THE KING'S UNIVERSITY COLLEGE

MUSI 495

SYSTEMATIC MUSICOLOGY

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CONTENTS

Preface

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PREFACE

Musicology is divided into Historic Musicology (Music History) and Systematic Musicology. Music History's focus is on the *development* of music, an effort to understand its origin and factors that are involved in this development, Systematic Musicology tries to understand and analyse music, its nature and various aspects. The division between the two is artificial to some extent and more a *method of understanding* than based on a clear separation. Music History is not possible without an understanding and analyses of music, which would highlight the *changes* taking place in time; Systematic Musicology cannot offer an understanding of Music without its history or *historic context*.

There are different approaches to both Music History and Systematic Musicology. They are invariably tied to the basic world-and-life-view of the scholar, which provides the framework within which the study and teaching will take place. This will become clear, not only in the opening chapter on a philosophy of music, but also in the ensuing chapters. My own understanding of music comes from a Christian, monistic view, which stresses the integrality of faith and learning (which is only one of many existing Christian approaches). This explains my teaching of Music History within a broader cultural context and the teaching of Systematic Musicology from a Christian model of understanding.

This textbook is a very basic attempt towards understanding of music and the various systematic disciplines involved. If it serves to whet the appetite for more in-depth study of any or all of the materials, it will have served its purpose.

My thanks to Naomi Voss, Administrative Assistant in Music, for typing sections of this work.

Jacobus Kloppers
May 2007, rev 2012

I. A PHILOSOPHY OF MUSIC WITHIN A CHRISTIAN WORLD- AND LIFE VIEW

1. INTRODUCTION:

The way in which music is described and defined, is determined by the world- and life view held by the one who is describing and defining it. This may not be part of a sophisticated philosophy, merely the way the person conceives or understand music, its nature, origin and its relation to other "things" in the world.

In attempting to describe and understand music, a number of issues will surface, such as

- Is music "autonomous", i.e. can it be only explained in terms of "music"; is it unrelated to other things or disciplines?
                or
    Is music "heteronomous", "dependent", explainable in terms of "non-musical" things, such as "feelings", "language" etc.?

- Do we divide music into two "things", e.g. "form" and "content" or "spirit" and "matter"?

Both these questions are "dualistic", i.e. seeing a dual nature to music.

For the Christian philosopher these questions can only be answered within the framework of a Christian world- and life view and there is more than one, e.g. a *dualistic* one and a *monistic* one.

The Christian dualist divides the world into (created) physical and metaphysical realms and describes humans as having a "soul" and "body"; the world, as having a physical nature or appearance against an invisible world of the "spirit"; music, as having a "form" and "content" or being an "incarnation" or "revelation" of the "spirit".

A Christian *monistic* view shies away from a dualistic division of the world and rather describes the world as God's creation with many *qualities, properties*, *aspects*. Any object in the world, i.e. a stone, tree, animal, human, music is seen a single object/thing with various qualities. These "qualities" include "religious", "emotional", "moral" and other qualities, which cannot be seen or explained in physical terms. The Dutch philosopher, Herman Dooyeweerd, developed a helpful model of understanding the world with its various qualities from a monistic viewpoint. A graphic layout of this model, together with my own application of this to music, is provided at the end of this chapter. Dooyeweerd sees the various "qualities" as *hierarchical*, i.e. linked in an order from the least complex to the most complex.

Not all Christians, who basically subscribe to this model, would agree in all detail. Some, such as Calvin Seerveld, would argue, for example, that the *aesthetic* quality should precede the *historic* (with which I agree); others would propose additional qualities such as the *technical"*, etc. The model enables us to understand the pitfalls of "dualism" but also of *reductionism*, in which the explanation of music and other objects is reduced to *one aspect/quality*.

Following the model is a short synopsis of the issues and answers, followed by a Faculty Colloquium paper, which addresses these issues in greater detail. This is followed by

1) examples of definitions of music through music history.
2) an assignment to illustrate that music cannot be described without using the language of other disciplines

2. SOME IDEAS ABOUT MUSIC AND THE STUDY OF MUSIC   [Synopsis]

•   In Dooyeweerd's model the various qualities of life are structured in a hierarchical fashion (see diagram with slightly altered order in which the aesthetic aspect precedes the historic). Music is not "independent from life" but an integral part of it. It displays the same qualities that all other created "objects" have, such as numerical, spatial, kinematic, energetic, biological, psychological, symbolic, logical, aesthetic, historic, social, economic, juridical, ethical and religious qualities or aspects.

•   These qualities were *created* and, though <u>connected</u>, they are <u>unique.</u> Thus, although e.g. the "living" aspect of plants and animals studied in Biology is connected to the elements and physical qualities studied in Physics and Chemistry, it is *more* than "fancy Chemistry". It is a created given. Although the physical state of humans can influence their moods and emotions and certain drugs may help in the treatment of humans with psychological disorders, Psychology is more than specialised Biology, it has something unique in the study of the psychical quality in humans and animals. [See also <u>Reductionism</u> below].

         The same applies to music: Although it displays all qualities in common with "non-musical" things, these qualities are used in a uniquely "musical" way: "Movement" in music, such as "contrary motion" or "parallel motion," happens in a *uniquely musical* way. Musical "language" is *similar* to but not *the same as* real language.

•   Music as a <u>discipline</u> is similarly not "independent" from other disciplines such as Maths, Biology, Psychology, Sociology, Linguistics, but use the qualities, which are studied in these disciplines, in a uniquely musical way.

•   Music History should not be taught as a history of something (music) *independent* from general or cultural history but should reflect human history in a uniquely *musical* way.

•   An important question arising from this model is: Where is the aspect of *time* in this? Time is *not an aspect*, but *functions in all the aspects mentioned. Each aspect uses time in its own unique way*: Music is based on time and any musician needs a solid understanding of time when performing; yet playing the time values in a score in an absolute, *mathematical* precise way, sounds *unmusical*. Similarly, *psychological time* is different from "real" time. The fact that time is at work in every aspect, illustrates also why Music History and Systematic Musicology can be distinguished, but never separated (see Preface).

•   We should describe music <u>not in terms of "form" and "content"</u> (as two "objects") but as

music with various qualities, e.g. logical, structural, emotional, religious etc. [This is similar to regarding a human being not as consisting of two objects ("body" and "soul") but as a being created by God and imbued with various qualities, from physical and emotional qualities (shared with all animals) to qualities such as the sense of beauty (aesthetic), morality (ethical) and religious].

The "form"-content"/"body-"soul" idea, which is very prevalent in ancient Greek writing, is dualistic in nature and confusing and lead to controversies such as the question: "Is the world to be seen as something purely matter or as something purely spiritual?". [Note: Part of the problem is the Greek custom to turn adjectives or adverbs into abstract nouns which in effect make them "things" or "objects", e.g. something "beautiful" has "beauty". In a similar way other qualities became nouns, such as "living" -> "life"; "dead"-> "death"; "structural"->"form"; "proud" -> "pride"; "hating"-> "hate"; "loving" ->"love"; "deceitful" ->"deceit"; "true"-> "truth.", etc. When the English poet Keats wrote "beauty is truth; truth, beauty", he merely wanted to state that what is portrayed by the artist should ring "true" (not "fake"), i.e. reflects life through keen observation, but that that portrayal should be in a way that is beautiful and enjoyable]

- Reductionism arises when something is described in terms of ("reduced to") one aspect only, e.g. if human history would be explained purely in terms of economic development to the exclusion of all other aspects; marriage defined purely in terms of physical attraction without other aspects such as emotional, ethical, social, religious; Theology described purely in terms of ethics, etc.

- Music does not exist in itself but is created by humans through the creative talents received from God, who has also created the elements needed for it, such as space and the physical laws that govern sound waves, materials to create musical instruments (raw or living, such as wood), the human physiological elements needed for performing and enjoying music (vocal chords, lungs, fingers, ears, etc.). As human beings created in God's image we have received the powers of logic, emotion, moral consciousness, faith, etc. (These abilities have to be *developed* and *nurtured;* they can also *decline* because of physical deterioration due to a stroke, old age or an accident). As we create music, it becomes an artistic way of perceiving the world and a means to express or evoke feelings, ideas, values.

- Music as a human art reflects, like the rest of the world, the elements of brokenness, suffering, but is also a powerful reflection of the transforming power of the Holy Spirit, for wholeness and celebration.

3. THE INTEGRALITY OF FAITH AND LEARNING

WITH REGARD TO MUSIC

J.J.K. Kloppers
T.K.U.C. Colloquium
Feb. 12, 1991

INTRODUCTION:

In this paper I intend to share with you my attempt to deal with the issue of integrality of faith and my discipline, which is music. It is not an account of a "triumphalist arrival at the mount of wisdom", with a handout of pet formulas and easy answers. Neither do I claim originality of idea when discussing possible solutions. I am indebted to others who have for a long time wrested with the faith-discipline integration issue on a much broader philosophical basis. They have provided insights and a philosophical framework, which I found helpful as a starting point. The actual working out and testing of these ideas in my discipline was something I had to do myself. There is no book or study known to me that addresses and applies these specific philosophical ideas and foundational issues from a Christian standpoint in music. An interesting, even fascinating side of this venture (to apply these ideas in music), was the discovery that problems always considered uniquely "musical" turned out to be philosophical ones that surface in probably every discipline with only different material or elements. I am not a trained philosopher (since Philosophy is not my field of specialisation) and much of what I will say today will be at a philosophically elementary, rather naive level. I will begin with some basic questions pertaining to the relation between faith and music, address some key issues in Musicology and their underlying assumptions and then relate my own experience in searching for solutions.

1. Questions, Issues:

A few of the issues I had to deal with are:
  a) General issues
- How does one's faith inform one's <u>understanding</u> of music and what is the role of <u>Scriptures</u> in this regard?

- What is the specific <u>academic</u> task of the Christian musician or musicologist? How does one's Christian discipleship impact on one's academic work? (It is certainly not a mere concentrating on "Christian" music, providing music for a congregation or focusing on Christian topics in music - as important as this may be. It is certainly more than approaching Musicology from a standpoint of Christian ethics with integrity, honesty, etc.)

- Somewhat related to this latter is the question: Does a Christian academic's task consist in being <u>merely</u> truthful in describing "objectively" musical phenomena, developing an "objective analytic method of music" (whatever that means), or should one be looking for a greater coherence in our created reality of which music merely forms a part - a kind of cosmology of understanding?

b) <u>Specific questions /problem areas in music</u> (examples)

- How does one define music from a Christian perspective? (Definitions of music have ranged from Music being audible numbers, feelings, remodelled language, social-economic product, an ethical force, to a "divine art")

- How did music originate and develop and how does this relate to a broader cultural history? Is its origin " divine" or "naturalistic"? Does it develop as a" maturing spirit" or as an "organism", through societal changes, etc.?

- How does music relate to other phenomena and how does the study of music relate to other disciplines?

- How does one resolve seemingly irreconcilable, opposite positions with regard to what music is, such as

    - "Music is matter" vs. "music is spirit"

    - "Music has a naturalistic origin" vs. " music is a window into a spiritual realm"

    - Music is "Form" <u>against</u> music is "content" (or music is "form" but can acquire a "content; <u>or</u>, there is music with "content" and music "without content", etc.)

    -"Sacred music" <u>against</u> "secular music"

    - Music regarded as an independent, "autonomous" art <u>versus</u> music as a "heteronomous" descriptive or expressive art?

- Related to this "autonomy"/"heteronomy" dichotomy is the question: How does one combine the concept of discipline uniqueness, integrity, with the notion of integrating, a holistic concept of academic enterprise? (What does music have that is distinctive about it and what does it share with other phenomena or disciplines?)

- Significant is the question: When do I deal with "parts", "elements" of music (which are "things", "objects") and when do I deal with "qualities, "properties"?

Without pre-empting the discussion on some of these matters which will follow, I would like to illustrate that the above views, definitions and irreconcilable opposite positions on music are not in the first place "disciplinary" issues (musical ones) but foundational, philosophical ones aggravated by an unhelpful linguistic heritage.

At the foundational level we deal with <u>dualism</u> and <u>reductionism.</u> A <u>dualistic premise</u> does not allow for synthesis or integration. (If one subscribes to a dualistic world view which separates <u>body</u> and "<u>soul</u>", the "secular" from the "<u>sacred</u>", etc., antithetical views like these cannot be resolved. The language used merely confirms their irreconcilability). A <u>reductionistic</u> view turns a confined approach to reality into <u>the</u> sole explanation of it and becomes therefore one-sided and slanted. (Music as merely, essentially "number' or "motion", "an organism", "feelings", "a kind of language", "a socio-economic product", etc.) This is not to be confused with specialisation which merely provides an in-depth view of a quality or aspect of music. At a <u>linguistic level,</u> we do not <u>only</u> deal with a dualistic terminology which does not allow for a synthesis integration when it uses terms such as "spirit"/ "matter", music as an "autonomous"/"heteronomous" art - despite efforts to provide a kind of musical *purgatorio* in this schism through terms such as "approximately autonomous". Of greater consequence is a linguistic heritage from Antiquity (especially the Greeks) that is in everyday language and in all disciplines but is totally misleading and confusing. It is the custom of turning adjectives and adverbs into abstract nouns, thereby changing qualities of things or of actions into things (or parts of things) themselves: "beautiful", "truthful", "living", "dead", "structural" and other qualities etc. become "beauty", "truth", "life", "death", "form", "content". Music, by definition, is consequently not regarded as an integrated object A with numerous interwoven qualities and properties but as a parcel X (form) with an object Y (content) inside - somewhat similar to viewing a person as having a <u>body</u> with a <u>soul</u> inside.

More about this latter.

2. <u>Scriptures, faith and music:</u>

What specific insights can be drawn from Scriptures regarding music? Basic information is almost non-existent. There is the reference to Cain's son, Jubal, as the "father of all that play instruments"; reference to songs and specific instruments that were used by the people of Israel (and modern translations are becoming a bit more accurate in the type of instruments mentioned, e.g. David's playing of the lyre); music in the temple service; psalms; references to the earth and a universe" singing the praises of God"; the angel choirs at Bethlehem; various canticles; the final raise to the Lamb of God in Revelation, but that is about it. Music's origin, elements, qualities and development are not touched upon at all. As in the case of most disciplines, we, as rational beings, as image bearers of God, have to explore and develop the musical potential locked up in creation, we have to try and discern the laws, structures inherent in our music making, becoming responsible co-creators in art, its technology etc. From Scriptures we can only draw the broader motifs, framework for understanding our world, i.e. Creation (also as ongoing process) - Fall - Redemption which have important implications for a philosophy of music. Music, like computers or electricity, was not given to us in ready-made form but as a tremendous *potential* to be *discovered*, developed and enjoyed. Like the other arts, it is *a way of perceiving the world*. As organised sound it reflects the effects of the Fall, of brokenness, suffering, discord, tension, but also the hope, healing, restoration of an unfolding Kingdom through Christ's redemptive work. The purpose of Christian music is not about harmony without dissonance or pain, an escape into a "spiritual, transcendental realm", but rooted in a reality that is God's world. A specific problem in using Scriptures is the attempt to read and understand it literally because of its linguistic, historic, cultural presentation in metaphors, allegories, imagery and the *conversion of qualities into things* earlier mentioned: Serving God with your "heart', "soul", "mind" and "body" are images used to indicate serving God with your *whole being to your full potential*. A literal reading lead to confusing dualistic concepts such as "matter/body" versus "soul", "nature" versus "grace", "secular" versus "sacred" etc.

3. <u>My own experience in struggling with these issues:</u>

In my undergraduate and graduate studies in South Africa I received little foundational guidance in Musicology. Although I studied at a Christian University (Potchefstroom) and all my tutors were Christians, very little was done on foundational issue in music, from a Christian perspective. Music, its theory and disciplines were taught straight and uncritically from textbooks found in every public university whose premise stem from a basic humanistic tradition. This approach was merely continued by my tutors in West Germany but with a stronger philosophical emphasis. The music faculty, which I dealt with there, were Christians (Lutherans or Catholics), but steeped in a basic humanistic tradition of learning, its terminology and methodology. The dualisms, which I referred to (form-content, sacred-secular) figured as problem areas in discussions and research - and were recognised as problematic. Solutions were not sought in an integrative model but in a *choice between opposites* or in *collapsing one opposite into the other*: Music is "spirit" <u>or</u> "matter", it is form <u>or</u> "content", it is "autonomous" <u>or</u> "heteronomous", etc. "Content" was e.g. explained by Friedrich Blume in terms of <u>form categories.</u> The definition of "form" was extended by him to become a musical structuring process of <u>selection, focusing</u> and <u>inspiration</u> ("Beseelung"). Others found the term "content" in music problematical and replaced it with "quality" which was much more helpful ("Inhalt" became "Gehalt") but it became a <u>quality</u> of "<u>form</u>". When I started teaching at Bloemfontein University in S.A. I taught in the tradition in which I was trained, a basic humanistic, dualistic one. The seemingly dualistic language of Scriptures (soul, body, etc.) did not clarify these issues. Through dialogue with some of my musicology students who were also majoring in Philosophy at the university, as well as other colleagues, I became aware of and interested in the Kuyperian-Dooyeweerdian philosophical approach, which I found very helpful. My knowledge of Dooyeweerd's philosophical model came mainly through secondary sources, is very basic with many gaps. I am also aware that this model is challenged in certain areas by Christian scholars and needs refinement and fleshing out in others, but it is an important beginning to attempt (towards) meaningful integration.

It may be argued by philosophers in the Anglo-Saxon analytic tradition that it is not the task of philosophers to build models of understanding in the way continental philosophers have attempted and that Philosophy is more a *method*, a *critical application of logic*, but I tend to disagree. Every scholar or scientist tries to discover coherence, structures, relationships in their field of study (molecular DNA structures; atomic structure, the Periodic Table, mapping the universe, musical forms; organisation design in fine arts, etc.). It is not clear why the philosopher should shy away from the challenge to make sense of our total reality through constructing cosmological models, no matter how imperfect.

4. The Kuyperian/Dooyeweerdian Model

* Herman Dooyeweerd, *A New Critique of Theoretical Thought";* Phillipsburg NJ: Presbyterian & Reformed Publication Co., 1953

(See chart, slightly altered in hierarchical order)

What I found helpful in this model of understanding reality are the following (at least the reality of my understanding of this model).

4.1. It seeks *coherence*, *integrality* in the various aspects, qualities, " modalities", properties of the reality in which we live, qualities that range from the numerical to the faith aspect.

4.2. It sees a *distinctiveness*, *uniqueness*, integrity *in each of the qualities* without negating their *inter-relatedness*, interdependence and referential nature. Uniqueness and reference are key words. Example: Music as one of the arts, a predominantly <u>aesthetic phenomenon</u>, has its reference to language (the <u>symbolic</u> mode), but the language of music (its musical idioms, rhetoric, articulation, gestures and symbols, punctuation and many other references to - and analogies to - language and rhetoric) is a unique <u>musical language and</u> there are elements of spoken and written language, figures of speech which cannot be translated into music.

4.3. It sees a certain *hierarchy* of increasing complexity in these qualities, modalities: (space involves number but transcends it; movement, space, etc). They range from the numerical, which cannot be broken down into less complex qualities to that of faith. Faith refers to the full realm of human experience but also alludes to what transcends human understanding or capabilities.

4.4. This order of aspects/qualities does not contradict a *biblical view of the created order*: inanimate objects, plants, animals, finally human beings endowed with rational power and religious consciousness as image bearers of God.

4.5. The model shows a certain *similarity to an established empirical academic approach* to learning in which the study of these various aspects, qualities of reality has crystallised in empirical disciplines, (and sub-disciplines). Grouping of disciplines lead to faculties (Natural Sciences), (Humanities and Social Sciences).

4.6. The above-mentioned uniqueness and referential character of each mode, quality ("sphere sovereignty") give each corresponding discipline its <u>integrity</u>, which carries with it specific <u>limitations</u> as well, but also cross-referencing ("anticipations", "retrocipations"). It implies that Biology cannot be explained merely in terms of Chemistry, Psychology in terms of Biology, etc. yet their inter-dependence is undeniable. Since each quality is a unique created given that cannot be experienced merely in terms of the less complex aspect, *a continuous linear approach of developmen*t as found in a naturalistic <u>evolutionism</u> *without God's creating hand* is challenged. ("Life" is more than fancy chemistry - it is a created given; the psychical and self-awareness of animals and humans cannot be explained merely in biotic terms; the linguistic, historic, aesthetic, social, judicial, ethical and faith qualities of human life cannot be explained <u>merely</u> in terms of the <u>psychical</u> qualities shared with the animal world). Yet it allows for evolution and change, adaptation within the various species itself. God creates through evolving processes.

4.7 It distinguishes between qualities of an *objective* and *subjective* kind: As <u>subjects,</u> inanimate things do not possess qualities of living things (to reproduce themselves), plants do not" feel", animals lack *specific* rational qualities of human beings, yet viewed as <u>objects</u> they reflect these qualities. Example: Water has a biotic quality, (function) it has an aesthetic, social, economic, faith (baptism) etc. aspect; animals are objects with a social aspect (wedding contract e.g. Africa), with aesthetic, religious (e.g. for sacrifice,) qualities.

4.8. The model helps to clarify the distinction between "things" and "their qualities"
-      <u>Number</u> is not a "thing", but a quality of something
-      <u>Beauty</u> is not a "thing", but a quality of something
-      <u>Truth</u> is not a "thing", but a quality of human action

- <u>Form</u> is not a "thing", a kind of external frame, but the logical, coherent quality of something
- <u>Content</u> is a misnomer (only useful when you have one <u>object</u> inside another). "Content" in music is *a quality* <u>or</u> *qualities* which have to be more closely described; psychological quality, symbolic, aesthetic, etc.

4.9. The distinction is made between *disciplines*, each of which focuses on one aspect of reality, versus realms of study that look at the *total realm of aspects as <u>total sciences</u>* (e.g. Philosophy, History, as the learning side of totality/search for knowledge), but also Pedagogy (as the teaching side of totality/imparting of knowledge - see Core subjects at this institution). The justification of distinguishing "core" subjects from "distribution" rests on this understanding of *totality* against *single aspect*.

4.10. The *danger of <u>reduction</u>*, when reality becomes explained in terms of one aspect only, especially a less complex one, is clear from this model.

4.11.   The model may have flaws, especially in terms of the number and order aspects in the human realm, but it is an important starting point. (Positivists would reverse the placement of faith and logic) in terms of human development; Calvin Seerveld places the <u>aesthetic lower</u> along the scale as a <u>very basic human ability</u> (a view I agree with and applied in the chart).

5.   <u>The Application of this model in Music</u>

In the right-hand column of this chart I have applied this model to music. It illustrates how music refers to every aspect of reality - even if some terms are borrowed metaphors. (Music is in many ways a unique form of metaphor). Music as a discipline has an inter-disciplinary character, with sub-disciplines focusing on specific qualities, (<u>see special chart).</u> Specialisation in music is necessary without reverting to <u>reductionism</u>. Reductionistic studies and definitions abound which try to describe or define music in terms of one aspect only: Music is number/ or <u>language</u> / or <u>feelings</u> or <u>ethics</u> etc. (See <u>Definitions of Music</u>, following).

Music does not consist in <u>form</u> and <u>content</u> but is an object that consists of successive <u>sound waves</u> created and organised by human beings in a specific way and for a specific purpose. It is naturally not an <u>object</u> like a ready-made product, but more like a creative event that may differ from one performance to the way it has specific qualities. *All music reflects these various aspects but not always to the same degree of prominence.* There is music created explicitly for organised <u>worship</u>, others for <u>advertising</u>, others serve to <u>comfort,</u> others have a <u>rhetorical</u> slant, others are mathematical and abstract, others written for <u>dancing,</u> others for a predominantly <u>aesthetic</u> purpose (e.g. Strauss waltz versus Chopin waltz). Music is not an "<u>autonomous</u>" art in the sense that it is "independent" from life and it should not be taught in <u>isolation</u>. It is part of the wide cultural and natural science dimension and refers to it. *It is a way of perceiving life, alluding to it in a <u>unique</u> way. In this sense music is a singular metaphor of aspects /qualities it <u>shares</u> with the rest of <u>creation.</u>* This gives music its <u>distinctiveness</u>, uniqueness, integrity, which disqualifies the term <u>heteronomy,</u> which is too extreme, and which suggests a totally dependent art. I also firmly believe that music with all its disciplines should be taught in an integrative manner though in specialised fields, such as applied music, theory, musicology, etc.

Concerning the <u>sacred/secular issue</u> in music: All of life, including music, has a faith aspect to it. As God's domain, all music is in a sense "religious" (which is not the same as saying that all

music is church music or written to glorify God). The terms "sacred" and "secular" are dualistic Concerning the sacred/secular issue in music: All of life, including music, has a faith aspect to it. As God's domain, all music is in a sense "religious" (which is not the same as saying that all music is church music or written to glorify God). The terms "sacred" and "secular" are dualistic and confusing. We can however, use terms which describes music functionally, e.g. church music, liturgical music for the Christian church or Jewish Synagogue, military music, love songs, cheer-leading music, chamber music.

IN CONCLUSION:

There are many other topics in music which we could still touch upon from the point of faith e.g. the creative, interpretative (re-creative) aspect involved in performance as well as the receptive one (aural) in an audience). One could dwell on ethical problems for the Christian artist etc. e.g. identification with the moral intent of the work performed, but the above topics and observations may perhaps suffice for a discussion at this point.

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Author's notes (2013):

1. The question of evolution versus creation:

I firmly believe that God creates through *processes*. A simply illustration is the fact that each human being is a unique creation and yet he/she carries the genes, DNA of their parents and ancestors. Human DNA is 99% similar to that of the higher ape species.

The Dooyeweerdian chart seems to suggest that each mode is unique (though it retricopates to the less complex modes) and that no transition between the different modes/qualities is possible (though there is already some anticipation of the higher mode). Many followers of Dooyeweerd belief this. Yet I believe that each new, unique, more complex mode/quality is neither created by God *from nothing*, neither is it an act of a *blind, natural evolution*. It is a creative act of God *through the process of evolution.*

Whereas the chart also seems to suggest that there is an absolute limitation to the *subject-*qualities or abilities of each created kind (inorganic, biological, zoological and human), modern science has shown that there is a far greater anticipatory process than earlier believed.

2. The question of "time"

Time is active and expressed uniquely in each mode. It is not absolute but can be "bend" in the theory of Relativity. Mathematical time is also not the same as e.g. psychological time. If Music is played mathematically, it is regarded as "unmusical".

When music is studied through the lens of time, it is Historic Musicology or Music History. When studied through the lens of the various modes, it is Systematic Musicology.

