

**Abstracts  
of Papers Read**

at the  
Fifty-Fourth Annual Meeting  
of the

**American Musicological Society**

and the  
Eleventh Annual Meeting  
of the

**Society for Music Theory**

Baltimore, Maryland  
3-6 November, 1988

edited by

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THURSDAY, 3 NOVEMBER, 2:00 P.M. - 5:00 P.M.AMS SESSIONS

## Medieval Source Studies

Alejandro E. Planchart (University of California, Santa Barbara),  
ChairTHE FIVE GRADUALS (S. XI-XII) IN THE  
BIBLIOTECA CAPITOLARE AT BENEVENTO

John Boe, University of Arizona

The Beneventan manuscripts Bibl. Cap. 34, 35, 38, 39, and 40 furnish most of what is known about old Beneventan chant, the local Gregorian dialect, and tropes, prosulas, and sequences in southern Italy. The nearly complete and most legible 34 was published in facsimile in *Paléographie musicale*; but 34 is in fact the latest manuscript, strongly influenced by the use of Montecassino and atypical of local Beneventan tradition. While the compendious but nearly illegible 35 is often cited as later than 34, its notation and tropes show that it is earlier. The graduals 38 and 40, with their supplementary old Beneventan masses, have long been recognized as the earliest graduals of the group. On the evidence of script and notation, I propose that 40 was written at the Abbey of Santa Sophia in the first half of the eleventh century, though later used at San Salvatore in Goleto, south of Benevento. A more limited selection of tropes in different versions appear in 38 than are found in its rough contemporary, 40. The late eleventh-century 39 was carefully edited for the important Benevento nunnery of St. Peter *intra muros*. In its present truncated state, it lacks all but three ordinary tropes, though containing the largest collection of proper tropes in south Italy.

The forthcoming edition *Beneventanum Troporum Corpus* has facilitated comparison of newer chant repertories in these manuscripts with those of Montecassino and Rome, and with each other. The scribe of 39 had available to her versions that appear in 38; the scribe of 35 copied certain pieces from 40. Ordinary chants and tropes from Rome (and elsewhere) were borrowed for 35; Montecassino furnished new material for 34.

My conclusions are based on repeated examination of the script and notation of the manuscripts themselves; on comparison of the various repertories they contain; on study of lists and histories of churches and monasteries in medieval Benevento; and on the liturgical, political, and institutional developments that produced these graduals and affected their fascinating contents.

AN UNKNOWN COMPLETE NINTH-CENTURY GRADUAL AND  
ANTIPHONER FROM SOUTHERN FRANCE:

ALBI, BIBLIOTHÈQUE MUNICIPALE, MS 44

John A. Emerson, University of California, Berkeley

Since 1705, when an edition was first published by the Benedictines of the Congregation of St. Maur, the so-called Antiphoner of Charles the Bald (Paris, Bibliothèque nationale, lat. 17436, from ?Soissons) has been regarded as the earliest and only extant manuscript from the ninth century that contains complete cycles of proper texts for both the Mass and the Divine Office, i.e., it is a full gradual and antiphoner. As such, it represents one of the basic sources for the study of medieval plainchant liturgy. This study argues there exists still another complete ninth-century gradual and antiphonal, Albi, Bibliothèque municipale Rochegude, MS 44.

Published references to Albi 44 have been so meager and misleading that, for all intents and purposes, it is unknown to the scholarly community. The gradual,

for example, was not included among the 750 Mass books identified by the monks of Solesmes in *Le Graduel Romain. Vol. 2, Les sources* (1965) and the antiphoner was ignored by René-Jean Hesbert in his exhaustive register of over 850 medieval Office books in *Corpus antiphonalium officii, Vol. 5* (1976).

This paper will discuss, for the first time, primary aspects of the manuscript based on a firsthand examination of the book, and propose a likely date and provenance.

The following points will be covered. First, the history of the manuscript will be traced. Second, the physical evidence will be reviewed, including the binding structure of the quires and the various scribal hands. Third, the liturgical feasts of both the gradual and antiphonal will be identified (special emphasis will be placed on the form of the sanctoral Offices in other early French liturgical sources, notably Paris, Bibl. nat., lat. 1240, lat. 17436, and the Mount-Renaud Antiphoner). And finally, the primitive Aquitanian neumatic notation will be described and evaluated.

### THE WORCESTER FRAGMENTS RECONSIDERED: A STUDY IN "DECONSTRUCTION"

William John Summers, Dartmouth College

During September 1987 I arranged for the transfer of the music manuscript fragments known as Worcester Cathedral Additional 68 to the Cambridge University Library for study and photography. This was the first opportunity any scholar has had to examine these thirteenth- and fourteenth-century fragments in a supportive environment. In addition to being able to examine a number of the leaves under ultraviolet light, it was possible to assemble all previous studies on the musical contents for close comparison with the fragments themselves.

Almost immediately it became apparent that these previous studies contained a high degree of inaccuracy, and that no published inventory of the contents of these sources is completely accurate. It also became painfully evident that the course of study of this music had been damaged irrevocably by the decision made ca. 1916 by H. Craster, a Bodleian Library Assistant Librarian, to "reconstruct" the lost Worcester music book. His creation of the composite "manuscript," Bodleian Library manuscript Latin Liturgical d. 20, meant that a number of music fragments from three different manuscripts, now housed at Worcester, the Bodleian and the British Library respectively, were grouped together in full disregard of their obvious distinguishing features. By conflating them it became virtually impossible to deal with them as discrete sources, compromising any attempt to determine their contents or their relation to the musical life at Worcester Cathedral.

This paper presents a revised and corrected listing of the manuscript sources from Worcester Cathedral and related collections, with special attention given to the five heretofore little-known or unknown works identified in Additional 68. It continues with a deconstruction of the fictitious manuscript Latin Liturgical d. 20 into at least six substantial Worcester music manuscripts (or portions thereof), ranging in age from possibly the late twelfth century to the early fourteenth century. Lastly, the cultivation of polyphony during this time is assessed anew in reference to the contents of the newly classified sources, especially the evolution in the process of the choice of liturgical texts and the adoption of new polyphonic styles.

### HOW THEY BROUGHT THE GOOD NEWS FROM PARIS TO ST. ANDREWS (12--): THE ORIGINS OF W1

Mark Everist, King's College, London

Recent research has suggested that W1 may have been copied in St. Andrews in the 1240s. Very little attempt has been made to understand why or how the virtuoso polyphony associated with the cathedral of Notre-Dame in Paris came to be cultivated so far from home. This paper rejects the suggestion that the interest in

polyphonic music was generated by Bishop David of Bernham (in office from 1239-1253) and points to his predecessor, Guillaume Mauvoisin (1202-1238) as the agency by which Parisian music was transmitted from Paris to St. Andrews.

Mauvoisin's career is reconstructed with particular attention to his contacts with France and his exposure to the music of the so-called Notre-Dame school. It is concluded that a member of Mauvoisin's *familia*--perhaps Mauvoisin himself--provided the driving force for the promotion of Parisian polyphony at St. Andrews as a result of the discovery of that repertory during travels in France in the first quarter of the thirteenth century.

**Seventeenth-Century Italian Song and Opera**  
Margaret Murata (University of California, Irvine), Chair

GIAMBATTISTA MARINO AND THE CONCEPT OF *MERAVIGLIA*  
IN ITALIAN MONODY

Peter G. Laki, University of Pennsylvania

The appearance of Giambattista Marino on the Italian poetic scene coincided with the first publications of accompanied monody in the early seventeenth century. Both the literary and the musical events considerably renewed the artistic idiom of the time, although both had had important antecedents in the sixteenth century.

The paper will discuss some links between the general aesthetics of Marino's poetry and monodic singing. The epigrammatic madrigal perfected by Marino concentrates on poetic structure in a quite novel way; logical procedures such as comparison, induction, and opposition are paramount, and the formal functions of beginning, middle, and ending become more emphasized. In the monodic repertory, melodic and rhythmic contrast becomes an essential element, and compositions can often be described as a stringing together of distinct events as the music progresses from one cadence to the next. The conceits or *acutezze* that play an important role in seventeenth-century poetic treatises will be shown to have clear musical counterparts in distinct musical events, most of which occur on the local level.

According to *seicento* literary theory, conceits generate wonder (*meraviglia*). I will aim to show how this aesthetic goal was shared by composers of monody and served as an important motivation for the stylistic changes they brought about.

ANTONIO ABATI ON *POESIA PER MUSICA*:  
A LESSON IN SEICENTO MUSICAL POETICS

Robert R. Holzer, University of Pennsylvania

Seventeenth-century Italy was rich in theorizing about both music and literature. A related but less well-known activity was the critical discussion concerning *poesia per musica*, verse written specifically to be set to music. Such discussion sometimes took a mock tone, as in the satires of Salvator Rosa or in the humorous cantata texts of Sebastiano Baldini and Francesco Melosio; but there were also other more serious attempts to define the nature of musical verse.

One such attempt is found in the works of Antonio Abati (d. 1667), a poet and critic active mainly in Rome. The author of texts set by such leading Seicento composers as Luigi Rossi and Marco Marazzoli, Abati wrote two important critical treatises, *Ragguaglio di Parnaso* (1636) and *Delle frascherie* (1651). In them he attacked the frivolity of much of musical poetry, and in the latter work he offered what he considered more profound and serious examples. In addition, the cantata texts published in his *Poesie postume* (1671) provide further evidence of his concern for serious poetic expression.

In this paper I shall examine Abati's critical writings on musical poetry, comparing his observations there to his own poetry. I shall furthermore examine settings of his texts by Rossi, Marazzoli, and some anonymous composers whose

settings I have uncovered. In this exploration of the musical responses Abati's work elicited, I will aim to determine to what extent and in what manner the poet's call for more gravity of expression was translated into music.

FRANCESCA CACCINI'S *LA LIBERAZIONE DI RUGGIERO DALL' ISOLA D'ALCINA* (1625): A FEMINIST MISREADING OF *ORLANDO FURIOSO* ?

Suzanne G. Cusick, Seneca Falls, New York

This paper proposes a means of transferring feminist criticism to musical texts by taking a gynocritical view of the earliest surviving opera by a woman composer. Such a view of the work's text and context will include examination of surviving documents pertinent to the creation and first production of *La Liberazione di Ruggiero dall' isola d'Alcina*, review of sixteenth- and early seventeenth-century critical approaches to the work's literary source, Canti VI-VIII of *Orlando furioso*, and a close analytical reading of the scenes featuring Alcina, all undertaken with an alertness to the role the shared gender of composer and patron may have played in shaping the work.

Working at the direct request of Florence's regent Archduchess at a time when gender roles were a frequent subject of academic debate (and her own activity as a singer/composer was the subject of court invective), Francesca Caccini gave her woman "reader" a story of her own by distorting the proportions of Ariosto's tale. Her text devotes equal time and expressive intensity to both Ruggiero's necessary liberation from enchantment and Alcina's resulting unhappiness; thus she creates a drama of dilemma where Ariosto had told a tale of moral duty. The composer thus traces for us a woman's ultimately failed effort to use the Orphic magic of song as well as the more feminine power of tears to restore her lapsed paradise, before showing us the reality patriarchy sees--Alcina the scorned as raging and vengeful monster.

IRO AND THE INTERPRETATION OF *IL RITORNO D'ULISSE*

Ellen Rosand, Rutgers University

The difference between Monteverdi's late Venetian operas and his Mantuan operas of thirty years earlier are well known, differences that can easily be ascribed to developments within operatic style in general, within Monteverdi's style in particular, and between the systems of patronage under which the works were created. What is less well-known is that the two late operas are also very different from works contemporary with them, other operas written for the Venetian public theater at around the same time, by such composers as Francesco Cavalli and Francesco Saccati. These differences are not so much ones of musical style, though they certainly exist, but of dramatic impact and, above all, meaning. Monteverdi's late operas challenge interpretation in a way that their contemporaries do not. Although it has not raised critical eyebrows to the same extent as *L'incoronazione di Poppea*, *Il ritorno d'Ulisse*, written for similar circumstances, within the same cultural milieu, shares some of the same ambiguities. Many of them are laid bare by an unlikely protagonist, the beggar Iro. Extraneous to the plot, this ostensibly comic figure offers a key to the meaning of the work. In so doing, he also uncovers the web of connections that link the two late operas, demonstrating their special significance as a pair.

Puccini

Roger Parker (Cornell University), Chair

OPERA, FOUR HANDS: COLLABORATIVE ALTERATIONS  
IN PUCCINI'S *FANCIULLA*

Gabriele Dotto, University of Chicago Press

Opera, with its complex and delicate mixture of musical, verbal, and scenic elements, is especially liable to extensive revision during rehearsals for a first performance. Common opinion assumes the composer himself initiates such adjustments. While this is usually the case, such a preconception can lead us to ignore the weight carried by the suggestion of performers or other colleagues in important musical decisions, and may also encourage overreliance on autograph documents alone as evidence of a composer's final intent.

Puccini's *La fanciulla del West*, for example, reveals numerous differences between the autograph and the final engraved score (the version he sanctioned); yet few of these changes can be traced directly to the composer. A key source in charting these alterations is the score bound from proof pages from the engraved plates, used by Arturo Toscanini during rehearsals for the opera's 1910 premiere. It carries a large number of Toscanini's handwritten changes, nearly all of which appear in the final version of *La fanciulla*. Epistolary evidence indicates many of these changes originated with Toscanini. This paper will examine the nature of these changes, their probable cause, and Puccini's working relationship with Toscanini. In conclusion, it will touch on some of the broader implications such research may have for the process of textual criticism in opera.

#### PUCCHINI ANALYSIS AND PUCCHINI CRITICISM

Roger Parker, Cornell University

The operas of Puccini continue to enjoy an unparalleled popular success; but only rarely do they receive sustained critical--still less analytical--attention. What is more, such discussion as exists is often negative, presenting us with the picture of a composer whose musical shortcomings are all too evident, and whose undeniable dramatic effectiveness is achieved through cynical manipulation of audience response. Technical enquiries, at least those using "respectable" methods of analyzing opera, seem inevitably to support these judgements. Puccini's often glaring semantic inconsistency in the use of recurring motives, for example, or his evident lack of concern for long-range tonal plans, can only encourage and confirm academic scorn.

Whether or not one agrees with such attitudes, the terms according to which they are made are worth some consideration. For when Puccini is deemed to "fail" as a musical dramatist, it is according to a set of expectations that may be less universal than his critics implicitly claim. More specifically, when he is damned with reference to analytical ideals evolved from the study of earlier opera composers (and above all, of course, of Richard Wagner), both the ideals and the critical placing may be called into question.

The present paper, which takes as its *point d'appui* some of the most recent analytical writing on Verdi and Wagner, sets out to examine these issues with reference to a number of Puccini's mature operas, including *Manon Lescaut*, *Tosca*, and *Madama Butterfly*. As well as calling for an analytical reevaluation of Puccini, it will suggest ways in which an appreciation of his true stature will encourage us to reconsider our critical and aesthetic criteria when judging the worth of a musical drama.

#### PUCCHINI SEINE-SIDE: *IL TABARRO* IN PERSPECTIVE

William Ashbrook, Indiana State University

Puccini's *Il tabarro* (1918), the first score of *Il tritico*, uses a libretto by Giuseppe Adami, derived from Didier Gold's *La Houppelande*. Discussions of this one-act work have--as with so many other Puccini operas--interpreted the score almost exclusively in terms of its literary text, being concerned with such aspects as its psychological implications, its so-called "veristic" qualities, or even its status as a work of social protest. Those few discussions of the music that exist have been

similarly partial, tending to concentrate either on incidental details or to offer no more than a bland "listeners' guide."

This is unfortunate because, perhaps in this work above all, Puccini challenges our usual ways of thinking about opera. His aesthetic developed from a deeply-rooted instinct for the musical theater, in which fundamental dramatic considerations ("stage clock," tension and release, accruing atmosphere) are inseparably bound up with compositional choices. The present paper argues that to focus exclusively on either the plot and characters or the music in its abstract sense is, quite simply, to miss the point. The true status of *Il tabarro* as one of Puccini's most cohesive and compelling operas will emerge only if we approach it from the larger perspective that true operatic criticism demands.

THE JAPANESE RECEPTION OF *MADAMA BUTTERFLY*  
Arthur Groos, Cornell University

Puccini's *Madama Butterfly* is well known in contemporary Japan, a fact attributable in no small measure to the active interest of the Japanese in portrayals of themselves by others. Although a portion of the opera was staged as early as 1914 and regular performances began in the 1930s, its cultural assimilation has been facilitated by a wide variety of other forms such as the Bunraku Puppet Theater and the Takarazuka Revue. The latter two institutions in particular provide suggestive paradigms for the cross-cultural reception of Italian opera. This presentation, based on a comparison of Puccini's libretto with hitherto unavailable Japanese adaptations, will discuss some of the factors involved in the opera's transposition to Eastern musical drama as well as to a *Mischform* such as a revue. The shift in genres necessitates obvious formal changes, also providing an opportunity for cultural appropriation and editorial comment that creates a "dialogic" relationship with the original libretto. Whereas the puppet play, even with so distinctive a number as "Un bel di", remains within Bunraku conventions but still adheres closely to the libretto, the three Takarazuka adaptations (1930, 1945, 1953) establish a disjunctive polarity between the text of Puccini's opera and contemporary events, creating a separate intertextual history that culminates in the *Third Generation Madame Butterfly*. The discussion will close with the representation of a Takarazuka revue (*Swing Butterfly*) in James Michener's 1953 best-seller, *Sayonara*.

New Perspectives of Webern Research  
Reinhold Brinkmann (Harvard University), Chair

FIRST AND SECOND PRACTICES IN WEBERN'S MUSIC AND  
ITS ANALYTICAL LITERATURE  
William Benjamin, University of British Columbia

It is increasingly clear that Webern's music, whatever its ultimate fate as repertoire, is destined to play a central role in musical thought. The music lies at one limit of what is cognizable in the every-note-has-meaning sense, producing an intensity that gratifies analysts and justifies brevity of statement in their eyes. Moreover, it is an ideal vehicle for theoretical music-making through its relation to the boundaries that mark the end of the European tradition. Realized in terms of conflicting tendencies--a *prima pratica* that is tradition-oriented, and a *seconda pratica* that creates its terms of reference anew--the music straddles and blurs these boundaries.

Leading contemporary analysts have focused on the second practice, fertile ground for their efforts to develop neutral, quasi-objective accounts of pitch and rhythmic structure. This paper will review some of these attempts, including work by Boretz, Forte, Kabbash, Hasty, and others. It will also assess the prospects for a second-practice approach to timbre in Webern, using ideas recently developed by Slawson and by Cogan. At the same time, it will advocate increased attention to

Webern's first practice, briefly surveying some analyses that attribute meter, conventional phrase schemata, and aspects of tonality to the music. Excerpts from several of the author's analyses (drawn from among the Dehmel songs, many atonal works, and Op. 22) will be presented, all of which demonstrate a potential for hearing the music in terms of its traditional preoccupations.

THE BASLE WEBERN MATERIALS AND  
THE FORTHCOMING WEBERN *GESAMTAUSGABE*  
Hans Oesch, University of Basle and The Paul Sacher Foundation

The paper will (1) present a general overview and some selected *specifica* of the Webern materials at the Paul Sacher Foundation, including musical sources (most of them from the Moldenhauer Archives) as well as non-musical materials (i.e. the extensive and important correspondence between Anton Webern and Heinrich Jalowetz). The catalogue of the musical Webern holdings, to be published in 1988 as Volume I of the Sacher Foundation *Publikationen*, will serve as a basis for information and discussion. Slide projections will illustrate the different types of materials. Some specific source characteristics and problems of interpretation will be addressed in greater detail. This will (2) lead to a discussion of the plan for a critical edition of Webern's works. A preliminary disposition for this *Gesamtausgabe* will be at hand; some significant editorial problems will be named for discussion. It is the aim of this presentation to form an international basis for this edition and to include the American Webern specialists in our activities.

A MAJOR REVISION IN A WEBERN MANUSCRIPT  
AND ITS IMPLICATIONS FOR STRUCTURAL ANALYSIS  
Allen Forte, Yale University

The purpose of this miniature study is to demonstrate some of the analytical results that may proceed from a critical assessment of the manuscript and sketch materials of Webern now in the Paul Sacher Stiftung, Basle, Switzerland.

The study deals with a single measure (m. 19) of the manuscript for the *Vier Stücke für Geige und Klavier*, Op. 7, No. 2, which underwent at least three levels of revision either at the time Webern wrote out the original fair copy in the summer of 1910 or at the time of the first performance in 1912 at the famous concert in Vienna where the music of Schoenberg's students was presented to the public. In a number of significant respects this manuscript version differs from the published version, even though Webern's pencilled notation on the cover, which contains the deleted title "Op. 6 No 1," identifies the manuscript as the "endgiltige Fassung Sommer 1914."

The revisions of bar 19, which occupies a crucial position in this most complex of the Opus 7 pieces, involve several factors, including rhythm, register, and, perhaps most important, pitch, thus affording an opportunity to consider basic features of the composer's decision processes. To this end the analysis attempts to interpret the various transformations with respect to the movement as a whole and offers hypotheses concerning their effect upon such aspects of the music as form, rhythmic organization, registral-instrumental continuities, and pitch structure.

WEBERN'S TRAKL FRAGMENTS  
Anne C. Shreffler, Harvard University

Anton Webern, the first composer to compose poems of his Austrian contemporary Georg Trakl, occupied himself with sixteen settings over the course of seven years (1915-1921). The results of this creative encounter between musician and poet are known in Webern's Op. 13, No. 4, and Six Songs, Op. 14. These densely textured, complex works represent much more than either a departure from

the earlier miniatures or a prelude to the twelve-tone technique; they stand on their own as the apex of Webern's atonal language. In addition to the seven completed songs, Webern attempted nine other poems which he left as fragments. (Eight of the Trakl fragments are listed in Moldenhauer's work list; one was discovered by the author.) The unpublished manuscripts of the fragments, as well as sketches for the published Trakl songs, are found in the Paul Sacher Foundation in Basle.

The fragments show that Webern's years of intensive involvement with Trakl's poetry were a time of experimentation; Webern tried instrumental combinations ranging from piano to large orchestra, as well as various kinds of declamation and relationships between voice and instruments. He often attempted a poem many times, each setting distinctly different. For example, the manuscripts reveal earlier fragmentary settings for the poems "Die Sonne" and "Gesang einer gefangenen Amsel," which do not resemble the settings of the same poems which became Op. 14, Nos. 1 and 6. Webern composed these drafts and most of the fragments between 1915 and 1918, that is before 1919, when he wrote most of the completed Trakl songs. The four years in which he had grappled with Trakl's difficult poetry had given him the fluency to be able to start and finish four songs in twenty-one days in the summer of 1919 (Op. 14, Nos. 2, 3, 5, and 6). Therefore the Trakl fragments show not only Webern's musical reactions to a great poet, but also new aspects of his compositional process.

#### PROBLEMS OF STRUCTURAL FORMATION IN THE ANALYSIS OF WEBERN'S TWELVE-TONE MUSIC

Christopher F. Hasty, Yale University

Analyses of Webern's twelve-tone music have been dominated by preoccupation with pitch relations based on the autonomy of the row. Drawing on a highly sophisticated theory of sets, numerous studies have certainly clarified our understanding of the structural possibilities afforded by Webern's dispositions of row forms. Nevertheless, the suppression of domains other than pitch and interval, together with the neglect of function in favor of association, obscure many of the aesthetic and analytic questions posed by Webern's music. Taking as examples sections from the first movements of the *Variations for Piano*, Op. 27 and the *String Quartet*, Op. 28, I shall present what I hope may prove to be a more productive approach to this music.

Rather than regard any domain as privileged, we may instead focus our attention on the result of the interaction of all domains, that is, on the more general issue of musical articulation or rhythm in the broadest sense of the term. From this perspective, the relations of pitches or durations can be interpreted according to the functions these relations perform in the creation of musical gesture and form. I shall argue that the disposition of row forms isolated from the totality of musical domains may be seen as a largely undetermined matrix of structural possibilities and, as such, can be reified only at the cost of severely limiting our understanding of Webern's twelve-tone music as music.

### SMT SESSIONS

#### Set Theory I

John Rahn (University of Washington), Chair

#### CYCLIC TRANSFORMATIONS OF PITCH SETS

Dave Headlam, Eastman School of Music, University of Rochester

Theories of pitch sets for non-twelve-tone twentieth-century music often focus on the properties of these sets as pitch-class (pc) sets, minimizing vertical or

horizontal order within the set or in relation to its surroundings. This focus has been felt to be unsatisfactory in some music, and recently some explorations of voice leading for pitch sets have begun to emerge. This paper is concerned with interpreting the musical logic of a succession of pitch sets as the result of voice leading of constituent subsets by cyclic transformations. This interpretation expands on present studies in two ways: first, analytically, by presenting solutions to specific musical passages in which the succession of pitch sets is a result of the voice leading of cyclically transformed subsets; second, theoretically, by developing and tabulating possibilities for composing out successions of pitch sets by cyclical subset manipulation. The theoretical and analytical possibilities given here derive principally from the work of George Perle and have particular relevance for the music of Alban Berg.

#### THE 77 PARTITIONS OF THE AGGREGATE: THEORETICAL AND ANALYTICAL ASPECTS

Brian Alegant, Eastman School of Music, University of Rochester

This paper presents a general theory of the 77 partitions of the aggregate which shows that certain twelve-tone combinatorial works have hierarchical structure. The paper is divided into three parts. The first provides elementary definitions and relations and discusses several aspects of pitch and temporal realizations of partitions. The second illustrates some of the analytic implications of the theory by examining segments from various compositions, including Babbitt's first period "trichordal/hexachordal" works (such as *The Widow's Lament in Springtime*, *Du*, and *Partitions*), Babbitt's second period "all-partition" works (such as *Post-Partitions* and *Arie da Capo*), and other twelve-tone compositions. The paper concludes with a discussion of the enumeration and inclusion of partitions.

#### COORDINATION OF INTERVAL SIZES IN SEVEN-TONE COLLECTIONS

Jay Rahn, York University

Ordered pitch-class (specific) intervals and ordered degree-class (generic) intervals are defined for the seven-tone collections listed in Forte's *The Structure of Atonal Music*. Attention is drawn to situations where the following conditions obtain: (1) pairs of pitch classes which form intervals that have a single size in terms of scale degrees but have differing sizes in terms of semitones--that is, difference, as in the case of C-E and D-F in the collection C D E F G A B; (2) pairs of pitch classes which have the same semitone sizes but have differing scale-degree sizes--that is, ambiguity, as in the instance of F-B and B-F in C D E F G A B; (3) two ordered pitch class intervals, x and y, such that x is greater than y in terms of semitones and y is greater than x in terms of scale degrees--that is, contradiction, as in the cases of D-sharp-F and G-flat-A in C D-sharp E F G-flat A B.

A survey of the frequencies with which and locations in which one encounters such heteromorphisms in the various seven-tone collections leads to a number of observations. These observations concern the privileged status of certain seven-tone collections, the use of various collections in both Western and non-Western music, transformational relations between collections, the chromatic heptachord 7-1: [0,1,2,3,4,5,6], the inference of "missing" notes in "gapped" collections (containing six or fewer tones), the translation of abstract properties of sets into the concrete particular terms of observed tones, and the concepts of "scale" and "scale degree." Also offered is a psychological interpretation of the findings (in terms of behaviorism and cognitive science).

**Approaches to Tonality**  
**Christopher Lewis (University of Alberta), Chair**

*CREATIO EX NIHILO: THE GENESIS, STRUCTURE, AND MEANING OF  
 THE RHEINGOLD PRELUDE*

Warren Darcy, Oberlin College Conservatory of Music

Wagner's own account of the genesis of the *Rheingold* Prelude is well known. On September 5, 1853, in the Italian town of La Spezia, he allegedly experienced a pre-compositional "vision," during which he felt "rapidly flowing water" which took the form of "arpeggiated figurations" of the "pure E-flat-major triad." For years, this story was accepted at face value by scholars such as Strobel, Newman, and Westernhagen. Recently, however, John Deathridge has questioned Wagner's account, on the grounds that it does not square with either his correspondence or his musical sketches.

A close examination of Wagner's musical sketches and drafts for *Das Rheingold* reveals that the genesis of its Prelude is not nearly as simple and straightforward as Wagner claimed. Nevertheless, although the manuscripts do not confirm Wagner's account of a pre-compositional "vision," they do not contradict it, either.

