

**Muzikos komponavimo principai.  
Istorinės sklaidos aspektai**

**Principles of Music Composing.  
Aspects of Historical Dispersion**

Leidiny s skiriamas  
prof. habil. dr. Algirdo Jono Ambrazo  
70-mečio jubiliejui

The publication is dedicated  
to the 70<sup>th</sup> jubilee  
of Prof. Habil. Dr. Algirdas Jonas Ambrazas

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## Preface

This occasional publication is dedicated to the 70<sup>th</sup> jubilee of Prof. Habil. Dr. Algirdas Jonas Ambrazas. The offered book and its supplement consist of scientific articles presented at the 4<sup>th</sup> international conference on theory of music "Principles of Music Composing. Aspects of Historical Dispersion" held on 22–24 April 2004 in Vilnius. The intention of the conference to thoroughly and in detail analyse problematic aspects of the research close to the patron, determined to a certain measure the selection of the conference subthemes: 1) old and new composition; 2) various epoch-related music theory and history conceptions (systems) on the principles of composing; 3) national schools of musicologists and composers at the turn of centuries.

The organizers of the conference – the Lithuanian Academy of Music and Theatre, the Lithuanian Composers' Union and the Centre of New Music Communication. The sponsors of the conference – the Lithuanian Fund for Support of Culture and Sport.

The response to the first subtheme "Old and new composition" in the made reports was symptomatic. The most thorough study is focused on the aspect which can be in the most general sense called the syntax of music and composition. Of interest are the aspects that the analysis of the syntax is oriented. Daiva Rokaitė-Dženkaitienė analyzes the space aspects of the articulation in renaissance compositions, Margarita Katunyan discusses articulation possibilities of the subjective and objective time-related process (Adorno and minimalists), Marius Baranauskas makes an attempt to articulate even the geography of world orchestras, pointing out possible contact points of distant orchestra cultures, whilst Tiina Koivisto centres her analysis on the influence of autonomous total chromatics on the syntax and form of composition.

The reports dealing with the second subtheme "Various Epoch-related Music Theory and History Conceptions on the Principles of Composing" greatly topicalize the relationship between theory and practice. Incidentally, the latter seems to have been always topical. Mattias Lundberg strives to clear up on what scale counterpoint theory (Tinctoris and his contemporaries) might have influenced the composing practice of the period. Haiganus Preda-Schimek associates the mentioned relationship with an etymological and epistemological origin of the musical term. The relationship between theory and practice of composing shows itself in an unexpected aspect, analyzing composition by Schenker's method. Mart Humal explores the reasons for the inadequacies of contrapuntal and formal structure. Music theory, despite the limited character of the period-related development of science, as a rule, paves the path for the basis of more comprehensive conceptions. The evolution of the relationship between theory and composing practice is presented in the comparisons of the conceptions of music history carried out by Rimantas Janeliauskas.

The greatest number of reports were devoted to the third subtheme of the conference "National Schools of Musicologists and Composers at the Turn of Centuries". Miriana Veselinovic-Hofman's question "Do any national schools of musicologists' exist?" serves as a "tuning-fork" of all the reports. The author of the report is of the opinion that "musicology is not a mere rendering of the service to the activities of the composer but is also marked by a creative space in itself". Therefore, a national school of musicologists can exist only due to individual creative efforts. The conception of national musicology would be inferior without thorough investigations of ethnoheritage. In his report Rimantas Sliužinskas reviews the panorama of impressive works carried out by Lithuanian ethnomusicologists. The definition of national musicology would lack its full value without permanent studies of national music classics. Thus, the report on a Lithuanian composer M. K. Čiurlionis, a genius of music, by Rimantas Janeliauskas ("M. K. Čiurlionis/ Urecognized Cycle for Piano") logically imbue the conference themes. Investigations into the peculiarity and style of the national music is a particularly significant sphere of the national school of musicologists. The contribution of Lithuanian musicologists to this sphere is explored by Jonas Bruveris. The rest six reports are devoted to the manifold activities of Prof. Algirdas Jonas Ambrazas, one of the outstanding pillars of Lithuanian musicology. "Opus magnum: a Geneological Tree of J. Gruodis School of Composers" is the title of Gažina Daunoravičienė's interesting report. Audronė Žiūraitytė reports on the activities marked by the priorities of national values of Algirdas Ambrazas, a propagator of Lithuanian music. An unquenchable urgent problem concerning music and the present time once raised by Professor is elaborated by Violeta Tumasonienė. Great achievements of the patron of musicology in the methodology on the teaching of music theory are thoroughly explored by Irena Mikulevičiūtė. Rūta Gaidamavičiūtė accentuates the talent of the extraordinary encyclopedist and publicist. Jūratė Gustaitė continues the analysis of the activities of the founder of

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the Lithuanian school of musicology. She writes about “unseen” and at the same time colossal activities of Professor in the “margins”. Each Lithuanian musicologist seems to feel a refreshing impact of this activity.

The majority reports made at this conference have been included in the supplement (in Lithuanian) of this publication – to mark the 70<sup>th</sup> anniversary of the creative path and activities of Prof. Algirdas Jonas Ambrazas.

In the name of the organizers I would like to extend our thanks to all those who have morally and materially contributed to the issue of the conference publication.

Editor-in-chief  
Assoc. Prof. Dr. R. Janeliauskas

## Pratarmė

Šis leidinys yra proginis ir skiriamas prof. habil. dr. Algirdo Jono Ambrazo 70-mečio jubiliejui. Siūloma knyga bei jos priedas sudaryti iš mokslinių straipsnių, perskaitytų Ketvirtojoje tarptautinėje muzikos teorijos konferencijoje, surengtoje 2004 m. balandžio 22–24 d. Vilniuje, tema „Muzikos komponavimo principai. Istorinės sklaidos aspektai“. Konferencijos intencija – kuo išsamiau ir visapusiškiau pagvildinti Lietuvos muzikos teorijos patronui, artimus probleminių tyrimų aspektus, nemaža dalimi lėmė konferencijos potemių pasirinkimą: 1) senoji ir naujoji kompozicija, 2) įvairių laikmečių muzikos teorijos ir istorijos koncepcijos (sistemos) apie komponavimo principus, 3) nacionalinės muzikologų ir kompozitorių mokyklos kartų ir šimtmečių sandūroje.

Konferencijos rengėjai – Lietuvos muzikos ir teatro akademija ir Lietuvos kompozitorių sąjunga bei Naujosios muzikos komunikacijos centras. Konferenciją parėmė Lietuvos respublikos kultūros ir sporto rėmimo fondas.

Į pirmąją temą (Senoji ir naujoji kompozicija) pranešimų autoriai atsiliepė simptomiškai. Nuodugniausiai tyrinėjama tai, ką bendriausiai galima vadinti muzikos bei kompozicijos sintakse. Įdomu tai, kuriais atžvilgiais sintaksė tyrinėjama. Daiva Rokaitė – Dženkaitienė tiria erdvinius Renesanso kompozicijos artikuliacijos aspektus, Margarita Katunian svarsto subjektyvaus ir objektyvaus laiko proceso artikuliacijos galimybes (Adorno ir minimalistai), Marius Baranauskas siekia artikuliuoti netgi pasaulinę orkestrų geografiją, išskeldamas galimus nutolusius orkestro kultūrų sąsajų taškus, gi Tiina Koivisto analizuoja autonomiją totalios chromatikos poveikį kompozicijos sintaksėi bei formai.

Atsiliepdami į antrąją temą (Įvairių laikmečių muzikos teorijos ir istorijos koncepcijos apie komponavimo principus) pranešimų autoriai ypač suaktualino komponavimo teorijos ir praktikos santykį. Pastarasis, regis, buvo aktualus visada. Matias Lundberg bando išsiaiškinti, kokių mastu kontrapunkto teorija (Tinctoris ir jo amžininkai) galėjo veikti to meto komponavimo praktiką. Haiganus Preda-Schimek minėtą santykį susieja su etimologine ir epistemologine muzikinio termino kilmė. Kiek netikėtoje šviesoje komponavimo teorijos ir praktikos santykiai išryškėja muzikos kompoziciją analizuojant Schenkerio metodu. Mart Humal tyrinėja kontrapunktinės ir formalios struktūros neatitikimų priežastis. Muzikos teorija, nepaisant savo meto mokslo plėtros ribotumų, kaip taisyklė, išpūreną dirvą nuodugnesnėm koncepcijom. Taigi teorijos ir komponavimo praktikos santykių evoliuciją išvystame Rimanto Janeliausko atliktuose XX a. muzikos istorijos koncepcijų palyginimuose.

Daugiausia pranešimų susilaukė trečioji konferencijos tema (Nacionalinės muzikologų ir kompozitorių mokyklų kartų ir šimtmečių sandūroje). Šiai pranešimų visumai „kamertoną“ suteikia aktualus Mirjanos Veselinovič-Hofman paklausimas – „Ar egzistuoja nacionalinės muzikologų mokyklos?“ Pranešimo autorė mano, kad muzikologija nėra tik „paslaugos teikėja kompozitoriaus veiklai, bet taip pat pasižymi kūrybine erdve savyje“. Tad nacionalinė muzikologų mokykla labiausiai įmanoma individualių kūrybinių pastangų dėka. Nepilnavertis būtų nacionalinės muzikologijos supratimas be gilių ir išsamių etnopolikimo tyrimų. Rimantas Sliužinskas savo pranešime apžvelgia Lietuvos etnomuzikologijos atliktų įspūdingų darbų panoramą. Nacionalinė muzikologijos apibrėžtis nebūtų visavertė be nuolatinių nacionalinės muzikos klasikų studijų. Rimanto Janeliausko pranešimas („Neatpažintas M. K. Čiurlionio ciklas fortepijonui“) apie Lietuvos muzikos genijų M. K. Čiurlionį logiškai papildo konferencijos temą. Itin prasmingas nacionalinės muzikologų mokyklos veiklos baras – tautinio muzikos savitumo ir stiliaus tyrinėjimai. Lietuvos muzikologų įdirbį šioje srityje gvildena savo pranešime Jonas Bruveris. Likusieji šeši pranešimai minėta tema betarpiškai tyrinėja vieno iš iškiliausių Lietuvos muzikologijos figūrų – prof. Algirdo Jono Ambrazo daugialypę veiklą. „Opus magnum“: J. Gruodžio kompozitorių mokyklos geneologinis medis“ šitaip įvardija savo įdomų pranešimą Gražina Daunoravičienė. Apie nacionalinių vertybių prioritetais paženklinatą lietuvių muzikos propaguotojo veiklą Algirdo Jono Ambrazo asmenyje „praneša“ Audronė Žiūraitytė. Neblėstančią muzikos ir dabarties aktualiją savo metu iškeltą profesoriaus plėtoja Violeta Tumasonienė. Neabejotini muzikologijos patrono pasiekimai muzikos teorijos dėstymo metodologijos baruose – apie tai išsamiai rašo Irena Mikulevičiūtė. Gi neeilinį enciklopedisto ir publicisto talentą pažymi Rūta Gaidamavičiūtė. Tuo lietuvių muzikologijos mokyklos sukūrėjo veikla nesibaigia. Jūratė Gustaitė prabyla apie „nematomą“ ir tuo pat metu milžinišką profesoriaus veiklą „parašė“. Gaivinanti šios veiklos poveikį, regis, jaučia kiekvienas Lietuvos muzikologas.

Didžiama pastarosios konferencijos temos pranešimų pateko į šio leidinio priedą – specialiai paskirtą prof. Algirdo Jono Ambrazo kūrybos ir veiklos 70-mečio įprasminimui.

Visų organizatorių vardu dėkojame moraliai ir materialiai parėmusiems konferencijos leidinio išleidimą.

Vyr. redaktorius dr. doc. R. Janeliauskas

## Principles of Composition and the Structure of Musical Space in Renaissance Polyphony

The development of music of dominant, priority structure suffered an obvious evolution – from the highlighting the separate tone (tenor or *repercussa*) in the medieval monody, later on raising the significance of melody (*cantus firmus* of tenor) in the polyphony of Renaissance up to the entrenchment of accord (main functions – tonic, dominant, subdominant – accords) in the music of New ages. Thus, in the course of centuries, the obviously expressed geometrical shape of the priority material was changing under the influence of evolving musical facture, – from the isolated tones (spot) in the medieval monody and the accentuation of melodic line (line) in the polyphony of Renaissance up to the entrenchment of accord (figure of vertical structure) during New ages.

The geocentric “Symbolic set of mind” that was flourishing in medieval times (J.Huizinga), where the eternal ideas of Plato found their space, was distinguished by the “endless variety of connections of things”<sup>1</sup> and versatile manifestations of symbols. In the course of ages this mindset was experienced the influence of new ideas – in Gothic, it was supplemented by the philosophical idea of Aristotle, revived by Thomas Aquinas, about the hierarchy of entity qualification of several stages, and in Renaissance – the “Symbolic set of mind” was replaced the notion of beauty, based on mathematical proportions. Architect and theoretician of architecture L.B.Alberti in 1460 formulated the Renaissance notion of beauty<sup>2</sup>, where the proportional ratios of parts and entirety, expressed in numbers, are accentuated. This briefly reviewed evolution of outlook assists in the better comprehension and substantiation of main consistent patterns of music development: why the monody of Romanics was directly replaced by the paraphonic multi-voiced music of Gothic, and the latter in turn – the polyphony of Renaissance.

In the conditions of monody it was not possible anymore to implement the cascade hierarchical system of entity, manifested in the outlook, which might reveal itself only by the principle of factual pyramid, formed accordingly – rhythmical mensuration fining down from the bottom to the top – in the substantiated polyphonic music. Also, in the direct interface with the changing outlook in the musical space a coordinate of vertical, raising upwards, emerged, which symbolizes the hierarchical system of entity and later on, in the Renaissance, the vertical and horizontal were joined by the perspective dimension of space which raise was stimulated by the aesthetics based on the perspective mathematical proportions and the example and strive towards the perfect geometrical shape.

As it was possible to ascertain, during the change of outlook the essential features of music are changing, too, along with the principles of its composing, priorities and quality of sound. The change of structures of geometric shape of priorities goes along with the geometric changes of music space.

Drawing the attention towards the complication of musical language that is historically increasing, the American composer and theoretic H.Cowell raised the interface of such historical development with the natural acoustic overtone fining down in intervals<sup>3</sup> – the intervals of octave and unison were prevalent in medieval monody, after the rise of multi-voiced music the fifth and fourth are accentuated, later on – major third etc.<sup>4</sup> Basing on these analogies of natural overtone intervals and musical periods, raised by H.Cowell, and observing the changes of historical formation of musical space, the quantitative interconnections between the intervals that were prevalent in various periods of music development and the dimensions that are molding the musical space, are showing up.

In the Romanic monody the horizontal singleness is being oriented to the unisonous sound, in the Gothic multi-voiced music of two directions – horizontal and vertical – two priority intervals show up – fifth and fourth –, and in three coordinates – horizontal, diagonal and vertical – in the space of Renaissance music three intervals are interacting – pure fourth, major and minor third. As we see, the musical space that limits itself with just one dimension is based on one priority interval, two-dimensional space is getting its sense from two priority intervals, and in three-dimensional musical space three priority intervals are functioning:

**Table No.1**

DIMENSIONS	ONE	TWO	THREE
	Horizontal	Horizontal and vertical	Horizontal, diagonal and vertical
	Unison (octave)	Fifth and fourth	Fourth, major and minor third
INTERVALS	ONE	TWO	THREE

During the formation of three-dimensional musical space, in the epoch of Renaissance the phenomenon of polyphony arises, though the polyphonic facture had appeared already in Gothic. The term “polyphonia”, defining the “music of few voices” was used in the tract of Johannes’ “Summa musicæ” (about 1200). By concretizing the number of participating voices, the theoretician distinguished “dyaphonia”, “triphonia” and “tetraphonia”. Starting with A.Kircher<sup>5</sup> and Fr.W.Marpurg<sup>6</sup>, the term “polyphony” was used to describe the musical piece of few voices of equal significance. Synonymously to the term of polyphony, the term “counterpoint”<sup>7</sup> was used. The term of polyphony was used to define the multi-voiced composition, and the term of counterpoint – for the process of voice composition and theory, which was directly related to the rules of harmony.

W.Apel<sup>8</sup> was treating the term of polyphony in a more broad sense than the term “counterpoint”, stating that the multi-voiced medieval music is not yet a counterpoint that G.P.da Palestrina or J.S.Bach were creating.

As well as in the art, three-dimensional space in music was formed in the epoch of Renaissance. Discussing the medieval multi-voiced music one must note that until the musical space was not replenished by the third – diagonal – coordinate, one cannot talk reasonably about the real value functioning of the polyphony.

The interconnections between the musical voices of early Middle-Ages are best described by the term “paraphony”<sup>9</sup>, i.e. more or less parallel movement of two or more voices. Starting with the organum which personifies the most simple and pure type of paraphony, where the voices are moving parallelly, creating the interval of pure fourth or fifth between themselves, the paraphony evolved and transformed itself into more complex interrelations of voices in the genre of motet. Yet, though lately the more distinctive differences in the movement of voices are demonstrated, but by orienting the free voices towards the melodic line of the main voice – tenor – and in the absence of the perspective coordinate of diagonal, there is not rather substantial basis to discuss the independence of melody lines that is functionally distinctive.

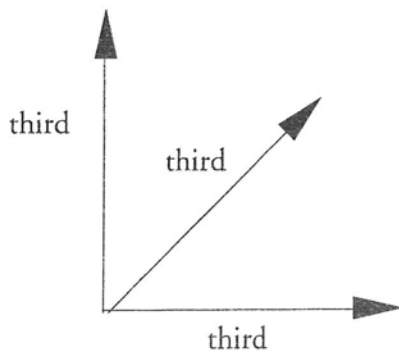
Discussing the “*Musica composita*” of the end of 13th century and beginning of the 14th, T.Dubravskaya notes that “as a result of connecting few intervals, the multi-voiced combinations are being formed, the interchanging of which was oriented not towards the functionally organized harmonic unions, but towards the melody sinuosities of a single, main voice”<sup>10</sup>. Thus, other voices that take part in the musical facture are derived directly from the main voice, countening to it in certain interval(s) and submitting themselves to the melody development of the first voice, thus they cannot be treated as separate and independent. The multi-voiced music of this period cannot be named as polyphonic, because the voices that comprise it are playing the role of variant repeating the tenor melody line in the vertical, and they cannot be considered as the independent melody lines featuring the characteristic focus. After forming the multi-voiced music in Gothic and the coordinate of vertical along it, the paraphonic relations of variantic voices start to evolve towards the direction of much more complex interconnections – the preconditions for the third spatial dimensions of music arise, and the formation of phenomenon of polyphony along with it, too. One of main factors of this evolution is the increasing prevailance of imperfect consonants – third and sixth, which has influenced the formation of various melody lines in the musical facture. Under the influence of such process of development, the paraphony of Gothic evolved into the polyphony of Renaissance, where the coordinate of diagonal started functioning that formed the three-dimensional music space.



It is regular that in the course of centuries the comprehension of dissonance and consonance of chimes, perfection and imperfection of consonances was shifting. During of period the exact consonance might be regarded as dissonance and during the other – the same consonance might be regarded as consonance. The development of treating of historically changing consonances was going along from the dissonance towards the consonance, i.e. in the course of time the consonances that formerly were considered as dissonances, started to treat as consonances. The interval of fourth suffered the process of development of evaluation in the opposite direction – at the beginning it was attributed to the category of consonances, and later on – to the dissonances.

All the above-mentioned changes in the musical space are to be linked to the development of the priorities of intervalics. It is not accidental that in the polyphonic music of the Renaissance the priority of third emerges in combination with the interval of pure fourth, which in the works of musical theory is still traditionally called the perfect consonance, but is treated in the practice of music as the dissonance. The interval of third becomes the basis for the forming of all three dimensions. It gives a sense to the perspective dimension, expression of melodic lines, possibilities of their interconnection. It also influences the emerge of imitation that is the generator and modeler of the coordinate of diagonal.

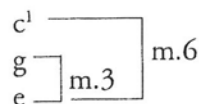
### Diagram No.1



Because of the priority of the third interval in the epoch of Renaissance the writing of music in separate voices becomes possible, by refusing the score and relying on universal consonant features of third. In the 15th century the successive conception of inscribing the polyphonic music gained the ground. N.Burtius in his work “Opusculum” (II/5) described the counterpoint relations of voices in the conditions of three-voice structure, stating that *cantus* is combined to tenor, and “*cantra autem bassus*”, as the voice that was inscribed at the latest point, must already be in tune with two voices already available<sup>11</sup>. The theoretician stated in his statement that *contrabassus* must construct the suitable “*contrapunctus respectu omnium*”, but not, for instance, “*respectu tenoris*”.

The valid concept of inscribing the polyphony was also described by the theoretic and composer of the Renaissance Fr.Gaffurius in his tract “*Practica musicae*” (1496, II/10), emphasizing that tenor in the polyphonic music (is) “*fundamentum relationis ist*”<sup>12</sup>. After inscribing the tenor and prefiguring the plan of its imitation, the melodic lines of all the rest voices were being created; at the end of creative process the harmonic relations of separate voices were tuned up. One can think that the creation of the polyphonic music composition was starting in the horizontal, and ended in the vertical.

The previous priority of perfect vertical in the area of harmonious consonances in this time is replaced the prevalence of structures imperfect vertical. Imperfectly consonating interval of third substantiates fauxbourdon and gimel. G.Zarlino in 1558 presented the definition of perfect harmony of the Renaissance – *harmonia perfetta* (“third plus fifth or sixth”) – and at the same time the evaluation of priority harmonic structure:



It is as if the gimele of third and sixth at the same time, and sixth is the reverse of the third interval, as if her reflection in the mirror. Thus making the interval of third and its reverse – sixth – from the same sound, we will get the vertical harmonious consonance of fauxbourdon.

Thirdizomelic tenor polyphony (a term of R.Janeliauskas<sup>13</sup>) was composed starting with tenor, i.e. *cantus firmus*, in the melody of which the role of third interval, rather closely interacting with second, is actualized. Third together with second creates the character of melody flow, and it also forms its “geometric” shape in musical space, by performing a function of expanding the volume of melody. One must note that in the melody line the most highlighted sounds are underlining the basic grounds of the third intervals, and these sounds that form the basic grounds for the third intervals were considered by composers as main ones, that form the melody of *cantus firmus*. By the way, as *cantus firmus* a certain melody was selected which had the hidden or obvious carcass of the third interval.

On the example of *cantus firmus* melody, the melodies of free voices were formed in an analogous way because the tertial sounds take a stronger rhythmical value, they are continued longer, retained, repeated. These sounds of every voice are sharpened by metro-rhythmic means of organizing the architectonic melodic and the arrangement of the text syllables. Such carcass of melody lines based on third intervals obviously demonstrated the principal variance of the priority third interval.

The coordinate of vertical is also based on third interval. The harmonious chimes that prevail in polyphony are consisting of third and its reverse (sixth, decima) with any sound, doubled through the octave. Thus, in vertical also the main principle of third variance, arising from the melody of *cantus firmus*, is active.

The parameter of diagonal shows itself due to the precise and not precise imitations and canons. The imitativeness in the melodic line shows itself due to the tiercizomelia, when, according to the spiral principle the same intonation returns back again and again, thus the imitation forms itself through a distance. The entries of voices of a music composition after pauses, the imitational formations, characteristic rhythm-intonational figures appearing in various voices are fixing the phenomena of third (sixth, decima) interval in this parameter.

The preeminence of one interval (and its transpositions) in the melodic of polyphonic music of the Renaissance moulds the intonational homogeneity, in harmonic – the indiscreetness of consonating chimes, creating the impression of constant recurrence of the melodic material in such a way. The panostinaticity in three-dimensional polyphonic space, or, in other words, tiercian izomelia, generated by *cantus firmus*, – it is the essential principle of composing the polyphonic music of Renaissance.

Thus in all the parameters the interval of third plays a leading role, variably molding and substantiating all the three-dimensional space of polyphony.

## References

- <sup>1</sup> Huizinga J. *Viduramžių ruduo*. – Vilnius, 1996. – 258 psl.
- <sup>2</sup> Beauty is “the art of conformation between the parts and harmony with the entirety, which was derived according to a certain number, special proportion and arrangement as the proportionality requires, i.e. the most perfect and ultimate law of nature.” (“eine Art Übereinstimmung und ein Zusammenklang der Teile zu einem Ganzen, das nach einer bestimmten Zahl, einer besonderen Beziehung und Anordnung ausgeführt wurde, wie es das Ebenmaß, das heißt das vollkommenste und oberste Naturgesetz fordert”. – quott. Acc. Rempp Fr. *Elementar- und Satzlehre von Tinctoris bis Zarlino*. – S.50-51 // *Geschichte der Musik*, B.7).
- <sup>3</sup> Cowell H. *New Musical Resources*. – Cambridge, 1930. – p. 3, 12-21.
- <sup>4</sup> The idea of the interface between the historical periods and the natural acoustic overtone of H.Cowell was developed by J.Chailley in “Expliquer l’harmonie” (1967) and J. Cholopov in his article “Изменяющееся и неизменное в эволюции музыкального мышления”, that was published in the issue “Проблемы традиций и новаторства в современной музыке” (1982).
- <sup>5</sup> *Musurgia universalis sive ars magna consoni et dissoni* (1650).
- <sup>6</sup> *Kritische Einleitung in die Geschichte und Lehrsätze der alten und neuen Musik* (1759).
- <sup>7</sup> Dr. Webster’s *Complete Dictionary of the English Language*, ed. C.A. Goodrich and N. Porter (1864).
- <sup>8</sup> *Harvard Dictionary of Music* (1944).
- <sup>9</sup> “Paraphonie – die Parallelbewegung der Stimmen im Organum” (“Parafonija – the parallel movement of voices in organum”) – Seeger H. *Musiklexikon*. – Leipzig, 1966. We would propose to treat this definition in a slightly broader sense, discussing the composing principle of all the medieval music and interconnections of voices.
- <sup>10</sup> Дубравская Т. Н. *Музыка эпохи Возрождения. XVI век // История полифонии*, вып. 26 – Москва, 1996. – 8 с.
- <sup>11</sup> “Nam supranus ad tenorem remissus: contrapunctus erit superacutus. Tenor vero ad contrabassum: erit contrapunctus acutus. Contra autem bassus gravis erit contrapunctus respectu omnium, quia in infima parte collocatus.”
- <sup>12</sup> “Concordes sonos in contrapuncto notulis cantus plani tanquam tenori ac relationis fundamento Musici diversi modi solent ascribere.”
- <sup>13</sup> Janeliauskas R. *Komponavimo principų sistematikos pradmenys // Muzikos komponavimo principai. Teorija ir praktika*, I. Vilnius, 2000.

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## **Principles of Composition and the Structure of Musical Space in Renaissance Polyphony**

### **Summary**

In the development of music, dominant, priority structures underwent an evident purposeful evolution – from the revelation of a separate tone in medieval monody, later the attachment of significance to melody in Renaissance polyphony to the dominance of chord in the music of the New ages. In the course of ages, a geometric shape, evidently expressed by priority material, experienced changes under the influence of the evolutionizing texture of music. The structural shift of the geometrical shape of priorities was taking place simultaneously with geometrical changes of musical space. A coordinate of an upwards ascending vertical emerged in a musical space, and later on, in the Renaissance, a horizontal and vertical were joined by a perspective space dimension, which was determined by the aesthetics based on perspective mathematical proportions as well as an example and aim of the perfect geometric space.

In the Renaissance epoch, it was an interval at a third that gave sense to the expression of melodic patterns, the possibilities for their reciprocal linking, influenced the imitation performing the function of the generating and modelling diagonal coordinate and served as the basis for all three dimensions of musical space. The priority of an interval at a third in Renaissance polyphony made possible to write down music in separate voices, giving up the full score and relying on universal peculiarities of consonating at a third.