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ADDENDUM : Adjusted Dooyeweerdian chart of aspects/modes/qualities and its application in Music (J. Kloppers, 2012)

Note: Philosopy, History, Education are *total* sciences

(<u>Note</u>: Each discipline has its own history, philosophy and pedagogy)

ASPECTS	DISCIPLINE	REFERENCE	MUSICAL TERMS, TOPICS, OR METAPHORS (EXAMPLES)
FAITH	THEOLOGY	Qualities of Human World (human beings) as **subjects**	--Faith values reflected in music (e.g. grounded-ness); cultic music, church music, liturgical music, gospel music; Praise and Worship music
ETHICAL	ETHICS		--moral ideas, values, expressed through music *contextually* (esp. textual music); plagiarism and parody; artistic integrity; moral influence of music; "consolation"; "truth" vs. "beauty"
JURIDICAL	LAW		--Musical critique, judgement; bias, preferences; "fair" interpretation of the composer's wishes; (performance); music errors through "misjudgement"; performing and copy rights
ECONOMIC	ECONOMICS, BUSINESS		--Economic conditioning of music (written on demand); music as advertising tool; "poor quality"; "cheapening" effect; musical "production"
SOCIAL	SOCIOLOGY/POLITICAL SCIENCE, PEDAGOGY OF INDIVIDUAL DISCIPLINES		--Social function of m.; musical communication, alienation; ensemble, accompaniment; "sympathetic" or "empathetic" rendering; equality of themes, parts, etc.; "familiarity" of style; ethnic/national m.; m. education
HISTORIC	HISTORY OF INDIVIDUAL DISCIPLINES		-- Music as a "memory construct"; conventional or contemporary style; historic idioms, mediums, genres; playing "from memory"; re-occurrence of themes, recapitulation; recorded music; history of music; historiography of music
AESTHETIC	ARTS (fine arts, performing arts, literature) AESTHETICS		--"Enjoyable" quality; "beauty" in music, aesthetic merit, harmony, dis-chord, unity of concept, etc. (dependent on the manner in which other aspects are integrated)
LOGICAL	LOGIC/PHILOSOPHY OF INDIVIDUAL DISCIPLINES		--Logical construction, coherence, continuity, unity; synthesis, contrasts, development, disintegration; discontinuity (ellipsis); interrupted cadence; musical analysis; humour (based on paradox)
SYMBOLIC	LINGUISTICS, HERME-NEUTICS, PALE0-GRAPHY, SEMIOTICS		--Musical idiom, language, symbol, diction, interpretation, articulation, gesture, recitative, sentence, phrase, notation; "convincing" performance; "eloquent" motifs; responsorial style
PSYCHICAL	PSYCHOLOGY, NEUROLOGY	Qualities of Zoological World (animals) as **subjects**	--"Exciting" performance; creation of moods, tension, psycho-dynamic unity; climax, sensitivity, emotional involvement; individualistic approach, personal style; musical therapy
BIOTIC	BIOLOGY	Qualities of Biological World (plants) as **subjects**	--Musical pulse in music; vitality of playing; breathing (singing); technique of singing or playing (action of vocal chords, fingers, membranes); rests, aural skills; dance
ENERGETIC	CHEMISTRY, PHYSICS	Qualities of Inorganic World (Inanimate world) as subjects inorganic, inanimate world as **subjects**	--Dynamics, balance, *sforzando*; powerful, energetic playing; passiveness; conflict; "coldness" or "warmth" of tone; accelerando, diminuendo
KINEMATIC	KINEMATICS, APPLIED MATHS		--Movement (slow, fast, moderate), *accelerando*, *ritenuto*; contrary or parallel motion; imitation; sound vibration; a "moving" performance; "static" playing; gestures
SPATIAL	MATHS: GEOMETRY, TRIGONOMETRY		--Pitch ("high", "low"), "depth" of sound, "shallow" tone or effect; a "great" performance; "thin" or a too "thick" sound; a too "confined" approach; expansion; augmentation
NUMERICAL	MATHS: ARITHMETIC, ALGEGRA		--Number of notes, motifs, movements, instruments, vibrations; note length (whole-, half-notes, etc.); time-signature (e.g. 3/4); intervals (unison, 5th, etc.); dialogue; "unity"; polyphony, trio; 12-t.- or pentatonic music

Left margin (rotated): **Qualities of the total reality (Inorganic, biological, zoological, and human world) as objects**

Right margin (rotated):
NORMS (of culture)
Social Sciences and Humanities

LAWS (of nature)
Natural Sciences

4. DEFINITIONS OF MUSIC THROUGH THE AGES

(selection)

Antiquity: Early Christian and Medieval Period:
(Music as a mathematical/science of measurement)

Ptolemy (2nd century): "Music is the ability to distinguish between notes, high and low".

Quintilian (1st century): "Music is the science of *melos* and that which belongs to *melos"*.

Augustine: "Music is the science of good melody/ measurement." (Note: the word "modulandi" stems from "modus" which means "melody" or "measure", "number").

Boethius (6th century): "Music is the ability to distinguish between high and low notes in a sensory and rational way". (Study of music involves therefore both the sensual perception of music and the rational calculation of it.)

These definitions remained unchallenged until the times of Rationalism and Enlightenment.

Early Rationalism and Enlightenment:

Leibniz: "Music is the hidden, unconscious art of number-calculation of the human spirit ". (Note: Numerical view of music with a shift of emphasis to the human spirit with calculation as unconscious exercise).

Mattheson (18th century): "Music is a science and art, of producing appropriate and pleasant sounds in a clever way, connecting them correctly, performing them in a lovely manner with the purpose of glorifying God and promoting human virtues by means of its good sound quality".

Romantic definitions:

Sulzer: "Music is a sequence of tones, a result of passionate feeling and an attempt to paint this condition" (sensualistic view).

Michaelis: "Music is the art of stirring feelings through various combinations of tones, of stimulating the fantasy and focusing the mind on the idea of the beautiful and the noble."

Koch: "Music is the art of expressing feelings by means of tones."

Liszt: "Music is an incarnation of the artist's feelings" (idealistic-sensualistic approach).

Herder: "Music is the revelation of the invisible" (idealistic view).

Shelling: "Music is expression of the infinite" (idealistic view).

Hanslick: "Music is sonorous, moving form" (definition in the wake of the form – content controversy).

20ty Century:

Ernst Kurth: "Music is an explosive radiation (*emporgeschleuderte Ausstrahlung*) of very powerful, basic processes whose forces are situated in the inaudible. That, which is usually described as music, is in reality only its fading away. Music is a natural force in us, a dynamic of willpower."

Schoenberg: "Art (including music) is at its most primitive level simply imitation. Soon, however, it becomes imitation of nature in a wider sense, namely no only imitation of the external, but also the internal nature. In other words: it represents, not only objects or causes which impress, but first of all these impressions self. At the highest level, it occupies itself with a reflection of the inner nature; the imitation only of impressions which become new complexes and movements by means of their mutual associations and combinations with other sensory impressions."

Stravinsky: "I am of the opinion that music is in its nature incapable to 'express' something, whatever it may be, a feeling, and attitude, a psychological condition, a phenomenon of nature, etc. The expression has never been an immanent quality of music and under no condition is the justification of it existence dependent on "expression. When music seems to express something, it is an illusion and not reality. The phenomenon of music is given to us with the single purpose to create internal order, especially between man and time" (music as abstract art).

[Note: Stravinsky later distanced himself from this statement, which had been a reflection of the anti-Romantic, anti-feelings sentiments of the time.]

5. ASSIGNMENT:

1) Analyse the following music concert review in terms of the various aspects referred to (numerical, spatial, etc.):

> "The climax of this fund-raising concert was supposed to be a piano solo by X, who grew up in this city and has just returned from a short European study tour. This much-advertised highlight turned out to be a rather individualistic, (for me) disturbing performance of Mozart's Piano Sonata in B-flat. It can be hardly said that the pianist tried to do justice to Mozart's idiom or that he showed any understanding of the spirit of the work. His intention was evidently to display a fair degree of finger ability acquired since his last concert here. In this he succeeded, but his playing hardly concealed finer technical flaws and serious artistic shortcomings. External showmanship abounded, coupled with an air of over-confidence, over-application of the pedal and irritating little gestures and mannerisms. The Sonata became sadly distorted by a total lack of Classic restraint, its noble simplicity disregarded for a pretentious to-do. The tone in the fast movements was crude, insensitive, lacking in depth and *cantabile*. The subtle dynamic confines were disregarded and the general range was expanded to bombastic, explosive *fortissimo* or feeble, lack-lustre *pianissimo*. The tempi were equally ill-chosen. The fast movements were too hasty; the slow movement, tediously dragging. In the latter movement the other indications were not followed, with the delicate expression of melancholy cheapened to plump melodrama. The thick, sensuous tone quality was more reminiscent of a sentimental operetta. The fine eloquence of the third movement was lost due to a lack of proper articulation and phrasing, the overall unity and structural coherence of the Sonata obscured by haste, ill-justified *rubati* and too dramatic contrasts. It was a sad caricature of a great work. This did not seem to upset the enthusiastic audience, however, who proudly gave their artistic son a standing ovation."

2)   The critic's summary of the audience response to the performance can be described in terms of *two aspects*. Name them.

II. <u>THE VARIOUS ASPECTS OF MUSIC: MUSICOLOGY AND ITS DISCIPLINES</u>

The study of music from various angles (dealing with one or more aspects at a time) has crystallized in various subdivisions or "disciplines" of Musicology (= the Science of Music): Music Theory (based on numerical and spatial concepts, e.g. intervals, note values, scales, keys, etc.); Physical Acoustics (number, space, movement, energy); Physiological acoustics (number, space., …, life, e.g. the human ear and the physical process of hearing); Performing Techniques (number, space, … life, e.g. the use of finger muscles, vocal chords, breathing techniques, embouchure, tonguing); Psychology of Music (psychical aspect); Musical Rhetoric, Interpretation of Music, Musical Symbolism, and Paleography of Music (symbolic aspect); Music History (historic "aspect"); Sociology of Music, and Comparative Musicology (social aspect); Harmony, Counterpoint, Composition, and Aesthetics of Music (aesthetic aspect); Ethics of Music (ethical aspect); Church Music, Hymnology, Organology, and Liturgics of Music (faith aspect).

Subjects such as Philosophy of Music and Musical Education (Pedagogy) are "totality" subjects dealing with all the aspects. Some aspects are not yet developed into an established discipline of Musicology, e.g. Economics and Law. The relation between Music and Economy is usually dealt with in Sociology of Music; the juridical features in musical journalism and critique, matters such as performing – and copyright etc. A diagram on the next page illustrates these disciplines of Musicology within the philosophical model discussed.

A brief, introductory study of these disciplines of Musicology (ranging from basic acoustics to church music) – with the exception of Harmony and Aural Skills, which are covered in separate courses - will aid us in the comprehension of music, of the physical and psychical processes involved and the cultural function of music in the world.

THE DISCIPLINES OF MUSICOLOGY

QUALITY/ASPECT	MUSICOLOGICAL DISCIPLINES/FIELDS OF STUDY
FAITH	Hymnology; Liturgics; Church Music; Cultic music
ETHICAL	Musical Ethics
JURIDICAL	Musical Critique, Performing- and Copyright in Music
ECONOMIC	Monetary aspects of Composition and Performance; Music as Advertising
SOCIAL	Sociology of Music; Comparative Musicology/Ethno-Musicology; Musical Folklore; Music Education
HISTORIC	Music History; History of Musical Styles, Instruments, Genres, Structures, Composers; Historiography of Music
AESTHETIC	Aesthetics of Music; Composition; Harmony; Counterpoint
LOGICAL	Musical Form; Musical Analysis (Functional- or Schenkerian Analysis; Set Theory); Philosophy of Music
SYMBOLIC	Musical Interpretation; Musical Rhetoric and Symbolism; Musical Semiotics; Paleography of Music, Bibliography of Music
PSYCHICAL	Psychology of Sound; Psychology of Music; Musical Therapy
BIOTIC	Bio-Musicology; Physiological Acoustics ; Music and the Brain; Performance Techniques (Instrumental/Vocal); Ballet and other dance-Forms
ENERGETIC	Physics of Music/Musical Acoustics (Physics of Instruments, Frequencies, Dynamics, Timbre etc); Music and the Brain; Electronic Music
KINEMATIC	Physics of Music (Frequencies, Dynamics; Resonance); Music Theory (Musical Movement – parallel, counter-, imitation etc.)
SPATIAL	Physics of Music (Frequencies, Dynamics, Resonance); Music Theory (Intervals)
NUMERICAL	Music Theory; Musical Symbolism; Twelve-tone music; Scales

III. ELEMENTARY ACOUSTICS (PHYSICAL QUALITIES OF MUSICAL SOUND, INCLUDING THE NUMERICAL, SPATIAL, KINEMATIC AND ENERGETIC)

Acoustics is the science of sound. Sound, in music, consists in the impact of the ear of air vibrations set in motion by

• the vibration of some elastic material
• the vibration of an air column in a pipe (e.g. flute)
• vibrations electrically produced or transmitted

Elastic material may be

• 	gut, string or wire set in motion by a bow (violin), or plucked by the fingers (harp, guitar, strings) or a plectrum (mandolin) or a quill or tangent (harpsichord) or hit by a metal tongue (clavichord) or a hammer (piano)

• 	a reed, reeds, or a metal tongue set in motion by air pressure (oboe, clarinet reed pipes of an organ, etc.)

• 	a membrane set in motion by air pressure such as the vocal chords (human voice) or the lips (brass instruments) or struck with a beater (drums)

• 	a solid body, set in motion by striking (bells, triangle, xylophone)

Any sound, including that produced in Music, is a *disturbance in the air or solid* and can be analysed in Physics. The sound wave is a *longitudinal wave*, i.e. the disturbance is parallel to the direction of the wave (which travels at a constant speed of ca. 1100 km p.h. for all frequencies). Differently put: The wave is not an up and down motion like a disturbance in water, but a pressure wave. It moves outwards and the disturbance is a contraction (bungling up) and rarefaction (spreading out) of the molecules within it.

For illustration purposes, however, we use a *sine wave* or *transverse wave* (up- and down wave, in which the up-and down of the disturbance is perpendicular to/transversely to the direction in which the wave is moving) to illustrate its various properties (qualities of sound).

Musical sound has four basic physical qualities: pitch, dynamics (intensity), "loudness"),
	duration (metre) and colour (timbre).

1. 	Pitch (high/low sounds) which is determined by the frequency of the sound wave* (how frequently the vibration is repeated per second),

> {A drawing of a transverse/sine wave similar to a wave in water: One cycle represents the distance from one crest to the next): see below

> e.g. the Concert A pitch used for piano = 440 cycles per second (c.p.s.). The higher the sound, the greater the frequency; the lower the sound, the lower the sound, the lower the frequency. The range used for human use = 20 c.p.s. to 20,000 c.p.s

2.   Loudness (<u>dynamics</u>) is determined by the *ambitus* (distance between <u>crest</u> and <u>trough</u> of wave):

   Illustration: Loud   A high wave with wide distance   between crest and bottom
                Soft   A more flat wave

https://study.com/cimages/multimages/16/features.png
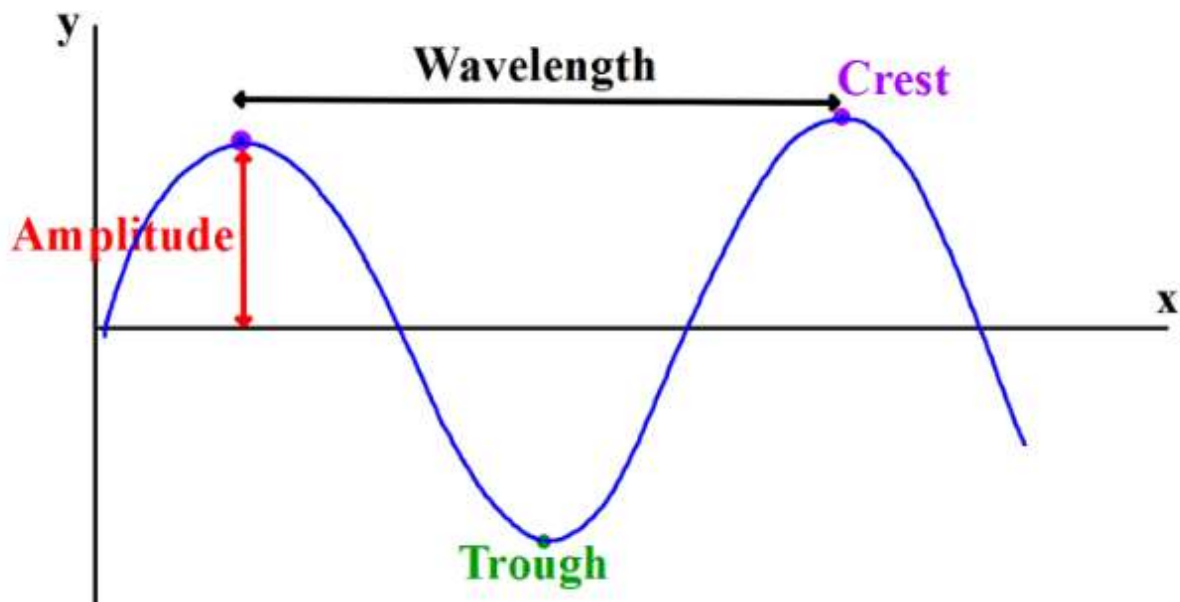
3.   <u>Tone Colour</u> (<u>Timbre</u>) is determined by the <u>complexity</u> of the wave (which is never a smooth "sine" wave but a main wave and a cluster of smaller ones, called "harmonics" or "upper partials"). The difference in colour (timbre) is largely determined by the <u>instrument</u> (<u>medium</u>) producing it, e.g. a flute, trumpet, guitar, voice, etc..

4.   <u>Metre</u> (<u>note length</u>) is the length of time a pitch is sustained (= time that the wave will continue), which results in long or short notes.

*   <u>Rhythm</u> is produced by combining 2. and 4. (combination of <u>long-short</u> notes with <u>loud-soft</u> ones) providing <u>accents</u> in the long-short patterns.

*   <u>Melody</u> ("<u>tune</u>") results when one pitch (see #1.) is followed by others in an organised fashion, usually with rhythm and degrees of loudness. It can have a fairly even flow (e.g. the Gregorian Chant) of note lengths, <u>or</u> have <u>rhythm.</u> It can be in <u>unison</u> or <u>harmonised</u> with chords.

These physical qualities (pitch, loudness, timbre, metre) are described in terms of <u>number</u>, <u>space</u> and <u>energy</u> (numerical, kinematic, energetic aspects).

Discussion in greater detail:

1. The pitch is determined by the frequency of the vibration. A bass ("low") note vibrates slowly, a "high sounding" note quickly (expressed in *Hertz* or *cycles per second* – Hz or cps). The pitch range is virtually infinite, although the human ear can only register frequencies between 20 and 20,000 c.p.s. The frequency of the vibration may

- depend on the length, thickness, tension and density of the vibrating material
- depend on the length and density of the air column and the nature of the tube enclosing it be directly produced by electrical processes.

Thus, other things being equal, a short string will produce a higher note than a long one, a taut string a higher note than one less taut. A short air column will produce a higher note than a long one (e.g. A piccolo is shorter than a flute, thus higher in pitch; a clarinet is lower than a flute or oboe, because it is stopped at one end and cylindrical; the oboe is stopped and conical).

Temperature influences wind and string instruments differently: a rise in temperature makes strings sounding lower in pitch (strings expand), wind instruments higher (air expansion lowers its density, causing a rise in pitch - the expansion of the surrounding tube is too minimal to counterbalance the air expansion).

Sub-topics of Pitch:

- Pitch Notation
- Historical survey of musical notation
- Pitch and key relationship
- Pitch and temperament, tuning of keyboard instruments (see also diagram, next page)

Pitch and Temperament:

Pitches arranged in an order, from low to high, produce a "scale" with different whole-tone- or semitone-intervals dividing the pitches. There are various scale possibilities.

A natural scale results from dividing a string length into numerical proportions, such as 1:2, 2:3, 3:4 etc.. It is also obtained through *overblowing* on a wind instrument in which the resulting overtones or "harmonics" or "partials" represent such a scale. If these proportions are changed, different scales result. The following two pages illustrate such scales based on different intervals. These overtones or harmonics provide similar proportions (see illustration under "Timbre").

If we measure the frequencies (c.p.s) of waves, their number relations result in similar proportions, which illustrate the numerical basis of musical sound (see pp. 20-21)

NUMERICAL PROPORTIONS IN MUSICAL PITCH AND TIMBRE

Frequencies, cycles per second (cps) for natural scale:

A	B	C	D	E	F	G	A	B	c	d	e
220	247.5	264	297	330	352	396	440	495	528	594	660

(Note: These cps readings for pitches are not absolute, because they will vary somewhat in each key. If A=440cps, and the key is A major, then the pure fifth below (D) should be ca. 294, the G 392, the C below closer to 262.). Starting, however from C= 264 and A=440, we arrive at the cps readings above, which give us the following ratios:

C-D: 297:264 =   9:8   (major second)
C-E: 330: 264 =   5:4   (major third)
C-F: 352:264 =   4:3   (perfect fourth)
C-G: 396:264 =   3:2   (perfect fifth)
C-A: 440:264 =   5:3   (major sixth)
C-B: 495:264 =   15:8   (major seventh)
C-c: 528:264 =   2:1   (octave)

These ratios (2:1, 3:2, 4:3, 5:3 etc.) correspond with the numbers and ratios produced through measurement of the string length (on Pythagoras' monochord) or the ratios within the overtone series, produced through overblowing:

Octave = 2:1   (ratio of 2nd harmonic in the overtone series to the first, the foundational note)
Fifth   = 3:2   (ratio of 3rd harmonic to the 2nd)
Fourth = 4:3   (ratio of 4th harmonic to the3rd)
Third   = 5:4   (ratio of 5th harmonic to the 4th)
Sixth   = 5:3   (ratio of 5th harmonic to the3rd)
Seventh = 15:8 (ratio of the 15th harmonic to the 8th)
Second = 9:8   (ratio of 4th harmonic to the3rd)

Comparison of Scales (Pure/Natural, Pythagorean and our Tempered Scale)

[N= Natural (pure) Scale
 Fr = Fractions; intervals measured by dividing a length of string, e.g. ½, 2/3 etc
 C= Cents (calculation in cents; one octave = 1200 cents; each semi-tome in our tempered scale = 100 cents
 T = Modern tempered tuning (even-tempered tuning, the semitones are equally spaced)
 P = Pythagoras' calculations, using only numbers 1,2,3,4]

In the natural scale, F# and Gb, C# and Db, etc. should not be the same and pitches will vary within the scale context, e.g. B-natural will be much lower in the context of G major, but much higher as leading tone in C major. We have *tempered* the natural scale to make it applicable to the keyboard, thus F# became Gb etc. N.B. In dividing the string in proportions (e.g. ½, 2/3), the two numbers in the fraction are reversed for calculation purposes, e.g. an interval of a fifth (= 2/3 of the string length) becomes the ratio of 3: 2 or 3/2

Ex. C major scale:

	C	D	E	F	G	A	B	c	d	e
Fr:	1	9/8	5/4	4/3	3/2	5/3	15/8	2/1	9/4	5/2
C:	0	204	386	498	702	884	1088	1200		
T:	0	200	400	500	700	900	1100	1200	1400	1600
P/Fr.:	1	9/8	81/64	4/3	3/2	27/16	243/128	2/1	9/4	81/32
P./C.:	0	204	408	498	702	906	1109	1200		

[Note how sharp our major third is against the natural (pure third); Pythagoras' third is even worse.]

Pythagoras' method of calculation:

He did it all by measurement of the string length on his *monochord* (an adjusted long-necked lute) and through mathematical calculation (Remember: Adding intervals represented by fractions mean *multiplying*; subtracting, *dividing*).

> The full string (=1) produces the first note of the scale
> Two-thirds (2/3), ratio 3:2, the pure fifth
> Three-fourths (3/4) ratio of 4:3, the fourth
> One-half (1/2), ratio of 2:1, the octave

He believed that only numbers 1,2,3,4 and multiples of these should be used, since 1+2+3+4 = 10, a perfect number. (Remember that the old Greek *Kythara* had only 4 strings and that Greeks thought in terms of 4-note scales (*tetrachords).* By merely adding fifths and subtracting octaves he believed it is possible to calculate all other intervals mathematically and that 12 fifths will produce seven octaves – which did not happen (it was more than that)

To calculate D: Add two fifths (1x3/2 x3/2) and subtract one octave (÷2/1) = 1x3/2x3/2÷2/1) = 9/8

   E: Add four fifths (1x3/2x3/2x3/2x3/2) and subtract two octaves (÷2/1x2/1
= (1x3/2x3/2x3/2x3/2)÷(2/1x2/1) = 81/64

Similarly, twelve fifths $(3/2)^{12}$ should be the same as seven octaves $(2/1)^7$, which did not work out. The difference was called the *Pythagorean Comma*. This can be easily shown when this is calculated in cents:
   12x 702 (*8424*) does not equal 7x1200 (*8400*)

2. The **dynamics** (intensity, "loudness", "softness") of musical sound is determined by the *amplitude* of the vibration. Hence, force (energy) is needed to produce a loud sound. Dynamics provide *accents* in music (vital for rhythm, articulation, etc.) as well as *expression*. Dynamics are measured in *decibels*. The human ear is limited in terms of the range of dynamics, i.e. the softest sounds and the loudest (which are painful and can be damaging to the tympanum and nerve endings – see Human Ear, later).

There are various terms and graphical signs used for dynamics: See e.g. Machlis, pp. 26-30

3. The length of the musical sound (**metre, duration**) is determined by the *length of time* the vibrating material vibrates or is allowed to vibrate.

For the notation of metre (note values, measure, rhythm, time-signature, tempo, various terms used): See e.g. Machlis, pp. 19-26, 57-59

4. The **tone colour (timbre)** depends on the *complex character of the vibrations*. A stretched string does *not merely vibrate as a whole*. It also vibrates simultaneously in *sections* which are in an exact mathematical relationship to the length of the string (halves, thirds, quarters, fifths, etc.). The halves produce a note an octave higher than the note sounded by the whole string, the thirds a note a twelfth higher, the quarters a note two octaves higher, etc. These sectional vibrations are called "overtones" or upper-harmonics or upper-partials. The complete harmonic series is:

*Link: png commons.wikimedia.org

Note: Since our keyboards are tuned with equal spacing of the semitones, their pitches differ from the natural overtone scale. These differences (in Cents) are indicate din the diagram.

1   The bass note or foundational note
2   One octave above
3   A 12th above
4   Two octaves above
5   Two octaves and a major third above (somewhat sharp on our keyboard in relation to the natural third)
6   Two octaves and a perfect fifth above
7   An interval midway between the 6th and 8th overtone cannot be produced on our tempered keyboards)
8   Three octaves above foundational
9   Three octaves and a major second above foundational
10   Three octaves and a major 3rd above
11   An interval midway between the 10th and 12th overtone cannot be produced on our tempered keyboards)
12   Three octaves and a 5th above foundational
13   1Three octaves and a major 6th above foundational
14   An interval midway between the 13th and 15th overtone cannot be produced on our tempered keyboards)

15   An interval midway between the 14th and 16th overtone cannot be produced on our tempered keyboards)
16   Four octaves above foundational
17 and above goes into semi0 and quarter tones

The numbers of the series indicate exactly the mathematical relationship between the frequencies of the notes. Thus, the ratio between e.g.

$$C \text{ and } c = 1:2; \text{ between } c \text{ and } g = 2:3 \text{ etc.}$$

This can be illustrated on string (of e.g. a violin, guitar) when divided in these categories.

The sound of the overtones is much fainter than that of the note produced by the whole string (the basic note), but without them the note would be dull. In an organ pipe and in wind instruments in general, the air column also vibrates in sections. If it is stopped at one end only, alternate sections vibrate so that a stopped pipe produces only nos. 1, 3, 5, 7, etc. of the harmonic series (e.g. the clarinet). The characteristic tone-quality of instruments is thus due to the extent to which the "upper partials" are present or absent and to their relative intensity. On the Hammond Organ such overtones can be selected by the player, as well as their intensity, thereby creating different colour imitations (flutes, reeds, strings, etc.)

Some instruments produce overtones that do not fall in the harmonic series and are therefore "inharmonic". The result may be a confused, but recognizable sound, as in a bell, or one of indeterminate pitch as in most percussion instruments.

A player can produce harmonics by touching the string lightly at some sectional point or by increased lip-tension (overblowing, thus splitting the air column into one of its component parts so that instead of sounding no.1 of the harmonic series, one of the upper partials is produced as principal note). This is done to a limited degree on woodwind instruments and extensively on brass instruments. The horn e.g. has a choice of overtones from 2 to 16 (makes for difficult playing, requires very subtle change in lip tension for the higher notes). Neither the horn or trumpet (narrow-bored instruments) can sound no. 1 of the series.

The process of colouring takes time (especially the lower notes). At a fast tempo this process may remain incomplete at a low pitch.

Overtones also combine to produce *additional* sound by *addition* and *subtraction* (e.g. The overtones 2 and 3 will produce the pitch represented by the fifth overtone (2 + 3 being 5), and the foundational tone (3 – 2 being 1). On the organ the combination of two notes at an interval of a perfect 5th will produce (by subtraction, being overtones nos. 3 and 2) a note an octave deeper than no. 2. One of the organ stops, the "Acoustical Bass" functions on this principle.

Colour can also be produced by *harmonizing a note in different ways*, giving it a certain "harmonic colour" (See also Machlis, pp. 15 – 19). Colour in music is thus produced by the *quality of the instrument* producing the note or notes (= medium, due to the prominence of certain overtones harmonization of a note and/or harmonisation.

As both the overtones and harmony can be expressed in terms of intervals (octaves, fifths, thirds, sixths, sevenths, etc.), the *interval-relationships form an essential aspect of musical colour.*

Resonance: The loudness of a tone as well as the colour of a note depends on the presence of some *auxiliary material or an air column* that will *vibrate either in sympathy* or by direct contact with the original vibrations. Thus, a violin, guitar, or cello owes its resonance to its wooden *resonator ("belly")*, the piano to its sound-board, the oboe to the air column contained in its tube. There is however, an important difference. In the string instruments the resonator has to vibrate as the strings dictate. In the oboe the vibrating air column, being of a definite length, controls the vibrations of the reed; so that in this case, the resonator determines the pitch. For a singer the different mouth-, nose-, and sinus cavities are important for resonance. Nose infections or blocked sinuses can influence the tone quality of a singer adversely.

Resonance can also be illustrated by opening the wooden panel below the keyboard of an upright piano. Holding down certain keys, students can be asked to sing into the strings the pitches represented by the keys. The strings will resonate those pitches.

