; any number of critics can do that. Rather it is to explain the situation: to articulate exactly what is wrong, to show where the swill comes from, and to suggest why popular music doesn't have to be this way. Unlike many others who have been knocking popular music lately, I do so from a position of deep and abiding sympathy. (1–2)

The kind of criticism Bayles practices usually needs a scapegoat, and Bayles has found hers. The "swill," the "hole in our soul," and the "loss of beauty and meaning in American popular music" all come from one source: perverse modernism. Her own favorite musics seem to be blues, gospel, R&B, and early jazz, none of which are infected with this strain of modernism. In her refutation of what she refers to as perverse modernism Bayles does make some telling points (see below); however, she ultimately undermines her position by 1) overstepping her argument in her identification of perverse modernism as being solely responsible for almost everything she finds negative about twentieth-century American popular music, and 2) producing a poorly written book.

The author denies that this is a book of literary criticism: "Against those who see the 1960s counterculture in wholly literary-philosophical terms, I stress the animating role of Afro-American music" (243). Her methodology, however, is more like that of a literary critic than a musicologist. It is neither analytic in the conventional Western music-theoretic sense nor in terms of anthropological method. Unlike a conventional musicologist, she presents no musical notation; unlike an ethnomusicologist, she presents no ethnographic data. In addition, although there are well over 1,000 endnotes, a brief examination revealed only two citations of scholars (Eileen Southern and Charlie Keil) who have made popular music a focus of their studies. Finally, she impugns other critics for not addressing "the subject of sound—which is, after all, what music is made of" (4), yet her own book includes neither audio nor, as indicated, notational examples of any kind of music. Instead, the author examines verbal texts: she quotes a few lyrics and she cites many journalists.

Bayles's overall approach is one of blatant advocacy, and although it is, to a degree, refreshing to read a book in which an author expresses her opinions so forthrightly, *Hole in Our Soul* reads not as a well-considered argument, but as a series of snide put-downs in which assertions of taste are made within the framework of a simplistic good-versus-bad dichotomy. If, however, one can read past the unsupported generalizations, illogical argument, mangled use of musical terminology, sarcasm, and generally smug, self-righteous tone, the book does have its strong points.

* * *

Perhaps the most intellectually fertile idea in the book is the tripartite scheme into which Bayles divides modernist art. In a chapter entitled "The Three Strains of Modernism" she delineates what she perceives to be the three major types: perverse, introverted, and extroverted. For Bayles, perverse modernism has had a long and deleterious effect on American popular music. Perverse modernism, represented by the futurists, the surrealists, Rimbaud, Verlaine, and Duchamp, is "neither respectful nor radical—merely contemptuous. . . . For [perverse modernists] art is no longer a matter of making objects, but of pointing to objects in the world and proclaiming, 'This is art because I say so.' Certainly this is what Duchamp did when he placed a urinal in an art gallery" (42).[2] Precisely the opposite of the introverted modernists (who hold the popular audience in contempt), "perverse modernists have contempt for the educated audience, but they want desperately to reach the common people, the masses who normally take no interest in art" (43).

Bayles cogently argues a continuity between perverse modernism and the downtown performance artists of the 1950s and 60s, particularly Fluxus. She then lists three pairs of places and musicians/groups in the rock world that became associated with what she calls perverse modernism. The first is New York and the Velvet Underground, the second is Los Angeles and Frank Zappa, and the third is London and John Lennon/Yoko Ono (290–94). She also sees "camp" as being a form of perverse modernism, and she exposes what she perceives as the shallowness and hypocrisy of the camp aesthetic, quoting conservative cultural critic Hilton Kramer:

'[B]oth pop art and camp involved a self-conscious rejection of high culture, combined with an equally self-conscious embrace of popular culture—the kitschier the better.' [C]amp offers ' "forbidden" pleasure in objects that are corny, exaggerated, "stupid," or otherwise acknowledged to have failed by the respectable standards of the day,'

while also excluding 'the "straight" public.' Thus camp skips the challenge of genuine art while keeping the avant-garde 'distinction between "us" and "them." '(173–74)

She offers perceptive statements about the influence of art school musicians on punk, new wave, and other postpunk musics, pointing out in particular the insulting, art school attitude of camp toward both melody and harmony (without, however, thoroughly investigating why new wave, for instance, was so heavily influenced by students involved in the visual arts— who were, in turn, often influenced by David Bowie).