## **Komponavimo principai ir muzikos erdvės struktūra renesanso polifonijoje**

### **Santrauka**

Dominuojančios, prioritinės struktūros muzikos raidoje patyrė akivaizdžią kryptingą evoliuciją – nuo atskiro tono išryškinimo viduramžių monodijoje, vėliau melodijos svarbos iškelimo renesanso polifonijoje iki akordo įsigalėjimo Naujųjų amžių muzikoje. Bėgant amžiams, keitėsi prioritinės medžiagos akivaizdžiai išreikštas geometrinis pavidalas, veikiamas evoliucionuojančios muzikos faktūros. Prioritetų geometrinio pavidalo struktūrų kaita vyko kartu su muzikos erdvės geometriniais pokyčiais. Muzikos erdvėje užgimė aukštyn kylančios vertikalės koordinatė, o vėliau, renesanse, prie horizontalės ir vertikalės prisijungė erdvės perspektyvinė dimensija, kurios atsiradimą sąlygojo perspektyvinėmis matematinėmis proporcijomis grindžiama estetika ir tobulos geometrinės erdvės pavyzdys bei siekis.

Renesanso epochoje visų trijų muzikos erdvės dimensijų pagrindu tapo tercijos intervalas, kuris įprasmino melodinių linijų raišką, jų jungimo tarpusavyje galimybes, įtakojo imitacijos, atliekančios diagonalės koordinatės generavimo ir modeliavimo funkciją, atsiradimą. Dėl tercijos intervalo prioriteto renesanso polifonijoje tapo įmanomas daugiabalsės muzikos užrašymas atskirais balsais, atsisakant partitūros ir pasikliaujant universaliomis tercijos konsonavimo savybėmis.

## On Musical Syntax and the Total Chromatic

In twentieth- and twenty-first -century Western concert music, there is a great variety of compositional styles and traditions. One compositional tradition is based on the resources of the total chromatic, the twelve equal tempered pitch classes. This compositional tradition encompasses musical repertoires that are typically characterized as atonal, non-tonal, aggregate music, or twelve-tone music.<sup>1</sup> In this paper, I discuss ways in which the resources of the total chromatic provide the basis for forming pitch and pitch class relationships. Further, I discuss how the pitch class relationships give rise to further compositional differentiations, such as motivic relations, and gestural and timbral differentiations. My special focus is on questions of musical continuity and formal shaping.

The musical examples include compositions by Arnold Schönberg, Anton Webern, Elliott Carter, and Brian Ferneyhough. In Schönberg's and Webern's compositional practice, I discuss the connections of the total chromatic to motivic composition, and in Carter's work *Remembrance* its timbral processes. Ferneyhough's compositional practice raises the question of the significance of different musical dimensions.

Several authors have noted how Schönberg's twelve-tone practice and his so-called free atonal practice form a continuum. This continuum is formed in two ways. First, Schönberg recognized and utilized the resources of the total chromatic already in his free atonal works. The twelve-tone method was for Schönberg, as noted by Robert Morris (1992, 32), "an elegant way to tie together his undoubtedly vast but probably unruly compositional praxis together with a few deep principles". Second, Schönberg's compositional principles are deeply rooted in the tradition of motivic development. The principle of motivic development was for Schönberg not only a way to move from tonality to atonality but also an all-embracing practice, which was integrated into his twelve-tone composition as well.<sup>2</sup>

In Schönberg's free atonal compositions, the motif can be considered to expand from its surface properties to include its properties as an unordered collection. The principle of motivic transformation expands to the motif's unordered properties. That is, in the same fashion as a motif can be varied through its transformations on the musical surface, it becomes "varied" through its transformations as an unordered collection of pitch classes.

The expansion of a motif to encompass its unordered properties can be exemplified with Schönberg's *Fünf Klavierstücke*, opus 23.<sup>3</sup> The pitch organization of Opus 23/4, for example, is based on members of three hexachordal collection classes. The hexachords are first presented in the opening measure and they are articulated as three motivic figures, as shown in Example 1a. While it is possible to trace ways in which the motifs are developed throughout the work, it is their unordered properties that form the basis for the underlying pitch organization. The motifs as unordered collections and collection classes are shown in Example 1b. The relation between the unordered collections and their surface interpretations is close, because the properties of the collections pose the restrictions, within which they can be realized on the musical surface. In this way, the collection types contribute to defining the pitch class relations within the total chromatic and to providing a framework for the availability of the work's intervallic vocabulary.<sup>4</sup>

**Example 1a** A. Schönberg: *Fünf Klavierstücke*, Opus 23/4, measure 1

**Example 1b**

<u>Collections</u>	<u>Collection classes</u>
{D, D#, E, G, Bb, H}	[0,1,2,5,6,9]
{C, Db, D, F, A, Bb}	[0,1,3,4,5,8]
{C, F, Gb, Ab, A, Bb}	[0,1,3,4,5,7]

On the other hand, we may also see the wide variety of aspects that the underlying pitch organization leaves unspecified and that form other sets of relationships within a work. Furthermore, it should be remembered that in a work based on the resources of the total chromatic, the surface articulation functions in two ways: first, it is through the surface articulation that the underlying pitch relationships are brought forth, and second, the surface events form additional sets of relationships.<sup>5</sup>

The need to coordinate the resources of the total chromatic in order to better handle the formal shaping of music led Schönberg to formulate the twelve-tone idea.<sup>6</sup> A row class of a particular work, that is, its 48 rows, preliminarily restricts the available pitch class relations. But it is only the further relationships established among the rows of a row class that form the basis for forming musical continuity and motion. Milton Babbitt (1987, 118) has noted how for Schönberg “didn’t seem to be any general way of hierarchizing permutations of the total twelve-tone set [i.e. twelve-tone row], and therefore he turned to identifying these sets [rows] through retained collections.” In Schönberg’s music, the establishment and hierarchization of the relationships among the rows of a row class takes place through the twelve-tone strategies. These strategies include the partitioning strategies of the rows, through which specific collections, collection types and intervals receive their specific roles within the total chromatic.<sup>7</sup>

Example 2a shows a row, from which the row class of Schönberg’s *Variations for Orchestra*, opus 31, is generated.<sup>8</sup> In this piece, there are two sets of relationships established that become crucial in the large-scale shaping of the work.<sup>9</sup> First, there is a functional row family that serves as a framing row family and as a point of departure and arrival. The second set of relationships is based on the Bach motif. Example 2b shows the rows of the functional row family and some of the invariances within these rows. The relationships established among the rows of the functional row family are used as points of reference and the invariances among these rows help to establish the relationships before moving to more remote rows of the row class. Further, a return to the members of the functional row family contributes to the sense of closure. For example, among the nine variations of the work, the first three are based on the rows of the functional row family, variations IV-VII explore more remote rows of the row class, and the last two variations return to the rows of the functional row family.

Example 2c shows row structures connected with the second set of relationships, the Bach motif and the semitone collections associated with it. The example demonstrates how the rows of the row class can be partitioned in various ways into semitone collections. The Bach motif is a source of the relationships of the finale of the work both in its motivic and contrapuntal procedures and its underlying pitch organization. As example 3a shows, the tripartite opening part of the finale is framed by the use of the Bach motif, whereas the middle section employs material based on the rows of the functional row family. Example 3b also shows some of the partitionings of the rows in measures 310 to 317. The score of the opening of the finale is given in example 4.

**Example 2a**

P: <Bb E F# D# F A D C# G G# H C>

Example 2b

Functional row family:

I <sub>3</sub> P	<G C# H D C G# D# E Bb A F# F>
I <sub>2</sub> P	<C# G F G# F# D A Bb E D# C H>
T <sub>3</sub> P	<C# G A F# G# C F E Bb H D D#>
T <sub>2</sub> P	<G C# D# C D F# H Bb E F G# A>
I <sub>4</sub> P	<Bb E D F D# H F# G C# C A G#>
I <sub>2</sub> P	<E Bb G# H A F C C# G F# D# D>
T <sub>6</sub> P	<E Bb C A H D# G# G C# D F F#>
P	<Bb E F# D# F A D C# G G# H C>

Invariances within the row family

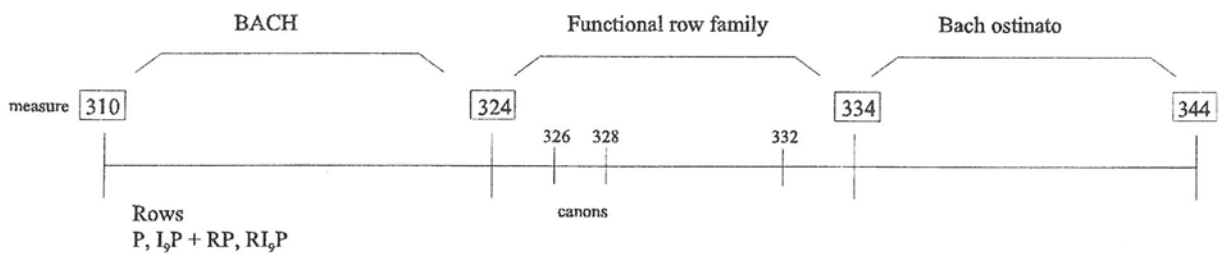
I <sub>3</sub> P	G C# H D C G# D# E Bb A F# F
I <sub>2</sub> P	C# G F G# F# D A Bb E D# C H
T <sub>3</sub> P	C# G A F# G# C F E Bb H D D#
T <sub>2</sub> P	G C# D# C D F# H Bb E F G# A
I <sub>4</sub> P	Bb E D F D# H F# G C# C A G#
I <sub>2</sub> P	E Bb G# H A F C C# G F# D# D
T <sub>6</sub> P	E Bb C A H D# G# G C# D F F#
P	Bb E F# D# F A D C# G G# H C

Example 2c

Bach-motif:

	[0,1,2,3] [0,1] [0,1]		{D#, E, F, F#} {C#, D} {G, G#}
P	< (Bb) E F# D# F (A) D C# G G# (H) (C) >		P < (Bb) E F# D# F (A) D C# G G# (H) (C) >
I <sub>3</sub> P	< (G) C# H D C (G#) D# E Bb A (F#) (F) >		RI <sub>3</sub> P < (A) (Bb) C# D G# G (C) E F# D# F (H) >
	[0,1,2,3] [0,1] [0,1]		{C#, D} {G, G#} {D#, E, F, F#}

Example 3a A. Schönberg: *Variationen für Orchester*, Opus 31, Finale: opening section





Example 3b

Mm. 310-313

P  $\langle \text{Bb E F\# Eb F A} \rangle$   $\langle \text{D C\# G G\# H C} \rangle$  OR  $\text{RI}_9\text{P} \langle \text{A Bb C\# D G\# G} \rangle \langle \text{C E F\# Eb F H} \rangle$

Mm. 314-315

RP  $\langle \text{C H G\# G C\# D} \rangle$   $\langle \text{A F Eb F\# E Bb} \rangle$

Mm. 316-317

$\text{RI}_9\text{P} \langle \text{A Bb Db D G\# G} \rangle \langle \text{C E F\# Eb F H} \rangle$

Labels: Fl + Gg, Vcl, Kbs, Gg, melody, chords.

Example 4 A. Schönberg: *Variationen für Orchester*, Opus 31, measures 310-334

FINALE

Mäßig schnell (♩. 120) rit. . . . etwas frei a tempo

310 311 312 313 314 315 316 317 318

1. Fl. 2.3. Kl. 2. Hr. 2.4. o Dpf. Hr. f. I. Gg. II. Or. Br. Vcl. Kba.

319 320 321 322 323 324 325

Poco pesante Etwas rascher

Fl. 1. 2. 3. Ob. 1. 2. 3. Ea Kl. Kl. 1. 2. 3. Hr. 1. 2. 3. 4. Trp. 2. 3. o Dpf. Pos. 2. o Dpf. Hr. f. I. Or. II. Gg. Br. Vcl. Kba.

musonon musonon

steigernd 326 327 328 329 rit . . . . . Molto rit.. 330 331

1. Hr  
3. 4. Hr  
Trp 2.  
1. Ob  
II. Ob  
Br  
Kbn

a tempo 332 333 334

Pic  
1. Fl  
2. 3. Fl  
1. Ob  
2. 8. Ob  
EH  
Ea Kl  
1. Kl  
2. 3. Kl  
Ba Kl  
Vg 1.  
Tr 1. 2. 3. 4.  
Trp 1.  
Hr  
I. Vg  
II. Vg  
Br  
Vcl  
Kbn

a tempo 332 333 (alle) 334

pizz arco  
pp  
3 fach getulll pizz  
3 fach getulll Stacc  
arco  
p leggiero  
pp  
non legato  
pp

Example 5

414 Hr  
Br  
mf  
T<sub>3</sub>P

416 417 419  
Fl. Kl Kl Ba Kl  
sf sf sf  
I<sub>1</sub>P I<sub>1</sub>P T<sub>1</sub>P T<sub>5</sub>P

460 468  
Kl Vl  
sf sf  
RT<sub>3</sub>P RT<sub>3</sub>P I<sub>1</sub>P T<sub>1</sub>P T<sub>2</sub>P T<sub>1</sub>P T<sub>3</sub>P T<sub>4</sub>P T<sub>5</sub>P I<sub>2</sub>P

In the middle section of the opening part of the finale, the explicit statements of the Bach motif are superseded by the *Hauptstimmen* and accompaniments that incorporate the semitonal configurations (see measures 326-333 in example 4). Example 5 illustrates some of the ways in which this melodic material is further developed in the finale. The elaborations and contrapuntal treatment of the Bach motif culminate in a climax of the finale (measures 493-50). The work concludes with an *Adagio*, which synthesizes the events of the work yet on another level, followed by a short *presto*-passage, that returns to the rows of the functional row family.

Schönberg coordinates the resources of the total chromatic through twelve-tone strategies in such ways that the pitch and pitch class relationships contribute to the shaping of the music into departures, arrivals, climaxes and culminations. In Schönberg's practice, the syntactical framework provided by the pitch class relationships is closely connected to the motivic procedures and the principle of developing variation. Although Schönberg abandoned the uniting power of the tonic and tonality, he preserved many aspects of the classic compositional practice. Schönberg (1975, 87) has himself noted how "coherence in classic compositions is based—broadly speaking—on the unifying qualities of such structural factors as rhythms, motifs, phrases, and the constant reference of all melodic and harmonic features to the center of gravitation—the tonic. Renouncement of the unifying power of the tonic still leaves all the other factors in operation."<sup>10</sup> In his compositional practice, Schönberg was able to replace the unifying power of the tonic by the organizational principles arising from the resources of the total chromatic, while he retained several other aspects of the classic compositional practice. While doing this, he pointed the way for further developments of twentieth-century music, not least through his understanding and apprehension of the possibilities inherent in the chromatic universe.

Webern's twelve-tone practice shares many aspects with Schönberg's twelve-tone practice. Also for Webern the twelve-tone method offered a way to coordinate the pitch relationships within the chromatic universe, and this coordination served the formal shaping of the music, often following a classical dramaturgy.<sup>11</sup> On the other hand, Webern's compositional practice opened new compositional dimensions. These include Webern's precise and richly detailed articulation of musical elements. This detailed micro-articulation becomes a significant part in defining the connections and associations in his music. It also becomes an important aspect of the influence of Webern's music on future generations.

Webern's compositional practice is here exemplified with a short excerpt from the second movement of his *Variations for Piano*, opus 27.<sup>12</sup> In this piece, in the same fashion as in Schönberg's work, there is established a closely related row family among the rows of the row class. These closely related rows act as points of arrival and departure, and as a basis for defining further relationships in the work. In the *Variations*, one set of relationships inherent in this row family arises from its chromatic hexachords and their particular properties.<sup>13</sup> These properties offer possibilities for hierarchizing pitch class relations in much the same fashion as the diatonic collection in tonality does, because it allows the highest degree of differentiation among the hexachordal areas.<sup>14</sup>

The organization of the total chromatic through the hexachordal areas, together with their ordered properties, forms the basis of the moves taken in the movement. These moves shape the movement into a classical *scherzo* design. In the following, I briefly illustrate this by showing how the sense of return and closure is accomplished at the conclusion of the movement.

Example 6 shows the opening and concluding phrases. The opening phrase introduces the basic elements of the phrases, as indicated in example 6. These elements form the basis for the rest of the phrases. The variations and elaborations of the phrasal elements entail the association field of their pitch and pitch class content, rhythmic detail, shape, dynamics and articulation.

Example 6 A. Webern: *Variationen für Klavier*, Opus 27, second movement, measures 1–3 and 18–22

opening phrase

B<sup>b</sup> - G<sup>#</sup>      A - A      C<sup>#</sup> - F      D - E

opening elements      middle elements      concluding elements

concluding phrase

B<sup>b</sup> - G<sup>#</sup>      A - A      C<sup>#</sup> - F<sup>#</sup>      D - E      upbeat/stinger

Opening phrase	RP RI <sub>6</sub> P	<G <sup>#</sup> A F G E F <sup>#</sup> C C <sup>#</sup> D B <sup>b</sup> H D <sup>#</sup> > <B <sup>b</sup> A C <sup>#</sup> H D <sup>#</sup> C F <sup>#</sup> F E G <sup>#</sup> G E <sup>b</sup> >
Concluding phrase	RI <sub>1</sub> P RT <sub>5</sub> P	<F E G <sup>#</sup> F <sup>#</sup> A G C <sup>#</sup> C H D <sup>#</sup> D <sup>b</sup> > <C <sup>#</sup> D <sup>b</sup> B <sup>b</sup> C A H F F <sup>#</sup> G E <sup>b</sup> E G <sup>#</sup> >

In the concluding phrase, the sense of closure arises first, from the way in which, after more remote hexachordal areas, the conclusion returns to the hexachordal areas of the beginning, although not to the same rows. Second, the ordered properties of the rows make it possible for the concluding phrase to resemble closely the opening phrase. As example 6 indicates, in the concluding phrase, the row structures allow the dyads of the opening to return in the same order, but with an intervening dyad between them. Thus, the row structure makes possible to return to the shape of the opening phrase and to reflect the elaborations and variations of the phrasal elements heard in the preceding phrases.

Both in Schönberg's *Variations* and Webern's *Variations*, the relationships established within the total chromatic provide the restrictions within which the moves of the works are accomplished. Morris (1995, 330) has described such abstract out-of-time pitch class structures as compositional spaces.<sup>15</sup> In Morris's (1995, 336) view, already a row class, the forty-eight rows of a row matrix, forms a simple compositional space. Further relationships established among the rows of the row class form more specific compositional spaces. The notion of a compositional space helps to illustrate the hierarchization of the pitch class relations within the total chromatic and to describe the restrictions within which the moves of a work take place. David Lewin's (1987

and 1993) transformation theory offers one way to describe the moves taken within a compositional space.<sup>16</sup> As Morris (1995, 356) has noted, by using Lewin's transformational networks, it is possible to show how "musical form arises out of the way a composer dances, as it were, through the space."<sup>17</sup>

The compositional spaces based on the resources of the total chromatic can be compared, at least to some extent, to the restrictions and possibilities provided by the tonal syntax.<sup>18</sup> The grammar of tonality can be interpreted as one type of compositional space, because it can be considered to illustrate the restrictions within which the moves, such as harmonic progressions, take place. Of course, tonality involves an elaborated set of additional criteria and rules. Further, as discussed by Babbitt (1987, 170), the tonal syntax is communal, that is, its relationships are shared by a wide range of music. In contrast, the compositional spaces established within the total chromatic are more piece specific and thus each work establishes its own network of relationships already at a deeper level. It should be noted, however, that the compositional spaces modeling either the relationships within the total chromatic or within tonality, and the moves taken within these spaces, do not determine the events on the musical surface; they merely model the restrictions, within which the surface events are composed out.

In the rest of the paper I provide some examples of compositions of the latter part of the twentieth century. In these examples, the possibilities of the chromatic universe are extended. The first example is Elliott Carter's orchestral work *Remembrance* of the year 1988. The harmonic and contrapuntal vocabulary of this work, as well as Carter's works after the late 1940s, is based on the resources of the total chromatic.<sup>19</sup> Carter's harmonic vocabulary is based on collections of different sizes, and *Remembrance* is from the period when Carter employed all-interval twelve-tone rows in his compositions.<sup>20</sup> In this essay, I do not discuss the work's pitch organization as such, but rather suggest briefly the ways in which this organization provides a basis for timbral processes.<sup>21</sup> In *Remembrance*, we hear a succession of 29 twelve-tone chords. These chords are all-interval chords, thus they all have all the eleven intervals. The total chromatic is organized by the use of these chords, and their structure determines further chordal formations, as well as the forming of the melodic lines. Importantly, the chord progressions of the work provide the basis for the work's timbral processes. These timbral processes can be examined in terms of the twelve-tone chords' registral placement, density and instrumentation.

We may follow the work's timbral processes and the ways in which they contribute to the shaping of the work. Example 7 illustrates this with a short extract from the work's closing section. The example suggests how the timbral process of this section is based on the total effect arising from the ascending register of the chords, the changes of the dense part of the chords—the smaller intervals move from the lower register to the higher one, and from the gradual changes of the instrumentation from a *tutti* orchestration into a string sound.

Example 7 E. Carter: *Three Occassions: Remembrance*: closing section

measure

● = TBN

Instrumentation	TUTTI	Part of ww	Part of ww	Cl, BsCl, Cbsn	--	--
		Brass	Hrns	Hrns, Tuba	Hrns	--
		Strings	Strings	Strings	Strings	Strings Celesta

*Remembrance* may be considered representative of the emphasis on timbre shared by many twentieth-century compositions. However, in Carter's compositional language, the timbral solutions are subtle and do not override his concern for pitch and pitch class organization. In this sense, Carter's compositional practice shares compositional principles with the non-tonal music of Schönberg and Webern: they all are representatives of such compositional traditions in which the syntactical aspects formed through the pitch and pitch class relations within the total chromatic become an important aspect of their sense of coherence and continuity. Accordingly, it is reasonable to describe the syntactical aspects of such compositions through their pitch organization. The associations, connections and processes created through other musical dimensions and the surface events form further relationships that interact with the pitch syntax.

Brian Ferneyhough's music is an example of such compositional practice in which the fundamental compositional resources are radically expanded. An important aspect of Ferneyhough's compositional practice becomes the notion of a gesture. The defining features of a gesture may contain such aspects as contour and shape, timbre and the way of playing, dynamics, articulation and rhythmic shaping. Also the pitch organization expands beyond the chromatic universe by employing microtonal inflections. These different properties of gestures act in Ferneyhough's music as sources of development and continuity. In such practice, any feature of a gesture may become an independent agent of variation and a part of a new gestural form.<sup>22</sup> The energetic force of the music arises from the directed musical processes of the properties of the gestures. Modeling the syntactical aspects of such practice, that is to describing the restrictions within which the moves of the music take place, requires a model that goes beyond the pitch organization.

The differentiations and relationships based on pitch and pitch class organization have a long tradition in Western music. Twentieth- and twenty-first-century Western concert music has, however, considerably expanded the musical resources and showed ways in which continuity, coherence and process may arise from a wider range of musical dimensions. Both Morris's (1995) model of compositional spaces and Lewin's (1987 and 1993) transformational networks allow and suggest the use of various musical dimensions as the basis for constructing such models. However, to describe compositional spaces based on other musical dimensions, such as timbral relations, is challenging, because it requires a sensible and accurate description of the functional differentiations and relationships established within the dimension. This imposes a challenge to music theory and analysis, because it raises the fundamental questions of the conceptualization and the hearing process of music, as well as the interaction of various dimensions in that process.

## References

- <sup>1</sup> Other types of post-tonal compositional traditions include those in which pitch centrality has a structural role. See, for example, Joseph Straus (2000, 112-135).
- <sup>2</sup> Stephen Peles (2001) discusses the significance of the Austro-German compositional principle of varied repetition to Schönberg's twelve-tone music and to his free atonal music.
- <sup>3</sup> Discussions on the movements of the composition include Allen Forte (1972), Martha Hyde (1985), Tiina Koivisto (1990), Robert Morris (1992), Peles (2001), and David Lewin (2003).
- <sup>4</sup> Andrew Mead (1995, 101) has suggested—in connection with Elliott Carter's music—how the interaction and distribution of specific collection types create differentiations that are “roughly analogous to the functional distribution of intervals of various classes by difference of scale degree in the diatonic system.”
- <sup>5</sup> See discussions on the relations between the surface articulation and the underlying relationships in, for example, Mead (1985 and 1993), Joseph Dubiel (1990, 1991, and 1992), Peles (2001) and Lewin (1993a).
- <sup>6</sup> Milton Babbitt (1987, 168) has emphasized, that Schönberg's remarks on the difficulty to create structure of sufficient length and complexity in his free atonal works (Schoenberg 1975, 217) meant structural length and complexity, and a degree of structural determination and richness.
- <sup>7</sup> Mead (1985) discusses large-scale strategies in Schönberg's twelve-tone music. See also Peles (2001).
- <sup>8</sup> Schönberg's *Variations for Orchestra* is described as a compendium of his twelve-tone technique. Studies on this work include René Leibowitz (1949) Carl Dahlhaus (1968), Graham Phipps (1976), and Koivisto (1995).
- <sup>9</sup> The relationships and their functioning in the formal shaping of the work are discussed in more detail in Koivisto (1995).
- <sup>10</sup> Peles (2001, 30) suggests how Schönberg, in renouncing the unifying power of the tonic, replaced it by motivic relations. This “also entailed the abandonment for all practical purposes of any principled distinction between ‘syntactic’ relations and ‘motivic’ relations; the twelve-tone system qua system just is a set of musical entities and transformations of them” (2001, 30).
- <sup>11</sup> Mead (1993) discusses the relation between the twelve-tone composition and the classical formal layout in Webern's music.
- <sup>12</sup> The numerous studies on this movement include Babbitt (1987), Lewin (1993b), Peter Westergaard (1963), Mead (1993) and Koivisto (1997).
- <sup>13</sup> Mead (1993) and Koivisto (1997) discuss the hexachordal structure and its implications to the formal shaping of the work.
- <sup>14</sup> Discussions on the properties of the diatonic collection, see, for example, Richmond Browne (1981) and Mead (1994).
- <sup>15</sup> Morris (1995, 336) states that a definition of a compositional space “might run: a compositional space is a set of musical objects related and/or connected in at least one specific way. But most importantly, compositional spaces are nontemporally interpreted—that is, they are out-of-time.”
- <sup>16</sup> Lewin (1987) provides the theoretical basis for the transformation theory and Lewin (1993a) offers examples of their use in modeling formal aspects in non-tonal music.
- <sup>17</sup> Morris's (1987) compositional design is another way to model such moves within a compositional space.
- <sup>18</sup> Mead (1994, 9-16) discusses the functioning of the twelve-tone system and tonality. Morris (1995) discusses the compositional spaces based on the resources of the total chromatic and on diatonicism. Morris (1995, 338-340) defines musical grammars, including the tonal grammar, as one type of compositional space.
- <sup>19</sup> Carter's compositional manual, which contains Carter's chordal vocabulary, is published as the *Harmony Book* (2002). David Schiff (1998) provides an overview of Carter's music and includes a bibliography of the studies of Carter's music.
- <sup>20</sup> Mead (1995) discusses Carter's compositional strategies.
- <sup>21</sup> The work's pitch organization is discussed in Schiff (1998) and Koivisto (forthcoming).
- <sup>22</sup> Brian Ferneyhough (1993, 37) notes himself, how the defining features of a gesture have a tendency towards escaping from that specific context in order to become independently signifying radicals, free to combine into further gestural or figural entities.