The resonance of the *external surroundings* of the instrument (*acoustics* of the building) further amplifies the sound of the voice or instrument. The amount of sound-reflection or sound-absorption due to the material and space of the building can have a profound effect on the musical quality. The acoustical planning of a music room, church, concert hall, etc. is therefore of the greatest importance.

Optional Reading and Listening regarding music mediums (Instruments, Orchestra, Electronic Sounds)

Machlis* pp. 26 – 42 (Ed. 5) or 30 – 40 (Ed. 4) on Orchestral instruments.

Britten's "The Young Person's Guide to the Orchestra").

Prokoviev's "Peter and the Wolf" (where instruments are associated with characters of the story.

Electronic Music

Assignment: Try to envisage what instruments and/or voice could/would be involved in the following: Wind band, jazz ensemble, rock band, opera, symphony, string quartet, piano concerto, piano quintet, mixed chorus, art song, folk singing, piano vocal.

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*Joseph Machlis "The Enjoyment of Music"; 1977 : W.W. Norton

IV.   THE PHYSIOLOGICAL ASPECT OF MUSIC

Music has many physiological/biotic aspects:

- Performance of music, which involves the human body (fingers, muscles, feet, body posture, gestures, vocal chords, lungs, lips, mouth- and sinus cavities, etc.)

- Dance (ballet, mime, social dance in all its forms and varieties)

- The musical hearing process

- Voice production (the vocal cords)

There are other specialised studies (Bio-Musicology) regarding this aspect.

Following, a brief discussion of the hearing process.

The musical ear and biological hearing process:

The vibrations of a musical note are transferred to the human ear by sound waves (travelling about 1,100 km/h).[Note: Although there are different *frequencies* involved, they all travel at the same speed. This makes music, as a coherent human experience, possible].

The ear consists of three parts: the external (outer), middle and internal (inner) ears
(see drawing, next page):

The *external ear* comprises the outer ear and the external auditory canal. It collects and intensifies (2-3 times) sound and transmits the waves to the *tympanum* ("ear drum"), the membrane that closes off the external ear and functions much like a stereo speaker.

The *middle ear* (internal tympanic cavity) connects with the nasal passages through the Eustachian tube and contains three small bones ("ossicles") connected to the "ear drum" (popularly called the hammer, anvil and stirrup because of their shapes). Set in motion by the "ear drum" they vibrate like rigid hinges and transmit the vibration to the inner ear, the stirrup (the last in line) vibrating the "oval window", a thin membrane stretched across the entrance to the inner ear.

The *inner ear* is a bony labyrinth containing
1) three semicircular canals (*vestibulum*) which control equilibrium (balance) and have nothing to do with the hearing process,
2) the snail-like *cochlea* which forms the centre of the hearing process.

The *cochlea* picks up the vibrations from the stirrup (as well as from the skull – as will be explained later). By means of its *basilaris*-membrane, containing approximately 3400 tiny, hair-like nerve cell groups - each containing 3 to 4 inner and outer hair cells - the vibrations are analysed. The results are sent to the brain via the 8th (hearing-) nerve. The entire inner ear structure is encased by the mastoid region of the skull.

Independence of the ears: The two ears, though related, function independently from another, each sending its sound information to both sides of the brain. Should they (in case of an ear disease) not analyse the sound in the same way (e.g. register two conflicting pitch levels instead of the one relayed to them), severe discomfort is experienced by the listener.

Pitch analysis in the ear: The human ear is capable of registering sounds from ca. 20 to 20,000 cycles per second (c.p.s. or Hertz) and of distinguishing intervals as small as 1/40th tone. Modern research has discounted the century old theory of Helmholz, which assumed that the little nerve cells act as "resonators", each vibrating sympathetically at a corresponding pitch. Although the physical and biological process of sound analysis in the human ear has not been fully explained as yet, we know that it is *not* based on resonance in the restricted sense of the word. The *location in the basilaris vibrating maximally* is important for pitch analysis.

Bone- and skull vibration: For the hearing process, skull- and bone-vibration forms a very important method of transferring the vibrations to the inner ear (apart from the transfer via the external and middle ear). The skin (in the case of a singer) and jaw, as well as the skull (including the mastoid skull region behind the ear) play an important role. Actually, the three rigid bones of the middle ear allow the transfer of frequencies only as high as 2000 c.p.s.; the higher frequencies are conveyed only by skull vibration. The direct transfer of sound vibration via the skull or jaw can be illustrated by placing a vibrating tuning fork directly behind the ear on the bony surface, or by placing a stylus between the teeth and picking up vibrations directly from a running record. When winging or talking, a person hears his own voice not "objectively" because of the colouring of the sound by means of his own skin-, jaw-, and skull vibrations. When hearing it via air only (e.g. from a recording) he/she fails to recognise it.
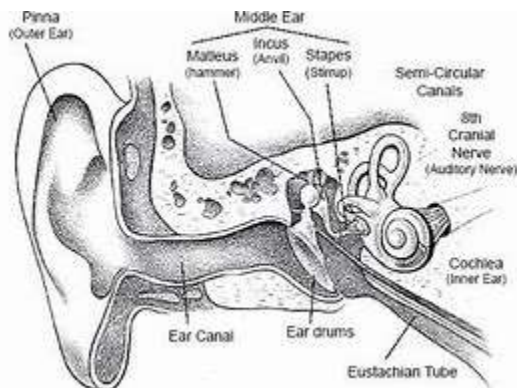
Link: gif elsavadorla.org

The mechanical, physical and biological (physiological) processes of hearing can still be unravelled and explained to a certain degree. The process of sound impression on the human mind, however, and its interpretation, as a mental process of sound experience cannot be explained in any physical or biological way. This can only be dealt with in Psychology and other norm sciences (Humanities) - see next chapter.

V. THE PSYCHOLOGICAL ASPECT OF MUSIC

The psychological aspects of Music is covered under Psychology of Listening/Sound and with Psychology of Music as a specialised field.

Psychology of Listening deals e.g. with the *psychological experience* of different sounds and their qualities (sound versus noise, tone colour, intervals, chords, etc.) and with the *psychological capabilities of the listener* (e.g. the difference in external and internal hearing, "absolute" and relative hearing, sensitivity of sound distinction, types of listeners, colour hearing, etc.).

Whenever sound is studies in its *organized, composed form as music*, it is studied in the specialised field of a Psychology of Music. Projects of this field include a study of subjective images and space images evoked by music, types of musical ability, psychopathology, musical therapy, a psychology of different musical phenomena (melody, chords, harmony, rhythm, polyphony, etc.).

For the purpose of studying Music, a number of these psychological disciplines may seem irrelevant, as the emphasis in musical study is on the *music* and the *musical quality* rather than on the different psychological processes taking place in *experiencing* music. Yet the psychological aspects form a *part of the enjoyment of music* (as shown earlier and will be addressed later again in Aesthetics of Music). A knowledge of some aspects assists in our understanding of music in general, its psycho-dynamic processes (e.g. tension, climax), it explains the sound images evoked by modern experimental music, etc.

A few of these psychological studies will be briefly summarised:

Sound versus noise:

Human beings react differently to musical sound than to noise. Musical sound is experienced as even, calm, stationary, uniform, confined, flexible and relatively "soft"; noise as more active, restless, unstable, raw, loud, sharp, even jerky and "cloven". These experiences show some resemblance to the physical qualities of musical sound and noise (the former being relatively even, periodic, continuous, stationary; the latter discontinuous, jerky, a-periodic , abrupt). Musical sound is experienced as something subjective, associable, intimate, relevant; noise as being upsetting, coarse, objective, opposite. Yet is should be remembered that all musical sound contains noise levels, which form an attractive feature of music (like spices in food), e.g. the noise of the bow on a string, plucking of a string (pizzicato), striking the string with a felt hammer (piano), chiffs in the organ sound, consonants in singing. Conversely, all noise has some kind of pitch (e.g. the percussion instruments). If these noises are eliminated, much of the characteristic qualities of these musical sounds are lost and the tone becomes dull - similar to music which contains no discords at all.
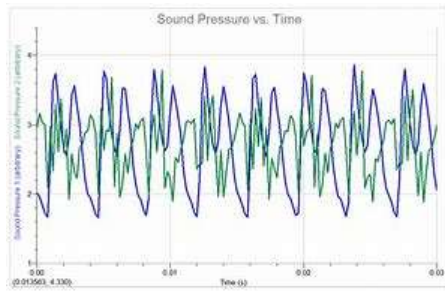
Sound waves, regular and periodic
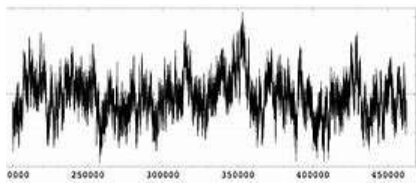
Noise, a-periodic

"Absolute hearing" and "relative hearing":

Absolute hearing is found among 3% to 8% of all musicians. This is not (as often assumed) an infallible gift to locate and produce pitch ("perfect pitch"), but rather an *unusual gift of remembering pitches the "absolute hearer" learnt to know*. If these pitches were provided by a false piano or a keyboard instrument with a peculiar tuning scale, the pitch memory would be "faulty*"* when compared to some standardised pitch. There are also *various degrees* of tone memory, e.g. hearers distinguishing the *key of the piece ("relative hearers")*. Experiments have shown that "absolute hearers" and "relative hearers" can err. The former may confuse semi-tones; the latter, quarter and fifth intervals etc. Absolute hearers listen to music as *line*; relative hearers, to music as *colour*.

External and inner hearing (as psychological process):

All humans possess the gift of inner hearing, recalling music earlier heard in your head. (This can sometimes result in an annoying "tune stuck in your head" syndrome). "Inner hearing" should not be confused with the stimulation and distinguishing process happening in the "inner ear" as a *biological* process.

Apart from recalling formerly heard music, humans are also capable of *imagining music* in their head or producing in their head a sound image of music in notation. It is a well-known fact that the hearer's internal image of music seen on paper (new composition or merely a Harmony assignment) often differs from its actual sound when played or performed. Nevertheless, instances of remarkable "internal hearing" capability are known, like in the case of Beethoven, who could internally hear the sound of his texturally and timbre-wise intricate symphonies while totally deaf. Johann Sebastian advised his pupils to compose away from an instrument. The music Bach actually "heard" in his head while composing, may perhaps never be captured by the limitations of performers and instruments of his or our time. This is of significance for the issue of "authentic performances", which will be discussed under "Historic Aspects of Music", later.

The spatial concept of musical sound:

Human beings have (as modern psycho-analyses proved) a *subjective spatial concept* of musical sound, experiencing music in three dimensions: The vertical high-low dimension is represented by the pitch of the music (people talk of "high" notes and "low" notes); the horizontal dimension as a time dimension (as music moves from the beginning of a piece to the end); the third or depth-dimension (sounds appear "close" or "in the distance") is represented by the timbre and dynamics. *This subjective musical space experienced in music has nothing to do with the external surroundings of the listener (e.g. a concert hall).*

Music thus becomes "fluid architecture". We hear individual sequences of single notes psychologically as "melody". In this fluidity the human ear is searching for identification points, landmarks like key, time signature, measure, well-known harmony. As the music unfolds, listeners construct this tonal "architecture" within this subjective space concept. Should the easily recognisable "landmarks" be removed (as is the case in the modern music since Debussy) and the piece has no definite key, regular rhythm, or harmony, listeners tend to feel lost and confused. As soon as they recognise other, new concepts of form and understand the new sound ideals, they enjoy this music on a different level.

Psychological tests have shown that music can evoke in the listener a direct subjective experience of physical qualities such as high, low, warm, cold; of physiological stimuli (rhythm, dance, quickening of pulse)*; of psychical conditions such as tension, fear, relaxation (and all possible other moods); even ethical impulses, moral, and immoral ideas (in a contextual way - see Ethics, later); of social conditions and religious associations.

Synesthesia is a perceptual phenomenon in which stimulation of one sensory or cognitive pathway leads to automatic, involuntary experiences in a second sensory or cognitive pathway. People who report a lifelong history of such experiences are known as synesthetes. Many musicians, e.g. Scriabin and Messiaen experience music as *visual colours*.

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*see also the concept of music as integrated with dancing (various cultures, Greek drama, Wagner, etc.)

VI. THE SYMBOLIC ASPECT OF MUSIC:
MUSIC AS RHETORIC AND SYMBOL

Introduction:

Music has qualities of a communicative, "symbolic" nature which can bring it in close proximity to language. Some music has been written to simulate language very closely, but there are other possibilities of composing music than mere language. It could be written e.g. as "audible maths" by means of number (also by means of computer) or as serialistic number proportions.

Music History illustrates the close relationship Music and Language enjoyed at times.

Whereas the **Medieval** period (6th century to appr. 1400) understood music as *Maths*, linked to inaudible "music of the celestial spheres", which does not change, but remain constant in a fixed universe, the **Renaissance** developed a more *naturalistic view of music*, linking it to *language* and human emotions. Music became not only one that imitates sounds of nature but also expresses human nature through the portrayal of human emotions (1400- 1560). However, the numerical/symbolic underpinning of music was not rejected in the Renaissance but functioned as a parallel aspect of Music. It continued to do so until the times of J. S. Bach.

With the beginning of the **Baroque period** (appr. 1560 - 1740) music became (like the visual arts and literature) a tool for the Catholic Church (following the Counter Reformation, 1545-1563) to convert, people, persuade them and induce greater spirituality. All the arts became *rhetorical* in nature, imitating **Rhetoric.** This was also followed in the Protestant churches: Johann Sebastian Bach's Cantatas, Oratorios and Passions are works intended like musical sermons, powerful persuasive music to convert, to deepen the spiritual life of the congregation. Music was taught in the German school system in Bach's time as a discipline of Rhetoric. Simultaneously, the deep symbolic tradition of Music since the Middle Ages (a blend of ancient humanistic and Christian religious concepts) was continued as a parallel or supplementary aspect some of to Bach's music (Pure symbols, Semantics of Number, Allegory and Cabbalistics).

During the **Classic and Romantic** periods, Music was no longer taught as a formal discipline of Rhetoric and the traditional religious/metaphysical musical symbols of the past disappeared. The rhetorical elements were reduced and used by composers in a more intuitive way (e.g. Beethoven, Schubert, Brahms, Dvorak). New, personal symbols were also developed by composers such as Beethoven, Schubert, Berlioz (*Idee fixe*), Wagner (*Leitmotif*) and Hugo Wolf.

In the Neo-Classic period of **Modernity**, the selective use of rhetorical elements and the development of new symbols were continued by various composers such as Messiaen (religious symbols), Sibelius and Hindemith (rhetorical elements).

In **Post-Modernity** a new emphasis on Music as a metaphysical, neo-religious art developed. In specific post-modern currents traditional rhetorical elements of repetition appear in modified form (Minimalism). Other rhetorical elements re-appear in Neo-Tonality. New symbolism flourishes in the music of Stockhausen, Messiaen and others.

To illustrate the importance of Rhetoric and Symbolism in the times of Bach, a paper is reprinted on the following pages, which I read at the ninth annual meeting of the Canadian Society for Eighteenth-Century Studies held at the University of Alberta on October 14-16, 1982. The title is *Musical Rhetoric and Other Symbols of Communication in Bach's organ Music* and was printed in *Man and Nature/L'Homme et Nature*, Vol. 3 (Edmonton AB: Academic Printing and Publishing,1984), pp. 131-162. It is preceded by a short synopsis.

Synopsis:

1. Rhetoric can be defined as the art of using eloquent language in order to persuade.

Persuasive language has been part of human history since the beginning (e.g. in the Garden of Eden in the Bible), but it gradually developed into a skilful **art** which could be studied and mastered, e.g. by the Greeks and Romans before the times of Christ.

In order to persuade an audience, a speaker has to
1) find the material, research (*Inventio),*
2) organise it (*Elaboratio, Dispositio*),
3) clad it in emotional language that will move the audience emotionally(*Decoratio*),
4) present it (memorise the material, use proper gestures (body language), clear diction, being emotionally involved and establish eye contact with the audience (*Memoria, Pronuntiatio*)

Composers of the Baroque period transferred these rhetorical devices into music so that music became a "musical speech". They could do that because music and rhetoric have a lot in common

Both arts
1) need time to be presented
2) consist of continual changes in their sound elements
3) have a beginning, logical continuation and peroration
4) employ rhythm, tempo, the pause, dynamics, repetition and antithesis
5) make use of the law of "extending parts": statement, statement, extended statement
6) use analogical structural formulas, e.g. the comma ("imperfect" = half-cadence or incomplete cadence in music), semicolon (fermata), period ("perfect" cadence, complete cadence), exclamation mark (deceptive cadence, interrupted chord)
7)   need a reciter or orator (recitalist, performer)
8) make use of moods and emotions
9) need articulation, phrasing and emphasis

Similar to rhetoric, musical rhetoric borrowed its terminology and devices from classic rhetoric. The four "parts" (stages) of rhetoric/musical rhetoric as presented in the musical treatises of the 17th and 18th centuries were:

1) *Inventio*: the invention, finding, discovering of material for a speech or musical composition; various *loci topici* (musical devices to find themes/motives) were suggested
2) *Dispositio, Elaboratio*: the arrangement or disposition of ideas/musical ideas, consisting of the following:

Exordium	Introduction
Narratio	Narration (where applicable)
Propositio	Main thesis/statement of main theme in music
Confutation	
and Confirmatio	Development and analysis of main theme (in music and by motif-fractionation), refutation of new and contrary ideas (motifs, keys, dissonants in music), confirmation of main idea (and key, in music)
Peroratio	Conclusion

3) *Decoratio/Ornatus*: the creation of musical tropes and figures (see below); the use of specific tempos, keys, dynamics, intervals, metres, rhythms and embellishments

4) *Elocutio, Pronuntiatio*: the memorisation and presentation/performance of the musical work by means of proper elocution/articulation, emphasis, gestures, emotional involvement perform it in a manner that shows emotional involvement (body language, sensitivity to the changes in mood) and that arouses similar emotions in the audience.

To arouse emotions in an audience (see 3), the Greeks and Romans developed **figures** and **tropes** in language, which were deviations from a dry, factual presentation. They would repeat certain phrases for greater emphasis, shout instead of talking, ask rhetorical questions instead of giving the facts directly; use contrasts and climactic devices; conjure up images; use mime and ridicule, silences, hyperbole , etc. There were approximately 160 various tropes and figures developed, all with Greek or Latin names. Of these figures, about 82 were "translated" into musical tropes and figures, e.g. musical repetitions, musical exclamations, musical questions, musical contrasts, musical climaxes, musical gestures to copy sound or suggest movements, musical mime, musical pauses, etc.

Some of the approximately 82 different musical tropes and figures developed from the 16th to 18th centuries:

• "Grammatical" and "pictoral" figures (figures used in tone painting and allegory):

Anabasis:	Ascending scale (e.g., "ascension of Christ")
Circulatio:	Circulating movement (e.g. revolving movement, "encirclement")
Katabasis:	Descending scale (e.g., "descent", "depression", "humiliation")
Hypotyposis:	Tone painting (imitation in music of sounds, movements, gestures or specific qualities of an object)
Passus duriusculus:	A dissonant melodic progression (e.g., the tritone)
Saltus duriusculus:	Dissonant interval (e.g. diminished and augmented intervals)

(Note: *Passus duriusculus* and *Saltus duriusculus* also have direct emotional impact on the listener and can also function under "Affective Figures")

• "Affective" figures (selection, in alphabetical order):

Anaphora	Repetition, and other kinds of repetition such as *Paronomasia* (extended repetition), *Epanalepsis* (emphatic repetition), *Variation* (varied

repetition), *Polyptoton* (divergent repetition), *Epistrophe* (repetition with similar phrase endings)

Antitheton:	Antithesis (any musical contrast, e.g. inversion of a motif)
Aposiopesis:	General pause, silence (to depict death, sighing deep sorrow, awe
Congeries:	Accumulation of the same idea
Dialogismus:	Musical dialogue (e.g., the antiphonal style, concerto grosso, organ dialogues)
Distributio:	"Analysis" of the main idea, the fractionation of a theme into small motifs
Dubitatio:	Expression of doubt and uncertainty (e.g., dubious modulation, sudden standstill)
Ellipsis:	Ellipse, a "wrong conclusion" (illogical progression, disruption of an idea, deceptive cadence)
Emphasis:	Emphasis (accent, an emphatic chord)
Exclamatio:	Musical exclamation (short broken off chords)
Gradiatio, Climax:	Musical climax
Hyperbaton:	Wrong order of notes, "distortion" of a theme or motif because of excitement
Hyperbol:	Hyperbole, exaggeration in music
Interrogatio:	Question or rhetorical question (e.g., an ascending *appoggiatura* in a half-cadence)
Metalepsis:	Premature conclusion (premature entry of a voice or motif)
Mimesis:	Ridicule in music (e.g., repetition in a dialogue at a different pitch level)
Parrhesia:	Harsh expression of rage, conflict, anguish, pain by means of dissonants and dissonant chord-progressions
Pleonasmus:	A redundant repetition of an idea because of emotional involvement
Polysyndeton:	Postponement of the final cadence
Tmesis:	Disruption of a melodic line by inserting rests (as an expression of deep sorrow and sighing)

The historical development of music as a rhetorical art:

The paper provides information on the development
Antiquity – The Medieval Period – Renaissance – The Musical Baroque – Bach's musical rhetoric (examples)

2. Symbolism:

Most of the above means of communication can be understood directly, since body language and emotional language can be grasped by a listener even if he/she does not speak the language of the speaker.

Language, however, uses another, more indirect level of communication as well: using **symbols** which **represents** ideas and which have to be **decoded** by the listener to be understood: the specific language, jargon, very specific meanings that are only understood by an audience who grew up in that culture, habits, customs, symbols. Without decoding, the meaning of these "symbols" are lost on the listener.

Similarly, in music there are symbols used in Bach's music and organ music which need decoding. They comprise genuine symbols, the semantics of number, allegory, imitation and "number cabalistics".

1) <u>Genuine symbols</u> are musical signs which translate word-content into tonal figures "emblematically" and cannot simply be understood from the sensuous effect of those tonal figures, but must be consciously "known"; for example: the countless use of the raised tone sign (sharp). In Bach's "Kreuzstabkantata", as the German word for sharp is "Kreuz" (in English "cross" and "sharp" would never be associated); the use of the note G (or Sol in medieval times) for the Latin word "sol" ("sun"); "nox" ("night"), represented by blackened notes, etc.

2) <u>Semantics of number</u> consists in the translation of ideas into musical signs by means of numerical symbols, e.g. 7 for Creator and creation, beginning and end; 12 for Church, disciples, congregation, 3 for Trinity, perfection, the transcendental, etc.

3) <u>Allegory</u> comprises an association of extra-musical contents to musical signs that can be understood by the hearer mainly from the "sensuous" effect: "Fall", "plunge", but also "abyss", "sin", "damnation" by descending voices, stepwise or by leaps; "light" and "dark", "heaven" and "hell" by contrasting high and low registers; "length", "effort", "hardship" by sustained rhythms in contrast to the quick rhythms for "hurry", "flying", "rapture". Descriptive allegory can also be classified under the rhetorical *hypotyposis*-figure and other figures like *Antitheton, Passus duriusculus*, *Saltus duriusculus*, *Ellipsis, Anabasis, Katabasis, Circulatio*.

4) <u>Imitation</u> is the direct copying in music of sounds and noises (chime of bells, birdsong, storm, knocking, etc.)

5) <u>"Number cabalistics"</u> consists of the translation of alphabetical letters into numbers, thus allowing composers to write words or their own names in music by means of the number of notes used in a theme, motif or entire work or the number of bars used (e.g. Bach = 14, J.S. Bach = 41).

<u>The historic development of music as a symbolic art:</u>

The paper provides information on the development
　　　　Antiquity – Medieval Period – Renaissance – Baroque – Bach.

<u>The combination of rhetoric and symbol in Bach's organ music (examples).</u>

<u>Addendum</u>: The educational system in Germany during the Baroque period:

See attached paper by author , pp35-66, reprinted from publication in *Man and Nature III*, 1984, pp. 131-162

9. Musical Rhetoric and Other Symbols of Communication in Bach's Organ Music[1]

This paper illustrates certain communicative devices in Bach's organ music. Such devices are usually designated by the term 'symbol.' This term is employed in the present paper in the broadest sense; it denotes a means to communicate something — directly and indirectly. This proviso is necessary since the word is most frequently used in a restricted sense to indicate an indirect form of musical communication, i.e., a musical sign which, representing something beyond itself, requires familiarity and abstract decoding before it is understood. In itself such a sign would be more or less neutral and the idea, which it represents, understood in the abstract, rather than experienced. There are, however, musical signs (symbols in a wider sense) which communicate ideas that do not require decoding. Concepts such as 'high,' 'low,' 'fast,' 'slow,' 'fear,' 'joy,' 'contrast,' 'repetition' and 'climax' have been experimentally proven to be directly visualized or experienced through musical sound without the need for any additional decoding or translation in the abstract.

It will be demonstrated that Bach's organ music makes use of both forms of communication: the direct manner employed in musical rhetoric, as well as the indirect process of rather esoteric symbols. Musical rhetoric will be illustrated by means of two of Bach's 'free' (textless) organ works, the other symbols by means of the textual chorale preludes (hymn arrangements). The chorale preludes will demonstrate that Bach usually transmits an idea in both ways simultaneously: through rhetoric and the creation of moods, as well as through the hid-

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den symbols of number, allegory, etc.. The paper will not attempt to prove the same duality for the free, textless organ music (Preludes, Fugues, Toccatas, etc.). Attempts have been made to discover various hidden symbols in Bach's keyboard Preludes and Fugues (semantics of number, number cabalistics, structural symbolism), but, although interesting statistics have emerged, the results remain somewhat speculative in the absence of any contextual reference (text association, liturgical context, etc.). The exception may be the 'St. Anne's' organ Prelude and Fugue (BWV 552) which act respectively as introduction to and conclusion of a set of liturgical chorale preludes (cf. below).

Essential for an understanding of the embodiment of symbols in Bach's organ music is a historical perspective. A brief survey will be given of the musical tradition and musical concepts from which such a practice sprung.

Finally, the paper does not intend to explain Bach's music completely in terms of rhetoric and other symbols or to suggest that symbols are present or equally prominent in each work. His music is, foremost, music to be enjoyed and analyzed in musical terms: theory, harmony, counterpoint, style, ornamentation and musical form. Rather the paper illustrates the extent to which these musical means were influenced by various non-musical symbolic concepts and that the idea of 'absolute music' or 'pure music' needs some qualification as far as Bach is concerned. With few exceptions his music was not written for aesthetic contemplation solely, but to fulfil a specific function. His sacred music served a didactic purpose within the Lutheran liturgical tradition. Although some of his later music moved in a more abstract direction, Bach did not subscribe to the notion of 'autonomous' or 'absolute' music which was later developed in the Classic era. Those who prefer to interpret Bach's music as absolute and non-referential are, nevertheless, correct in one regard: even when he applied rhetorical concepts within the traditional learned music style, the tonal means and sound impressions of his music remain intrinsically musical and musically satisfying.

I. Musical rhetoric in Bach's organ music

Since rhetoric is no longer practised widely or taught in our schools as a formal subject, a brief exposition of this art and its general application to music might clarify the subject matter.

Rhetoric is 'the art of using language so as to persuade or influence others; the body of rules to be observed by a speaker or writer in order

that he may express himself with eloquence' (OED). It must be based on logic and dialectics yet it must also appeal to the emotions and passions of the hearers. The power of persuasion has undoubtedly been realized and intuitively practiced since the beginning of human history; it was formally recognized in the earliest Greek writings, it developed into a formal art during the Greek classical period, and it was refined by Aristotle, Cicero, Quintilian and others.

This art comprises four stages (Note: The following rhetorical terminology is that used in Germany during the times of Bach and deviates somewhat from Quintilian's and other writers' of Antiquity):

1) the collecting or finding of facts or material (Inventio); several resources, guidelines ('loci topici') exist for this purpose

2) the orderly arrangement, disposition of the material collected (Dispositio, Elaboratio): Exordium (introduction), Narratio (narration), Propositio (statement of view), Confirmatio and Confutatio (confirmation of view and refutation of opposite views by means of analysis), Peroratio (conclusion)

3) the use of the right words and emotional decoration or presentation of the facts (Decoratio, Ornatus), the creation of moods by means of more than 160 different tropes and figures, e.g., repetition, exclamation, rhetorical question, hyperbole, antithesis, emphasis, etc.