[M]any new wave performers could not bring themselves to dismiss all forms of listenable music as 'pop.' So they resorted to camp: playing, or hiring others to play, their favorite 'pop' style, while sending the message (more or less) that the whole thing was a joke (more or less). (324)

[Elton] John was flamboyant and hilarious about it, Bowie cool and detached. This stylistic difference helps explain why the new wave adored Bowie and despised John, seeing the former's commercial success as a feat of Warholian manipulation, the latter's as crude pandering. It probably mattered that John's popularity was a mass phenomenon, while Bowie's was something of a cult. But even more, it mattered that John did not always sustain the attitude of camp. On the contrary, he ventured into the forbidden territory of love songs. ... Predictably, the new wave judged this side of John to be pure schlock. (325)

As indicated above, however, Bayles overstates her case. Throughout the book her primary nemeses are academic leftists and practitioners of perverse modernism, and she seems to want very badly to blame the existence of popular musics that do not appeal to her on these two groups. She fails, however, to convincingly make the case that perverse modernism has caused the violent lyrics and, for her, musical degeneracy of those kinds of popular music whose practitioners have historically been otherwise little affected by high-art modernism or academic theorizing. She draws a line from leftist art schools to punk to rap, but never considers the culpability of other cultural influences. Furthermore, her support for her thesis tends to be anecdotal:

Created by a fashion designer named Malcolm McLaren, who had attended six British art colleges but knew nothing about music, the

Sex Pistols became famous for attacking music along with everything else. . . . It is no accident that Rick Rubin, one of the driving forces behind 'gangsta' rap, got his start in a New York punk band called the Pricks. (13)

There may be a very tenuous connection from perverse modernism to rap (i.e., from futurism to dada to constructivism to situationism to Malcolm McLaren to the Sex Pistols to the Pricks to the Beastie Boys to N.W.A.), but after a certain point the relative strength of perverse modernism's influence becomes questionable. In other words, it is one thing to make the case that Andy Warhol had some influence over the Velvet Underground, but it is an entirely different proposition to prove that perverse modernism has a pervasive influence—via Rick Rubin and the Beastie Boys—on hardcore or gangsta rap.

She doesn't devote as much attention to the introverted modernists, perhaps because in her view they have had less influence on popular music than have the perverse modernists. Introverted modernists tend to be academic types, who substitute art for religion. This group would include the Bauhaus artists, Kandinsky, Schoenberg, and Webern, and is the "art-for-art's sake retreat from the world [that] keeps, even intensifies the high seriousness of romanticism" (38), rejecting the shared sense-experience of most of society. The introverted modernist seeks to wield influence, but, "despising the larger public, he demands veneration from a tiny circle of initiates, whom he sees as the vanguard of his artistic revolution" (40).

While she has no use for either perverse or introverted modernism, she sees extroverted modernism—which, within her conceptual framework, includes jazz, cubism, impressionism, and Stravinsky—as vitally important (referencing here M. H. Abrams's concepts of instrinsic and extrinsic artistic values):

The third strain of modernism, which I call extroverted, is descended from cubism, realism, and robust romanticism—that is, it represents the survival, even today, of the venerable Western (and non-Western) conception of art as having 'instrinsic value, but also extrinsic value, as a means to moral and social effects beyond itself.' (51–52)

* * *

As indicated, Bayles's political and economic philosophy is generally far more capitalist than Marxist, and she seems to take particular glee in pointing out some of the foibles of the Frankfurt School; nonetheless, she fair-handedly exposes the contradictions inherent in the arguments both

of media capitalists and Marxist ideologues on the general question of whether music affects behavior:

> Ever since the 1950s the question has repeatedly been raised as to whether the violence in popular culture has any impact on actual behavior. Today, when the violence in Hollywood movies is depicted with a vividness unimaginable in the 1950s, the usual defense is that the whole thing is just a cartoon. . . . The most obvious flaw in this defense appears whenever a puffed-up concert promoter or industry honcho insists that popular music has the power to change the world —a claim that underlies every rock-missionary effort of recent history, from George Harrison's 1971 concert for Bangladesh to the colossal Live Aid Concert of 1985. . . . Such claims have been exaggerated ever since the folk movement sought to radicalize the masses with song. But that doesn't make them groundless. (257–58)

The hypocrisy, as she points out, is just as evident in the strategy often employed by media capitalists to market, for instance, gangsta rap. She quotes rap impressario Rick Rubin's assessment of the Geto Boys:

> 'The images in their lyrics . . . are exaggerations. It's not any more real than a horror movie. The guys are just having fun.' . . . But the logic is no better than heavy metal's. Switching expertly to the other side of his mouth, Rubin also touts gangsta rap as the authentic voice of ghetto rage. . . . The whole 'gangsta' rap strategy is summed up in the Capitol Records press release that promised 'mean-spirited diatribes on violent "gangsta" lifestyles [that] challenge middle-class norms by rubbing their noses in the reality of the contemporary urban jungle—a place most suburbanites don't dare tread.' (356)

Including, presumably, the suits at Capitol Records.