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## On Musical Syntaxes and the Total Chromatic

### Summary

In the twentieth-century music, the total chromatic is a source for a variety of compositional principles. This paper examines aspects of these principles in the works of the composers of the second Viennese school and of Elliott Carter and Brian Ferneyhough. The focus is in examining ways in which the total chromatic offers possibilities for forming musical syntaxes and how these syntaxes contribute to the formal shaping of the music. As suggested by Robert Morris (1995), musical syntaxes can be interpreted as compositional spaces. Compositional spaces show the constraints within which a work's pitch and pitch class organization may be accomplished. Furthermore, the moves taken within such spaces describe a work's underlying formal design. The paper discusses, how the underlying designs, in providing a framework for the composing out the music's surface detail, also offer possibilities for forming new compositional differentiations, such as timbral differentiations and gestural vocabularies.

The paper applies Morris' (1995) and Lewin's (1987 and 1993) theories of musical spaces. The notion of the compositional design (Morris 1987) and the transformational theory (Lewin 1987) are employed to describe the moves within syntactical spaces. In concluding, compositional spaces based on the total chromatic are compared to other types of syntactical spaces.

### Apie muzikinę sintaksę ir totaliąją chromatiką

#### Santrauka

XX amžiaus muzikoje totalioji chromatika yra įvairių komponavimo principų šaltinis. Šiame straipsnyje nagrinėjami šių principų aspektai antrosios Vienos kompozitorių mokyklos bei Elliotto Carterio ir Briano Ferneyhough darbuose. Pagrindinis straipsnio tikslas – išnagrinėti, kokių būdu totalioji chromatika sudaro galimybę suformuoti muzikinę sintaksę ir kaip ji prisideda prie formalaus muzikos struktūrinimo. Pasak Roberto Morriso, muzikinę sintaksę galima interpretuoti kaip komponavimo erdvės. Šios erdvės atveria konstrukta, kurio terpėje gali būti išstobulinta tono aukštumo ir aukštumo klasių organizacija, juolab kad kaita tokiose erdvėse apibrėžia pagrindinį formalų kūrinio piešinį. Straipsnyje aptariama, kaip pagrindinis piešinys, suteikiantis kompozicijai struktūrą, be išorinių muzikinių detalių taip pat gali pasiūlyti galimybes formuoti naujas komponavimo diferenciacijas, kaip pavyzdžiui, tembrines diferenciacijas ir gestikuliacijos žodyną.

Straipsnis panaudoja R. Morriso (1995) ir D. Lewino (1987 ir 1993 metų) muzikos erdvių teorijas. Kompozicinio dizaino (Morris, 1987) ir transformacijos teorijos (Lewin, 1987) samprata yra panaudota, nusakant kaitą sintaktinėse erdvėse. Apibendrinant kas buvo pasakyta, reikia pridurti, kad komponavimo erdvės, paremtos totaliaja chromatika, lyginamos su kitų tipų sintaktinėmis erdvėmis.

## Adorno and Minimalists

In his *Philosophy of New Music* Adorno makes a comparative analysis of two composition schools: the new Viennese school represented by Schoenberg and the neoclassical one exemplified by Stravinsky. These two alternative figures reflected two polar types of thinking in 20th-century music.

Schoenberg is an offspring of Romantic music at its critical point, who continued to develop its constituents such as extreme individualism, subjective self-expression, an anthropomorphic, dynamic model of time, and an authentic style revealing a highly original musical language. All of this came to be manifested in the 12-tone technique.

On the other part, Stravinsky is a carrier of the objective world perception, an exponent of the ontological model of time, and an advocate of the composer's alienated language in favor of the historical polyphonic style in the "music about music."

A conceptual analysis of Schoenberg and Stravinsky made Adorno, a veritable supporter of Schoenberg and a critic of Stravinsky, outline the basic categories of New Music, which had far anticipated the creative tenets of minimalism.

An underlying idea in the *philosophical and creative conception* of minimalism is the emancipation of sound as such and the new perception of time. As a matter of fact, these aspects are closely interrelated since they delineate different facets of the same phenomenon. Minimalism emerged within the most radical avant-gardist trend - "experimental music" headed by John Cage and his school. This trend with its ideas opposed to the entire European musical tradition, including the avant-garde of the 1950s-1960s.

*The philosophy of sound* professed in "experimental music" is manifest in Cage's following words: "Sounds become 'abstract' if instead of listening to them for their own sake you content yourselves with listening to their interactions <...> I know perfectly well that things are subject to interpenetrating. I believe that the interpenetrating of sounds is much more abundant and intricate when I exclude any interaction. There and then they begin integrating and merge into a certain entity, into a unit <...> They exist on their own and since each sound lives on its own, a unit makes up a set"<sup>1</sup>.

The tonal material underwent radical changes in 20th-century new music. Never before any reforms in the evolution of a musical language had touched upon a deep-rooted, ontological, layer of musical substance, sound as its prime element. Sound turned into a phenomenon of modern music, its emblem. The expansion of its bounds and changes in its treatment, listening, hearing and perception, are evidenced by the composers' following utterances:

"I have always longed for the emancipation of sound" – Edgar Varèse<sup>2</sup>.

"For the ear open to any sound, everything can sound as music! Music is not only what we regard as beautiful but also life itself" – John Cage<sup>3</sup>.

"Sound is a palette of the finest and richest color nuances,"<sup>4</sup> "the space of timbre is the space of a perspective" – Eduard Artemyev<sup>5</sup>.

"There are scales of noise within which it is possible to achieve a perfectly chromatic articulation of consonants. This is quite a different unprecedented kind of music" – Karlheinz Stockhausen<sup>6</sup>.

"Perhaps, the semantic integration of timbre and a musical object is the most topical question nowadays" – Pierre Boulez<sup>7</sup>.

The American minimalists have inherited Cage's philosophy of sound as a self-sufficing object. Though, past experience in the serial technique has neither disappeared without leaving a trace in their works. Webern's pointillism seemed to be directed toward the opposite pole and guided by different motivations, but in purely outward appearance it was akin to the same autonomy of sounds-dots in the scattered tonal texture. At the same time, interaction of sounds in the serial technique draws quite a different picture, compressing

time to microcosmic superdensity. Minimalism reduces sound to the autonomy of a blank sheet, a prime element free from systemic relationships and disaffected by the subjective world. Of course, it was out of the question in the music of Schoenberg or Berg because their sounds are affected. But beginning with Webern, the subjective world got already scattered whereas time disengaged itself from a dynamic process. And the minimalists came to remove the psychological substance completely. Ontological time is devoid of any pressing associated with a happening wherein each gesture reads as a novel. "Ontological and psychological time are equivalent in minimalism"<sup>8</sup>.

### **Models of Time**

Sound as a prime element is placed into a system of space-time coordinates alien to the 17th - 20th c.c. European music with its expressively dynamic, anthropomorphic experiences of time and space. The minimalistic model of time and space is akin, on the one part, to the archaic and medieval European thinking and the perception of non-European nations, on the other part. Time as an objective continual process turned into a key idea of American minimalism. Its static character is expressed in the term "vertical time" coined by Jonathan Kramer. The image of *perpetuum mobile* is close to its meaning: dynamic movement at the scale of infiniteness acquires static character.

Back in the 19th century Wagner was moving toward the static experience of time. In the overture to *The Rhine Gold* he had already mused about time passing into space, and in *Parsifal* he had developed this idea not only in his music but also had it formulated in the libretto: "here time transforms into space".

Liszt had also foreshadowed static time in his later works. In his *Nuages gris* for piano (1881), the extremely concentrated development led eventually to braking, making time vertical.

Adorno was the next after Wagner to raise the matter of "time passing into space" but already with regard to Stravinsky<sup>9</sup>.

Credit for the discovery of nonanthropomorphic time in music goes to Stravinsky. It is Stravinsky who had made a breakthrough in the European musical perception from the humanistic model of time as "the subject's inward time" to real ontological time. Adorno defined the latter insightfully (even though from the vision of Stravinsky's opponent) as a "heterogeneous and alienated stream of events"<sup>10</sup>.

According to Adorno, the absence of dynamic development in Stravinsky's compositions means the replacement of order by outward appearances. Apparently, order implies here three-phase character of a linear process (a beginning - culmination - an ending). Adorno's shrewd characteristics of Stravinsky's method may be safely applied to minimalist music after changing the value constituent of his judgment from minus to plus. And then we shall get the following positions. "There isn't any development <...> Since a thing is not subject to deep processing, it lays claims to <...> monumentality inherent in itself" ... An entity acquires "a kind of perpetual character" ... "The omission of dynamic development serves to give a garbled version of eternity," etc<sup>11</sup>.

Indeed, minimalistic music does not endeavor to convey anything, it just exists as time itself does. No wonder that Stravinsky's model of time had captivated the American continent earlier (Varèse, Cage) than Western Europe (Boulez).

The model of continual time – *time as a stream* – is close to the prereflexive perception of archaic peoples. It does not denote a dynamic vector of development from one point to another, but represents a segment of a circle as a symbol of eternity. "This time is not goal-oriented, it is *not teleologic*. We can enter and leave it, for it lasts irrespective of this. It does not begin when we begin and it does not end when we are coming to an end. A piece is a section of the ongoing and never-ending stream. This is how the minimalist conception of time was defined by Alexei Lyubimov<sup>12</sup>, the initiator and member of the first performance of Terry Riley's *In C* in Moscow in 1968.

### **The problem of authorship**

Overcoming of the composer's "self" in minimalist music results directly from the new conception of time as opposed to the idea of opus. Adorno had discerned the mediated "self" in Stravinsky's music and

selected him as an object of his biting criticism when he sensed a tendency toward “self-preservation by way of self-alienation” in the composer’s estrangement from the psychological principle.

The strategy of “self-alienation” may be defined as a distinctive feature of minimalist music. Therefore, Adorno’s words about Stravinsky are fully applicable to minimalists but again in the positive sense. Indeed, a minimalist composition is invariably associated with the *continual process* as opposed to *opus per se*. The *opus perfectum et absolutum* dating back to the New Times is overcome here completely. This is explained primarily by the minimalistic delineation of process in its pure form. The process “cannot express anything but itself” (E. Stibler).<sup>13</sup> Terry Riley calls it “accumulating processes,” Steve Reich, “gradual process,” while Philip Glass defines his composition technique as “additive process” and “subtractive process”.

The very word “process” discloses the metaphysical essence of music, its extrapersonal nature and, moreover, the composer’s dissociation from it. This metasytem seems to function exclusively owing to its intrinsic algorithm, not depending on anyone and existing on its own, creating and multiplying sound combinations without the composer’s interference and control. The latter’s role is reduced to the organization and “launching” of this system.

Therefore, Adorno’s assessment of the composer’s position in Stravinsky’s music is repeated almost literally by Steve Reich: “The outline of a process involves pitiless work on self-alienation”<sup>14</sup>.

### The Principle of Listening

Adorno has transferred the concept of “self-alienation” onto the listener. Speaking about Stravinsky, the philosopher analyzes two types of listening: dynamically expressive and rhythmically spatial. “The former arises from singing, being oriented toward overcoming time by filling it, and in its highest manifestations it transforms a heterogeneous drift of time into a strong flow of the musical process. The other type is subject to beating of the drums. It is aimed at the articulation of time by dividing it into equal fractions, virtually annulling time and making it pass into space.”<sup>15</sup> Ascribing Stravinsky’s music to the second type of listening, Adorno ascertains the relevant type of listeners: “his music attracted everyone wanting to get rid of their own “self”. Such critical position is directly related with minimalism designed for a specific type of listening.

Early in the 20th century many painters and musicians (Gauguin, Matisse, Goncharova, Stravinsky, Bartok) were captivated by archaic cultures allowing artists to derive primitive energy from them. Primitivism led to the use of avant-gardist means of expression. The first repetitive compositions dating to the period of classical minimalism - Riley’s *In C* (1964) and Reich’s *Piano phase* (1968) - also demonstrate the road of composers who began with analyzing traditional cultures and limiting themselves in the use of musical material. The music of other cultures fascinated them because the use of minimum material gave rise to different aesthetics and a different principle of listening.

The point is that traditional archaic material is primitive, its melodic and rhythmic formulas being not intended for development. The mode of its functioning in time is repetition. Moreover, a composer by using short structures gives them no chance to develop. The road to a transformation, the method of development used in compositions since the New Times, is blocked here. It only remains for us to resort to repetition, variance and combinatorics. Therefore, minimalism is inevitably related with repetition.

For a listener to European music based on the dynamic model of time, on development, each moment provides progression as a thread of narration according to the principle “from something to something else.” Such are teleological concepts of “from darkness to light,” “*per aspera ad astra*,” and “from suffering to enlightenment.” This is a linear, horizontal road, delineating cause-and-effect relationships. It is characterized by dynamism, contrasts, collisions and sudden changes, mounting and subsiding tension, a beginning, culmination and an ending.

The other road is a *lingering* stay. Adorno characterizes it thus: there is “no development” but “severity of pure existent being.” This is a cyclic vertical road. Its aim is meditation, the sensation of touching time itself and being, concentration, contemplation, and immersion. This is Cage’s “void” Nothing, when “super-reality” stands out most tangibly.

The simpler the technique, the stronger effect it produces. Repetitiveness in its varying forms is the simplest technique. Repetition and variance exist in the European forms as well, e.g., in variations, strophic

compositions, and ostinato. Dodecaphony also makes use of repetition as the organization of tonal material, where the whole texture is based on the ongoing repetition of a series in the varying modifications. The work with segments of a series and rotation of sounds within the segments come close to the minimalist formulas. But there is a fundamental difference between these two methods: that what remains hidden in some way or another in dodecaphony, structured in a through process, minimalism discloses in its repetitive form, making it declaratory and easily perceivable.

In contrast to the structural complexities and reticence of dodecaphony, minimalism clearly outlines structural processes. In this respect, Steve Reich says the following: "I want to hear how the process is unfolding in the resounding music as an entity; in order to facilitate the perception of details, the process should develop in the most successive manner"<sup>16</sup>. This is what makes the basis of meditation, a goal that can be attained by drawing on the simplicity and clarity of abstract tonal structures.

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- <sup>14</sup> *Ibidem*, p. 56.
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## Adorno and Minimalists

### Summary

In a basis of the philosophical and creative concept of minimalism lays the idea of emancipation of sound and the new perception of time. The sound as primal elemental of music (Cage) is placed in the system of time coordinates close, on the one hand, to archaic and medieval European thinking, and with another – prereflexive consciousness of Non-European peoples. The model of time as objective continuing process (or static process) is embodied in the term «vertical time».

Wagner was the first to think over the concept of «time turning into space». After the composer it was Adorno who introduced spoke about «spatial time» («Philosophy of new music»). The critical analysis of the concept of Stravinsky has deduced Adorno on such characteristics of the basic categories of New music which anticipate creative positions of minimalism.

1. The concept of time. Stravinsky has made break in the European musical consciousness from the model of «inward time of a subject» (the concept of the Humanists) – to ontological time. Adorno characterized this perspicacious thought (though being opposed to Stravinsky) as «heterogeneous and alienated stream of events».
2. Overcoming author's «Self» in minimal music is the direct consequence of the new concept of time resisting to the idea of an opus/work (of art). Adorno criticizes Stravinsky exactly for that, i.e. «self-preservation by means of self-elimination» which he finds in Stravinsky's negation of psychological authorship. Adorno's idea is almost literally repeated by Steve Reich: «Forming of process is a ruthless work on self-elimination».
3. Adorno has transferred his concept of «self-elimination» on listener: «his music drew to itself everyone who wanted to get rid from one's own "Self"». Such position has the direct connection with the music of minimalism designed for special type of hearing.

## Adorno ir minimalistai

### Santrauka

Minimalizmo filosofinio ir kūrybinio suvokimo pamatą sudaro garso emancipacijos idėja ir nauja laiko samprata. Garsas kaip pirminis muzikos elementas (Cage) yra įtalpintas laiko koordinačių sistemoje, kurią riboja, viena vertus, Europos archajinis ir viduramžinis mąstymas, o, antra vertus, Neoeuropos tautų prerefleksinė sąmonė. Laiko kaip objektyviai besitęsiančio proceso (ar statiško proceso) modelis yra išreikštas terminu „vertikalusis laikas”.

Wagneris buvo pirmasis, mąstęs apie „laiko, pereinančio į erdvę” suvokimą. Po šio kompozitoriaus buvo Adorno, kuris įvedė *spoke* apie „erdvinį laiką” („Naujosios muzikos filosofija”). Kritinė Stravinskio koncepto analizė atvedė Adorno prie tokių naujosios muzikos fundamentaliųjų kategorijų charakteristikų, kurios nuspėjo minimalizmo kūrybines pozicijas.

1. Laiko konceptas. Stravinskis Europos muzikinėje sąmonėje padarė šuolį nuo „subjekto vidinio laiko” modelio (humanistų konceptas) prie ontologinio laiko. Adorno apibūdino šią įžvalgią mintį (nors ji oponavo Stravinskiui) kaip „heterogeninę ir nutolintą įvykių tėkmę”.
2. Autoriaus „aš” nugalėjimas minimalistinėje muzikoje yra tiesioginė naujos laiko sampratos pasekmė, laiko, kuris oponuoja meno veikalo / opuso idėjai. Adorno kritikuoja Stravinskį būtent už tai, t. y. už „savęs išsaugojimą savęs eliminavimo priemonėmis”, kurias jis randa Stravinskio psichologinės autorystės neigime. Adorno idėją beveik paraidžiui pakartojo S. Reichas: „Proceso formavimas yra negailestingas savęs eliminavimo darbas”.
3. Adornas savąją „savęs eliminavimo” sampratą perkėlė į klausytoją: „jo muzika patraukė į save kiekvieną, kuris norėjo pasijuokti iš savo „aš”. Tokia pozicija tiesiogiai siejasi su minimalizmo muzika, skirta specialiam klausymo tipui.



## Orchestras in the World Musical Cultures. Methodological Analytical Possibilities of Comparison

The purpose of my report is to discuss and base the aspects of comparison a systematic application of which could help to unfold the essential principles of the orchestras in the world cultures. I have included into the field of comparison four, to my mind, the most notable, geographically widely spread orchestras which in the course of history have based their artistic, cultural and civilization importance. These are: archaic orchestras, Indonesian gamelan, Japanese gagaku and European orchestra. They can be to a certain extent called as motherly orchestral cultures boasting a wealth of varieties, widely spread in a geographical respect but principally different and unreduced. A picture of their whole reflects a geographical section of the present-day orchestral traditions as well as discloses a historical development of the world orchestral cultures from the oldest types of the archaic orchestra to the conditionally youngest European symphony orchestra still actively evolving.

Here I introduce the term “archaic orchestra”. It includes the types of orchestras existing in primitive nations all over the world and also found in folk music of some civilized countries as a heritage. They are united by a common archetype, which is associated with a specific musical structure and thinking. One of the most characteristic features displayed by them – so called second polyphony, noticed by great many investigators, such as, J.Kunst, K.Stumpf, G.Messner and others. It is thought to reach even the Stone Age.

Knowing that all the four mentioned orchestral cultures were determined by different cultural and geographical conditions, evolved independently from each other, it's evident that they can be hardly compared as a cultural whole. On the other hand, a comparison in certain aspects is possible necessary and informative, therefore, it is of paramount importance to find proper methods and define the most important and above all suitable aspects for comparison. I've singled out five, the most important aspects, which I will discuss here more thoroughly. They include cultural, functional, communicative, musical theory and timbre-instrumental structure aspects.

The first, the most profound aspect of comparison, striving to grope the very genetic code of the formation of orchestra, is a **cultural** aspect of comparison. One cannot help starting with it because the analysis of its birth place, conditions, cultural medium, the tendencies of historical development unfolds the most fundamental points of departure of orchestral cultures and the reasons for their further road of formation. The sources of all orchestral cultures in question were entirely different, and it was a geographical situation that determined a partial isolation and autonomy. A more thorough analysis could facilitate to reveal the essential reasons for the uniqueness possessed by each of them.

Besides, looking through a cultural prism, we can also notice one of the most important things – the role and relationship between tradition and innovation. We can see that, for example, in archaic communities music proper is not perceived as a separate phenomenon, here all the spheres of life are inseparably fused. Such communities foster and preserve tradition, any deviation from it is simply a taboo and impossible. This may be the reason for the survival of only slightly changed heritage of archaic orchestras, reaching even nowadays. The gagaku and gamelan orchestras were also evolving on the basis of their tradition. However we can notice in this respect European culture differs. It has matured as more revolutionary, giving rise to a personality cult and the idea of renovation and perfection. This explains the emergence of intensive changes in theoretical systems, instrumental structure and in many other aspects of the European orchestra in the course of history; while the archaic, gamelan and gagaku orchestra retained the same orchestral structures, theoretical systems for centuries and even millennia, fostering and only slightly varying their tradition. Here we can notice the European inclination for unrepeatability, where each composer strives to discover something new, each epoch denies the previous one. On this respect the other three cultures have preserved a tendency of repeatability – a composer repeats the tradition, presents only a variant of its interpretation.

Being aware of the fact that a cultural analysis unfolds the tendencies of the fostering tradition or renovation we can get a deeper insight into a **functional** aspect of comparison. Now it is no less important to clear up what function the orchestra performs in the life of a certain culture; what place it occupies in a general musical context of that culture. Coasting a glance at the European orchestra in this aspect, we can notice that a unique tendency to renovation and a personality cult existing only in European culture also forms a unique, nowhere else discovered concert-type function of orchestra. However, in archaic communities music exists everywhere as an inseparable part of life, and the basic purpose of archaic orchestra is ritual. Gagaku orchestral music existed in the emperor's court and used to accompany all ceremonies, such as weddings, funerals, state holidays, and also served as accompaniment for dances and performances. The gamelan orchestra mostly fulfilled a ritual function. Different from gagaku it functioned not only at courts but also in villages and, on the whole, in all strata of society. Gamelan music first of all accompanied religious rituals and dances as well as ritual celebrations, such as weddings, circumcisions, village ceremonies, etc. If the European orchestra strives to keep the listener's vigilance and concentration on the things performed on the stage, one of the Javanese gamelan good criteria for musical presentation is to place the audience into a state between awake and sleep. (It could hardly be a positive feature in European music.)

It leads us to the conclusion that a comparative analysis of the functional purpose of orchestras opens up a way for disclosure of different orchestral-thinking types. It can also help to differently define the bounds between chamber and orchestral playing. For example in ritual-purpose orchestras (particularly archaic) a bound between orchestral and chamber playing is very indistinct. Here the size of orchestra doesn't play a decisive role, therefore, at the ritual both, a four-member group and, say, 40 performers can play. They can be perceived as the orchestra on equal grounds. Whereas a concert-purpose type of orchestra determines the importance of orchestra size, a more detailed differentiation of its instrumentation starting from solo playing, chamber ensemble, chamber orchestras to the biggest size orchestras.

The third aspect of comparison explores the mediums of **musical communication**. Here several important moments should be mentioned.

First of all, the peculiarities of notation or its absence. We can see that the European orchestra, raising the principle of unrepeatability and innovation could not manage without creating an exact notation. Every work, which is individual and the only, has to be exactly fixed and exactly played by performers. If in European culture a piece of work is regarded as the fixing of an unrepeatable moment, in other cultures it is more oriented to unchangeable rules due to which notation loses its importance. Archaic orchestras have never had any notation and the very notating of music would be alien to their syncretic thinking, which does not distinguish music as a separate object. Both Indonesian gamelan and Japanese gagaku possess certain notation methods. Still, so called gamelan cipher notation, where the pitches are marked by different numbers was introduced only in the late 19<sup>th</sup> century. It is associated with the impact of European culture therefore it is essentially alien to the gamelan musical tradition. In gagaku music notation existed from its very birth (about the 8<sup>th</sup> century), but it played only a subsidiary role; it did not fix exact melodic patterns, its interpretation and real performance mainly depended on the oral practice.

The study of the notation phenomenon unavoidably leads to the comparative analysis of the devices for the transmission of music. It is significant because it reveals different shapes and forms of the existence of music. The cultures such as European, which have an exact system of notation, also effectively use it for learning music. Besides, we all know that in concert practice orchestral players always play from notes. In archaic, gamelan and gagaku orchestras players learn orally. They play music only from memory.

A tradition of Japanese music boasts a peculiar method for the transmission and learning of instrumental melodies – so called *syoga* ('singing song'). It is a kind of hybrid of notation and oral transmission, because it exists both in singing and written form. *Syoga* uses syllables similarly like solmisation in Europe. This is the way to transmit information about tone color, melodic ornamentation, patterned movement, and playing techniques.

It seems likely that such a sufficiently complex structure as orchestra could be hardly able to exist not only without its own and ensured method for the transmission of music, but also without specially trained musicians. In all four orchestral cultures seems to exist the status of professional musicians. It is, therefore,

also important to take into the account specificity of this status and also see how differently it is interpreted in the cultures of different orchestras.

All the four orchestras under discussion stand out for their highly sophisticated, developed and unique theoretical systems of music. The formed systems in some orchestral traditions exerted their influence on a wider scale. In Japan, as early as 8<sup>th</sup> century, theoretical systems of the gagaku orchestra became a basis for all further development of Japanese music. A worldwide expansion of the European tonal system is also well known. Besides, one of the salient distinctive features of the archaic orchestra is the whole of its specific structural-modal-rhythmic principles. It clears up once again that these cultures are motherly and historically important.

Thus, the fourth aspect of comparison includes the analysis of the **theory of music**. It facilitates to unfold the basic features and structural principles of the music performed by orchestra. It embraces a wide circle of themes: the perception and coordination of time, the principles of form, rhythmic structures, modal systems, instrument tuning systems, etc.

In ex.1 we can see typical scale structures of every orchestra. We can notice a clear analogy – the existence of modal pairs. Gagaku orchestral music contains *ryo* (man scale) and *ritsu* (woman scale). On the basis of them six basic gagaku modes are formed. The main tone of these structures is a third one (different from European tonal system). It is called *kaku*. Namely its position determines the difference between these structures. Here both scale structures are perceived as each other's opposites – man/woman; it is also confirmed by a conflicting relationship of the sounds *kaku* (interval of minor second).

**Example 1**

**Scale structures**

gagaku orchestra

Ryo (man)

kyu syo **kaku** ti u

Ritsu (woman)

kyu syo **kaku** ti u

archaic orchestra

I II

gamelan orchestra

Slendro

+5 cnt -41 cnt +9 cnt +47 cnt +8 cnt

Pelog

+33 cnt -25 cnt +22 cnt -3 cnt +8 cnt +30 cnt +2 cnt

europaean orchestra

Major

T

Minor

T

The example of the archaic orchestra also evidently witnesses the opposition between two modal blocks of thirds. They are confronted at an interval of second, besides are performed by two different orchestral groups, which usually stand facing each other. There is no basic tone, the entire modal block is composed of equally interpreted sounds.

In gamelan music we come across two systems of tuning – *slendro* and *pelog*. They also perform the function of two opposed scale structures. For example in Javanese gamelan they divide orchestra into two orchestras of different tuning – one is tuned after *pelog* system, the other – *slendro*.

Though the European major-minor system at first sight also shows two basic scale structures, but here the difference is in their interpretation – not as each other's opposites but rather as two color variants of a single object. It is also confirmed by the coinciding first basic tone – a common tonic.

Thus, the short analysis leads to the conclusion that the perception of two scale structures as the opposites complementing each other (man/woman) is characteristic of a modal understanding of the gagaku, gamelan and archaic orchestra. In this respect, the European tonal system again slightly distinguishes itself – it emphasizes not two, but one tonal center. And so, this analysis helped us to disclose some moments concerning the composing principles of the orchestral cultures.

The convincing results of the theoretical analysis lead us to the last, fifth comparative aspect, concerning **timbre-instrumental orchestral structure**. First of all it is important to turn our attention to some more profound moments determining orchestral structure.

It is above all important to know what kind of instruments make the core of the orchestra and on the basis of what instruments a specific orchestra formed its shape in a historical aspect. Here we can find clear differences. For example, the gamelan orchestra took its shape exclusively on the basis of percussions, which make the biggest part of its instrumental structure. In this respect European orchestra is a direct opposite to gamelan. It was undergoing formation on the basis of string instruments, therefore a group of strings performed the main role in the orchestral structure for a long time. In addition, speaking about instrumental structure, it is worthy of mention that the structure of European and Japanese gagaku orchestras was standardized – in Europe by the Mannheim School of composers in the 18<sup>th</sup> century, in Japan – by the emperor Soga in the 9<sup>th</sup> century. Whereas each of the gamelan and archaic orchestras is partly individual.