4) the memorizing and delivery of speech, the manner of presentation (Memoria; Elocutio, Pronuntiatio, Actio), by means of the proper articulation, emphasis, gestures and emotional involvement[2]

Music and rhetoric inherently have much in common. They

1) need time to be presented

2) consist of continual changes in their sound elements

3) have a beginning, logical continuation and peroration

4) employ rhythm, tempo, the pause, dynamics, repetition and antithesis

5) make use of the law of 'extending parts': statement, statement, extended statement

6) use analogical formulas, e.g., the comma ('imperfect' = half-cadence or incomplete cadence in music), semicolon (fermata), period ('perfect' cadence, complete cadence), exclamation mark (deceptive cadence, interrupted chord)

7) need a reciter or orator (recitalist, performer)

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8) make use of moods and emotions

9) need articulation, phrasing and emphasis[3]

Translated into musical terms the four stages of rhetoric as they appeared during the times of Bach were:

1) the finding of a musical idea or motif. In textual music the words can serve as a guide with regard to the spirit of the work and the nature of the motifs and themes to be used.[4] Several 'loci topici' (literally 'places' to find material for a musical 'topic') were suggested by Mattheson, a contemporary of Bach.[5]

2) the arrangement or disposition of the musical ideas. Mattheson again quoted the arrangement of rhetoric as model:[6]

Exordium	Introduction (to main theme, e.g., by motifs)
Narratio	Narration (where applicable)
Propositio	Statement of main idea or theme
Confirmatio, Confutatio	Development and analysis of the main theme by means of motif-fractionation; refutation of new and contrary themes, motifs, keys, dissonants; confirmation of main idea and key
Peroratio	Conclusion

This disposition proves to be very similar to the later Sonata-form-idea so often used in the first movement of the Classic sonata and symphony.

3) Decoratio, the emotional presentation of the ideas, the creation of moods by means of music.[7] Apart from certain purely musical means like key-relationships,[8] intervals,[9] rhythms,[10] tempi,[11] and embellishments,[12] the different tropes and figures were translated into music where possible, thus creating approximately eighty-two different musical tropes and figures (subdivided into grammatical, pictorial and affective figures)[13] — see Addendum I.

4) Elocutio, the presentation or recital of music itself. Like rhetoric, emotional involvement is required in music, also the right amount of emphasis, clarity of articulation and meaningful gestures. The latter are to a great extent composed in the music, but the performer has to give expression to these without affectation.[14]

The practice of music as a rhetorical art during the time of Bach drew its essential impulse from the still predominantly theocentric philosophy

of the early eighteenth century. Music served to instruct the listener (religious instruction in the case of church music, as will be illustrated later),[15] but relied on a long tradition of musical persuasion.

The psychological and therapeutic use of music was known and practiced in the East and Asia Minor during the second millenium B.C. (e.g., David's music for Saul) and further cultivated in Greece by Pythagoras and others. The Greek *Musike* did not denote pure music but a complete integration of word, musical sound and dance.[16] Its influence was such that it was regarded as a powerful ethical force. Plato gave final shape to this concept in his so-called Ethos-doctrine. Certain music and musical instruments were regarded as morally uplifting and were recommended for pedagogical purposes; others, associated with intoxication, orgies and eroticism, were regarded as decadent and prohibited in schools. This Ethos-doctrine was based on the concept of mood (*affectus*), on Hippocrates' doctrine of the four temperaments and on the prevailing speculative cosmic theories (see below pages 152-54). It was upheld during the medieval period (although music no longer formed an integral part of the dance but showed an increasing independence from the text as it developed polyphonically), but translated into Christian terms. The Church encouraged sacred music and discouraged secular music, especially the rhythmic dances of the jugglers. Renaissance humanism, with its interest in and imitation of nature and human nature (*imitatio naturae* included the physical and psychic qualities of man), contributed to a renewed study of the influence of music on human nature, but the emphasis shifted: the musical Ethos-doctrine was transformed into the sixteenth century doctrine of moods (Glarean, 1547; Zarlino, 1558) which dominated the musical thinking of the next two centuries. It was a change in emphasis, from the ethical to the more psychological influence of music.[17] Coupled to this was the Renaissance emphasis on textual clarity, an endeavour to integrate music and words. Textual music of the Musica Reservata (sixteenth-century polyphonic music following Josquin Desprez) endeavoured to match the syntax of the words and simultaneously capture its mood, becoming more rhetorical in essence.[18]

The spiritual climate of the Counter-Reformation, as embodied in the Council of Trent (1545-1563) and the creation of the Order of the Jesuits, further contributed to a rhetorical emphasis in music — at a time when Italy became the new centre of musical development. With its renewed emphasis on the transcendental and on the sinfulness of human nature, the Church actively promoted art which stirred the human conscience and focused on an eternal destiny. The arts became didactic in purpose. This dramatically strengthened the already rhetorical element in six-

teenth century music. Instead of the Renaissance ideal of balance bet-
ween text and music, the text dominated music during the Baroque era
(ca. 1560-1740); the emotional restraint and the moderate moods
displayed in the music of the Renaissance gave way to the most extreme,
contrasting moods — hate, love, exultation, depression, etc. — which
shocked the listener into attentiveness.[19] (This change in the concept and
purpose of art was later viewed as a decadent phase of the Renaissance
and labelled as 'exaggerated,' 'bizarre,' 'extreme,' 'baroque' by the
philosophers of the eighteenth-century Enlightenment.)[20] The founda-
tions for a rhetorical concept of music were completed with the develop-
ment of the monody (accompanied solo song by means of a harmonized,
figured bass or *basso continuo*) around 1600, the accompanied musical
recitative (which is an imitation in music of natural speech),[21] and the
new antiphonal style of music of the Gabrielis and the *concerto grosso*
(which created dialogues between vocal or instrumental groups). In Italy
rhetoric was applied more intuitively than in Germany where theorists
had been discussing and documenting its musical application since the
late 1500's. Music became in theory a *musica poetica*,[22] a discipline of
rhetoric rather than of mathematics (as it had been in the Ancient and
Medieval period, as will be later illustrated). A diagram may illustrate
the relation of subjects within the German school system in which Bach
was instructed in Lüneburg (see Addendum II): theology forms the pin-
nacle of this educational pyramid, the subject which gives perspective to
all study. Micro- and macrocosmos are seen as the creation of God, the
purpose of existence being the glorification of God. All subjects acquire a
meaningful relation within God's order. Music becomes instrumental as a
discipline of rhetoric to instruct, to communicate, to convert.[23]

With rhetoric as an important approach to musical composition, com-
posers continued and intensified the late-Renaissance trend of creating
moods through increasing translation of various tropes and figures of
speech into music. Even the structure of a speech (Dispositio) was
adopted, leading to the concept of *Klang-Rede* ('musical speech') in
Bach's time with regard to instrumental music.[24] The various theoretical
treatises from the late sixteenth to the middle of the eighteenth century
demonstrate an increasing dominance of rhetoric over music.[25] Analysis
of Baroque music itself confirms this trend. This dominance was broken
only by eighteenth-century naturalistic philosophy, which seriously
challenged a strictly Biblical philosophy and rejected the complex sym-
bolism and transcendentalism of Baroque art (see also Scheibe's critique
of Bach, later in this paper).[26] This resulted in the new classical concept
of an 'autonomous music' (Goethe),[27] music no longer dominated by the
text or other extra-musical influences (e.g., Mozart's comments on

music, especially the opera).[28] A rhetorical concept of music nevertheless lingered on through the early Classics and Beethoven.

Bach's own world view was rooted in the orthodox theology of the Lutheran Church, even if it was a view influenced by pietism and the new currents of rationalism, thus showing discrepancies of which he was unconscious (as Blankenburg and Blume have illustrated).[29] His Christian philosophy is revealed in various ways. In the tradition of Luther, music always had to be functional. Whether religious or secular it appeared under the heading 'Soli Deo Gloria.'[30] Music thus dedicated to the glory of God did not know the boundaries between sacred and secular; only the text put it into one of these categories. Perhaps for that reason Bach adopted many of his secular cantatas as sacred cantatas and vice versa without regarding this as sacrilege. He wrote in his 'Gründlicher Unterricht des Generalbasses,' 1738: 'Like all music the thorough-bass should have no other aim, end or motivation, than to be to the glory of God and the recreation of the human spirit. If this is not taken into consideration, we do not have real music but an infernal noise.'[31] This Christian world view remains uncompromised by Bach's seemingly contradictory actions, e.g., his ill-temper, his personal clashes with his employers, even his resentment against his unenviable church position in Leipzig, for it transcends the sphere of human weakness.[32] What Bach meant by 'the recreation of the human spirit' is spelt out clearly in the foreword to his *Orgelbüchlein*: 'Dem höchsten Gott allein zu Ehren, dem Nächsten, draus sich zu belehren.' It is significant that he used the biblical words 'Nächsten' (fellowman) and 'belehren' ([self]-'instruct' by means of the music). The didactic nature of his music, embodied in rhetoric and symbolism, is a direct expression of his Christian philosophy.

The rhetorical quality of Bach's music is not only to be verified by musical analysis but supported by the testimony of his contemporaries. Johann Nikolaus Forkel, the composer's first biographer (1802), who received first-hand information about Bach and his views from Bach's sons, described the composer as 'the greatest musical poet and the greatest musical speaker in musical history.'[33] He reported that Bach regarded music as a complete 'language,' the individual 'voices' (the instrumental or vocal parts in a composition) as 'persons conversing with one another,' listening to one another and trying to contribute to the 'conversation' in a meaningful way. Apart from his training in musical rhetoric at school, Bach became in later years a personal friend of Johann Abraham Birnbaum, professor in Rhetoric at the University of Leipzig. Birnbaum, in mentioning their various discussions on the relationship between the two arts, wrote: 'Bach was so knowledgeable in the sphere of the similarities which exist between the two arts, as well as in the similar

mode and method of composition, that one not only enjoyed listening to him when he pointed this out in a discussion, but one can only admire the clever application thereof in his compositions.'[34] Equally interesting is the account of one of Bach's pupuls, J.G. Ziegler, in 1746, that Bach instructed him not to play the 'Lieder' so superficially but according to the 'mood of the text.'[35] The affective, persuasive character of much of his music, whether religious or secular, vocal or instrumental, can be verified through analyses. His *St. John's* and *St. Matthew Passion* display this rhetorical, didactic trend throughout, confronting the listener with the religious implications of the events by means of subjective application.

In this regard Bach could draw on a rich heritage of musical composition based on rhetoric, from the Musica Reservata, Monteverdi, Schütz to Buxtehude, Kuhnau and others. This tradition, which is also described in the musical treatises mentioned, is an important aid in the analysis of Bach's music. The mood is generally detectable throughout the text in the tropes and figures, key relationship, metre, rhythms, tempo, intervals and dynamics associated with different moods. In textual works the aspect of 'tone painting' and other descriptive means is of importance. The fact that we deal with relatively *objective* criteria for analysis of music in Bach's time is also due to the sociological framework within which this music was written.[36] The composer did not write on the spur of the moment, neither did he display his own changing emotions, but was required (by the court or church) to write music for a specific occasion. The mood was clearly defined by the occasion or the text (something objective with which the composer had to empathize) and he could draw on a general musical vocabulary to achieve this. This is not to suggest that Bach wrote music in a textbook fashion, neither that his music can ever be fully explained and its subtleties captured and described by any analyses.

Two examples from Bach's 'free' (non-textual) organ works might serve to illustrate the rhetorical character of his music: the *G Minor Fantasia* BWV 542 and the *'Dorian Toccata'* BWV 538.[37]

The *G Minor Fantasia* shows a certain affinity to the *St. John's Passion* which was composed around the same time. It displays a similar exultation mixed with deep sorrow expressed by the opening chorus of the Passion. It starts with similar repeating exclamations (Exclamatio, Anaphora, Ex. 1), which are converted into an instrumental recitative (a free musical narrative supported by occasional chords; measure 1 ff., Ex. 2).

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Ex. 1   St. John's Passion   G Minor Fantasia

Ex. 2

Melodic and harmonic dissonances are employed (Saltus duriusculus, Parrhesia). This is followed by a sequence of repeated and extended motifs (Ex. 3, m. 4-7), an accumulation of ideas and a concluding Seufzer (a descending two-note motif expressing 'sighing,' m. 8-9, Ex. 4).

Ex. 3

Ex. 4
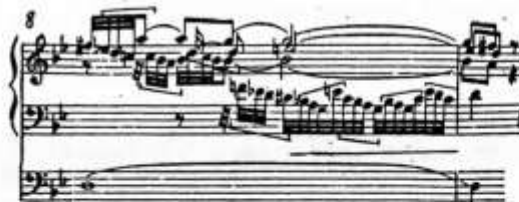
This epic recitative is followed by a contrasting, introverted section in
linear counterpoint (horizontal lines of music instead of vertical chords)
as a somber 'comment.' The already described 'art of discussion between
voice parts' (A, B, C; on a melodiously dissonant bass, D) is cleverly
employed (Ex. 5, m. $9^2 - 14^1$). The same motifs are used or extended in a
discursive way by the various voice parts, and a wealth of figures such as
Anaphora, Aposiopesis, Antitheton, Metalepsis, Passus- and Saltus
duriusculus is displayed. It ends with a statement (a descending two-note
'sighing motif') similar to measures 8-9 (Epistrophe, Ex. 6, m. 13-14).

Ex. 5

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Ex. 6

This contrapuntal section is followed by an agitated continuation of the harmonic recitative with a further display of exclamations, dissonant chords, extension and repetition of ideas (Ex. 7, 8), deceptive cadences and climaxes (e.g., Ex. 8, 9). The figures Exclamatio, Parrhesia, Saltus duriusculus, Anaphora, Paronomasia, Ellipsis, and Gradatio predominate.

Ex. 7

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Ex. 8

Ex. 9

Another contrasting 'discussion' section in counterpoint follows (m. 25-31). After this the highly dramatic recitative is continued, employing the same affective figures as before (e.g., m. 35ff: (1) Gradatio, (ii) Pleonasmus, (iii) Ellipsis, (iv) Congeries, (v) Pathopoiia/Parrhesia, (vi) Suspensio, Dubitatio, Ex. 10).

Ex. 10

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It is only in the final affirmative major chord that the intense, dramatic tension is resolved.

In a completely different vein, rhetoric is used in Bach's 'Dorian Toccata.' This piece employs more abstract, eloquent musical motifs than the highly dramatic, affective ones of the Fantasia just discussed. It is a particularly interesting work: an oratory in dialogue form. The musical 'debate' is brought about by a continuous change between the two manuals, which were minutely indicated by Bach. Organ dialogues were very popular even before Bach, but this dialogue is unique in its logical and dialectical lay-out; it uses both the structure of speech (Dispositio) and a wealth of rhetorical figures. The usual rhetorical arrangement (introduction, statement of main idea, refutation of contrary ideas, analysis and confirmation of main idea, peroration) is followed, but clad in dialogue-style. Instead of the main speaker (A) quoting and refuting opposite views, these views are presented by a second speaker (B), represented through the contrasting registration of the second organ manual.

A starts off by developing the main thesis from a simple motif of alternating notes, x (Anaphora, Paronomasia, Ex. 11).

Ex. 11

In bar 5 this statement appears in the bass and is reinforced by emphatic chordal accompaniment (y) in the upper voices (Emphasis, m. 5-7, Ex. 12).

Ex. 12

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In bar 7 the now emphasized argument is extended (y+) with the addition of a pre-beat chord and the Propositio concluded with a firm cadence in measure 13 (Ex. 13).

Ex. 13

B starts out by quoting the emphasized premise and then inverting it (turning it upside-down with the emphatic chordal motif, y+, in the bass) e.g., m. 15, 16 (Ex. 14). Such double counterpoint was seen as an important means of creating antithesis or Antitheton by Bach's contemporary, Mattheson.

Ex. 14

B proceeds by quoting the concluding remarks of A (see m. 10^4 - 13^3, Ex. 13) but extending them (adding another preceding chord to y), which has the effect of exaggeration, generalization (Paronomasia, Mimesis, Epistrophe, Ex. 15, m. 18^2 - 20^1).

Ex. 15

A's reply consists of a parodic quotation and echoing of this exaggeration (y + +) alternating between the right and left hand (Anaphora, Mimesis, Dialogismus, m. 20^1ff. — see Ex. 16).

Ex. 16

B now picks up A's introductory 'words' (m. 1-4) but in inverted form (inverting the two lines; Antitheton, m. 25-29, Ex. 17).

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Ex. 17

A reaffirms the main thesis by variation and extension (Anaphora, Variatio, Paronomasia), despite opposing interjections from the other who turns the emphatic motif upside down (the ascending motif, A, is changed into a descending one; Mimesis, Antitheton, Exclamatio, m. 29-35, Ex. 18).

Ex. 18

A continues and concludes in a firm cadence (m. 34-37[1], Ex. 19).

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Ex. 19

B now quotes a small subsidiary section of the last part (see motif q, m. 34-35, Ex. 19). This incomplete quotation (Anaphora, bars 37ff.) is immediately countered by A on a lower pitch (Antitheton, Ex. 20). B nevertheless persists and ends with exactly the same emphatic cadence (m. 43, Epistrophe) as the one A used (m. 36, Ex. 21).

Ex. 20

Ex. 21

A proceeds to extend the initial proposition (adding three preceding notes to the alternating motif x of m. 1 ff.; m. 43, Ex. 22) despite an interjection by B who repeats it on a lower pitch (Paronomasia, Mimesis, m. 43-47, Ex. 23).

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Ex. 22

Ex. 23
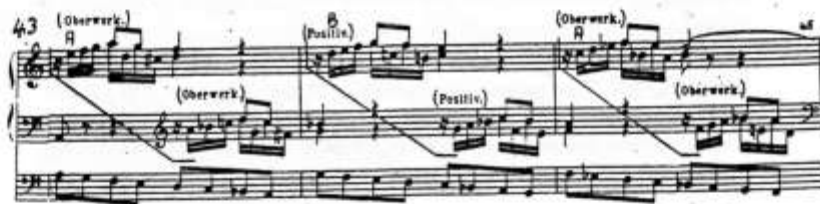
A now strengthens the main proposition by analysis (fractionation of the main idea into smaller motifs of nine notes, then four notes — Distributio, Ex. 24), variation and emphasis (Variatio, Emphasis), m. 47-66.

Ex. 24

When B's former argument, q, is quoted (cf. Ex. 20), B interrupts A and maintains this viewpoint, ending with the same words (cadence) as before (Antitheton, Emphasis, Epistrophe, m. 66-73).

A repeats the extended thesis, but is directly confronted by B with repetitions of these motifs on a different pitch (m. 76^3 ff., Ex. 25) and then even interrupted before completion (m. 78). At this point A and B

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speak simultaneously, repeating their 'words.' This heated debate leads
to an accumulation of the same viewpoints (Congeries, m. 78 ff.) in an
ascending sequence, leading to the climax (Gradatio, Ex. 26), in which A
simply 'talks B down' (Pleonasmus, m. 81, Ex. 27).

Ex. 25

Ex. 26

Ex. 27

A follows this up by a spirited confirmation of the main thesis with new
extensions and analyses (fractionation of motifs), reaching a victorious
climax (m. 90 ff., Ex. 28) symbolized by a change from D minor to D ma-

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jor (m. 94³), the key associated by Mattheson with victory, jubilation and aggressiveness.

Ex. 28

Assured of success, A concludes with strong, emphatic repetitions of the initial alternating motif, x, extended by an ascending, leaping interval (Congeries, Emphasis, Ex. 29).

Ex. 29

Bach's 'Dorian Toccata' and the G minor Fantasia are only two illustrations of the idea of a purely musical, instrumental Klang-Rede in the late-Baroque. As Mattheson wrote (1722): 'Although instrumental works do not employ actual words, nevertheless even the most free and independent works ('Concerten') should contain an expression, an intelligent content, so that they always have something to say and also speak words.'[38]

The idea, sometimes encountered, that Bach's organ music is essentially unemotional, abstract, 'pure music,' music based on 'pure musical form and development' to be played without affect, fails to recognize the philosophical and compositional concepts from which these works originated. But it must be kept in mind that the emotion called for in these works differs from the Storm and Stress of Romantic music. It calls for careful analysis and recognition of the inherent mood of the work. This mood does not change continually as in Romantic music, but remains (apart from subtle shadings) constant for a prelude, fantasia, fugue, choral prelude unless a change in style, tempo, dynamics, etc., occurs. An affective involvement of the player is required to project the mood to the listener.

II. Other symbols in Bach's Organ Music

There are other communication symbols in Bach's music which transcend the dialectical, logical, ethical and psychic levels of rhetoric. They occur especially in his textual organ music, i.e., chorale preludes (hymn arrangements). The employment of these symbols by Bach is equally rooted in his Christian world view and can equally be traced back to concepts dating from the pre-Christian era. They range from fairly direct symbols also employed in rhetoric, such as allegory and imitation, to the more abstract or esoteric ones of emblems, semantics of number and number cabalistics.[39]

1. Allegory, comprising an association of extra-musical contents with musical signs, can be understood by the hearer mainly from the 'sensuous' effect: 'Fall,' 'plunge,' but also 'abyss,' 'sin,' 'damnation' by descending voices, stepwise or by leaps; 'light' and 'dark,' 'heaven' and 'hell' by contrasting high and low registers; 'length,' 'effort,' 'hardship' by sustained rhythms in contrast to the quick rhythms for 'hurry,' 'flying,' 'rapture.' Descriptive allegory can also be classified under the rhetorical 'hypotyposis'-figure and other figures like Antitheton,

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    Passus- and Saltus duriusculus, Ellipsis, Anabasis, Katabasis, Circulatio.

2. Imitation is the direct copying in music of sounds and noises (chime of bells, birdsong, storm, knocking, etc.).

3. Emblematical, visual symbols are musical signs which translate word-content into tonal figures in a manner which cannot simply be understood from the sensuous effect of those tonal figures, but must be consciously 'known' (or 'seen' in notation); for example: the countless use of the raised tone sign (sharp) in Bach's *Kreuzstabkantata* (the Christian 'bearing of the cross'), as the German word for sharp is 'Kreuz' (in English 'cross' and 'sharp' would never be associated); the use of the note G (or Sol in medieval times) for the Latin word 'sol' ('sun'); 'nox' ('night'), represented by blackened notes, etc.

4. Semantics of number consists in the translation of ideas into musical signs by means of numerical symbols, e.g., seven for Creator and creation, beginning and end; twelve for Church, disciples, congregation; three for Trinity, perfection, the transcendental, etc.

5. Number cabalistics consists of the translation of alphabetical letters into numbers, thus allowing composers to write words or their own names in music by means of the number of notes used in a theme, motif, or entire work or the number of bars used (e.g., Bach = 14, J.S. Bach = 41).

    This tradition of visual, mathematical 'musical symbolism' can be traced back to Antiquity.[40] In the ancient Chinese, Babylonian and Egyptian cultures a cosmology of music was developed which was rooted in religious concepts and in the symbolism of number. Musical intervals were expressed in terms of numbers, e.g., the octave being 1:2, the fifth 2:3, the fourth 3:4, etc. These numbers were derived not only from the division of an open lute string in the ratio 1:2, 2:3, 3:4, but they also correspond with the numbers of the natural harmonics ('upper partial tones') obtained by 'overblowing' a wind instrument. In a more speculative way distances between celestial bodies and the relation between the human soul and body were linked together, laying the foundation for a cosmology of music based on number. Consequently, certain intervals influence the human soul, but so do celestial bodies. Stars and planets, moving in a harmonious geometric relation to one another, also create a celestial harmony which is inaudible to the restricted human ear. This concept of a *musica mundana* (celestial harmony) was further developed by Pythagoras and the Greek theoreticians as a counterpart to the equal-

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ly speculative *musica humana* (the 'harmony between soul and body') and the *musica instrumentalis* (audible music, 'music' in the sense we use the term). The audible music thus became a microcosmic image of a divine creation, a link between this visible world and the transcendental, powerful as an ethical force to uplift or corrupt man by means of the concept of *musica humana*. This speculative, mathematical basis of music became the rather vague motivation for Plato's Ethos-doctrine. Numbers acquired a magic, symbolic meaning not to be tampered with. Pythagoras tried to calculate all intervals by means of the numbers one to four, since $1 + 2 + 3 + 4 = 10$, and ten is a perfect number. This might also explain the initial use of only four strings on the Greek lyre and of four-note scales (*tetrachords*) as basic units. An increase in the number of strings on a musical instrument was regarded as sacrilege. This symbolism of numbers existed also in the ancient Jewish culture and religion; the idea of the creation as something harmonious which sings and praises the Lord partly accounts for the wealth of symbolism in the Old Testament.

With the Christian era these ancient speculative concepts were adopted and explained in Christian terms in the Alexandrian theology. As in Greece and Rome, music remained a discipline of mathematics in the medieval system of the seven *Artes liberales* (the mathematical sciences constituting the *Quadrivium* being Geometry, Arithmetic, Astronomy and Music; the linguistic subjects constituting the *Trivium* being Grammar, Dialectics and Rhetoric). In Biblical symbolism the number three is seen as perfect; with the introduction of rhythmic modes in the twelfth century only triple metre and threefold subdivisions of note values were used. When binary rhythm is introduced in the fourteenth century, it is seen as part of the secular tendencies of the *Ars Nova* and is censured by the church, since the number two is 'imperfect,' hence of a 'wordly' nature. The use of semantics and other forms of musical symbolism is retained in the Renaissance in the form of riddle canons and other manneristic devices (e.g., Ockeghem), and is combined with sound imitation (the new rationalistic *imitatio naturae*) and the creation of moods (especially following Josquin in the early sixteenth century).[41]

When music became a discipline of rhetoric (part of the linguistic sciences) during the Baroque, the art of musical symbolism, semantics, imitation and a cabalistics of number did not die out; it received new stimulus from the renewed emphasis in the arts on the metaphysical and the transcendental. The seventeenth century theoreticians (such as Mersenne[42] and Kircher[43]), therefore, still conveyed the ancient speculative concept of a musical cosmology (*Musica mundana*), of a celestial, inaudible harmony based on number. Similarly, composers and

theoreticians display a profound knowledge of the traditional symbolic arts. In the introductions to his compositions and an unpublished treatise Bach stressed the functionalism of music in terms of a deeper symbolism. According to Blume, music that reflects in its number and rule the divine world order, that is based on the *harmonia aeterna* and laws of nature, is for Bach real functional music which deserves to exist. In his 'Instruction in Figured Bass' Bach describes musical harmony built on the Generalbass in terms of such religious symbolism (see above). Studies of various treatises by contemporaries of Bach like Werckmeister[44] have revealed a musical practice still actively employing musical symbolism. Analyses of Bach's textual music, and more recently of his purely instrumental compositions, have indicated a wealth of latent symbolism, semantics and cabalistics of number, allegory and imitation.

In his *Clavierübung*, 3rd Part, consisting of various organ choral preludes based on hymns from the regular Lutheran Communion service, Bach uses as framework a 'Trinitarian' Prelude and Fugue (the '*St. Anne's*,' BWV 552): the majestic Prelude is based on three themes, the Fugue on three which are cleverly interlocked. In the Credo of the *B minor Mass* Bach uses the word *Credo* $7 \times 7 = 49$ times, *in unum Deum* $7 \times 12 = 84$ times; at the end of the fugue *Patrem omnipotentem* Bach significantly adds the number of bars (84).[45] He not only wrote his own name by using the German note names B-A-C-H (B flat-A-C-B) but, in the tradition of Werckmeister, Picander and J.J. Schmidt, did so by means of number cabalistics (as Friedrich Smend[46] has shown by extensive analysis and research). In the *Orgelbüchlein* a combination of symbols, allegory, imitation and semantics of number is used: allegory in the form of associative motifs, e.g., 'rocking-,' 'fall-' and 'damnation-,' 'ascension-' and 'descension-' motifs; imitation by means of 'knocking-,' 'trembling-,' 'trumpet-' motifs; semantics of number (e.g., twelve to symbolize the Old Year in *Das alte Jahr vergangen ist)*; symbolism, e.g., strict imitation or canon as symbol of 'following,' 'obedience,' 'bondage,' 'captivity.'

Significant for an understanding of Bach's music is that, no matter how spontaneous or inspired it sounds, behind the seemingly musical construction and the psychological aspect of mood creation, there exists a structure of a more abstract nature. The two levels of communication, the affective and more abstract symbolism, usually complement one another. A rendering of his music should therefore not be restricted to a purely emotional level, or become a purely abstract reflection of a rational art. It should recognize this kind of Baroque *Gesamtkunstwerk* (total, integrated work of art), which relied on century-old concepts, and which is rooted in Bach's musical philosophy. That Bach was attacked

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during the late 1730's by the younger Johann Adolph Scheibe,[47] a fervent
supporter of the new purely naturalistic aesthetics of the Enlightenment,
is evidence of Bach's traditional ideas. In the spirit of the new generation
he denounced Bach's symbolism and metaphysical emphasis and urged
him to follow the new naturalistic ideal, to express his own natural emo-
tions in an uncomplicated musical style, instead of reflecting a
speculative, transcendental world or creating a prescribed mood by
means of complex music.