In general, however, Bayles reserves most of her ire for leftists, colorfully pointing out, for instance, the seemingly untenable position of academics who are politically radical but culturally elitist:

> [T]he Frankfurt School casts a spell in which the highbrow Marxist can have his cultural cake and eat it, too. By insisting that most art, high and low, exists for the sole purpose of reinforcing bourgeois-capitalist consciousness, the 'critical theorist' gets to be revolutionary. But by dictating the handful of exceptions that achieve true 'negation,' he also gets to be a snob. (78)

She particularly draws attention to the cultural classism (and apparent fear and loathing of all things popular) exhibited by Theodor Adorno:

> [Jazz] was 'pseudo-individualistic,' because (to his ear) its improvisation offered only the repetition of simple themes. It was 'pseudo-democratic,' because it substituted 'collective' for 'individual' fantasies (this from the man who blamed radio for breaking up the collective listening experience of the concert hall!). And finally 'pseudo-erotic,' promising only 'illusory' sexual emancipation. (77)

> Wearing his highbrow hat, he condemned the exuberance of jazz as 'stylized like the ecstasies savages go into beating the war drums.' In other words, jazz was damned if it did and damned if it didn't. As a false erotic liberation, it was helping to oppress the masses. As a true one, it was being carried out by the wrong folks. (78)

Finally, she is also adept at highlighting the ideological contortions that Soviet communism exhibited in its pronouncements on music:

> [T]he Stalinists, like the Nazis, condemned jazz in both highbrow and racist terms. But because the Soviets had no explicit ideology of race, their theorists had to justify this condemnation in terms of the class struggle—a tricky business at best. . . . Like modernism, jazz was tolerated by the Communist Party for a brief period after 1917; like modernism, it was attacked as 'bourgeois' in the mid-1920s; and like modernism, it was eventually crushed, to make room for the uplifting inanities of socialist realism. . . . Unlike modernist painting or music, jazz sprang from an extremely oppressed people in an extremely capitalist country. The dilemma for the Party, therefore, was whether to praise jazz as the rallying cry of the black masses, or to denounce it as a tool of capitalist domination. (74)

The book's weaknesses are less obscure than its strengths, and can be generally classified as exhibiting one or more of the following traits: the author's absolutist, unsupported assertions (exhibited most noticeably by lack of adequate support for her thesis that the loss of "beauty" and "meaning"—neither of which is ever defined—is due to the pernicious influence of perverse modernism, as noted above), her use of illogical argument, her apparent misunderstanding of musical terminology, and her employment of excessive sarcasm. Although unsupported assertions and illogical argument are usually more significant problems than sarcasm or, within limits, the misunderstanding of terms, a few examples of each of these four traits follow.

* * *

Critics who write polemical works are expected to make assertions. Too often, however, Bayles's assertions—which at times are generalizations about all members of a category, and at others are absolutist statements about individual musicians or musical styles—are unsupported with any kind of data or logical argument. This habit is sometimes combined with her penchant for uncritically citing those who agree with her. Near the beginning of the book, for example, she quotes from Leonard Meyer's *Emotion and Meaning in Music* an extraordinary generalization made by English musicologist A. M. Jones:

> 'All this rhythm crossing is the spice of life to the African. It is his real harmony. He is intoxicated by this rhythmic harmony, or rhythmic polyphony, just as we react to chordal harmony. It is this remarkable interplay of main-beats that causes him irresistibly, when he hears the drums, to start moving his feet, his arms, his whole body. This to him is real music.' (20)

Here we have Martha Bayles quoting Leonard Meyer quoting A.M. Jones who is speaking for "the African." This, to her, is (apparently) real criticism.

The author's penchant for gross generalizations is found throughout the book; eventually she takes it upon herself to speak for both blacks and whites: "Some blacks damned soul as a shameful secularization; others blessed it as a timely put-down of rock 'n' roll. Either way, they knew where soul was coming from: Behind each cry of 'Baby!' they heard the echo of 'Jesus!' Whites, on the other hand, knew only that soul was coming from blacks, and that it gave people a thrill" (181–82). I don't understand how Bayles could possibly know this, but it isn't the only example of her ability to read minds:

> [S]oul singers of the 1960s made no effort to dispel the youthful white male perception that their music was an expression of hypersexuality cut loose from any moral context. Yet in . . . these cases, the process of debasement was counteracted by the presence—in the musician's own mind, if nowhere else [!]—of Afro-American religion. Even at their most hedonistic, none of these people ever forgot that what they were fooling around with was a means of spiritual transcendence. (196)

On page 223 she claims that art rock's "most celebrated successes consist of decoration added to existing compositions, such as Emerson, Lake, and Palmer's *Pictures at an Exhibition* (music by Mussorgsky)." How does

she measure success? Using what data? The fact is, ELP was not "cele-
brated" but were, rather, consistently dismissed by many critics. Neither
were they art rock's "most celebrated successes" in terms of record sales.
There can be no doubt that with *Dark Side of the Moon* and *The Wall*, that
distinction goes to Pink Floyd, a band whose most celebrated successes did
not "consist of decoration added to existing compositions."

Another simple assertion surfaces during her discussion of Van
Morrison. "Van Morrison does successfully what postpunk art rock only
pretends to do. Having mastered the Afro-American idiom, he added
melodic and harmonic elements (as well as a lyric sensibility) from his
own Irish background" (321). Which "melodic and harmonic elements"?
(And what exactly is an "Irish lyric sensibility"?)

And then to the Police: "The Specials had tried to mix ska and punk by
speeding up the former and interspersing it with noise, but the Police
took a different tack, blending reggae with sophisticated jazz rhythms
and harmonies" (374). Which "sophisticated jazz rhythms and har-
monies?" the reader might well ask. (Admittedly, it might be too much to
ask for examples of these rhythms and harmonies in the form of notation
from an author who is a cultural critic; still, a little more explanation in
prose of the particular "sophisticated jazz rhythms and harmonies" of
which she is speaking would have been extremely helpful.)