Also interesting is the way an instrument proper is perceived; moreover that it can help to disclose the principles of thinking that determine the structure of the orchestra. If in European tradition an instrument is interpreted as a man-made thing for a practical use, an instrument in the archaic orchestra is mythologized. For example, the Ivory Coast nation *Dan* believe that instruments originated from animals or bush spirits and the spirits are particularly fond of music and help musicians to play with greater energy. Of interest is also the fact that the gamelan orchestra keeps to the role not to step over an instrument. It is obligatory to go round it and at the same time to perform a special gesture of apology and obedience.

In the further analysis of the orchestral structure it is important to take into consideration the functions of instrumental groups in orchestra. In the ex.2 we can see the tables of the functions and the instruments performing them.

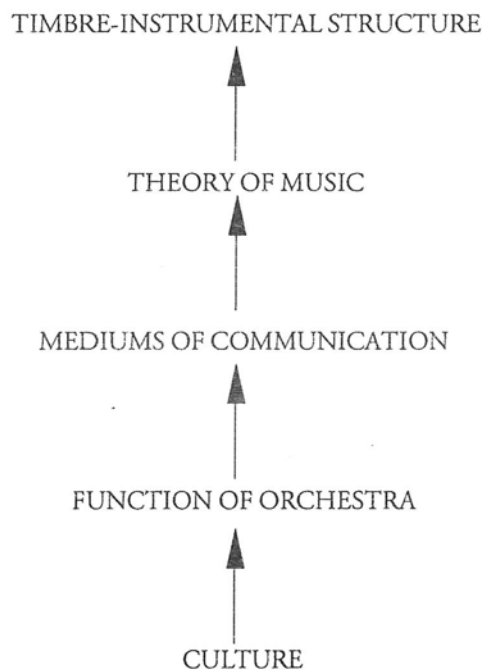
## Example 2

### Functions of instruments

Gamelan orchestra		
Melodic function	Main melody	<i>Saron, slentem</i>
	Elaborating melody	Bonang, gambang, gender, siter
	Counter-melody	Rebab, suling, <i>human voice</i>
Colotomic function	<i>Gong ageng, kempul, kempyang, kenong, ketuk</i>	
Rhythmic function (audible conductor)	<i>Bedug, kendang</i>	

<b>Gagaku orchestra</b>	
<b>Melodic function</b>	Winds: <i>hichiriki, ryuteki, fue</i>
<b>Supporting function</b>	<i>Sho, koto, biwa</i>
<b>Colotomic function</b>	Percussions: <i>shoko, kakko, taiko, dadaiko</i>
<b>Archaic orchestra</b> (Sudan, Berta nation)	
<b>Contradiction function I</b>	First set of <i>waza</i> trumpets
<b>Contradiction function II</b>	Second set of <i>waza</i> trumpets
<b>Rhythmic function</b>	percussions: wooden crotch <i>bali</i> , sticks, rattles

### Example 3



Here we can observe a clear analogy between the gagaku and gamelan orchestras. The structure of both of them is colotomic. It means that time is divided into temporal units according to the entrance of specific instruments. That is why we can see here a group of instruments that perform a colotomic function. Besides, important are the instruments of melodic function (in gamelan they are divided into three functional subgroups). In the gamelan orchestra their basis is melodic percussions, in gagaku – keen timbre winds.

The archaic orchestra displays a different picture: two equal groups of instruments perform the function of contradiction in each other's respect, while the percussions keep a rhythmic pulsation.

It is also worthy of mention that in the European orchestra orchestral groups reflect the origin of tonal music. They correlate between themselves as a kind of harmony functions, only expressed in a timber shape.

Finally, for the sake of a thorough study of the orchestral structure, it is necessary to compare the specifics of the conductor or leader and in this way to clear up a mutual coordination between performers. If European orchestras are directed by a specially trained person – a conductor, in the gagaku orchestra, for example, the role of an audible conductor is performed by a musician playing a small horizontal drum *kakko*. Similarly in gamelan the function of the leader is performed by a musician playing the barrel drum

*kendang*. One of the examples of the coordination of the archaic orchestra can be found in the percussion orchestra of the Ghana tribe Ewe, where the leader's role falls on the biggest master drum *agboba*. Here we approach to some interesting conclusions. It's likely that gamelan, gagaku and archaic orchestras base themselves on the principle of coordination between performers which is typical to chamber music in Europe. In this respect the European orchestra distinguishes itself again by a clearly separated function of a conductor.

We have reviewed and based five aspects of comparison from the most fundamental and widest cultural aspect to the narrowest and the most detailed one timbre-instrumental orchestral structure. The scheme (ex.3) illustrates the systematic whole of these aspects. We had a chance to get convinced that the whole of the mentioned comparative aspects is able rather thoroughly to disclose the fundamental principles of the archaic, gamelan, gagaku and European orchestras, and ensure its resultative comparative analysis. And more. Their systematic application helps not to loose a causal relationship of separate aspects and model a consistent and based picture of the world orchestral cultures.

## **Orchestras in the World Musical Cultures. Methodological Analytical Possibilities of Comparison**

### **Summary**

A wealth of independent musical cultures had existed and are still existing since olden times up to the present days. They have expanded the phenomena of playing orchestral music in their own and entirely different way. In Japan – a court orchestra gagaku, in Indonesia – a gamelan orchestra, an archaic orchestra and an European tradition orchestra rank among the best-known and geographically widespread in the world cultures, which in the course of history have based their artistic, cultural and civilization significance. The drawing of their whole reflects a geographical section of the present-day orchestral traditions. However, beyond any doubt, these cultures with deep historical roots and which emerged at different time partially reflect a historical development of the world orchestral cultures from an archaic orchestra to the conditionally youngest European symphony orchestra still actively undergoing its development.

It is of paramount importance to answer the question whether it is possible to effectively compare the mentioned orchestral traditions, or they are too different, or one can find enough contact points, making possible to more thoroughly perceive the roads and tendencies of the world orchestral thinking. In order to make this kind of comparison effective and give appropriate results one needs to have a systematic whole of comparable aspects, methodological instruments. It consists of several essential aspects.

The first, the most profound one, making an attempt to grope the very genetic code of the orchestra – a cultural aspect of comparison. The comparison of the sources of orchestra, its birth place, conditions, cultural medium tendencies of historical development unfold the most fundamental starting points of orchestral cultures, the reasons for their chosen further way of formation.

No less important is the function orchestra performs in the life of a certain culture and the place it occupies in a general context of playing music of that culture. On the basis of the purpose of playing music, for example, whether it is ritual or concert type, one can also distinguish separate types of orchestral thinking and somewhat differently define the boundaries between orchestral and chamber playing.

It is the tools for rendering music, the peculiarities of musical script (or its absence), the specifics of the musician's status that reveal the salient features of the existence and development of music in a certain orchestral tradition. The comparison of theoretical systems of music is also unavoidable and resultative. The perception and coordination of each culture, the principles of form, modal systems, the tuning of instruments, the rhythmic peculiarities are rather greatly or sometimes essentially different, therefore, they can serve for the disclosure of the basic features and principles of orchestral thinking. And last but not least, the structural principles of orchestra characteristic of every culture finally demonstrate themselves through the comparison of their timbre-instrumental organization, i.e. instruments, their grouping and functions in the orchestra, the composition of orchestra, the specifics of performance, the function of conductor / director.

A systematic adaptation of these aspects of comparison can be effective in the process of disclosing the topical moments of orchestral composing in the mentioned cultures. Their wholeness sufficiently enables one, as far as it could satisfy the interests of today's composers, to embrace the traditions of archaic, gagaku, gamelan and European orchestra.

## **Orkestrai pasaulio muzikos kultūrose. Metodologinės analitinės lyginimo galimybės**

### **Santrauka**

Nuo senovės ligi pat šių dienų egzistavo ir tebeegzistuoja daugybė savarankiškų muzikinių kultūrų, daugybė kultūrų savitai ir visiškai skirtingai išplėtojusių orkestrinio muzikavimo reiškinių. Japonijos dvaro orkestras - gagaku, Indonezijos gamelano orkestras, archajinis orkestras bei europinės tradicijos orkestras, tai vieni ryškesnių, geografiškai plačiai paplitę ir istorijos eigoje pagrindę savo meninę, kultūrinę ir civilizacinę reikšmę pasaulio kultūrų orkestrai. Jų visumos piešinys atspindi nūdienos orkestrinių tradicijų geografinį pjūvį. Tačiau be abejonės šios kultūros, turinčios gilią istorinę šaknį, užgimusios skirtingu laiku iš dalies reflektuoja ir istorinį pasaulio orkestrinių kultūrų vystymąsi, pradedant archajiniu orkestru ir baigiant sąlyginai jauniausiu ir vis dar aktyviai besivystančiu europiniu simfoniniu orkestru.

Svarbu atsakyti į klausimą, ar yra įmanomas minėtų orkestrinių tradicijų efektyvus lyginimas, ar nėra jos pernelyg skirtingos, ar galima jose atrasti pakankamai sąlyčio taškų, padėsiančių nuodugniau suprasti pasaulio orkestrinio mąstymo kelius ir tendencijas. Tam, kad toks lyginimas būtų efektyvus ir duotų tam tikrų rezultatų, reikalinga sisteminė lyginimo aspektų, metodologinių instrumentų visuma. Ją sudaro keletas svarbiausių aspektų.

Pirmas, pats giliausias, siekiantis apčiuopti patį orkestro genetinį kodą, tai kultūrinis lyginimo aspektas. Ištakų, orkestro užgimimo vietos, sąlygų, kultūrinės terpės, istorinio vystymosi tendencijų lyginimas atskleidžia pačius fundamentaliausius orkestrinių kultūrų išeities taškus ir jų pasirinkto tolesnio formavimosi kelio priežastis.

Ne mažiau svarbu yra tai, kokią funkciją atlieka orkestras tam tikros kultūros gyvenime, kokią vietą jis užima bendrame tos kultūros muzikavimo kontekste. Pagal tai ar muzikavimo paskirtis yra ritualinė, ar pavyzdžiui koncertinė, galime skirti ir atskirus orkestrinio mąstymo tipus bei kiek skirtingai apibrėžti ribas tarp orkestrinio ir kamerinio muzikavimo.

Muzikos perdavimo būdai, muzikinio rašto ypatumai (ar jo nebuvimas), muzikanto statuso specifika atskleidžia esminius muzikos egzistavimo ir vystymosi bruožus tam tikroje orkestrinėje tradicijoje. Neišvengiamas bei rezultatyvus yra ir muzikos teorinių sistemų lyginimas. Kiekvienos kultūros laiko suvokimas ir koordinavimas, formos principai, dermių sistemos, instrumentų derinimas, ritmikos ypatybės gerokai, o kartais ir iš pačios esmės, skiriasi, todėl tai padeda atskleisti pagrindines orkestrinio mąstymo savybes bei principus. Ir pagaliau kiekvienos kultūros orkestro struktūros principai galutinai atsiskleidžia lyginant jų tembrinę-instrumentinę organizaciją, - instrumentus, jų grupavimą ir funkcijas orkestre, orkestrų apimtis, atlikimo specifika, dirigento/vadovo funkciją.

Šių lyginimo aspektų sisteminis taikymas gali būti efektyvus atskleidžiant aktualius minėtų kultūrų orkestrinio komponavimo momentus. Jų visuma leidžia pakankamai, kiek tai tenkintų šiandienos kompozitorių interesus, aprėpti tiek archajinio, tiek gagaku bei gamelano, tiek ir europinio orkestro tradicijas.



## Tracing an Ontology of Voice-leading in Fifteenth-Century Counterpoint Regulation

With the treatises on counterpoint by, among others, Burtius, Gaffurius and Tinctoris, composers of music were exposed to pedagogy in a way that had previously been reserved for choristers and liturgists. To a certain degree, composers born during the second half of the fifteenth century shared a stylistically uniform counterpoint technique and explored many facets of polyphony before these had been discussed by theorists – yet the progressive elements seem related to points on which contemporaneous theorists had already criticised composers of the previous generation. Were the treatises primarily testimonies of established practice or breakthrough principles of composition? What instruction did original works and counterpoint pedagogy, respectively, bestow on composers *in spe* c.1500? Such chronological scrutiny is made complicated by the meagre information available as regards musical *curricula* of the period and the fact that distinction between composition proper and *ex tempore* practice cannot always be readily made. We shall here investigate the extant writings on counterpoint at the turn of the fifteenth and sixteenth centuries and ultimately evaluate its relevance in respect of our own times; are the cultural mores and the factors of music making incompatible to the point that we cannot understand the first stirrings of counterpoint pedagogy, the roots of our notion of polyphony?

Musical tuition at the end of the fifteenth-century was largely confined to reading the authorities of *musica speculativa*, as part of the *quadrivium* taught at Universities, and the practical craft of singing, taught at collegiate, monastic and significant ecclesiastical institutions. We know very little about private tuition of counterpoint of the period and as to which extent such tuition at all took place. Adrianus Petit Coclico's remark that Josquin des Pres never presented him with a single musical exercise is famous but historically dubious.<sup>1</sup> Its importance to our study lays in its implication of an ideal pedagogy, one which was not to be based on analysis of pre-existing music, but in the notion of composition as a concrete discipline in itself, a logical continuation from the exercise of singing.<sup>2</sup> On grounds of the documented discourse on music by fifteenth- and sixteenth-century composers it is safe to assume that what we today understand as the idiom of Renaissance polyphony was not taught in the manner of a foreign tongue but rather assimilated naturally in daily choral practice. This postulation finds further support in late fifteenth-century music theory. Nicolaus Burtius, as a case in point, emphasised that "when one wishes to compose a song it is necessary first to know much music, that is, to have studied thoroughly an infinite number of works".<sup>3</sup> Knowledge of this kind was an assumed starting point of Burtius' readership. With every language follows, however, that one must perfect such naturally acquired skill with some regulation in order to achieve complete idiomatic fluency. It is likely that the treatises on counterpoint by Prosdocimo de Beldomandis, Ugolino Urbevitanis, Johannes Tinctoris, Franchinus Gafurius, Bartolomeo Ramis de Pareia, and Burtius responded directly to such a need.

### Regulation

In their pedagogical tractates on counterpoint, these theorists presented sets of rules governing voice-leading and permissible dissonances. The concept of 'dissonance treatment' as found in later music theory is not applicable here – the consensus position in this era was that dissonance should be allowed with tactful restraint rather than exploited. The regulation proposed may appear to be of little direct practical value. Purposeful models of counterpoint are occasionally hinted at, but first and foremost there seems to have been a great collective desire to 'spruce' the tradition of polyphonic music. If one closely examines the didactic approach of these theorists it is clear to see that regulation of a pre-existent practical grounding was their prime intention. Whether the regulations were proposed as instruction or as description is open to deductive reasoning, but arguments advanced in the treatises are primarily empirically founded, far from

the speculative tradition of music theory of Boethius and Isidore of Sevilla (a theoretical tradition in which these theorists were nonetheless involved in other matters). The regulation of different authors naturally overlaps, and to make any assertion as to comparative originality would clearly border on the audacious. This table merely aims to offer an overview of principles which are shared between five of the foremost theorists, together spanning the entire fifteenth century:

Principle	de Pareia	Burtius <sup>4</sup>	Gafurius <sup>5</sup>	Tinctoris <sup>6</sup>	Prosdocimo
Beginning and ending on perfect consonance	p. 65	f. 3 r., f. 5 r.	f. 1 r., f. 3 r.	p. 147	p. 58-60
No consecutive perfect consonances	p. 65	f. 5 r.	f. 1 r.	p. 148	p. 60-62, p. 66
Consecutives of imperfect consonances desirable	p. 65	f. 5 v.		p. 148	
If c. f. is static, counterpoint should move	p. 65			p. 148	
Closest possible movement desirable	p. 65	f. 4 v., f. 5 v.	f. 2 v.	p. 149	
Contrary motion desirable	p. 65	f. 5 v.	f. 2 v.		p. 64-66
No violation of <i>modus</i> (' <i>distonatio</i> ')	p. 71			p. 149- 150	
No melodic repetition				p. 150-151	
No repetition of cadence degree				p. 152	
No movement from perfect consonance to compatible dissonance		f. 5 v.			

We can note that Tinctoris alone is to some degree preoccupied with the concept of variation; in addition to his principles he also states a general decree of variation, which applies only to some general points made by other authors. The congruence illustrated by this table could not be explained only by derivative scholarship, even if such a tendency is strongly implied by the fact that theorists of this period only reluctantly admit to influence by their contemporaries. If there is any intrinsic worth in these principles it must have been derived from qualities established in pre-existing musical works. This links up with general contemporaneous tendencies in the natural sciences, where an increasing desire for ontological evidence was very much in evidence.

### Theory and Practice

In spite of the clear distinction often made between *cantores*, *modulatores* and *musici* in early music theory, no polarisation between theory and practice is evident in late fifteenth-century published counterpoint instruction. We know that music of this period were composed both in premeditated and *ex tempore* manners. One must not be under the impression that the former necessarily embodied a higher degree of sophistication nor that the latter was confined to homophonic fauxbourdon (although this might well have been the most widely cultivated method of improvised polyphony). Prosdocimo establishes a distinction between vocal ('*vocalis*') and written ('*scriptus*') counterpoint but then goes on to state that in his thesis, everything that will be said of counterpoint is to be understood to pertain to both these disciplines.<sup>7</sup> (Tinctoris similarly discriminates between "*mente*" and "*scripto*"<sup>8</sup>). In the sixth chapter of his *Musices opusculum* (*liber secundus*), Burtius describes the counterpoint he learned in his childhood. This improvised method allegedly adhered to rules of voice-leading which were used daily in the chapels of princes, particularly by "*ultramontanis cantoribus*", that is to say by singers from regions north of the Alps.<sup>9</sup> Fol. E 8 v.

These, and plenteous other reports of a similar kind, confirm the inherently practical origins of voice-leading regulation.

The practice of so-called simultaneous composition gradually became manifest during the course of the period discussed in this study. Johannes Cochläus seems to have been the first theorist to mention this procedure in his *Musica* of 1507.<sup>10</sup> Pietro Aaron then discussed it further in his *De institutione harmonica* of 1516. At the time of publication of these two treatises, however, music with considerable equality of part-writing had already been composed and Loyset Compère had even used imitation with three different pitches of entry. Simultaneous composition is a precondition for this type of constructive counterpoint, which entails that Cochläus is essentially descriptive in his discussion. Consequently, some method of simultaneous composition must have been developed by composers of the Josquin generation. If we examine the bulk repertoire at the turn of the two centuries in question it becomes clear that the older practice of c. f. treatment, successive counterpoint, was unquestionably the normal working method, and indeed the sole idiom, for most composers, whether in the form of paired imitation or strict c. f. works. Gafurius asserts: "When one wishes to add a quintuple or fifth part, concordant with these four, one should take care to join this fifth part first to one and then to another of the parts by means of diverse species in accordance with the rules and mandates of counterpoint."<sup>11</sup> He also describes the compositional method of parallel writing in outer parts with 2:1, or 4:1, rhythmic relation to the tenor c. f.. He lists Tinctoris, Guarnerius, Josquin, Werbecke, A. Agricola, Compère, Brumel and Isaac as composers cultivating this technique. Alongside the new constructive polyphony with equal part-writing, successive composition was thus continually cultivated by 'modern' Franco-Flemish composers well into the sixteenth century.

### Humanism and Gothicism

Fifteenth- and early sixteenth-century music theory has sometimes been made to look orthodox and stringent as compared to the supposedly humanist expression of original works of music from the same period. Such a notion fails to recognise the close interrelationship between theory and composition of the time. From what we have seen, it may be argued that Gafurius sought the refinement of the declining c. f. techniques whereas progressive Flemings had more eclectic aspirations. Perhaps the perceived 'gothicism' of the theorists is connected with the fact that these frequently described and examined the styles of their immediate forbears. If this was done for the reason of admonition, which is often the case, the 'modern' style of late Josquin, Brumel, and Compère was not so much a deviation from the principles of contemporary music theory, but rather something directly instigated by those. To purport that the Josquin generation represented a 'humanist', or 'classical' ethos can, of course, be done in the analysis of isolated works (and then chiefly as regards broader interdisciplinary scholarship). The problem with such a notion is not primarily whether late fifteenth-century theorists had descriptive or instructive intentions. Rather, it is in presupposing a clear distinction between theory and practice, as discussed earlier, that the modern mind fails to support such a simplification. Ramis de Pareia definitely did not represent any retrograde faction when he stated that singers "should avoid doing anything against the rules because, even if they are approved very little, they still do not depart from the truth."<sup>12</sup> One may also consider Gafurii humanist-tinged statement that "the interval of a sixth mediated by a third above a tenor harmoniously supports a fourth between those two concordant, though imperfect, intervals. The third and the sixth are obscured by these intervals in the way that smaller things are obscured by larger ones. Even so, this fourth is recognised to have been evolved both from art and from nature."<sup>13</sup> "Et si sexta per tertiam supra tenorem mediata quartam inter medium terminum concorditer sustinet et acutum: quoniam inter duas ipsas concordantias tertiam scilicet et sextam (quamvis imperfectas) disposita est ab ipsis tanquam minor a maioribus obumbrata. Id tamen noscitur etiam natura atque arte deductum." fol. D 4 v.

It is in our times habitually asserted that music was gradually removed from the broad field of arithmetic to the humanities in Renaissance musical thought, a process in which progressive Burgundian composers are presumed to have played a crucial role. Here, on the contrary, we find that it is the theorists trained in the *speculativa* tradition which aim to uncover some natural order of things, suggesting both

regulation and liberation in that process. Tinctoris, positively the most distinctive empiricist of these, advocate a gloss on the 'closest possible movement principle' a matter on which, as can be deduced from the table above, practically all theorists agree: "But those who aim at a sweeter and more pleasant counterpoint than that constructed of neighbouring notes are freed from this rule".<sup>14</sup> The suggestion of natural order is conveyed in the language used to explain the conventions of voice-leading, as when Ugolino describes that certain notes desires ('*cupit*') or seeks ('*vult*') certain progressions depending on their relation to the tenor.<sup>15</sup>

Dissonance is another issue on which there is a considerable degree of concurrence between the theorists. There is a marked discrepancy, however, between their views vis-à-vis those of contemporaneous Flemish composers. Gafurius commends the music of Josquin but of the kind of conjunct movement dissonance which is so frequently found in the motets of this composer he has to say: "To these I would rarely concede admittance, for their discordance is marked, even though the minim occupies only half the time of the semibreve [this refers to a given example] and proceeds swiftly"<sup>16</sup> When the theorist says: "Slowness naturally requires more time for itself than does rapidity [this unquestionably refer to vibration rather than to tempo or rhythmic relationship]. Hence there can be more discordance in lower sounds, and consequently that discordance is more obvious....Among such low a sound, therefore, counterpoint does not tolerate the discordance of such a fourth."<sup>17</sup> The general notion that the lowermost part has special obligations and cannot necessarily perform all the functions of a middle part is clearly stated. Gafurius here protests against an effect that is deliberately explored by Josquin in *Tu pauperum refugium* (*secunda pars of Magnus es tu, Domine*, ex. I), by Pierre de la Rue in *Lauda anima mea dominum* (ex. II) and elsewhere.<sup>18</sup> The discords of seconds and ninths must, according to Gafurius, be concealed by rapid syncopation in order not to offend the ear.<sup>19</sup> Here, they take pride of place in the lowermost part.

Ex. I

sa - lus me - a, Je - su Chri - ste...  
sa - lus me - a, Je - su Chri - ste...  
sa - lus me - a, Je - su Chri - ste...  
sa - lus me - a, Je - su Chri - ste...

Ex. II

...u e - ro.  
...i - u fu - e - ro.  
...ro.  
...u

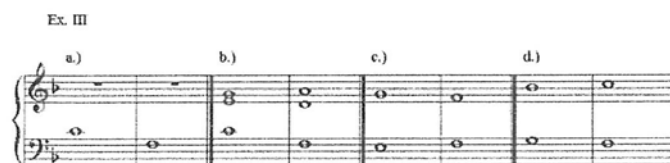
The attention of the composer and that of the theorist was turned to the same object and are thus inevitably related, the question of mutual influence or *Zeitgeist* issues notwithstanding. It is a reasonable assumption that this issue was academically instigated and subsequently became an expressive mannerism among sixteenth-century composers. It clearly foreshadows a later dictum, quite opposed to that of Gafurius: the commonly held opinion that dissonances should occur with accentuation and be resolved with non-accentuation.<sup>20</sup> Josquin's liberty in part-writing was not, however, of necessity leading some collective tendency in a new direction. As late as 1547, he is unfavourably compared to Jacob Obrecht by humanist music theorist Henricus Glareanus, who criticises Josquin's excessive pursuit of '*raritates*', compared to

which Obrecht's polyphony appears tactfully moderate.<sup>21</sup> We have noted that Tinctoris considered any kind of repetition as altogether undesirable. Nevertheless, some composers, perhaps most prominently Jean Mouton, did use exact replication of passages in order to interlink related sections within a work. Again, practitioner and academic appear to have responded to the same stimulus, being in total disagreement as regards its effect.

### Is a Musical Ontology Evident in the Contrapuntal Tradition?

After the first quarter of the sixteenth century a new generation of theorists had already established novel, and substantially different, types of counterpoint methodology. Among these, Aaron (who enjoyed a wide readership all through the century) cites, discusses and acclaims many works by Josquin. Even if Josquin and his fellow composers instructed many young composers, it was in all probability through dissemination of their works and by virtue of treatises such as Aaron's that they had a pedagogical impact. Thus the posthumous reputation of Josquin, de la Rue *et al* was most likely a determinative factor in the pedagogical history of counterpoint. The vast majority of composers born in the late fifteenth-century, however, must still have received instruction in the form of regulating principles. Here we may recall Adrianus Petit Coclico's mention of Josquin supposedly adapting his method to the aptitude of his pupil. Coclico praises the practical and direct nature of Josquin's teaching, but the method which is deemed suitable for the more gifted pupil resembles closely that taken in the treatises of Tinctoris and Burtius and is definitely far removed from the tabulated schemes of possible cadential formulæ that came to dominate early sixteenth-century teaching. If there is any validity in Coclico's description of private teaching, these two methodologies served different needs and are likely to have co-existed during the fifteenth and sixteenth centuries.

In the preamble of this article I promised to propose some possible significance of Renaissance counterpoint theory for composition pedagogy in our time. For brevity, one resolute example will suffice in these matters. We have already seen that the principles of fifteenth-century counterpoint appear to have been based on certain observations in practical music making. It must be said that the modern notion of cadence is indisputably in conflict with the nature of voice-leading in presuming that a cadence results from a leap between the fifth and first scalar degree in the lowermost part (ex. III a). This is, of course, symptomatic rather than determinative as regards the cadence proper, which attains its characteristic by two parts reaching a perfect consonance from an imperfect consonance by means of contrary motion, just as described in fifteenth-century theory (see ex. III c and d). The leap of the fifth has in itself no voice-leading effect whatsoever and can easily be accommodated in a variety of situations without affecting the polyphonic impetus (see. ex. III b).



A conception in modern pedagogy which was probably originally intended as an enlightening simplification has turned away from what any individual familiar with western modality and tonality by impulse would recognise as a cadence. Whatever instruction composers of the Josquin generation received it must have been closer to some collective understanding of counterpoint than we could ever hope for as long as theory is separated from practice in this way.