Two short examples of Easter music from the *Orgelbüchlein* may serve
to illustrate the combination of mood and more abstract symbolism in
his chorale preludes:

1. *Erschienen ist der herrliche Tag*

'The glorious day has come, for which no man can be joyful enough:
Christ, our Lord triumphs today and carries with him all his enemies in
captivity. Alleluia!' The metaphor is the one used by the apostle Paul
to portray Christ's triumph over death and damnation. The enemy, in
accordance with Roman custom, is tied to the victor's chariot for a
triumphant procession through the city. Bach unites symbolism and
mood very effectively. As symbol he uses a canon (strict voice imita-
tion) between the upper voice and the bass. In effect the bass is 'tied' to
the upper voice and 'dragged' along at a fixed distance. The metaphor
of the 'captive' enemy becomes completely clear in this context.
Simultaneously the basic mood of triumph is created by the use of a
pompous, anapestic rhythm-motif (short-short-long) in the central
voice parts and the triumphant climax in the change to D major (tierce
de Picardie) in the final cadence (Ex. 30).

Ex. 30

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This example clearly illustrates the difference in communication level between direct and indirect symbols. While the triumphant mood of the music is directly experienced by the listener, the symbol of 'capitivity' requires familiarity with and decoding within the Lutheran theology. The same applies to the next example.

2. Jesus, Christus, unser Heiland

'Jesus Christ, our Redeemer, who has triumphed over death, is risen and has taken death into capitivity. Alleluia!' The celebrative mood is captured by the subdivision of the 4/4- into 12/8-metre by means of triplets. A change from basic binary to triple note values was often used before Bach (by Schütz, e.g.) to capture, portray and symbolize something of the blissfulness and joy of the heavenly, ethereal and perfect. Apart from the basic mood and the use of semantics of number, the resurrection itself is portrayed allegorically by a dynamically ascending, leaping interval. This resurrection-motif of two ascending notes occurs in all the voice parts and in various intervals ranging from the second to the full octave. It is most effective because of the emphasis on the second, 'off-beat' note which is tied to the next group of notes (Ex. 31).

Ex. 31

In conclusion, recognition of the rhetorical and other symbolic aspects of Bach's organ music is not only a matter of importance to the music

historian. For the listener it means a keener perception of Bach's musical idiom as well as added enjoyment; for the performer, an appropriately rational-affective rendering with its implications for articulation, ornamentation, choice of timbre, dynamics, tempo and agogics.

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Addendum I

Some of the approximately 82 different musical tropes and figures developed from the sixteenth to eighteenth centuries:

Grammatical and pictorial figures:

Anabasis:	Ascending scale (e.g., 'ascension of Christ')
Circulatio:	Circulating movement (e.g., revolving movement, 'encirclement')
Katabasis:	Descending scale (e.g., 'descent,' 'depression,' 'humiliation')
Hypotyposis:	Tone painting (imitation in music of sounds, movements, gestures of specific qualities of an object)
Passus duriusculus:	A dissonant melodic progression (e.g., the tritone)
Saltus duriusculus:	Dissonant interval (e.g., diminished and augmented intervals)

Affective figures:

Anaphora (Repetition)	and other kinds of repetition: Extended (Paronomasia), emphatic (Epanalepsis), varied (Variatio), divergent (Polyptoton), with similar phrase endings (Epistrophe)
Antitheton:	Antithesis (any musical contrast, e.g., inversion of a motif)
Aposiopesis:	General pause, silence (to depict death, sighing, deep sorrow, awe)
Congeries:	Accumulation of the same idea

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Dialogismus:	Musical dialogue (e.g., the antiphonal style, concerto grosso, organ dialogues)
Distributio:	'Analysis' of the main idea, the fractionation of a theme into small motifs
Dubitatio:	Expression of doubt and uncertainty (e.g., dubious modulation, sudden standstill)
Ellipsis:	Ellipse, a 'wrong conclusion' (illogical progression, disruption of an idea, deceptive cadence)
Emphasis:	Emphasis (accent, an emphatic chord)
Exclamatio:	Musical exclamation, e.g., by means of a note or chord that is not sustained but broken off
Gradatio, Climax:	Musical climax, e.g., by parallel ascending voices
Hyperbaton:	'Wrong order' of notes, 'distortion' of a theme or motif because of excitement
Hyperbol:	Hyperbole, exaggeration in music
Interrogatio:	Question or rhetorical question (e.g., an ascending appogiatura in a half-cadence)
Metalepsis:	Premature conclusion (premature entry of a voice or motif)
Mimesis:	Ridicule in music (e.g., repetition in a dialogue at a different pitch level)
Parrhesia:	Harsh expression of rage, conflict, anguish, pain by means of dissonants and dissonant chord-progressions
Pleonasmus:	A redundant repetition of an idea because of emotional involvement
Polysyndeton:	Postponement of the final cadence
Tmesis:	Disruption of a melodic line by inserting rests (as an expression of deep sorrow and sighing)

Addendum II

The educational system in Germany during the Baroque period:

Theology

Metaphysics

'Real' sciences:
Astronomy, Medicine,
Geography, Maths, History,
etc.

'Instrumental' sciences: Grammar,
Logic (Dialectics) and Rhetoric (in-
cluding Poetry and Music)

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Notes

1 Research on musical rhetoric and symbolism was pioneered by German musicologist Arnold Schering at the beginning of this century. What had been . earlier considered as Bach's unique musical vocabulary for conveying textual ideas (by, e.g., Albert Schweitzer), proved to be a 'vocabulary' of musical rhetoric widely used since the sixteenth century, and of an ancient musical symbolism still alive in Bach's time. More than 200 treatises from the sixteenth to the eighteenth century provided a theoretical basis for subsequent musical analyses by Schering and others. A complete list of published research on this subject is beyond the scope of this paper. For Bach, cf., e.g., Albert Schweitzer, *Johann Sebastian Bach* (Leipzig, 1908; reprint Wiesbaden: Breitkopf und Härtel, 1960); Rudolf Wustmann, 'Tonartensymbolik zu Bachs Zeit,' in *Bach-Jahrbuch* (1911), pp. 60 ff.; Arnold Schering, 'Die Lehre von den musikalischen Figuren im 17. und 18. Jahrhundert,' in *Kirchenmusikalisches Handbuch* (1908), pp. 108ff.; also, 'Bach und das Symbol,' in *Bach Jahrbuch* (1937), pp. 83-95; Hans-Heinrich Unger, *Die Beziehungen zwischen Musik und Rhetorik im 16.-18. Jahrhundert* (Würzburg: Konrad Triltsch, 1941; reprint Hildesheim: George Olms, 1969); Friedrich Blume, 'J.S. Bach,' in *Die Musik in Geschichte und Gegenwart*, vol. 1 (1949-51), pp. 962ff.; Arnold Schmitz, *Die Bildlichkeit der wortgebundenen Musik J.S. Bachs* (Mainz: B. Schott, 1950); Jacobus Kloppers, *Die Interpretation und Wiedergabe der Orgelwerke Bachs: Ein Beitrag zur Bestimmung von Stilgerechten Prinzipien* (Ph.D. Dissertation, J.W. Goethe University, Frankfurt/Main, 1965; distributed by Bärenreiter Antiquariat, Kassel); Timothy Albrecht, *Musical Rhetoric in Selected Organ Works of Johann Sebastian Bach* (Dissertation, University of Rochester, 1978); Warren Kirkendale, 'Ciceronians versus Aristotelians on the Ricercar as Exordium, from Bembo to Bach,' *Journal of the American Musicological Society*, 32 (1979), 1-44; Ursula Kirkendale, 'The Source for Bach's "Musical Offering": The "Institutio Oratoria" of Quintilian,' *Journal of the American Musicological Society*, 33 (1980), 88-141.

2 Cf. Heinrich Lausberg, *Handbuch der literarischen Rhetorik: Eine Grundlegung der Literaturwissenschaft* (Munich: M. Hueber, 1960), pp. 140ff.; Edward P.J. Corbett, *Classical Rhetoric for the Modern Student* (New York: Oxford University Press, 1971), pp. 3ff.; Unger, *op. cit.*, p. 3.

3 *Ibid.*, pp. 17-20.

4 Athanasius Kircher, *Musurgia Universalis* (Rome: Francesco Corbelletti, 1650; reprint Hildesheim: George Olms, 1970), vol. 1, liber 5, cap. 19.

5 Johann Mattheson, *Der vollkommene Capellmeister* (Hamburg: Christian Herold, 1739), pp. 121-32.

6 *Ibid.*, pp. 235-36.

7 Cf. Unger, pp. 99-109; Kloppers, pp. 126-75.

8 Cf. Johann Mattheson, *Das Neu-Eröffnete Orchestre* (Hamburg: Schillers Erben, 1713), pp. 232-51; also Rita K. Steblin, *Key Characteristics in the eighteenth and early nineteenth centuries: A historical approach* (Thesis, University of Illinois at Urbana-Champaign, 1981), pp. 63-86.

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9 Johann Kirnberger, *Die Kunst des reinen Satzes* (Berlin and Königsberg: Decker & Hartung, 1774-1779), Vol. 2, pp. 102-104; Johann Joachim Quantz, *Versuch einer Anweisung die Flute traversière zu Spielen* (Berlin, 1752; reprint Kassel: Barenreiter, 1953), chapter 11 §16.

10 Kirnberger, vol. 2, pp. 105ff.; Quantz, chapter 11 §16; Mattheson, *Capellmeister*, pp. 160-70.

11 Kirnberger, p. 106; Friedrich W. Marpurg, *Anleitung zum Clavierspielen* (Berlin: Haude und Spener, 1765), p. 16.

12 Friedrich W. Marpurg, *Historisch-Kritische Beyträge zur Aufnahme der Musik* (Berlin: Schützens Witwe, 1757), p. 120.

13 Cf. Unger, pp. 63-96 for a complete list and description of these sources; also Arnold Schmitz, 'Figuren, musikalisch-rhetorische,' in *Die Musik in Geschichte und Gegenwart*, ed. Friedrich Blume, 4 (Kassel: Bärenreiter, 1955), 176-83.

14 Cf. Unger, pp. 112-18.

15 Cf. Friedrich Blume, *Renaissance and Baroque Music: A Comprehensive Survey* (translation of two of Blume's German articles by M.D. Herter Norton; New York: W.W. Norton, 1967), pp. 89-92.

16 Joseph Müller-Blattau, *Das Verhältnis von Wort und Ton in der Geschichte der Musik* (Stuttgart: Metzler, 1952), p. 12.

17 Kurt Huber, *Musikästhetik* (Ettal: Buch-Kunstverlag, 1954), pp. 45-47; Unger, p. 24.

18 Cf. also Müller-Blattau, p. 23.

19 Cf. Blume, *Renaissance and Baroque Music*, pp. 90-93.

20 Cf. *ibid.*, p. 89.

21 Cf. also Egert Pöhlmann, 'Antikenverständnis und Antikenmissverständnis in der Operntheorie der Florentiner Camerata,' *Die Musikforschung* (1969), pp. 5-13.

22 Cf. Kurt Gudewill, 'Heinrich Schütz,' *Die Musik in Geschichte und Gegenwart*, ed. Friedrich Blume, 12 (Kassel: Bärenreiter, 1965), pp. 213-14; H.H. Eggebrecht, *Heinrich Schütz: Musicus Poeticus* (Göttingen: Van den Hoeck und Ruprecht, 1959); H.H. Eggebrecht, 'Zum Figur-Begriff der Musica Poetica,' *Archiv für Musikwissenschaft*, 16 (1959), 57-69.

23 Cf. Adelheid Beckmann, *Motive und Formen der deutschen Lyrik des 17 Jahrhunderts und ihre Entsprechungen in der französischen Lyrik seit Ronsard* (Tübingen: M. Niemeyer, 1960), pp. 20, 30, 89-90, 130-31; cf. also Erich Trunz, 'Weltbild und Dichtung im deutschen Barock,' *Aus der Welt des Barock*, ed. Richard Alewyn (Stuttgart: Metzler, 1957), pp. 19-20, 30-31.

24 Cf. Mattheson, Capellmeister, chapter 13 §61, p. 103 §29; Johann Mattheson, *Critica Musica*, vol. 1 (Hamburg: im Selbstverlag, 1722), p. 199.

25 For a comprehensive list, cf. Unger, pp. 156-159 and Schmitz, 'Figuren,' pp. 176-77.

26 Verbal rhetoric underwent in itself a classicist transformation in Germany after 1700. Under the influence of Leibniz, Thomasius, Hallbauer, Gottsched and others it assumed greater clarity, directness and simplicity. Cf. Ursula Stötzer, *Deutsche Redekunst im 17. und 18. Jahrhundert* (Halle/Saale: M. Niemeyer, 1962), pp. 73-77, 90, 184-203.

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27 Cf. Blume, *Renaissance and Baroque Music*, pp. 111-12.

28 Mozart wrote in 1781: 'In the opera poetry should become the obedient daughter of music. ...' Cf. Friedrich Blume, 'Wolfgang Amadeus Mozart,' *Die Musik in Geschichte und Gegenwart*, ed. Friedrich Blume, 9 (Kassel: Bärenreiter, 1961), 791, 795.

29 Cf. Friedrich Blume, 'Die Musik des Barock in Deutschland,' *Syntagma Musicologicum*, ed. Martin Ruhnke (Kassel: Bärenreiter, 1963), pp. 195-96; Friedrich Blume, 'J.S. Bach,' *Die Musik in Geschichte und Gegenwart*, ed. Friedrich Blume (Kassel: Bärenreiter, 1949), p. 103; Walther Blankenburg, 'Bach und die Aufklärung,' *Bach-Gedenkschrift*, ed. Karl Matthaei (Zürich: Atlantis, 1950), p. 31.

30 Cf. Blume, 'Die Musik des Barock in Deutschland,' p. 195.

31 Printed in Philipp Spitta, *J.S. Bach*, 5th edition (Wiesbaden: Breitkopf und Härtel, 1962), vol. 2, pp. 915-16.

32 Cf. the controversy following Blume's 'new Bach concept': Friedrich Blume, 'Umrisse eines neuen Bach-Bildes,' *Musica* (1962), pp. 169-76.

33 Johann Nicolaus Forkel, *J.S. Bach: Leben, Kunst und Kunstwerke* (Leipzig: Hoffmeister und Kühnel, 1802), pp. 24-25.

34 Birnbaum mentioned this in his defence of Bach against Scheibe, who favoured the new eighteenth century rationalistic and naturalistic tendencies in rhetoric and musical composition. Bach's musical rhetoric, which included various archaic tropes and figures and a complex religious symbolism, was unacceptable to Scheibe. Cf. Johann Adolph Scheibe, *Critischer Musikus*, 2nd edition (Leipzig: Breitkopf, 1745), p. 997.

35 Cf. Blume, 'J.S. Bach,' p. 1028.

36 Cf. Wilibald Gurlitt, 'Musik und Rhetorik: Hinweise auf ihre geschichtliche Grundlageeinheit,' *Helicon Revue internationale de la literature*, 5 (1944), 69.

37 Cf. also Kloppers, pp. 78-90, 113-21.

38 Mattheson, *Critica Musica*, vol. 1, p. 199.

39 As summarized in Blume, *Renaissance and Baroque Music*, pp. 112-16; also Blume, 'J.S. Bach,' pp. 1030-31.

40 See, i.e., Huber, pp. 45-47.

41 Karl H. Wörner, *Geschichte der Musik* (Göttingen: Van den Hoeck und Ruprecht, 1965), pp. 147-149; cf. also Blume, *Renaissance and Baroque Music*, pp. 5, 6, 10.

42 Marin Mersenne, *Harmonie Universelle* (Paris, 1636; reprint edition, Paris: Centre national de la recherche scientifique, 1963).

43 Kircher, *Musurgia Universalis*.

44 Andreas Werckmeister, *Musicalische Paradoxal-Discourse oder Ungemeine Vorstellungen ...* (Quedlinburg: T.P. Calvisius, 1707).

45 Blume, 'J.S. Bach,' p. 1030.

46 Cf. especially Friedrich Smend, *J.S. Bach bei seinem Namen gerufen: Eine Noteninschrift und ihre Deutung* (Kassel: Bärenreiter, 1950).

47 Scheibe, p. 890.

VII.   THE LOGICAL ASPECT OF MUSIC
[FORM AND STRUCTURAL PROCESSES; DUALISTIC CENCEPTS; EMPIRICAL MODELS; HUMOUR AS THE ILLOGICAL AND PARADOXICAL]

Musical composition is a structuring of what is musically imagined. This process is grounded in logic. This does not mean a predictable outcome. Performance of music always involves re-imagining, re-interpretation of the text in which the personality and physical aspects of the performer (performance techniques), the environment (location and acoustics), instruments, acoustics), , etc play an important part. In this sense music is always "new". Post-modernism has emphasised the "creative chaos" aspect of life (God as a "playful artist" rather than a "clockwork mechanic"), including music, the indeterminacy/chance aspect of music, the improvisational and the creative role of the performer. It has also demonstrated that the difference of effect of highly structured/controlled music (e.g. totally serialised music) and "chance" music is not that different. The "creation" of totally "chaotic" music is not possible, since "chaos" is merely a negative counterpart of "form".

In music the "illogical" has always played an important role as well in surprising and amusing us.

In traditional composed music "structuring" was an intentional goal. The processes in these will next be examined.

"FORM" AND THE STRUCTURAL PROCESSES IN MUSIC

Music is structured sound. "Formless music" is a paradox.

The very basic element of music is *sound*, which, in itself, is a *structured* phenomenon. Its four qualities (pitch, metre, dynamics and colour) display *structural* elements, such as periodic repeat (pitch as the number of periodic *cycles per second*), ambitus (dynamics), the overtone structure (timbre) and time structure (metre). This elemental structure of musical sound was understood by some philosophers as the *only structure* that exists in music. Even in the time of the 18th century "Enlightenment", the philosopher Kant knew only this kind of elemental structure for music. As someone who raised "structure" to be the *requirement of artistic value*, he dismissed music as inferior, since this structure of music disappears with the fading of the note. He could not understand that music is "fluid architecture" and that *time structures* are created, which have the same constancy and endurance as other forms of art.

In creating music from sound elements, composers combine these elemental qualities in an original way to create larger structures*. In the process they will *eliminate* what is not useful, (*select what is useful), focus* on primary elements against peripheral ones, and *'convey* or *express* something (abstract idea, ethical or social concepts, emotions etc. Musical composition can thus be described as a process of *restriction, centring (focusing) and expression /conveyance.*
 (Note: The order of these three can hardly be determined and they are always integrated).

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*[Note: The possibilities of combination of these elemental categories are unlimited, yet not every combination of musical sound constitutes music, for music is "organised" sound. Even in "indeterminate music" *structuring* takes place: Its basic structures are provided by the composer, its final structuring process merely transferred to the performer and listener.]

1) Elimination/restriction/selection:

When composers start writing, they work with *pre-structured* material *beyond* the elemental structures mentioned, for they are working within a certain *convention/tradition* with *pre-selected materials.* Non-usable sound has been eliminated (e.g. certain noise), the range of frequencies and dynamics has been determined by the limitations of the human ear, a certain combination of semi- or whole tones ("scales", "modes") provides the basis from where the compositional process can start (e.g. our piano represents our western selection of useful intervals, the so-called diatonic-chromatic system). The process of composition, of further structuring involves *further restriction* of the basic material "structuring" requires further selection (certain pitches, dynamics, note-values and timbre for a musical theme; certain keys e.g. C major, D minor, etc. or no key; certain time signatures and tempi, tone colours, harmonies, dynamic values, etc.). Integrated in this process will be the *selection of gravitational centres* (centring/focusing) in order to *communicate* or *express*.

2) Centring/Focusing:

Within the combinations selected, some have to serve as *primary*, *gravitational* structures, as *centripetal forces* against others of a *secondary, transient*, *"foreign", centrifugal* nature. Thus main themes against secondary, transitional ideas or motifs; main key (Tonic) against other keys, which will play a temporary role in a movement; harmony against discords; regular main beats against irregular or syncopated beats, etc. These two opposing forces act against each other and from the constant resulting conflict music draws its ability to *express tension*, *climax, relaxation, conflict, various moods and emotions.*

3) Expression/conveyance: The composer as a creative being restricts, focuses and organises sound with a sense for logic, beauty and as a means to *express emotions* or *convey ideas* or images. Through these forces music displays its nature as "human" art.

The three structuring processes described above are so intertwined that one cannot imagine them separately and their order may vary. Beethoven, e.g. may start with an abstract idea, which will be translated into the other two processes. Sometimes, as Schumann has pointed out, the process starts at the other end, with the composer "dabbling" with notes/piano keys which ignites an idea or musical imagination.

DUALISTIC TERMINOLOGY AND CONCEPTS:

Examples of dualistic thought are music as having "form" and 'content" or being distinguishable into "absolute" music" versus "program music".

"Form" and "Content" in Music:

A common misconception about music is one viewing music as having a "framework" or "form" which can be filled with some "content" (emotions, expression, etc.). This is a dualistic approach to music (see introductory chapter on a Philosophy of Music). Whatever emotion, language, symbol, tone painting or expression is reflected/conveyed in music, takes place only through structuring of the elemental qualities of sound (pitch, dynamics, metre and timbre). "Form" and "content" in music cannot be separated as if they were *components* (things"). They are *qualities,* which *are* so interwoven that they are hardly distinguishable. Instead of the terms *"form" and*

"content" we should use terms such as "*structural quality*" and *other qualities* (to be *named*, such as *emotional/religious/social/moral/biologica/kinematic/historic/linguistic* qualities).

"Pure Music" versus "Expressive" and "Program Music":

This established terminology is likewise dualistic and stems from the same misconception as the former. The impression is created as if "pure", "expressionless" music exists for its own sake, isolated from life, "absolute music" without any emotion, language, symbol, etc. This is contrasted by an "opposite" kind which tries to express, suggest or paint life experiences, emotions, events, etc., called "Program Music". *All music is rooted in life and reflects all its aspects*. It is true, however, that *different aspects gain prominence* in one musical work to another: There is e.g. music with a pronounced, *abstract*, *mathematical* emphasis; it can have a *sensual, biotic* focus; it can have an *emotional, even neurotic* character (e.g. some of Mahler's symphonies); it can be *rhetorical* or s*ymbolic*; it can be purposefully *traditional*, "old-fashioned"; it can be written with strong *social* emphasis, etc. In using the terms "absolute" or "pure music" on the one hand and "program" music on the other, it should be kept in mind that the terms indicate a difference in *emphasis* rather than *two separate kinds* of music.

Music as having a "metaphysical", "invisible state of existence" and a "visible/"audible", "revealed" one:

This dualistic view of music does not divide music into "form" and "content", but views music as having a metaphysical (invisible and inaudible) pre-existence, which becomes "revealed", "incarnated" in physical sound (see also introductory chapter on Philosophy of Music). This is an Idealistic view, which separates music into physical and the metaphysical, "matter" and "spirit". In this process the composer becomes a "genius", the "hand" or "scribe" of an impersonal, all-embracing Spirit ("the Metaphysical Absolute").

For the Christian, God is the Source of our existence, and whatever artistic gifts we have, stem from God. This connection is never denied. But God does not hand us art or music on a platter. It involves hard work, learning, trial and error and the result is a personal, human art, which could be used to God's glory or to human self-gratification.

In the next chapter, *Aesthetics of Music*, the prominence of these dualistic concepts of Music will be demonstrated.

EMPIRICAL, CONVENTIONAL MODELS OF FORM:

The way or manner in which composers organise, structure the elemental musical material (according to an artistic ideal), is unlimited in its possibilities. They can do the structuring according to *abstract mathematical formulas* (e.g. the 12-tone and serial music of our time), or according to the structures of *rhetoric*, etc.

Through the centuries certain models of form have developed in musical practise (empirical models that became conventions of thought) ranging from minute structures to extensive ones. As live music was once integrated with language and the dance (e.g. ancient Greece: the Greek

drama) and has for a long time been tied to a text (e.g. in the Medieval period) it has drawn many structural concepts from the *dance* and from *language*. At the same time music was theoretically seen as a *mathematical art of intervals, numbers* (since ancient times till ca. the Baroque), which resulted in new, more abstract, sometimes symbolic, musical forms in Medieval times. [The way and manner in which rhetoric influenced music since the end of the 16th century has already been discussed, as well as the influence of various symbols, numerical concepts, etc.]

Although all music is structured, a specific awareness of structure and structural models was developed during the 18th century (it can be regarded as a result of the rationalistic philosophy of the time). Since music was so strongly influenced by *language* during the preceding period, the models of form which started to crystallise, were very *similar to that of language*: miniature structures of sound, called "motifs", which can be combined or extended to form greater structures like "phrases", "sentences", "sections", "movements", etc. Similar to punctuation, certain "cadences" were developed to mark a complete sentence, an incomplete sentence, etc. Most of the music from this period (Classic period) contained one or more "themes", which can vary in nature and length: some may be short and identical with "motif", others continuous like an extensive hymn.

Thus "motifs" can be extended to form a phrase (as part of a three, depending on its length). These can be elaborated upon (in the form of extension or variation) to form a sentence, followed by transitional or contrasting material to form a main section. This section can be developed or contrasted by another, finally forming a movement (of a sonata, symphony, etc.).

Another model is that of simple repetition and /or variation of a theme (the latter in the bass or as melody). Many of the repetitive structures of music stem from the *dance* where a melody or theme was used to improvise upon. A popular feature of all fold songs is the refrain, a melody which keeps returning at the end of each verse. The Rondo, e.g. is based on the refrain-life structure A B A C A D A, etc.

The more mathematical, abstract models of composition can be seen in the polyphonic music starting in the Middle Ages (music containing more than one voice part and which is written in a horizontal, linear fashion), e.g. the Fugue as an imitation structure or the Canon as an exact imitation. The mathematical approach to musical composition became again very prominent in the 20th century with the serial music.

To illustrate some of the above models and forms frequently used:

Miniature structural elements:

MOTIF:

A musical impulse (melodic and/or rhythmic) comprising a small number of notes which can be extended in a number of ways to form a complete idea, theme, sentence, etc.

Beethoven, Symphony 7, 2nd Movement: motif — Phrase — Musical Sentence — Phrase

CADENCES:

Serve the same structural function as punctuation marks in written language (period, comma, semi-colon, exclamation mark, etc.), marking a musical phrase or sentence as complete, incomplete, or interrupted. They are called Perfect, Imperfect, or Half (Unfinished), Plagal and Deceptive and described as a chord sequence within the main key (= Tonic or I):

PHRASE: Musical idea ending in a cadence. Two phrases, the first ending in an imperfect cadence, the second in a perfect cadence form a complete musical SENTENCE.

Mozart: Piano Sonata in A Major

SENTENCE: See 3.

THEME: A complete musical idea of relative length, e.g. a sentence or a sequence of sentences. Quite often a "theme" is "open" like a motif, being composed of motifs which can be extended and varied without taking the shape of well-balance phrases and sentences., e.g.

Beethoven: Eroica Symphony, 1st Movement, 2nd theme

Themes can be treated in various ways to create greater forms or structures. It can be varied, repeated, imitated, alternated (by another theme or themes and linked by a "bridge passage" or "transition"), creating greater sections. The section can again be counter-balanced by a similar, inverted section creating BINARY FORM; it can be repeated after a contrasting middle section (-TERNARY FORM) etc.

Larger form models frequently used:

STANZAIC OR HYMNIC FORM:

This form was derived from the Art Song of the Middle Ages, which was based on poetry subdivided into similar stanzas. Each stanza has the same metre, but the length of the lines can vary. A popular stanzaic model was the "Bar Form", *Stollen-Stollen-Abgesang* of the Minnesinger, which became the basis for many 16th century hymns as well. This form can be viewed as an early forerunner of the 18th Century Sonata Form. A stanza can also have an internal ABA form or other possibilities.

Stanzaic form is most commonly used in Art Song based on stanzas (e.g. Schubert's *Zum Wandern*). It is also used in instrumental music based on a hymnic or stanza-like theme, in which the theme becomes varied (eg. Beethoven's 9th Symphony, "Ode to Joy" theme; Brahms's Symphony #1, last movement; Beethoven, Piano Sonata Op. 111, last movement).

In Art Song *Varied Stanzaic* form also occurs (Schubert, *Lindenbaum*).

OSTINATO:

A theme is continually repeated ("Ostinato" = "obstinate").