This paper examines Wagner's sketches and drafts (housed in the Nationalarchiv der Richard-Wagner-Stiftung in Bayreuth) in order to establish a chronology for the rather complicated genesis of the Prelude. This in turn leads to an analysis of the Prelude's musical structure, an interpretation of its metaphorical meaning, and an account of the multifunctional role it plays within the opera.

**TONALITY AND OCTATONICISM IN *PETROUCHKA*:  
 A SCHENKERIAN VIEW**

Matthew Brown, Eastman School of Music, University of Rochester

Recent studies of Stravinsky's music have been dominated by a concern for octatonicism. Arthur Berger, Pieter van den Toorn, Elliott Antokoletz, and Richard Taruskin have all suggested that much of Stravinsky's output can be understood as some sort of interaction between octatonic and diatonic systems. Taruskin has also tried to show that the origins of Stravinsky's octatonicism can be traced back to the symmetrical third progressions of works by Rimsky-Korsakov, Liszt, and even Schubert.

There are, however, inherent problems both with the octatonic/diatonic model as presented by Van den Toorn and with the historical arguments proposed by Taruskin. These difficulties arise because the octatonic/diatonic model rests on two crucial assumptions: that scales generate harmony and that the properties of a harmonic language depend on those of scale systems. This paper challenges both assumptions and, using recent developments in Schenkerian theory, claims that in tonal contexts, octatonic phenomena do not stem from what Taruskin terms "octatonic operations" but rather from transformations within the tonal system itself. Octatonicism is not, therefore, a source but a product of chromaticism. Once the explanatory power of the octatonic/diatonic model has been undermined, the validity of Taruskin's genealogy can also be questioned. The paper ends by analyzing selected octatonic passages from *Petrouchka* and by comparing the approach presented above with other voice-leading models by Adele Katz, Felix Salzer, and Joseph Straus.

**A SYSTEMATIC THEORY OF MEDIANT RELATIONS IN TONAL MUSIC**  
 David Kopp, Brandeis University

This paper demonstrates that it is desirable to understand third relations in tonal music, especially those of the nineteenth century, as functional relations in their own right, rather than as alterations of or variations on other basic harmonic qualities. Recent writers have begun to probe the nature of mediant relations. Until now, though, there has been no deep, direct investigation into the properties which third relations display as independent elements operating within the tonal system. This paper consists of a systematic and thorough treatment of these properties, drawing on examples from the standard literature, especially the music of Schubert, Chopin, and Schumann. This is supplemented by a brief inquiry into the ways in which certain theorists of the nineteenth century conceived third relations to operate, and by the views of some present-day writers.

### JOINT AMS/SMT SESSION

#### Symmetry in Music

Elliott Antokoletz (University of Texas, Austin), Chair

#### SYMMETRY AND SYMMETRICAL INVERSION IN TURN-OF-THE-CENTURY THEORY AND PRACTICE

David Bernstein, Columbia University

This paper examines several turn-of-the-century theoretical works concerned with symmetrical structure and discusses their influence upon twentieth-century compositional technique. German theorists of the late nineteenth century were concerned and often even obsessed with symmetrical structure. Harmonic dualists, such as Hugo Riemann and Arthur von Oettingen, sought symmetries in almost every type of musical phenomenon. Although he fervently opposed the dualistic program, Georg Capellen's theory of harmony was likewise based on symmetrical relationships. Symmetry also provided turn-of-the-century theorists with a means towards the expansion of compositional technique through symmetrical inversion, a procedure discussed by Bernhard Ziehn, Georg Capellen, and Hermann Schroeder.

The paper demonstrates that the fascination with symmetrical structure characteristic of German theory anticipated later developments. Harmonic dualism is considered in light of its relationship to Schoenberg's notions of an "absolute musical space", a principal assumption of his twelve-tone system that is applicable to his non-tonal works as well. The stylistic consequences of symmetrical inversion as both compositional method and theoretical principle are also investigated. Capellen's refutation of harmonic dualism reveals that he understood how an emphasis on symmetrical structure could lead to the decline of the tonal system. Finally, it is shown that Schroeder's discussion of axes of symmetry foreshadowed compositional techniques employed by Schoenberg and others, as well as their theoretical formulation by Milton Babbitt and David Lewin.

#### COMPOSITIONAL PROCESS IN BARTÓK'S FIFTH QUARTET

Marcia Beach, Eastman School of Music, University of Rochester

The unusually large and highly interesting body of sketch materials for Béla Bartók's Fifth String Quartet has been made available for study for the first time in many years by the composer's son, Peter. These documents portray the evolution of this work from initial ideas to finished composition, and they reveal in the process many fascinating details about his writing method.

Bartók said very little about his approach to composition, and thus the sketches for his works are our only source of information regarding his procedure. The sketches for the Fifth Quartet are particularly informative in this regard, since the composer revised the work extensively before arriving at the final version. We

can observe that both larger- and smaller-scale attributes of the finished work took shape during the final stages of composition, and that Bartók often altered his earlier notions of the work's organization in response to expressive requirements or opportunities that arose as he wrote out the music. In the third movement, for example, he altered what was at first a symmetrical large-scale tonal plan to one which allowed him to exploit a particularly interesting timbral effect. The sketches for the first, third, and fifth movements reveal a rigorous use of symmetrical pitch structures and of pitch collections derived from the circle of fifths. Other interesting features of his working method revealed by the sketches are his conscious application of Golden Section ratios to determine the proportions of a movement and his meticulous attention to phrase structure.

This paper will summarize the most interesting revelations of the documents for this quartet, and it will conclude with an overview of their implications for a broader understanding of his compositional procedure.

PITCH MIRRORS IN SCHOENBERG'S *MOSES UND ARON* :  
THE CORRELATION OF MUSICAL STRUCTURES AND  
DRAMATIC FUNCTIONS

Michael Cherlin, University of Minnesota

Symmetrical pitch arrays, conceived of as forming "inversional balances" about intervallic centers, have been shown to be a fundamental and pervasive component of Schoenberg's compositional language. Such "pitch mirrors" are conspicuous among the musical structures found in *Moses und Aron*, and they function, in the context of processes of generation and "liquidation," to express or to help express specific dramatic events. This correlation between musical structure and dramatic function is the subject of this paper.

Three separate ways to categorize the structural properties of pitch mirrors are developed: (1) based on the temporal relationships of "image" and "reflection"; (2) based on the pitch or pitches that form centers of inversional balance; (3) based on the ordinal or metric placement of axes of symmetry. After a discussion of universal properties of the various types of mirror imagery, specific passages from the opera are analyzed, paying particular attention to the means by which musical structures help to portray or express dramatic images, agents, or events.

FRIDAY, 4 NOVEMBER, 9:00 A.M. - 12:00 P.M.AMS SESSIONS

Symbols, Animism, and the Occult  
Tilman Seebass (Duke University), Chair

MEDICAL ASTROLOGERS AND THE INVENTION OF  
STRINGED KEYBOARD INSTRUMENTS  
Standley Howell, University of Chicago

The technical skill necessary for the invention of an instrument like the harpsichord was known only to builders of scientific instruments late in the fourteenth century. Up to now it has not been apparent why such artisans should have taken an interest in musical instruments. But there is one group of inventors who can be shown to have worked on both scientific and musical instruments. These were the medical astrologers, physicians who cast the horoscopes of their patients in order to refine their diagnoses and treatments.

Astrology was considered an essential tool of medicine in the late Middle Ages. Accurate horoscopes required precise astronomical observations, in quest of which medical astrologers learned to build their own astrolabes, clocks, and other devices. The best physicians served at royal courts, where they also designed and built weapons, instruments of torture, stage machinery, and musical instruments.

Physician and astrologer Henri Arnaut de Zwolle left annotated technical drawings of the harpsichord, clavichord, and organ, but also material concerning astronomical instruments, clocks, gem polishers, and siege engines. Arnaut was not unique. Virtually every scrap of technical information we have about early stringed keyboards comes to us from medical astrologers, including Giorgio Anselmi and Paulus Paulirinus of Prague. Hermann Poll, who is named as inventor of the harpsichord in a document of 1397, was also a physician. His biography, hitherto unexplored, is consistent with those of other medical astrologers. The evidence is compelling that medical astrologers played a decisive role in the invention and development of early stringed keyboard instruments.

"ALLURING THE AUDITORIE TO EFFEMINACIE": MUSIC AND THE  
ENGLISH RENAISSANCE IDEA OF THE FEMININE  
Linda Austern, Harvard University

During the English Renaissance, a very strong theoretical connection was established between music and femininity. Detractors of music labelled it an effeminate or whorish pastime, a corrupting influence on masculine morality. Indeed, numerous writers across all disciplines and with all opinions of music tended to describe the positive and negative characteristics of both women and music in such remarkably similar language that the very term "effeminate" came to be applied to specific sorts of music by such diverse authorities as music theorist Charles Butler, Classicist George Sandys, and Puritan Stephen Gosson. Based on a highly syncretic mixture of ideas borrowed from such widely-ranging sources as Aristotle, the early Church fathers, and contemporary Continental neo-Platonists, English theorists in natural and moral philosophy, art, music, and literature came to associate the feminine in music with artifice of all sorts, sensual pleasure, and the specific compositional devices of chromaticism and ornamentation. This paper proposes to bring together the diverse theoretical perspectives on music and femininity and to show how the stereotype of the feminine in music had become a familiar symbolic element in art, music, and literature by the end of the English Renaissance.

BACKGROUND CONTEXTS AND MUSICAL ALLEGORY IN  
 MICHAEL MAIER'S *ATALANTA FUGIENS* (1617/1618)  
 Don R. McLean, University of Toronto

In the year 1617, and again, with minor corrections, in 1618, the Oppenheim firm of Johann Theodore de Bry published an alchemical emblem book entitled *Atalanta fugiens*, with engravings by Matthias Merian and text by Michael Maier. Each of the fifty emblems is accompanied by a typeset three-voiced *Fuga* [canon].

What function does the music perform in this work? In pursuit of an answer to this question, this paper threads its way through several tenuously yet tantalizingly interconnected research areas: political history and Rosicrucianism; alchemy and cosmology; psychological theory and emblemata.

It is shown that Maier's work is: (1) part of the political propaganda of the Protestant reform movement surrounding Frederick V, Elector Palatine; (2) a major document in the history of philosophical alchemy and its most important instance of explicit musical content; and, (3) at the obfuscate end of a large emblem book literature whose chief communicative mode, analogy, is here extended to music. The paper establishes Maier's musical philosophy, comments on the musical style, posits connections between individual fugues and emblems, and accounts for the role of music in the overall structure of the work—a structure which culminates in the musical allegory of the final canons-emblems.

THE NIBELUNG AND THE LORELEY:  
 ANIMISM IN GERMAN ROMANTIC MUSIC  
 Cecelia Hopkins Porter, Chevy Chase, Maryland

The personification of the ancient Rhine river in the figures of the Nibelung and the Loreley, along with many associated images in music and other arts, underscores German Romantic Nature glorification. In the decade following the French Rhine threat in 1840, the period from Schumann's "Song Year" to Wagner's labor on his massive Rhine tetralogy poem, *The Ring of the Nibelung*, German veneration for this waterway stimulated the publication of hundreds of *Rheinlieder*. Composers such as Schumann, Liszt, Mendelssohn, Marschner, Franz, and Loewe set poems rich in animistic Rhine imagery by Heine, Eichendorff, Brentano, Schiller, Simrock, Uhland, and others, nearly four hundred of these songs being recorded in publishers' catalogues, lieder anthologies, and individual song publications. Cross-disciplinary investigations attest that this deep lode of animistic Rhine symbolism, intermixing water, gold, birth, and death, developed from several sources, diverse yet all converging on nineteenth-century Nature glorification. Mammoth advances in natural science, particularly evolutionary theory, confirmed organic unity in life and art; the prodigious growth of psychology heightened the validity of human emotion; scholarly literary examinations of man's folkloric, mythical, and epic past probed his earthly and divine natures; and the blossoming of German lyric poetry and landscape painting testified to the intense subjectivity of transcendental pantheism towards Nature. Socio-economic and political forces reinforced the intricacy of Nature themes—*Sehnsucht*, *Wanderlust*, *Volkstümlichkeit*—as my published accounts of the *Rheinlieder* music critics, the Lower Rhine Music festivals, and the Rhine capital Düsseldorf from Mendelssohn to Schumann have shown. Thus the pervasive idealization of Nature, both of man and of his cosmos, underlies the origin and significance of Rhine imagery in German Romantic music.

Renaissance Motet and Mass  
 Jessie Ann Owens (Brandeis University), Chair

DUFAY'S COMPOSITIONS IN BU 2216:  
PROBLEMS OF TRANSMISSION AND AUTHENTICITY  
Janet Palumbo, Princeton University

Since its publication in 1962, Charles Hamm's "fascicle manuscript" theory has been accepted as a general explanation for the way in which polyphony circulated in the early fifteenth century. This theory necessarily assumes that virtually all of the exemplars for the surviving anthology manuscripts are now lost. The extent to which Hamm's theory should be applied to musical transmission of the late Middle Ages is currently being questioned from two different angles. Recent research on musical sources of the early fifteenth century has focused on the role of the scribe in editing and reshaping the music contained in those sources. The evidence of scribal initiative suggests that in many cases where different readings exist, the surviving sources, and not some "lost exemplars," may be the point of change. Other recent work, such as Margaret Bent's work on the Trent Manuscripts 90 and 93, makes the case that some anthology manuscripts were copied not from several unrelated fascicle manuscripts, but from other large sources.

Comparison of concordances between BL(Q15) and BU 2216 provides evidence for some direct copying from BL to BU. Focusing on the works in BU which are attributed to Dufay, this paper looks at the editorial policies of the BU scribe, and the effect which those policies have had on our view of the music. By examining the individual transmission "histories" of each of the Dufay works in BU, and then placing the anomalies within the context of the goals of the BU scribe, some shaky attributions are weakened further, and some questions of compositional chronology are illuminated.

SYMBOL AND RITUAL IN JOSQUIN'S *MISSA DI DADI*  
Michael Long, Columbia University

The *Missa Di dadi* of Josquin Desprez represents one of the most puzzling instances of the mixture of sacred and profane elements in fifteenth-century polyphony. In the tenor part-book of the sole source for the work, Petrucci's third book of Josquin Masses, most statements of the cantus firmus (drawn from Robert Morton's rondeau, *N'auray je jamais mieulx*) are preceded by a pair of dice faces, indicating the relative lengths of the note values in the Mass to those of the original chanson. The reason behind Josquin's use of dice, traditionally associated with vice and illegality, as proportional canons in the Mass has never been satisfactorily explained or explored. Drawing upon literary and documentary evidence for the medieval image and practice of gambling with dice, this paper demonstrates that the inclusion of the dice reflects neither caprice nor sacrilege on the part of the composer. In fact, they form part of an ingenious metaphorical "program" in which the choice and treatment of the cantus firmus figure prominently. When considered from the standpoint of contemporary liturgical procedures, it becomes clear that the visual and audible elements of the *Missa Di dadi* were intended to provide a gloss upon the ritual action of the Eucharistic ceremony which the music accompanies. Viewed in this new light, this apparently anomalous work may be shown to have musical and conceptual links to other liturgical works of the composer, including the *Missa Pange lingua*.

ON MUSIC AND MEDITATION IN THE RENAISSANCE:  
CONTEMPLATIVE PRAYER AND JOSQUIN'S *MISERERE*  
Lester D. Brothers, University of North Texas

While scholars of the Renaissance have long been concerned with the role of music in liturgy, no similar connection has ever been demonstrated between acts of devotional piety and specific musical examples. The *Miserere* (1504) of Josquin des

Prez, for instance, long recognized as one of the masterpieces of Renaissance music, has yet to have its devotional context clarified. Recently the work's relation to Savonarola's meditation on Psalm 50 and the subtleties of its rhetorical structure have been revealed. Nevertheless, the specific layout of its cantus firmus, its most obvious structural feature, has never been satisfactorily explained. The context for such an explanation may be provided by tracing the trend toward systematic devotion during the fifteenth century, leading to the *summa* of meditative exercise, the *Rosetum Exercitiorum Spiritualium et Sacrarum Meditationum* of Johannes Mauburnus (Jean Mombaer), published in 1494 with subsequent editions in 1504, 1510, 1603, and 1620. This work is remarkable not only as the culmination of the *Devotio moderna* movement, but also as a springboard for the devotional exercises developed in the sixteenth century, most notably by Ximenes de Cisneros and Ignatius Loyola. An illustration in all editions is a *Chiropsalterium*, a mnemonic hand used to demonstrate successive steps in the scale of meditation. Here is to be found the most useful clue to understanding the Josquin *Miserere*. It will be demonstrated that the scalar deployment of an ostinato subject in Josquin's music is not merely symbolic or emblematic, but forms a specific framework for systematic devotion during the course of the composition.

THE MOTETS *BEATA ES MARIA* BY OBRECHT, COMPÈRE,  
AND BRUMEL: AN ITALIAN CONNECTION DISCOVERED

M. Jennifer Bloxam, Williams College

The discovery of the origin for a cantus firmus embedded within a Renaissance mass or motet often proves to have ramifications extending well beyond the immediate solution of a single mystery. Indeed, answers to questions about provenance, date, performance practice, authenticity and biography may hinge upon the identification of a cantus firmus. The works of fifteenth- and sixteenth-century composers such as Dufay, Regis, Josquin, Obrecht and La Rue have come into sharper focus, thanks to scholars' recognition of pre-existent melodies within them.

The identification of a heretofore unidentified cantus firmus provides the starting point for this paper. In 1964, Ludwig Finscher observed that Loyset Compère's motet *Ave Maria gratia plena* and two motets entitled *Beata es Maria* were all based upon the same *cantus prius factus*, but was unable to locate the source of the tune. This paper reveals that the melody originated as a *lauda spirituale*, a genre not previously known as a source of cantus firmi. The far-reaching consequences of this discovery are explored through the consideration of biographical, codicological, liturgical and stylistic evidence. The Italian provenance of all three motets is thereby established, with Ferrara as the principal point of their intersection. The chronology of their composition is reconstructed, and an intricate web of homage and competition centered upon Obrecht emerges from a close look at the structure and style of these three works. Ultimately, the intimate connections newly uncovered between these motets affords us a particularly focused example of the change in style inspired by northern composers' exposure to the Italian musical climate.

Seventeenth- and Eighteenth-Century Opera  
Lowell Lindgren (Massachusetts Institute of Technology), Chair

OPERA AND THE SPANISH POLITICAL AGENDA  
Louise K. Stein, University of Michigan

It is no secret that opera did not take hold in Spain in the seventeenth century, and the designation "Spanish opera" can be applied to very few works. Several scholars have tried to explain the "failure" of Spain to embrace this sophisticated, imported Italian genre. Some have blamed inept singers and an unsophisticated audience. Others have tried to fill what seemed like an embarrassing

operatic void with related musical-theatrical forms such as spectacle play, semi-opera, and *zarzuela*.

Once we understand the political context for culture at the Spanish Hapsburg court, however, and the relationship between theater and politics in Madrid, the reasons for the Spanish rejection of opera as a complete genre in the seventeenth century are clear and compelling. Opera in Spain confronted a superior and highly rhetoricized dramatic tradition. More important, an Italian theatrical import could neither be adopted as the emblem of royal power, nor displace appropriate native forms of musical and theatrical spectacle. Three operas in Spanish were produced at court in the seventeenth century: *La selva sin amor* in 1627, and *La púrpura de la rosa* and *Celos aun del aire matan* in 1660. These were exceptional productions in the regular schedule of musical and nonmusical court plays, and were written in special circumstances. They did not represent the culmination of some sort of historical evolution toward opera, but were carefully planned in relation to both internal Spanish politics and Spain's position in the European political arena. We preserve the score for only one of these operas, *Celos aun del aire matan*, with a text by Calderón and music by Juan Hidalgo. This paper will show not only that the deliberate and unusual decision to produce the opera in 1660 was motivated entirely by political events, but that the interpretation of these events also influenced the work of both librettist and composer. Because *Celos aun del aire matan* is the only extant musical example of the genre, this work will be the focus of the second half of the paper.

#### THE INFLUENCE OF THE *PRÉCIEUX* ON DRAMATIC STRUCTURE IN QUINAULT'S AND LULLY'S *TRAGÉDIES LYRIQUES*

Patricia Howard, The Open University

The *précieux* movement brought about a new role for women in mid-seventeenth-century France. But although women gained a new importance in both political and artistic spheres, the activities available to them were tightly circumscribed by the rules of decorum, and their new-found freedom led more often to frivolity or to pretentious pedantry than to genuine self-improvement and freedom of action.

Quinault took the *précieux* position as his starting point, but went far beyond it in creating a "theater of women," which explored the full variety of women's roles for the first time in French drama. Departing from Corneille's dramatic concept, which endowed women with "heroic" natures but which denied the primacy of love in their lives, Quinault saw that sexual passion was as strong a motivating force as heroic or political ambition, and just as productive of tragic drama. He conceived a new hierarchy of characterization, structured around three levels of female characters: the immortals, the consorts of heroes (who cannot be called heroines) and servants, each showing a different code of feminine behavior. Through these three levels, Quinault illustrates tragic love, decorous love, and a bid for emancipation from conventional relationships.

Quinault's new approach to drama spurred Lully to create more varied characterization and consequently a greater variety of musical styles than exist in his pre-Quinault works. In moving from collaboration with Molière in the *comédies-ballets*, to collaboration with Quinault in the *tragédies lyriques*, Lully too became a creator of woman-centered drama. This concept continued to influence the course of French opera up to and including Gluck.

#### VOLTAIRE AND RAMEAU'S *CASTOR ET POLLUX*

Charles Dill, Princeton University

The *mis-en-scène* of Rameau's 1737 *Castor et Pollux* did not resemble contemporary *tragédies lyriques*. Whereas operas like *Jephté*, *Scanderberg*, and

even Rameau's own *Hippolyte et Aricie* unfolded in series of dialogue recitative scenes, interrupted only by static *divertissements*, the dramatic structure of *Castor et Pollux* was laden with static chorus and monologue scenes; there were only a few recitative scenes in each act. Similarly, the plot placed little emphasis on confrontation. Instead of focusing on romance or heroes and villains, the 1737 story was didactic, stressing the resolution of moral dilemmas. An explanation for this unusual and ambitious approach to the *tragédie lyrique* lies in the abandoned *Samson* project Rameau undertook with Voltaire during the period 1733 to 1736. Scholars, most recently Catherine Kinzler, have noted Voltaire's plans to reform the *tragédie lyrique* with this project, copiously documented in his correspondence. However, none has noted that his plans presage the unusual features of *Castor et Pollux*. A comparison of poetic scansion in certain scenes from *Samson* and *Castor et Pollux* proves what has long been suspected: music from the Voltaire project was used in the 1737 opera. These were key scenes that set the tone for the entire work, confirming Rameau's control over dramatic structure. Rameau's desire to make use of previously composed music only partially explains the unusual features of the 1737 *Castor et Pollux*; Voltaire's notions of reform were clearly applied. Rameau was recognized as an innovator, but the structure of *Castor et Pollux* demonstrates an unexpected sympathy for conservative elements in contemporary discussions of operatic reform.

#### IPHIGENIA IN TAURIS, NEOCLASSICISM, AND REFORM

Julie E. Cumming, Wellesley College

Gluck realized his operatic ideals most fully in *Iphigénie en Tauride* (Paris, 1779). It is his most neoclassical work. The plot, closely modelled on Euripides, is "noble simplicity" itself, with four characters, no love intrigues, and a heroic friendship between Orestes and Pylades. The reforms Gluck had advocated in Italian opera--minimal distinction between aria and recitative, and integrated chorus and dance--resembled traditional features of French *tragédie lyrique*. Thus in France Gluck could finally compose within a tradition, rather than against one. The subject also allowed Gluck to draw on both his own experience as a composer and his knowledge of the Iphigenia tradition.

Iphigenia in Aulis had been proposed as an ideal subject for a reform opera by Algarotti (1735), and Diderot (1757), but the prestige of Racine's and Zeno's versions inhibited composition of reform operas on the subject. A 1757 Paris production (revived Vienna, 1761) of a starkly neoclassical spoken drama by Guimond de la Touche brought the story of Iphigenia in Tauris to the attention of reformers, and it became a popular subject for reform operas. A contemporary parody by Favart calls the play "*opera tout pur*," and *Ifigenia in Tauride* (Vienna, 1763) by Traetta and Coltellini was indeed the first reform opera to follow Gluck's *Orfeo* (Vienna, 1762). Another opera with the same title by de Majo and Verazi followed a year later (Mannheim, 1764).

When Gluck came to write his own *Tauris*, he selected from the three previous versions the episodes that were most effective dramatically, such as the storm overture (de Majo), Iphigenia's dream (de la Touche and de Majo), or Orestes' confusion of Iphigenia with Clytemnestra (de Majo and Traetta). He also drew on his own work. The dance of the furies in *Orfeo* inspired Orestes' visions of the Eumenides; Alceste provided a noble model for Iphigenia; and in *Iphigénie en Aulide* and *Armide* he mastered the *tragédie lyrique*. *Iphigénie en Tauride* is thus both the culmination of the Italian reform movement and a French *tragédie lyrique*, both an homage to Greek tragedy and a classic in its own right.

#### ITALIAN OPERA AND ARSON IN LONDON IN THE 1790S

Curtis Price, King's College, London

The London stage was in chaos during the last decade of the eighteenth century. Da Ponte's talents were squandered on pasticcios and substitute arias; Haydn's last opera was banned and never performed; theaters burned down in suspicious circumstances. Yet Burney and Mount Edgumbe called this the golden age of Italian opera in England. A recently discovered archive--which includes the complete financial and managerial records of two London opera houses as well as the private legal papers of the King's Theatre, 1789-1815--adds considerably to our understanding of this period and helps to solve several mysteries. The documents also provide important new information about Haydn, Salomon, Burney, Sheridan, Sir John Soane, J.M.W. Turner, the Storaces, and Mozart. The paper focuses on two questions: Was the Haymarket a court or commercial theater? How did the Prince of Wales become involved in a conspiracy to destroy "the finest opera house in Europe"?

### Elliott Carter's Recent Music

Bryan Simms (University of Southern California), Chair  
(commences at 10:30 A.M.)

### MULTILAYERED STRUCTURES OF ELLIOTT CARTER AND HART CRANE: SIMILAR CONCEITS IN DIVERSE MEDIA

James Bennighof, Baylor University

Often in the past century some innovative aesthetic premise or concept has received treatment in a variety of media. Elliott Carter, in discussing Hart Crane's epic poem *The Bridge* as a source of inspiration for his *Symphony of Three Orchestras*, has cited the importance of such a concept, the idea of "confusion" or "blurring of characters," in both works. This paper demonstrates the rich variety of ways in which the two works exhibit this idea, and shows how observation of its specific use in two media can enhance a critical assessment of the works that employ it.

The idea is examined in Crane's poem by drawing on contemporary literary scholarship as well as analysis from Crane's own correspondence. It is manifested in his use of a marginal gloss to create a second stream of thought during portions of the poem; his intermingling of American images from a variety of eras, cultures, and perspectives; and ways that critics have interpreted the form of the poem as constituting a convergence of disparate strands upon a final thematic statement (the last section of the poem, "Atlantis").

Carter's development of the same fundamental idea is shown generally through a summary of the multilayered scheme by which he distinguishes various musical characters. Specific details of the confusion or blurring of diverse movement-characters that results from this scheme are then examined with the aid of aural and graphic examples of pertinent excerpts.

The discussions of compositional technique in each instance provide a basis for evaluating the significance of the idea of confusion/blurring in each work; emphasis in this paper is placed on the *Symphony*. These conclusions take into account inherent differences between the media, and focus on such specific points of interest as the contrast between the somewhat static effect achieved by Carter's meticulous scheme and the dynamic effect of Crane's improvisatory, rhapsodic style.

### CARTER'S NEW CLASSICISM: FROM *TRIPLE DUO* TO THE OBOE CONCERTO

David Schiff, Reed College

Elliott Carter's recent instrumental works, *Triple Duo*, *Penthode*, the Fourth String Quartet, and the new Oboe Concerto mark a distinct phase in his oeuvre. For

the first time, Carter has composed a large group of pieces based on very similar structural premises. Each work is defined harmonically by a symmetrically constructed all-interval twelve-note chord, and rhythmically by a polyrhythm extending from beginning to end. Carter's usual technique of textural superimposition gives way to "co-operative" textures, which often recall classical obbligato counterpoint. His earlier collage or free-associational forms, still evident in *Triple Duo*, are replaced in the works that follow by simpler sectional designs. Yet formal discontinuity and simultaneous contrasts are still fundamental to these works; they have become the structural background for a new classical discourse at once lucid, humorous, and serene.