Finally, a simplistic dichotomy that does not take into account any of
the music between the two extremes she posits:

> Since the 1970s popular music has suffered a severe polarization of
> attitudes toward the proper nature of musical eloquence. At one ex-
> treme we have the 'do-it-yourself' ethos of punk, which equates true
> art with impassioned incompetence. At the other we have the cult of
> bloodless virtuosity that free jazz bequeathed to hard rock, leading
> to the abandonment of feeling in favor of empty athleticism. (338)

This just isn't true. "Polarization" generally refers to the concentration of
elements (formerly ranged on a continuum) around opposing extremes.
Sales of audio recordings and concert tickets reflect the fact that both
punk and free jazz are still fringe musics, with most of America's musical
attention (and dollars) being spent on middle-of-the-road pop/rock/
R&B.

* * *

Another problem for this reviewer is that I'm not always able to follow
her logic. For instance, she makes the point that we shouldn't take "high"
art and "popular" art to be polar opposites. "The situation looks quite

different if we make a logical distinction between popularity (as measured by commercial success) and artistic merit (as measured by critical and audience acclaim)" (386). What is the difference between popularity and audience acclaim (i.e., how is audience acclaim measured, if not by commercial success)?

Her discussion of minimalism, Eastern philosophies, and jazz is no more clear than her confusing statements about audience acclaim and commercial success. For example, she seems to indict minimalist composers for their interests in Eastern musics and philosophies, yet praises John Coltrane for the same trait.

> Like the blank canvases of radical, non-objective painters, the monotonous compositions of minimalist composers are routinely praised for inducing the aesthetic equivalent of a religious trance. But, as I asked earlier, to what purpose? (226)

> The unavoidable fact is that, without a meaningful connection with the symbols and disciplines of a shared religious tradition, such as Hindus possess when they listen to ragas, most of us (including most music lovers) find it hard to stick with trancelike music for its own sake. We may become mesmerized for a while, but when nothing much happens, we become unmesmerized. (226)

Clearly, however, the relative popularity of minimalist and postminimalist composers would seem to indicate that many of us who are not practitioners of a "shared religious tradition" do, in fact, enjoy the music "for its own sake." It therefore seems likely that whether we become "mesmerized" or "unmesmerized" is more a reflex of what we have been musically conditioned to accept than a result of our religious conditioning. On the other hand, she seems to favor the interest that jazz musicians have shown in Eastern philosophies and musics:

> Coltrane in particular was an insatiable reader who ignored ethnic boundaries: Along with the Bible of his Protestant minister grandfathers, he assayed Zen, Hindu, and Muslim texts, as well as Plato, Aristotle, and the Cabala. It's too bad this open-minded eclecticism has been forgotten by those who idolize 'Trane' as a patriarch of black cultural separatism. (230–31)

But, then, she likes Coltrane. Two pages later she is again in "condemnation mode" and disparages the beat poets and hippies for the same thing for which she has just praised Coltrane: "Like the beats who

admired Zen but had no use for its mental and physical discipline, the eclectic pseudospirituality of the hippies was not tied to the behavioral or moral requirements of any faith" (232). Wasn't Coltrane's spirituality not tied to the behavioral or moral requirements of any one faith? But, then again, she seems to dislike hippies and beat poets as much as minimalist composers. Neither does she like John Cage:

> Cage's experiments were all the more alluring for being wrapped in the mantle of Zen Buddhism, an approach that greatly impressed the beats, since they, too, justified their artistic methods—or lack thereof—with quotations from the Zen masters. (289)

Just as an interest in Eastern spirituality is a positive attribute when it's exhibited by jazz musicians (and an undesirable one when exhibited by beat poets, minimalist composers, and John Cage), there is also a double standard when considering commercialism. She defends the commercialism of the blues: "[I]t has never ceased to sell itself. For more than a century, the blues performer's motto has not been 'art for art's sake' but 'make way for the paying customers'" (187). However, when rappers, punks, or pop stars exhibit this philosophy and produce music that appeals to *their* paying customers, they are pandering.

In general, Bayles twists herself into the most extraordinary contortions to justify her agenda. About the famous Robert Johnson lyric "You can squeeze my lemon 'til the juice run down my leg," Bayles states, "Like all blues lyrics, 'squeeze my lemon' must be interpreted in context" (191). Why just blues lyrics?

> What [Paul] Oliver says about country blues is equally true of the urban styles: 'As with all other subjects the blues, when dealing with matters of love and sex, is forthright and uncompromising. It was this open declaration of subjects that the conventions of polite society decreed should be kept hidden from view which caused so much offense.' (191)

Again, the blues is not the only popular music that is forthright and uncompromising when dealing with matters of love and sex. But when it comes to punk, heavy metal, or rap, Bayles finds the forthrightness and uncompromising stance as offensive as did many whites of an earlier era when confronted with the blues.