The repetition occurs mostly in the bass (*Basso Ostinato*) and is used in pieces such as the *Passacaglia* and *Chaconne/Ciacona*. The repeating bass motif forms the basis for a variety of devices, such as

-        a set of variations in the upper voices (e.g. Pachelbel's *Ciaconne in f minor;* Chopin's *Berceuse*)

-        the creation of a counter-melody in the upper voices, whose melodic phrases are not necessarily synchronous with the breaks in the bass melody (Purcell, *Dido's Lament*)

-        the creation in the upper voices of contrapuntal or canonic devices with a climactic built-up(e.g. Pachelbel's *Canon and Gigue;* Bach's *Crucifixus* from the B Minor Mass)

VARIATION:

A theme is used in a set of variations which can differ in style and character. The theme (which can be short or having its own internal "form model", e.g. ABA, binary etc) can be "decorated", "embellished" by melodic ornaments, by changes in meter, rhythm and dynamics. If the *mode* is *changed* (from major to minor or vice versa), there is a change in *mood* resulting in a *character variation*. Variations can range from fairly strict (keeping close to the basic theme) to variations where only the vague outline of the theme is retained (e.g. Brahms).

IMITATION: A theme is introduced in one voice and then imitated in one or more voices while the first voice presents a counter-melody (called counterpoint), e.g.

```
VOICE 1:        THEME...COUNTERPOINT 1...COUNTERPOINT 2...COUNTERPOINT 3...
      2:            THEME      ............COUNTERPOINT 1...COUNTERPOINT 2...
      3:                          THEME      ...........COUNTERPOINT 1...
      4:                                                  THEME    ...
```

This strict order of counterpoints is not necessarily followed and the counterpoints are quite often free.

This is the basic organisation of the FUGUE (meaning literally one voice "fleeing" before the next voice pursuing him). Fugues can be written for any number of voices and the voices enter usually in a Tonic-Dominant-Tonic-Dominant relation. If the theme has appeared in all the voice parts, the first Exposition is completed. A fugue may consist of a number of expositions in various related keys, linked together by transitional or "bridge" sections.

If the imitation is *strict* (the one voice imitating the fugue and the subsequent contrapuntal sections exactly) it is called CANON.

RONDO FORM:

A main theme (A) is alternated by a second (B) or more themes, *couplets* (C, D, etc.). The A-theme is often called Refrain or *Ritornello*, as it keeps returning:

```
   A B A B A B A
or A B A C A B A
or A B A C A D A C A B A etc.
```

This form was also developed in the Medieval art songs and dances where the refrain was called "chorus"; the couplets "verses".

It was a favourite model for the final movements of works, especially the Concerto, since it lends itself to a pleasant, often care-free mode after the preceding, more tension-laden movements.

BINARY FORM:

A theme (or themes) in a section is counterbalanced in a second section, e.g. :

```
Theme: | A                                           | A
Key:   | (Tonic= I) modulates to Dominant (V) | :Dominant (V) modulates to Tonic (I): |
```

or

```
Theme: | A      Transition      B  |  | A      Transition      B |
Key:   | I      Modulation      V  |  | V      Modulation      I |
```

In a binary form there is no middle section.

TERNARY FORM:

A section is followed by a second (contrasting, or a development of the first) and then *repeated* in a third:

	Section	A	-	B	-	A	(Da Capo Form)
Or		A	-	A developed -		A	(developmental ternary)

If the section contains more than one theme:

1) If with contrasting middle section:

Theme		A			B		C			A	B
		I	modulates to		V		V modulates back			I	I
Or (minor key)		i	modulates to		iR		iR modulates back			i	i

(r = relative minor key; R = relative major key)

2) If with developing middle section:

Theme		A			B		A developed			A	B
		I	modulates to		V		V modulates back	I		I	I
Or (minor key)		i	modulates to		iR		iR modulates back	i		I	i

(r = relative minor key; R = relative major key)

The contrasting *Da capo* ternary form (ABA) was very popular and frequently used in Arias during the Baroque and Classic periods. The developing ternary form was also used in keyboard Sonatas and Symphonies, preparing the way for the SONATA-FORM or SONATA-FIRST-MOVEMENT FORM (which is a more elaborate kind of developmental ternary form with more than one theme).

SONATA-FORM:

A Sonata-form is a ternary form in which the first section contains more than one theme and in which the middle section is *not a contrasting* section, but a *development section*: the material used in the first (and third) section is developed (themes being broken up in smaller motifs and carried through a succession of keys):

STATEMENT OF THEMES (EXPOSITION)				DEVELOPMENT	REPEAT SECTION (REPRISE)		
A	Transition	B (or B1, 2...)	Coda	A, B (or A+B)	A,	Transition B,	Coda
I	Modulating	V	V	V modulating)	I	I	I
Or							
i	Modulating	iR	iR	iR modulating)	i	i	I

It should be stressed that composers seldom use these models in a pure form, but that they deviate freely. Each of these forms lends itself to a different *mode of expression*, they are rather *aesthetic models*, that can be utilised and moulded to fit the composer's intent.

Cyclic forms:

The above form models can combine to form works containing <u>more than one movement</u> (*cyclic form*) like the Symphony, Concerto, Sonata, Suite, etc. The Classic, Sonata, or Symphony often contained the following movements:

1	2	3	4
Sonata-Form	Ternary Form	Ternary or Binary	Rondo Form
(fast)	(slow)	(Menuet and Trio- moderately fast)	(fast)

A composer like Haydn frequently used Variation-form in the second movement and Sonata-form in the last movement; Beethoven Variation-form in the last (*Eroica*) and Sonata-form in the second and third movement.

HUMOUR AS THE "ILLOGICAL" AND "PARADOXICAL"]

Since Music is per definition *organised* sound, a *logical sequencing of ideas* is required.

Logic forms a great part of language and musical language (see study of Musical Rhetoric and Symbolism): One can hardly persuade a listener without applying logical argument, developing ideas in a coherent fashion, using an effective rhetorical structure and applying the art of "debating." Musical enjoyment stems, not only from the sound qualities (physical ones) we hear or from the emotions and moods evoked by music, but (among others) also from the *way the music is put together, its logical structure.*

Logic lies also at the root of the human ability to perceive, create or enjoy <u>humour.</u>
Humour is rooted in *paradox*, in a *perceived contradiction*.

Animals. e.g. also has a logical sense, but it is not developed to the point where they can be *amused by paradox*; they are merely puzzled, confused by any deviation from the expected. Their sense of language is too limited to apply or recognise paradox. Laughter and humour do not form part of their world.

Humour in life (including music) springs from the paradox/contradiction of what *ought to be* and what *actually is*; or of what is *thought to be* and what *actually is*; or what is *represented* and what

is. This can take on many forms, e.g. puns or wordplay (a word has more than one meaning and is deliberately used in the nonsensical one; a metaphor, idiomatic expression or proverb used in a

"literal" sense); in surprise; the unexpected; the illogical; exaggeration; twisted representation of reality (parodic imitation of speech or action or mannerisms, satire); in unexpected situations (situation comedy); in confusing fantasy and reality; in an illogical jumble of words or - in the worst examples of humour - slapstick (people behaving unusual, silly or forced in a ridiculous and demeaning situation because of a practical joke; pie-in-the face humour) or coarseness. "Black humour" arises from the paradox of making light of something that is actually very serious or depressing (jokes about death, handicap, suffering) - sometimes as a way of emotional escape for people affected.

In music, humour is likewise created through paradox: The unexpected, illogical or using a musical idea in a different context can be funny; so can exaggeration, mime, parody, musical satire or slapstick.

Examples of musical humour: - Haydn, *Surprise Symphony,* 2nd movement (unexpected)
or his *String Quartet Op. 33 ("The Joke"),* op. 33'
last movement (unexpected)
- Mozart, *A musical Joke* (unexpected, parody, the illogical, "petty" logic, exaggeration, etc.)
- Richard Strauss. Tone Poems *Till Eulenspiegel* and *Don Quixote* (situation comedy, parody, unexpected, the illogical, the exaggerated, etc).
- Many operas (situation comedy, parody, satire, exaggeration, contradiction, etc.)

VIII.THE AESTHETIC ASPECT OF MUSIC

1. Introduction: Defining Aesthetics and The "Aesthetic Mode":

Aesthetics is the science which studies *artistic enjoyment*, the *enjoyment of the artistic quality of life* and the *way that life quality is expressed in art*. It addresses questions such as:

> What quality of this object or piece of art makes it enjoyable to look at or to listen to?
> In the case of music: What makes this piece/song/work enjoyable to listen to?
>
> What process takes place in the listener in the act of enjoying music *beyond an emotional or physical response*?

This *"enjoyable"* quality of an object is called its *"aesthetic"* value. Sometimes the word "beauty" is used to convey the idea of the "aesthetic", but the term is too restrictive.

Everything in life has an *aesthetic side* (aspect/quality) to it, including nature, but nature does not have the *prime or exclusive function to be art.* It fulfils many functions and if an artist paints something from nature, he/she has to *focus on, draw out its underlying aesthetic qualities* (through the processes of selection/restriction, focusing and expression/conveyance) and eliminate those qualities which are not aesthetically usefull or which distract from the design. That is why good art is seldom a realistic photograph of reality, but a *stylisation of reality* or *allusion to reality* (see below). Art often focuses on a reality which is not visible to the camera, e.g. the hidden world of emotions, beliefs, dreams and concepts (see Expressionism, Symbolism). The same applies to music. Music has many qualities and it fulfils various functions (e.g. to make people dance, relax, pray, praise, march, etc.), but it is its *aesthetic qualities that quality it as art.* Since music is an *aesthetic concept of life through organised sound*, the Christian artist/musician will not ignore the hard, gritty, painful side of reality (fallen-ness), but will represent it in an *aesthetic way* and with a view to the ultimate wholeness of God's restored kingdom in Christ. The problem of an *aesthetic representation with* or *without* a *moral dimension* ("beauty" without "truth"; "beauty" is "truth") and the relative weight of each, defines musical approaches in music history and will be further discussed in Chapter XII (The Ethical Aspect of Music).

Philosophers and musicians have struggled to define *what the aesthetic side of music is*. Some (such as Hanslick, Kant ascribed its aesthetic quality to its *form (structure, organisation of ideas)*, which is reductionistic; others (such as Hausegger), to what it *expresses or symbolises* (feelings, ideas, morals, beliefs), equally reductionistic. Dutch philosophers in the Kuyperian tradition defined the aesthetic mode as "harmony" (Dooyeweerd) or the "schoone harmonie" (beautiful harmony, Rookmaker), a definition which is too narrow, since it excludes all non-harmonious music (e.g. monophony). If the term "harmony" is rephrased as "harmonious/proportional relations in art, including music", which could be applied to melody, metre, rhythm, dynamics and timbre (individually or combined) and the larger structuring of music, it becomes more useful (see below).

In our own understanding of the various life aspects (see Chapter #1), we can recognise the aesthetic aspect as representing something *unique (sphere sovereignty, modal sovereignty), yet refers to practically every other aspect in the modal scale*. The Assignment in Chapter I

illustrated e.g. that a music review, which is an aesthetic evaluation of a performance, refers to all aspects of life. *A so-called non-referential musical language is an illusion*. We may therefore *distinguish* but *not isolate* the aesthetic mode/quality from other modes (such as moral, religious, psychic, linguistic, biotic, numerical). Distinguishing what lies at the core of the aesthetic mode, is an ongoing challenge.

Calvin Seerveld describes the aesthetic aspect as an *allusive* one: Art alludes to life in an oblique, playful, pleasing manner. The allusion to life covers the widest possible scope, including spatial and emotional; *oblique* refers to the *way in which this allusion takes place*. In music, the earlier description of *structural processes* (which is more than an abstract "form" but includes "expression" or "conveyance"), attempts to describe this oblique manner.

Music is not to be viewed as *two components/objects* such as "form" and "content" (see Chapters I and VII "Dualistic concepts)", as some aestheticians tried to do, for "form" and "content" are both *qualities of music*. "Form" in music is merely the *structuring/logical unfolding* aspect of qualitative ideas (mathematical, kinematic, psychic, aesthetic, moral or other), which are erroneously described as "content". Yet, in the history of music, countless debates raged over these issues, which were dualistic in nature and could not be resolved.

The following classification of aesthetic views (under the dualistic distinction "autonomous" and "heteronomous"), by the German scholar, Felix Gatz (*Musikästhetik in ihren Hauptrichtungen. Ein Quellenlesebuch*, Stuttgart 1929) illustrates to what extent composers and philosophers were struggling to solve the problem from within a dualistic world view and - terminology.

2. Classification of aesthetic views according to Felix Gatz
(see next page):

XI Aesthetics (See also comments pp. 5-11)

XI AESTHETICS OF MUSIC

Aesthetics of Music is a discipline of Philosophy and Musicology. It focuses on the aesthetic value of music. It deals with questions such as: What gives a piece of music aesthetic value, what makes it enjoyable to the listener? What does a musical work of art consist of that qualifies it as art? What process takes place in the listener beyond a purely biotic or emotional one in the act of enjoying music? These answers are dependent on the respective view regarding the nature and essence of music i.e. on a philosophy of music.

TWO MAIN SCHOOLS OF THOUGHT – (see Felix Gatz'* classification)

A HETERONOMY AESTHETICS

*"The essence of M. to be sought outside M."
* "The principle and structure of M. To be sought outside of M."
*"M. points towards something outside M. which becomes either: expressed in Music OR embodied in Music

"CONTENT AESTHETICS"
Terminology "Form" – "Content"
4 Schools of thought:
1. Dogmatic School
2. Negative Content Aesth.
3. Partial Content Aesth.
"There are 2 kinds of M: with or without content:
4. Fictionalistic Content Aesth. – "M. does not have content (a deficiency) but can acquire one through combination with a text or in the fantasy of the listener".

"INCARNATION AESTHETICS"
"Being" – "Appearance"
2 Main Schools
1. Empirical School: "M. is an incarnation of something empirically real, e.g. the feelings of the artist
2. Speculative School: M. is incarnation of the metaphysical absolute, which exists before any music

AN AUTONOMY AESTHETICS

*"The essence of M. to be sought in M."
*" The principle and structure of M. to be sought in the sound structure itself"
*M. is music, "Sui generic", incomparable with anything non-musical
2 Main schools: M is either:

ABSOLUTE AUTONOMOUS
1. Empirical School (mainly artists, composers)

2. Speculative School (esp. philosophers, some artists)

APPROX. AUTONOMOUS
1. Empirical School (artists and some philosophers)

2. Speculative School (mainly philosophers)

* Felix M. Gatz, Musikästhetik in ihren Hauptrichtungen. Ein Quellenlesebuch. Stuttgart, 1929

3. The development of aesthetic thought in music history:

The concept of what Music is, its function and its aesthetic qualities, has changed through the ages, as the following diagram ("Development of Musical Aesthetics", next page) illustrates. It also explains the long and varied tradition of dualistic thought.

Music was conceived in the early stages as "heteronomous" (with its subdivisions as "manipulative tool", as "mysterious number" or – in the 18th century - as "expressive feelings"); more recently (since the 19th century), as "autonomous".

DEVELOPMENT OF MUSICAL AESTHETICS

I. HETERONOMY AESTHETICS
(Traditional concept)

II. AUTONOMY AESTHETICS
(More recent concept)

Concepts re: Music

a) Music as manupulative tool
(Affective theory)

b) Music as mysterious number. (Speculative theory/cosmology)

c) Music as expressive feelings (Sensualistic theory)

d) Music as "absolute" art

EARLIEST (1000 B.C.)

Music as magic

Music as number(c.1700B.C.)

LATE ANTIQUITY
EARLY CHRISTIAN
MEDIEVAL PERIOD

Music as ethos (moral power of music)

→ Number symbolism/cosmology

RENAISSANCE
BAROQUE

Music as rhetoric, as persuasive language music as psychological language)

Music as symbolic language including number (see also Leibniz (C17), Mersenne. Kircher.(Aesthetic value to be found in number-relations)

18th CENTURY

K A N T (1724-1804)
(Idealistic approach) "Form" as aesthetic criterium. Beauty in "form" ("M. has no permanent form)
HERDER

(Beauty to be found in "Feeling"
Music as expressive feelings (Thomas Reid, Brown, Hume)

Music as "absolute" art(relative autonomy)

19th CENTURY

HETERONOMY AESTHETICS OF C19

Idealistic School (Incarnation Aesthetics): Music as incarnated feelings or as physical appearance of "metaphysical absolute"

Music as form &/or content
*Dogmatic (Kant, Gervinus, Schlegel...)
*Form Aesthetics (Kant, Wolfskehl, Nägel)
*Partial content-Aesth. (Hausegger,Liszt Riemann, Busoni)
*Fictionalistic Content-Aesth.(Wagner, Lipps,Ambros, Vischer)

AUTONOMY AESTHETICS(c19)

Music as absolutely autonomous: Grillparzer, Herbart, Hanslick, Busoni Schering, Schönberg, Stravinsky, Halm, Kurth.

Music as approx. autonomous: Goethe, Herder, Schumann, Wagner, Liszt, Jean Paul, Wackenroder, E.T.A. Hoffmann Nietzsche

4. **Assignment: Analyses of Selected Composers' views on Music according to Gatz's classification:**

4.1. ROBERT SCHUMANN: AESTHETIC VIEWS

• Early   "In music mathematics appears formally as revelation, as creative idealism"

• Early   "Art must be petty if it contains only sound and no language or sign for the conditions of the soul". Subscribes to the idea of key characteristics.

• 1834   "The aesthetics of one art is that of another, only the material is different." Influence from literature.

• Later   Re: the difficulty of musical critique: "Poetry has…the word, other arts have nature from which they have derived their forms, as referee…, but music is the orphan, whose father and mother cannot be identified…".

• Concerning Berlioz, 1835:

> Disapproves of program as such, but states that music is capable of   evoking images or expressing character, mood. (Music should have intrinsic value).

• On Bennet's 3 Sketches ("The Millstream", "The Fountain" and "The Lake"), 1837:

> "They are, as far as timbre, faithfulness to nature and poetic concept are concerned, real Claude Lorrains in music, living sounding landscapes". In 1838: "Whether these sketches spring from inside to outside or vice versa does not matter and cannot be determined…The composers themselves do not know most of the time…If only music and autonomous melody remains, one does not complain but enjoy…"

• Preface to Symphony #1, 1841:

> "Painting was not my objective (goal)…" States that programmatic titles of piano music were added later.

• 1843:   "If a composer presents us with a program as a preface to his music, my reaction is: 'Let me first hear that you have created lovely music, afterwards your program will also give me pleasure'."

4.2.   FRANZ LISZT: AESTHETIC VIEWS

(1855: Essay on Berlioz's "Harold in Italy")

•   "Feeling incarnates itself in music…'" speak of music's outstanding quality communicate every inner feeling without the aid of the intellect…", it is the "embodied essence of feeling".

•   The program, as an added preface, only serve to "guard the listener from a voluntary interpretation of the work…; to focus on the poetic idea". Speaks of "indications" added which contain an image or indicate the feeling which the music harbors. And: "May heaven forbid that…one should renounce the old belief that the divine art does not exist for its own sake or does not ignite itself by its own divine spark….Who should dare to deny our sublime art the ultimate power of self-sufficiency?"

•   There are two kinds of composers and music: The "poet" who endeavors to "communicate his impressions and soul experiences" through music, and the "mere musician", "formalist" who "does not communicate to people his sorrow and joy", but puts together tones according to certain traditional rules", music without "life juice" or "passionate flame", "dry", a "crystallization of inorganic parts".

4.3.   RICHARD WAGNER: AESTHETIC VIEWS

- Early view (CA. 1840):

"…Where human language ends, music begins. Nothing is at present more unbearable than the tasteless images and little stories which are described as the basis of instrumental music. What a poverty of spirit and feelings is revealed when a listener can only remain actively involved during the performance of a Beethoven symphony by imagining some action of a novel during that flow of musical outpouring…" Beethoven's symphonies "are there for their own sake; not to stimulate the blood circulation of the pedant…; they are not obliged to impose themselves on the understanding of cold hearts".

- MIDDLE PERIOD ("Music and Drama", "The Artwork of the Future" ca. 1850):

Music does not contain an extra-musical content – a deficiency which can be remedied by combining it with the spoken word. Music was ideally integrated with the word and dance in ancient Greece. It lost this unity in Late-Antiquity, the Medieval period, but this has been gradually regained – through the Opera, the symphony (music + dance even music + word in Beethoven's 9th) – and was not reaching its culmination in Wagner's own "Music Drama" as a total, integrated art work, the artwork of the future.

- A LATE PERIOD (after 1857):

The symphony now appeared to Wagner as a "revelation from another world,… it reveals… a context of phenomena totally different from the usual logical one." Also, "Music does not represent ideas contained in the worldly phenomena, but is in itself a comprehensive idea of the world… Music contains in itself drama".

IX.   THE HISTORIC ASPECT OF MUSIC

1.   SYNOPSIS:

1.1   The human memory and musical reconstruction-in-time:

• Music is an art constructed in time
• The role of listener's/performer's *memory* in *reconstructing* the musical work as "*fluid architecture*"
• The listener's dependence upon *recurrence (repetition)* of a musical idea (from minute motifs to larger themes or sections) at specific time intervals in some manner (e.g. as an exact repetition, extended repetition, varied repetition, elaboration, etc., all based on "historic reference"). Human limitation in continued enjoyment due to "fatigue", the hearing of the same work too often (*human limitation*, not *aesthetic deficiency of work*)

1.2.   "Historic" significance of music versus "aesthetic" value:

The "historic value" of a musical work considered by the Music Historian as of greater importance than its "aesthetic value", although the latter is not without significance

1.3. "Historic style" as criteria for the performance of music of the past:

• Style as an important historic element in performance
• Problems in performing (live reconstructing of) a musical work true to its "historic mode/style": "modernisation"/"actualisation" versus the perception of "sterile historicism"
• "Historically/stylistically informed" versus "authentic interpretation"; the danger of reductionism
      [See 2. For more elaborate discussion of issues involved]

1.4.   Historic consciousness in musical composition:

• "Reactionary" composers drawing their inspiration mainly from the past, versus "*avant garde*" composers seeking new ways (e.g. Brahms vs. Wagner; Stravinsky vs. Schoenberg)
• Consciousness of individual *innovation/renewal/originality* and "*progress*" in music history (*Ars Nova/Ars Antiqua; Nuove Musiche, Musica Moderna*, etc.) in Western cultures vs the concept of a *stable tradition*, *community art, improvisation* in the Orient.

1.5   Historic consciousness in the preservation of music:

• Historic consciousness and preservation in musical cultures: Hand-signs and other memory devices (Egypt) for performers
• The development of musical notation: Greece, Early Medieval period
• "Historic" vs "prehistoric" music
• Historical information other than notation: iconographic methods and literary sources
• Modern CD sound recordings, audio-visual DVD/video recordings
• Preservation of musical data through documentaries and interpretative music histories.

1.6. The writing of Music History as a reflection of the historian's world-view (see 3., below)

[For other topics dealing with the historic aspects: See Music as Language (Chapter V.), Aesthetics of Music (Chapter VIII), Sociological aspects (Music History reduced to Social History, Chapter X), Style in Music (Ch. XIV) and Historiography of Music (3., below)

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2. BRIEF COMMENTS ON "STYLE AUTHENTICITY" AS A HISTORIC-BASED PROBLEM:

With all the research into "period instruments" and an appropriate ("authentic") stylistic performance of musical works from the past, many ensembles or individual players have performed and recorded historic works with a claim to "stylistic authenticity". In the quest to honour the composer's intentions in writing and performing the music (which is indisputable), the specific music has been linked to instruments or performers available to the composer at the time of writing. Bach's Cantatas, Passions became linked and restricted to male voices only, e.g. the roughly 32-member boys' choir of St. Thomas or to a vocal quartet. Organ music became linked to the local village organ (in Arnstadt, Lüneburg, Weimar, Köthen) or the rather mediocre organs in Leipzig, and their sound and playing possibilities became the "key" to unravel the actual rendering of the piece (stop combinations, articulation, etc). Bach's violin works were associated with *the* "Baroque Violin" and *the* "Baroque bow" (as if there was that amount of standardisation in the 18th century), mediums, which (again) carry the "secrets of the rendition of these works". The latter resulted in string performances without vibrato and a dynamic swelling on each note ("ballooning effect"), which became annoying to intolerable in the slow movements. Bach's keyboard music became restricted to the harpsichord or clavichord.

At the other end of the spectrum are those who argue that later instruments and techniques are superior to the older ones (the idea of "progression") and that historic works are "improved" by modernisation or at least made effective for "modern ears", which are different from 18th century ones. A famous conflict in this regard is that of Hanoncourt's "historically authentic" performance of Bach's Cantatas (at least until a few years ago when he discarded this stance) against Rilling's modernisation with mixed choirs and modern instruments.

Both of these extreme approaches are problematic. The first one *reduces* the interpretation and performance of a work to the *historic incidental* mediums. While a composer is certainly conditioned by his/her cultural environment, which includes the instruments and their playing styles, most composers compose away from an instrument or medium. The sound realisation is in their imagination and transcends the local mediums and their limitations. Bach stated e.g. that he found the harpsichord *seelenlos* ("without soul") and preferred the dynamically more flexible clavichord. The clavichord is in many ways an ideal instrument for a more chamber music environment, but too soft for concert hall performances. What it lacks in volume, it makes up in terms of brightness. The modern concert grand piano has the volume and dynamic flexibility but is more lacking in brightness and transparency (needed in contrapuntal works). Bach found only one third of the singers of the St. Thomas boys choir "useful". That many of his cantatas were originally court cantatas with no liturgical purpose (therefore not restricted to male voices only) and that Bach was known to adapt his music at repeat performances to available instruments or singers, signals far greater flexibility and adaptability in the performance practise of his time.

The second, "modernising" approach, at the other extreme of the spectrum, suffers from an *inverted* "historistic" approach. The assumption that "later" is necessarily "better", stems from a linear "progressive" assumption of human history, that is very problematic.

As in the case of *other* aspects, the *historic* aspect is of great significance and should play an *informative* role in the rendering of historic works, but the performance should not become *reduced* to it Reductionism). Aesthetic, psychological (including personal), biotic, kinematic and other elements are all involved in an appropriate rendition, which should rather be called a *historically informed* one.

Assignment:

Compare the following renditions of the same work by different performers/interpreters and evaluate them:

Handel, *Messiah:*   Overture (Thomas Beecham vs. John Elliot Gardiner)
                          Behold the Lamb of God (Thomas Beecham vs. John Elliot Gardiner)

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3.   PHILOSOPHICAL ASSUMPTIONS IN MUSIC HISTORIOGRAPHY

(Jacobus Kloppers, King's Faculty Colloquium Paper, March 8, 1984)

Historiography is the study of music histories, their approaches, internal organisation and their underlying philosophical assumptions.

1.   Introduction: The normativity of music history writing:

When our faculty historian, Dr. Groenenwold, dealt with the question "Can History be objective?" (in a previous King's Interdisciplinary Studies lecture), he had to answer in the negative. His conclusion: the historian's worldview will determine what is a historical (significant) fact.

This holds true for a "History of music" as well. The choice of a title such as "History of Music" already presupposes a specific view of music, which is different from say "Music in human history". The first title, ("History of Music") might be preferred by a music historian, the second, ("Music in human history"), by a general historian with a special interest in music. It might be argued that the two titles merely indicate a difference in disciplinary approach which is healthy (if general History is to be considered a "discipline"). Yet the title "History of Music" presupposes music as a somewhat "autonomous" art with a life of its own that can be traced in time. As I will point out later, such a "life of its own" concept of music is indeed often postulated: It is sometimes explained in evolutionary terms or in terms of an irreducible "aesthetic mode"; more often it is described in terms of changing musical elements and qualities (musical genres, forms, styles etc.) without any order or cultural explanation for these changes. This is specifically the case in the new descriptive, analytic approach of our century. A "Music in human history" approach on the other hand would regard music as a human activity, inseparable from human development and society at large.

Christian scholars are still in the process of developing and articulating a Christian philosophy and historiography of art in general: what "Art" (including music) is, what it does and how it develops. There is no unanimity on this. Actually, there is not *a* generally accepted "Christian Philosophy" to provide a framework from which to start. The closest attempt within the reformational tradition is the one by Herman Dooyeweerd, but it has not gone without challenges. In the Dooyeweerdian tradition various *autonomous modes* ("aspects of life") are postulated (each of which has representation in one or a group of academic disciplines), which are *autonomous* (the created sphere sovereignty" concept), but whose coherence is assured by their hierarchical order of complexity (from <u>number </u>to <u>faith</u>) as well as a system of "anticipations" and "retrocipations". Within this system/structure <u>music </u>and the other arts are represented by the "aesthetic" mode. Yet the "aesthetic" is only one - albeit <u>essential</u> - quality or aspect of music. Dr. Zuidervaart in his article "Towards a shared understanding of the arts" (*Pro*, Dec. 1982) pointed out that a description of this "aesthetic mode" (especially as something that has to serve for all the arts) is most difficult. Music, like any other object, has an aesthetic quality, but it does not serve an *exclusively aesthetic* purpose. It has various qualities and functions to fulfil e.g. as "Art in action" (cf. Wolterstorff). We can therefore point out various functions music has to fulfil in society, its reference to every conceivable mode or aspect. I can agree with Dr. Zuidervaart if he reads in Dooyweerd's position *the reduction of art (and music) to the aesthetic mode*, but this is not Dooyeweerd's position. Music's reference to all other aspects (see also Chapter I in this textbook), the fact that the aesthetic has anticipations and retrocipations, excludes such a reductionistic view.