### SMT SESSION

#### Pedagogy and Cognition

Jeanne Bamberger (Massachusetts Institute of Technology), Chair

#### THE PERCEPTION OF RHYTHM IN NON-TONAL MUSIC: RHYTHMIC CONTOURS IN THE MUSIC OF EDGARD VARÈSE

Elizabeth West Marvin, Eastman School of Music, University of Rochester

Almost without exception, psychologists agree that listeners familiar with Western tonal music perceive musical rhythms in relation to equally spaced, internally generated beats whenever possible. Experimentation has shown that duration successions that can be understood metrically are more accurately perceived and reproduced by subjects than those that cannot be interpreted in terms of a beat-based hierarchy. Further, some experimenters have found that rhythms that contain no perceived beat are coded differently from those that do. In this latter strategy, listeners capitalize on the perceptual groupings of events in time, and detailed information about the durations of temporal intervals seem to be left uncoded. Nonbeat-based rhythms abound in non-Western musics and in Western music of this century. This paper develops a theory that models nonbeat-based rhythms as "rhythmic contours" of relative longs and shorts, drawing upon the discussions of temporal spaces appearing in the recent work of Robert Morris and David Lewin. A new type of temporal space is proposed here: a duration space (d-space) analogous to Morris's contour space, in which elements are ordered sequentially from short to long. After developing equivalence and similarity relations for duration successions in d-space, the paper concludes with a rhythmic analysis of music drawn from two works by Edgard Varèse, *Octandre* and *Density 21.5*.

#### A COGNITIVE MODEL OF MELODIC COMPREHENSION

Richard D. Ashley, Northwestern University

This paper integrates music theory, experimentation, and computer modeling to provide a basis for a unified model of a small-scale melodic listening task. The particular activity under consideration is that of skilled music listeners (professional musicians) learning melodies through repeated hearings. Within this framework, the study attempts to address several main issues: representation of salient aspects of the music's structure; representation of knowledge about music that a listener uses in comprehending the music, including both explicit and tacit musical knowledge; and representation of real-time control structures in music listening. The model itself, written in LISP and in KSM, a special language for representing musical knowledge, uses an interacting group of production systems or rule systems, each of which is an "expert" dedicated to some aspect of the music, and a set of schemata which serves as a model of musical structures, organized as a heterarchy at several levels of specificity. The model learns a melody upon repeated exposures to it in a

manner similar to that found in human subjects by manipulating melodic schemata. The relationship of this model to others' work is evaluated, especially with regard to theories of melody such as those of Lerdahl, Meyer, Narmour, and Gjerdingen, which depend on reduction or schemata as means for organizing musical structures in memory.

USING A PARALLEL PROCESSING MODEL TO GENERATE  
HIERARCHICALLY STRUCTURED PROBLEM SETS  
FOR EAR-TRAINING CAI

Paul E. Dworak, University of North Texas

This paper discusses an algorithm and a set of representations of diatonic and chordal intervals that makes possible the hierarchical generation of tonal harmonic progressions. Because the algorithm creates melodic and root progressions in parallel, and because it can emulate the parallel composition of contrapuntal lines, it accounts for the relationships that must exist between the vertical and the horizontal structures in tonal music. The algorithm functions by creating trees of chordal degree intervals that represent hierarchical subdivisions of a selected root interval. The size of the tree created depends on the length and the difficulty of the example needed. Once a tree of suitable size has been created, the algorithm maps chord degrees onto diatonic scale degrees. In so doing, it effectively divides melodic intervals into smaller intervals or into steps. At the same time it determines the root implied by the melodic division selected. This algorithm was designed to create harmonic progressions, but it also can generate melodies that have a functional harmonic structure. It can be extended to generate examples containing contrapuntal passages that do not imply functional harmonies.

USING CONNECTIONIST MODELS TO EXPLORE THE COGNITION OF  
COMPLEX MUSICAL SCHEMATA

Robert O. Gjerdingen, Carleton College

One way to sidestep the enormous difficulties plaguing the study of how people hear real music is to construct neurally inspired models that reflect some of the brain's architecture and parallel processing of information, models that can be taught to recognize complex musical patterns. This paper first describes the basic premises of such models: their network architecture, their abilities to solve complex and poorly defined problems, their similarities to (and differences from) the presumed abilities of the human brain, and the way these models are able to learn. The paper then describes a working computer model that has been taught to recognize the underlying schemata of typical Classical phrases. Of special interest is the way the model slowly learns to gauge the significance of dozens of musical features and their hundreds of interrelations. The model's response to actual passages by Mozart is used to illustrate the discussion. Finally, there are remarks on what the behavior of such models might suggest to us about the analysis of Classical music. In particular, the paramount importance to such models of processes of association and abstraction suggests that the type of analysis carried out in a listener's mind may be both less rigidly structured and more richly associative than the typical contemporary analysis allows.

JOINT AMS/SMT SESSIONS

Berg and Schoenberg  
Mark DeVoto (Tufts University), Chair

BERG, STRINDBERG, AND D MINOR  
David P. Schroeder, Dalhousie University

It is very evident from Berg's letters and other documents that literary influences had a fundamental bearing on his musical outlook. The one writer who emerges as having had a profound effect on him is August Strindberg, and the purpose of this paper is to show that a new interpretation of some of Berg's most prominent works can be achieved through an understanding of Strindberg's influence.

The factor which sets Strindberg apart from the numerous other writers admired by Berg is Strindberg's use of music as the structural or aesthetic basis for some of his plays. A notable example is Strindberg's use of the finale of Beethoven's Piano Sonata in D minor (Op. 31, No. 2) as the structural model for his play *Crimes and Crimes*. Berg wrote to Webern about this on 29 July 1912, saying that "this relationship of Strindberg to the music of Beethoven interests me tremendously." The key of D minor is of special importance to Strindberg, as many of the musical works which have a bearing on his plays are in that key. While tonality is generally not a prime factor in Berg's music, D minor is a key which occurs with some consistency, appearing in *Wozzeck* (final interlude), Op. 6, two songs of Op. 2, and *Der Wein*. It has been observed that D minor had a special significance for Berg, and his fascination with Strindberg provides crucial clues to an understanding of what that significance may have been.

BERG ON SCHOENBERG  
Nadine Sine, Lehigh University

One of the many tasks Berg undertook on behalf of Schoenberg's *Gurre-Lieder* entailed writing an analytic guide (*Führer*, Universal Edition, 1913), which cited and appropriated the vocabulary and chord symbols of Schoenberg's *Harmonielehre* of 1911 (e.g. a discussion of "floating" tonality). The guide went largely unappreciated; Schoenberg criticized it, and Universal found it long and complex. Berg then abbreviated the guide, cutting much of the prose and many examples, thereby producing the version usually found in libraries (*Kleine Führer*, [1914]). It functions as a thematic guide, but one which has been stripped of analytic insights, the prose rendered almost meaningless.

Berg revealed his attachment to the original guide and to analysis in general when he wrote his wife about Schoenberg's 1918 change of heart regarding the *Führer*: "Having read it again, he is quite enthusiastic about it...This 'vindication'...is very important to me, because I was very proud of my Guide, prouder than of all my own compositions. They are partly inspiration, after all, for which one is not fully responsible, whereas a theoretical analysis has to be wrestled out by hard brainwork alone." [*Alban Berg: Letters to his Wife*, 219].

Although both composers had, by this time, evolved beyond the musical language described in the *Harmonielehre*, Berg found it useful for studying the *Gurre-Lieder*. My paper examines the *Führer* on which Berg expended much time and thought--its methodology, examples, prose analysis--in light of and as a reading of the *Harmonielehre*.

SCHOENBERG'S METHOD OF ANALYSIS:  
HOW CAN WE UNDERSTAND IT?  
Severine Neff, Barnard College

Schoenberg's methods of analysis have until now been obscured by incomplete publication. With the forthcoming availability of the *Gedanke* (*Idea*) manuscripts and the 1917 manuscript *Zusammenhang, Kontrapunkt, Instrumentation, Formenlehre* (*Coherence, Counterpoint, Orchestration, Theory of Form*), it is possible to assess the nature of his method, a theory of form growing

out of the "organic" tenets of idealist philosophy and literary criticism starting with Plato's *Phaedrus*.

The 150-page *Gedanke* manuscript of 1934-36 represents Schoenberg's attempt to write a book on form and aesthetics. Here he discusses tonality and phrase structure as the creators of "organic form." He distinguishes the *feste* (fixed or stable) and *lose* (loose or unstable) forms such as the *Satz* (sentence) and the *Auflösung/Liquidation* (dissolution/liquidation). He traces the smaller parts growing into the stable and unstable forms such as the *Thema* (theme), *Gestalten* (shapes), *Grundgestalten* (basic shapes), *Eigenschaften* (characteristics), and *Motiven* (motives).

For Schoenberg, analysis grew out of composition. An analysis of Schoenberg's tonal song *Lockung*, Op. 6, No. 7, illustrates his method of analysis and demonstrates its close relation to his compositional procedures. He himself analyzed the song in *Structural Functions of Harmony*. The analysis of *Lockung* in the present paper follows Schoenberg's methods as outlined in the 1934 manuscript: the derivation of the "organic form" from the text; the use of the first bar as a *Grundgestalt* comprising three *Gestalten*; the growth of these *Gestalten* in stable and unstable forms; the relation of motivic control to tonality; functional analogies between phrases and *Gestalten*; and the consideration of *schwebende Tonalität* (suspended tonality).

#### THE SOUND OF SECRETS

Bruce Samet, Cranbury, New Jersey

The literature on Schoenberg contains numerous references and allusions to Schoenberg's possessiveness toward what he regarded as "secrets of composition": the notion, as Milton Babbitt has put it, "that somehow [he] endowed [his] music with secrets that made the music as great as it was--but you could never infer them from the music itself." Many of these "secrets" have, in fact, begun to become visible through contemporary analysis. Some recent work has suggested that Schoenberg's macrostructural plotting "secrets" may have been common both to his tonal and to his twelve-tone work, that his twelve-tone method itself may be, in its very nature, a manifestation of those same structural impulses, and--most notable of all--that his abstract twelve-tone materials can feed back in their actual composition to effect the perceptible articulation of "secret" aspects of "higher" levels of his structures. The present paper traces a circular path from consideration of his large-scale plotting procedures, down through a summary exposition of his apparent compositional process, and back up through analyses of concrete musical results and their effects in the projection of background characteristics to illustrate some ways in which this remarkable musical alchemy works.

#### Analytic Methodologies

Arnold Whittall (King's College, London), Chair

#### BEETHOVEN, SHAKESPEARE, AND THE *APPASSIONATA*

Thomas Sipe, University of Pennsylvania

"Beethoven is in music what Shakespeare is in poetry" ("Beethoven," *Encyclopedia Britannica*, Ninth Edition, 1875). This comparison reverberates through the entire history of Beethoven criticism. Specific works or passages by Beethoven have been persistently interpreted through allusions to works, passages, and even individual lines by Shakespeare. This paper examines three Shakespearean interpretations of Beethoven's *Appassionata* Sonata, Op. 57, which appear in Wolfgang Griepenkerl's *Das Musikfest oder die Beethovener* (1835), Arnold Schering's *Beethoven in neuer Deutung* (1934), and Donald Francis Tovey's *Beethoven* (1954). The composition and the Shakespearean comparison are treated

as constants, permitting a thorough investigation of the changing aesthetic premises upon which these three interpretations are based.

Griepenkerl's association of the sonata with *King Lear* is literary in context. It is characteristic of early nineteenth-century criticism, in which music and poetry are freely interrelated. Schering's study is scholarly; his premise is that Beethoven's reading of Shakespeare's *Macbeth* inspired the sonata. This exemplifies a historicist, biographical approach in which the composition is seen as an expression of the composer's personal experience. Tovey uncovers a similarity in dramatic structure between the opening movement of Beethoven's sonata and *King Lear*; his criticism arises from a modern, "formalist" position that regards sonata form as an inherently dramatic achievement.

Beethoven's music can admit all three interpretations, regardless of the various aesthetic biases they represent. By bringing these interpretations together and elucidating their distinct presuppositions, we are able to broaden our experience of the sonata as well as our understanding of musical hermeneutics.

ORLANDO DI LASSO'S PROLOGUE TO *PROPHETIAE SIBYLLARUM*:  
A COMPARISON OF ANALYTICAL APPROACHES  
William E. Lake, Bowling Green State University

In the sixteenth century, a movement characterized by Edward E. Lowinsky as "the musical avant-garde of the Renaissance" developed and gathered strength. Composers of this avant-garde broke with tradition in a number of ways, including frequent and distant modulation and extensive use of chromaticism within the church modes. One chromatic composition of this period, the Prologue to *Prophetiae Sibyllarum* (c. 1560) by Orlando di Lasso, has enjoyed considerable attention from modern analysts, including Lowinsky, William Mitchell, and Karol Berger. Each author has employed a different technique of analysis and, not surprisingly, has arrived at a different conclusion. These three approaches are compared and critiqued, leading to a discussion of the analytical methodologies appropriate for sixteenth-century chromatic music.

Employing multiple analytic techniques, a fresh analytical view of the Prologue is offered. Linear and rhythmic reductive analysis (derived from theories of Schenker), multi-level tonal implication analysis (derived from theories of Arnold Schoenberg), analysis of formal symmetry, and text hermeneutics work together to illuminate both the underlying structure and the colorful surface. Each technique complements the others, revealing different aspects of the work. This synthesis of techniques delineates a carefully controlled and tightly organized composition, using a limited repertoire of devices. Lasso's Prologue to *Prophetiae Sibyllarum* is a chromatically colorful yet formally and tonally coherent work.

THE THEORIST AS INTERPRETER:  
TWO READINGS OF DEBUSSY'S *ONDINE*  
Richard Justin, St. Louis, Missouri

A paradigmatic stance determines the possibilities and limits not only of an analysis but also of the work itself. This stance determines the parameters of a reading and in so doing eliminates other possible readings. To this extent an analysis as well as a performance is an interpretation of a score.

To explore this point of view two analytic interpretations are given for Debussy's Prelude, *Ondine*, both related to certain recorded performances. Each contributes to an understanding of the work, but not without engendering special problems. The treatment of the work as an extension of traditional tonal practice proposes a degree of coherence not fully supported by the surface events. Its treatment as an atonal structure requires us to "bracket" or dismiss obvious tonal elements. Both of these radically different readings of the same work are arguably in compliance with the score; each is supported by convincing performances.

It is demonstrated that the two ideas of the work are diametrically opposed and cannot be entertained simultaneously. On the other hand one does not exclude the other, because the adoption of one way of thinking about the work presumes the potential for the other by the act of exclusion itself.

RECONSTRUCTING A MUSICAL RHETORIC:  
JOSQUIN'S *DOMINE, NE IN FURORE TUO ARGUAS ME*

Leslie David Blasius, Princeton University

For the theorist, the music of the sixteenth century provides its own frustrations. Although we can speak of its "style" and the inventiveness of its composers, and although we can fix its intellectual and social circumstances, it seems to evade substantial analysis; its syntax is too local, too shallow, its compositional procedures too schematic. Perhaps the most appealing strategy for engaging this music lies in following the example of the seventeenth-century theorist, thereby recognizing this music as an essentially rhetorical art, and moreover an art wherein a musical rhetoric can to some degree be disentangled from its accompanying textual rhetoric. This insight can be taken a step further. The seventeenth-century theorist drew on a privileged technical vocabulary, phenomenally equating figures of speech with "figures" of music. Yet while this transliteration certainly had an evocative value, it was both limited by the boundaries of the rhetorical lexicon and undermined by the instability of rhetorical terminology. But these disabilities can be avoided by looking upon musical rhetoric not as a cultural artifact but as a theoretical construction, whose claims and whose symptoms distinguish it from musical syntax. Even without assigning terms from the classical rhetoric to musical events or perceptions, the phenomenal underlay of these events can be identified, described, and put forward as the basis for strategies of continuation. Heard in this respect, Josquin's *Domine, ne in furore tuo arguas me* exploits (in Quintilian's terms) a succession of rhetorical "blemishes"--repetition, elipsis, disjunction, and diminution--to generate extended, "supra-syntactic" musical spans.

FRIDAY, 4 NOVEMBER, 2:00 P.M. - 5:00 P.M.AMS SESSIONS

## Medieval Polyphony

Rebecca A. Baltzer (University of Texas, Austin), Chair

## OLD FRENCH ACCENTS IN THE POLYPHONIC CONDUCTUS

Louisa Spottswood, Philadelphia, Pennsylvania

The twelfth century was a time of rapid linguistic development in northern France, and the changing rhythmic patterns of Old French vernacular speech profoundly affected musical settings of texts in the polyphonic conductus, a northern French repertory, even though these texts are in Latin. Twelfth-century speech appears also to have had a seminal influence on the rhythmic structure of music written in modal notation, and on the rhythmic meaning of modal ligatures; the first rhythmic mode appears analogous to the pattern of Early Old French, while the second rhythmic mode appears analogous to Later Old French. Like their linguistic counterparts, the first and second modes and their variants emphasize upbeats and final accents more than has been generally recognized. Understanding the importance of final accents, which are particularly evident in the first mode, makes it possible to resolve certain problems relating to the transcription of those texted passages in the first mode where syllable change is isochronous (one syllable to a perfection), or less frequent. Problems in these passages can be resolved by changing such syllables at the end of their associated ligatures, rather than at the beginning as is now customary. This method yields transcriptions compatible with first-mode melismatic passages--where the beat falls at the end of ligatures--and seems to derive originally from a linguistic model. Examples from mensural as well as modal notation illustrate the intimate relation of musical style and Latin text-setting to the rhythmic idiosyncracies of the Old French vernacular.

## PETRONIAN TEACHING AND PETRONIAN PRACTICE: STYLISTIC CHANGE AND THE LIFE AND WORK OF PETRUS DE CRUCE

Glenn Pierr Johnson, Yale University

Petrus de Cruce, to judge from the testimony of his contemporaries, would seem to occupy a well-defined position in the stylistic changes of the late thirteenth and early fourteenth centuries. A skilled singer, composer, and theorist, he was apparently the first to place more than three semibreves within a breve and to divide large groups of these new note values with *puncta*. These features of his style are present in a number of motets, including two securely attributed to him, that constitute a distinct compositional current possibly linking the *Ars antiqua* and *Ars nova*. In spite of this seemingly circumscribed contribution, however, some discord has attended previous efforts to appraise not only his biography, but his compositional and theoretical innovations and their application in performance. Yet to be agreed upon is the extent to which his achievements diverged from the work of Franco or anticipated those most often associated with Philippe de Vitry.

Remedy can be sought in a careful review of old and new evidence describing the life and work of Petrus de Cruce. His sparse documentable biography suggests chronological and geographical spheres of activity that correspond in interesting ways with information about the peripheral or regional diffusion and compilation of music. Various remarks of contemporary theorists and later Medieval writers attest to the impact of his music and teaching on the musical thought promulgated, if not originated, by Franco. They enable the identification of treatises within the Franconian tradition that contain Petronian teaching and possibly reflect the contents of a treatise of mensural music authored by him. Moreover, they

are witnesses to the reception of Petrus' music and teaching, and suggest the context and way in which his and others' music was performed. From a more precise delineation of his activity and work proceeds the study of motets associated with his teaching and their relation to works preserved with them in specific sources.

#### DANCE LYRICS FROM ADAM DE LA HALLE TO GUILLAUME DE MACHAUT: THE GENESIS OF THE POLYPHONIC CHANSON

Lawrence Earp, University of Wisconsin, Madison

This paper calls on evidence from the history of dance, literature, and music to treat a decisive moment in the history of the chanson: the development in the early fourteenth century of a polyphonic chanson style that would remain valid for one hundred and fifty years. The development is treated as a two-stage process: (1) the application of the advanced rhythmic principles of the *Ars nova* to the dance lyric, and (2) the transformation of the early dance lyric into the fixed forms, no longer suited to the dance, often not set to music at all.

In the late thirteenth century, two of the several lyrical genres were quite distinct, the *grands chants*, the elevated courtly lyric of the *trouvères*, and the dance lyrics, poetry set to monophonic melodies for courtly dancing. Dance lyrics were rhythimized metrically, while the *grands chants* were not. In the early fourteenth century, rhythmic innovations that had earlier been applied to the motet were applied to the dance lyric, now too elaborate musically to be danced. The artistic prestige and sophistication of the new form, associated by contemporary testimony with Philippe de Vitry, contributed to the demise at court of the older *grand chant*.

The *formes fixes*, particularly the ballade, developed into forms suitable for exalted courtly utterances; and a new musical style for the fixed forms, characterized by a highly melismatic upper voice coupled with an untexted tenor (and later a third voice), appears just before 1340, exactly the point when the metrical schemes of fixed-form poetry were finally consolidated. This development is associated with the prestige and authority of Guillaume de Machaut.

#### THE FLORID TRADITION IN *TRECENTO* FLORENTINE MUSIC

Blake Wilson, Colby College

The focus of this paper is a group of unusually florid songs among the eighty-eight monophonic *laude* of the early fourteenth-century Florentine *laudario* Mg1<sup>1</sup> (Florence, B.N. Banco Rari 18). The author wishes to propose and explore the hypothesis that these melodies reflect a local, Florentine tradition of florid singing which first appears in the sumptuous, noted Florentine *laudarios* of the early fourteenth century. This florid style was established throughout the city under the special conditions of the Florentine *laudesi* companies: the growing opulence of their vernacular liturgical services (based on *lauda* singing), the competition for bequests, and the expansion of musical activity evident in the hiring of professional singers and instrumentalists (the *laudesi*), the copying of *laudarios*, and the "composition" of newer, more florid *laude* in honor of special patron saints. Selected examples from Mg1<sup>1</sup>, particularly from among those florid melodies that are preserved in simpler, more syllabic versions in the late thirteenth-century Cortona *laudario*, will be analyzed to demonstrate the nature of this style. Furthermore, striking similarities of melodic style between these florid *laude* and the more indigenous polyphonic repertory of Florentine *trecento* madrigals and caccias recall Kurt von Fischer's view that this *trecento* polyphony arose "from an originally instrumentally accompanied monody" (1961). Music examples and external evidence (*contrafacta*, the musical practices of the *laudesi* companies, and the mutual involvement of key Florentine poets and musicians) will be presented in an effort to demonstrate a link between these two repertories.

**The Music of Carl Philipp Emanuel Bach**  
Jane Stevens (Yale University), Chair

**HOW MONEY INFLUENCED C.P.E. BACH AS A COMPOSER**  
Stephen L. Clark, Saratoga Springs, New York

C.P.E. Bach has a notorious reputation as someone who was obsessed with money. This paper will examine the influence of money on Bach's compositional decisions with particular reference to one genre of his choral works.

In his autobiography and in a letter to Johann Christoph Kühnau, Bach makes a clear distinction between works intended for the public and those intended for personal use. This distinction implies that works Bach intended to sell were composed with the market in mind. However, a number of his prints did not sell particularly well. He even published his cantata *Die Auferstehung und Himmelfahrt Jesu* knowing in advance that it would probably be a financial disaster. There are clear cases of printed works composed for a specific market, but there are also many examples where financial considerations were far less significant.

A more direct connection between compositional decisions and money occurs in the choral works Bach composed for specific occasions during his tenure as music director in Hamburg. For example, he was paid extra for composing new music for the inauguration of a pastor. My study of the payment records for these works clarifies when he composed new cantatas and for what occasions. Further study of the libretti reveals that he performed the inauguration cantatas on later occasions when there were no funds for a new composition. In eighteenth-century Hamburg, there was a price to be paid for originality.

**C.P.E. BACH'S COMPOSITIONAL PROCESS: THE "PROOFREADING"**  
**THAT NO ONE ELSE COULD HAVE DONE**  
Pamela Fox, Miami University

C.P.E. Bach shared with his father a restless sense of perfectionism when returning to copy or look over a previous work in a process of mental review. The telltale signs of this post-compositional scrutiny stem from Bach's desire to exercise control over all aspects of his output and from his continual search for perfection of detail. Whether proofreading in the usual sense of checking the accuracy of a copy or in the more general sense of proofing the music against his constant mental image of its perfection, this process produced further compositional changes, mainly as alterations in surface detail rather than large-scale grammatical corrections. The modifications which resulted from this compositional "proofreading" are manifest in autographic insertions in copyists' manuscripts and in several calligraphic layers in many of Bach's own autographs. This paper will focus on the evidence of compositional proofreading in several autographs of works designated in Bach's estate catalogue as "erneuert" in the 1740s. Despite Bach's formal indication that he had renewed or revised these works and desired the later versions to be substitutions for earlier efforts, he returned after subsequent consideration to make further changes. Detecting and evaluating Bach's compositional proofreading constitutes a vital link in our understanding of his entire philosophy and has far-reaching significance for source evaluation, textual criticism, and editing.

**THE TRANSMISSION OF C.P.E. BACH'S MUSIC**  
E. Eugene Helm, University of Maryland, College Park

At first glance it might seem that after and even before C.P.E. Bach's death a significant part of his music suffered the same misrepresentation and inflation that befell much other music of his and earlier periods. Some almost comical examples stand out in any study of the sources of his works: Marpurg's editions in which

independent movements are combined to create larger "compositions"; Rellstab's editions in which a single movement is divided like an amoeba to make two movements; the suggestions in the *Allgemeine musikalische Zeitung* in the first half of the nineteenth century that performing forces be increased for Bach's music; Zelter's transformation of the two-choir *Heilig* into a work for three choirs, and his rationale for making the change; Bitter's and Dittberner's overcredited song editions; Bülow's and Riemann's fanciful keyboard editions, as contrasted with the sober keyboard editions of Farrenc, Krebs, Baumgart, the long debate over "harmonische Ausfüllung," especially from Baumgart in 1870 to Stülz in 1931; the gradual arrival of a meticulous historicism, as in Steglich's 1942 symphony editions. The aberrations in the transmission of Emanuel Bach's music were of course a product of the same impulses that misrepresented such composers as Corelli, J.S. Bach, Handel, and Haydn, and such arts as literature, painting, and architecture.

But a closer look shows that despite such vicissitudes the bulk of C.P.E. Bach's music has come down to us in remarkably intact form, partly because of the safe obscurity into which it quickly fell after Bach's death, and partly because of the obsessive concern, at the end of his life, that it be carefully listed for posterity. The present resurgence of interest in his music is matched, then, by the prospect of a straightforward and uncomplicated editorial restoration of that music.

THE MUSIC OF C.P.E. BACH: LOST AND FOUND  
Rachel W. Wade, University of Maryland, College Park

Since the death of Carl Philipp Emanuel Bach, scholars and editors of his music have based their work on the manuscript sources available to them. Since these sources have had a history of being lost and sometimes found again, each writer's conclusions have to be viewed remembering what was available at the time. There are many causes for this state of affairs. The composer deliberately withheld some of his works from circulation, limiting the number of copies and thus increasing the role of chance in the preservation of a work. Unsettled conditions during wartime led to loss or displacement of sources. Lack of information about probable private owners hindered efforts to evaluate sources known to exist from auction catalogues. Even manuscripts in the major research libraries of Europe have been lost or have disappeared for a time.

In 1986 I found a large collection of manuscript sources in two libraries in Berlin, a collection largely unknown to previous writers because of the way in which it was catalogued. While most of this collection consists of manuscript copies of known works, there are autograph manuscripts for two keyboard pieces. There are also several works attributed to C.P.E. Bach not previously known: a canon in G, a cantata, two sonatas for flute and bass, a prelude and fugue for organ, a song, and two character pieces. Decisions regarding the authenticity of these works can generally be made on the basis of the primary sources available regarding the composer's output.

C.P.E. BACH AND THE *EMPFINDSAME WEISE*  
Darrell M. Berg, St. Louis Conservatory

The label *empfindsam* has been liberally applied to north German instrumental music of the mid-eighteenth century. This usage of the label belongs to the twentieth century; unlike the word *galant*, *empfindsam* does not seem to have been employed in the eighteenth century to evoke particular aspects of an instrumental style. Some eighteenth-century sources in which the word *does* refer to musical style indicate that the label *empfindsam* was associated then with vocal music, primarily with music to be sung in the home to keyboard accompaniment. A considerable literature of *Klavierlieder* published in the last half of the eighteenth century attests the vogue of the *empfindsame Weise*, the origin of which may be

traced to the Berlin *Lieder* "school" of the 1750s and 1760s. C.P.E. Bach contributed songs to the earliest anthologies of Berlin *Lieder* and continued to publish songs throughout his career--anacreontic *Lieder*, satirical odes, and spiritual *Lieder*--drawing critical acclaim for the originality of his essays in this genre.