It seems decidedly less than plausible that any single composer unaided could achieve proficiency in a style so stylistically uniform as that of the '*recentiores*' (a term used by Gafurius to describe the generation of composers born in the middle of the fifteenth century<sup>22</sup> Fol. E 2 r.) and in this regard, if in no other, the tractates under discussion clearly had an impact on the compositional methods of their time. We have

established that early counterpoint pedagogy was effective in the dissemination of ideas that originally arose among Flemish composers. Such an amalgamation of descriptive and instructive purposes probably helped to enhance the reputation of the Flemings in provincial areas of Europe. From a productive interrelationship between theory and craft arose ontological principles which survived the idiom of Renaissance polyphony, pervaded all processes of composition well into the eighteenth century and which have remained, albeit in altered form, in the musical curriculum for more than five hundred years.

## References

<sup>1</sup> “Item Praeceptor meus Josquinus de Pratis nullam unquam praelegit aut scripsit Musicam, breui tamen tempore absolutos Musicos fecit, quia suos discipulos non in longis et friuolis praeceptionibus detinebat, sed simul canendo praecepta per exercitium et practicam paucis uerbis docebat.

Cum autem uideret suos utcumque in canendo firmos, belle pronunciare, ornatè canere, et textum suo loco applicare, docuit eos species perfectas et imperfectas, modumque canendi contra punctum super Choralem, cum his speciebus. Quos autem animaduertit acuti ingenij esse et animi laeti his tradidit paucis uerbis regulam componendi trium uocum, postea quatuor, quinque, sex et caetera, appositis semper exemplis, quae illi imitentur.” Coclico [1552], 1954, secunda pars fol. F 2 v. (‘My instructor Josquin never lectured on music nor wrote a musical treatise and yet he could form complete musicians in a short time, as he did withhold his pupils with long and pointless instructions but taught them the very rules in a few words, through the practical application of singing. And when he saw that his pupils were well grounded in singing, had a good enunciation and knew how to embellish melodies and fit text underlay to music, he taught them the perfect and imperfect intervals and different m

ethods of writing counterpoint against plainchant. But if he discovered pupils with superior acumen and promising disposition he would in a few words teach them first the rules of three-part and later of four-, five-, and six-part part writing, always providing examples which they could imitate.’).

<sup>2</sup> Similarly expressed in Tinctoris definition: “Contrapunctus itaque est moderatus ac rationabilis concentus per positionem unius uocis contra aliam effectus”. (‘And thus counterpoint is the restrained and premeditated polyphonic composition created by placing one pitch sound against another.’), 1963, pp. 77-78.

<sup>3</sup> “Igitur uolens cantilenam componere primo necessum est quod uiderit multa. hoc est cantiones uel cantus infinitos lectitasse.” [1487], 1969fol. E 6 v.

<sup>4</sup> Foliation refers to Tractatus Secundus.

<sup>5</sup> Foliation refers to Liber tertius, caput tertium.

<sup>6</sup> Pagination refers to Liber tertius.

<sup>7</sup> [1412], 1984, p. 32

<sup>8</sup> [1477], 1963, p. 129

<sup>10</sup> Fol. E 4 r.

<sup>11</sup> “Quod quum quintuplum seu quintam partem concordem quattuor ipsis uolueris apponere: ipsam diuersis speciebus secundum regulas ac mandata contrapuncti alternatim ac mutuuum applicare procures.” [1496], 1979, fol. E 1 v.

<sup>12</sup> “Dum tamen contra regulas aliquid facere caveant, quoniam, etsi minime probantur, a ueritate tamen non discedunt.”, [1482], 1901, p. 71

<sup>14</sup> “Sed ab hac regula eximuntur qui magis contrapuncto dulciori ac uenustiori student quam propinquiori.” [1477], 1963, p. 149.

<sup>15</sup> For example “Sexta ternam cupit, si supra notam intendit.” (‘A Sixth desires a third if it ascends one note’) and “Sexta uult octavam, infra si tendit ad unam.” (‘A sixth seeks an octave if it descends one note’), [c.1440], 1960, p. 34.

<sup>16</sup> “Has ego raro concederem admittendas: est enim nota ipsarum discordia quanquam uelociter gradiens dimidium tantum semibreuis obtinet.” fol. D 3 v.

<sup>17</sup> “Tarditas enim plus temporis naturaliter sibi uendicauit quam celeritas. hinc potest in grauioribus sonis amplius discordari: consequenterque discordantia percipi magis nota... Iccirco in grauibis ipsis sonis quartae huiusmodi discordiam contapunctus non sustinet.”, fol. D 4 v.

<sup>18</sup> Ex I: from Josquin des Prés Complete edition (Smijers), Bundel III. Ex. II: from Pierre de la Rue Opera Omnia IX, American Institute of Musicology, Hänssler-Verlag, 1996.

<sup>19</sup> “..iccirco latet nullam auribus afferens lesionem.” [1496], 1979, fol. D 3 r.

<sup>20</sup> See for example Gioseffo Zarlino’s *Le istitutioni harmoniche*, [1558], 1965.

<sup>21</sup> Glareanus [1547], 1967, p. 441-456. An interpretation of ‘raritas’ as ‘sparseness’, then an allusion to Obrecht’s dense polyphonic texture, is possible but the reading ‘oddity’ or ‘rare peculiarity’ is more credible in the context given.

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## Tracing an Ontology of Voice-leading in Fifteen-Century Counterpoint Regulation

### Summary

With the treatises on counterpoint by, among others, Tinctoris, Burtius, and Gaffurius, composers were exposed to pedagogy in a way that had previously been reserved for choristers and liturgists. To a certain degree, composers born during the second half of the fifteenth century shared a stylistically uniform counterpoint technique and explored many facets of polyphony before these had been discussed by theorists – yet the progressive elements seem related to points on which Tinctoris had already criticised composers of the previous generation. Were the treatises primarily testimonies of established practice or breakthrough principles of composition? What instruction did original works and counterpoint pedagogy, respectively, bestow on composers *in spe* c.1500? Such chronological scrutiny is made complicated by the meagre information available as regards musical *curricula* of the period and the fact that distinction between composition proper and *ex tempore* practice cannot always be readily made. We shall ultimately evaluate the relevance of early counterpoint methodology in respect of our own times; are the cultural mores and the factors of music making in the fifteenth century and today incompatible to the point that we cannot understand the first stirrings of counterpoint pedagogy, the roots of our notion of polyphony?

### Balsovados principų XV a. kontrapunkto taisyklėse tyrimas

#### Santrauka

Tinctorio, Burtijaus, Gaffurijaus ir kitų autorių kontrapunktui skirti traktatai mokė kompozitorius, kurio pedagogika anksčiau buvo palikta choristams ir apeigininkams. XV a. antroje pusėje gimę kompozitoriai tam tikru laipsniu naudojo stilistiškai vieningą kontrapunkto techniką ir tyrinėjo daugybę polifonijos aspektų iki to, kai jais susidomėjo teoretikai, nors progresyvūs elementai yra tartum susiję su dalykais, už kuriuos Tinctoris kritikavo ankstesnės kartos kompozitorius. Kažin ar traktatai pirmiausia liudijo nusistovėjusią praktiką ar kompozicijos principų proveržį? Kokią instrukciją savo ruožtu pateikdavo kompozitoriams *in spe* XV a. originalūs darbai ir kontrapunkto pedagogika? Tokio pobūdžio chronologinę įžvalgą komplikuoja menka informacija apie muzikinį laikmečio *curricula* ir tai, kad iš karto sunku atskirti kompoziciją ir *ex tempore* praktiką. Mes galop įvertinsime ankstyvos kontrapunkto metodologijos reikšmę mūsų laikų atžvilgiu. Ar kultūrinės konvencijos ir muzikavimo faktoriai XV a. ir dabar yra tiek nesuderinami, kad mes negalime suprasti pirmųjų kontrapunkto pedagogikos virpesių, mūsų polifonijos sampratos šaknų?

## Analytical Terminology and Compositional Thinking in Music Theory between 1750 and 1840

### 1. Theory tied premises

This research based on two main suppositions: in a certain measure on those ideas of 20<sup>th</sup> Century philosophy (represented by Ludwig Wittgenstein, Roland Barthes, Claude Lévi-Strauss, Ferdinand de Saussure or Bertrand Russell), which consider the language (i.e. the words) as a tool for a deeper understanding of things. Between the object and its name exists an intimate relation, like a mirroring. The designations of things could be regarded therefore as a way to accede to their essence. So as from structural point of view, the objects could be dissected and recomposed in order to deduce their functional rules, so could be analysed the cultural theory processes as well, in order to reconstruct their origin, during the history of knowledge.

The second fundamental premise of my research is that the cultural phenomena should be analysed in their historical original context. If we study for instant the music authors form the beginning of the 19<sup>th</sup> Century, we will see that their optic on their contemporaneous composition is often different of that of our times. Looking for the differences in the understanding and the mentality historical epochs' of music theory is in fact the very wide defined goal of my study.

The historical period which I focused covers the middle of the 18<sup>th</sup> Century and the first decades of the following, 19<sup>th</sup> Century. During this time we are the witnesses of a deeply stylistically renewing of musical means. Not only the compositional technique changed, but also the verbal expressions which described (or analysed) it. The transition from rhetoric to organic models in imagining the musical form caused a refreshing of the analytical language. New terms appeared (e.g. the *motive*) and old terms were used with new significations (for instant the German *Satz* as well as the emblematical unit of the classical style, the *Period*).

### 2. The period as homonym by Koch and Momigny

According to the "grammatical" formal model of Heinrich Christian Koch (exposed in *Versuch einer Anleitung zur Composition*, 1782-93 and *Kurzgefaßtes Handwörterbuch der Musik*, 1807), the form is articulated through cadences of different grades. This model offered a quite different form understanding as the "poetical" model of Jérôme Joseph de Momigny (*Cours complet d'harmonie et de composition*, 1803-1806). In Momigny's analysis, there is a poetical text, attached to the melodic line, which determined the formal articulation. Both analytical approaches by Koch and Momigny based on hierarchical models, but they lead to different analytical results. The segments ("Theile") of a musical piece were differentiated by Koch through the intensity of their endings' formulas ("Endigungsformel"), such as cadences and caesuras, called by Koch "Ruhepunkte des Geistes", i.e. "Points of rest for the Spirit"<sup>1</sup>. On contrary, Momigny analysed a Mozart Quartet through the addition of an antic poetical text to the melody, whose metrical order decided the end or the begin of a new formal segment. A musical work consists by Koch in *Einschnitten* (sections), *Absätzen* (phrases) and *Perioden* (periods), while by Momigny it was composed of *Cadences*, *Verses*, *Strophes* and *Periods*. As we see, both of them spoke about "periods", but the meaning of this term was quite different, as part of two hierarchical systems without relation one to the other. The period of Momigny would not correspond to those of Koch by the same analysed work, even if they were contemporary and even if they used the same terminology.

### 3. The synonyms

The period is an example for a term with more than one signification. That means, one term designated several notions. Typical for this phase of transition between the baroque and the classical form paradigm was the opposite case as well, where several terms designated one notion, the so-called *synonyms*.

An example offered the smallest formal unit of a musical text or fragment, mostly a subdivision of the phrase. In the annexed table you can see the designations of these smallest formal divisions by music theoreticians between 1755 and 1837: *Figur* (by Riepel, 1755), *Cäsur* (by Sulzer, 1771-1774), *Einschnitt* (by Koch, 1807), *cadence* or *proposition* (by Momigny, 1807), *dessin* (by Reicha, 1814) and *Motiv* (by Marx, 1837).

These synonym designations enriched the notion, but they could be also the expression of their immaturity, because no term established itself yet, as the *Period* done, in the case larger sections.

#### 4. Alternative designations

Alternative designations were notions that appeared under several terms by the same author, as for instant by Johann Georg Sulzer (1720-1779). Sulzer was a Swiss aesthetician and lexicographer, who wrote, together with Johann Georg Kirnberger and J.A.P. Schulz a *General Theory of Fine Arts* (1771-74). As you can see in the former table, Sulzer called the *period* also *Absatz*. He called the phrase *Satz* but also *Rhythmus*<sup>2</sup>, and he designated the subdivisions of the phrase *Cäsur* but also *Glied* (i.e. member). These alternatives show on one hand how various was the origin of formal terms in 18<sup>th</sup> Century. On the other hand we can see to which terms disposed the theoreticians of those times to designate a formal notion. The alternative designations show the way of a representation process. A question which we can pose is: which association awoke in former times the structure of a melody? More exactly, through which notions existing in his imagination could represent a theoretician of the 18<sup>th</sup> Century the dissection of a melody? The answer is: all terms chosen by Sulzer had a connection either to the idea of unity or to that of limit, but each of them brought a specific, enriching nuance with it. The period (from the Greek *Períodos*, i.d. circuit, return) connect itself with the idea of repetition; the phrase (*Satz*, from the German verb *setzen*), designed a grammatical expression. Its attributes were the existence of a determined sense and of constructive rules. *Rhythmus* (from the Greek *rhythmus*, meaning regularity, but also flow, continuity) awake the connotation to a specific temporal order of elements. The *Cäsur* came from the Lat. *Caesura*, deduced from the verb *cadere*, i.e. to beat, to *strugg*, possible related also with the latin *Clausura*, which means Closure. The *Cäsur* designed not only a short interruption, but also a small, but pointed and remarkable musical unit<sup>3</sup>.

The diversity of these alternatives (which could be seen also as a lack of homogeneity) attests obviously the still undefined crystallisation stadium of formal notions in this epoch.

#### 5. Terms which changed their signification during the time: *Satz* (phrase) and *Periode* (period):

The two notions *Satz* and *Period* are ideal examples for what Hans Heinrich Eggebrecht called “the independent signification degrees’ of a term”<sup>4</sup>. Comparing the definition of these notions by authors about 1800 with the definitions given by Vincent d’Indy (*Cours de composition musicale*, Paris, 1912) or Schönberg (*Models for Beginners in Composition*, 1942 and *Fundamentals of musical Composition*, 1937-48) it becomes obviously, that the sense of these terms changed together with their stylistic and historic utilisation context. Schönberg called in *Modelle für Anfänger im Kompositionsunterricht* (published by Universal Edition, 1972) a four bars melody with perfect cadence at the end *Satz* (what by Reicha would be regarded as a Period of one member<sup>5</sup>). On the other hand Vincent d’Indy turned the formal hierarchy and named *phrases* the superposed elements, while the subordinate divisions he called periods (*périodes*).

Researching theoretical texts about music and composition between 1750 and 1840 I found out that in the former linguistic usage neither the dimensions, nor the complementarity between phrases, nor the resemblance of the motives, the symmetry or the contrast were decisive for the definition of a period, but *the perfect cadence as final point*. Even if the regular, symmetrical type<sup>6</sup> was preferred, it was not the only one. Reicha described periods consisting either in one or in 3 or 4 elements (*rhythmes*) and Adolf Bernhard Marx in 3 or 4 phrases. The number of bars could be also irregular: for example 42 bars by Reicha or 44 bars by Lobe<sup>7</sup>.

The necessity of historical research in music theory and especially the knowledge of original treatises from 18<sup>th</sup> and 19<sup>th</sup> Centuries have been already proved in numerous articles by Carl Dahlhaus, Fred Ritzel, Ian Bent, Nicholas Cook till the more recent researches signed by Markus Waldura and Wolfgang Budday. To clarify the character and the meaning of the primary form understanding during the Classicism is the

more important, the more later interpretations changed their original sense. As in the case of *Satz* and *Periode*, later theoreticians furthered themselves from the original significations and created confusions. My paper tried to point out some specific and less known aspects of formal understanding and terminology in 18<sup>th</sup> Century, but the topic deserves certainly a more extensive volume of research.

J. Riepel (1709–1782)	J. G. Sulzer (1720–1779)	H. Chr. Koch (1749–1816)	A. Reicha (1770–1836)	J. J. de Momigny (1762–1842)	A.B. Marx (1795–1866)
Figur	Cäsur ( <i>Glied</i> )	<i>Unvollkommener / vollkommener Einschnitt</i>	Dessin	Cadence (proposition) <i>harmonique / mélodique</i>	Motiv
Grundabsatz / Änderungsabsatz ( <i>Cadenz</i> )	Satz (Rhythmus)	Absatz ( <i>Grundabsatz, Quintabsatz</i> ) / Schlußabsatz	Rhythme ( <i>membre</i> ) / Rhythme ( <i>membre</i> ) <i>compagnon</i>	Verse	Vordersatz / Nachsatz
(Periode)	Periode (Abschnitt)	Periode	Periode	Periode	Periode

### References

- <sup>1</sup> H. Chr. Koch, *Kurzgefasstes Handwörterbuch der Musik*, Leipzig 1807, Reprint by Georg Olms Verlag, Hildesheim, New-York, 1981, pp. 306, in the article Satz, we find an explanation of the relational formulas between the phrases (Absätze), theoretical chapter that he called „Interpunktion“ or „Endigungsformel eines melodischen Gliedes“.
- <sup>2</sup> Jan Bent, William Drabkin, Analysis, in *The New Grove Dictionary for Music and Musicians*, Ed. By Stanley Sadie, 1985, Vol. 1, p. 347
- <sup>3</sup> H. Chr. Koch, *Kurzgefasstes Handwörterbuch der Musik*, p. 66
- <sup>4</sup> H.H. Eggebrecht, *Studien zur musikalischen Terminologie*, Berlin, 1955
- <sup>5</sup> Anton Reicha, *Traité de mélodie*, 1814, pages 12 and 19
- <sup>6</sup> See Reicha, idem, p. 19-21
- <sup>7</sup> J. Chr. Lobe, *Compositions-Lehre*, 1844

## Analytical Terminology and Compositional Thinking in Music Theory between 1770–1840

### Summary

Between the composer and the analyst, the common means of communication are the words. They remain the most suggestive notional vehicles used to express any opinion about music.

The historic study of the analytical terminology is important due to the following reasons:

- a) the musical term is the verbal image of the musical representation;
- b) the analytical notions underwent various changes in time. Each new stylistic paradigm (e.g. the classical forms as compared to the rhetorical baroque polyphony) determined the appearance of a new analytical vocabulary, able to describe it. In order to avoid any confusion, the historic understanding of musical terms must be known and taken into account.

By comparing the melodic terms used between 1770 and 1840 (by J. Riepel, J.G. Sulzer, H. Chr. Koch, A. Reicha, J.J. de Momigny and A.B. Marx) we noted the following:

1) **The crystallization process of the new formal notions *Motiv*, *Satz* and *Periode* during this period** (synonyms are gradually abandoned, while a unique term imposed itself).

2) **The appearance of the first (multiple) denominations of melodic hierarchical sub-divisions** (for instant for phrase sub-divisions: *Figur* [Riepel], *Cäsur* [Sulzer] *Einschnitt* [Koch], *Dessin* [Reicha], *cadence* [Momigny] and *Motiv* [Marx]).

The diverse etymology and semantics of synonyms helps us in imagining the way in which the classical composers embodied these constructive elements; starting from fundamental linguistic data one may “re-construct” the artists’ attitude in those times, in connection to the material they used in composing.

3) **The origin of musical terms from subjects considered modern at the time:** grammar (for germ. *Satz*, *Periode*), poetics (for fr. *Verse*, *Cadence*, *Rhythme*...), and natural sciences (germ. *Einschnitt*, *Glied*).

The musical terms reflect not only the artist’s mental representation, but also the epistemological landmarks of the time, because they are “talking” about the historic/ aesthetic background in which they were born and spread.

### Analinė terminologija ir kompozicinis mąstymas muzikos teorijoje 1770–1840 m.

#### Santrauka

Bendrosios komunikacijos priemonės tarp kompozitoriaus ir analitiko yra žodžiai. Jie tebėra įtaigiausi prasminiai svertai, skirti išreikšti kokius nors nuomonei apie muziką.

Analinės terminologijos istorinis nagrinėjimas yra svarbus dėl šių priežasčių:

- a) muzikinis terminas yra žodinis muzikinės raiškos vaizdas;
- b) analitinės sąvokos laiko bėgyje patyrė įvairius pokyčius. Kiekviena nauja stilistinė paradigma (pvz., klasikinės formos, palyginus su retorine baroko polifonija) lėmė naujo, galinčio tai aprašyti, analitinio žodyno pasirodymą. Siekiant išvengti painiavos, istorinį muzikinių terminų supratimą privalu žinoti ir į jį atsižvelgti.

Lygindami melodijos terminus, vartotus tarp 1770 ir 1840 metų (J. Riepel, J. G. Sulzer, H. Chr. Koch, A. Reicha, J. J. de Momigny ir A. B. Marx), mes pastebėjome šiuos dalykus:

1) Naują formos sąvokų – motyvas, frazė ir periodas – kristalizacijos procesą (sinonimų buvo laipsniškai atsisakyta, nes įsigalėjo vieningi terminai).

2) Melodinės hierarchijos žemesniųjų padalų pirmojo (įvairiarūšio) įvardijimo pasirodymą (pvz. frazės padaloms: figūra [Riepel], cezūra [Sulzer], pjūvis [Koch], piešinys [Reicha], kadencija [Momigny] ir motyvas [Marx]).

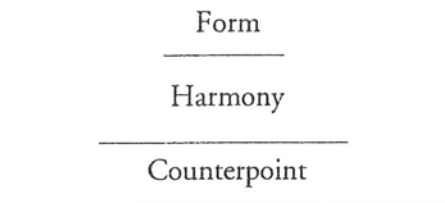
Skirtinga sinonimų etimologija ir semantika padeda mums įsivaizduoti kelią, kuriuo eidami klasicizmo kompozitoriai įkūnijo šiuos konstrukcinius elementus; pradėjus nuo fundamentalių kalbinių faktų galima „atkurti“ menininkų požiūrį anuo metu į medžiagą, kurią jie komponuodami naudojo.

3) Muzikinių terminų kilmę iš disciplinų, laikytų tuo metu moderniomis: gramatikos (vok. *Satz*, *Periode*), poetikos (pranc. *Verse*, *cadence*, *Rhythme*...) ir gamtos mokslų (vok. *Einschnitt*, *Glied*).

Muzikiniai terminai atspindi ne tik menininko minties vaizdą, bet ir epistemologines to meto gaires, nes jos „kalba“ apie istorinį / estetinį foną, kuriame jos atsirado ir paplito.

## Counterpoint and Musical Form: some Remarks about Schenkerian Backgrounds

One can imagine the structure of classical music in the form of a three-stage pyramid.<sup>1</sup> Its foundation is counterpoint. In the middle there is harmony, and at the top there is form:



In this pyramid, the higher stages are based on the lower ones and originate in them. On the other hand, the lower stages are directed by the higher ones and are functionally subordinate to them. No direct relationship exists between counterpoint and form. Therefore, it is not logical to analyse form in terms of counterpoint and vice versa. The contrapuntal structure of tonal music is based on a continuous process of voice-leading. Form, on the contrary, is based on the articulation of the whole into discrete units, usually by means of harmony. Form can be most adequately analysed in its own traditional categories and terms. However, it is just as wrong to overlook counterpoint, analysing form and harmony, since counterpoint has an essentially hierarchical structure which it imparts to harmony as well.<sup>2</sup>

The seeming contradiction between contrapuntal and formal structure can arise from different causes. Sometimes it may be of subjective nature, connected with specific analytical strategies (e.g., the placement of the “principal tone”).<sup>3</sup> In other cases (e.g., in the case of an unusual tonal plan), it is of more objective nature and caused by the hierarchical structure of classical tonality where all the non-tonic chords are subordinate to the tonic triad, and the dominant possesses a privileged status among the non-tonic chords. According to Felix Salzer, it is the only chord among them having an essentially harmonic function, whereas the other non-tonic chords are *harmonic chords* only as members of “a progression coming from I and proceeding to V”; otherwise these are *contrapuntal chords*.<sup>4</sup>

Form has its own hierarchical structure, different from that of counterpoint and harmony. Its principles are well known. For example, in the ternary design  $a^1 b a^2$  (one of the most common form in the music of the 18th–20th centuries), each part is directly subordinate to the whole, and this hierarchy continues on the lower levels of form. Labelling these parts with letters  $a$  and  $b$  suggests two different grouping criteria – similarity (for parts  $a^1$  and  $a^2$ ) and difference or contrast (for part  $b$ ). In terms of *A Generative theory of tonal music* by F. Lerdahl and R. Jackendoff, in the case of the *prolongational* structure, similarity corresponds to *prolongation* and difference to *progression*.<sup>5</sup>

What is the relationship of the contrapuntal deep-level (or background) structure to these harmonic and formal hierarchies?

The highest level of the contrapuntal structure knows nothing of form. It consists only of the initial tonic, prolonged throughout the form and leading to the concluding cadence.<sup>6</sup> In terms of voice leading, there are essentially three cadence paradigms: 1) paradigm  $a$  – with  $\hat{4}$  as an incomplete upper neighbour (supported by  $\hat{2}$ ,  $\hat{4}$ , or  $\hat{6}$  in the bass)<sup>7</sup>; 2) paradigm  $b$  – with interval patterns 6–5 or 8–5 under  $\hat{2}$  of the fundamental line<sup>8</sup> or, as its variant, with interval pattern 7–5 under  $\hat{3}-\hat{2}$  of the fundamental line<sup>9</sup>; 3) para-

dig  $c$  – with interval pattern  $\frac{6-5}{4-3}$  under  $\hat{3}-\hat{2}$  of the fundamental line (supported by  $\hat{5}$  in the bass), usually preceded by  $\hat{4}$  (supported by  $\hat{2}$ ,  $\hat{4}$ , or  $\hat{6}$  in the bass).<sup>10</sup> Paradigms  $a$  and  $b$  may be combined.<sup>11</sup> Paradigms  $a$  and  $b$  are typical of the fundamental line  $-\hat{1}$ , paradigm  $c$  – of the fundamental  $-\hat{1}$ . However, paradigms  $a$  and  $b$  are possible also in the case of the fundamental line  $\hat{5}-\hat{1}$ , when  $\hat{4}$  does not participate in the concluding cadence.<sup>12</sup> The importance of these cadence paradigms is evident, for example, in the determination of the primary note.<sup>13</sup>

These basic structural elements – the initial tonic and the concluding cadence – are common to all the classical (and Baroque) forms. The next-to-highest level of the contrapuntal structure already contains some specific elements of individual forms. This level is determined by the presence or absence of two factors: 1) the high-level structural parallelism – i.e. repetition of the initial thematic material (e.g. the main theme) – and 2) interruption – a high-level dominant harmony preceding this repetition, frequently in the form of a half cadence.<sup>14</sup> (A high-level dominant *not* connected with the parallelism does not create interruption.) Ch. Smith is right in claiming that “a reprise is best analysed by a return to the same background configuration that represents its original (first-section) appearance”<sup>15</sup>. And what is more: one can even say that the exact restatement is essentially a high-level prolongation of the first statement’s configuration.

Different background structures are illustrated in the following examples where eleven well-known works (or passages) are analysed, mostly on two middleground levels.<sup>16</sup> Whereas Examples 1–4 present some typical background structures of the 18th and 19th-century homophonic forms, Examples 5–11 present more specific backgrounds.

Examples 1 and 2 analyse two of Mozart’s minuets – from Piano Sonata in A major K. 331<sup>17</sup> and from *Eine kleine Nachtmusik* K. 525<sup>18</sup>. Although having the same formal design on the higher level (*Menuetto-Trio-Menuetto*), as well as on the middle level (both *Menuetto* and *Trio* are written in ternary form  $a^1ba^2$ ), they possess very different harmonic profiles, resulting in different contrapuntal backgrounds. In the former, the tonal plan is: A major–D major–A major (I–IV–I), in the latter it is: G major–D major–G major (I–V–I). Therefore, only the latter has a high-level interruption created by the dominant harmony before the return of *Menuetto*.<sup>19</sup>

**Example 1.** Mozart, Sonata, K. 331, II. Voice-leading graphs.



**Example 2.** Mozart, Serenade, K. 525, II. Voice-leading graphs.

The image displays two musical score excerpts with voice-leading graphs. The top excerpt covers measures 1-35, divided into a 'Menuetto' (measures 1-16) and a 'Trio' (measures 17-35). Roman numerals (I, V, I, VI, D, I, V, I, V, I, G, I) are placed below the bass line to indicate harmonic structure. The bottom excerpt is a detailed view of measures 17-25 of the Trio section, showing the treble and bass staves with fingerings (3, 2, 1) and Roman numerals (I, V, I) below the bass line.