As illustration of some of the conflicting explanations given by musicians, musicologists and philosophers regarding the so-called essential "aesthetic" quality of music the following can be cited e.g. "music is "<u>form</u>" or "<u>form with content</u>". "<u>form without content</u>" "<u>"dynamic form</u>" "<u>expression of feeling</u>" "<u>incarnation of the feelings of the composer</u>" "<u>incarnation (embodiment) of the metaphysical absolute</u>", "<u>music is music" (an "absolute art")</u>, etc.

If defining and its essential "aesthetic" mode proves difficult, it becomes clear that a <u>history</u> or development of this art is equally problematic. A music historian will point out e.g. that the "aesthetic" quality of music is not necessarily *the quality* that makes it <u>*historically* </u>significant. The first opera written is historically important primarily as the *first of a new genre*, even if it is not aesthetically excellent.

For the historiographer the pertinent question is: <u>What is historically significant?</u>; what can be seen as the starting point of a new tradition (e.g. a new style, style phase, period, genre, etc.)?; how would you define the historicity of a given work? The music historian - like the general historian - is naturally selective: he/she judges, weighs, classifies, compares, separates, excludes and ignores. In this process he/she cannot be "objective" or escape a philosophical bias. Even the attempt to simply "describe objectively" the selected musical material is a fallacy, since the "description" is coloured by the historian's concept of what music is, how qualities such as the "style", "form", "expressive quality" ("content"), etc. are to be understood, weighed and interpreted. When an attempt is made to move beyond his/her so-called "mere objective description" of the selected material and to interpret it historically, the philosophical bias becomes even more pronounced. All music histories display therefore a *philosophical bias* - one that is to *a large extent influenced by perceptions, philosophical notions or currents of the time and space in which the historian works.* The various "histories of music" (from the Renaissance to the present) tells us perhaps more about the constant *shift in perspective* than of a development of music as such.

The permanent state of flux of music history as an academic undertaking may also be explained by the fact that our information is constantly supplemented or overhauled:

- Hitherto unknown, yet influential compositions and musical traditions are discovered which cast a new light on the nature of works known to us (they might diminish the "historicity" of some).

- The assumed chronology of many compositions is often reversed by new paleographic, iconographic and codicological studies.

- An example of music assumed to be written by the composer in "tearful prayer" for a solemn liturgy turns out to be originally court music written for a duke in a different context and hastily transformed into church music because of demand and time-pressure.

- Some music and documentary material are permanently lost, leaving great gaps in our knowledge. There is e.g. no manner of reconstructing the rich heritage of ancient pre-Christian music which was not written down; the music which was written down since the times of Christ is not live music: It requires a performer/ performers appropriate instruments, a specific style of performance, dynamic shading, tempo, expression, deviation from the "mathematical" note values etc. which is not indicated at all in music before 1500 and only scantily until 1700. The performance can change the character and style of the older music considerably. The historian studying music manuscripts deals therefore with mere *skeletons* of a work. It requires more than the mere "physical reconstruction" of the work without a deeper understanding of its deeper aesthetic, psychic, ethical, ideological and other aspects - a kind of X-ray of its hidden properties (Adorno). Reconstructions of the real music may be badly slanted by misguided notions regarding a composer's intentions, tying the work to specific performers or instruments of the composers time (even if they were considered weak or inadequate by the composer himself, e.g. Bach). So-called "stylistically true", "authentic", "historic" performances and recording are not always what they claim to be.

I would like to illustrate by means of an historic overview that a "History of musical histories" is rather a *history of musical philosophies/perspectives.*

(Note: Since this overview is, in itself, a historic one, therefore hardly "objective", it may well in future be evaluated as a contribution in a book called "The philosophical biases underlying histories of the Philosophy of Music History".)
My own bias will be briefly discussed in the third section of the paper.
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2.   A short historical survey of music histories and their underlying philosophical assumptions:

[See e.g. Allen, Warren Dwight   Philosophies of Music Histories   New York: Dover, 1962
  See also Summary at end of this chapter]

"Music Histories" do not really appear before the late Renaissance - perhaps due to the lack of documentary material, perhaps due to the traditional Medieval concept (adapted from late Antiquity) that music is not essentially changing but embedded in immovable basic structures. Changes effect only the surface of a divine system. Audible music is only one example of music, the other two are the inaudible, speculative "celestial harmony" and the "harmony between soul

and body" and they are embedded/anchored in an immovable system of numbers. As one of the seven liberal arts subjects, music was a mathematical discipline in medieval theory and education, based on principles, which were regarded as timeless and universal. Although the church initially opposed the ancient system of liberal arts, and although theology was not included in the seven liberal arts, it adapted and "christianised" the ancient underlying concepts (numerical, ethical concepts). The medieval music itself was constantly changing and developing. Theorists nevertheless succeeded in describing "change" or "new art" in terms of something which has not essentially changed. The audible music of humanity is divine inspiration. New music is not "invented", but "discovered".

When theoretical works in the 15th century Renaissance started to make reference to a "history of music" or "origins of music" (Tinctoris), it dealt mostly with the immediate past. During the Renaissance the medieval speculative concept of music (divine and mathematical) was increasingly questioned. Music gradually disappears as a traditional mathematical liberal arts subject and became a subject of language and rhetoric (*Musica poetica*), which prepared the way for new naturalistic theories of music. When Glarianus, Finck, Zacconi and other !6th century writers occasionally referred to musical development it is done in terms of Greek legends and myths (allegorical in part) and/or combined with the few references to music in Scriptures.

During the Baroque period (1560 - 1740) the perspective to all knowledge is provided by Theology (as the "queen of sciences"): Music has a divine origin and was gradually discovered by various people since Jubal. In these books non-Scriptural, mythological and occasionally naturalistic views were freely mixed with the divine origin idea. Calvisius (German Protestant cantor of St.Thomas, Leipzig, 1600) saw the first people created by God with the gift of vocal music to praise Him, but that different people contributed to the progression of music (discovered the "instruments of nature") including Jubal, the Greek god Apollo, Mercury, Pythagoras , Guido of Arezzo (10th century) up to composers of his own time. Michael Praetorius (1614 - 19) ["Syntagma Musicum I,II,III"] regarded God as Creator of the world, but His created nature becomes the source from which music originated (mixture of divine and natural). Catholic writers of the Baroque, like Cerone (1613, Naples), Mersenne (Paris 1636) and Kircher (Rome) still stressed the Medieval concept of the divine celestial harmony, that Theology is the queen of sciences and that God is the primary source of everything. For Mersenne the Trinity becomes the example for other musical phenomena: 3 *genera* of Music (*diatonic, chromatic, enharmonic*), 3 kinds of music (Ancient, Greek, Christian) , etc. Such numerical concepts of e.g. the number 3 (2 + mediating 3rd) were also elaborated upon by writers such as Bodin (London, 1606 - see Allen 95 - 96) and other Baroque theoreticians and they surfaced again later in Romantic theories. Mersenne's approach to music is more *systematised* than historical. The same applies to Kircher who showed an interest in the natural sciences (he sees coherence and analogies in all phenomena). He cites the Old Testament and Greek sources to explain history. After Noah the Egyptians restored music; the development of music from David to the- Greeks etc.

Elements of the "German Enlightenment" (represented e.g. by Leibniz) and the progress of natural science started to influence the music histories towards the end of the 17th century: A greater simplicity and clarity appeared in style of writing. Wolfgang Caspar Printz (1690) still presented the divine origin of music but did not question the merit of naturalistic theories regarding the origin of music, e.g. human reason, natural impulses, language (music as modified linguistic pitch) sounds of nature, human competition or other psychological grounds. Music was consequently seen as having developed by Jubal (an idea already stressed by Luther) and other "inventors" (Apollo, Egyptians) etc. Printz separated "sacred music"(which is to the honour of

God) from "secular" (which is intended to move the human soul). For the writers of the 17th century music was broadly divided into *Old Music* and *Modern*. The concept of a Middle Age started to appear after 1700.

The early 18th century still maintained the ancient speculative concepts of a celestial harmony, body-soul-harmony and a kind of Biblical periodisation, e.g. Bonnet 1715 [see Allen 48] and Martini. Interest in data collection and research developed and various encyclopaedias appeared, which ranged from those in a leading theological tradition (e.g. Walther) to the new naturalistic "enlightened" views of J. J. Rousseau, 1768. The stylistic break between the old Baroque style of music with its speculative, numerical view and the new concept of "natural" and the *Stile galante* of the pre-Classic came to the fore and were emphasised by the new "naturalistic" theories of art ("back to nature"). For this reason, Bach's style of music was attacked by one of Bach's younger pupils, Scheibe, as complicated, old-fashioned and in conflict with "natural laws". Yet Scheibe, as a church musician, still expounded the divine theory of origin.

In the Vienna Classic (latter half of the 18th century) rationalistic and naturalistic theories increased (e.g. Hawkins 1776, Burney 1766 - 89). Burney described music as an amusement, an innocent luxury "and" it is vain to endeavour to trace music from a higher source than the history of Egypt: a country in which all human intelligence seems to have sprung". The origin is now completely "natural", music developed from "language". While denying Scripture as a source of knowledge, Burney avoided giving offence by recognising the civilising (ethical) influence of the Bible on his own enlightened British society. He preferred the new melodious, homophonic style of the Classic, its regularity and simplicity to Bach's "Gothic Fugues" which are not "easy and graceful".

In Germany, Forkel (1778 - 81) attempted to rationalise a divine origin theory of Music. Music is an in-born aspect of created humanity, it is ultimately connected with language and shows constant progression. He devised 3 periods of Music History with the "Modern", Harmonic" period as a high point.

During the Romantic period (ca. 1800 - 1850) music history in Germany is influenced by the *German idealistic philosophy* (counterpart of naturalism) one that emphasized (in its humanistic dualistic fashion) "spirit" over "matter" or denied" matter"("matter" as mere "appearance") or as a "manifestation /revelation or incarnation" of the "spirit". Inorganic nature is an un-self-aware "spirit"; various successive stages of development can be traced to the "fully self-aware/conscious spirit" as exemplified in philosophy and art. The idea of "genius" and "inspiration" appeared. To Christian writers the idea of incarnation was already proven in Christ and the emphasis on the spirit seemed to strengthen their belief in a divine origin of music - an origin outside a "physical realm of nature and matter" - as well as "inspiration". Composers were now seen as geniuses with a special "spark of the divine" (quasi - pantheistic view). One branch of music history was written in terms of great musical geniuses, each shaping a specific historic epoch (e.g. Kiesewetter,1834). Modern music could develop because "music creates itself in the worship of the Christian God with the aid of the divinely inspired genius". "Genius alone is absolute; everything else is relative, impermanent, unessential" (Kiesewetter). It is very significant that almost all the main 19th century composers stated their quasi-religious, "prophetic" role in society. Kiesewetter's dilemma in determining which genius shaped which era (Allen,p. 89)

A different branch of idealism is found in <u>Hegel </u>(c. 1800 - 1825) who formulated a philosophy of history, which would see the subject as a whole, with individual human beings and single events sinking into insignificance namely as a progression of the human "spirit" *per se*: The history of the world travels from east to west, for Europe is the "absolute end of history", Asia the beginning. There are 5 Phases: The "childhood of the human spirit was in the Orient; boyhood in central Asia, adolescence in Greece, manhood in Rome and maturity and full strength in the present (esp. German) State". Each period reveals its own phase of the "spirit" (*Zeitgeist*).

Instead of 5 periods, <u>Krause </u>(1827) defends 3 music history periods as manifestation of the human spirit:

Antiquity	Christian	Modern
Childhood	Youth	Adult
Monophony	Polyphony	Harmony
"primitive music" ("like Eastern cultures" of his day)		"Budding harmony of the whole life of humanity"

Similar views were expressed by <u>Victor Hugo</u>.

<u>Auguste Comte's "Positivism"</u> (1830 - 1842) postulated a law of progressive development of the human spirit in 3 stages:

1. The theological of "fictitious" stage
2. The "metaphysical or abstract"
3. The Scientific or "Positive"

The just mentioned viewpoint illustrates that during this "Romantic " period (and well ahead of Darwin's *naturalistic evolutionism* (1859) - although he was already compiling and interpreting his findings since and after his voyage around the world - an <u>evolutionistic concept</u> of development was already formulated in the *idealistic branch* of humanistic thought: Humanity as an emerging organic phenomenon, albeit a "spiritual" one. Between the 2 branches of <u>idealistic</u> historiography (Kiesewetter "genius" - idea versus the Hegel/Krause/Comte "stages of the human spirit" ideal) we find <u>Music histories at Music Conservatories</u>, which pragmatically blend idealism with down-to-earth technique (e.g. Czerny, 1851): The great composer-genius-idea (success story) serves as incentive for ambitious students but in order not to discourage them too much it is made clear that music was "invented by men" and can be mechanically mastered (especially by means of finger - exercises!)

During the <u>second half of the 19th century</u> a split (and at times conflict) appeared between the idealistic concepts of "genius" or "spirit" (which is free and can initiate and "revolutionise") and the new naturalistic - evolutionary concepts of development according to <u>natural law.</u> In 1848 two important documents appeared: Marx and Engels' "Communist Manifesto" and Wagner's "Art and Revolution". (Wagner supported the socio-economic revolutionary concept and his later

music dramas contain many Marxist ideas). Marx and Engels pictured a separation and struggle of classes in a human society, that had once been united in a primitive classless society for the common good (Marxist theories on music history develop only much later). Wagner saw the ancient Greek drama as an expression of the Greek nation (the latter as a kind of <u>organism)</u> before this art split up into various contending arts: Poetry (and rhetoric), music and dance. Each art struggled to "stay alive"(artificially). A complete integration of the arts in the music drama is needed by means of a new revolution. Wagner saw in the unification of the arts the artwork of the future which will be the natural expression of the German people. He thereby contributed to the later nationalistic theories of music history, as well as to the idea of <u>music</u> as an <u>organism</u>. For Marx and Engel's, <u>revolution </u>was not meant to promote <u>nationalism,</u> but to eliminate <u>class distinctions </u>everywhere. Their socio-economic theories were not applied to the writing of music history until the end of the century.

 Herbert Spencer's theories of development (written since the 1850's - see definition, Allen p. 110) and Darwin's "Origin of Species", 1859, provided a naturalistic evolution theory of development. The organic music theory of Comte/Krause (as spirit) now became a <u>naturalistic organism </u>theory in many music history books: Music is an *organism that grows and matures*. Within this conceptual framework it is only necessary to fill in the data.

> Examples: <u>Rowbotham</u> (1885 - 1887). Music developed in 3 stages: Drum - Pipe - Lyre.
> Lavoix (1884).
> <u>Sir</u> <u>Hubert Parry</u> (1893): Monophony - Polyphony - Monody.
> Evolution develops, according to the universal law
> of Spencer according to a fixed "logical" pattern
> (Allen 110).

The two concepts of organic development (spiritual and naturalistic), although, similar to some extent were diametrically opposed since the musical genius can revolutionise, change the course of the events to his/her free will, whereas the naturalistic, logical laws did not allow for it. This tension is seen with Wagner who subscribed to an evolutionary idea of nation and culture and especially of music as an organism, yet Wagner regarded his own music not as merely "logically predetermined" but as the revolutionising art of a genius.

The <u>late 19th century</u> also displayed conflicting, dualistic theories about the nature of music: Is music essentially <u>form</u> and/or <u>content,</u> (expression of feelings, does it paint something) is it manifestation of something metaphysical, is it <u>unique, autonomous </u>etc. Various divisions existed which would even dominate the 20th century. The notion of music history as <u>cultural </u>history (Hegel) was strongly advocated by <u>Wölfflin </u>(1888).

The <u>20th century</u> shows an ever-increasing amount of documentary material and research while struggling with a legacy of historiographical ideas from the 19th century. In the wake of the controversy whether music is an "autonomous" art of not, we find <u>two main "schools" of emphasis: </u>One that regards music as part and expression of a general culture; and one that is mainly descriptive (music as a largely independent art).

1. <u>Music as a part of general culture, as cultural history</u>:

It has various contending sub-schools (with varying connections), e.g.

1.1   The Hegelian legacy of music as a history of ideas, the "Zeitgeist" idea; music in terms of general culture: Renaissance, Baroque, Classic etc.: Wölfflin (1888 -), Bücken, Sachs, Blume, Gray. The idea at times that each period (as a kind of "spirit") is born, grows, matures and decays.

1.2   A narrowing down of the cultural history into chauvinistic nationalist theories (from Wagner's "German" music): The supremacy of German music (Grunsky 1908, Storck 1904, Moser 1914, 1921-28, Eichenauer "Musical race" 1932, Mayer 1933 "Nazi ideology", Mersmann 1934, Bücken 1937); of Italian music (Torrefranca, 1930, a Faschist version: Pecchiai, 1933); of English music (Vaughan Williams ,1934); of French music(Landormy1910, Gabeaud 1930, Prunieres 1933).

1.3   Explaining cultural history in terms of socio - economic theories. There are not many books written in this vein before the Second World War: Bücher (1896): Dreizion (1921): Music developed from "work rhythms", is a mirror of class struggle (Allen 172 - 173), explained in terms of product and demand theories. The socio-economic theories were developed more fully after the Second World War (sometimes too simplistic in the hands of amateurs, but insightful if it is treated in a balanced and not reductionistic manner). Someone who has contributed much in this field, though not always avoiding this pitfall, is Theodor Adorno of the Frankfurt School.

1.4   Psychological theories (Rowbotham - evolution): Canudo "Educational Evolution": Coleman 1922, Claiborne 1927.

1.5   A naturalistic evolution theory: Canudo (1907) (Allen 130 - 131), Percy Buck 1929, Bertrand (Paris 1914), Machabey (1928), Margaret Glyn 1934.

1.6.   Music as morals: See Cyril Scott, "The Influence of Music on History and Morals" (1928) [See Allen 59-60]

1.7   After the Second World War a conscious effort has been made to expand the boundaries of music history to include the non - western nations and to become a "universal music history" (in the past these cultures were studied as having no history, as momentary music, improvised, only to be "compared" and "clarified" by ethno - musicologists). Based on iconographical study methods, analysis of written documents and general historic data, the first histories of "ancient music cultures" appeared e.g. of the Sumerians (Stauder, Hartmann), Egypt, (Hickmann), China, Greece etc. Modern "non - western" music cultures are presently also studied in a historic fashion, but there are various problems - as e.g.an international symposium on "Historicity and Music History in Western and non - Western cultures in 1982 showed. The Western thought - patterns and methodology have developed from its own cultural history and cannot automatically be transferred to other cultures. Ideas like "innovation", "individual composition" which determines a piece of music's historic value or "historicity" are Western concepts which clash with the idea of "tradition" and "communal" expression. Yet, in spite of this, and in spite of the absence of musical notation, these music cultures do have a history. Included in recent Music History research is the field of "non - classic improvisational music, including Jazz, Folk, Rock, etc.

A fairly recent, yet very significant - and ongoing - correction in Music History is the research into the role of female composers in human history.

2. History of music as an "independent art:

The second school approaches music more as *sui generis* (music is to be explained only in "musical" terms). It remains largely descriptive and analytical without explanation of a deeper, cultural background (material without the author). They may use terms such as "Baroque", "Classic", simply as general reference of time: e.g. Adler. Handschin (1949) avoided these terms and described simply the (C14, 15, 16 etc.) - a method with its own problem, since "centuries", as Calvin Seerveld pointed out, "have nothing to do with historical knowledge, and have no base in human experience other than their being a multiple of our normally having then toes."

3.   The task of the Christian music historian today - some ideas and questions:

Today, amid (and despite of) and "explosion" of "musical data" provided by music analysis, discovery of new documents, archeology, iconographical and paleographic studies, despite the modern technological means available (photography, sound recordings; computerised indexes; scientific laboratory analysis of sound, instruments and documents), there is still not a music history which requires only a filling - in of details. On the contrary! The music historians of the last two decades often seem to resign before the challenge of seeking greater coherence in the wake of a flood of information and they tend to withdraw into mere "descriptive" analyses. In view of many too simplistic "cultural histories" in the past, they shun the risky task of integrating their findings in a greater coherent cultural context. It is therefore refreshing that a recent call was heard in the American Musicological Society to boldly assume this task again (James Haar: The Journal of Musicology, Jan. 1982).

4.   Concerning my own approach:

My own training is based in a tradition that tends to treat music history in the wider context of cultural history, as a history of ideas (both in S. A. and Germany). This tradition has its roots probably in the Hegelian one, although one considerably modified and cured of its *idealistic presuppositions*. No reputable scholar in this tradition would see a period (e.g. Baroque) as *living spirit* ("Zeitgeist") that is born, matures and decays. If the term "spirit of the time" is used, it is at most a metaphorical expression to indicate a *certain degree of sharing of concepts within a period*. I am trying to purge my lecture material from such Hegelian phrases and to steer away from too simplistic generalisations which a "grand tableaux of human cultural history" can impose on this discipline. Yet the more I delve into music of different eras and study comparative history, art history and literature the more I am convinced that *music is inseparable from human culture*, that it is one of many mirrors of perceiving the world. This "human culture" should not be limited to the aesthetic accomplishments (artifacts) of humankind but has to be studied with regard to other aspects as well, including the expression of this culture in the socio-economic aspect (see e.g. Adorno and Frankfurt Institute for Social Research). The recognition of a unity, of a *cohesive perception of the world* and its cultural form, necessitates a multi-dimensional approach which will seek to integrate all relevant (information factors). Such a holistic, non-reductionistic approach is vital in a Christian Liberal Arts College. At the same time

we need to do *sound basic musical analysis* and to study *the results of descriptive analysis* of music *per se*, music in isolation and to *integrate these findings with a cultural understanding* to ensure a more balanced approach to music history. A fine *distinction* has to be made between a *global overview* (the necessary distance a historian needs to perceive and draw the broader outlines), which disallows minute detail, and *reductionism*, which tries to explain the *whole* from the perspective of a lesser, detailed aspect.

I would like to point out specific problem areas in Music History:

- How did music originate within God's creative plan (Scriptures give us very little information)
  The artistic talents were given to humans but not as "ready-made" music; instruments, techniques, styles, etc were "discovered" and developed in time

- We can assume that music, musical instruments, genres, styles etc. developed and changed as humanity developed and changed. What then *initiates change* in music: the exploration by the composer of all sorts of possible structures, styles, etc. within music and its mediums itself, or are there "external" musical and (non-musical) factors (change of ideas, societal changes)?

- What constitutes a relatively "homogenous" period, "era in Music to be classified as "Renaissance", "Baroque" etc.? To what extent do these periods reflect an alternation between more "classic" oriented and "non-classic" oriented ones? (a somewhat circular approach of recurring trends in new ways: see pp. 71 a, 71 of this textbook). What are the dynamics of such a period; why is it "homogenous", why does it collapse? How does one account for counter-currents, individual deviation etc.? Christian Scholars struggle with the problem of periodisation, such as Calvin Seerveld in the field of art historiography, (e.g. his paper: "Towards a cartographic methodology of art history"). He advocates a multi-dimensional approach in describing a specific "period" in art history and points out that each period has a

  1. *synchronic* cultural reality, which gives it homogenity: Such periods can be dated, but do not recur

2.   a *perchronic* reality of different, distinct types of world views which complicates the cultural homogeneity: These world views are personal and endure beyond a period

3.   a *diachronic* reality of recurring types which gives a period certain links with past and future periods, but also makes for inner conflicts.
(This is a model, which deserves greater study yet.)

The cultural reality, of which Seerveld speaks, is of course not necessarily to be <u>contrasted</u> with individual world views, since the artist to a certain degree shares this culture (as a way of perceiving the world). The artists personal world and life view gives a personal shading, touch, nuance to the culture of a period.

      ....

Example: <u>J. S. Bach as composer, his historic significance, how to evaluate a specific work.</u>

I would try to establish what is *unique, individual* (*idiosyncratic*) about the composer and his music, as well as his *indebtedness to a cultural heritage*, milieu, technological environment - every possible factor that would have contributed to the concepts, ideas, unique idiom of the composer in general and in a specific work (philosophical, faith, socio-economic conditions, and demands, potentialities and limitations of mediums, styles, forms).

      <u>Concretely:</u>

I would study Bach as a person, his beliefs, social and cultural background in environment, artistic concepts and growth; his unique, personal gifts; his artistic indebtedness during his development to teachers, colleagues, composers, theorists; external pressures (artistic, compositional demands); his unique features as person and as artist.

In studying a piece of <u>music,</u> I would

- try to integrate its various technical features: harmonic, contrapuntal, stylistic, (what kind of counterpoint) structural, textural, timbre etc.
- compare these features with views expressed by Bach or his contemporaries
- study the <u>purpose</u> for which it was written:
  on <u>demand</u>, for what kind of public (church/court/private homes?)
  or <u>voluntarily</u>, for a <u>learned society/</u> the <u>church</u>/ <u>court</u>(dedication)/<u>pupils</u> (didactic?)/ <u>private use</u>
  (What does this teach me about the chosen <u>style</u>, the <u>medium</u>, level of <u>difficulty</u>, and <u>character.</u> How does e.g. "The Art of the Fugue"(written for an unspecified medium for a musicological society) compares with fugues performed in the church?

For church music the following need to be determined:

-      <u>Liturgical</u> use or <u>extra-liturgical</u>
-      <u>Didactic</u> <u>character </u>(symbolism, rhetoric textual relations)
-      <u>Theology</u> it expounds

- <u>Language</u> it is using (Biblical, Pietistic, metaphorical, etc)
- <u>Job pressures</u> (assembly-line cantatas)
- <u>Degree of complexity</u>
- <u>Mediums used</u> (e.g. a mediocre choir or instrument to his disposal) How did this influence the style, character, limitations imposed, e.g. the compass for keyboards, (harpsichord, organ), the texture of the work (given the limitation of the number of fingers or the stretch of the hand)? How binding is the <u>fingering</u> used in his time (something Bach was consciously trying to improve by the use of the thumb, e.g.) for an interpretation (especially articulation) of his music? Is the composition directly determined by and tied to these mediums or written by Bach in the abstract and then creatively performed by him with whatever medium was available?

<u>To summarise:</u>

Music reflects cultural change, which is something all-embracing, from the technical aspects to the field of abstract ideas as formulated in a philosophical system. It is the task of the Christian music historian to analyse, integrate and articulate these changes in a coherent and scientifically sound way. Music History should make music come alive in a multi-dimensional way. It should not entomb it in a sterile historicism.

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ADDENDA:

- **Synopsis of lecture** [pp. 99, 100]
- **Classic and non-classic tendencies in Music History (Graphic illustration)** [p. 101]
- **Classic and non-classic tendencies in Music History (Comparative Chart)**
  - [see p. 102]
- **Historical Style Periods in Music History based on a cultural approach** [pp. 103-104]

Philosophical assumptions in Music Historiography (Synopsis)

(See also: Allen, Warren Dwight: Philosophies of Music Histories 1962 [ML 3800 A43 P5, 1962]

<u>Introduction</u>: The normativity of music historiography: An "objective" music history is not possible, but will be determined by the writer's perspective of what music is, what constitutes musical change and what is considered historically significant.

<u>A short historical survey of music histories and their underlying philosophical assumptions</u>:

The "Medieval" concept of "stability"; music as inaudible and audible numbers; divine origin and inspiration.

The "Renaissance" (c. 1400-1600): Gradual conceptual change from music as "numbers" to music as "language"; preparing the way for naturalistic theories. Scriptural references and Greek legends.

The "Baroque" (c. 1560-1740): Theology the queen of sciences; Music as language (+ medieval number concepts) – divine origin and gradual incorporation of naturalistic theories – Biblical periodisation. Early 18th century: encyclopedias.

The Vienna "Classic" (c. 1740-1800): Encyclopedias (e.g. Rousseau). Increase of naturalistic views, even the denial of the divine origin (e.g. , Burney).

The "Romantic" period (c. 1800-1850): Predominance of idealistic views. Music history determined by musical geniuses (Kiesewetter) or seen as a history of the "developing spirit" (idealistic evolution theory: Hegel – Krause – Comte). Pragmatical compromises in the conservatories (e.g., Czerny).

1850-1900 Neo-Romantic Period): Music as developing "organism" naturalistic evolution theory based on Spencer and Darwin (e.g., Rowbotham, Parry). Evolution versus revolution (Wagner). Music as an autonomous or heteronomous art. Wölfflin's cultural history approach.