She disparages Jon Pareles's reference to heavy metal as "a community ritual" (249), yet the ritualistic aspects of gospel and blues performances are cited as a positive characteristic: "Like gospel, the blues involves both

performer and audience in a communal, ritualized reenactment of ex-
treme emotional states" (189). Don't heavy metal and punk concerts do
the same thing? Responding to those who claim that heavy metal is thera-
peutic and that heavy metal concerts are an important ritual, Bayles writes,

> Both group therapy and puberty rites are intended to help people
> cope with real life. The same cannot be said of heavy metal. On the
> contrary, the young people most deeply involved with the genre,
> such as the dropouts, runaways, and 'throwaways' who congregate in
> places like Hollywood Boulevard in Los Angeles, seem incapable of
> coping with anything. (261)

Undoubtedly, the "throwaways" on Hollywood Boulevard are often
products of very dysfunctional families; furthermore, heavy metal provides
an important outlet for many young people who are *not* homeless (or
pawns in the music/movie/sex industry). In addition, it is also entirely
conceivable that some of these young dropouts might suffer even more
acutely without the balm/opiate/outlet of their music, a possibility Bayles
arbitrarily eliminates from the discussion with the statement, "The same
cannot be said of heavy metal."

Further on logic: she castigates "the British elite, both in the cultural es-
tablishment and among folk purists," who "failed to make any distinction
between the small, independent companies that had fostered R&B, and
the large monopolistic firms that had tried unsuccessfully to resist it. From
the elite perspective, rock 'n' roll was no better than the 1950s pop pur-
veyed in the dance halls and on the Light Programme" (166). The trou-
ble, of course, is that Bayles seems just as unable to "make any distinction"
(i.e., is unaware of how to discriminate) within the genres that do not ap-
peal to her.

Her argument about Bob Dylan's lyrics is equally hard to follow: "Dylan's
more rambling, free-associative lyrics display the typical vices of beat po-
etry: deliberate obscurity, self-indulgence, pretentiousness, and . . . in-
difference to the aural texture—the *music*—of words" (215). Even if one
were to agree that many of Dylan's early lyrics seem to display obscurity,
self-indulgence, and pretentiousness, her claim that they display "indiffer-
ence to the aural texture" is certainly contestable, since the aural texture
(or "music" of the words) often seems to be precisely the quality for which
Dylan sacrificed clarity, restraint, and unpretentiousness.[3]

Again, a large part of her illogical presentation stems from her ambiva-
lent view of market economics in the "cultural" sphere. For example, she
is an apologist for commerce to the extent that she defends the practice of
payola, but, significantly, only for those music industry professionals who

have promoted the kinds of music she prefers (additionally observing here how unfairly Alan Freed was treated—compared to Dick Clark—during the 1959–60 congressional hearings on the practice of payola in the music industry).[4]

> At those hearings, the editor of *Billboard* testified that payola was nothing new, that it was best understood as a continuation of the old (and accepted) practice of 'song plugging,' by which Tin Pan Alley publishers had once offered incentives to bandleaders to play certain songs. [Freed] argued that payola was the only way the independent labels who produced it could compete against the majors. . . . Shortly after refusing to sign an affidavit denying that he had ever accepted payola, [Freed] lost his last DJ job in New York (at WABC) and retreated to Los Angeles, where he worked sporadically while sinking into the alcoholic tailspin that caused his death five years later. (144)

> Dick Clark, a rich and powerful radio and TV personality, was also summoned to testify before the subcommittee. . . . But the fates, or rather the major record labels, were kinder to Clark than to Freed, because they understood that Clark was more willing than Freed to push their bland cover versions of rock 'n' roll over the real thing. Clark's original radio program in Philadelphia had featured covers, and his TV shows, American Bandstand and The Dick Clark Show, boosted the careers of such major-label 'teen idols' as Frankie Avalon, Fabian, and Bobby Rydell. By sticking with this strategy, Clark soon rebuilt his empire. (144)

As indicated earlier, the problem here is that Bayles is a political and fiscal conservative; however, she's not really a cultural elitist. She's a populist, but only a populist for a certain historical period (the early decades of this century) and a certain place (the U.S.). Once the musical genres that appeal to her are no longer popular (i.e., are supplanted by the same market forces that first brought her favorite types of music to prominence), she begins to sound as if she's shouting at change. "As I have repeatedly stressed, the market is both friend and foe to art, in the sense that its power to amplify, magnify, and accelerate changes in taste is, obviously, good or bad, depending on the nature of those changes" (268). Or on the viewpoint of the author.

* * *

Bayles repeatedly refuses to define her musical terminology, and the commonly accepted musical terms she does use are often used incorrectly.

For example, throughout the book she frequently confuses "beat" and "rhythm," claiming, for instance—in a statement in which she also refuses to supply any examples of the African-American rhythms to which she refers—that the "monotonous beat of hard rock (and, indeed, of much rap) is a travesty of the rich, tireless, complicated rhythms of Afro-American music at its best" (11).