There are many other differences between these minuets in the formal and harmonic structure of individual parts of their form:

1. In K. 525 sections  $a^1$  of both *Menuetto* and *Trio* are closed (concluding with the tonic cadence), with interruption in the *Menuetto* and without it in the *Trio*; in K. 331 these are open (concluding with the non-tonic cadence) and without interruption.<sup>20</sup>
2. In K. 331 *Menuetto* as the whole contains an interruption; in K. 525 it contains none.
3. In K. 331 the midsection ( $b$ ) of both *Menuetto* and *Trio* prolongs the dominant harmony (attained in section  $a^1$ ); in K. 525 the midsection of the *Menuetto* prolongs tonic harmony and the midsection of the *Trio* modulates to the dominant.

Thus, on the background level, there are both parallelism and interruption in K. 525 but only parallelism in K. 331. The same two background structures characterise other forms as well. For example, in the parallel period ( $a^1 a^2$ ) whose antecedent phrase concludes with the dominant cadence, there are parallelism and interruption (see Example 2, mm. 1–4). However, in the case of the antecedent phrase concluding with the tonic cadence, there is only parallelism (see Example 3 – Prelude in A major by Chopin).

**Example 3.** Chopin, Prelude A major, Op. 28/7. Voice-leading graphs.

Therefore, on the most general level, three kinds of background structures exist in terms of parallelism and interruption:

1. non-parallel structures;
2. parallel structures without interruption;
3. parallel structures with interruption.

Characteristically, in the case of ternary forms, this classification does not depend on the cadence of section *a*<sup>1</sup>. Followed by a contrasting midsection (*b*), this section tends to be more closely connected with the midsection than the latter with the reprise (*a*<sup>2</sup>): whereas the midsection is separated from the reprise at least by parallelism, and frequently also by interruption, there is no such caesura between sections *a*<sup>1</sup> and *b*. As the result, on the background level, the first two sections of ternary form constitute an undivided whole. They are separated on a more or less remote *middleground* level, depending on the harmonic profile of the form.

For example, in the case of the tonic and dominant cadences (as in Examples 1–2), the caesura at the end of section *a*<sup>1</sup> is stronger than in the case of the mediant cadence (Example 4 – Beethoven, Sonata Op. 2/2, last movement, mm. 57–79<sup>21</sup>) – this mediant cadence only tonicises a passing harmony half-way to the dominant which arrives at the end of the midsection.

**Example 4.** Beethoven, Sonata, Op. 2/2, IV, mm. 57–79. Voice-leading graphs.

In Examples 5 and 6, the parallelism of sections  $a^1$  and  $a^2$  of the ternary form is undermined by the harmonically reinterpreted reprise. In Example 5 (Brahms, Waltz, Op. 39/1<sup>22</sup>), where section  $a^1$  also modulates to the mediant, the reprise is transposed to the subdominant key; in Example 6 (Schumann, *Aus meinen Thränen sprissen* from *Dichterliebe*, Op. 48/2<sup>23</sup>) it is re-harmonised to begin with the V/IV rather than the tonic. It is highly remarkable that these different ways of reinterpretation result in very similar background structures (cf. Examples 5b and 6b). This is caused by the similarity of harmonic profile – tonicisation of the subdominant at the beginning of the reprise. In both cases, no interruption occurs. Instead, a middleground descending third-progression  $\hat{3}-\hat{1}$  into an inner voice arises, arriving at  $\hat{1}$  just at the moment when the tonic reprise might begin. It is followed by a high-level incomplete neighbour  $\hat{4}$  supported by the cadential pre-dominant  $\hat{4}$  in the bass. In Example 6, this upper neighbour appears also in section  $a^1$  but only on a lower structural level, *before* the concluding cadence.

**Example 5.** Brahms, Waltz, Op. 29/1. Voice-leading graphs.

The image displays three voice-leading graphs (a, b, and c) for Brahms' Waltz, Op. 29/1. Graph a) shows the full piece with measures 1, 4, 5, 8, 9, 13, 17, 20, and 21 marked. It includes a '6-6-6' figure in the bass and harmonic labels (I, (III), (IV), V, I). Graph b) is a simplified version of graph a). Graph c) shows a specific voice-leading path with labels 3, 2, and 1 above the treble clef staff.

**Example 6.** Schumann, *Dichterliebe*, Op. 48/2. Voice-leading graphs.

This descending third-progression  $\hat{3}-\hat{1}$  into an inner voice is highly typical of binary forms (without reprise). In Example 7 (Haydn, Quartet, Op. 76/3, II, Theme – *Kaiserhymne*<sup>24</sup>), the initial tonic is prolonged by two high-level voice-exchanges, connecting it with two first-inversion tonic chords, the first of these following the medial dominant cadence (m. 12), the second initiating the concluding cadence in mm. 15–16. Both voice-exchanges contain a descending third-progression into an inner voice  $b^1-a^1-g^1$ . As a result, the formal division by means of the medial dominant cadence (m. 12) is undermined by the high-level contrapuntal, voice-leading structure.

**Example 7.** Haydn, *Kaiserhymne*. Voice-leading graphs.

The same occurs in Example 8 (Schumann, *Wenn ich in deine Augen seh* from *Dichterliebe*, Op. 48/4<sup>25</sup>), except that the undermined medial cadence occurs in the tonicised subdominant (m. 8). Here the harmony prolonged throughout most of the form is the supertonic (II). It arrives after the first phrase (m. 4) and is connected by means of a high-level voice exchange with the cadential pre-dominant  $II_6$  in m. 14.

**Example 8.** Schumann, *Dichterliebe*, Op. 48/4. Voice-leading graphs.

The last three examples present cases of ternary forms (with interruption) having quite unusual harmonic profiles. The form of Example 9 (Beethoven, *Moonlight Sonata*, Op. 27/2, first movement<sup>26</sup>) is quite ambiguous. The first section contains a subtonic (B-minor) cadence in m. 15 followed by a codetta in the same key (returning at the end of the movement in the tonic key). However, here this codetta modulates further to the subdominant F# minor, where another cadence occurs (m. 23), followed by the restatement of the initial phrase (in the subdominant key) and a long prolongation of the dominant harmony (mm. 28–41). This restatement of the initial phrase creates a parallelism marking the possible beginning of the second section. The first section thus concludes in the subdominant key. As frequently in the case of the fundamental line  $\hat{5}-\hat{1}$ , this  $\hat{4}$  (arriving at the moment of the subdominant cadence) does not participate in the concluding high-level half cadence (creating the interruption). It is supported by the bass moving further to the tonic, rather than the dominant, by means of the unfolding F#–H# (m. 23–26) which can be reduced to the lower neighbour (H#) of the tonic C#. As a part of this dissonant unfolding, rather than part of “a progression coming from I and proceeding to V”, the subdominant has still lower status than, for example, the mediant of Example 4 (mm. 66).

Example 9. Beethoven, Sonata, Op. 27/2, IV. Voice-leading graphs.

Example 10, presenting the *a*<sup>1</sup> section's consequent phrase and section *b* of Chopin's Etude, Op. 10/12 (mm. 19–46<sup>27</sup>), shows one of the few cases of section *a*<sup>1</sup> ending with a subtonic (VII) cadence. This cadence belongs to a low level of structure. Here it is undermined by the high-level voice-exchange (mm. 21–35) connecting the initial tonic with the V/IV harmony (initiating the concluding half cadence of section *b*). This voice-exchange is elaborated by means of two third-progressions – descending  $d^2-c^2-b^1$  (mm. 27–28) and ascending  $a_b^1-b_b^1-c^2$  (mm. 33–35). The descent  $\hat{3}-\hat{2}-\hat{1}$  of the subtonic B<sub>b</sub>-major (leading to the *a*<sup>1</sup> section's concluding cadence) is contained in the first third-progression. Moreover, the subtonic  $\hat{7}$  is a part of a descending high-level inner-voice fourth-progression  $\hat{8}-\hat{7}-6\hat{6}-\hat{5}$  ( $c^2-b_b^1-a_b^1-g^1$ ; mm. 21–41) connecting the beginning of the *a*<sup>1</sup> section's consequent phrase with the concluding half cadence of section *b*. The subtonic cadence is thus only indirectly, rather than directly related to the fundamental structure.

Example 10. Example 9. Chopin, Etude, Op. 10/12, mm. 19–48. Voice-leading graphs.

Example 11 – the first  $A_b$ -minor part of Beethoven's *Marcia funebre* from Sonata Op. 26 (mm. 1–30<sup>28</sup>) – has the most unusual harmonic profile. Its first period (mm. 1–8) modulating from  $A_b$  minor to  $C_b$  major is repeated a minor third higher (mm. 9–16), leading to  $E_{bb}$  major (spelled as D major). Examples 11a–11d show, by means of a four-stage transformation, the integration of this  $bV$  into the main key.

**Example 11. Example 4.** Beethoven, Sonata, Op. 26, III, mm. 1–30. Voice-leading graphs.

In the most simplified, diatonic prototype of this passage (Example 11d), there is a descending high-level fourth-progression  $\hat{8}-\hat{7}-6\hat{6}-\hat{5}$  ( $a_b^1-g_b^1-f_b^1-e_b^1$ , mm. 1–20), analogous to that of the preceding example. At the first stage of chromatisation (Example 11c), the tenth  $d_b-f_b^1$  (between  $\hat{6}$  of the aforementioned fourth-progression and the pre-dominant  $\hat{4}$  which supports  $\hat{6}$  in the bass; mm. 16–17) is chromatically raised to  $d-f^1$ , and the sixth  $c_b^1-a_b^1$  (and  $\hat{1}$  of the main key, mm. 8–14) is elaborated by means of two voice-exchanges (which create ascending and descending third-progressions  $A_b-B_b-C_b$  and  $C_b-B_b-A_b$  in two octaves; mm. 14–16 and 16–17).

The most radical changes occur at the next stage (Example 11b) where the third-progression  $a_b^1-b_b^1-c_b^2$  of the first voice exchange is replaced by  $a_{bb}^1-b_{bb}^1-c_b^2$  in the upper voice (mm. 16–17), and a descending third-progression  $g_b^1-f_b^1-e_{bb}^1$  into an inner voice arises from  $\hat{7}$  of the aforementioned fourth-progression  $\hat{8}-\hat{7}-6\hat{6}-\hat{5}$  (mm. 15–16) supported by the cadential bass figure  $bbb-ebb$  (this  $ebb$  will be immediately reinterpreted as  $d_b$ ). It is this third-progression that constitutes the cadential descent  $\hat{3}-\hat{2}-\hat{1}$  in the key of  $bV$ .

At the last stage (Example 11a), this cadence in Ebb major is further elaborated by means of the cadential six-four. It is created by a passing third-progression  $a_{bb}^1-g^1-f^1$  (mm. 14–15) connecting the incomplete neighbour  $a_{bb}^1$  ( $\hat{4}$  of Ebb major) with the second tone of the aforementioned cadential third-progression  $g^1-f^1-e_{bb}^1$ .

Comparing Examples 10 and 11, we see that whereas in Example 10, the tonicised subtonic, although not contained in the fundamental line, is a part of the high-level fourth-progression  $\hat{8}-\hat{7}-6\hat{6}-\hat{5}$ , in Example 11, the tonicised  $b\hat{5}$  belongs to a third-progression descending into an inner voice from this high-level fourth-progression  $\hat{8}-\hat{7}-6\hat{6}-$ , rather than to this fourth-progression itself. Therefore, the relationship of the *a*<sup>1</sup> section's concluding cadence to the fundamental structure is still more indirect than in Example 10.

Schenkerian analysis, in essence a contrapuntal analysis of 18-th and 19-th-century music, cannot replace formal analysis. Far from being identical, these two methods of analysis nevertheless have an important common denominator. Counterpoint is connected with form through harmony in the broadest sense of the term (including the principles of tonal hierarchy). It is not the formal design as such but form in its inseparable unity with harmony that corresponds to the contrapuntal structure of this music.



## References

- <sup>1</sup> See: Mart Humal, "The Structure of Classical Theme: Some Preliminary Concepts," *A Composition as a Problem: Proceedings of a Conference on Music Theory*, Tallinn: Estonian Academy of Music, 1997, 18
- <sup>2</sup> In Chapter 5 ("Form") of Heinrich Schenker's *Free Composition* (trans. E. Oster, New York: Longman, 1979, 128–145), an attempt is made to analyse form through counterpoint: "All forms appear in the ultimate foreground; but all of them have their origin in, and derive from, the background. [...] I have repeatedly referred to form as the ultimate manifestation of that coherence which grows out of background, middleground, and foreground" (Ibid., 130). "Coherence in language does not arise from a single syllable, a single word, or even from a single sentence [...]. Similarly, music finds no coherence in a "motive" [...]. Thus, I reject those explanations which take the motives as their starting point and emphasize manipulation of the motive [...]. I also reject those explanations which are based upon phrases, phrase-groups, periods, double periods, themes, antecedents, and consequents. My theory replaces all of these with specific concepts of form which, from the outset, are based upon the content of the whole and of the individual parts; that is, the differences in prolongations lead to differences in form" (Ibid., 131).
- On the other hand, Charles Smith's "Formal theory of structure", outlined in his thought-provocative article "Musical Form and Fundamental Structure: An Investigation of Schenker's Formenlehre" (*Music Analysis* 15/2–3, 1996, 253–259), represents the other extreme:
- "I envisage a theory in which every unambiguous form would be associated with small number of background structures, and in which any background structure could be automatically associated with a particular form" (Ibid., 242). "The principal postulate of such a theory is that form and fundamental structure are essentially the same thing [...]" (Ibid., 270).
- As a result, the author even denies the contrapuntal nature of the background: "[W]e can no longer think of Schenkerian backgrounds as pure counterpoint" (Ibid., 279).
- <sup>3</sup> Compare, for example, the placement of the principal tone in Examples 7, 9, and 11 with that in H Schenker's readings of the same works (see Notes 25, 27, and 29, respectively). These delayed principal notes by Schenker seem to have their origin in the dramaturgy rather than the tonal structure of the works under consideration.
- <sup>4</sup> Felix Salzer, *Structural Hearing: Tonal Coherence in Music*, New York: Dover, 1962, Vol. I, 15.
- <sup>5</sup> Fred Lerdahl and Ray Jackendoff, *A Generative Theory of Tonal Music*, Cambridge, Mass.: The MIT Press, 1983, 181–182.
- <sup>6</sup> This is true not only of the form in general but also of classical theme which, according to Janet Schmalfieldt, "frequently projects a complete middleground harmonic-contrapuntal structure" ("Towards a reconciliation of Schenkerian concepts with traditional and recent theories of form," *Music Analysis* 10/3, 1991, 237–238).
- <sup>7</sup> See Example 1a, mm. 23–30; Example 2a, mm. 26–28; Example 6a, mm. 2–3 and 14–16; Example 9a, mm. 7–9 and 44–46; Example 11a, mm. 14–16.
- <sup>8</sup> See Example 1a, mm. 99–100; Example 2a, mm. 3–4, 7–8, 15–16, 23–24, 35–36; Example 3a, mm. 13–15; Example 4a, mm. 65–66 and 73–74; Example 7a, mm. 11–12; Example 9, mm. 21–22 and 50–51; Example 10a, mm. 39–41; Example 11a; mm. 7–8 and 29–30.
- <sup>9</sup> See Example 11a, mm. 16–20.
- <sup>10</sup> See Example 1a, mm. 17–18 and 47–48; Example 4a, mm. 60–61 and 78–79; Example 7a, mm. 15–16; Example 8a, mm. 7–8; Example 9a, mm. 13–15; Example 10a, mm. 27–28.
- <sup>11</sup> See Example 5a, mm. 20–24; Example 8a, mm. 4–16.
- <sup>12</sup> See Example 9a, mm. 21–22 and 50–51; Example 11a, mm. 29–30.
- <sup>13</sup> Charles Smith's statements about the difficulties in determination of the principal note (Op. cit., 274–276) are connected with his refusal to recognise the cadence paradigm c – at least, for the background structure (compare the reading of the first and last cadences in his example 37b, Op. cit., 261). This refusal results in an underestimation of the contrapuntal function of cadence by him in general.
- <sup>14</sup> Interruption do not always occurs in the upper voice. In one of the sonata-form patterns, described by Ernst Oster in his commentary to § 316 of *Free Composition* (Schenker, Op. cit., 139), it essentially occurs in an inner voice. See also Examples 1 (Menuetto) and 2 (Trio).
- <sup>15</sup> Smith, Op. cit., 243.
- <sup>16</sup> The greater part of these pieces has been analysed both by Schenker and Ch. Smith. My readings, usually different from both of them, are closer to those of Schenker.
- <sup>17</sup> Cf. Schenker, Op. cit., Figures 35.1 and 20.4; Smith, Op. cit., Example 29b.

<sup>18</sup> Cf. Roger Kamien, “The Menuetto from Mozart’s *Eine kleine Nachtmusik*, K. 525: An Analytical Study,” *Theory and Practice* 7/1 (1982), 7–19.

<sup>19</sup> Trio of K. 331 can be reduced to a high-level tenth D–F# prolonging both  $\hat{5}$  (in the upper voice) and  $\hat{3}$  (in the bass – here conceptually an inner voice) of A major by their upper neighbours.

<sup>20</sup> The terms of “closed” and “open” form are used in Smith, Op. cit.

<sup>21</sup> Cf. Schenker, Op. cit., Figure 100.3d; Smith, Op. cit., Example 37b.

<sup>22</sup> Cf. Schenker, Op. cit., Figures 49.2 and 110b 1; Smith, Op. cit., Example 4b.

<sup>23</sup> Cf. Schenker, Op. cit., Figure 21b.

<sup>24</sup> Cf. Schenker, Op. cit., Figure 39.3.

<sup>25</sup> Cf. Schenker, Op. cit., Figure 152.1; Smith, Op. cit., Example 5b.

<sup>26</sup> Cf. Schenker, Op. cit., Figure 7a.

<sup>27</sup> Cf. Schenker, Op. cit., Figure 12; Smith, Op. cit., Example 13b.

<sup>28</sup> Cf. Schenker, Op. cit., Figure 140.6; Smith, Op. cit., Example 12b.

**Counterpoint and Musical Form:  
some Remarks about Schenkerian Backgrounds**

**Summary**

Schenkerian analysis is essentially contrapuntal analysis of the 18th- and 19th-century music. The contrapuntal structure of tonal music is based on a continuous process of voice-leading.

Form, on the contrary, is based on the articulation of the whole into discrete units, usually by means of harmony. Although classical music rest on the principle of inseparable unity of counterpoint, harmony, and form, there is not always an absolute correspondence between its contrapuntal and formal structure.

The contradiction between these can arise for different causes. Sometimes it may be of subjective nature, connected with specific analytical strategies (e.g., the placement of the “principal tone”). In other cases (e.g., in the case of an unusual tonal plan), it is of more objective nature and caused by the hierarchical structure of the classical tonality.

**Kontrapunktas ir muzikinė forma:  
keletas pastebėjimų apie Schenkerio giluminius planus**

**Santrauka**

Schenkerio analizė iš esmės yra kontrapunktinė XVIII–XIX muzikos analizė. Tonaliosios muzikos kontrapunktinė struktūra remiasi nenutrūkstamu balso plėtros procesu.

Forma savo ruožtu yra pagrįsta visumos artikuliacija į atskirus vienetus, paprastai harmonijos priemonėmis. Nors klasikinė muzika remiasi neperskiriamos kontrapunkto, harmonijos ir formos vienovės principu, atitikimas tarp kontrapunktinės ir formalios struktūros nevisada būna absoliutus.

Prieštaravimas tarp jų gali atsirasti dėl įvairių priežasčių. Kartais jis gali būti subjektyvios prigimties, susijęs su specifine analitine strategija (pvz. „pagrindinio tono“ padėtimi). Kitais atvejais (pvz. neįprasto tonacinio plano atveju) prieštaravimas yra objektyvesnės prigimties, sąlygojamas klasikinės tonacijos hierarchinės struktūros.

## Interpretations of Composing Factors in the 20<sup>th</sup>-Century Conception of the History of Music

The article undertakes the analysis of the interpretation aspects of composing factors in the conceptions worked out by the most distinguished authors of the 20<sup>th</sup>-century music history (E. Wolf and C. Peterson, W. Danckert, P. Bekker, A. Halm, H. H. Eggebrecht, A. Nowak, H. Mersmann, W. Gurlitt, Yu. Kholopov, C. Dahlhaus and others).

The basic conclusion of the analysis: the authors of the conceptions of music history come nearer to the notion of the principal of composing by way of theoretically making the issues concerning the disclosure of the origin of music more topical.

Key words: music autonomization process, emancipation of its parameters, the cyclic character of typological styles, organic and mechanic genotypes, style and form, Pythagorean tone, musical material, double character of form derivatives, obertonics, music consciousness, principle of composing, composing factor.

### Introduction

The topicality of the article theme "Interpretation of Composing Factors in the Conceptions of the History Music" is conditioned by a need to more thoroughly motivate the historical evolution of the principle of composing. It is important not only for the sake of a deeper perception of the origin of composing but also for the adaptation of this experience for didactic purposes. The author of the article does not intend to embrace a greatly wide and versatile object of music history on the whole. The present article is only an addition to one of the parts of the earlier published treatise "The Origins of Systematics of the Principles of Composing" – "A Principal of Composing as a Historical Category."<sup>1</sup>

The 20<sup>th</sup> century is rich in a great many works on music history, music historiography, history of philosophy, etc. The reader may get dissatisfied failing to find among the authors of the analyzed conceptions such names as G. Adler, H. Riemann, E. Bücken, etc. or W. Wiora, Fr. Blume and others. The article also does not deal with the conceptions, for example, in "New Oxford History of Music" or "Neues Handbuch der Musicwissenschaft" or a popular D. J. Grout and C. Palisc's "A History of Western Music". It also does not analyze the reviews of the conception of music history in the latest encyclopedias (The New Grove, Die Musik in Geschichte und Gegenwart, etc.).

The object of investigation is only those conceptions which are particularly useful, stimulating the historical notion of the principal of composing. Thus, it is natural that the attention is most of all concentrated on those works the authors of which base their ideas on versatile composing factors, for example, accordics, melodics, rhythm, form, etc. Besides, noteworthy are both objective, for example, correlation of accordics and melodics, tone, sound material parameters, obertonics and subjective – musical consciousness, types of notions, the composing factors. It goes without saying that priority is given to those works where the composing factors are granted a special status, turning them into original common traits of composing, which will serve to base the conceptions of history of music.

Besides, an attempt is made to analyze not only the validity of the interpretations of composing factors but also to systematize approaches and ideas. Thus, the object of the article comprises only some of the original conceptions of history of music worked out by the 20<sup>th</sup>-century musicologists. ((E. Wolf, C. Peterson (1923), P. Bekker (1928), A. Halm (1913), H. H. Eggebrecht (1977), A. Nowak (1973), H. Mersmann (1922), W. Gurlitt (1966), Yu. Kholopov (1982), C. Dahlhaus (1977)<sup>2</sup>.

Starting to analyze the conceptions of the 20<sup>th</sup>-century history of music, it is reasonable to bring to mind that the majority of these works continue the ideas inherited from a romantic centenary. One of them is the conception of the autonomy of the art of music. A great many 19<sup>th</sup>-century historians thought that the

art of music was evolutionizing gradually, liberating composition from old church types, textures from *cantus firmus*, creating new voice melodies, etc. In this way, music gradually becomes art in its own right, independent of the ritual, text, and in its classical stage reaches the apogee of its perfection. The autonomy idea of the art of music together with the absolutization of the classical norms of composing was trailing through all the conceptions of the 20<sup>th</sup>-century history of music.

### Correlation Between Accordics and Melodics

Part of the 20<sup>th</sup>-century historians base their conceptions on the correlations between accordics and melodics. Some of them interpret this correlation in this kind of way with a view of motivating the process of the autonomy of music (E. Wolf, C. Petersen), others make an attempt to explain stable constants in the history of music (W. Danckert, P. Bekker, A. Halm). Erich Wolf and Carl Petersen model the history of music as the evolution of melodic-vocal origin towards that of accordic-instrumental. The culmination of this evolution – Bach's fugue where in the opinion of the authors, the correlations between melodics and accordics are from a mathematical point of view clear and evident. Whereas the second culmination – Beethoven's sonata which demonstrates the priority of accordics over melodics. Musicologists consider that it makes possible to split the form, therefore, the composers, particularly romantics, in later periods made use of the text and literary programme in order to reinforce the integrity of music. In their analysis of the manifestations of pre-tonal music, they point out that the medieval monophony is not self-contained due to its dependence on a word, whereas Greek music is a pro-image of European music<sup>3</sup>.

The most acceptable feature of this conception rests possibly in the attempt to glance at the development of music, starting from the Greeks to the 20<sup>th</sup> century, through the prism of an integral defined factor of composing. However, on the whole, it is evident that the authors of the conception adopted the vice of the 19<sup>th</sup>-century theory of music, one of which can be seen in the proposition that Bach's fugue seems to exemplify the equality between melodics and accordics. The mentioned proposition has become a stereotype seldom questioned up to our days, particularly in the academic medium of music. Here little attention is given to the fact that Bach's fugue is constructed from accords supported by key. The key proper is first of all the accords representing scale functions. Hence, Bach's fugue is principally the art of accords of horizontal voice-leading. The authors of the conception somehow fail to notice the equilibrium between accordic and melodic origin in Palestrina's polyphony which, by the way, is outwardly highly close to Bach's polyphony. Here, however, the inner principles of musical structure are different. It is noteworthy that different to Bach, Palestrina (incidentally, like the majority of Renaissance masters) used to construct his works from voices. Therefore, Palestrina's motets should be rather called the melody art of vertical voice – structure. Thus, despite the outer textural similarity, it is the principles of composing – tonal and modal – that essentially separate Bach and Renaissance masters.

The authors of the conception also failed to avoid some evident mistakes. For example, their interpretation of Gothic polyphony is exceptionally based on a linear principle, though the principle of organum composing essentially bases itself on the finish of the perfect vertical. Incidentally, this "sin" has been rather universally accepted as a norm. It finds its characteristic reflection, for example, in Yulya Yevdokimova's book on medieval polyphony<sup>4</sup>. Besides, one can state an evident centrism of E. Wolf's and C. Peterson's conception in respect of Bach's and Beethoven's works based on A. B. Marx' and H. Riemann's works on the theory of music. T. Cherednichenko aptly points out anachronistic features characterising the classics' centrism: the priority of instrumentalism over vocal music, the priority of the classical harmony norms over folk melody and polyphony. The most unacceptable point in the reviewed conception is the devaluation, intervoven with the wrong establishment of composing priorities, of pre-classical and post-classical music.

This conception from the point of view of the common trait of composing also has a "white spot". Though the authors make an attempt to interpret Greek music as a certain pre-image of European music, still this pre-image, unfortunately, is not associated with the phenomena of accordics and melodics.

Werner Danckert, giving priority to a perfect line and the equilibrium of accordics, elaborates an eternal and historically stable theory on musical constants. The cycles of historical styles are argued on

the basis of his triad construction of correlation (linearics – equilibrium – accordics). In the investigator's opinion, the triad of styles – pre-classics – classics – post-classics is echoed by the Gothic – Renaissance – Baroque cycles. He thinks that such styles are also characteristic of each national school (Netherlandish, Italian, English). On the all European scale, he perceives a cyclic rhythm the second, final, triad of which coincide with the prosperity of German music. In his attempt to base typological features of styles, W. Danckert singles out the criterion of an equilibrium between a perfect line and accordics (classics). In the case of the dominance of linearics, we can speak of pre-classics and that of accordics – post-classics<sup>5</sup>.