The preface to the first Berlin anthology, *Oden mit Melodien* (1753), offers stylistic guidelines for *Lieder*: their music should have symmetrical periodicity and simple harmony, should suit the *Affekt* of the text, and should be easily singable. Many of C.P.E. Bach's songs display asymmetrical phrases, pungent modulations, and elaborate melodic twists that patently exceed the modest limits generally observed by his contemporaries. Even those songs that appear to conform to the rubric of the preface of 1753 contain subtle departures that surely endeared these works to *Kenner* as well as *Liebhaber*.

**Nineteenth-Century Critical Thought**  
R. Larry Todd (Duke University), Chair

PRESENTIMENTS OF THE COLOSSAL: E.T.A. HOFFMANN AND  
THE CRITICAL TRADITION OF SYMPHONIC DRAMA  
Stephen Parkany, Amherst College

In 1797 Goethe and Schiller adopted the Italian term *motivo* (denoting the principal melodic idea of an aria) for dramatic criticism, with the rich dynamic connotations associated with "melody" at the time. Soon afterwards Hoffmann's celebrated Beethoven reviews of 1810-1813 returned the favor with interest. Hoffmann adapted the subtle metaphorical language of Scriptural, Aristotelian, and related dynamic traditions (in the suggestive example quoted in the title, that of fantastic mythology) back to symphonic criticism: an early high-water-mark in the genre (and long unmatched). I trace precedents in the musical writings of Rousseau, Herder, Webb, Alison, and Michaelis (all concerned with the dynamics of melody), and explore Hoffmann's strong though limited influence upon disparate successors ranging from Marx to Schumann and Wagner, and on to the belated "comprehensive" dynamic paradigms of Schenker, Kurth, and Halm after the turn of the century. Primarily, however, I freshly examine Hoffmann's fluent opposition of such dynamic metaphors as "presentiment of the Colossal" ("the Colossal" is a dimension which cannot be achieved, but only longed for; the phrase refers to a brief passage in the Fifth Symphony first-movement development) to the current formal organicism of Schubart and Koch. Hoffmann's lasting stature derives from this iconoclastic mode of "deconstruction" that poses the symphonic experience in a more dynamic and more vivid light.

MARXIAN PROGRAMMATIC MUSIC: A STAGE IN  
MENDELSSOHN'S MUSICAL DEVELOPMENT  
Judith Silber, West Newton, Massachusetts

A.B. Marx, whose name is most closely associated with the explication of musical form, spent the first several years of his journalistic life explicating music's content. An impassioned advocate of programmatic music and programmatic interpretations of "abstract" works, Marx saw his mission as two-fold: to ignite public enthusiasm for the works of Beethoven, in particular the symphonies, and to influence the newest generation of composers, among them his "Duzfreund," Felix Mendelssohn.

Mendelssohn wrote or conceived the bulk of his programmatic music between the years 1824 and 1830, the period of his most intense friendship with Marx. Following Marx's suggestions, Mendelssohn incorporated musical representations of the play's various characters--Bottom, the fairies--into his *Overture to a Midsummer Night's Dream* (1826). Two years later Marx hailed Mendelssohn's *Calm Sea and Prosperous Voyage* (1828), a musical representation

of two Goethe poems, as the culmination of music's development. Within two more years, Mendelssohn had composed his most thorough example of musical storytelling, the *Reformation Symphony*.

During these years of friendship, Mendelssohn and Marx shared thoughts on composition. Through the many feature articles and reviews that appeared in Marx's *Berliner Allgemeine Musikalische Zeitung*, and his polemical monograph *Über Malerei in der Tonkunst*, we may eavesdrop on their conversations. Marx pleaded for composers to exploit the ability of music, and particularly the symphony, to represent characters and tell tales. Mendelssohn listened.

#### BRENDEL'S TAKE-OVER OF SCHUMANN'S *NEUE ZEITSCHRIFT*: NEW SOURCES AND INSIGHTS

James A. Deaville, McMaster University

In November, 1844, Schumann successfully concluded negotiations over the sale of the *Neue Zeitschrift für Musik* to Franz Brendel, who in the course of the following five years completely transformed the journal. Despite the significance of this editorial succession, no scholar has yet investigated either the details surrounding the sale or the changes it brought to the *Neue Zeitschrift*. The present study proposes to fill this lacuna by examining the take-over from a historical, philosophical, and literary perspective. The principal sources comprise the substantial unpublished correspondence of Brendel (including his letters to Schumann), as well as unpublished letters by his colleagues at the journal, the newly published *Haushaltsbücher* of Schumann, and the pages of the *Neue Zeitschrift* itself.

The paper will initially examine these primary sources to determine for the first time a correct chronology for the sale and to explain Schumann's rather surprising choice of Brendel as his successor. From the evidence of the letters and the journal, it will then be shown how, subsequent to the purchase, Brendel quickly and purposively established his own philosophical and musico-political agenda at the journal. The radical effect that these changes had on the journal will be highlighted by a concluding summary comparison of editorial policies, aesthetic principles, and literary style in Schumann's and Brendel's *Neue Zeitschrift*.

#### "RITTER BERLIOZ IN BRAUNSCHWEIG": A RADICAL ENTERS GERMANY

David B. Levy, Wake Forest University

It is hardly surprising that Hector Berlioz's first tour of the musical capitals of Germany in 1843 unleashed a flood of controversy in contemporary journals. But little scholarly attention has been paid to this important area of *Rezeptionsgeschichte*. Convinced that a tour of Germany would be the logical next step for his compositional career, the French master turned his sights eastwards in hope of cultivating sympathetic audiences by directing concerts of his music.

But was his optimism justified? How well known, prior to his tour, was his music to German musicians, audiences, and critics? Did the Germans share in his self-perception as their spiritual kinsman? The reviews in the Leipzig *Allgemeine musikalische Zeitung* and in the *Neue Zeitschrift für Musik* begin to provide an answer to these questions. A further little-examined document, Wolfgang Robert Griepenkerl's pamphlet, "Ritter Berlioz in Braunschweig," stands at the center as a touchstone for the controversy over the introduction of the Frenchman's radical style into Biedermeier culture. It may be viewed as the first important aesthetic polemic concerning Berlioz to arise from his tour.

The publication of "Ritter Berlioz in Braunschweig" inaugurated a long and warm friendship between its author and the composer as revealed in the *Correspondance Generale de Berlioz*. A study of the pamphlet itself, of the German

reviews that instigated its writing, and of Berlioz's letters, sheds light not only on how Berlioz's music was perceived by Griepenkerl, but also on the composer's own perception of his emerging musical style. Of further benefit is the insight that these documents provide into our modern understanding (or lack thereof) of musical nationalism and internationalism in the nineteenth century.

FÉTIS CONTRA WAGNER: A STUDY IN  
NINETEENTH-CENTURY MUSIC CRITICISM

Joël Galand, Yale University

This paper focuses on Fétis' 1852 essay on Wagner which appeared in the *Revue et gazette musicale de Paris*. Unlike most Frenchmen of the time, Fétis was familiar with *Tannhäuser* and *Lohengrin*, and his review, a withering attack on Wagner's music and aesthetic theories, was among the first extensive articles on Wagner to appear in the French press. Although Fétis was a conservative critic, his insights are not necessarily invalidated by his prejudices. In the wealth of aesthetic issues it raises, the article represents not only a milestone in the reception of Wagner, but also a fascinating document in the history of music criticism. For instance, the passage in which Fétis denounces Wagner's critique of the "monumental artwork" embodies the tension between historical awareness and creative originality which emerged in music in the nineteenth century. Wagner's strategy in *Opera and Drama* is to create a fictitious past in relation to which he can be both origin and end. Attacking Wagner's modernist stance, Fétis denounces progress as a positivist illusion and sets up the contemplative attitude of classical aesthetics as a critical paradigm. Ultimately, Fétis unmasks Wagner's apparent originality as an impoverished recreation of reforms already initiated by Gluck. Fétis' depiction of Wagner as regressive and positivistic runs counter to the common view of the composer as arch-Romantic and boldly innovative while anticipating in part the position of certain twentieth-century critics, such as Barzun and Adorno.

Lulu, Elektra and the Weimar Republic

Leo Treitler (Graduate Center, City University of New York), Chair

REPRESENTING LULU:

FÉLICIEN CHAMPSAUR, FRANK WEDEKIND, AND ALBAN BERG

Jenny Kallick, Amherst College

Working in the English circuses during the early nineteenth century, Lulu Crastor became known throughout Europe as the first important female clown. Having left no memoirs, Lulu's memory was sustained through circus lore, which records her as a superb dancer and striking beauty. Félicien Champsaur (1858-1934), a prolific Parisian critic and author, became fascinated with Lulu Crastor, the mysterious dancer and clown, and appropriated the story into his fictional works. Champsaur, playing on the popular nineteenth-century image of dancers as high-class prostitutes, transformed Lulu Crastor's memory into that of *Lulu, clownesse danseuse*, a woman sexually on display in her profession, and sexually available in her private life.

Frank Wedekind, discovering Champsaur's *Lulu, clownesse danseuse* when he arrived in Paris in 1891, took on Lulu as the subject for his next dramatic projects, *Earth Spirit* and *Pandora's Box*. Alban Berg, having first encountered Lulu in a private performance of *Pandora's Box* in 1905, condensed Wedekind's two Lulu plays to create the libretto for his second opera. The musical texture of *Lulu* is filled with the characteristic dance rhythms that reflect the ebb and flow of Lulu's seductive power. Even when dance is not part of the action or not referred to in the text, Berg continues the metaphor of dance to create a stream of musical consciousness that functions independently of the more conspicuous structural boundaries of sonata, variation, or rondo form.

My paper will expand on a series of musical and textual examples that illustrate how the dimension of dance and its imagery, imbedded in Champsaur's and Wedekind's portrayal of Lulu, is of much greater significance in Berg's choice of musical materials than has been previously recognized. Exploring beyond the often-cited English waltz in Acts II and III, I will illustrate the numerous ways in which Berg employs dance rhythms to signify Lulu's dramatic struggle, and I will demonstrate how the succession of these dance metaphors expresses the course of Lulu's personal dramatic turn from triumph over Dr. Schon to defeat by Jack the Ripper.

#### LULU'S AMERICAN RELATIONS

Robert Estrine, Graduate Center, City University of New York

The particular image expressed in Wedekind's characterization of Lulu reflects, to borrow Treitler's words, "an ambivalent vision of Woman that is probably as old as mankind, and that seems universally socialized.... Widely known in the Romantic era as the *femme fatale*,...it is recognizable in the art, literature, and mythology of virtually all times and places."<sup>1</sup> It is not at all surprising, then, that this archetype makes her appearance in the popular music of late nineteenth- and early twentieth-century America. When, however, she appears repeatedly with the name Lulu, interesting questions arise concerning the meaning and significance of the name and character, as well as the origins and possible influences of an American genre of Lulu songs. I shall address these questions by studying the appearance of characters named Lulu in American ballads and folk songs, plantation and frontier songs, songs for the musical theater (from minstrelsy to the Broadway stage), and popular songs and jazz tunes, all of which were sung during the half-century between 1885 and 1935.

From the wide range of examples, it is evident that by the 1890s a Lulu character, based on a stereotype that had developed within the American folk tradition, was fully formed and well-established in the repertory of American popular song. Could it be that Wedekind's most memorable character has American blood in her veins? An almost eccentric curiosity for Americans and things American led Wedekind to develop a vision of the New World and its inhabitants that shaped many of the characters, settings, and situations in his literary works. While various aspects of Wedekind's biography might support the possibility of a direct American connection, it would be misleading to view such a connection as an explanation of the Lulu character, *per se*. Rather, the many appearances of the type (and the name) on both sides of the Atlantic reflect responses to "psychological and social conditions that are in some degree, at least, as universal as consequences of the human condition."<sup>2</sup>

[<sup>1</sup>Leo Treitler, "The Lulu Character and the Character of *Lulu*" (Unpublished typescript, 1986) 13-14, 16. <sup>2</sup>*Ibid.*, 17.]

#### HUGO VON HOFMANNSTHAL, RICHARD STRAUSS, AND THE EVOLUTION OF *ELEKTRA*

Bryan Gilliam, Duke University

Nearly eight decades separate us from the première of Richard Strauss's *Elektra* in 1909, yet facts about the genesis of this operatic mainstay have remained obscure. *Elektra* not only firmly established Strauss as the most prominent German opera composer of his day, but also marked the beginning of his important collaboration with the poet-librettist Hugo von Hofmannsthal. It is, thus, ironic that specific information pertaining to *Elektra's* inception has remained so sketchy. Whereas the composer had dated many of the sketches and the *Particell* of *Salome*, such is not the case with *Elektra*; the fact that Strauss's work on the latter was

plagued by certain interruptions adds further complications. My recent research at the Bayerische Staatsbibliothek (Munich) and the Richard-Strauss-Archiv (Garmisch) has made it possible to reach some important conclusions on these and similarly unresolved issues.

Secondary sources pertaining to *Elektra* generate more questions than answers about the evolution of the opera: When did the composer first see Hofmannsthal's play, when did he actually begin composing, how did the score evolve as he wrote to his librettist, how did he solve particular problems and make the necessary decisions to arrive at the work we now acknowledge as *Elektra*? Before now scholars have unfortunately only had the Strauss-Hofmannsthal correspondence to rely upon for the background of *Elektra's* origins--yet these cordial letters fall short of an adequate chronology of events.

The aim of my paper is to put an end to years of misinformed speculation about *Elektra's* inception. I have at last been able to construct an accurate chronology of the evolution of the opera and evaluate certain creative decisions Strauss made at crucial steps within that evolutionary process. This new understanding of the genesis of the work is based on a few recently published letters, but more importantly on unpublished correspondence from Strauss to his family and friends, on the composer's own unpublished diaries, and on other documents at the Richard-Strauss-Archiv.

BUSONI'S MASTER CLASS: AN EXAMPLE OF  
MUSIC EDUCATION IN THE EARLY WEIMAR REPUBLIC  
Tamara Levitz, Eastman School of Music, University of Rochester

In the turbulent early months of the Weimar republic, the newly reassembled Prussian Ministry of Arts in Berlin appointed Leo Kestenberg as their consultant on musical affairs. Basing his work on socialist principles, Kestenberg instigated a radical reform in music education throughout Prussia. Although the "Kestenberg reforms" entailed the appointments of Hans Pfitzner, Franz Schreker, and later Arnold Schoenberg to teaching positions in Berlin, it was Ferruccio Busoni who best represented the Kestenbergian ideals of music education. In 1921 Kestenberg persuaded Busoni, his former piano teacher and a profound artistic influence, to return to Berlin in order to teach a weekly master class in composition at the *Akademie der Künste*. Disseminated by students such as Kurt Weill, Philipp Jarnach, Luc Balmer, and Wladimir Vogel, Busoni's artistic philosophy spawned a fundamental school of musical thought in the 1920s. Nevertheless, a complete account of Busoni's master class has never been attempted, even though Kestenberg's reforms have been documented and analyzed in detail. Recent research on Busoni has evaded discussion of both his composition class and his musical philosophy. Uncertainty even remains as to who actually attended the class in the three years of its existence from 1921 to Busoni's death in 1924.

I determined the nature and scope of Busoni's master class by examining original documents found in the Busoni Archive in East Berlin, in the Weill-Lenya Foundation in New York, and in the Busoni Collection and Heinz Tiessen Archives at the *Akademie der Künste* in West Berlin. A study of several student assignments, including Busoni's corrections of Kurt Weill's first symphony (scored for two pianos), Luc Balmer's orchestration of Mozart's *Piano Concerto in C minor*, K. 491, and Wladimir Vogel's setting of Goethe's poem, *Die Bekehrte*, enabled me to gain insight into Busoni's methods of teaching composition. Further materials such as memoirs, newspaper and magazine articles, and school records helped to recreate the content and artistic philosophy of Busoni's classes. This study revealed the important implications of Busoni's teachings for musical thought and practice in the early Weimar Republic.

## SMT SESSION

Schenkerian Studies  
Harald Krebs (University of Victoria), Chair

THE DEVELOPMENT OF HEINRICH SCHENKER'S FORM THEORY  
Joël Galand, Yale University

Despite the steady growth of Schenkerian scholarship, no extensive study of Schenker's form theory has yet appeared. This paper focuses on the development of Schenker's theory of form from the *Ninth Symphony* monograph, which is still largely based on traditional formal divisions and periodic construction, to the final chapter of *Free Composition*. Of particular interest are the essays of the 1920s, in which Schenker gradually came to the conclusion that diminutions deployed over large spans generate form. One issue to be considered is the difficulty of coordinating voice leading and diminution with formal articulation, a problem with which Schenker frequently struggled in his later writings. A related issue concerns the conflicting alternatives which Schenker proposed for interpreting the formal structure of certain types of compositions, such as sonata forms in minor keys. Schenker's treatment of these and other formal questions is a neglected but essential aspect of his writings. This paper suggests a few ways in which Schenker's mature form theory might serve future musicological research, particularly in the history of styles and genres. Schenker's disentanglement of form and genre and his use of extended diminutions to distinguish between forms should prove advantageous.

THE STRUCTURAL SUPER-SPACE AND OTHER MIDDLEGROUND  
GENERATORS OF DESIGN IN MAHLER'S *DER ABSCHIED*  
J. Randall Wheaton, Yale University

A recurrent adjective used to describe a number of Mahler's symphonic movements is vast, and it is understandable that Schenkerians, who well know the demands of modestly proportioned art works, have been reluctant to confront expansive Mahlerian landscapes.

*Der Abschied*, the sixth and final movement of *Das Lied von der Erde*, is such a landscape, and this paper demonstrates the extraordinary technique Mahler invokes to maintain tonal coherence over this movement's immense span of musical time. Although the primary tone is  $\mathbb{5}$ , the ultimate fate of a number of descending middleground motions, some occurring at exceedingly high architectonic levels, is a return of the structural upper voice to  $\mathbb{4}$  rather than the primary tone. This elevates  $\mathbb{4}$  to a special hierarchical status, and the tonal space that it occupies is called a structural super-space in this paper. The preeminence of this scale step is a key factor in the formal scope of this movement.

Also at issue is the pentatonic collection. For over seventy years, theorists, musicologists, and critics have cited instances of the pentatonic set and have noted that it generates an atmosphere of musical *chinoiserie* appropriate to the text. The question of how the pentatonic set and certain of its subsets function within the realm of tonal syntax and grammar, however, has been routinely ignored. This paper identifies some of these purely musical roles, both on the foreground and at higher levels of structure.

SYSTEMATIC DISCONTINUITY IN SCHENKER  
Gregory Proctor, Ohio State University

A developed model of Schenker's theory distinguishing among the kinds of content appropriate for each of the three stages of structure has been proposed. Two

theoretical problems emerged from this model: first, the fit of the details of the theory into place; second, the difficulty of the mapping of the theory of tonal structure onto what amounts to a separate system of notation.

An example of the first problem is in the definition of procedures suitable to the first level of the middleground. These procedures fall into three categories--one content-generating, the other two harmonic-transforming. Among the latter are unfolding and reaching-over, both requiring not only some prior generation of inner voices but also some linear content within such voices. Yet Schenker proposes the possibility of these procedures on the first level of structure.

Graphs by Schenker are fertile for the understanding of his theories, but there are divergences between graphs that make explicit reference to levels and the definition of suitable content for those levels. An example is the graph of Bach's "Ich bin's, ich sollte büßen," whose notational first level includes an explicitly second-level neighbor while postponing a descending line of the first order to the next level. Yet this analysis is among the clearest uses of analytic notation in all of Schenkerian literature.

This paper assumes that the notational system is widely taken to be the primary indicator of Schenker's theory of tonal structure, at the expense of his verbal formulations. It defines analytic notation and theory proper as separate systems to be interpreted in light of one another.

## JOINT AMS/SMT SESSIONS

### Recent American Composers

Robert Cogan (New England Conservatory), Chair

#### A QUESTION OF TECHNIQUE: THE SECOND AND THIRD PIANO SONATAS OF ROGER SESSIONS

Judy Lochhead, State University of New York, Stony Brook

In the middle of his compositional career, Roger Sessions adopted the twelve-tone technique. He was careful to point out that "like any other technical principle, [serial technique] yields nothing in itself," and that the "music"--the musical ideas, their nature, and their working out in formal designs--transcends any particular method of composing. Such a position allowed Sessions to lay a personal claim to all his music.

This paper argues, contrary to Sessions, that compositional technique is not essentially distinct from its "musical" products, and that Sessions' adoption of the twelve-tone technique effected a change in his "music." This position will be developed from evidence in the music of Sessions' Second and Third Piano Sonatas and in Sessions' writings about music.

The Second Sonata was completed in 1946 and the Third almost twenty years later in 1965; Sessions adopted serial technique in the mid-fifties. Analytical observations of the first movements of each sonata will demonstrate differences between the sonatas in the nature and conception of musical ideas, the continuation and development of ideas, and the kinds of formal designs they engender; these differences will be correlated with compositional technique. Some consideration will be given to the difficulties of distinguishing between compositional differences due to a composer's growth in twenty years and those due to technique.

Further evidence for the effect of technique on musical thought will come from Sessions' writings about music. The book *The Musical Experience of Composer, Performer, Listener* was written a few years after the composition of the Second Sonata, and the book *Questions About Music* was written a few years after the composition of the Third Sonata. In both books Sessions writes about matters pertaining to musical structures and strategies, and in both cases, what he writes

about music is pertinent to the music he composes. Relevant here are changes in his notions of "musical idea" and "musical train of thought" from the earlier to the later book, changes that can be correlated with different musical conceptions in the two sonatas.

HARRY PARTCH'S ROAD TO *BARSTOW*  
Richard Kassel, City University of New York

The first of Partch's "compositions on Americana texts," *Barstow* is a setting of hitchhikers' inscriptions found by the composer in California in 1940. The first version, composed in 1941, was scored for voice and a guitar with frets adapted to just intonation, Partch's preferred tuning system. By 1968 and the Columbia recording, the scoring had evolved into a setting for two voices and instruments drawn from the ensemble built by Partch to make feasible the music governed by his theory and aesthetics.

*Barstow* is a crucial work in Partch's development, coming after nearly a decade of compositional silence and personal crisis. This paper examines *Barstow* and a number of its diverse influences: Partch's earlier music, mostly settings of Chinese poetry for voice and adapted viola (1930-1933); a trip to Great Britain (1934-1935); the Depression years, difficult years mitigated by the discovery and notation of American "speech-music" among the hoboes he met while traveling; and Partch's gift of a truly American quality to the historical notion of the troubadour.

In its subsequent revisions, *Barstow* was altered to reflect Partch's changing aesthetic, moving from the "Monophonic" ideal of the "One Voice" towards the "Corporeal" ideal, derived from Greek tragedy, of a communal, ritualistic theater of movement, sound, and sense. Yet there remained at the work's core Partch's lifelong interests in "pure consonance" and in a non-abstract, tonal music, although the theoretical basis and means to accomplish his goals evolved considerably, as will be demonstrated, in part, through recorded excerpts of various versions.

ON THE ROLES OF STRUCTURE, INTENTION, AND THE SUBCONSCIOUS  
IN MORTON FELDMAN'S  
*VERTICAL THOUGHTS 5* (1963)

Richard Hermann, Eastman School of Music, University of Rochester

Though Morton Feldman has been a noted figure in music for at least twenty-five years, very little theoretical and analytical work has been done with his music. Today's dominant modes of analysis and theories of music yield little of use in performing, hearing, and understanding Feldman's music. The purpose of this paper is to develop a new approach.

The first goal is to decipher several different notational practices. The second is to decide which aesthetic and technical viewpoints cause the least distortion of the music, and whether these viewpoints themselves are internally consistent and make a significant contribution to our understanding. An appropriate aesthetic framework is established through an examination of Feldman's published interviews and illuminated by the comparison of the ideas gleaned from them with analogous ideas in literary criticism. Upon this framework, an analytic technique is erected.

From the interviews one can infer that Feldman rejects traditionalism, appears ambivalent on rationalistic thought, and seems to embrace a transcendental viewpoint. He eschews systems, goal-oriented structures, and references to the past. He insists, "I make one sound, then I move on to the next."

Because Feldman tries to avoid conventional ideas of the composer-as-conscious-structure-of-sound, statistics and probability become appropriate analytical tools. These, in conjunction with ordered sets, determine how frequently literal repetitions of ordered segments of sounds are found in his music. His stated

intention--consciously to avoid imposing structure--presents a window into the "creative subconscious" as structuring agent.

### LA GRANDE LIGNE AND COPLAND AS FILM COMPOSER

Alfred W. Cochran, Kansas State University

Film composers have long found themselves between Scylla and Charybdis, compelled to support a film's dramatic action while maintaining a thread of musical continuity. Too often, film scores have lacked integrity of substance and have deserved the criticism they received. "Formula" techniques and clichés became popular with composers who were more concerned with meeting deadlines than writing quality music.

Such was the case in 1939, when Copland wrote his first cinema music. However, unlike Hollywood composers, he rejected these ideas and ushered in a new approach. He felt that all music, regardless of its style, should possess a "long line of inevitability," or *la grande ligne*--a revolutionary idea in film scoring at the time. His film scores have this quality.

This paper addresses theoretical and stylistic aspects of his first three cinema scores--*The City, Of Mice and Men*, and *Our Town*. Together, they comprise a virtual "how-to" manual for film scoring. Each has a *Grundgestalt*, or germ idea, a recognizable plan of long-range tonal organization, a distinctive harmonic language, and significant motivic and thematic development derived from the germ idea. In the presentation, Schenkerian reductions are used to show pertinent "middleground" and "background" operations in the music; portions of the films, recorded on video-cassette, demonstrate Copland's distinctive manner of relating his music to the screen action.

### Medieval and Renaissance Theory

Peter Bergquist (University of Oregon), Chair

### MUSIC AS SCIENCE IN THE FOURTEENTH CENTURY

Joseph A. Diamond, Reading, Pennsylvania

While music, arithmetic, and geometry were part of the established curriculum at the University of Paris, the actual instruction of these subjects is poorly documented. That Paris would be the center of new ideas in music and music theory at the turn of the fourteenth century is a paradox not very well explained. This paper explains the ideas and practice of the *Ars Nova* as a highly-integrated intellectual phenomenon that could have happened only at Paris and only in the early fourteenth century.

A *locus classicus* of the *Ars Nova* is the motet *Garrit gallus/In nova fert/Neuma*, an interpolated motet in the *Roman de Fauvel*. This motet includes coloration, isorhythm, the use (if not the appearance) of the minim, as well as a highly political content. Moreover, it has what Ernest Sanders has described as a "modular" structure, one found in many other early *Ars Nova* motets. Despite these new traits, the actual sound of the piece is not much different from pre-*Ars nova* motets of a few years earlier. What has been overlooked is the way in which *Garrit gallus* incorporates mathematical properties into the musical structure.

In a general way, *Garrit gallus* and works like it combine concepts of number latent in ordinary music theory and patent in standard medieval mathematical works, all derived from concepts of proportions and kinds of number as described by Nicomachus of Gerasa. In a specific way, *Garrit gallus* employs new algebraic procedures developed by teachers at the University of Paris, in ways that only those who understood algebra would grasp. The cultural context for this is that such music is a sonic, physical, and metaphysical work, which attempts to define philosophical properties that, although condemned in 1277, were part of the ongoing work in Paris in the early fourteenth century.

Such a view of music is corroborated by an analysis of Landini's *Si dolce non sono* as a parody of French music and musicians.

#### THE RECEPTION OF MARCHETTO'S *LUCIDARIUM*: EVIDENCE FROM THE *ARS MAGISTRI DE PADUA SUPER CANTUM PLANUM*

Jay Rahn, York University

Marchetto's *Lucidarium* (1317-1318) survives in fifteen manuscript copies that are either complete or substantially complete, and in three more sources that begin at the beginning and break off somewhere in the middle. In addition, relatively brief extracts from the *Lucidarium* were included in several late medieval and early Renaissance manuscripts. The latter extracts provide an insight into what parts of the *Lucidarium* were most favored during the fourteenth and fifteenth centuries. A further group of writings also provides insight into the portions of Marchetto's theory that took firm hold during these two centuries. These writings can be, and have been, described variously as compendia, compilations, digests, and paraphrases.