"Polyrhythm" is a term that makes several appearances throughout the book, although it is never clear what she means by the term. For instance, in a discussion of the 12-bar blues form, Bayles states, "First and foremost, the blues is polyrhythmic, possessing the elusive but essential quality of swing" (188). What does this mean? If by using "polyrhythm" she simply means "more than one rhythm," then certainly every song on pop radio is polyrhythmic. If she means it in the more restricted sense of two-against-three, or three-against-four, etc., then most blues songs are no more poly-rhythmic than most other popular music. If she is simply talking about syncopation—well, the fact is that almost all pop music contains syncopa-tion. Whatever polyrhythm may be, we learn later—in a statement in which she mixes a plausibly valuable insight with an entirely unsupported generalization (where terminology is again not defined)—that country music fears it: "The abiding weaknesses of country music are two: love of sentimental cliche, rooted in its turn-of-the-century link with Tin Pan Alley, and fear of polyrhythm, rooted in white racism" (380).

Bayles's lack of mastery of musical terminology is again evidenced in this passage about Janis Joplin:

> [Joplin] paid constant tribute to Bessie Smith. . . . But vocally Joplin could not have named a less appropriate model. Smith, whose vocal range barely exceeded one octave, was a stunning practitioner of blues 'mixtery,' shading every note and beat with rich nuance. (244)

How does one "shade" a beat? And what, exactly, is "shading" a note with nuance? Is Bayles referring to alterations in pitch? Timbre? Dynamics? Duration? What exactly is she talking about?

In discussing Chuck Berry, she says, "His career began in Chicago, where he ventured in 1955 to try his luck with the renowned blues label, Chess, which until then had focused almost exclusively on the Chicago blues—the one type of R&B that was not crossing over to white youth" (148). Were Chicago blues R&B? If so, there were other types of "R&B" also not crossing over (e.g., rural acoustic Mississippi delta blues). The following example illustrates her misuse of even very common musical terms ("singer-songwriter") as well as a disinclination to define her *own* terminology:

> Since Berry's lyrics are the first fully self-conscious ones in rock 'n'
> roll, it is remarkable how many people in popular music fail to ap-
> preciate his role. To cite one salient example, in a recent film docu-
> mentary about Buddy Holly produced by former Beatle Paul
> McCartney, the Rolling Stones' lead guitarist Keith Richards praises
> Holly, not Berry, for being the first 'singer-songwriter' in rock 'n'
> roll. Given Richards's active participation in the Berry documentary
> cited earlier, this omission is mind-boggling. (149)

What is a self-conscious lyric (much less a "fully self-conscious" lyric)? And
are Berry's indeed the "first" ones in rock 'n' roll? Regarding her boggled
mind over Richards's statement: In the Berry documentary Richards
clearly credits Berry with being the father of rock 'n' roll. It is also clear
that Richards's use of the term "singer-songwriter" in this passage refers to
the fact that Holly wrote many "ballads" and love songs, and that these
and many of the other light pop songs he wrote can easily be performed
by "singer-songwriters" (whereas Berry's music more strongly requires a
rock 'n' roll *band* for its performance). She goes on: "[Berry's] music is as
galvanizing as Pentecostal rock 'n' roll—in fact, it wears better because of
its jazzier texture" (150). How is Berry's musical texture "jazzier" than that
of "Pentecostal rock 'n' roll"?

As for "popular music," she contradicts her own use of the term within
three pages: "[T]he most important fact about Southern soul is that dur-
ing the late 1950s and early 1960s, it was the only form of American popu-
lar music not tailored exclusively to youth" (159). Again, this just isn't
true. There were certainly other forms of popular music during the 1950s
(e.g., Appalachian ballads and country blues, among others) that were not
"tailored exclusively to youth." On page 162 Bayles seems to reverse her
stance.

> In the 1950s most middle- and upper-middle-class British fans of
> Afro-American music preferred older styles. . . . Along with this pref-
> erence for older styles went a fastidious purism that rejected all sub-
> sequent styles, and deplored the forces (especially the commercial
> ones) that had fostered the change. . . . Ultimately these purist dis-
> tinctions derived from the Stalinist double-think of the 1930s—as
> did the purism of those British folk music fans who worshiped
> Appalachian ballads and country blues to the exclusion of all *other*
> popular forms. (162, italics added)[5]

In her discussion of hard rock bands, Bayles is clearly out of her depth.
Referring to "distortions begun with hard rock," she writes, "Steppenwolf

and Grand Funk Railroad (in the United States) and Led Zeppelin and Black Sabbath (in Britain) . . . basically simplified, and amplified, Cream's 'wall of noise'" (246). How did Led Zeppelin "simplify" Cream? Again, no discussion of musical parameters.

She doesn't restrict herself to nondefinition of only musical terms. In a statement about African diaspora religions, for instance, she states that "voodoo" is a "folk religion," and that "very little of it can be traced directly back to Africa" (252), and then follows this with a reference to Rastafarianism as a "religious cult" (374). No explanation of the differences between cults and religions is given, nor is there any definition of "folk religion." (Is there such a thing as a "non-folk" religion?)