One can make sure that W. Danckert's styles seem to be ideal, non-temporal types of music. W. Danckert's theory in this respect is novel, stimulating to think about that what remains stable, invariable, cyclic in the development of the theory of music. W. Danckert's conceptual idea however falls through when he begins to reason about eternal common traits of composing, for example, "an ideally perfect acquilibrium between a line and accordics"<sup>6</sup>. This argument employed with the purpose of basing typological styles seems too much ambivalent. On the one hand – pure abstraction (there are no criteria for the establishment of perfect acquilibrium) and on the other – too specific (accord, line) in material respect due to which emerges space for speculative constructions. The specificity of composing material and the universality of correlation resting in it practically give no idea as to the manner the work is composed and the principle of composing. Let us say, knowing in advance (a priori) about a perfect acquilibrium between the line and accordics one can hardly ever succeed in establishing the composing method and style of the Lithuanian sutartinės (polyphonic songs).

An original interpretation of the correlation between accordics and melodics is offered in the conception of the theory of music worked out by Paul Bekker<sup>7</sup>. The central categories of his theory – "*mono-sounding*" (Ein-Klanglichkeit) and "*poly-sounding*" (Mehr-Klanglichkeit)<sup>8</sup> which mark two stable types of music. He employs the term "mono-sounding" for a homophonic-harmonic aspect of musical material, which potentially hides the merging of sounds into a single voice. This unity can disperse into many sounds and unite again and even merge. It is characteristic of instrumental homophonic forms. In its turn, the instrumentalism of music witnesses a mechanic type of music. "Poly-sounding" is the term given by P. Bekker to characterize a polyphonic aspect of musical material associated with the individuality and vocality of a melodic voice. The vocality of music denotes the organic character of music. In the course of history, the organic and mechanic types of the material exist in a permanent contradiction due to the fact, as the author himself states, that the history of music is the history of sound material"<sup>9</sup>.

One of the most unusual Bekker's ideas is that the type of material (organic, mechanic) irrespective of the composing manner – polyphonic, homophonic as well as modal, tonal – does not change its genotype constants, remains permanently in opposition with another genotype. This kind of situation is interpreted as a stable history of the sound material in opposition. Anyway, the problem arises whether the constants of the history of stable music can focus on musical material indeed. Today, with the emergence of possibilities to synthesize an acoustic object, a new topicality concerning sound material has clearly come to the fore. The very first experiments on electronic music showed that the material is closely connected with the principle of its creation. So much closely that it is first of all necessary to define the principle but not the material. It was Karlheinz Stockhausen<sup>10</sup> who was the first to theoretically disclose this phenomenon. On the other hand, P. Bekker's conception of the theory of music is of interest due to the fact that distinguishing organic and mechanic types of material it seems to invite one for a metaphysical reflection – what is natural and unnatural in the world of musical sounds, incidentally, in the history of music? Nevertheless, a practical capacity of P. Bekker's conception could seem stupefying. For example, making an attempt to genotypically oppose integral phenomena of syncretic music where both instrumental and vocal origins compose an indissoluble unity.

The reinterpretation of the factors of melodics and accordics can be also seen in the conception of the history of music by August Halm. The mentioned factors and their relationship in this conception assert themselves through two musical cultures – style and form. The first is represented by a monothematic (polyphonic) culture, closely associated with the principles of the fugue, the second – polythematic (homophonic), principally based on sonata-form principles. The musicologist interprets the fugue and sonata as ideal models

of music. Due to this peculiarity, such models realize themselves only by chance in the course of history. In his opinion, Bach realized an ideal model of the fugue and Beethoven that of sonata by chance (!).<sup>11</sup>

The rational kernel of A. Halm's conception can be found in his methodology. He takes pains to distinguish and define not really existing but ideally constant (functional) types of music. However, it seems reasonable to associate a functional type of music with the logic of composing conditioned by the period of time, whilst the musicologist does not delve deeper into this determinant. It results in the emergence of a great many "vacant" historical periods and facts of composing in his architectonics of a historical process. For example, Mozart's music does not correspond to the sonata-form model and the Renaissance to that of fugue culture, etc.

The reviewed interpretations of the correlation between accordics and melodics in the conception of the history of music lead to the conclusion that this kind of correlation can mean the dominance of one element or the equilibrium of both as well as opposition. Sometimes the primary norms of melodic and accordic character are reinterpreted beyond recognition, for example, polyphonic, monophonic or monothematic, polythematic.

No matter how differently the coordinates of verticality and horizontality and their interrelation can be interpreted, it is next to impossible to substantiate the history of music on these grounds on the whole. First of all, it is hard to make conclusions about the coordinates of verticality and horizontality without knowing the principle of composing. Besides, today's practice witnesses a tendency to avoid these coordinates as a certain stereotype. And more. They seem to be senseless in archaic sincretic music.

Hence, the authors of the reviewed conceptions, making an attempt to substantiate different aspects of historicity – the cyclic recurrence, invariability, etc. of the musical autonomy evolution – have absolutized the norms of horizontality and verticality characteristic of classical tonal music, turning them into hypothetical common traits.

### Concepts of Tones and Parameters

Some of the 20<sup>th</sup>-century historians of music, reinterpreting certain conceptions of general concern in the composing practice, namely tone, material, etc., tried to substantiate the unity of historical process. The best telling examples are the conceptions of H. H. Eggebrecht and A. Novak.

In the opinion of Hans Heinrich Eggebrecht, the history of music witnesses the influence of the Pythagorean principle, i. e. the conception of a mathematical – instrumental – theoretical tone. The author holds that a mathematical tone, enlarging the moment of instrumentality in practice, realizes its theoretical potency and together determines the quality of music. The author singles out several historical stages of music: tone as a number (Middle Ages), tone as a number and sounding (Renaissance), overtone tone as the physics of a sense (New Ages) and at last again tone as a number (20<sup>th</sup> c.). It is evident that the history of music in H. H. Eggebrecht's conception coincides with the evolution of the concept of tone<sup>12</sup>. This concept stimulates to raise topical questions of methodological character. For example, whether the history of music is the fixation of sound potential discovered by composing practice, or merely the evolution of the theories on tone; or whether a musical tone is a theoretical concept or the expression of a sense. H. H. Eggebrecht accentuates particularly the significance of theory for the history of music because it was the theory that "gave birth to practice (music – *auth.*) for the first time".<sup>13</sup> Besides, "musicality is above all determined by mathematical correlations with other sounds".<sup>14</sup> The concept of Pythagorean tone fostered by the historian is contrasted with the concept of the New Ages sound as the expression of a sense (I. N. Forkel). It is common knowledge that this conception looks on an overtone sound as if on the material of nature or power the potentials of which are unfolded by the great innate talent of the composer. No wonder that a dominant approach considers music to be the heart's language discovered by a sense.<sup>15</sup> In the opinion of H. H. Eggebrecht, the conception of Pythagorean tone dominates in history since the rational kernel is higher and strains after dominance.<sup>16</sup> It is just here that possibly the greatest shortcoming of H. H. Eggebrecht's conception unfolds itself. In his attempt to explain the unity of history on the basis of the united composing origin (Pythagorean tone), the scientist devaluates intuition and practice. The reason why it is hard to force

the history of music into a logical construction is the permanently functioning intuitive musical origin associated with natural acoustic potential of talent and sound.

Theoretical, logical and mathematical definitions of tone constantly interact and fight with the sentiments of the essence of sounds and the practice stimulated by the latter. This process goes back to olden times. For example, Aristoksen's conception inclined for practicism, in many cases contradicts the concept of Pythagorean music. Whereas the avant-garde of contemporary music illustrates unlimited number of constant rational and intuitive moments of music as well as some manifestations of "theoretical phantoms". (This proposition can be just as well witnessed evidently, say, by the works of the Lithuanian composer Bronius Kutavičius. It would be of great interest to know the results if a historian of music made an attempt to characterize the works of this composer on the basis of the concept of a theoretical tone.)

On the other hand, the aspect of a mathematical tone suggested by H. H. Eggebrecht seems to be more topical not for the history of music on the whole but rather for the evolution of acoustic tuning, reflecting Pythagorean, natural and tempered harmonies. These harmonies are echoed by appropriate composing principles – modality, tonality, etc. Besides, the concept of a mathematical correlation has also gone through the epochs based on Euclid's geometry, Ptolemaus' mysticism of numbers, Decartes' system of functional-numerical meanings, Lobachevski's non-linear geometry, etc. Another question. Are only mathematical correlations rational in music? Unquestionably, H. H. Eggebrecht adopted quite a big part of mistakes made by his predecessors. One of them – the correlation between instrumental and vocal origins based on mathematical preconditions. Giving priority to the first, the investigator incautiously omits an instrumentarian part related to the evolution of the percussions. It is reasonable to bring to mind that the percussions are often void of defined tone. In addition, he associates the evolutionary dynamics of Pythagorean – instrumental tone with the practice of the vocal polyphonic organum. However, it contradicts the instrumental prerequisites of the author's conception. It should be only added that the substantiation of music, as of autonomous art, on the basis of the theoretical tone concept does not also seem systematically logical, because classicist forms first of all oriented themselves to a tone as the expression of a sense.

Adolf Nowak reinterprets the category of musical material for the needs of his own concept. His interpreted musical material is marked by general parameters of sounding: pitch, rhythm and loudness. A. Nowak makes these universalias (parameters) work for history, making use of the term interaction. The investigator notices that the parameters of material in earlier music existed in a certain unity guaranteed by a genre type. Whilst the parameters in serial music acquire autonomy due to quantitative proportions of each parameter.<sup>17</sup> Thus, A. Nowak finds a possibility to explain the theory of music through variable types of interactions, retaining eternal parameters of material. Still, having maximally charged the concept of material with contemporaneity and formulated the types of interparametric interactions on the basis of this concept, he finds himself quite unexpectedly in a logical "deadlock". The author of the concept fails to notice that his interaction is established between the parameters of musical material known in advance. Whereas the differentiation proper of the sounding parameters is a certain operation and a principle of composing. It is due to the principle of composing (partly to interaction) that the sounding is divided into original parameters of music (for the sake of clearness, let's think what a modern knowing of Nowak's parameters could give investigating the phenomenon of deep sincretism, for example, archaic second polyphony).

The purification of parameters made the investigator employ additional instruments, the so-called notion of analogy (highly probable to save the notion proper). The notion of his analogy is devoted to the establishment of the time of notion, drawing parallels with universal history. Despite a theoretical "cracking" of the conception, with the acceptance of scientific prerequisites, the same notion of analogy could serve as a true compliment to the investigator. Unquestionably, every interaction (the principle of composing) is essentially the result of the period-based thinking and the world perception.

The authors of the reviewed conceptions have to a certain extent reinterpreted in a popular way the notions of musical material. On the one hand, they adapted a very old notion of Pythagorean tone for the marking of a historical perspective (H. H. Eggebrecht), and on the other – oriented a very new notion of the material parameters to a historical retrospective (A. Nowak). This was the way how the investigators



made an attempt to argument the unanimity of the history of music. Both authors failed to reach their goal in a sense that their conceptions were principally based on material but not on the principle of composing. The evidence of this fact has become particularly prominent nowadays, when the composer often starts his process of work from the synthetization of sound material. There is not much doubt left concerning the priority of interactions, principles and methods in respect of material (tones, parametres).

### Form of Music as the Pro-Image of Historical Architectonics

The authors of the 20<sup>th</sup>- century conceptions of music sometimes tried to adapt for the articulation of historical epochs the things of time logics characteristic of the classicist musical form. There were cases when historical periods of time were articulated taking into consideration the peculiarities of the classical melodic period (H. Mersmann), or that of rhythm (W. Gurlitt).

The essence of Hans Mersmann's reasoning – if a piece of work emerges from a sound, then the history of music should also spread in an analogous way. He bases this analogy on the feature of doubleness (squaresness) of a classical work – that of melodic motifs, sentences, themes, parts, etc. The doubleness of the structure of form grows consistently into the doubleness of styles. It follows that some styles – Romanic, Renaissance, Classic – appropriately correspond to others – Gothic, Baroque, Romanticism.<sup>18</sup>

The rational kernel of the conception worked out by H. Mersmann – a universal dialectical negation insight which is adapted for the alteration of the process of music and history alike. Unfortunately, different from the multi-level doubleness of the classical music form, the investigator seems not to detail a historical attestation, limiting himself only to the establishment of the doubleness of musical epochs. Dialectical negation however can take place not only between epochs but also in the frames of a single style (for example, the early and late romantics), in the person of one composer (M. K. Čiurlionis' work), etc. The most serious weak point of the conception is demonstrated by the fact that his constructed architectonic picture of time is marked by a mechanic alteration of double styles, where an open style is constantly changed by a closed one and that of continual – discrete. One cannot help noticing that the cyclic character of styles asserts itself monosemantically not only within the epochs of modal or tonal music (Romanic – Gothic or Classic – Romanticism), but also within the bounds of both epochs (Renaissance – Baroque). It leads to the conclusion that H. Mersmann's cycles are constructed ignoring the composing principles undergoing modifications in the course of history – modal and tonal.

Willibald Gurlitt compares the epochs of style also according to the peculiarities of musical rhythm. He singles out three epochs of music: those of amplitude (tempo), length (rhythm value) and a syntetic accent. The architectonics of the history of music is composed of two triads of styles. One of the triads is arranged by way of epoch “measure“ 300 years later, the other – 150.<sup>19</sup>

(300)	(300)	(300)	(150)	(150)	(150)	
(550)	850	1150	1450	1600	1750	1900
musica plana	cantilena romana	modal - mensural rhythmics	proportional mensural hythmics	progression rhythmics	measure freedom	free measure
(amplit.)	(lenght)	(accent)	(amplit.)	(length)	accent)	

In W. Gurlitt's conception, much clearer than in those of his predecessors, shows itself a potential insight into a cyclic opening of a sepearate sound – temporal peculiarities in historical time. The other W. Gurlitt's idea worth-mentioning is associated with an observation that the tempos of the historical cyclic alteration moving towards the newest times pick up speed. Nevertheless, alike his predecessors (W. Dankert, H. Mersmann), the investigator fails to avoid the interpretation of the mechanistic cyclic time. His constructed styles of rhythmic

quality (of amplitudes, length, accent) move cyclically irrespective of essential determinants of historical logic of composing (here again the boundaries of modal and tonal epochs are levelled).

Thus, historians, reinterpreting temporal dimensions – a melodic period (H. Mersmann), rhythm (W. Gurlitt) – of a piece of music, made an attempt to base the architectonics of historical alteration. Still, the authors of their conceptions paid little attention to the objective logic of the modifications of historical classical tonal form. Their failure was conditioned not only by the absolutization of the norms of the classical tonal form but also by not sufficient enough apprehension of the origin of composing principle. It is easy to notice that the composing principle is a core which binds a type of work with an appropriate epoch. For example, a tonal principle not only defines the principle peculiarity (factor) of the New Ages music but also bases the type of composition. Analogically, the modal manner of composing associates pretonal epochs and the types of works. Thus, it is expedient to look for the universal determinants of the work and historical architectonics not in the types of musical form but in the origin of the music composing principle.

### **Extrapolations of Physical and Mental Common Traits of Composing**

The authors of the conceptions of music history do not limit themselves to historical interpretations of the factors found within the bounds of the composition. Part of them try to base their systems taking into account the universal factors which condition composing. Some of them concerned themselves with natural acoustic phenomena (J. Chailley, Y. Kholopov), others – musical consciousness (C. Dahlhaus).

Yuri Kholopov, forming his own conception, denotes a universal attraction and solution (consonance – dissonance) factor in a natural spectre of sound. This phenomenon enables him to think that the art of music is the opening of the potential in the sphere of sound nature. The theory of music reveals these potentials to the greatest extent because Y. Kholopov thinks that it is structurally isomorphic to the row of overtones.<sup>20, 21</sup> In the investigator's opinion, a natural tone-row in the history of music is reflected by modal types enriched with their elements and their connections (he supposes that up to the 9<sup>th</sup> c. dominated the modes marked by an acoustic ratio 1:1. 1:2, from the 9<sup>th</sup> c. – 2:3, later – 4:5 and 5:4, etc.).<sup>22</sup>

The investigator holds that the history of music grown from an acoustic tone-row as a "proto-mode", which potentially concentrates all other modes, is completed. The completeness of the history of music is conditioned by the variable pitches of sounds in overtonics (in his opinion, it is the only historically developing parameter!). The possibilities of the differentiation between the pitches of sounds are limited. History therefore cannot help coming to an end. The completeness of history makes an analogy for the completeness of an autonomous work of music (Russ. *цельность*). Both factors of completeness stand out for their continuous isomorphism. For example, analogy is composed not only of the whole of overtone and historical phenomenon but also of separate modal types from the simplest to the most complex. Y. Kholopov adapts this continuous isomorphism of structural levels for the elucidation of the autonomous form of harmonic tonation. T. Cherednichenko wrote: "... a triad is the differentiation of the fundamental tone (it has overtones of a third and a fifth); the cadence combination T-D-T is a differentiation of a triad; at last – an autonomous form of music is a differentiation of the cadence combination". Besides, he raises this kind of isomorphism to the world perception and philosophical heights.<sup>23</sup> Hence, he makes an attempt to explain nearly everything through a generalizing principle of overtonics.

The conception of the history of music worked out by Y. Kholopov seems to have gathered to a certain extent all the vice (partly achievements) not only of his nearest predecessors (N. Kayser, J. Chailley) but also those of the New Ages history of music on the whole. T. Cherednichenko points out several sources of Y. Kholopov's theoretical conception, namely the model of Pythagorean numbers, Hegelian development, Goethean immobile-mobile symbol of unity, medieval existence (micro-macro-auth.).<sup>24</sup> In addition, she notices certain mythological features, coinciding with the notions of the biblical creation of the world, primary unity.<sup>25</sup>

One of the most evident shortcomings in Y. Kholopov's history of music is its impotence to integrate the newest (minimalism and serialism) and the oldest (ethomusic) links of history. No less problematic is his modal postulate. The centralization of a mode emerging due to the dissolution of dissonance into conso-

nance, is a common trait of composing, which arises in relief within a rather short period of history. This kind of mode can not be in principle applied either to a modal or archaic period of the history of music (e. g. it is hard to imagine a modal centre in a sutartinė).

From the investigator's point of view, all modes are centralized. It is evident however that in modal music the attraction of dissonance to consonance is practically not a motive power of this music. It is not the opposition of non-sound structures but a variant'ness that is characteristic of it. On the other hand, the evolution of mode does not exhaust music on the whole. Neither the beginning of history nor its end even its centre – are qualitative differences connected with the pitch of sounds. A great many other parameters of music (e. g. historical changes in rhythmic) undergo changes in the course of history in a parallel or synchronic way.

Contradictory seems to be one of Y. Kholopov's basic propositions about the dependence of harmonious material and the character of functional correlation.<sup>26</sup> On the contrary. His conception discloses other things – no matter how much harmonious material might changed (until avant-garde sonorous inclusive), its manner of functioning remains the only and unchanged – tonal. On the other hand, one finds easy to notice the difference between the functioning of, say, dissonance seconds in a sutartinė and analogous intervals in O. Mesiaen's music. Here a centralization approach is beyond any application.

Carl Dahlhaus is convinced that the facts of the history of music are inseparable from a factograph that gives sense to them, therefore, only the notion of music can be the object of history. The author distinguishes its several types: functional (16–17 c.), affective (17–18 c.), biographical (18–19 c.), autonomic (19–20 c.) and informational (2<sup>nd</sup> half 20<sup>th</sup> c.). Each of these notions, as he thinks, is conditioned by a changed approach to a piece of music. Besides, the investigator states that there is no causal sequence between various types of the notions of music, however, all of them are united by a historical conscious of music. It follows that a historical process of music has neither architectonics nor a united logical principle (more precisely, based on a principle without a principle).<sup>27</sup>

The rational kernel of C. Dahlhaus' conception seems to concentrate itself on the overestimation of the role of the thinking of the subject (musical consciousness).<sup>28</sup> It is easy to perceive that any objective changes in the sphere of the composing of music can take place with the emergence of new ideas. In short, with a new way of thinking, appears a new correlation of the subject with environment and sounding. In its turn, the changed musical consciousness materializes its ideas through new structures of composing. It is not by chance that C. Dahlhaus, singling out types of consciousness, first of all has mind musical works of a certain type. The latter are called analogically like the types of the notions of music. Dahlhaus identifies evidently an objective existence of the piece of music with the state of musical consciousness.

It is here that a doubt crops up. Is a piece of music likewise a state of consciousness marked by a certain autonomy of phenomena?

There is another point that casts doubt. A proposition of Dahlhaus' conception. He considers that there exist no causal links between the types of musical consciousness.<sup>29</sup> The acceptance of this conception would lead to the idea that today's state of the composing of music, incidentally, and the situation of civilization on the whole is a thing completely unbounded with the past. It must be admitted that similar eclectic sceptical nuances in C. Dahlhaus' conception provoke metaphysical way of thinking. Here it is worth mentioning Arvydas Šliogeris' sentence – "history is nothing".<sup>30</sup>

C. Dahlhaus' position could be understood only partially. The unprecedented dynamics of the present period, to put it mildly, has muddled up the very fundamentals of learning. It is therefore natural that at present the history of pop music has no generalizing methodological base, making possible to aptly substantiate the processionalism of music. There is also no reason for doubt that a much more topical for composing practice is the knowledge of the music reflecting epochal changes in the composing order than the formulation of musical consciousness and types of notions.

The interpretation of universal, composing – conditioning factors – overtonics (Y. Kholopov) and musical consciousness (C. Dahlhaus) – in the conception of the history of music has uncovered a topical problem on the relationship between acoustic object and music-creating subject. It is worthy of mention here that we began this investigation with the analysis of the interpretations concerning the correlation between melodics and accordics. This time, the members of the correlation touch upon the in-depths of the

very essence of composing. Unfortunately, the principles of the authors of both conceptions have maximally polarized them, therefore, their attempts were not enough justified. The absolutization of the overtone phenomenon turns the conception of the history of music into a kind of myth, trying to elucidate acoustic mysteries of nature. In its turn, the overestimation of musical consciousness prevented them from substantiating historical links due to the fact that the objective factors merged with the thinking proper.

The analysis of both conceptions draws nearer the idea about the composer's relationship with sounding as the only rational way out, and together explains the origin and principle of composing as well as opens a possibility for a new interpretation of the history of music on this basis.

### **Conclusion**

The interpretations of compositional factors in the 20<sup>th</sup>-century conceptions of music history are not monosemantic. Theorists employ the most diverse compositional approaches for their argumentation. They can be at least partially grouped. Some of them give priorities to the relationships between accordics and melodies (E. Wolf and C. Peterson, C. Danckert, P. Bekker), others, – to form, style (H. Mersmann, W. Gurlitt), to material (H. H. Eggebrecht, A. Nowak), or obertonics and musical consciousness (Y. Kholopov, C. Dahlhaus). Regardless of the fact that the authors of conceptions choose different composing arguments, it is however easy to notice that it is the tradition of tonal music which they principally represent. In frequent cases musicologists orient their arguments to the criterion of the autonomy of music. The majority of them think that a piece of music tonally composed due to its perfect structural character distinguishes the art of music among others as being autonomous. This orientation prevented many musicologists from reaching a conclusion that the art of music has always been inseparable from other forms of art (i. e. tonal music from drama).<sup>31</sup> The discovery of the autonomy of the New Age music principally meant nothing else but a historical dominance of the tonal composing principal. Nevertheless, the creators of conceptions have not adequately appreciated this moment. Thus, it was no chance that they did not essentially question the tonal principle of composing and oppose it to a modal or serial one. Historians limit their aim only to the reinterpretation of tonal elements. It means that they treat these elements as certain common traits of composing.

It is symptomatic that the absolute majority of historians interpret composing differences between epochs in a purely quantitative way. For example, through the intensification of the accordic origin (H. Eggebrecht), the level of the differentiation of the material (A. Nowak), the cyclic rhythm (Mersmann and others). It should be also mentioned that the investigators while explaining history base themselves exclusively rather on structural-material composing factors than functional-logical ones. For example, they accentuate the following sound structures: accord, melody, rhythm, form, tone, obertonics, sound parameters. Material criteria of argumentation prevent the investigators from properly basing the processional aspect of music history. Notworthy is the fact that a material argument interpreted for a longer historical period starts to inevitably "rupture", lack a logical consequence and turn into something incomprehensible (say, the collision of H. H. Eggebrecht's "Pythagorean tone" with the "physics of feeling"). On the other hand, it is also impossible to properly articulate composing periods of time through material factors. Such factors seem to be too inert for this role (the best telling example in this respect is an obertonics argument tested by Kholopov).

It is this lack of analysis that makes the greatest shortcoming of the 20<sup>th</sup>-century historical conceptions of music. Nevertheless the authors of conceptions would also grope certain probabilities in the evolution of music. For example, part of them felt non-ambiguously the connections between a piece of music and historical dispersion.

Particularly noteworthy in this respect is Y. Kholopov's isomorphic-obertonal variant of the connection between a piece of music and the history of music, echoing a biblical myth.

C. Dahlhaus' approach to the connection between the history of music and a piece of work was different. He made an attempt to escape from a hypnotizing stereotype of tonal music. The historian concentrated his attention on musical consciousness. He thinks that a certain historical state of musical consciousness makes possible to judge about adequate types of the pieces of music. Still, C. Dahlhaus did not

explain more thoroughly the way musical consciousness determines a piece of music and how this mechanism functions.<sup>32</sup> Eclectic connection variants of the history of music and a work in a certain period can turn into “something” hard to guess.

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- <sup>1</sup> See: *Komponavimo principai/ Teorija ir praktika*, Vilnius, 1999.
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- <sup>3</sup> Wolf, Petersen, *ibid.*
- <sup>4</sup> Евдокимова Ю. 1983. *Многоголосие средневековья X-XIV века*. Москва, с. 18-108.
- <sup>5</sup> Danckert, *ibid.*
- <sup>6</sup> Danckert, *ibid.*, S. 108
- <sup>7</sup> Bekker, *ibid.*
- <sup>8</sup> Bekker, *ibid.*, S. 73.
- <sup>9</sup> Bekker, *ibid.*, S. 82.
- <sup>10</sup> See: Stockhausen K. 1963. "...wie die Zeit vergeht..." // *Texte*. Bd. I, Köln, , S. 140-151.
- <sup>11</sup> Halm, *ibid.*
- <sup>12</sup> Eggebrecht, *ibid.*
- <sup>13</sup> Eggebrecht, *ibid.*, S. 11.
- <sup>14</sup> *Ibid.*, S. 22.
- <sup>15</sup> *Ibid.*, S. 47.
- <sup>16</sup> *Ibid.*, S. 7.
- <sup>17</sup> Nowak, *ibid.*
- <sup>18</sup> Mersmann, *ibid.*
- <sup>19</sup> Gurlitt, *ibid.*
- <sup>20</sup> Холопов, 1982.
- <sup>21</sup> Холопов, 1976. Also see.: Кюрегян Т. 1992. *Музыкально-теоретическая система Ю. Н. Холопова. //Laudamus*. М.
- <sup>22</sup> Incidentally, J. Chailley much earlier than Y. Kholopov presented a very close conception of harmony progress. He bases the historical stages of the harmony shift also on an obertonal principle (for more see: Chailley J. 1951. "Traité historique d'analyse musicale").
- <sup>23</sup> See: Чередниченко Т. 1992. *Идеи Ю. Н. Холопова к философии музыки //Laudamus*, М., с. 42.
- <sup>24</sup> *Ibid.*, с. 46.
- <sup>25</sup> *Ibid.*...
- <sup>26</sup> Холопов Ю. 1974. *Очерки современной гармонии*. М., с. 30.
- <sup>27</sup> Dahlhaus, *ibid.*
- <sup>28</sup> C. Dahlhaus opposes his conception to a universally dominating biographical model of historicity. In his opinion, the continuity of a historical process is supposed to emerge by way of the application of a novel type of description method. He notices that the novel type method is also employed when speaking only about genre or the evolution of styles.