The present study considers one of these writings, the anonymous treatise *Ars Magistri Marchetti de Padua super Cantum Planum*, which survives in three manuscripts: two in Pavia and one in Seville. On the basis of internal evidence and comparisons with the various copies of the *Lucidarium* that have survived, one can arrive at a number of conclusions about the anonymous *Ars*: when it was written; how it was composed; the way in which material was selected from Marchetto's theory; why, with regard to Marchetto's theory, certain omissions, additions, and confusions are found in the *Ars*; the sort of person who probably used the treatise; and the functions that the book probably served in musical life. In this manner, one can gain a clearer understanding of how Marchetto's innovations were received by the musical community at large during the two centuries that followed this writing of the *Lucidarium*, and one can also acquire a richer view of how Marchetto's doctrine came to be altered by later theorists.

#### PRACTICAL SOLMIZATION ABOUT 1500 AND ITS CONSEQUENCES

Jeffrey J. Dean, University of California, Los Angeles

In this paper I examine how the hexachord system was applied in practice during the late fifteenth and early sixteenth centuries. I have attempted to consult all music theorists active in Italy from Hothby's time to Aaron's, and have added evidence from a few non-Italian and later writers, as well as some non-theoretical works of music. An important aspect of my reading of the theorists is the effort to discriminate between passages elaborating a satisfying speculative system and passages describing actual practice.

It appears that at this time there were different usages for chant and for polyphony. In the latter case it was customary to employ only two species of hexachord at a time, depending on the "key signature," rather than the three used in the solmization of chant. Further, some writers give differing rules for mutation in plainchant and in polyphonic music.

More intriguing than the nuts and bolts of practical solmization are some of its consequences. I shall examine the use of the expression "*musica ficta*," showing that after about 1460 it had a meaning very different from the one we commonly attribute to it. Also, whereas accidental flats (whether signed or unsigned) require mutation so they can be solmized "fa" (as is well known), sharps surprisingly have no such implication. This in turn explains why the small but fascinating repertory of pieces that explore the realm of extreme accidentals, like *Absalon fili mi* or Willaert's "Chromatic Duo," travels only in the flatward direction and never sharpward.

The titles of the "*carmina*" of Isaac, Hofhaimer, and Senfl and the keyboard *ricercar* of Julio Segni are practical evidence that Renaissance musicians classified

pitch structures using solmization syllables. I shall bring concrete examples to show that analysis by solmization can help account for such fundamental matters as the preponderance of compositions in some modes rather than others, as well as matters of melodic detail where the application is already appreciated.

THE FOURTEEN-MODE SYSTEM OF ILLUMINATO AIGUINO  
Peter N. Schubert, Barnard College

A little-known contemporary of Zarlino, Illuminato Aiguino added to the work of his direct theoretical forebears (Aron, Tinctoris, and Marchetto) several very original notions. The most important of these was that species of interval are the sole definers of the modes. This premise allowed him to construct a modal system in which each of the seven natural pitches can serve as the final of an authentic and a plagal mode. The resulting fourteen-mode system was offered by Aiguino as an alternative to the twelve-mode system developed by Glareanus.

In this paper, Aiguino's system is described succinctly and shown to provide competent solutions to problems faced by earlier theorists. It is compared to the twelve-mode system of Glareanus in terms of logical consistency and practical application (brief analyses of familiar pieces are undertaken to demonstrate the latter).

The significance of Aiguino's system for the modern theorist and historian of the Renaissance is twofold: (1) it sheds light on the principles used by builders of modal systems in the Renaissance; and (2) it provides the most complete set of modal criteria for analytical purposes, especially in cases of commixture.

SATURDAY, 5 NOVEMBER, 8:30 A.M. - 11:30 A.M.

AMS SESSIONS

Oral and Written Transmission in Ethiopian Christian Chant:  
A Cross-Disciplinary Investigation  
Bruno Nettl (University of Illinois, Urbana), Chair

USING MODERN SOURCES TO ACHIEVE HISTORICAL  
RECONSTRUCTION IN THE STUDY OF ETHIOPIAN CHRISTIAN CHANT  
Kay K. Shelemay, New York University

Because both oral transmission and a system of musical notation still survive in the modern Ethiopian Church, the study of Ethiopian chant offers an unusual opportunity to understand better the processes of oral and written transmission. This paper will introduce the sources and methodology that have been used for the first critical study of this musical system and its notation, a collaborative investigation by an ethnomusicologist and historical musicologist. The Ethiopian Christian notation cannot be read without knowledge of the oral tradition because most of its graphic symbols (*mǝlǝkkǝt*, literally "signs," drawn from the Ethiopic syllabary or alphabet) are abbreviations of words representing melodic formulas. As a result, the history of this chant tradition can only be studied by working from the modern oral and written tradition backwards into manuscript sources.

This paper will discuss the most important aspects of modern Ethiopian Christian performance practice and musical transmission that must be used to decipher the earlier manuscripts. The discussion will draw upon data gathered during fieldwork in Ethiopia during the mid-1970s, summarizing surviving oral traditions concerning the history of the chant tradition that both confirm and contradict the evidence found in Ethiopian documentary sources.

The paper will conclude with hypotheses concerning the development of the Ethiopian notational system and performance practice, following the sixteenth-century Muslim conquest of the country, and the subsequent consolidation of the Church musical tradition during the seventeenth and eighteenth centuries at the northern provincial capital, Gondar.

PROCESSES OF ORAL AND WRITTEN TRANSMISSION  
IN ETHIOPIAN CHANT: THE CONTEMPORARY MUSICAL EVIDENCE  
Ingrid Monson, New York University

This paper will explore how a notational system places limits upon the variability of a primarily orally transmitted musical system, and ensures relatively stable transmission of the liturgy. As part of their training, Ethiopian church musicians learn approximately 556 melodic phrases which form the basic melodic vocabulary of this chant system. Each of these melodic phrases possesses an alphabetic abbreviation known as a *melekke*, which is derived from the original text of the phrase and appears in musical manuscripts as the "notation" of the melody. The singer must use his knowledge of these orally learned phrases to realize notated liturgical portions, which usually have texts different from those originally learned with the melodic phrases. In addition, these portions and their constituent *melekke* are grouped into three "modes" which have distinctive musical characteristics.

Transcriptions of the 556 *melekke* and a carefully chosen sample of portions, as sung by the chief Ethiopian church musician during fieldwork in the 1970s conducted by Kay K. Shelemay, provide primary data for this paper. The paper will first define the musical characteristics of each mode in the Ethiopian chant repertory, and then compare selected *melekke* as sung in isolation to the same

*melekket* as realized in the portions. The process by which a singer synthesizes a portion from the notated melodic "formulas" will be suggested on the basis of this data, with particular attention to the role of "reconstruction" or improvisation in this system. A second category of ten "conventional" signs that modify and link the *melekket* may be of considerable importance in this process. The results of this examination of contemporary musical evidence will be evaluated in light of the historical information presented in the other two papers proposed for this session.

"MELODY TYPES" AND "FORMULAS" IN ETHIOPIAN CHANT:  
THE MANUSCRIPT EVIDENCE  
(THIRTEENTH TO TWENTIETH CENTURIES)  
Peter Jeffery, University of Delaware, Newark

In speculating about the origins of Latin and Byzantine chant, scholars have given much attention to "melody types" and "formulas," which appear to be vestiges of the oral processes by which the repertoires were transmitted before the invention of written music notation. While we can only speculate about how these processes actually functioned in medieval Europe, we can directly observe comparable processes in the modern Ethiopian church. There oral and written transmission still interact; the symbols of the centuries-old notation system signify "melody types" and "formulas" rather than individual pitches.

This paper offers the first history of these phenomena in Ethiopian chant. It shows how this history can serve as the basis for more plausible hypotheses about the formation of the Gregorian and other chant repertoires, and suggests refinements in the way "melody type," "formula," and other terminology should be understood in chant research. In the oldest manuscripts (thirteenth to fifteenth centuries), chants are arranged by melodic group. By the seventeenth century one chant in each group had been singled out as the model or "melody type," and the models were organized into a series. Later manuscripts, in liturgical order, contain chants that are classified according to melodic incipit. Because the notation indicates formulas rather than individual pitches, the uniformity or variability of all Ethiopian melodies can be traced over many centuries. The chronology correlates well with the cultural history of the country.

Ancient and Medieval Music Theory  
Thomas J. Mathiesen (Indiana University), Chair

PTOLEMY AND HARMONICS: A REAPPRAISAL  
Jon Solomon, University of Arizona

The consensus of scholars working in ancient, medieval, and Renaissance music theory is that Aristoxenus, Aristides Quintilianus, and Ptolemy comprise the most influential triad of ancient Greek music theorists. The former two have been translated into English previously, so now my translation and commentary of Ptolemy's *Harmonics* (forthcoming for the Yale Music Theory in Translation Series) will complete a task begun by Macran almost a century ago.

Interestingly, the very first sentence of Ptolemy's three-volume treatise contains a problem of the greatest magnitude, for it contains Ptolemy's definition of *harmonike* and establishes the subject he will investigate throughout the work. My predecessors (Porphyry in his Greek commentary, Gogava (1562) and Wallis (1682) in their Latin translations, and Düring (1936) in his German translation), translate the first sentence incorrectly as "Harmonics is the capacity (*dynamis*) of perceiving differences between high and low sounds, and sound is a condition of beaten air..." *Dynamis* does not mean "capacity" but "function," for harmonics cannot be the capacity to do anything; cf. Galen's "physical functions (*dynamis*)."

"Harmonics" is a function of nature. Ptolemy's thesis is that sound is created by "beaten air," can be measured by numerical proportion, is perceived by

the human ear, and exists in musical systems (Books I and II), the human soul, and the heavens (Book III). His conception of "harmonics" is grand in scope, as is the design of his treatise.

#### FRANCO OF COLOGNE ON ORGANUM PURUM

Charles M. Atkinson, Ohio State University

Thanks in part to a fine translation by Oliver Strunk, the *Ars cantus mensurabilis* of Franco of Cologne is a treatise we all think we know. Its very familiarity, however, may be one of the reasons that Franco's treatise has been all but ignored in most of the recent discussions of the character of Notre Dame organum. A more fundamental reason for this situation is that Franco has been viewed as a thoroughgoing mensuralist, appearing to treat even organum purum as a type of measured music.

I shall demonstrate in this paper that the *Ars cantus mensurabilis* is a treatise that can still offer us fresh perspectives on the nature of Notre Dame organum purum—perspectives that heretofore may have been concealed from view under a veneer of translation. When that veneer has been stripped away, Franco proves to be something other than "the compleat mensuralist" he has been thought to be.

The key to gaining a fresh view of Franco is, I believe, the terminology he uses to describe the music with which he is dealing. Several of the pivotal terms in his discussion must be read against their medieval background in grammar and rhetoric and within the tradition of thirteenth- and fourteenth-century music theoretical writing. Among these terms are the words *unisono*, *figura*, *percutio*, and *floratura*. All of them appear in the final sentence of Franco's discussion of organum, "Item notandum, quod quotienscumque in organo puro plures *figurae* simul in *unisono* evenerint, sola prima debet *percuti*, reliquae vero omnes in *floratura* teneantur." Strunk translates: "Be it also observed that in organum purum, whenever several similar figures occur in unison, only the first is to be sounded; let all the rest observe the florid style." Edward Roesner (*Early Music*, 1979) reads it: "when [in organum purum] several notes on the same pitch occur in succession, only the first is articulated and all together are sung in *floratura*." I shall offer yet another reading of this sentence—a reading drastically different from either of those above, but one that has solid medieval authority and that will allow us to place Franco firmly within the mainstream of thirteenth-century writing about organum purum.

#### THE CONCEPT OF *OPUS* AND THE MUSICAL CRITERIA OF A "WORK" IN THE LATE MIDDLE AGES

Fritz Reckow, Erlangen-Nürnberg University

The fact that late fifteenth-century authors begin to apply the word *opus* to compositions is often taken as a symptom of the musical "Renaissance." It is true that in comparison with its use in the other arts, the word *opus* appears strikingly seldom in writings on music before the fifteenth century. It would be risky, however, to conclude on the basis of such evidence that any notion of a musical "work" was foreign to the Middle Ages. In fact, the word *opus* ("object constructed by hand," "building") had long played a central role in the *artes mechanicae*. In view of a possible hesitation to employ the word *opus* in relation to a product of one of the *artes liberales*, it is perhaps no accident that the use of the word *opus* for a musical "work" began to come into vogue in Italy at the same time in which architecture was declared a liberal art (cf. Ficino, 1492).

In the course of the Middle Ages, conceptions of composition, types of structure, and states of transmission can be identified in which "work"-criteria such as unity, structural integrity, or cohesiveness are manifested. Beyond this, however, there is a series of instances of the medieval usage of *opus* not examined

until now that can give us entrée into a specifically medieval conception of "work." For example, a small group of citations of monastic origin seem to make an associative connection between the *Opus dei* and the liturgical chant (as *opus*) created for this purpose. Above all, however, the words *opus* and *operare* were used from the late thirteenth century on with reference to the polyphonic structure of *musica mensurabilis*. Here the idea of "producing," following the model of a skilled tradesman's work, dominates. It can even be assumed that the words *opus* and *operare* referred to the conceptual paradigm of "house" and "housebuilding," with whose help the new structure of the motet is repeatedly described. The "house" paradigm represents a concrete claim to a stability and integrity of structure in polyphonic music that is similar to that in architecture. At the same time, polyphonic composition is characterized in a distinctly "visual" fashion as a special construct: length and form are determined by a clearly proportioned and laid out foundation, the *tenor*, over which the "structure" of the upper voices can be built just as solidly as the walls and roof of a building.

The point of the medieval concept of *opus* and the criteria of "work" bound up with it lies not in some global artistic principle, but rather in its ability to reveal characteristic relationships and in the enhanced potential it offers us for a detailed, historically specific technical language.

POETICS AND MUSIC IN MEDIEVAL CHINA  
FROM THE TENTH TO THE TWELFTH CENTURY  
Lulu Chang, West Vancouver, Canada

"Ci," which literally means "song words," was characteristically a "long-short verse" form written to "fill in" a musical tune. The "Ci" poetry was a style of lyrics with metrical pattern sung to musical accompaniment. In terms of musical function, "Ci" was classified literarily as "words accompanying tunes."

This paper is based on research in: (1) the evolution of "Ci" tunes, i.e. foreign songs imported from Central Asia where they had flourished in the Mid Tang Dynasty (770-880 A.D.); (2) the scholar-officials who composed the "long-short verse" to fit these popular songs, and the musicians and entertainers who stimulated the creation of an immense treasury of "Ci" songs from the tenth century onwards.

"Ci" was the most unique creation in Medieval Chinese literature. However, unlike the Western repertoire, the "Ci" differ in that one familiar melody could be "filled in" with several different texts. After the Song Dynasty (906-1279 A.D.), the "Ci" lyrics developed into a literary form in the Ming and Qing times, while very little of the music survived. The importance of the "Ci" in the history of Chinese music lay in providing a variation of types of melodic structure which could be used as models for new poems.

Patronage in the Renaissance  
Mary Lewis (University of Pittsburgh), Chair

ROME AS THE CENTER OF THE UNIVERSE:  
PAPAL GRACE AND MUSIC PATRONAGE  
Pamela F. Starr, University of Nebraska

From the time of Haberl's publications, historians have recognized the exciting possibilities for new documentation of the careers of Renaissance musicians in the resources of the Vatican Archives. Until recently, however, the volume of material, most of it unindexed, has discouraged any systematic study of the papal documents as they relate to music. Of the series in the Vatican, the *Registra Supplicationum*, which contains copies of all petitions for grants of favor submitted to the pope and officially approved, are particularly rich in detailed information about the petitioners. These include both individuals seeking ecclesiastical preferment and

institutions requesting authorization to make changes in their organization. The first type of supplication often presents valuable information about the careers of musicians, most of whom were clerics. The second, which has received little attention from historians, provides a great deal of information concerning cathedrals and collegiate churches that sought to convert vacant prebends into funds for the support of the performance of polyphony.

This paper is based on the first systematic reading of all surviving Vatican documents for the reigns of three popes, covering the years 1447-1464. It will show how the papacy provided indirect but powerful support for the development of polyphonic music in the secular chapels, cathedrals, and collegiate churches of Europe. It will also demonstrate, by presenting and discussing examples concerning Dufay, Ockeghem, Puylois, and Busnois, how papal supplications can be used to shed new and sometimes unexpected light on the careers of important composers.

#### THE EFFECTS OF ROYAL PATRONAGE ON THE MOVEMENT OF FRENCH MUSICIANS, 1498-1528: NEW ARCHIVAL EVIDENCE

John T. Brobeck, University of Arizona

Why did many French composers active during the reign of François I (1515-1547) choose to remain in France when relatively few of their predecessors were able to resist the lure of Italian patronage? Recently discovered documents suggest that after the accession of Louis XII in 1498 French musicians were increasingly influenced by the burgeoning musical patronage of the French royal court. One record reveals that in 1518 royal chapel musicians such as the chapelmaster Antoine de Longueval, Jean Mouton, Claudin de Sermisy, Antoine Divitis, and Mathieu Gascongne received yearly salaries at least one-third higher than those paid singers in 1475, and that between 1486 and 1517 the number of chapel musicians rose from thirteen to thirty-two. Other documents suggest that after 1498 the crown reserved for singers greater numbers of ecclesiastical benefices and show that those musicians who served both the royal *maison* and the chapel drew two salaries from the court simultaneously.

Clearly the court's tactics were effective, for none of the major composers employed by Louis or Francis after 1505 subsequently sought a patron of their own volition other than the royal court. As a result, the number of composers in the chapel rose from three to eight between 1486 and 1518. The crown's growing ability to attract and retain prominent musicians suggests that by 1515 its musical patronage provided a powerful incentive for French composers to remain in France. That they did so and resisted the time-honored temptation to seek Italian patronage helps explain why a large polyphonic repertory was created in France just prior to the advent of the music publishing trade in Paris.

#### MUSICIANS IN BURGHER SOCIETY: PATTERNS OF PATRONAGE IN RENAISSANCE ANTWERP

Kristine K. Forney, California State University, Long Beach

An enlarged perspective on the sociological role and economic position of northern Renaissance musicians can be determined through the study of not only the great composer, but also the *Kleinmeister*, the professional musician who was not a prominent composer in his day nor remembered as such now. Archival studies focused in various Low Country centers, particularly Antwerp and Bruges, have revealed much about the lives and movements of sixteenth-century instrumentalists and singers. Principal among the patrons of these *Kleinmeister* were the burgher confraternities centered in Low Country churches and the merchant nations resident in Antwerp; the pay records from these institutions allow one to trace the mobility of musicians, thus enriching our picture of their lives. These cities, which served as fertile training grounds for aspiring musicians, provided the ambiance from which

emerged the greater figures, such as Barbireau and Obrecht, whose biographies can also be further documented. Finally, a study of a cross-section of northern musicians contributes to support a theory: that the "Golden Age" of music ended abruptly in Antwerp with the onset of the Eighty Years' War, during which many musicians and artisans fled the area to safety in Holland, England, and Scandinavia.

#### LUCA MARENZIO AND ROMAN PATRONAGE IN THE 1590S

Laura W. Macy, University of North Carolina, Chapel Hill

Critical study of Luca Marenzio's late madrigals has been hindered by our inability to reconcile the high esteem in which Marenzio was held by his contemporaries with the apparently unstable employment situation of his last years. Most Roman composers worked as singers or *maestri di cappella* for one of Rome's many churches, supplementing this income with occasional gifts from wealthy patrons. Marenzio apparently never held a church position. Nor, after the death of his patron Luigi d'Este in 1586, did he hold any official private musical position in Rome.

This paper reevaluates Marenzio's relationships with his patrons, focusing on two of his most important patrons during the early 1590s, Virginio Orsini and Cardinal Cinzio Aldobrandini. A study of the patterns of patronage of these men reveals that Marenzio's career, unusual in terms of musical patronage, is better understood in the broader context of Roman intellectual and literary patronage. Finally it will be seen that study of Marenzio's madrigals of the early nineties within the context of this rich cultural milieu lends a new and important dimension to our understanding of his poetic and stylistic choices during these years.

#### German Romantics

Nancy Reich (Hastings-on-Hudson, New York), Chair

#### SCHUBERT'S HEINE SONGS: CRITICAL QUESTIONS REFORMULATED--AND ANSWERED

Douglass Seaton, Florida State University

Schubert's settings of poems by Heine in the *Schwanengesang* collection present several thorny problems, including Schubert's response to Heine's irony, the possible cyclical coherence of the group, their ordering, and analytical issues. Their treatment by scholars also offers a methodological lesson in formulating critical and analytical questions.

Schubert has been criticized for neglecting Heine's irony, but he certainly adopted a special style in setting these texts, indicating that he recognized their unusual character. He gave them a heightened expressive rhetoric, one which might suggest a particular persona for the speaker in the poems--the Romantic artist.

The question of cyclical coherence among the Heine songs has focused on the narrative organization of Heine's collection and Schubert's apparently random order. Recent studies have proposed that the songs once formed a cycle, that the cycle can be restored by rearranging them in Heine's sequence, and that analysis of the songs in their revised order supports these theories.

But the cyclical nature of the group of Heine songs does not depend upon reordering them. Schubert's order embodies a reflective rather than narrative reading of the poems. His structure for the set is not rectilinear; rather, the final songs returns to ideas from the first, both poetically and musically, after traversing psychological and tonal routes determined by oppositions established at the opening. Schubert's cycle may be discovered; it does not have to be constructed by recombining the songs in the scholar's, rather than the composer's, order.

"SONGS WITHOUT WORDS": A COMPARISON OF FANNY HENSEL'S  
AND FELIX MENDELSSOHN'S PIANO STYLES  
Camilla Cai, Kenyon College

Fanny Hensel, sister of Felix Mendelssohn, held matinee concerts in her home that were known as the best musical events Berlin had to offer during the 1830s and 1840s. Her one hundred and thirty piano compositions written for these events remained mostly unpublished in her lifetime because of her brother's prohibition against publishing, not through any lack of quality of craftsmanship. Later writers, apparently without studying her music, have generalized that Fanny's compositional style was simply a reflection of her brother's work.

To relate her piano music to the currently-known framework of nineteenth-century music, this paper compares her pieces in the "Song Without Words" style to her brother's well-known *Lieder ohne Worte*. The correspondence between the two will be used to provide insights into the complex musical influence they exerted on one another: for example, Fanny first used the phrase "Lied ohne Worte," but only Felix applied the name to his piano pieces. I will compare their use of harmonic and rhythmic formulas, melodic shapes, motivic material, formal structures, and piano texture to reveal specific ways in which they seem to have influenced each other and also ways in which they were different.

Among Hensel's important and unique stylistic characteristics are her lyric, vocally-based piano melodies, her three-layered piano texture and her adventuresome harmonies. Musical illustrations will demonstrate these characteristics. Together, the correspondence and the analysis will show that in spite of Fanny's enthusiastic support and involvement with Felix's *Lieder ohne Worte*, she developed her own distinctive compositional style for piano.

ROBERT AND CLARA'S RÜCKERT LIEDER  
Rufus Hallmark, Queens College

In the winter of 1840-41, a few months after their marriage, Robert and Clara Wieck Schumann produced their one and only published collaborative work, a set of twelve *Lieder* on poems by Friedrich Rückert (his Op. 37, her Op. 12). This apparent cycle is seldom heard today, except for isolated songs. The modern practical editions of Robert's songs obscures the work by excising Clara's three songs. Three of Robert's settings are duets, suggesting that the cycle should be performed by male and female singers, with the solo songs divided between them, but this circumstance has probably further reduced the likelihood or frequency of complete performance.

Moments and stages of the collaboration can be recaptured from letters and diaries and from the manuscripts in Paris and Berlin. A Berlin manuscript contains the songs that Clara composed for possible inclusion in this group. The Paris manuscript of Robert's nine songs bears the vestiges of an order different from the published one for the set of twelve songs, an order in which one of Clara's settings by implication would have begun the cycle. All of the Rückert settings Robert prepared for this group were apparently included, while one of Clara's was not. The dynamics of the collaboration seem partly revealed, partly concealed in these circumstances and in the correspondence and diaries.

This paper will attempt to ascertain the attitudes and judgements of the two composers toward this collaboration. In addition, the paper will examine the question of whether these twelve songs constitute a *bona fide* cycle for two singers, assessing, for example, the implications of the different orderings on a posited tonal plan for the songs and examining the evidence for the performance of the cycle by a man and woman (e.g., gender implications in the poetry, vocal range).

The whole paper will be placed in the context of the significance in their lives and careers of Friedrich Rückert, a poet who figured prominently in the solo and

part songs and choral compositions (and some instrumental works) of Robert and whose brief correspondence with Robert and Clara touched them deeply.

**FRANZ SCHUBERT AND THE PEACOCKS OF BENVENUTO CELLINI**  
 Maynard Solomon, State University of New York, Stony Brook

Although generally reticent about Schubert's private life, several of his friends and associates alluded, both in contemporary letters and in retrospective memoirs, to his "excessively indulgent sensual living" (Schober), his "eagerly burning sensuality" (Ottenwalt), and his powerful "craving for pleasure" (Kenner). However, the nature of Schubert's sensuality has remained unexplained, a circumstance that has tended to blur biographical portraits of the composer and to obscure his intimate and familial relationships. Reports of Schubert's relations with women are extremely meager: a failed courtship in his teens and an allegedly hopeless attachment to a highborn lady. On the other hand, Schubert's richly-documented associations with Schober, Mayrhofer, Schwind, Kupelwieser, and others are suggestive of a homosexual orientation. It appears possible that many of the central figures of the Schubert circle belonged to a Viennese homosexual subculture, some of whose distinctive behavioral patterns and argot may be traced by a close reading of contemporary letters and diaries. Because of the secretive nature of sexually nonconformist communities, some margin for error in reading this designedly opaque evidence must be allowed. Schubert and his compatriots apparently inhabited a clandestine world beset by fear of surveillance and persecution. Schubert's defiant pride in his nonconformist sexuality is to be regarded as consistent with his rebellious temper regarding other dogmatic issues and with his insistence upon freedom from compulsions of every kind, except those issuing from his own obsessions.

**SMT SESSIONS**

**Berg**

**Douglass Green (University of Texas, Austin), Chair**

**A MISSING LINK: THE SKETCHES FOR TWO INCOMPLETE  
 STRING QUARTETS BY ALBAN BERG**  
 Jody D. Rockmaker, Princeton University

During the last years of his formal studies, from 1908 to 1910, Alban Berg completed two of his important early compositions: the Four Songs, Op. 2, and the String Quarter, Op. 3. Although these two pieces were written concurrently, they are often assigned to different periods in Berg's stylistic development. However, both works share important compositional techniques. Moreover, few analyses have addressed the specific, often subtle technical differences between them.

During this period, Berg began (but never completed) two additional string quartets that share many harmonic and motivic similarities with Op. 2 and Op. 3. These unfinished quartets provide some new insight into the evolution of Berg's compositional technique.

This paper compares all four works, outlining similarities and differences in the compositional techniques used. The paper begins with a description of the unfinished quartets and their sketches. (This is the first public discussion of these works.) Some of the techniques employed by Berg therein seem to stem from the counterpoint, form, and harmony exercises with which he was occupied at the time. Comparisons are made with the then recently completed Op. 2, No. 2, as well as with works in progress. Motives and whole contrapuntal sections bearing a strong resemblance to sections of Op. 3 are examined to demonstrate that ideas developed

in the unfinished pieces formed the basis for sections of the later quartet. These conclusions provide new insights into Berg's compositional techniques during this critical period.

### BERG'S COMPOSITIONAL PROCESS IN THE OP. 6 MARSCH AND THE EARLIEST SKETCHES FOR WOZZECK

Don R. McLean, University of Toronto

Berg's Op. 6 *Marsch* displays a fluidity of thematic content which constantly propels the ear forward and forces it to make larger structural connections. Vertical and horizontal layers of motivic gesture form large textural blocks; at the same time, thematic lines weave developmental courses between and through these blocks. The present paper employs pitch-class set and structural voice-leading analysis in order to separate textural components, and to articulate the interaction of associative sonorities and cumulative voice-leading motions.

Significant sketches for the *Marsch* and observations on Berg's compositional process as revealed in the autograph *Particell* are presented. It is maintained that such documents can provide "clues" to, and corroborating support for, analytical interpretation. "Multiple-counterpoint" textural sketches and instances of deleted and inserted measures are discussed.

The principal sketchbook for the *Marsch* also contains the earliest sketches for *Wozzeck*. In addition to a number of procedural similarities, these provide intriguing evidence that one alleged quotation of the *Marsch* in *Wozzeck* is better construed the other way around.