After unsuccessfully negotiating the terminological minefields of "polyrhythm," "R&B," vodou, and "folk religion," she shifts her attention to jazz: "[T]he adoption of modal scales in the cool jazz of Miles Davis and Gil Evans was seen as radical at the time, but it was really an attempt to simplify: like the blues scale, archaic modal scales provide a basis for improvisation that the everyday listener can sense, even if he wouldn't know a Doric mode if it were wired into his doorbell" (366).

The above is confusing on two counts: First of all, Miles's cool jazz period started several years before his "modal period." (In fact, "modal jazz" is the term often used to describe much of his work from the 1950s and early 1960s, whereas his cool jazz period is generally considered to have started in the 1940s.) Secondly, "Doric" refers to either 1) an ancient Greek dialect, or 2) the oldest Greek architectural order.[6] (Some of us, however, might recognize a *Dorian* mode if we heard it.)

* * *

Her sarcastic tone is evident throughout the book. Three of her favorite metaphors for music and musical elements of which she disapproves are "fool's gold," "Dagwood rhythm sandwiches," and "Nintendo games." For instance, disco "glistened with fool's gold" (279); "Blondie's music . . . followed . . . pop art logic by sticking to fool's gold genres: first teen idol rock 'n' roll, then disco" (326); but "[w]hen the circumstances are propitious, the public can and will reject fool's gold in favor of the twenty-four-carat real thing" (159).

In chapter 11, entitled "Blues, Blacks, and Brits," Bayles opens her discussion with an attack on the Merseybeat groups. "Companies signed dozens of mop-topped look-alikes . . . who departed ever further from the Afro-American roots of skiffle. The resulting combination of music-hall melodies (without a touch of blues), archly affected lyrics, and rhythms reduced to a vapid tick-tock certainly fits my definition of fool's gold" (177).[7]

"The weaker songs [of Boyz II Men's *Cooleyhighharmony*] still smack of contemporary R&B, vocal curlicues bouncing around inside a Nintendo game" (365); Miles Davis's *Tutu* is "a lifeless album that merely inserts Davis's trademark sound into a Nintendo game" (369).

Miles also receives the "Dagwood rhythm sandwich" treatment for his collaboration with Eazy Mo Bee on his album *Doo-Bop*, which "does little more than squirt Davis's horn, like mustard, into a state-of-the-art Dagwood rhythm sandwich" (369). Additionally, a "typical Ice Cube or Public Enemy record offered the auditory equivalent of a Dagwood sandwich: a monster rhythm track stuffed with every variety of sampled sound effects" (364).[8]

She justifiably indicts Adorno's derogatory pronouncements when she says, "It was an insult to jazz when Adorno described its rhythms as having 'convulsive aspects reminiscent of St. Vitus' dance or the reflexes of mutilated animals'" (303). Two sentences later, however, her own writing exhibits the same sort of name-calling disparagement:

> Thrash fans often brag that what the genre really does is take old rock 'n' roll and speed it up—play it live at 78 rpm, instead of 45. Yet what they are speeding up is not the sound of the real thing . . . [but the] sound of the white-bread cover. . . . Only a fool with a tin ear, or a conformist terrified of not being on the 'cutting edge,' would credit the Ramones [who are *not* a thrash band] with recapturing the old energy. (303–04)

<p style="text-align:center">* * *</p>

In addition to the problems of unsupported assertions, illogical argument, undefined terminology, and sarcasm, there are a few minor factual errors.[9]

> The Who made their biggest mark in 1968, with . . . *Tommy: A Rock Opera.* Despite the name, *Tommy* does not mix rock with European music. On the contrary, it is dominated by the Who's mature style: ponderous, rhythmically monotonous hard rock, relieved only by a scrap of memorable melody (the haunting, 'feel me, touch me' refrain) and Elton John playing boogie-woogie piano. (224)

Tommy was first released in 1969. Elton John does not appear on this album, nor with the London Symphony Orchestra and Chambre Choir's *Tommy*, released in 1972, but on the soundtrack of the Ken Russell film, which was released in 1975. (A Broadway show, entitled *The Who's Tommy*, arrived in 1993.) In addition, the refrain is not "feel me, touch me," but "see me, feel me, touch me, heal me."

A couple of small errors also crop up in her discussion of punk. For instance, we learn on page 303 that the Ramones are a thrash band (see above), and she states that the speed of thrash is 250–300 beats per minute; however, Ramones songs are generally 160–220 beats per minute; in any case, they are certainly not a thrash band. Furthermore, "[T]he Sex Pistols' greatest triumph came in the summer of 1977, when their sardonically titled single, 'God Save the Queen,' reached the top of the UK pop chart during Queen Elizabeth II's silver jubilee" (324). In fact, "God Save the Queen" reached only to the #2 spot on the BBC chart, although it was undoubtedly the best-selling single at the time.[10]

<p style="text-align:center">* * *</p>

Why do people still write books like this? Does any writer seriously believe that his or her aesthetic views will come to be validated as *the* truth (rather than the writer's own truth)? More to the point of this review, why does anyone bother to universally hierarchize music?