<sup>29</sup> *Ibd.*, p. 129-131.

<sup>30</sup> Šliogeris A. 1996. *Transcendencijos tyla*. Vilnius.

<sup>31</sup> The proposition from the Romantic epoch about the autonomy of music as art is unusually vital and has survived up to now. The idea of the autonomy of classical music was widely adopted by the musicology of the Soviet period. M. S. Kagan was right saying that it is the world perception of the epoch that determines the dominance of one particular art, and the latter dictates its "fashions" to other arts (for more see: Каган М. 1972. *Морфология искусства*, 11.). Classical music adopted the principles of the dominant drama art of the period. It follows that the autonomy of music alike that of composing is conditional and depends on the universal determinants of a more general character.

<sup>32</sup> The following idea illustrates C. Dahlhaus' opinion on the determinants of a piece of music: "The development of serial music into stochastic and from it into aleatoric does not require a social-historical excursion; it is based by the inner categories of the history concerning the problems of the work." (see: Dahlhaus C. 1974. *Musikgeschichte als Sozialgeschichte?* // *Neue Zeitschrift für Musik*, No 11).

## Interpretations of Composing Factors in the 20<sup>th</sup> – Century Conceptions of the History of Music

### Summary

The authors of the 20<sup>th</sup>-century conceptions of the history of music, when choosing one or another element of tonal music and interpreting it as a common trait of composing, base their approaches on different arguments. Some theorists, presenting differently perceived aims and object of the history of music, give priority to the relationship between accordics and melodics (E. Wolf and C. Petersen, W. Danckert, A. Halm) or form, style (H. Mersmann, W. Gurlitt), or material (H. H. Eggebrecht, A. Nowak), or obertonics and even to a musical consciousness (J. Cholopov, C. Dahlhaus). It is symptomatic that the absolute majority of the authors interpret differences in composing between epochs principally on a quantitative criterion and base themselves on structural-material factors of composing, but not on functional-logical ones. Such criterion prevents from properly basing both the continuous process of the history of music and its articulation. Some doubts also arise as to the unity of the history. The reason for an ill-succes rests in the fact that theorists were not sufficiently concerned with the functionality of the material. Therefore, they failed to grasp the principles of composing representing the period of music.

The authors used to rightly feel certain probabilities related to the dispersion of the history of music. Of great importance are their attempts to substantiate the connection between the history of art and a piece of music. Incidentally, they made attempts to substantiate this connection drawing a direct analogy between a classical tonal work and history, totally ignoring the principles of composing proper.

The greatest merit of the conceptions of the 20<sup>th</sup>-century history of music is the fact that their authors due to a generalized interpretation of various factors of composing, which enabled them to conceptually actualize the issues concerning the disclosure of the origin of the composing music, approached the principle issues, notably the principle of composing, the determinants of a composing epoch and composition, etc.

### Komponavimo faktorių interpretacijos XX a. muzikos istorijos koncepcijose

#### Santrauka

Kaip galėjome įsitikinti, komponavimo faktorių interpretacijos XX a. muzikos istorijos koncepcijose nevienprasmės. Priklausomai nuo požiūrio į muzikos istoriją, skirtingai suprantamų istorijos tikslų bei paties objekto, koncepcijų autoriai savaip traktuoja vienus ar kitus komponavimo faktorius ir pagrindžia autorines koncepcijas. Mokslininkų argumentacijai praverčia įvairiausi komponavimo atžvilgiai. Juos galima bent iš dalies sugrupuoti. Vieni jų prioritetus suteikia akordikos ir melodikos santykiams (E. Wolf ir C. Petersen, C. Danckert, P. Bekker), kiti – formai, stiliui (H. Mersmann, W. Gurlitt), treči – medžiagai (H. H. Eggebrecht, A. Nowak), ketvirti – obertonikai ir muzikinei sąmonei (J. Cholopov, C. Dahlhaus). Nors koncepcijų autoriai pasirenka skirtingus komponavimo argumentus, tačiau nesunku pastebėti, kad jų pasirinkimą didele dalimi sąlygojo tonaliosios muzikos tradicija, kuriai jie iš esmės atstovauja. Ši aplinkybė didele dalimi lėmė ne tik atitinkamą tonalių elementų interpretavimą, bet ir klasikinių komponavimo normų išaukštinimą, o kartais ir suabsoliutinimą. Labai dažnai savo argumentus mokslininkai suorientuoja į muzikos autonomiškumo kriterijų. Pasak daugelio jų tonaliai sukomponuotas muzikos kūrinys dėl savo tobulo struktūriškumo išskiria muzikos meną tarp kitų kaip savarankišką. Ši orientacija daugeliui mokslininkų neleido pakilti iki minties, kad muzikos menas visada neatsiejamas nuo kitų menų (pavyzdžiui, tonali muzika nuo dramos), tačiau komponuojama ji kaskart vis kitaip. Naujųjų amžių muzikos autonomiškumo atradimas iš esmės reiškė ne ką kitą kaip istorinį tonalaus komponavimo principo įsivyravimą. Visgi koncepcijų kūrėjai šio momento adekvačiai neįvertino. Todėl neatsitiktinai mokslininkai iš esmės nekvėstionavo tonalaus komponavimo principo, nepriešino jo nei su modaliniu, nei serijiniu. Istorikai tenkinasi vien tik tonalių elementų perinterpretavimu. O tai reiškia, kad jie šiuos elementus traktuoja kaip tam tikras komponavimo bendrybes. Tai leidžia koncepcijų autoriams neapdairiai, sakytume, “žongliruoti” per epochas, labiau nepaisant jokių kokybinių muzikos komponavimo skirtumų. Simptomatiška, kad absoliuti dauguma istorikų komponavimo skirtumus tarp epochų interpretuoja grynai kiekybiškai. Pavyzdžiui,



akordinio prado stiprėjimu (H. Eggebrecht ir kt.), medžiagos diferencijavimo laipsniu (A. Nowak ir kt.), cikliniu ritmu (Mersmann ir kt.). Be to, būdinga tai, kad autoriai, aiškindami istoriją, išimtinai remiasi struktūriniais – medžiagininiais komponavimo faktoriais, o ne funkciniais – loginiais. Pavyzdžiui, akcentuojamos šios garsų struktūros: akordas, melodija, ritmas, forma, tonas, obertonika, garsų parametrai. Medžiaginiai argumentacijos kriterijai autoriams neleidžia tinkamai pagrįsti muzikos istorijos procesualumo. Būdingu atveju medžiaginis argumentas, interpretuotas ilgesniam istoriniam tarpsniui, neišvengiamai ima "trūkinėti", stokoti loginio nuoseklumo ir virsti nesuvokiamu. (Prisiminkime H. H. Eggebrechto "pitagorinio tono" susidurimą su "jausmo fizika".) Kita vertus, medžiaginiai faktoriai neįmanoma deramai artikuliuoti ir komponavimo laikmečių. Tokie faktoriai, regis, pernelyg inertiški šiai rolei. (Ypač akivaizdus šiuo atžvilgiu J. Cholopovo išmėgintas obertonikos argumentas.)

Dalis mokslininkų, žvelgdami per medžiagos prizmę ir atradimai tam tikras skambesio konstantas, be to, bandė paaiškinti muzikos istorijos vieningumą, nekintamumą. Tai ir Bekkerio mechaniniai ir organiniai muzikos genotipai, ir H. H. Eggebrechto pitagorinio tono sugrįžimai ir pan. Visgi šie mokslininkai, manytume, nesusimąstė, kad pats medžiagos sukūrimas, jos formulavimas ar netgi sintezavimas taip pat yra kūrybinis principas, kuris neišvengiamai kinta. Tad jų siekiai, regis, susikirto su imanentine muzikos komponavimo logika ir jos istorija. Perinterpretuodami tonalius elementus, koncepcijų autoriai menkai paisė fakto, kad medžiaginiai muzikos elementai glaudžiausiu būdu susiję su jų funkcionavimo būdu. Būtent medžiagos funkcionavimo būdas pirmiausia ir leidžia suvokti atskiros epochos būdingus skambesio elementus. (Akivaizdumo dėlei palyginkime tonacinės ir modalines tercines vertikalių struktūras. Vienos jų turi pagrindinį toną, kitos ne.) Nepakankamas šios aplinkybės paisyimas koncepcijų autoriams neleido apčiuopti esminių vieną ar kitą muzikos laikmetį reprezentuojančių komponavimo principų. Vadinasi, mokslininkai ėmėsi kurti savo koncepcijas nuodugniau neapsvarstę, kas yra laikytina esmingiausiu komponavimo faktoriumi, kuriuo remiantis būtų galima nuosekliai pagrįsti muzikos istoriją. Kaip tik tai ir sudaro ryškiausią XX a. muzikos istorinių koncepcijų trūkumą.

Nors ir būdami netikslūs ir neretai rimtai apsirikdami, koncepcijų autoriai taip pat apčiuopdavo ir tam tikras muzikos evoliucinės raidos tikimybes. Pavyzdžiui, dalis autorių nedviprasmiškai nujautė muzikos kūrinio ir istorinės sklaidos sąsają. Kai kurie jų net manė, kad muzikos istorija panašiai kaip kūrinys prasideda garsu. Tad šie autoriai minėtą sąsają siekė pagrįsti analogijos būdu, pasiremdami ar tai klasikinio melodinio periodo dvejybiškumu (H. Mersmann), ar ritmo stiliais (W. Gurlitt) ir pan. Lygindami tonalios muzikos struktūras su sunkiai aprėpiama muzikos istorijos visuma, autoriai neįsivaizdavo, kad klasikinis tonaliosios muzikos kūrinys nėra jokia istorinės architektūros analogija, bent jau niekaip neįrodoma tokiu būdu. Galima suabejoti ir mokslingumo prielaidomis. Antai teigiama, kad garsas – tiek kūrinio, tiek istorijos pradžia (H. Mersmann). Visgi akivaizdu, kad muzikos pradžios siejimas su "kažkuo" (ritmu, tonu, triukšmu ir pan.), patenka į ydingų klausimų ratą, tokių kaip iš kur atsirado muzika, menas, žmogus, kada bus pasaulio pabaiga ir pan.

Todėl atitinkamų koncepcijų autoriai mažų mažiausiai pademonstravo savo bandymų nevaisingumą ir žymia dalimi diskreditavo pačią sąsajos idėją. Ypač pažymėtinas šiuo atžvilgiu J. Cholopovo izomorfinis – obertoninis kūrinio ir muzikos istorijos sąsajos variantas, prilygstas biblijiniam mitui.

Kiek kitaip į muzikos istorijos ir kūrinio sąsają pažvelgė C. Dahlhausas, pabandęs išsiveržti iš hipnotizuojančio tonaliosios muzikos stereotipo. Istorikas sutelkia dėmesį į muzikos sąmonę. Jo nuomone, tam tikras istorinis muzikinės sąmonės būvis leidžia spręsti apie adekvačius muzikos kūrinių tipus. Visgi C. Dahlhausas nuodugniau nepaaiškino, kokiu būdu muzikos sąmonė determinuoja muzikos kūrinių, kaip veikia šis mechanizmas, tad jo a priori nusakomas muzikinės sąmonės ir kūrinio ryšys netrukus patenka į akligatvį. Pagal mokslininko koncepcijos logiką, kūrinių tipai keičia vieni kitus be jokios paveiklos vieni kitiems. O muzikinė sąmonė kažkuriuo laikotarpiu gali pavirsti nežinia kuo.

Eklektiniai muzikos istorijos ir kūrinio sąsajos variantai (C. Dahlhausas, J. Cholopovas) nuošalyje palieka pačius komponavimo principus. Todėl suprantama, kad autoriams keblu tinkamai išspręsti minėtas problemas.

Na, o koks gi XX a. muzikos istorijos koncepcijų pozityvusis aspektas, ar jis pakankamai akivaizdus?

Manytume, didžiausia XX a. muzikos istorijos koncepcijų teigiamybė yra ta, kad jų autoriai apibendrintai interpretuodami įvairius komponavimo faktorius ir šitokiu būdu conceptualiai suaktualindami muzikos komponavimo prigimties atskleidimo klausimus, priartėja prie centrinių problemų, tokių kaip – komponavimo principas, komponavimo epochos ir kompozicijos determinantės ir pan.

## Do National Schools of Musicologists Exist?

The question posed by the title of this paper is elaborated here from the aspect of the relationship between traditional and contemporary considerations of the phenomenon of national schools of musicologists.<sup>1</sup> Our aim is to reconsider the traditional concept of national schools of musicologists in the current postmodern compositional and musicological environment. At the same time, we propose that a new, general way of expounding the concept be introduced.

In contrast to the phenomenon of national schools of composers, which has been extensively examined in the musicological literature, that of national schools of musicologists as a particular phenomenon has been theoretically insufficiently explored. Hence, an initial question can be raised, whether national schools of musicologists constitute a particular phenomenon at all. If they do, how can these be identified - according to which criteria - especially in the conditions that have marked the period since the postmodern change in opinions, attitudes and methods in art, science and life in general.

The first and simplest step in addressing this question is to assume that the basic common feature of the musicologists of a national school is **belonging to the same national environment**, which in many cases also includes **belonging to the same geopolitical context**. At least this was so during the time of romanticism, and domination of the romantic idea of equating state and nation being synonymous. In the course of further historical development, however, the relationship between the notions of state, nation and people as well, has been conceptually and practically quite "mobile". So, especially since the beginning of the postmodern era this relationship has changed considerably, with geopolitical features acquiring greater emphasis than ethnic ones.

Here I refer primarily to the fact that musicologists who work in the same region, let us assume in the same country, formally represent the region. They represent it firstly as a geopolitical unit, and only as an extension as a national one; but national in a rather unspecified, general sense. It is so because the postmodern consciousness considers national determinants more in the sense of an ethnic composite within certain administrative borders, more in the sense of a collective rather than a metaethnic phenomenon. In other words, postmodernism does not tolerate metanarratives, and does not favour them in the sphere of the national, either. And this, in spite of a dangerous strengthening of rightwing movements in many parts of the world today, which tend to establish and develop deeply regressive ideas in this sphere.

Practically, therefore, musicologists who belong to a certain region act "on behalf" of the region, simply because they are necessarily affected by its general geographical and political determinants. This means that they are always experiencing the "destiny" of political perception and position of their country, personally encountering either advantages or problems and difficulties that originate from this perception.

So, for example, we can claim that musicologists living and professionally engaged in Serbia (or any other country), represent Serbian (or any other country's) "national" musicology. In principle, this is so, no matter what political and historical circumstances prevail in the country, more exactly, no matter how close or how distant a musicologist is to or from the official attitudes of his government, no matter whether he accepts or opposes these attitudes.

And yet, today this general determinant of national schools of musicologists is not as "mechanical" as it might seem. Beneath its formal surface, which provides the basic "sign" of a general national affiliation, the criterion of belonging to the same geopolitical sphere implies a plethora of other issues as well. Among them is, as the most natural, that musicologists are necessarily subject to influences of the whole system of life and culture of the region where they have grown up and where they live. As any other person belonging to any country and any society, a musicologist also experiences, to a greater or lesser degree, adaptation of his innate psychological, social and aesthetic features through influences of his society. In principle, these do not change even if the musicologist lives and works in an environment in which he neither grew up nor was

educated in. Surrounded by new conditions, he is inevitably influenced by them, but also influences them at the same time.

What this means is that a musicologist who is more or less integrated into geopolitical and cultural circumstances around him, is not in fact their representative from only a purely formal point of view, but also, to some extent, he unavoidably advocates at least the fundamental, common axiological hierarchy of his environment.

However, what then constitutes the national in this kind of nationality that, as we have stressed, clearly derives from the *bureaucratic* national origin of musicologists?

To answer this question we must recognize that having a **common bureaucratic** national "identity card" does not automatically imply a **common musicological** national "identity card": musicologists may have no sense of belonging together professionally, even though they are the members of the same guild. What differentiates them among themselves but thereby also unites them can be considered from one crucial aspect from which all others are generated. This aspect is historically firmly rooted, and refers to a **dependence of national schools of musicologists on national schools of composers**. This dependence arises from the tendencies common to all political and cultural endeavours of a country, especially during the development of the romantic idea of national schools. According to this idea, not only were the political but also the artistic and, in general, the cultural identities and integrity of a country expected to be established and affirmed.

As for musicologists, this meant dealing with the whole range of composers' poetics that relied on the conscious, intentional and consistent artistic use by composers of the folklore material of their nation. Being engaged in promoting the same idea from their specific analytical and theoretical points of view, musicologists dealt with the complex issues of the ways of forming and affirming national schools in music. Quite naturally, they were occupied predominantly with the national school of music of their own country. For example, they strived for explanations of the phenomenon of the national school in itself, for collecting and analyzing the indigenous music of their country, for examining processes and methods of compositional treatment of this music regarding general characteristics as well as particular procedures applied by the individual composers, etc. In this way, directly or indirectly, the activity of musicologists was characterized by common national features, at least from the **thematic point of view**.

At the same time, their activity was characterized by a **specific methodology**, which arose from the fact that each problem circle in composing necessarily demands musicological approach that best expounds this circle. This means that a particular problem circle considerably shapes the ways in which musicologists treat the subject at issue. Thus, musicologists who have investigated the field of artistic use of music folklore have inevitably established a recognizable methodology.

Generally speaking, this methodology relies on a consideration of the full spectrum of impacts of specific folk material applied in a composition on the features of this composition: on the structure of its melodic-rhythmic contents, characteristics of its harmony, texture, formal shaping; on scoring and practice of performing, treatment of instruments and voice, particular solutions in the field of orchestration; style and compositional aesthetics, etc. However, these methods can be efficient only where a composition is, essentially, structurally affected by folklore materials. It cannot be productive when applied to a composition where folklore acts "on the surface", that is, far from the principles of national schools. This means that a musicological approach to, let us say, the works of Haydn and his use of folk melodies, will differ crucially from an approach to the works of Musorgsky or Bartók for example. It is necessary and important that a chosen methodology be adequate sufficient to reach the core of the matter.

Being able to function in this way, to scrutinize the matter analytically and theoretically in various dimensions, such an approach actually implies a certain "transposition" and expression of compositional principles to musicological principles of utterance. The foundations of the utterance itself lie in the logic and vocabulary of a musicologist's national language, which is why we suggest that the concept of national schools of musicologists, established in romanticism, began in the context of the language and since then have been materialized in the context of the language. But, until postmodernity, the relationship of the language to the music reality examined by the language was traditionally considered, in principle, as a

“realist text” which captured the true nature of this reality. Hence, this relationship was accepted as reliable, in fact, as an embodiment of a holistic cultural construct.

In other words, for musicologists of pre-postmodern times **being-in-the-language** meant the adherence to an overall, more or less comprehensive and totalizing hierarchical system. Having acted within it, that is, gathered around “the truth”, musicologists formed their own “school units” characterized by methodologically and nationally prevalent traits.

But a question arises at this point, whether a national school of musicologists can exist even though investigated music lacks national traits. In other words, can a musicologist who deals with avant-garde music be considered a representative of a national school?

Our answer is in the affirmative, despite the fact that such a “national school” quite clearly encounters subject matter that is more “universal” than national. This is naturally due to the exclusive, totalizing and esoteric character of the avant-garde, more precisely, to its ideas and dreams of a “universal utopia”. Besides, as we have stressed, every music phenomenon requires an appropriate scientific approach, as indeed does avant-garde music. It has, in fact, generated unique methods of analytical and theoretical elaborations, which yield results only when applied in the sphere of avant-garde achievements, methods which are undoubtedly far removed from those defining *national* musicological procedures.

So, what then is national in musicology that examines the avant-garde “universalism”?

Although it might sound rather surprising, we would claim that, to a certain degree, it is exactly this “universalism” itself. More accurately, what characterizes the national in this context are the ways and forms of the acceptance of this universalism in different geopolitical and cultural surroundings. This acceptance is, in fact, the main and prevalent issue for those musicologists who “follow” the phenomenon of avant-garde music. Although applying specific analytical methods informed by the very substance of avant-garde music itself, musicologists have mostly treated avant-garde endeavours and procedures from the aspect of artistic influences and impacts of these procedures on particular music environments. In this way, the features of the national of a musicologist who explores the avant-garde ensue from a specific interchange between the “universal” and the local: between the universality of the “rules” of the avant-garde and explanations of the locality of their applications. It is exactly this stage of the problem sphere of the national in musicology that directly precedes the postmodern status of the same problem.<sup>2</sup>

And this in spite of the fact - as we have already emphasized - that postmodernity, in contrast to the avant-garde, has declined significantly in “master narratives”. Hence, instead of metanarratives, there are “narratives” in postmodernity; instead of an authoritatively unifying system there are “systems”; instead of a hierarchy there are “hierarchies”; instead of the truth there are “truths”... And instead of the national there are ethnicities.

So, rather than adhering to folk materials of one region, a postmodern composer<sup>3</sup> reaches for various contents of ethnic music from regions even far beyond the geographical borders within which he lives. Accessibility of these contents is decisively facilitated by the network communication, through which the composer easily can obtain any music particulars stored in a relevant database. All music facts (including folklore) are equally important constituents within an entire stored music collection. In the sense of this “neutralized” hierarchy and, in parallel, originating from all parts of the world, the supplied contents define the phenomenon of world music. That is why a composer’s interest in indigenous music is, actually, an interest in the contents of world music. This also means that a composer chooses, treats and elaborates folklore material from the same viewpoint as any other music materials. He combines all music particulars - including also those totally unrelated - entirely freely, meaning, according to his individual compositional plans regarding a particular work. The composer’s motivation is, therefore, determined by purely acoustic music reasons, and not by any intention to reflect the idea of a national school or revive a particular national school in any of traditional dimensions.<sup>4</sup> Therefore, we would claim that the traditional phenomenon of a national school of composers has been replaced, in postmodernity, by the concept of world music. Rather, in this paper, it would be better to say that it has been replaced by the notion of the **music of the global village**.

In such a compositional context, musicological **being-in-the-language** has also acquired a new dimension. On the one hand, it has dealt with the phenomenon of the global village, and on the other, it has exhibited an essential disbelief towards any unifying theoretical explanations.

In elaborating the question of a music global village, a postmodern musicologist enters, as a matter of fact, into the problem sphere of *music transculturality*.<sup>5</sup> In examining the issues of a global village, he deals with forms of music culture and concrete music matter, which are based on a high degree of "intersection" and interchange between the global and the particular, that is, between the cosmopolitan and the local. And the limitless ways and forms of this interchange are exactly what "deprives" musicologists of common national issues in their treatises, common in the sense of the problem vocabulary of a national school.

At the same time, the rejection by musicologists of any kind of total truth, their scepticism about it, has impelled them to act within decentralized systems in the search for meanings and truths. However, a postmodern musicologist knows that the right meaning and the real truth are never attainable. It is for this very reason that he applies his own analytical and theoretical constructs, his own scientific "plays", which are based on "readings" and "misreadings" of a certain piece of music, music problem, music in general, musicological treatise or standpoint... So, according to this typically postmodern relativism, especially that of the Derridians, reading is always already a misreading.

This is why musicological acting in the sense of **being-in-a-language** implies production of meanings that actually represent **individual musicological constructs** in the language. Hence, to understand the created constructs it is important to be able to relate to the system of logic on which they are based, a system that can have hardly any general ethnic feature.

In such a context, therefore, the traditional concept of national schools of musicologists is practically dismantled and transformed into a kind of creative, scientific, transcultural construct based on an endless chain of production and dissemination of meanings.<sup>6</sup>

### References

<sup>1</sup> The terms “national schools of musicologists” and “national schools in musicology” are used synonymously.

<sup>2</sup> Thereby, we must be aware that both conceptions of the national in musicology – its romantically established national school and the approach determined by avant-garde attitudes – have not disappeared and still exist, producing important scientific results.

<sup>3</sup> I refer here to a composer who does not simply live in the time of post-modernity, that is, after modernity, but composes within the framework of postmodernity as one specific artistic tendency in the post-modern time. (About the difference between “post-modernity” and “postmodernity” /written with hyphen and without it/, see in: Mirjana Veselinovic-Hofman, *Fragmente zur musikalischen Postmoderne*, Frankfurt am Main, Peter Lang Verlag, 2003)

<sup>4</sup> More about the treatment of folklore in postmodern music, see: Mirjana Veselinovic-Hofman, “Folklor u muzici postmoderne” (Folklore in Postmodern Music), in: *Folklor i njegova umetni-ka transpozicija* (Folklore and Its Artistic Transposition), Beograd, Fakultet muzi-ke umetnosti, 1989, 261-270, and from the same author: “The Folklore Sample and Its Relations With the Electronic Medium in Postmodern Music”, in: *Folklore and Its Artistic Transposition*, Belgrade, Faculty of Music, 1991, 463-489.

<sup>5</sup> I have introduced the notion of music transculturality as an analogue of the Wolfgang Welsch’s notion of transculturality, in my study “The Relationship Between Tradition and Culture – A sketch of a possible topography in postmodern music”, in: *Man and Music*, Belgrade, Faculty of Music, 2003, 563-572.

<sup>6</sup> This phenomenon has been dealt with more extensively in the already mentioned book *Fragmente...*

## Do National Schools of Musicologists Exist?

### Summary

It is not often nowadays that compositional and musicological fields of work are accorded equal status within theoretical thought. So, I was very optimistic when I noticed that such equality was implied by a sub theme of this conference, because I have always endorsed the thesis that musicology should be treated not only as a "service provider" for compositional activities and achievements, but also as the space of creativity in itself. Intentionally or unintentionally, the sub theme *National schools of composers and musicologists...* seems to suggest that both compositional and musicological professions will be handled at the same conceptual rank.

I aim to illustrate this equivalence of rank by pondering the notion of **national schools of musicologists**. I will start by assuming that the existence of these schools is possible, and that they are characterized not only by geographical / ethnic issues, but much more importantly by issues of scientific approach: common in their general methodological principles but original in their individual endeavours and results. During this inquiry I will also reach the point where the notions of **national schools in musicology** and **world musicology** will be introduced. By this, I will indicate the present status of musicology as a creative activity in itself, as well as a vision of its future within the phenomenon of current transculturality.

## Ar egzistuoja nacionalinės muzikologų mokyklos?

### Santrauka

Šiais laikais retai pasitaiko, kad teorinio apmąstymo atveju kompozicinės ir muzikologinės sritys įgautų lygiavertį statusą. Taigi, aš optimistiškai nusiteikiau, pastebėjusi, jog tokią lygybę numato šios konferencijos potėmė, kadangi visados tvirtinau, kad muzikologiją reikia interpretuoti ne tik kaip „paslaugos teikėją“ kompozicinei veiklai ir rezultatams, bet ir kaip kūrybinę erdvę savyje. Atsitiktinai ar ne potėmė „Nacionalinės kompozitorių mokyklos...“ tarsi siūlo, kad tiek kompozicinės, tiek ir muzikologinės profesijos bus nagrinėjamos tuo pačiu konceptualiuoju lygiu.

Aš norėčiau pailiustruoti šią kategorijos lygybę, apmąstant sąvoką „nacionalinės muzikologų mokyklos“. Pradėsiu nuo minties, kad tokios mokyklos gali egzistuoti ir kad jos yra apibūdinamos ne tik geografiniu / etniniu požiūriu, bet daug svarbesniu moksliniu pagrindu: joms yra būdingi bendri metodologiniai principai, tačiau jos yra savitos individualių pastangų ir rezultatų atžvilgiu. Čia taip pat pristatysiu sąvokas „nacionalinės muzikologinės mokyklos“ ir „pasaulinė muzikologija“. Pastarąją apibrėšiu dabartinį muzikologijos padėtį kaip kūrybinę veiklą savyje ir kaip jos ateities viziją dabartinės transkultūros aspektu.

**Muzikos komponavimo principai.  
Istorinės sklaidos aspektai**

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