### THE ATONAL MIDDLEGROUND: PITCH ORGANIZATION AND STRUCTURAL LEVELS IN BERG'S STRING QUARTET OP. 3 (1910)

Joel Phillips, Westminster Choir College

Much study has been devoted to the pitch organization of atonal music, yet few would deny that musicians have barely scratched the surface in their understanding of this repertoire. Progress toward a better understanding of foreground pitch relationships has been made in recent years with the gradual acceptance of the systematic analytic approach found in Allen Forte's *The Structure of Atonal Music*. Forte, Schmalfeldt, and many others who have applied Forte's analytical techniques have found remarkable, heretofore unrecognized pitch relationships in the atonal literature. The results of this research, however gratifying, raise new questions which must be answered. Foremost is the question: are the sonorities that are deemed important in the foreground of an atonal work also important at a deeper structural level in the music?

The present essay addresses this issue as it relates to an early atonal work of Alban Berg: his String Quartet, Op. 3 (1910). Though many of its special features deserve consideration, this discussion focuses primarily upon foreground-to-middleground pitch relationships as exemplified in portions of the first movement.

The analytical approach comprises two stages. First, it isolates four sonorities that occur as prominent melodic and harmonic features of the foreground. Then, after a discussion of ways in which pitches are associated--by such means as their appearance in a common register, or by similarity with respect to figuration, rhythm, or articulation--it demonstrates how those four sonic components in the foreground of the music are clearly articulated at middleground structural levels in the piece.

### Post-Tonal Analysis

Andrew Mead (University of Michigan), Chair

## PITCH-CLASS TRANSFORMATION IN FREE JAZZ

Steven Block, Northeastern Illinois University

Various types of pitch-class set transformation can be asserted in free jazz. Some pitch relations found in the music of Ornette Coleman, Cecil Taylor, and John Coltrane are analogous to transformations utilized in concert music based upon pitch class sets (Schoenberg, Webern, and Bartók). However, certain classes of pitch class transformation exist in the music of the above progenitors of free jazz which have not been enumerated as yet nor are common to the twentieth-century repertoire. Such transformations fall out of a comparison of Cecil Taylor's non-diatonic, non-tonal style with Coleman's diatonic organization.

Free jazz can be approached through basic set-theoretic methodology and constructs such as basic interval pattern (bip), interval cycles, rotation, M-operations, contour sets, and special free jazz operations. The latter category includes unusual pitch class transformations which have been discovered in the music of Coleman and Taylor. In Taylor's "Enter Evening" (1976), for instance, there exists a constant reference to a larger pitch class set which is varied about an invariant chromatic tetrachord. The extent and variety of such operations reveal a richness of pitch structure in free jazz which merits further consideration in relation both to other free jazz compositions and to possible applications in twentieth-century concert music.

THE REINTERPRETATION OF CHARTS  
IN RECENT MUSIC OF MILTON BABBITT

Ciro Scotto, University of Washington

One of the most fascinating aspects of Milton Babbitt's compositions is their harmonic structure. Each work seems to be a rethinking of what harmony means to Babbitt. The uniqueness of each composition's harmonic structure is usually the result of his using a unique pre-notational chart for each work. However, several works, *Arie Da Capo* (1978, for chamber ensemble), *Playing For Time* (1978, solo piano), and *Melismata* (1982, solo violin) are composed from the same pre-notational chart. This paper investigates the relationship between this chart and the post-chart compositions. Particular emphasis is given to analyzing the harmonic structure of each work, investigating harmonies insofar as they may be determined by the chart or influenced by some other process, such as a time-point system. Another area for exploration is the relationship between partitions and the music that results from their employment in a composition. Perhaps the greatest significance of employing partitions as a compositional construct is to be found in the effect partitioning has on the harmonic relationships of a composition.

## A PRINCIPLE OF TRANSFORMATION IN THE MUSIC OF CHARLES IVES

J. Philip Lambert, Baruch College, City University of New York

Among the compositional procedures apparent in the music of Charles Ives are techniques of thematic-motivic development based on both conventional methods of transformation, such as transposition and inversion, and less traditional methods, involving systematic and unsystematic manipulations of pitch-class order. This paper explores Ives's order transformations, citing examples from several works to illustrate the transformational methods, the apparent underlying compositional motivations, and the roles of these techniques in large musical contexts.

Whereas the pitch-class content of an ordered segment might completely change under an operation such as transposition—depending upon the size and structure of the segment—an order transformation alone often focuses on the redistribution of a particular pitch-class set to display a different series of intervallic adjacencies. In Ives's music, the processes of redistribution include a division of a segment into sub-segments that are internally reordered or stated out of position with

order intact, and the use of a familiar segment such as the chromatic scale or circle of fifths as a derivational source for a thematic line. Measurements of order similarity provide an effective means of comparing related segments. On a larger scale, Ives uses reordering techniques to derive successive thematic material in broad musical contexts, unfolding an evolutionary thematic structure that is given unity and direction by a chain of order transformations:

### JOINT AMS/SMT SESSION

#### Text and Narrative

Carolyn Abbate (Princeton University), Chair

#### A STUDY IN MUSIC PERCEPTION: METAPHOR AND METONYMY IN THE PIANO MUSIC OF CHOPIN

David Schwarz, Dallas, Texas

This paper deals with music perception and chromaticism in Chopin's piano music. It opens with a broad survey of the tonicization of chromatic keys in Chopin's works and some remarks concerning analytic and methodological issues. The paper then presents two mutually exclusive ways of accounting for the tonicization of chromatic keys in Chopin's Barcarolle in F-sharp major, Op. 60. According to one (metonymy: a whole consisting of a succession of parts), the bIII of the middle section works as an element of a bass arpeggiation of the altered tonic triad at a deep middleground level. All analytic points concerning prolongation, voice leading, and semiotic cross reference derive from a diatonic background with chromaticism at work on surface and middleground levels only. Another way of hearing the piece (metaphor: the superimposition of a secondary upon a primary meaning) is based on the assumption that F-sharp major (the primary meaning of the music) and A-major (its secondary meaning) are opposed to one another, and that the piece depends upon tension between similarities and differences in musical language among the A (mm. 1-35 in F-sharp major), B (mm. 39-70 in A-major), and A' (mm. 84-116 in F-sharp major) sections of the piece. Phenomenological paradigms are offered for each of these approaches as starting points for the analyses.

#### INTERTEXT VS. NARRATIVE IN MAHLER'S MUSIC

Vera Micznik, State University of New York, Stony Brook

The shift of primacy in the roles played by the underlying tonal argument and the local surface detail in the production of meaning of late romantic music has often been noticed. In works by Liszt, Strauss, or Mahler, although the large-scale structural pillars may still be articulated by conventional formal and tonal molds, their importance is often undermined by the diversified import of information carried by the events filling the spaces in between, which convey their own autonomous layers of meaning. Since traditional analysis validates works mostly in terms of their organic tonal coherence, the use of this same criterion for the "validation" of late romantic repertory helps only to recognize the characteristics these works share with previous traditions, but not to illuminate the new, idiosyncratic features which form their essence. Other, alternative analytical approaches are needed.

These new features depend on changes in two main domains: the nature of the musical materials (to which new syntactic and semantic levels are added), and the ways in which they are temporally linked and organized. Considering that the musical narrative thus engendered—not unlike a literary narrative—tells the history of

its own structures, I rely upon notions from literary criticism to enlighten my analysis of Mahler's Ninth Symphony.

I relate the new, referential nature of the thematic materials to Roland Barthes' concept of "connotation," and to "intertextuality," as understood by Julia Kristeva and Michael Riffaterre. Rather than viewing the linear progression only in terms of the tonal plot, I examine the role of order, speed, distance, and frequency of events (from Gerard Genette's narrative theory) in the production of musical meaning. And Barthes' "nucleus" and "catalyser" functions help to differentiate among various semantic worlds which form the complex rhetoric of this symphony. From the interaction of these dimensions with the conventional tonal and formal molds results the multileveled quality of Mahler's music.

### STORY AND DISCOURSE IN MUSIC

Fred Everett Maus, Wellesley College

Comparisons between music and drama or narrative are commonplace; scrutiny of these comparisons may lead to important insights. However, one cannot simply assimilate music into literature; it is revealing to study the complex ways that music invites and resists comparison with literary narrative. By focusing on "absolute" instrumental works, one can avoid the greater complexity of texted or programmatic music.

Literary theorists distinguish between story and discourse, between the succession of events that makes up a story and the discourse in which the story is told. It may seem that such a distinction cannot be made in music. However, writings of Schenker, Tovey, and Kramer suggest ways in which the temporal patterning of events in a composition might differ from the patterning of an underlying story; for instance, the composition may present a condensed discourse corresponding to a more extended story, or the composition may rearrange the events of the implied story. Examination of these writings and discussion of analytical examples indicate that music raises such issues, but that they remain ultimately unresolved.

The distinction between story and discourse implies, though it does not entail, the existence of a fictional agent responsible for the production of the discourse. Drawing on Cone's book *The Composer's Voice* along with work of other writers, one can begin to explore the obscure sense of narrative agency in music. The outcome is, once again, that music invites the sense of a narrator while frustrating any attempt to define such a figure in non-contradictory terms.

The paper draws throughout on citations from historical theorists, especially Schenker, Schoenberg, and Tovey, and there are numerous brief examples from tonal instrumental music.

**SATURDAY, 5 NOVEMBER, 2:00 P.M. - 5:00 P.M.**

**AMS SESSIONS**

**Feminist Scholarship and the Field of Musicology**  
**Jane Bowers (University of Wisconsin, Milwaukee), Chair**

**FEMINIST SCHOLARSHIP AND THE FIELD OF MUSICOLOGY**  
 Jane Bowers, University of Wisconsin, Milwaukee

What has been the impact of feminism and feminist scholarship on the field of musicology? What are some of the methods and assumptions of the discipline that have inhibited a satisfactory inclusion of women and women's issues? What kinds of approaches might further their consideration?

This paper will briefly address the extent to which the study of women has become an accepted enterprise as well as part of general scholarly inquiry in musicological research, then take up various approaches to the study of women that are already being used by musicologists (including several illustrated by other papers in the session) as well as others through which the discipline might respond to the challenge of feminist thought.

Among these approaches are: (1) adding a body of research about women musicians along traditional lines; (2) asking broad questions about the social and cultural contexts of music-making; (3) including gender as an analytical category when analyzing any given period or event; (4) investigating how social definitions of gender and sexual symbolism have influenced musical roles for women and men, and vice versa; (5) considering what musical delineations of gender tell us not only about the society they represent but also about a composer's musical language; and (6) analyzing the role of gender concepts in the packaging of both female and male performers and how these shape our musical experience.

These approaches suggest ways in which feminist concerns can deepen our understanding of music, thus demonstrating the significance of feminist research beyond the field of women's studies.

**MAETERLINCK'S AND DUKAS' *ARIANE ET BARBE BLEUE*:  
 A FEMINIST OPERA?**

Austin B. Caswell, Indiana University

*Ariane et Barbe Bleue* is a libretto written in 1899 by Maurice Maeterlinck (1862-1949) which was set as an opera in 1907 by Paul Dukas (1865-1935). The plot presents a putative feminist narrative in which the figure of Ariadne, the mythological rescuer of Theseus, is superimposed upon the legend of Bluebeard, so as to invert its characterizations: Ariadne defeats Bluebeard and rescues his imprisoned wives. This paper traces the literary and musical genesis of the work and examines the conscious and subconscious intentions of both its authors in an attempt to analyze their positions *vis à vis* the character of the female hero. Its conclusion is that while Maeterlinck was probably tossing off an ironic trifle to satisfy the predilections and professional ambitions of his mistress Georgette Leblanc, Dukas took the libretto as a serious portrayal of asexual heroism and set it accordingly. While Maeterlinck can be seen as having written a parody of feminism and Dukas a moralist allegory of androgynous humanitarianism, *Ariane* may appeal to contemporary minds as a feminist opera in spite of the intentions of both its authors.

**CONSTRUCTIONS OF GENDER IN MONTEVERDI'S DRAMATIC MUSIC**  
 Susan McClary, University of Minnesota

One of the remarkable achievements of seventeenth-century culture was the development of a vocabulary by means of which dramatic characters could be delineated in music. Many techniques for emotional and dramatic inflection now regarded as "natural" were formulated during this period when music joined forces with theater.

In staged representations of the social world, the identification of characters as either male or female is fundamental. Thus, seventeenth-century composers who wanted to write dramatic music were confronted immediately with the problem of gender construction--that is, how to depict men and women in music. The concept of "construction" is crucial here, for while the sex of an individual is a biological given, gender is socially organized; its forms (proper behaviors, appearances, duties) differ significantly in accordance with time, place or class. Moreover, these forms are often sharply contested, in the actions of real life as well as in the arena of culture.

This paper will examine constructions of both female and male characters in dramatic works by Monteverdi. Monteverdi's characters exhibit a vast array of possibilities; the richness that typifies his affective and dramatic strategies likewise marks his carefully wrought, variegated portrayals of men and women. To reduce this palette to simple binary distinctions of masculine/feminine would be to ignore what is important about Monteverdi as a dramatist. Yet not to notice how issues of gender are bound up with many others in his portrayals is to miss a significant dimension both of those portrayals and of seventeenth-century musical innovation.

#### THE ROLE OF WOMEN'S MUSIC CLUBS IN SHAPING AMERICAN CONCERT LIFE, 1870-1930

Linda Whitesitt, Rock Hill, South Carolina

In the opening decades of the twentieth century, women's music clubs were viewed by many as the most potent force in American music. Part of the vast network of women's clubs that appeared after the Civil War, music clubs led the way in establishing the musical life in many communities in this country. The lack of attention paid to the work of women's amateur music clubs in many studies of American music evokes the question of whether the stereotype of the social nature of these clubs and the sentimentality of contemporary descriptions of their work have caused music historians to overlook the significance of these clubs in the development of American concert life.

Recent research by scholars of women's history provide a framework for examining the role of women's music clubs. Both Karen Blair's study of the significance of the women's club movement between 1868 and 1914 for women's struggle for autonomy and Anne Firor Scott's investigation of the force of women's voluntary associations in shaping American society point the way towards a reassessment of the role of women's music clubs in women's lives and in American culture.

Using archival material and centenary reports from music clubs, records of the National Federation of Music Clubs, letters and memoirs by clubwomen, and articles in period journals, this paper examines the origins of women's music clubs, offers examples of the extent and impact of their work, and summarizes how women viewed their club work and its effect on their lives and their communities.

#### Sixteenth-Century Theory and Compositional Practice Louise Litterick (Mount Holyoke College), Chair

#### A RENAISSANCE DEBATE ON THE ART OF COMPOSITION Bonnie J. Blackburn, Chicago, Illinois

In the early 1530s, two Renaissance theorists, Giovanni Spataro and Pietro Aaron, engaged in a highly interesting correspondence on the art of composition,

illustrated in their own works, several of which survive. From these letters we learn first-hand about some of the concerns of the Renaissance composer: the two disagreed about time signatures, text setting, contrapuntal progressions, and dissonance treatment. Other topics touched on are the role of reason vs. authority, the differences between counterpoint and composition, and the conflict between the sense of hearing and mathematical judgement.

The letters reveal two unusual methods of checking for errors in polyphonic compositions and cast new light on the score as a compositional tool.

#### FINDING THE NEWLY-COMPOSED *SOGGETTO* IN WILLAERT'S IMITATIVE COUNTERPOINT: A STEP IN MODAL ANALYSIS

Benito V. Rivera, Indiana University

The fragmented melodic lines of the individual voice parts in Renaissance imitative polyphony often seem to transgress against modal propriety by introducing extraneous species of fourth and fifth in intricate counterpoint. Here the analyst runs the danger of arbitrarily determining which species are predominant, and which are subordinate. The paper will address this problem by reexamining the role of the *soggetto* in counterpoint.

In the case of compositions with known *cantus firmi*, analysts feel relatively secure in explaining the modal function of each phrase in each voice. All modal deviations are usually traced to the necessity of conforming or yielding to the idiosyncracies of the *cantus firmus*, which in turn may be influenced by the text. This being so, the key to understanding works with a less obvious structure may be the fact that every composition has a *soggetto* to begin with. Zarlino's instructions suggest that even a hidden *soggetto* will be no different from a regular *cantus firmus* melody. Finding it in the maze of fragmented lines is therefore an indispensable step in modal analysis. This paper proposes a method of achieving that task in the case of Willaert's music. Reasoning from observable patterns in Willaert's treatment of known *cantus firmi*, the paper will demonstrate a process of reconstructing plausible *soggetti* in his freely imitative motets and madrigals. In addition, it will show how the other melodic lines interact with the mode of the reconstructed *soggetto*.

#### VICENTE LUSITANO'S *INTRODUZIONE FACILISSIMA*: IMPROVISATIONAL THEORY IN THE MID-SIXTEENTH CENTURY

Stewart Carter, Wake Forest University

Although the Portuguese theorist Vicente Lusitano was declared the victor over Nicola Vicentino in his famous debate at Rome in 1551, his ideas have largely been forgotten. In this paper I shall describe Lusitano's little-known theories of ensemble improvisation and relate them to contemporary compositional theory.

Lusitano discusses three different types of improvisation in his *Introduzione facilissima* (1553). The second and third types are particularly significant since they involve collective improvisation. In his second type Lusitano assigns a different role to each of the two improvising voices: the soprano is to proceed in parallel tenths with the given part, while the alto can do "as he pleases," provided that he avoids parallel thirds and sixths. This fixed relationship of the soprano to the *cantus firmus* is reminiscent of *fauxbourdon*. The third type is the most difficult, for here there are three improvising voices, two above the *cantus firmus* and one below. The upper two voices must observe not only the *cantus firmus*, but also the bass--an extraordinary feat, since the bass is an improvised part. Lusitano's rule that the soprano proceed in parallel tenths with the lowest part offers an indication of the origins of double counterpoint. The musical examples, which are more complex than the verbal directions suggest, indicate either what was possible with an ensemble of musicians of exceptional ability and rapport, or that Lusitano did not clearly distinguish improvisation from composition.

## IMPROVISED COUNTERPOINT IN LATE SIXTEENTH-CENTURY ITALY

Tim Carter, Royal Holloway and Bedford New College

*Contrappunto alla mente* continued to be a highly prized improvisatory art in late sixteenth-century Italy. Its widespread use, and the rules for its operation, are well documented by contemporary sources. However, these sources have been unduly neglected by modern scholars (Ernest Ferand is a notable exception), and there remains a need for a re-examination of their significance for contemporary musical activity. Furthermore, in a period when the relationship between "traditional" theory and contemporary practice was acknowledged to be fraught, if not verging on the irrelevant, *contrappunto alla mente*, in all its manifestations, provided a point of contact between theorist and practitioner and arguably focused the conceptual activity of contemporary composers. Thus it may offer a more amenable framework than "traditional" sixteenth-century theory for an exploration of compositional attitudes and methods of the period. Moreover, such potential insights into compositional processes also offer possibilities for the creation of analytical models--at the moment so lamentably inadequate--for dealing with late sixteenth-century polyphony. This paper therefore surveys the concept and techniques of *contrappunto alla mente* in theorists from Vicente Lusitano and Nicola Vicentino through Gioseffo Zarlino to Lodovico Zacconi and relates them to the broader issue of devising compositional and analytical matrices for studying the music of this period.

## Eighteenth-Century Topics

Leslie Brown (West Chester University), Chair

## THE EIGHTEENTH-CENTURY ORIGINS OF THE MUSICAL CANON

William A. Weber, California State University, Long Beach

What little writing there has been on the musical "canon"--by Joseph Kerman and Carl Dahlhaus most prominently--has taken for granted that it began with the Romantic movement in the early nineteenth century. These scholars have paid scant attention to the growing incidence of old works in programs and collections in most European countries during the eighteenth century. Musicologists need to come to grips with these tendencies if they are to understand the long-term development of the canon as a whole.

The problem here is a matter of methodology as well as timing. We must see the process of "canon formation" in closer reference to musical traditions than the literary ones upon which scholars have usually focused. The musical canon grew up in social and intellectual contexts specific to musical life that had relatively little to do with aesthetics. The systematic performance of old works as canon emerged during the eighteenth century as the extension of long-standing practices by which old works had occasionally been incorporated into repertoires of new ones. What happened to such works as Allegri's *Miserere* at the Sistine Chapel in the seventeenth century became a much larger set of practices in the eighteenth--for example, Henry Purcell's *Te Deum and Jubilate* as it persisted in English music meetings.

## PROBLEMS OF CHRONOLOGY, STYLE, AND FUNCTION

## IN J.S. BACH'S MOTETS

Daniel R. Melamed, Harvard University

It is generally assumed that Bach wrote his motets during the time he worked in Leipzig (1723-1750). This is largely because the few datable sources for the motets are from that period, and because evidence for the pieces' function, scarce enough in Leipzig, is virtually unknown in the places where Bach worked earlier.

But there are serious problems with this view. First, although many of the sources are from the Leipzig period, they document only performances or student copying, and not necessarily composition; most are secondary copies that provide little chronological information. Second, much of the documentation of the uses of the motets in Leipzig can be shown to be circumstantial and highly speculative.

Our view of the motets can be improved substantially in several respects. The motet "Ich lasse dich nicht" BWV Anh. 159, previously considered to be of doubtful authenticity, can now be attributed with certainty to J.S. Bach. Its secure dating to Bach's Weimar period opens up the possibility that other motets were similarly early. For example, the stylistic insights provided by this attribution make a Weimar origin likely for the otherwise undatable "Fürchte dich nicht" BWV 228. Two works transmitted in Leipzig-period sources--"Der Geist hilft unsrer Schwachheit auf" BWV 226 and "Jesu, meine Freude" BWV 227--can be shown to be reworkings of older pieces, and their first versions may also predate Bach's move to Leipzig. Motets and motet style thus represent a much more important aspect of Bach's early vocal output than has been previously acknowledged.

#### TELEMANN AND PERMUTATION TECHNIQUE: A STUDY IN COMPOSITIONAL PROCESS IN THE *STYLE GALANT*

Jeanne Swack, University of Wisconsin, Madison

In an early section of *Grundregeln zur Tonordnung* (1755), Joseph Riepel describes a technique which he calls *Verwechslungskunst*, in which he demonstrates ways in which beginning or amateur composers could learn to construct a melody by reordering and manipulating a limited number of single notes to form new measures, and by reordering measures to construct the melody part of an entire movement. Riepel's exposition of this technique is one of several such discussions in theoretical writings of the middle and late eighteenth century. Modern scholars, such as Leonard Ratner and Ian Bent, have pointed out the close affinity between Riepel's method and popular musical games of the period, in which the players could construct simple dances by the random reordering of musical segments as dictated, for example, by the throw of a pair of dice.

In this paper I show that Georg Philipp Telemann employed *Verwechslungskunst*, or permutation technique, in a more sophisticated fashion involving the entire polyphonic complex in his sonatas with basso continuo. Furthermore, I demonstrate that he began using this technique in sonatas only in Hamburg in the late 1720s, that he originally applied it most extensively and consistently to fast movements, and that his use of this technique became more refined and extensive in the early 1730s, reaching its most sophisticated level in the sonatas in *Musique de Table* (1733) and the *XII Solos à Violon ou Traversière* (1734). Using selected movements from the sonatas Telemann published in Hamburg between 1728 and 1740, I trace the evolution of this technique with regard to the thematic and harmonic functions of the musical segments, typical kinds of reorderings, and the relationship between permutation technique and the overall structure of the movements.

#### THE PERCEPTION OF THE RITORNELLO ON THE PART OF THE EIGHTEENTH-CENTURY MUSICIAN

Faun S. Tanenbaum, New York University

Venetian musical manuscripts of the eighteenth century employ many techniques of abbreviation and notational convention which were carefully copied, and clearly of some importance to performers. One important example concerns changes in notated clef for individual instruments. While compositions for the standard four-part string orchestra usually employ the clefs associated with the instrument (treble, alto, bass), many situations exist, in particular, where the bass

clef is used for the violins and/or violas. (Modern editions usually treat this as an issue of octave transposition, without indicating the original notation or its implications.) This notation appeared in scores, but also in parts, where the copyists could have translated the score abbreviations into a more functional notation for the players. This paper will show that the various instances of bass clef usage imply more than a convenient shorthand.

From the many examples surviving in arias, concertos, and sinfonias, it becomes evident that the use of the bass clef for treble-voice instruments in various combinations functions not only as a notational device, but also as an important signal to the musicians. From the composer's viewpoint, using the bass clef to notate the violin parts indicated that the violins were functioning as part of the continuo group. Further, the most frequent use appears in ritornellos, where all strings play in unison, as in the opening tutti of many Vivaldi concertos.

The Baroque violinist perceived this device as an indicator of the ritornello, as well as a signal that he was in the role of continuo player. In this way, the "ritornello bass clef" served to communicate both form and function to the Baroque musician.

**American Music and Society**  
**Judith Tick (Northeastern University), Chair**

THE RIDGELYS OF HAMPTON: NEW PERSPECTIVES ON MUSICAL LIFE  
IN NINETEENTH-CENTURY BALTIMORE  
Beth L. Miller, New York University

Because of the random survival of American musical sources from the early nineteenth century, it has been virtually impossible to reconstruct an accurate picture of the musical taste and activities of the sophisticated American family. Especially in Baltimore, long considered merely a cultural satellite of Philadelphia, ante-bellum musical life has remained obscure.

Recent research at Hampton Mansion, the premier estate in the Baltimore area, has revealed one of the most significant collections of music, supplementary archival materials, and iconographic documents from the early nineteenth century. This collection, containing more than thirty bound anthologies of music, including early American imprints, manuscript collections and a large number of French and Italian publications, in combination with extensive and detailed archival documents, allows the complete reconstruction of the musical activities of the Ridgely family. From instruments (including a rare example of an early Erard double-action harp) to the music, to bills for lessons, music, tuning and the like, to travel diaries and an 1818 portrait of Eliza Ridgely at the harp by the prominent American painter Thomas Sully, these materials make possible a new understanding of an American musical culture too long relegated to the fringes of scholarly awareness.

"OH SUSANNA," "LUCY NEALE," AND "JENNY LANE":  
TYPES OF BLACKFACE MINSTREL SHOW SONGS  
Kathryn Reed-Maxfield, University of Michigan

Aside from its inherent racism, no feature of the repertory of antebellum minstrel show songs is more striking than its diversity. Defining the repertory not as songs of a certain type (for example, those songs with texts in black dialect), but as songs that were created for and/or performed on the minstrel stage, reveals a *melée* of cultivated and vernacular traditions, oral and written compositions, comic and sentimental texts, dance tunes and ballads. The problem of typology is central to a description of this repertory.

No satisfactory typology of minstrel songs has been offered to date. An attempt to establish one for the some four hundred songs of my repertory study suggests that no single typology can be satisfactory; imposing one obscures the most

interesting features of the repertory. "Lucy Neale" and "Jenny Lane," for instance, have both been classified by Robert Winans as "sentimental/tragic love songs" by virtue of their texts. By virtue of musical style, however, the former fits William Austin's category of "comic Ethiopian" songs like Stephen Foster's "Oh! Susanna," while the latter more closely resembles Foster's "poetic" songs, or what Charles Hamm describes as Italianate "sentimental balladry." By yet another criterion, "Oh! Susanna" and "Jenny Lane" belong together in the class of those songs composed by known, professional songwriters, while "Lucy Neale" belongs in a separate class of songs attributed to musicians who were primarily minstrel show performers.

Rather than trying to force one all-purpose typology onto the repertory, I have established a series of criteria by which to sort it more flexibly. These criteria include musical form and style, the subject matter, structure, and language of texts, the origins of tunes, and the identity and professional background of composer/arranger. This paper demonstrates how overlaying multiple typologies can illuminate important features of individual pieces and provide a clearer view of a heterogeneous repertory.

*LADIES' HOME JOURNAL: MUSIC MENTOR TO THE AMERICAN WOMAN*  
Bonny H. Miller, Miami-Dade Community College

A significant, yet little-known musical legacy is found in the *Ladies' Home Journal* from the 1890s into the 1920s. As the first American magazine with a million subscribers, the *Ladies' Home Journal* was influential in disseminating progressive thought through its experimental contents. The *Journal* promoted musical education for women through pedagogy columns, through contests for the best musical work by amateurs, through scholarships to the New England Conservatory for girls who sold the most magazine subscriptions, and through actual music published in the magazine. A total of over two hundred compositions included piano solos, dances, songs, devotional numbers, and children's plays with music. The *Ladies' Home Journal* commissioned and copyrighted pieces from many outstanding composers just for publication in the magazine, from figures such as Grieg, Chaminade, Moszkowski, Paderewski, and Sousa. Even more numerous are works by American composers, including more than twenty women.