Hole in Our Soul is addressed to people who find "nothing offensive in current popular music" (1). Why, then, would they read the book? Wouldn't these people rather spend their time listening to grindcore and gangsta rap? For Bayles, there are two uncomfortable facts that she must confront: First of all, the overwhelming majority of people who enjoy spending their time listening to punk, rap, or heavy metal are not going to spend their money and time buying and reading a 400-page diatribe that denigrates them, their favorite music, and their favorite musicians. Secondly, those who might be predisposed to buy and read it are not the ones spending money on the kinds of popular music the author dislikes. So who is the book for?

The sort of criticism practiced by the author of *Hole in Our Soul* seems anachronistic today. We do indeed live in the culturally pluralistic postmodern world, where, regardless of the dictates of high-culture (or even middlebrow) tastemakers, people "vote with their feet" and buy, experience, and create the kinds of music they enjoy. Bayles effectively skewers the Frankfurt school for some of its views, but adopts the same conceptual framework and uses some of the same elitist language. The only difference is that, instead of defending Western art music against Western popular music (as does Adorno), she defends her favorite genres of Western popular music against unpreferable forms of pop *and* art music.

> The key, as always, is the audience. . . . I mean the casually discriminating audience, the kind of people who partied and danced to the Duke Ellington Orchestra back in November 1940, when one of that band's wintry one-nighters was captured on record at the Crystal Ballroom in Fargo, North Dakota. (370)

Martha Bayles is too much a proponent of the free market to want the state to dictate what sort of music people should listen to (since, after all, it was the market that allowed the widespread dissemination of jazz, blues, and gospel); however, like any aristocrat looking to the past as the source of authority, she's too elitist to believe that the popular music of today will ever be as good as it used to be.

Notes

*Although editorial board members are often not acknowledged by authors—perhaps because by offering commentary on a manuscript they are only doing what is expected—in the case of this review explicit thanks are due Mark Burford, Marlon Feld, Rebecca Y. Kim, Jonathan T. King, and Jinho Weng for going above and beyond the call of editorial duty by offering constructive comments on what can only charitably be described as a rough draft at the time it was passed around to them for feedback.

1. The tenth anniversary of the publication of Allan Bloom's *The Closing of the American Mind* provided the occasion for a lecture recently delivered by Bayles at the University of Chicago, in which she again voiced similar criticisms of much contemporary popular music. This lecture formed the basis of an article entitled "The Musical Miseducation of Youth," published shortly thereafter in *The Public Interest*.

2. Duchamp isn't the only one to "point and proclaim." Bayles seems not to realize that throughout her book she makes the same sort of assertions (i.e., she points to certain musicians or musics and proclaims that selected individuals or pieces are artists or art "because I say so").

3. It is perhaps noteworthy that literary critics have leveled the same charges of obscurity and self-indulgence in the service of the "music of the words" at the work of Dylan Thomas, the poet from whom Robert Zimmerman reportedly took the name he assumed when first beginning his career.

4. See Jackson (1997) for a more thorough examination of Clark's involvement in the payola scandal.

5. The British fans aren't the only ones that seem to exhibit a fastidious purism. As with the case of Duchamp (see note 2), Bayles seems to come uncomfortably close to being guilty of what she accuses others—in this case, a "fastidious purism that reject[s] all subsequent styles."

6. Another example of sloppy terminological use combined with a disparaging tone appears in her perspective of the psychedelic scene in San Francisco: "Quick to seize on the sitar, especially after George Harrison strummed one in Norwegian Wood, these San Francisco groups made that instrument's shivery arpeggios into musical code for the drug experience" (226). First of all, in "Norwegian Wood" Harrison plucked the sitar rather than strummed it, but by using the term "strummed" she can more forcefully make the point that Harrison was really an incompetent know-nothing (i.e., a rock musician). Secondly, "arpeggios" seems misleading when describing the sitar's "shivery" music, since the term almost invariably refers to the tones that constitute Western triadic harmony.

7. Besides the insulting terminology, there are no examples offered to support the idiosyncratically formulated assertion that Merseybeat rhythms had been reduced to a "vapid tick-tock." It would have been even more helpful for her to have included an appendix in the back of the book that might at least have included a list of songs and their instrumental parts that exemplify what I imagine Bayles is trying to describe: a steady, unvarying, quarter-note or eighth-note rhythm. Unfortunately, however, this statement fits the pattern of the rest of the book: many provocative assertions with little or no supporting data.

8. At times the author seems to go rather far out of her way in order to disparage whatever it is she doesn't like. For instance, in reference to Eldridge Cleaver's public assertion of support for Malcolm X (instead of the Nation of Islam), she quotes Cleaver: " 'It was no longer possible to ride two horses at the same time,' " and then follows with, "Too bad the brothers at Folsom didn't have Public Enemy to show them how to ride two horses, a donkey, an elephant, and a load of bull besides" (360).

9. In addition, notes 47–53 for chapter 19 appear to be numbered incorrectly (probably caused by the fact that reference #53 is missing in the text).

10. For more on the shenanigans of the BBC and the British Market Research Bureau, see, for instance, Savage (1992:364–65) and Gimarc (1994:68).

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