The musical contents of the *Journal* peaked between 1906 and 1917, when the great pianist Josef Hofmann was the musical editor. As a result of his friendship with Edward Bok, the *Journal* editor, Hofmann began to write articles on music study as early as 1901. Hofmann's pedagogy columns have been republished in book form, giving posterity a clear portrait of the teacher and his modern philosophy of fidelity to the letter and spirit of the score. The pianist also chose music for the magazine, revealing Hofmann's conception of the best contemporary music for the home. Musical examples illustrate the character of this repertoire as a blend of popular and art music styles. With music, as well as through pedagogy, the *Ladies' Home Journal* raised the artistic level of music-making by women at home.

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DVOŘÁK, BEACH, AND AMERICAN MUSIC:  
THE CASE OF THE "GAELIC" SYMPHONY

Adrienne Fried Block, Graduate Center, City University of New York

This paper will investigate the *Symphony in E Minor (Gaelic)*, Op. 32 (1896), of Amy M. Beach (Mrs. H.H.A., 1867-1944) from two points of view. The first is its relationship to the nationalist movement in music stimulated by Dvořák's visit to the United States (1892-95), a matter not previously considered. Dvořák, by his precept as teacher of composition at the National Conservatory of Music in New York, and by his example in a number of "American" works, most notably the *Symphony in E Minor: From the New World*, Op. 95 (1894), defined

the limits of the ensuing controversy over nationalism in American music for decades.

New information suggests a relationship between the two works, both in their genesis and in their realization. Dvořák's initial statement to the press in May 1893 recommended black music as the source for a new American national style in music. Hitherto unknown responses to Dvořák's statement by musicians of Boston, including Paine, Chadwick, and Beach, appeared a week later in a Boston paper. The varied reactions of this country's leading composers cast light on their own compositional practice. Of particular importance to this paper is Amy Beach's opinion that Northerners would be less likely to find inspiration in black music than in the folk music inherited with our language from the British Isles.

In writing the "Gaelic" Symphony, Beach followed her own precept. As themes she used both original melodies in folk style, and four Gaelic folk tunes not heretofore identified. Parallels exist between the "New World" and the "Gaelic" symphonies--in use of folk idiom within an overall late-nineteenth-century German style, the identity of keys, and certain similarities in construction--which may be explained in part by the few days that elapsed between the Boston premiere of Dvořák's "New World" and Beach's commencement of work on the "Gaelic." In the light of Beach's statement cited above, it is clear that the "Gaelic" Symphony must be considered an early exemplar of American nationalism in music, rather than of Romantic love of the exotic.

*The Composer's Voice and Music Criticism*  
Joseph Kerman (University of California, Berkeley), Chair

BEETHOVEN AS DRAMATIST: BEYOND CONE'S NOTION OF PERSONA  
Marion A. Guck, Washington University

This paper considers the dramatic force evident in the music of Beethoven in light of Edward Cone's *The Composer's Voice*. Principally, it argues against Cone's notion of the ubiquity of "musical personae," but in favor of the idea that musical works project dramatic situations, the meanings of which are conveyed through "a language of gesture: of direct actions, of pauses, of startings and stoppings, of rises and falls, of tenseness and slackness, of accentuation." Thus musical works convey their message through musical gestures that, to reinterpret Roger Scruton, imitate human verbal and physical gestures that are symptomatic of emotional or other mental states.

Cone suggests that every musical work projects a "persona," often through the mediation of an agent or agents. But the strength and emphasis of such portrayals are more variable than he indicates. For example, the solo instrument in Beethoven's Violin Concerto, Op. 61, clearly portrays the progress of dramatic narrative itself, projecting engagement in action, thought, and feeling with the particulars of agent and persona stripped away.

The paper will examine how the sense of a drama is projected without the mediation of musico-dramatic personae, particularly through detailed analysis of Op. 53. Music, unbound by referential meaning, is peculiarly suited to such unmediated representation, and, while the portrayal of personae can occur, the breadth and flexibility of gestural meaning make it only one of many ways music can "provide intense experiences."

QUESTIONS ABOUT THE PERSONA OF  
SCHUBERT'S WANDERER FANTASY  
Charles Fisk, Wellesley College

In order to articulate his concept of persona in music, Edward T. Cone begins *The Composer's Voice* with a discussion of Schubert songs, in which he distinguishes between the vocal persona (which can embrace one or several

characters), the virtual persona implied by the accompaniment, and the implicit or complete musical persona, arising from the combination of both. Later he applies the concept of implicit persona, along with the subordinate one of virtual agents, to instrumental music, stressing that none of these is the composer, but that the composer creates these imaginary personages by creating the music, which one can hear as their thought, utterance, and action.

This paper explores Cone's ideas in relation to an instrumental work based on a song, Schubert's *Wanderer Fantasy*. It asks whether the vocal persona of the songs simply vanishes with the words and the singer when Schubert adapts material from the song to its new context, or whether instead it remains latently in effect, expanding in scope to encompass the entire *Fantasy*. Cone characterizes the accompaniment of a song as an environment for its vocal persona, something of which that persona is neither conscious nor unconscious, but "subconscious." One might describe the unfolding of the *Wanderer Fantasy* as an awakening of that subconsciousness into full consciousness, in which that persona recreates its own environment through utterance and deed.

#### AGENCY IN INSTRUMENTAL MUSIC AND IN SONG

Fred Everett Maus, Wellesley College

Edward T. Cone begins *The Composer's Voice* with an extended discussion of vocal music, addressing important issues about the dramatic relations between vocal parts and the rest of a musical texture. The account of vocal music then provides a model for his relatively brief account of dramatic agency in instrumental music.

My paper begins by offering an account of instrumental music as drama, drawing on and extending Cone's suggestions. Cone emphasizes the dramatic quality of instrumental parts or polyphonic lines, conceived as interacting agents. But the individuation of agents is more ambiguous than Cone implies, and such ambiguity contributes to the interest of many musical textures. Further, musical lines are not the only aspects of music that invite animation as dramatic agents. Pitches, keys, and motives can also become "characters," and have done so in writings by Schenker, Schoenberg, Tovey, and others. Agency in instrumental music is indeterminate; to experience music as drama is to contemplate various attractive but underdetermined schemes of individuation for dramatic characters.

These findings complicate the analysis of texted vocal music. Cone's favored interpretive strategy is to describe aspects of the music so that they fit into a dramatic situation, more or less realistically conceived, that is essentially determined by the verbal text. The resulting analyses can be illuminating, but Cone's approach can be supplemented by another, less representational style of interpretation, drawing on the dramatic indeterminacies of the musical texture and the multiple semantic possibilities of the verbal text. Analyses of several songs from Schumann's *Dichterliebe* illustrate this alternative approach: the interactions of vocal and instrumental parts are often enigmatic, and the texts can sometimes be understood as providing an allegorical commentary on the gap between words and music.

#### COMPOSERS' VOICES: EDWARD T. CONE'S "PERSONAE" AND OPERA ANALYSIS

James Webster, Cornell University

In *The Composer's Voice* (1974), Edward T. Cone interprets music in terms of the various diverse "personae" (or "agents") in a work, which in turn are components of the controlling "complete persona," the "composer's voice" itself. His approach illuminates current issues in analysis and criticism: it emphasizes not

only the "narrative" and "dramatic" aspects of music, but also the multiplicity and diversity inherent in every great composition.

Vocal music is central to Cone's argument. This paper explores some implications of his method for the analysis of opera--the genre to which, arguably, the most interesting recent analytical work in all music has been devoted. A vital principle in this work is that of "multivalence." Coherence in opera, it seems, is to be understood not as "organic" or "unified," but as something which arises in complex ways from patternings in numerous distinct musical and dramatic domains. These patternings need not be congruent; they may even conflict. Far from being a defect, this complexity is a primary source of the richness and meaning of many great operas.

Cone's methodology for analyzing the various "personae" of a composition is directly transferable to the "multivalent" genre of opera. From a broader perspective, his lack of dogmatism, celebration of variety, and focus on narrative and "agency" in music give operatic analysis a more solid foundation than its own practitioners have realized. This paper will argue these propositions on the basis of examples drawn from Mozart's operas.

#### THE CAMERA'S VOICE

Alicyn Warren, University of Pittsburgh

In *The Composer's Voice*, Edward T. Cone posits that "each art...projects the illusion of a personal subject through whose consciousness an experience is made known to the rest of us." With regard to accompanied song and opera, Cone claims that this "personal subject" subsumes one or more "vocal personae" and an "instrumental persona." He further argues that an operatic character must normally be only subconsciously aware of the accompaniment, though he observes that exceptions arise when characters are depicted specifically as singing.

This paper continues Cone's examination of enacted songs in opera, and extends the discussion to cinema. Enacted songs in works by Mozart, Verdi, and Maxwell Davies are compared with regard to their adherence to (or departure from) the convention by which sounds issuing from the orchestra pit are taken to be abstract, generated perhaps by "the composer's voice," while sounds made onstage are understood as perceived by the characters also.

Cone's cinematic counterpart for "the composer's voice" is "the moving eye of the camera," and he suggests that film music can often be interpreted as allied with that camera eye. But distinguishing between the camera's "voice" and sounds which share the depicted world of the characters can be problematic, since in film, unlike staged works, perception of the spatial point of origin of a sound cannot indicate its level of actuality, because the same loudspeakers project all elements of the sound track. Ridley Scott's *Blade Runner* indicates the intriguing ambiguities that can result. The related issue of the incorporation of ambient sound into a musical score (as in *Il Trovatore's* anvil chorus) is supported by further examples from opera and film.

#### SMT SESSION

##### Set Theory II

Carlton Gamer (Colorado College), Chair

##### SOME SIGNIFICANT PROPERTIES OF TRANSPONENTIALLY INVARIANT COLLECTIONS

Richard Cohn, University of Chicago

Why do the fifteen transpositionally invariant set classes play such a significant role in the works of so many twentieth-century composers? This paper considers some properties shared by this group of set classes which lead to interesting compositional designs. Starr and Morris have noted that each of these set classes is generable by combining transpositionally related interval cycles. This paper reinterprets this observation in the context of transpositional combination. There are various ways to partition a  $T_n$ -invariant set into pairs of transpositionally related subsets, each pair belonging to a different set-class. For example, [0167] can be partitioned into tritone-related half steps or, alternatively, into tritone-related perfect fourths. Reversing the Starr/Morris process, the single larger set can generate the smaller subsets. The interaction of these subsets, both within and apart from the context of the generating superset, is a central feature of passages from the works of diverse twentieth-century composers (for example, Bartók, Debussy, Rzewski, Webern, and Berg), some of which are briefly explored. Two of Bartók's octatonic pieces from the *Mikrokosmos*, "Diminished Fifth" and "From the Island of Bali," are analyzed more extensively to show how such interactions can motivate the syntax of simple pieces.

### PITCH-CLASS SET GENERA AND THE ORIGIN OF MODERN HARMONIC SPECIES

Allen Forte, Yale University

Efforts to classify musical materials and to study their characteristics form a traditional part of music theory, one which extends up to the present era in the diversified corpus of writings by Haba, Hindemith, and Yasser in the 1930s and 1940s and, more recently, the sophisticated studies by Clough and Myerson, Eriksson, the very extensive "microtonal" investigation by Gamer, and the cosmic effort by Schaeffer.

Although this paper approaches the question of the large-scale organization of tonal materials from very elementary, even simple premises, its goal is somewhat grandiose: to show that the system of genera has implications beyond the merely lexical. The most important of these are indicated in the second part of the title, which implies that study of the pitch-class set genera illuminates certain general trends, perhaps "evolutionary" in nature, that can be seen in relatively recent music history.

The system of genera offers an objective frame of reference for harmonic materials, one that is independent of any particular compositional practice, in the specific sense that none of the genera is derived empirically from actual music, but, true to the Pythagorean heritage which underlies much contemporary music theory, all are constructed entirely on a logical basis from a few primitives.

The paper begins by forming the genera according to certain rules, after which the special characteristics of each genus are discussed. The genera are shown in relation to traditional scalar formations and in relation to Forte's set complexes of the "Kh" type. They are then compared using a numerical measure called the difference quotient. Conglomerates of genera, with a natural basis of association, then enter the picture. These structures, called supragenera, also undergo comparison.

Examples of genera in operation in actual musical compositions serve as a basis for a discussion of certain details of generic connections and as transitional material to a brief concluding section in which further directions and theoretical problems are suggested. Music by Schoenberg, Ravel, Musorgsky, Chopin, Messiaen, Webern, Stockhausen, Carter, Stravinsky, and Debussy is examined.

STEPS AND SKIPS FROM CONTENT AND ORDER:  
ASPECTS OF A GENERALIZED STEP-CLASS SYSTEM  
Stephen Dembski, University of Wisconsin, Madison

The tonal system and the twelve-tone system are conventionally understood as two independent musical systems. In order to understand them as included within a larger system of ordered pitch-class sets, the structural materials of the tonal system are derived from two twelve-tone sets, one determining the content of the diatonic collection, the other its order. With this derivation procedure as a model, a systematic framework of ordered pitch-class sets—including tonal materials, twelve-tone materials, diatonic and non-diatonic modal materials, and non-registrally ordered non-diatonic pitch-class sets of fewer than twelve—is presented. In this system, order-adjacency relations between pitch classes (rather than pitch-intervallic relations) are the primary criteria for the derivation of structural materials. Such criteria allow for an unusually simple rational reconstruction of the tonal system, as well as a general basis for the comparison of relations between, for example, structures of simultaneity and structures of succession in tonal and non-tonal music. Consideration of general criteria for theoretical simplicity, and the application of such criteria to musical systems, leads to observations about the structure and simplicity of musical systems and speculation about how such aspects might reflect their potential as bases for cognition.

**JOINT AMS/SMT SESSION**

**Chopin and Schumann**  
**Arthur Komar (University of Cincinnati), Chair**

**NINETEENTH-CENTURY EXPERIMENTS IN FORM: CHOPIN'S  
AUTOGRAPH MANUSCRIPT FOR THE *PRELUDES*, OP. 28**  
Martha Hyde, Columbia University

The published autograph of the *Preludes*, Op. 28 offers a rare glimpse into the concerns that occupied Chopin in the final stages of composition. At first glance, the many revisions in diminution, rhythm, and register appear superficial, but closer study often reveals experiments with large-scale form. The most interesting of these experiments involve delay of climax and/or delay in initiating the fundamental line. The revisions suggest that Chopin achieved both types of delay principally through registral structure used as a prolongational technique. Moreover, these registral prolongations appear often to control Chopin's innovative use of chromaticism and harmonic progression. Much has been written on these latter features, of course, but few have related late nineteenth-century proclivity for delayed climax with this most innovative aspect of forms in Op. 28.

The paper explores some theoretical implications of Chopin's experiments with delayed climax and through-composed formal structures in these *Preludes*, particularly for what they suggest about the development of form in the late nineteenth century. Delayed climax has much to do with a change in formal function of reprise. In Op. 28, often the formal context of a reprise differs markedly from that of its initial appearance; the reprise often signals the onset of the close instead of a return to the opening.

By focusing on the varied formal functions of reprise in Op. 28, a more precise understanding is offered of what Dahlhaus has described as the late nineteenth-century dissolution of the periodic and architectural structures of Classical forms in favor of linear or through-composed form.

## SONATA FORM(S) AND SCHUMANN

David Brodbeck, University of Pittsburgh

In his famous review of the *Symphonie fantastique* (1835), Robert Schumann remarked admiringly upon Berlioz's unorthodox deployment of the standard tonal and thematic groups of sonata form. Later critics, by and large, have held that Schumann himself never was able to achieve a comparable imaginative command of these features--that after 1840 his essays in his favored larger orchestral and chamber genres show an uncomfortably close dependence upon the "textbook" models developed by contemporary theorists such as Adolph Bernhard Marx. Schumann was well-versed in the modern theoretical prescriptions, to be sure. Yet his best sonata forms demonstrate that this acquaintance need not gainsay compositional novelty. Indeed, I would suggest that Schumann's consciousness of formal norms actually encouraged the production of idiosyncratic structures, wherein the leading features of sonata form are retained but set out in unpredictable configurations.

This paper focuses on the opening movements of the String Quartet in A, Op. 41, No. 3 (1842), and the *Rhenish* Symphony, Op. 97 (1850). Of particular interest is Schumann's handling of the repeated exposition. In each work this norm is maintained in a singular fashion--and with striking non-Classical tonal consequences. Even in such "classicizing" works, then, Schumann evinces a "progressive" side; his dexterous treatments of the sonata form conventions offer vivid testaments to the continuing power of his imagination during the later part of his career.

## CHOPIN'S COMPOSITIONS IN ONE-PART TEXTURE

Peter Breslauer, University of Notre Dame

The Prelude in E-flat Minor, Op. 28, No. 14 and the Finale to the Sonata in B-flat Minor, Op. 35 form a unique pair within the works of Frederic Chopin, in that they are both compositions in a single part doubled at the octave. Like the solo violin compositions of J.S. Bach, of which they are highly reminiscent, each of these enigmatic works contains within a single melodic strand a counterpoint of obbligato voices which presents a fully realized polyphonic structure. As with Bach, the study of these works raises important questions concerning the structure of an "unsupported" melody: the separation of diminution from fundamental voice leading; the relationship, in the absence of an explicit bass part, of voice leading to harmony; and the role of motive in a texture where the determination of the individual voices must itself be an act of analysis. Each is critical to an assessment of the work in one part.

In addition to the general analytical issues raised by these works, which are illustrated by the works themselves and by appropriate citations from the works of Bach, there are internal similarities that strongly suggest that Chopin was concerned in the Sonata to work out on a larger scale ideas treated in only a suggestive way in the Prelude. These are discussed in detail, as is the relationship of polyphonic structure to formal design.

SUNDAY, 6 NOVEMBER, 9:00 A.M. - 12:00 P.M.AMS SESSIONS

## Medieval Monophony

Anne Walters Robertson (University of Chicago), Chair

## SEQUENCE AND SONUM

Charles Warren, Rochester Institute of Technology

One of the problems of medieval music concerns the origins and antecedents of the sequence. There is evidence of a sequence-like form in the Gallican *sonum*, a chant that is described in some detail in the letter attributed to St. Germanus in Autun, Bibliothèque municipale, MS. 184. The *sonum* is referred to as a "magnalia modilia" sung by the "ecclesia" with "spiritalibus vocibus" and a three-fold Alleluia (*Laudes*) during the procession of the Oblation. These features relate to various aspects of the early sequence, namely: (1) the appearance of the word "Alleluia" as an incipit in the melismatic versions of the melodies; (2) the appearance of "partial texts" in positions that would correspond exactly to a pattern of tropes in a three-fold Alleluia; (3) the identification of some of the oldest sequence melodies as *cantus prius facti* or *modi*; (4) the analogical imagery of the earliest sequence texts, which reflects the celestial symbolism of the Gallican Oblation; and (5) the couplet structure, which shows the turns and counterturns of a labyrinth-like procession, the visual analogs of which appear as designs on the floors of Frankish churches. On the basis of these correspondences we may surmise that the sequence melodies represent a Gallican survival, that of the *sonum* or *Laudes* itself. Such a chant would doubtless have been regarded by the Frankish singers as too good to throw away, especially if it could be easily saved through a simple repositioning within the Roman Mass.

## THE ORIGINS OF THE ROMAN ALLELUIA

James W. McKinnon, State University of New York, Buffalo

It has long been assumed that the Alleluia of the Mass dates to the beginnings of Christianity, indeed that it was adopted from the liturgy of the Synagogue. If that view has been modified in recent years, chant scholars continue to see references to the Alleluia in fourth-century patristic writings. This, however, results from a misinterpretation of the literature, particularly the frequently quoted descriptions of the wordless *jubilus*, a musical phenomenon that in reality had nothing to do with liturgical chant.

The gradual psalm, on the other hand, did make its appearance in fourth-century Christian literature, east and west. While there was no Alleluia psalm sung in conjunction with it, the two can be seen together finally in lectionaries that reflect fifth-century eastern practice. By this time the disintegration of the Roman Empire had advanced to the point where the liturgical homogeneity of early Christianity was at an end, and the divergent liturgical dialects such as the Byzantine, Roman, and Gallican were in the process of formation.

It becomes a question, then, of when the Byzantine Alleluia was adopted by Rome. The evidence, both that derived from the early medieval liturgical and musical sources as well as the general historical background, suggests the later seventh or earlier eighth century, one of the most crucial periods in the history of the Gregorian Mass.

*CONCLUSIT VIAS MEAS: A "GALLICAN" CHANT?*

Theodore Karp, Northwestern University

The responsory *Conclusit vias meas* is an extraordinary chant that merits special attention. It is cited by at least three theorists in terms of the unusual problems that it presents. John (pseudo-Cotton) criticizes errors made by singers with regard to two areas of the Respond. Theinred of Dover classifies the chant among those that require two variable degrees, a fourth apart. And the Berkeley Anonymous, possibly identifiable as Goscalcus of Paris, provides a music example indicating that the chant opens on A-flat and leaps down to E-flat! The last two theorists corroborate one another. A brief verbal description of *Conclusit* can be framed easily: at its origin the chant began in the *protus maneria* and closed in either the *tritius* or *tetrardus maneria* based on the same final.

Readings from approximately thirty antiphonals and noted breviaries have provided the basis for this paper. These indicate an extraordinary diversity of approaches to notational problems. From this body of evidence, the following points will be taken up: (1) that *Conclusit vias meas* was of Gallican origin; (2) that Gallican chants had a special affinity for the use of variable degrees ("chromaticism"); (3) that John's discussion of *Conclusit* permits some insight into the bases of his knowledge of chant; (4) that the variant readings of this melody suggest certain conclusions regarding learning processes within a primarily aural tradition. Finally, an attempt will be made to ascertain the possible shape of the melody within the early oral tradition.

#### THE ORIGIN OF *CIUES SUPERNI*

Keith Falconer, Princeton University

Rarely does a liturgical trope reveal so much of its early history as *Ciues superni*, a Gloria trope for Easter Day found in various forms in manuscripts from Italy and northern Europe. Among these are three separate recensions, one from northern France, another from the Aquitaine, and a third from Italy which is only one of several forms from the region. A close comparison of the three suggests that the Italian and Aquitanian recensions are rather far from the original: each lacks verses common to the remaining recension, certain textual variants suggest the hand of an editor, and there are incongruities between the trope and the Gloria which make no sense. Only the northern French recension could possibly have been a common source, but even here there are difficulties, mainly because of contamination among the remaining sources. The solution is found in another form of the trope, close to the northern French recension but not identical to it, in a single manuscript from northern Italy; that the trope itself is from the same place is confirmed by a further group of manuscripts, also Italian, containing numerous verses from the northern recensions. A consideration of the melodies together with the sources suggests that not only the original form of the trope, but also the later adaptations, were composed in close proximity to one another. These are unsettling conclusions because they demonstrate that the earliest form of a trope is not always the most widely attested, and they leave open the possibility of determining the origins of other tropes, including the earliest of all, by similar means.

#### Sixteenth-Century Italian Music and Musicians

Anthony Newcomb (University of California, Berkeley), Chair

#### MUSIC FOR THE *SERENISSIMA*: POLYPHONY AT ST. MARK'S IN THE FIRST HALF OF THE SIXTEENTH CENTURY

Giulio M. Ongaro, University of North Carolina, Chapel Hill

One of the peculiarities of the history of music at St. Mark's in the sixteenth century is that no manuscript sources of music copied for its chapel seem to survive. It is primarily for this reason that an attempt at a complete reconstruction of the repertoire of St. Mark's at the time of Willaert is not possible at the present time. If

we do not have manuscript sources of music, we have however one set of documentary sources extremely helpful in partially reconstructing the repertoire, the *Cerimoniali*--books describing the proper way to perform various liturgical ceremonies and state occasions--whose earliest surviving copies date from the late 1550s. A thorough examination of the earliest of these registers yields a list of pieces performed by the singers of polyphony during the period of Willaert's tenure as *maestro di cappella*, as well as detailed descriptions of occasions involving the chapel. A comparison of the pieces listed in the *Cerimoniali* with the surviving music of Willaert and other composers suggests that manuscripts of polyphony for St. Mark's, mentioned by some documents, must have contained repertoire specifically intended for performance at the *basilica* and not generally made public. These and other documents also provide much interesting material for the history of performance practices and for an assessment of the place and importance of polyphony--and particularly of the polyphonic Mass--at the Venetian *basilica*.

ELENA MALVEZZI'S KEYBOARD MANUSCRIPT:  
A NEW SIXTEENTH-CENTURY SOURCE FOR THE MADRIGAL  
Craig Monson, Washington University

Given the fact that only about half-a-dozen sixteenth-century Italian keyboard manuscripts are known, the discovery of a new source at the Museo Bardini in Florence is of considerable interest. It is the only sixteenth-century keyboard manuscript whose meticulous calligraphy and elegant leather binding suggest that it was intended for a member of a noble family. The style of the elaborate tooling on the covers points to the work of a Bolognese binder, while a coat-of-arms on the front probably pertains to the prominent and powerful Malvezzis of Bologna. An inscription on the back cover suggests the most likely owner to have been Suora Elena Malvezzi, daughter of Lorenzo di Battista Malvezzi and a Dominican nun at the convent of Santa Agnese in Bologna from c. 1526 until her death on 11 October 1563.

This manuscript of 165 folios, containing 82 intabulations of madrigals, motets and chansons, represents the most substantial Italian manuscript collection of intabulations to have come to light. None of the works is attributed, but composers of the vocal models for three-quarters of them can be established through concordant sources printed between 1542 and 1559. Rore and Ruffo clearly predominate, followed by Berchem, Clemens, Jannequin, Gombert, Corteccia, Nacso, Cambio, and the youthful Palestrina.

Although virtually no evidence has come to light relevant to musical life outside the choir at Santa Agnese, sixteenth- and early seventeenth-century documents from more complete archives of other Bolognese convents help to explain the presence of so secular a source--which includes an isolated ribald retexting of a Ruffo madrigal--in a sacred setting.

OF DALLIANCES AND DUTIES: NEW DOCUMENTATION  
ON THE LIFE OF PIETRO PONTIO

Russell E. Murray, Jr., University of North Texas

Pietro Pontio (1532-1596) left his first position, that of *maestro di cappella* at Santa Maria Maggiore in Bergamo, under a cloud of scandal from a *processo* that was instituted against him by the ruling council of the church, but until now the testimony of this *processo* has remained unexamined. Indeed, its existence is noted only in Luigi Chiodi's exhaustive catalog of the church's archives. The testimony it contains offers a wealth of information concerning Pontio, the structure of the musical chapel at Santa Maria Maggiore at the time, and his duties as *maestro* and teacher of the clerics.

The most damning and direct charges investigated during the course of the *processo* were those of gambling and associating with prostitutes. The testimony

revolving around these charges offers rare glimpses into Pontio's character and personality. The charges of dereliction of duties, on the other hand, reveal much about the specific nature of Pontio's duties as *maestro*. Tantalizing details concerning pedagogical methods and the cleric's day-to-day routine likewise emerge from this testimony. The final outcome of the *processo*, the lack of specific action taken, as well as other documentary evidence, serve to sharpen our picture of Pontio's career, suggesting a *maestro* of recognized high stature even at this early point. Additional new documentary evidence will also be presented to augment information contained in the *processo*, correcting errors and filling in details of Pontio's life and career.

TOMASO PECCI (1576-1604): THE *SECONDA PRATTICA*  
STYLE OF A SIENESE ACADEMICIAN  
Laura Buch, Eastman School of Music, University of Rochester

Tomaso Pecci, Sienese composer, nobleman, and academician, was admired by his contemporaries as an exponent of the expressive modern style of text-setting. Indeed, he is cited in the company of Cipriano de Rore, Emilio de' Cavalieri, and Carlo Gesualdo in Giulio Cesare Monteverdi's list of notable *seconda prattica* composers. The author of several dozen canzonettas, two books of five-part madrigals, and a setting of responsories for holy week, he is also praised by Adriano Banchieri, and lauded in a poem by Giovambattista Marino. Pecci committed murder in 1603, and was exiled from Tuscany. At least part of that exile was spent in Rome, where he participated in the "giovedì musicali," attended also by Alfonso Fontanelli and possibly the poet Marino.

This paper, based on archival work conducted in Italy, examines for the first time the career and selected works of the composer, focusing on Pecci's secular style in light of the activities of the Sienese academies of the *Filomeli*, *Filomati*, and *Intronati*. While the academies figured prominently in Sienese and Medici court entertainments, their use of music has never been systematically studied. Pecci was a member of the *Filomati* and the *Intronati* as well as the *Filomeli*, a society devoted exclusively to music. Text and music of Pecci's songs are considered here with regard to the musical and poetic concerns of the city's academies, weighing the place of music in an academy evening, the interaction of poetry, music, and spectacle in the more elaborate *feste sanese*, and the current of Marinism which runs throughout the texts. The influences of Luca Marenzio and fellow Sienese nobleman Orazio Vecchi are also demonstrated.

In examining the works of Pecci and the activities of the *Filomeli*, *Filomati*, and *Intronati*, the present study expands our understanding of *seconda prattica* by considering its Sienese expression during the reign of the Medici.

A LUTE BOOK FOR "GIULIO MEDICI AND HIS FRIENDS" AND  
MUSIC AT COURT IN SEVENTEENTH-CENTURY FLORENCE  
Victor Coelho, University of Calgary

As our knowledge of instrumental music in early Baroque Venice, Rome, and Naples increases, Florentine instrumental music of the early *seicento* remains a puzzling and insular tradition, its stylistic roots difficult to unearth. Even Frescobaldi, who served under Ferdinando II Medici between 1628 and 1634, failed to make a discernable impact on the city's music, as he did later in Rome. Given the prominence and variety of instruments in Florentine festivals during the Renaissance and the rather large retinue of instrumentalists employed at the Medici court during the seventeenth century, an inquiry into the Florentine instrumental tradition would seem to be overdue.

Many insights into the style and function of instrumental music at the Medici court during this time are offered by a group of extant lute manuscripts, all of

Florentine provenance. Significantly, these sources include a lute book signed and apparently used by Giulio Medici, music for the 1608 wedding celebrations for Cosimo II Medici and Maria Maddalena of Austria, works by court lutenist Lorenzo Allegri, and numerous *balletti*, some appended with dance directions concordant with Caroso's *Nobiltà di dame* of 1600.

In this paper, I will suggest that these sources provide an accurate barometer of musical taste at the Medici court in the early seventeenth century. Furthermore, through comparison of the contents of these sources with those of other non-Florentine manuscripts, I will show evidence of an insular "Florentine" repertory, less advanced but more "social" than music in the courts or academies of Baroque Rome. Finally, I will describe the music for the Medici wedding celebrations of 1608 that is contained in these manuscripts and reconstruct some of the *balletti* that were provided for this sumptuous occasion.

### Haydn Studies

Wye Jamison Allanbrook (St. John's College, Annapolis), Chair

#### THE RHETORICAL CONCEPT OF MUSICAL FORM IN THE CLASSICAL ERA

Mark Evan Bonds, Harvard University

"Rhetoric" is not a term that today is ordinarily associated with large-scale, movement-length form. Yet many prominent theorists of the late eighteenth century, including Kirnberger, Forkel, Junker, and Koch, related the two concepts quite closely. To the rather limited extent that writers from this period commented on large-scale form at all, they generally tended to think in terms of a rhetorical framework. Form was viewed not so much as a harmonic plan but as an unfolding of thematic ideas, an ordered succession of thoughts that, to be intelligible, must ordinarily follow a conventional pattern of presentation. Momigny's analysis of the first movement of Haydn's Symphony No. 103 provides a contemporary (1803) example of this approach to form.

The rhetorical concept of form calls into question the framework of more recent debates concerning large-scale structures in instrumental music of the Classical era. Eighteenth-century sonata form, for example, is widely accepted to be an essentially harmonic construct. But this view cannot be integrated into a broader theory of form that also accommodates such structural conventions as the fantasia or theme and variations. The rhetorical framework offers an approach to form that gives priority to the thematic manipulation of ideas and at the same time more closely reflects the eighteenth century's own perceptions of large-scale musical structures.

#### THE "FALSE RECAPITULATION" IN THE EIGHTEENTH CENTURY: A REEVALUATION

Peter A. Hoyt, University of Pennsylvania

Recent accounts of the "false recapitulation" trace the device to a practice, common in Baroque and early Classical sonata-form movements, wherein the main theme returns in the tonic near the beginning of the second half. According to these accounts, Haydn wittily modified a stereotypical gesture associated with the beginning of the development to create a deceptive signal that this section has concluded.

An examination of Heinrich Christoph Koch's *Versuch einer Anleitung zur Composition*, however, suggests that Haydn's procedures were still understood in terms of the older convention. Problems with recent accounts become particularly evident when Koch's writings are compared with music to which he is known to have had access. Such a comparison suggests that the "false recapitulations" in Haydn's middle-period works should not, as has been maintained, be considered evidence that a unique significance was attributed to the coordinated return of theme

and tonic during the 1770s. The longevity of the older convention, as evidenced by the accounts of other late eighteenth-century theorists, as well as analyses of works from the eighteenth and nineteenth centuries, suggests that this standardization occurred much later than has heretofore been presumed. Indeed, it calls into question the entire concept of the "false recapitulation" as recently portrayed.

#### HAYDN AND SHAKESPEARE

Elaine R. Sisman, Columbia University

It has long been thought, based on a few reports in newspapers and theater journals of the 1770s, that Haydn provided instrumental music for spoken theatrical productions at Eszterhaza. Noteworthy in this regard was the role played by the celebrated Karl Wahr troupe in bringing Shakespearean tragedies to Eszterhaza and Pressburg, among other cities. But Haydn's music for *Hamlet*, mentioned in at least two sources of the period, has never come to light. Modern scholars have suggested that if Haydn did write *Hamlet* music, he might have incorporated it, as well as music for other plays, into his symphonies, along the lines of his Symphony No. 60 (*Der Zerstreute*).

Drawing on documentary, terminological, and musical evidence, this paper examines the case for Haydn's symphonies to be used in plays by Shakespeare and others in Vienna, Eszterhaza, and environs. Wahr's introduction of Shakespeare to Eszterhaza is viewed in the context of the first German adaptations of Shakespeare performed in Vienna during the 1772-73 season, especially the Heufeld version of *Hamlet*, so different from the original that it distanced the initial experience of Shakespeare in Austria from that in Germany. Of considerable importance also are the titles of some of Haydn's symphonies in this period, in particular the conflicting titles transmitted in the sources for one of Haydn's most well-known "*Sturm und Drang*" symphonies (No. 49 in F minor). The evidence argues for a wider application of Haydn's symphonies to theater than hitherto supposed, and reinterprets the dramatic rhetoric of Haydn's symphonic language in the late 1760s and 1770s.

#### THE AUTHENTIC VERSIONS OF HAYDN'S SYMPHONY NO. 53

Stephen C. Fisher, University of Pennsylvania

Haydn's Symphony No. 53 occurs in a baffling number of versions--the Hoboken catalog lists seven without exhausting the possibilities. Four different finales are known, two in conjunction with several combinations of other movements. The symphony has also been assigned dates of composition ranging from 1774 to 1780, with some writers hinting at revision at an even later date.

The textual examination of nearly three dozen printed and manuscript sources for the work in preparation for editing it for the *Joseph Haydn Werke*, combined with new documentary evidence, has made it possible to resolve most of the uncertainty. Though one or two movements originated separately before the work as a whole, the symphony itself probably came into existence shortly after April 15, 1778. It was commercially available in Vienna in its final form in 1779, suggesting that Haydn made his final revisions not long after he had first assembled the work. Only two versions of the symphony are authentic. The original version, Hob. I:53B, has the overture Hob. Ia:7 as finale and lacks the Largo introduction. The final version, Hob. I:53A, has a new fourth movement (Capriccio: Moderato) and employs the Largo introduction to the first movement. Textual considerations indicate that all the other versions--including Hob. I:53B, the one most often performed today--were created by hands other than Haydn's. The study demonstrates the value of the text-critical approach in resolving editorial problems and issues of compositional history that would otherwise be completely intractable.

Nineteenth- and Twentieth-Century French Connections  
Karin Pendle (University of Cincinnati), Chair

LOUISE BERTIN'S *FAUSTO*: AN EARLY FAUST IN FRANCE  
Denise Boneau, University of Chicago

Louise Bertin's *Fausto*, performed at the Théâtre-Italien in Paris in 1831, is an important early opera based on Goethe's *Faust*, and in fact can lay claim to being the earliest serious, faithful adaptation of Goethe's *Faust* written by a French composer.

Frequently cited in works about other *Faust* adaptations, Bertin's *Fausto* nevertheless has not been looked at closely since its premiere, despite the lip-service given to its significance. This paper examines aspects of Bertin's score, demonstrating the skill with which she was able to translate the power of Goethe's great drama into music. Fétis himself makes the comparison between Bertin's musical style and Berlioz's in his 1831 *Revue Musicale* review of *Fausto*.

In addition to examining the music of Bertin's *Fausto* in some detail, this study significantly alters our view of the reception of Goethe's *Faust* in France. Although much has been made of Gérard de Nerval's contribution to the popularity of *Faust* in France, Bertin's interest in *Faust*, dating to before her June 1826 publication of the "Ultima Scena di Fausto" (for soloists, chorus and piano), predates Gérard's translation and therefore Berlioz's *Huit Scènes de Faust* by at least two years. An earlier, much overlooked translation by Albert Stapfer is shown to be the inspiration for Bertin, Delacroix, Boieldieu, Meyerbeer, Charles Nodier, Etienne de Jouy, Eugène Scribe and several boulevard productions, all before Gérard's translation of 1827-1828. Bertin's publication of her "Ultima Scena di Fausto" in 1826 is the earliest documented creative work based on Goethe's *Faust* produced in France.

LISZT'S HUGO SONG TRANSCRIPTIONS  
Rena Charnin Mueller, New York University

In 1843 and 1844, Franz Liszt published two sets of songs, entitling the collection *Buch der Lieder*. The works featured poems by Heinrich Heine and Victor Hugo, the title borrowed from Heine and an affectionate gesture to him. Liszt transcribed the Heine songs for solo piano and published them independently in that form. However, in the case of the Hugo songs, the works never reached print during Liszt's lifetime: unfortunately, the composer lost track of the transcriptions, and they do not appear in any of the contemporary inventories or catalogues of his works.

Until 1973 the manuscripts of the Hugo song transcriptions lay unknown in the Weimar archive, when they were discovered by this author. Comparison of the original songs with their piano counterparts proves enlightening and illustrates Liszt's highly individual techniques of revision. To complicate matters further, Liszt later revised the songs in light of the piano transcriptions, adding yet another layer of transformation and revision to this body of music. Among the most striking, and highly typical, is the composer's vacillation between duple and triple meter for "Enfant, si j'étais un roi." My presentation will include first performances of these pieces, which bridge the traditions of *Mélodie* and *Lied* in the 1840s and thus demonstrate another level of Liszt's pivotal influence during his time.

A STUDY OF FRANZ LISZT'S *ANNÉES DE PELERINAGE, BOOK 3*  
THROUGH ITS MANUSCRIPT SOURCES  
Dolores Pesce, Washington University

With few notable exceptions, a critical appraisal of Liszt's music has yet to benefit from scrutiny of the manuscript sources. One work readily susceptible to

manuscript study is the cycle *Années de Pèlerinage, Book 3*, since all but one of its seven pieces survive in an earlier draft. Significantly, these pieces were conceived in a period (1867-77) when Liszt's music showed some degree of tonal experimentation, while their publication date (1883) coincides with his composition of works in which tonal ambiguity and non-functional harmony come to the fore.

The earlier drafts, indeed, reveal that Liszt's conceptions for several of the pieces changes by the time of their publication. For instance, the tonal dichotomy of A/C-sharp that opens *Sunt lacrymae rerum* is exploited to give a non-functional ending in the final version, while an earlier draft presents a relatively more conventional tonal ending. On a more complex level, the draft of *Aux Cyprès de la Villa d'Este II* reveals that at the outset Liszt did not necessarily wed tonal experimentation with innovative structural design. In its final version, Liszt allows the tension of the opening tritone relationship to direct the entire piece, resolution occurring only in the middle of the coda. But in the earlier version, thematic return retains its traditional precedence, as the primary material is recapitulated in the tonic.

A comparison of drafts and final versions also indicates that Liszt later intensified gestural connections among the pieces. While the cyclical musical character is thus evident, a unifying program has remained elusive until now. The writer has uncovered a hidden program which allows us to view Liszt's "Years of Pilgrimage, Book 3" as a spiritual journey in which his native Hungary plays a significant role.

#### ERIK SATIE AND VINCENT HYSPA: NOTES OF A COLLABORATION

Steven Moore Whiting, Madison, Wisconsin

Many twentieth-century composers of "serious" music have adopted idioms from entertainment music, but Erik Satie is nearly unique in having earned his livelihood for some two decades in entertainment milieux. Satie's participation in the popular music culture of his time and town--and particularly, his friendship and collaboration with chansonnier Vincent Hyspa--had a fundamental impact on his creative output. Yet, in the pertinent literature, this aspect of Satie's career has been more a matter of acknowledgment than knowledge. For one thing, the requisite immersion in contemporary Parisian musical entertainment has lain outside the scope of Satie studies to date. For another, the bulk of manuscript documents reflecting Satie's popular music-making has only recently been opened to public inspection, at the Houghton Library of Harvard University.

This paper will focus on Satie's collaboration with Hyspa, drawing on primary sources largely untapped in previous writings on Satie--memoirs, daily entertainment columns, letters, and (especially) the manuscripts at Harvard. Among the questions to be considered: How much of the music Satie performed with Hyspa was of his own composition? And how did the collaboration with Hyspa affect Satie's decision to pursue the career of a *fantaisiste*, or musical humorist--not *faute de mieux* but as a calling worthy in its own right? The talk will include a first "modern" performance of a Satie chanson written for Hyspa.

#### Cultural and Aesthetic Issues

Ruth A. Solie (Smith College), Chair

#### GENDER, PROFESSIONALISM, AND THE MUSICAL CANON

Marcia J. Citron, Rice University

The musical canon, or standard repertory, embraces compositions of diverse genres, from diverse geographical areas, but is homogeneous in at least one respect: all or almost all are authored by men. Women are not represented and thus denied a voice and creative authority.

Canon formation results from a complex interaction of factors, reflecting societal values of the past and the present. Among the factors obscuring women's visibility in the canon are those tied to professionalism: relatively few published pieces; few public performances, especially over the long term; and critical reception that has dispensed a sort of sexual aesthetics, a no-win double standard. Gender/genre associations have worked to exclude women's music from the canon, which favors the large forms. Lack of access to professional positions has closed off a vital conduit. The paper explores these issues with emphasis on figures from the nineteenth to the early twentieth century, and also probes a more fundamental matter: philosophical prohibitions against women as creators, especially the influential essentialist view.

A canon does not alter its presumptions easily. Understanding this inherent inertia can keep us alert to other vital elements in the musical picture of a given time.

#### SOME REMARKS TOWARDS A MUSICAL AESTHETICS BASED ON THE CONTRIBUTIONS OF ANTHROPOLOGY AND ETHNOMUSICOLOGY

Marcello Sorce Keller, Milan Conservatory, Italy

Joseph Kerman recently wrote: "Musicology is perceived as dealing essentially with the factual, the documentary," and later added: "Musicologists...are not admired for their insights into music as an aesthetic experience." His statement describes not so much musicology *tout court*, but rather a trend in American culture that has some bearing on the development of musicology. Schenkerism provides a good instance: the neglect of Schenker's intent that analysis be the primary tool of the music historian, a tool meant to guide discrimination and judgement, signals that aesthetics, as a discipline, is experiencing a crisis.

For some time after the waning of Romanticism, aesthetics tried to remain *ancilla artis* much in the way philosophy in the Middle Ages had been *ancilla theologiae*. Progressively, however, sociology brought about a change of perspective. By focusing its attention on forms of behavior that are socially relevant, it fostered a reformulation of aesthetic issues by emphasizing their links with the domain of politics and ultimately, therefore, with ethics. In this sense we came rather close, in Europe, to having aesthetics become *ancilla rerum politicarum*. In so doing, European sociology came to neglect Weber's principle of *Wertfreiheit*. American anthropology and ethnomusicology, on the other hand, have successfully refrained from value judgements, possibly because of a constant effort to avoid ethnocentrism.

In this paper I will try to show how the contribution of anthropology and ethnomusicology allows in the realm of European art a fresh look at questions that have long held a central place in aesthetics. I will address issues of invention, creation, composition, improvisation, performance, and interpretation. Although I cannot tackle them all in a short paper, I can at least discuss what they appear to have in common from an anthropological viewpoint.

#### MUSICOLOGY AND CRITICISM: A CROSS-CULTURAL AND CROSS-DISCIPLINARY PERSPECTIVE

John Shepherd, Carleton University

This paper re-assesses problems in the significance and evaluation of music in terms of three recent, seminal publications: Joseph Kerman's *Contemplating Music: Challenges to Musicology* (Cambridge, Mass., 1985); Simon Frith's "Towards an Aesthetic of Popular Music" in *Music and Society: The Politics of Composition, Performance, and Reception*, ed. Richard Leppert and Susan McClary (Cambridge, 1987); and Catherine Ellis' *Aboriginal Music: Cross-cultural Experiences from South Australia* (St. Lucia, 1985). The paper argues that the crucial issue currently facing Western musicology is not the relative weight and importance that should be attached to either empirical work or the critical enterprise,

but what the nature of the critical enterprise should be. Unlike more traditional, liberal humanist approaches to criticism, which have tended to decontextualize music from the social conditions of its creation and appreciation, popular music studies have been forced to consider how various genres of popular music articulate social and cultural meanings as a prelude to the critical enterprise. A sociologically informed agenda for academic, popular music criticism has, as a result, only recently been announced by Frith. His work, however, although paving the way for a synthesis of sociological and musicological approaches to understanding and evaluating music, still relies on notions of the "sociological base" as a foundation for criticism, and does not explore the consequences of the music as text for a sociologically informed criticism of music.

This paper argues that a sociologically informed criticism of music must recognize the specificity of the the musical text as but one form of social expression, and be open to the possibility that musicology could, as a consequence, provide considerable insights into our own and other cultures not provided by other disciplines. Drawing on the work of Ellis, it further argues that musicology need not become a projection of sociology or anthropology, nor simply remain an ungrounded enterprise in itself. Musicology fulfills a distinct and specific role in expanding our understanding of cultures, and belongs alongside other disciplines with more developed critical awareness. The crucial question is no longer how to understand music and individuals in terms of society, but rather how to understand societies and individuals in terms of music.

#### THEORY "ON THE FLY": MODELING MUSIC AS DYNAMIC PROCESS

Vern C. Falby, Louisiana State University

Hanslick explained his famous comment about music's being form in tonal motion by likening music to an arabesque in architecture, but one imagined in a state of motion. Such fascination with the motion or movement we perceive in music, with music's dynamism, has been characteristic of much musical criticism since Hanslick. Though recognition of the dynamic nature of music is all but universal, discussion addressing the question of what it is exactly that creates dynamism is considerably rarer. The issue tends to fall through a crack that probably should not exist, but tends to still, between analysis and aesthetics. Our sense of the kinetic in music, after all, lies between a score and us, in our transformation of the potential structures of that score into the processes of its real or imagined performance.

This study seeks to bring some technical clarity to an aesthetic intuition often discussed in the haziest of metaphors and generalities. Drawing upon semiotic and music theory for its conceptual tools, it seeks to generate an explicit model of our experience of the dynamic in music. To do this, it proposes and examines the working of four constituent aspects of musical dynamism: the phenomena of Virtual Motion; of Implication; of Continuation; and of Closure and its role in generating our sense of a work's form. The paper also suggests several crucial ramifications of this effort to capture and study the evanescent--for analysis, for performance planning, and for our age-old quest to understand the importance of music in human affairs.

### SMT SESSION

Music Since 1945

Wayne Slawson (University of California, Davis), Chair

SETS, SCALES, AND SYMMETRIES: THE PITCH-STRUCTURAL BASIS OF  
CRUMB'S *MAKROKOSMOS* I AND II

W. Richard Bass, University of Connecticut

Volumes I and II of George Crumb's *Makrokosmos* are widely regarded as major contributions to the twentieth-century piano literature and together constitute a *tour de force* of extended performance techniques and timbral exploitation of the instrument. Previous studies pertaining to this work have tended to focus on Crumb's stylistic idiosyncracies and special effects and have failed to identify any substantive underlying organization based on more traditional structural parameters, including that of pitch. The purpose of this paper is to demonstrate that pitch-structural materials and processes in these volumes are indeed well integrated and rigorously applied.

The pitch-structural materials of this work include four basic trichordal set types from which larger sets are generated through various symmetrical dispositions of pitch classes. The larger collections are identical to the familiar whole-tone, pentatonic, and octatonic scale types. These materials are assimilated into a tightly interwoven complex of pitch class sets which offers not only a variety of pitch-structural units but also the potential for carefully controlled interaction within the system.

The processes by which these materials are developed depend primarily upon symmetrical organizational schemes within which certain pitch class and intervallic relationships function as motivic cross-references in both local and large-scale reticulated structures. There are also numerous intravolume and intervolumne connections which help to fuse the individual *Makrokosmos* pieces into a convincing cycle.

#### STRUCTURAL FACTORS IN THE MICROCANONIC COMPOSITIONS OF GYÖRGY LIGETI

Jane Piper Clendinning, Yale University

After his arrival in the West in 1956, György Ligeti began to develop a new compositional idea—a kind of counterpoint in which multiple musical lines are combined to form a dense polyphonic texture—which he called "micropolyphony." In his micropolyphonic compositions, Ligeti sometimes uses techniques traditionally associated with counterpoint such as canon, imitation, and compound melody. This paper treats compositions belonging to a particular subcategory of micropolyphony in which the polyphonic texture is formed from a single melodic line set against itself in canon. These compositions, which include *Lux Aeterna* (1966), *Lontano* (1967), and the *Chamber Concerto* (1969-70), are particularly interesting in that, although the melodic strands are combined in strict canon, the individual lines that form the musical texture are not readily audible. The relationship between the canonic construction and resulting audible structures of these compositions is examined on three levels: the microstructure (the smallest scale elements of the musical structure); the audible surface or "middleground" (the shaping of complete lines and the action of lines and harmonies in the formation of phrases and sections); and the macrostructure (the interaction of larger sections in the overall form of the composition).

#### PITCH SETS AND PITCH AGGREGATE PARTITIONS AS EXPRESSIONS OF PITCH-CLASS RELATIONSHIPS IN DONALD MARTINO'S *TRIO* (1959)

Paul A. Laprade, Eastman School of Music, University of Rochester

Although Donald Martino is one of America's leading composers, there are remarkably few published analyses of his music. Studies such as those of Rothstein, Fennelly, and Weinberg tend to focus on recent compositions; as yet, almost nothing deals with Martino's music before 1970.

This paper fills the gap by explaining in detail the structure of one of Martino's earliest and most highly acclaimed dodecaphonic works, the *Trio* for

violin, clarinet, and piano (1959). According to the composer, the *Trio* is the first of "a number of compositions based on the same principle."

Weinberg's seminal article on the *Trio* establishes Martino's use of sectional transformations, a technique which characterizes many of Martino's works to date. This paper shows, however, that the *Trio* differs from many of Martino's later dodecaphonic works in three important ways. First, it lacks the large-scale projection of significant pitch-class sets (or mosaics) that are typical of Martino's more recent works. Second, many elements of its design explicitly demonstrate Martino's notion of "transitional" and "normative" rows, reflecting Schoenberg's notion of regional row groupings. The *Trio* uses not only pitch classes but also distinct members of their pitch subclasses to articulate large-scale structure.

Weinberg's introductory remarks on the pitch-class structure of this work provide a basis from which other subclass relationships may be asserted. These relationships, many of them in pitch-space, are shown to be expressions of the symmetrical (transformational) ordering of pitch classes within the row, segmental invariances between same-region row pairs, and formal characteristics of the *Trio*.

### JOINT AMS/SMT SESSION

**French Theory of the Seventeenth and Eighteenth Centuries**  
Mary Cyr (McGill University), Chair

**MERSENNE'S MISGUIDED CONCEPTION OF THE HARMONIC SERIES**  
Burdette L. Green, Ohio State University

Mersenne's concept of the harmonic series must be characterized as incipient because he failed to grasp or, more likely, could not accept the essential fact that harmonics follow an infinite series of simple multiples of the prime frequency. His conviction that nature is harmonic and therefore bound by the ratios of consonance led him astray. While the musical aspects of his speculation fit nicely with practice, many of his acoustical explanations were untenable even in his own time. The determination of Mersenne's central principle is admittedly a matter of interpretation. His observations were not entirely consistent with one another, and terminology was not precise. However, as shown in his discussion of overtones and trumpet skips, Mersenne considered the natural series of tones to progress according to the first six simple divisions of unity followed by similar subdivisions of these divisions. Thus, the tones generated are either consonant with the prime pitch or with a previous term of the series. The beauty of Mersenne's scheme was that it avoided all of the nonmusical ratios that later plagued Rameau. But the age in which such a rationalization could be seriously proposed was soon to pass.

**STRICT AND FREE COUNTERPOINT:  
THE MID-SEVENTEENTH CENTURY ROMAN POLYCHORAL STYLE  
IN HISTORICAL PERSPECTIVE**  
Craig S. Shuler, New York University

Marc-Antoine Charpentier's analytical remarks inserted as marginalia in his own manuscript copy of Francesco Beretta's *Missa Mirabilis elationes maris* provide many insights to the spectrum of contrapuntal mechanics operative in this relatively uncharted repertory. The monumental expansion of Palestrinian classicism engendered a rich variety of means, (1) to disguise or mitigate parallel perfect consonances, (2) to prepare or resolve a single dissonance among several discrete parts, and (3) to evolve imitative textures through figuration ("il lavoro tematico"). These procedures, when taken together, reveal a judiciously flexible and ingenious

technique in sustaining true polyphony in as many as sixteen voices. Examples from the published Masses of Orazio Benevoli, the seminal figure of this school, are shown to be stylistically in agreement with Charpentier's own generalized examples, and also with his estimate of Beretta's practice. While the contemporary writing frequently criticized the contrapuntal decadence of these works, Charpentier's theoretical constructs explicitly or implicitly demonstrate an interim phase or historical mid-point in the evolution of counterpoint, extending from Palestrina to the High Baroque, in which the classifications of "strict" and "free" are vividly defined both by theory and practice.

#### RAMEAU, INTENTION, AND THE MAJOR TRIAD

Brian Hyer, Yale University

This paper revalues the relation between the major triad and the harmonic series in Rameau. Rameau meant to abstract the major triad as a "natural" object from the harmonic series through two transformational rules: octave equivalency and appreciability. These rules, however, presuppose the intervals of the major triad, the object they were meant to derive from the harmonic series. The circularity of this process undermined Rameau's attempts to prove, through "scientific" means, that the major triad was "given" in nature.

The major triad, rather, is an "intentional" object. It is understood, in this sense, to "represent" composite pitch through its mental association with the harmonic series, a relation formalized at length with reference to recent semiotic theories. The paper contends that the major triad is in fact evident as an intentional construct in Rameau all along, that the natural metaphors in Rameau deconstruct to represent, ironically, the very thing Rameau meant them to disassemble--an intention that lends "significance" to the relation between the major triad and the harmonic series.

The paper concludes with the various attempts in Rameau to derive the minor triad from the "natural" resonance of composite pitch. The minor triad is then formalized in terms consistent with the semiotic analysis of the major triad.

#### AN EIGHTEENTH-CENTURY ANALYTICAL SYSTEM:

"BASE D'HARMONIE"

Cynthia M. Gessele, Princeton University

In 1778 Alexandre-Théophile Vandermonde (1735-96) presented a "System of Harmony Applicable to the Actual State of Music" at the French Royal Academy of Sciences. Jean-Benjamin de Laborde, who supported Rameau's system of fundamental bass, attacked Vandermonde's system in his *Essai sur la musique* (1781), using musical examples to support his argument. Vandermonde then clarified his system in a second presentation at the Academy in 1781 and also included musical examples.

This exchange provides an illustrative example of the reshaping of music theory in late eighteenth-century France when many of Rameau's basic principles were re-formulated or rejected. Vandermonde proposed a system that described harmonic procedures in existing musical compositions using a signifier he called the *base d'harmonie*. Rejecting the "scientific" systematization of Rameau-based theory, Vandermonde set forth his system as one that could be used to "analyze a piece of music." Using the examples given by Laborde and Vandermonde, this paper discusses how fundamental bass represented a closed system that limited and strictly defined compositional practice, whereas *base d'harmonie* represented an open-ended system that simply described it.

Vandermonde's papers could be dismissed if it were not for the fact that they received unusual consideration at the Academy and were reprinted in the *Journal des savants*. Their importance lies in the similarities between Vandermonde's views concerning the simplification of harmonic theory and those of the harmony treatise

that was chosen over systems of fundamental bass as the official pedagogical doctrine of the French National Conservatory in 1801.

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