After 1900: two main schools:

1) Music as cultural history; various branches:

- Continuation of the Hegelian-Wölfflin tradition; the unifying "Zeitgeist" idea
- Nationalistic theories before World War II: German, Italian, French, British
- Socio-economic theories
- Psychological theories
- Continuation of evolution theories
- (After 1945) a conscious effort to arrive at a "universal music history", including the non-Western cultures; problems in the differing concepts between Western and non-Western cultures regarding "innovation" and "historicity"; during the last decade an ever-increasing spectrum of music, including Jazz, "Pop", Rock Music. New techniques and methodologies in research and teaching.
- The recent call for a new "cultural music history" integrating descriptive analysis of music with cultural history

2) Music as a phenomenon "per se" to be analyzed and described, sometimes with a quasi-evoluntionistic approach.

<u>3. The task of the Christian music historian – some ideas and questions:</u>

The challenge to write a music history in terms of a Christian perspective of culture and history.

4.   <u>My own approach to music history:</u>

- Music is inseparable from human culture (including the religious and socio-economic foundations); it is in itself a way of perceiving the world. This broader cultural approach has to be combined with specialised analysis, it needs the critical corrective of a more "descriptive" analytic method.

- Specific problem areas in Music History:

• The origin and earliest forms and mediums of music.
• Determining the reasons for change (in style, genre, structure, etc.)
• What constitutes a "period" in music history, its dynamics, the reasons for its "homogeneity", its replacement by a new "homogeneous period". Seerveld's "Cartographic Methodology of Art History".

- Example of approach.

- Classic and Non-Classic Features in Music History (see next pages)

CLASSIC AND NON-CLASSIC TENDENCIES IN MUSIC HISTORY

CLASSIC
("Apollonian"): Constrained
Balanced
Sober
Simple
Natural

NON-CLASSIC
"Dyonisian": Dynamic, less constraint
Unbalanced, asymmetrical
Emotional
Complex
Mystic/transcendental

Greek
Classicism

Renaissance

Vienna Classic

Neo-Classicism
20th C

Rational Music
structures

Classicism

Romantic Classicism

Dionysian

Neo-Gothic

Sturm und Drang

Late Expressionism
Mysticism

Late-Medieval
(Gothic)

Baroque

Romantic Realism
Neo-Romantic

Post-Modern/
Supra-rational

Predominant tendency (stronger):

Counter tendency (weaker):

CLASSIC VERSUS NON-CLASSIC FEATURES

Classic   **Non-classic**

-> more objective portrayal   -> more subjective experiencing
-> naturalistic, physical world   -> supra-natural, metaphysical,
                                        transcendental world

   (the measurable, finite)   (world of imagination, infinite)
   (Greek: Apollonian)   (Greek: Dionysian; Medieval: Mystic)
   (Renaissance: Naturalism)   (Baroque: Transcendental (biblical))
   (Vienna Classic: Naturalism,   (C19 Romanticism: Idealism, the "Spirit
    Rationalism; composer as   in all things", Pantheism (humanistic);
    "craftsperson")   composer as "genius"
   (C20 Neo-Classicism: (C20 Post-Modernity: Supra-rational,
    Positivism/Modernism)   Occult, Neo-Romanticism,
-> balance, proportion   -> imbalance, dis-proportion, deconstruction)
  (structure; rational and emotional;
  text and music, "beauty and "truth";
  tension/resolution)
-> symmetry   -> asymmetry
-> frugality of means, restraint   -> lavishness, excessiveness, exaggeration
   (regarding timbre, loudness,
   size of the work, number of
   players, emotional expression,
   use of dissonance and keys)
-> simplicity   -> complexity
-> clarity   -> vagueness

Examples in Music History:

-> Greek-Roman Classicism,
  (500 B.C.- 600 A.D.)
  Early Medieval (Romanesque)   -> Late-Medieval, "Gothic" era (1100-
  (600 - 1100)   1400)

  -> Renaissance (1400-1600)   -> Baroque era (1560-1740)
-> Vienna Classic (1720-1810)   -> Romantic Era (1800-1850)
                                        -> Neo/Post-Romantic Era (1850-1920)

-> C20 Neo-Classic(1920-1960)   -> "Supra-Rational", "Post-Modern"
                                        (1960-   )

SURVEY OF MUSICAL STYLE PERIODS IN MUSIC HISTORY
(TABLES FOR REFERENCE)

PERIOD	MUSICAL STYLE(S)	STRUCTURAL STYLE	GENRES	INSTRUMENTS	COMPOSERS
1.ANTIQUITY (till 500 A.D.)	Heterophony (embelished monophony)	Music followed text structure, embellished song	Cultic songs and dances	All instruments in proto-typical form	Anonymous
2. EARLY MEDIEVAL (500-1100) *Romanesque*	Monophony Early polyphony (after 900)	Single voice line (solo or unison choir) Parallel voice lines, +modified forms	Plainsong in Mass Folk music->	Voice (unaccomp.) Organ (C9) Flutes, drums	Anonymous
3. LATE MEDIEVAL (1100-1400) *Gothic*	Monophony + linear polyphony	C.F. (Tenor) Horizontally composed lines with little regard for the total vertical sounding together	Plainsong. Polyphonic settings of plainsong. Lauda, Cantiga. Motet. Secular songs (monophonic) of Trouveres etc.)., dances. Polyph. song. Mass cycle C14	Voice + instruments duplicating/performing polyph. voice line. Instruments: Viol, Gambe, Zinck, Flute, Krummhorn, Trumpet, Percussion etc. Organ, early keyboards with strings	Hildegard von Bingen, Leonin, Perotin, Vitry, De Machaut, Landini, Ciconia, Dunstable; Vogelweide, De la Halle
4. RENAISSANCE (1400-1600) *Renaissance*	Homophonic polyhony,	C.F. (Horizontally composed lines but with sense of vertical sound - preparation for 1600 harmony	Mass (cycle), Motet. Chanson, Frottola, Villanella, Madrigal. Instrumental music and dance	Same, as well as large organ and virginals.	Dufay, Ockeghem, Desprez, Isaac Willaert, Di Lasso DeKerle, Palestrina, Jannequin, Bourgeois, Pierre, Goudimel, Merbecke, Byrd
5. BAROQUE (c. 1560 - 1740) *Baroque*	TWO STYLES: 1. Traditional *polyphony* ("First practice" 2. New *monody* = harmonized melody ("second practice"). Use of Basso Continuo	1. Both homophonic and linear polyphony (see above) 2. Melody Harmony Bass (B.C.) New free recitative style, music infl. by Rhetoric.	Mass, motets (antiphonal). Opera, Recitative, Aria, Song, Oratorio, Concerto, Concerto Grosso, Prelude, Fugues, Toccata, Sonata, Cantata, Passion, Chorale Prelude, Suite	Change to modern shapes of instruments (Violin, cello, bassoon, horn), larger harpsichords, imposing Baroque organ. Bass instruments as Continuo.	A. and G. Gabrieli, Caccini, Monteverdi, Sweelinck, Carissimi, Corelli, Lully, Couperin, Schütz, Purcell, Buxtehude, A.Scarlatti, Rameau, Pergolesi, Bach, Handel
6. CLASSIC ("VIENNA CLASSIC" c.1720-1810) *Rococo* (a pre-Classic transitional style). Romantic elements in late Classic	Monody (elegant, simple, infl. of folk music). THREE SUB-STYLES: 1. *Stile galante* 2. *Empfindsamer stile* 3. *Sturm und Drang* Gradual use of polyphony again.	Light-textured, elegant monody Without B.C. Balanced phrases and sections. New *crescendo* use	Symphony, Sonata, String Quartet, Art Song, Solo Concerto, Mass, Oratorio, Opera, Piano Trio, Aria	Modern symphony orchestra, String Quartet, pianoforte, Hammerklavier, Harpsichord, smaller "classic" organ.	D. Scarlatti, C.P. E Bach, Stamitz, Gluck, J. C. Bach, Clementi, Haydn, Mozart, Beethoven

PERIOD	MUSICAL STYLE(S)	STRUCTURAL STYLE	GENRES	INSTRUMENTS	COMPOSERS
7. ROMANTIC PERIOD (1800-1850)	Monody (expressive); some polyphonic and modal elements	Heavier-textured, expressive monody. New, chromatic harmonic timbres. Sturm und Drang + Empfindsamer Stile. Larger structures + miniature forms. Assymmetry. Use of homophonic polyphony	Mass, Lied, Symphony, Sonata, String Quartet, Concert Overture, Concerto, Opera, Oratorio, Piano Quintet, Small genre forms (piano),	Piano (also Concert Grand), Symphony Orchestra (expanded) Piano Quintet, String Quartet, Violin, Solo voice, Choir, Various solo instruments.	Schubert, Chopin, Berlioz, von Weber, Mendelssohn, Schumann, Donizetti, Rossini, Bellini, Verdi, Liszt, Meyerbeer.
8. NEO-ROMANTIC (POST-ROMANTIC) (1850-1920)	Two trends (Germany): 1. "Romantic Classic" 2. "Romantic Realistic" [conservative v. progressive group)	1. Romantic + Classic (but heavier) 2. Discard classic for new, through-composed forms (M. Drama) + pan-chromatic elements	1. Continuing of Rom./Class. 2. Symphonic Poem, Music Drama, Tone Poem.	Same, expanded with more brass and percussion.	1. Brahms, Bruch, Bruckner 2. Liszt, Wagner Wolf, R. Strauss
	Also new National Schools --------->	National colouring	Same (Romantic) + Ballet (Russia) guitar-infl. piano music in Spain.		Dvorak, Smetana, Mussorgsky, Tschaikovsky, Albeniz, Grieg Elgar.
	After 1870 also Verism, Impressionism, Expressionism, Primitivism (with Late-Romantic)	Harsh, "veristic" elements; whole-tone and pentatonic scales; timbre music; early atonality; Jazz	Same + new impressionistic and expressionistic titles. Jazz genres.	Late-Romantic, electrified organ. Oriental instruments	Mascagni, Leoncavallo Puccini; Debussy, Ravel; Scriabin, Mahler, Schoenberg, Stravinsky, Berg
9. NEO-CLASSIC (1920-1960) "Modern" Cubist Abstract Rational	3 main branches: 1. Neo-Classic (+ some influence of Jazz) 2. Twelve-tone music+ other serialistic M. 3. Timbre Music	1. Return to classic lightness, balance, simplicity, conciseness, spiced tonality + Jazz 2. Serial techniques (in all categories) 3. Music as colour (colour fields, new modes)	1. Symphony, Sonata, Opera, String Quartet, Concerto, Art. Song 2. Abstract forms, Opera, Art Song 3. Descriptive titles or abstract	1. Smaller orchestras and ensembles, Jazz ensembles + Saxophone 2. Conventional + electronic sounds 3. Conventional + electronic sounds Recording devices; Micro-tonality_	1. Stravinsky Bartok, Prokofiev Britten, V. Williams Hindemith, Copland Schostakovich 2. Schoenberg, Berg Webern 3. Messiaen, Penderecki, Badings
10. POST-MODERN/ SUPRA-RATIONAL Indeterminacy, Chance/ "Creative Chano"/ Deconstructional/Minimalistic/Imrov./ Neo-Roamntic/ Environmental	Reaction to the too "rationalistic" and "modernistic" Music (esp. serialism). Seek either: 1. Chance M and Aleatoric M. 2. Minimalistic M 3. Neo-Tonal, Neo-Romantic 4. Rock + Pop M Also continuation of 1.-3 of early C20 above.	Improvizational/ Chance music/ Directed Chance/ Minimalistic/ Neo-Romantic/ Improvisational (Orient, Africa)/ Popular Music/ Rock/ Electronic Environmental M/ Rap, Folk, Country M Timbre music/ Serialistic M.	Abstract titles/ Conventional genres	Conventional instruments + electronic; sounds of nature, timbres from Africa, Orient; electronic guitars; synthesizers + computer interface	Stockhausen, Boulez, Cage, Glass, Reich, Schaefer, Xenakis, Copland, Adams, Bereo, Messiaen, Gorecki, Durufle; Rock groups, Folk-, Country-, groups; Soul-singers

X. The Sociological (socio-economic) aspect of Music
(outline)

- The relevance of a sociological study of music

- The difference in emphasis between the approach of music of the sociologist (music as *social* phenomenon (a study of the *societal function* of music) and the musicologist (the social roots of music, the impact of society and societal changes on the writing, performance, genres, development, etc. of music)

- Various *social functions of music*

- The *social preconditioning of musical composition* (e.g. the composer does not write because of a personal need, but is commissioned as in the case of Bach; the pressures of a musical consumer society on a composer's creativeness, inviting mediocre writing; printers accepting only music that "will sell")

- The *social aspect of performance* and its *impact on the style* and character of the music ("feed-back", stress, communication, performance in large halls versus chamber setting, live concerts versus studio recording, e.g. Glenn Gould; solo music versus ensemble, choirs or orchestra)

- *Individual, original and innovative music* versus *improvised group music*

- The *link between musical listeners and their social background* (see below)

- Music as *social drama* (e.g. operas, musicals)

- Music as a *medium for social critique* (e.g. Beethoven's Fidelio, various Folk and Rock music as protest songs).

- Reductionism in a sociological study of music

Social Aspects of Music

Different *emphases* in the study of Music and Society:

Sociologist: "Music in *Society*"
                                (Music as *social* phenomenon)

Musicologist: "Society in *Music*"
                                (The *social roots of Music*)

Study of the social roots of Music (different main branches):

    1. Sociology of Music   2. Ethno-Musicology/Comparative Musicology)
      (Main Stream)   (study of different Musical Cultures including folk music)

Themes in a sociological study of of Music: Genres
                                Dance forms
                                Scales
                                Improvisational music
                                Instruments
                                Music as propaganda
                                Social conditioning of music
                                Music history as social history
                                Social functions of music

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A few notes:

1. *Importance of sociological study* and dangers of *Reductionistic* Trends

        Examples: - Music History as "class struggle" – Fugue/Sonata
                - Musical tastes purely *socially conditioned*
           - Music viewed as purely "products" in a "demand/production" paradigm

2. Different *social functions* of music: - Classic music
                                   - Western Music
                                   - Rock Music
                                   - Jazz
                                   - Church Music
                                   - Military Music
                                   - Dance Music
                                   - Muzak

3. *Social role of musician and composer in Music History*:

      -      Music for cult/church or court and performed in temples/churches or courts
      -      18th Century, also performed in concert hall (also compare Chopin, performing in an
            intimate setting of *salons/parlours* vs. Liszt in concert halls)
      -      Association of instruments and musicians with societal roles and social standing
            (see Schütz, *Christmas Story*)

4.   *Snobbism* in Music: Musical as *social prestige*; inverted snobbism

5.   Differences in musical expression reflecting different societies:

-        Compare 5 masses (Gregorian Chant/Palestrina/Mozart/*Missa Creola/Missa Kwanga*)
-        Concerto (Mozart/ Rodrigo)
-        Operas (R. Strauss/ Leoncavallo/Moussourgski

Assignment: Critical assessment of Adorno's Sociological Typography of Musical Listeners
(see next p.)

Assignment: Critical assessment of Adorno's Sociological Typography of Musical Listeners

The prominent West German sociologist/musicologist/philosopher, Theodor W. Adorno, wrote various books and essays on the sociological aspects of music, especially books on 20ᵗʰ century music and the "culture industry". As a Marxist philosopher he strongly emphasised the social conditioning of musical writing, performance and listening. In one of the essays from his *Introduction to a Sociology of Music* (1962) he tried to create a consistent link between listening and the social environment (background) of the listener. Within this tentative theoretical model (which should be tested empirically) he defined 8 musical listener types. These types were seen to have *no links* since they were shaped by *social and economic conditions,* which were "conflicting" and "discontinuous"; no blends or "in between" types were seen to exist. The types of musical listeners postulated were:

1. The "expert": follows music logically, structurally in the finest detail (non-existent, but serves to mark a limit).

2. The "good listener": good, average listener, follows music without complete reconstruction of the musical processes taking place (social background: mostly aristocratic circles).

3. Culture "consumer" (social background: bourgeoisie): collector of records, "culture vulture" because of snob value; recognises different orchestras, conductors, certain melodies, admires the "tone" of the singer or player and worships great artists; not interested in the musical structure and other details; looks down upon the "vulgar" musical tasste of the lower classes; dominates the administrations and councils of concert halls and opera houses.

4. "Emotional listener": Enjoys music only for emotional experiences, which may also be explained in terms of the social structure of the country (e.g. England, where the "emotional quality of expression" presents a "flight from the pressures of civilisation"; the Slavic countries, where the emotionalism can be explained in terms of a "technological backlog").

5. "Antipathy-listener" or "resentment" listener (social background is that of conservative church music groups, especially in West Germany, stemming from the petty bourgeoisie and higher petty bourgeoisie). This listener type despises the modern music society as "not genuine", "pretentious" and "snobbish". He/she does not try to better it, but
    - seeks an escape in traditional music of remote times, which is regarded as "noble", "genuine", e.g. the church music of the pre-Bach era (especially that of Heinrich Schütz).
    - rejects therefore the music of complete periods of music history, e.g. the Classic, Romantic or progressive modern music
    - rejects (because of the anti-modern stance) the more modern instruments, demands that the old music be performed in a "puritanical", "unemotional" way (regarded as "spiritual", "ethereal")

6. The "Jazz expert" and "Jazz fan": Is regarded as related to the former, reacts to the "stiffness", "high brow" character of classical music, seeking escape in the "spontaneous", "technical-sportingly" music (instead of the ascetic-sacral of the former group); regards him/herself as "daring", "progressive" (*avant garde*) without realising that Jazz has long since become traditional, old-fashioned in its rhythmical regularity and harmonic simplicity; is unconsciously a slave of commercialism.

(Adorno then predicted – 19962 – that this listener type is going to link up with the antipathy-listener of the church and that the church music might turn to jazz – a trend that did happen to a certain degree in the late 60's and early 70's).

7. The "consumer" of the cheap music "productions" of the "cultural industry": needs constant entertainment, is addicted to "cheap" musical products; works with turned-on radio in an effort to overcome loneliness; prefers sentimental operetta or "pop" music as a kind of musical staple diet; stems socially from different social layers, e.g. workers class (predominantly) and lower-bourgeoisie with specific preferences ("pop" or Western or Folk, etc.)

8. The "unmusical and anti-musical": Stemming from the workers class, it does not lack talent, but all aesthetic appreciation is stamped out by poverty, by the hardships and struggle to survive, the de-humanisation resulting from an industrial society.

Adorno does not have any preferences but has greater sympathy with the "unmusical worker" than with the "musical snob".

Critical Assessment:

Try to *evaluate* his typography (2 pages) by means of the following questions:

1)   To what extent do you regard *musical taste to be socially conditioned*; what allowance has to be made for individuality (environment versus heredity)?
2)   Taking into account the difference between a present North-American and West German society of the early sixties: Do you agree with the concept of socially conditioned listener types without any links in one or both cultures?
3)   Is Adorno's drawing of the various types and the reasons for their musical preference a fair one or over-drawn (cf. especially categories 3, 4, 6, 7?)
4)   Is there an *inconsistency* in Adorno's model?
5)   Other questions or comments.

 Note:

- Any typography generalises and naturally allows for exceptions.
- Adorno wrote in an era when Rock music was relatively young and not so much used as a tool for social critique and protest as it developed in the late 60's and 70's; he nevertheless remained critical later of "popular music" (including Rock) as a "product" of the entertainment "industry".
- Adorno's environment is that of post-war, "Wirtschaftswunder" ("Industrial Success") West Germany in which remnants of a fairly strict class distinction (Nobility – Bourgeoisie – Worker Class and Peasants) still existed.
- The "antipathy" listener is an accurately drawn West German phenomenon.

XI.   THE JURIDICAL ASPECT OF MUSIC

Musical judgement has been exercised over the ages by musical critics of compositions and performances. These judgements proved in many cases to be *unfair*, *biased* and clouded by a narrow vision of what music is or should be or by a lack of historical perspective. The performance of musical works did not (and does not) always reflect the stated wishes of the composer and may be "unfair" in this sense resulting in a slanted rendition.

Addressing the larger question of *legality*, of "fairness" in the musical world, of "abiding by existing laws" governing music is a fairly recent one. This may differ from one country to another, since the laws in different countries may not be based on the same basis of ethics.

In music of earlier ages, music was seen as *communal art* and *not the unique creation* of the individual. With the Renaissance, the emphasis on individuality and uniqueness of creation will gradually bring concepts of "musical ownership" of musical material. This did not happen overnight. Even in the times of Bach composers copied and reworked music of others as a way of compositional learning. Beethoven borrowed the *Eroica* theme from Mozart (*Bastien and Bastienne*). Musical themes, ideas were not seen as highly individual or "inspired" (a Romantic concept). The *elaboration* of a theme (original or borrowed) was more important than *finding* one.

With the 19th century, music became the *mysterious creation of the musical genius*, which lessened direct "borrowing" of musical materials, but did not diminish the practise of reworking of materials (transcription, re-orchestration), - with acknowledgement of original composer, of course.

In the 20th century the development of technology (sound recordings, photocopying, computer technologies) brought a stronger consciousness of the need of legal protection for both the composer (only if he/she was still alive or up to 75 years after death), publishers and performers: Copyright, performance rights, etc. At the same time popular versions of classic music will be found without recognition of the original composer (e.g. Franck Sinatra, "Bird of Paradise", a literal borrowing of Borodin's "Polovtsian Dances from *Prince Igor*). Borrowing from live composers/songwriters has resulted in a number of lawsuits. The practice of pirated CD's and tapes, reproduced in other countries for commercial gain abound without much legal recourse for composers/performers if the malpractice happens in a country without these laws or weak diplomatic ties to the country in which the music originated.

"Fairness" in music is not guaranteed by laws alone (too variable) but by a commonly shared set of ethics: Laws should be governed by the desire to interact with your neighbour in a way that reflects love, respect and concern.

The aspect of Musical Ethics will be discussed in the following chapter (XII).

XII. MUSICAL ETHICS

1. Introduction: Defining musical ethics; contextuality of musical ethics; Christian art and "purity" of themes:

Ethics is the science that studies *human interaction* (social) from a *moral standpoint*, e.g. whether such an action is motivated by neighbourly love or the absence of this. It deals with issues such as truthfulness, loyalty, empathy and compassion, integrity and the promotion or undermining of public morals.

Music is a powerful medium to convey moral values through characterisation, association, affect (mood) and suggestiveness even if it lacks the verbal distinctiveness of language. In conjunction with a text it acquires special influence. It can express love, hate, forgiveness, contempt, conceit, deceit, ridicule, consolation, nobility, tenderness, vulgarity, eroticism, etc. Both good and harmful values can be expressed through music regardless of the style or genre (e.g. Classic, Jazz, Rock).

Yet, it should be recognised that the experience of music on a moral/ethical level is contextual, i.e. understood and interpreted within a *certain context*. That context can be provided by a text or by our association of the music. When people were polled in the late sixties regarding their associations (conscious or subconscious) of e.g. "Beat Music" (see above), their associations had much to do with the identification of "Beat" and other "Rock Music" of their time with the revolt of the younger generation against traditional society and its values, with new values and with music being a powerful medium to express the new values. These values included moral ones (e.g. the sexual revolution) with which the style of the music became associated, or even erroneously identified. In the subsequent development of Rock in its various sub-styles, the text-associations have widened to cover a very wide scope of ideas and values (e.g. songs on the environment, poverty or faith).

Contextual is also the *erotic element* which is often associated with the immoral. But *eros*, physical love, is a gift of God and is only *immoral in a given context*, e.g. in adultery. When we deal with music, its potential erotic impulses have to be understood in context. This context may come from *association* of text-less music with the immoral (rightly or wrongly because of our previous encounter of similar music in an immoral erotic context), or through the text (in songs, arias, choruses), or through a combination of music, drama and dance etc. (e.g. opera) where the context is quite clear.

A *misconception* sometimes found in certain Christian circles is that Christian art should just *focus on what is morally pure*. That would deny the *reality of sin and suffering* in the world. Great Christian musical art does not avoid evil: Bach vividly creating moods associated with the immoral, e.g. that of hate, jealousy, murder, violence, etc. in his cantatas or oratorios in order to deal with Christ's suffering and to contrast this with God's love and redemptive work. Artists enable us as audience, through created music, to *empathise*, to get a glimpse of what is taking place in the minds of people, their suffering, follies, hopes, dreams and mistakes, and *to morally respond* to this.

2. Ethics in music: Difference between *subjective and objective*:

The moral power of music through context and association stems from the fact that music is a *human* medium, created and performed by *humans as moral beings for humans*. Music is not "moral" in the sense of having a moral consciousness *in itself* (as *subject*), but it acquires a moral dimension by becoming the *objective means* to convey moral ideas, or an expression of "truth".

3. Retrocipatory and anticipatory references in the ethical mode:

Though the ethical mode has its own distinctiveness/uniqueness, its *retrocipatory* references can be demonstrated (explaining the reliance of moral values on *modalities lower on the modal scale*). "Consolation", for example, can be seen as the act of *comforting* of *one human being by another* (social) by means of the selection of judicious, discreet words (judicial) or gestures (symbolic) in a pleasing way (aesthetic). This act is meant to enable to *forget the unpleasant* (historic*)* and induce *tranquility of mind* (psychological). "Tranquility" again refers to *biological* conditions such as tension, rate of pulse, to equilibrium and the lessening of energy (energetic aspect) and movement (kinematic, spatial and numerical aspects).

Likewise, the anticipatory aspect of faith can be involved in the reference to trust and confidence derived from the Word of God.

4. Beauty vs. truth controversy in music history

For the artist, a prime concern remains how to *express truthfully* the moral values of life (which include the less pleasant and painful) *in a way that has aesthetic value*. The Christian artist will not shy away from these values of a broken world but will reach a synthesis through his faith stance. Music History has been dominated for a long time by the controversy "beauty" – "truth". Many composers in the pursuit of "beautiful", avoided life and its ethical problems (e.g. in the Neapolitan opera of the 18th century), others tried to express life "truthfully" regardless of the aesthetic effect (e.g. in some Oratorios, Cantatas and Passions from the Baroque). Mozart tried to integrate the two but gave preference to the aesthetic: opera can express the violent passions and hate, but it must be in a "beautiful" way; music must not be dominated by the text, rather vice versa. The French Opera was reformed under Gluck to become more "truthful", "true to life". Beethoven's Opera *Fidelio* was written as an expression of the moral and political ideas of the French Revolution. Wagner's music drama, combining music with a dramatic text, the dance and visual art, become an influential genre to convey moral values. His *Tristan and Isolde* widely acclaimed for its aesthetic value, has also been disclaimed as immoral for its glorification of immoral, erotic love. Brahms' *German Requiem* is a sublime, noble work, written with the explicit purpose to console those who "remain behind" at the scene of death. Examples of the expression of ethical values can be multiplied. The very didactic character of the Baroque church music shows the concern to "remind one's neighbour" of his/her eternal destiny and to induce repentance and a chaste way of life.

Examples of music with a pronounced *moral message* against music that is more "enjoyment" directed)**:**

Non-Classic: * Joan Baez "Saigon Bride" (Folk singing)
                                  Social critique re: American war in Vietnam(60's)

                       * Hit-parade light pop song "Sunday, Monday,"
                              (1960's) – entertaining

                      *Black Sabbath "Children of the Grave:Revolution
                       on their minds"
                     (Social critique, late 60's) ("Hard Rock"/Acid Rock")

                      *Bruce Cockburn, "Humans' #1, " "Grim Travelers",
                      (late 1980's), critique on exploitation of "Third World
                      Countries" by the Super

Classic: * Richard Strauss, Opera "Rosenkavalier" (early
                      20th century, more entertainment oriented

                      * Puccini Opera "Tosca", veristic, agony
                      Sadism, social critique, political suppression)

                      * Berg, Opera "Wozzek": Socially ill-adjusted,
                       naturalism, murder, agony, innocence of young.

5. Ethics in musical performance and composition:

Apart from *inducing ethical values by means of* music, an ethical *approach to music* is an important requirement for the performing artist. A musical *performance* should have *integrity* (sincerity, genuineness) and not be "fake" or "bluff". (Exempted are parody, exaggeration and demonstrated pretence in a musical comedy, which are understood by the audience as intended humour). Performance also involves searching for the *truth in interpreting the score* and not to deviate for questionable reasons.

The same applies to the problem of parody (in a musical sense: borrowing music and re-use in a different context) and plagiarism. Composers often borrow (consciously or unconsciously) ideas or even themes from other composers and transcribe or remould them. The amount of real creativeness used in the process will determine whether we deal with a new work of art or plagiarism. The motive for borrowing, appropriation (respect, admiration as against self-promotion) is of particular importance. (See also Chapter XI.: Juridical Aspects of Music).

Parody in the usual meaning of the word, i.e. making innocent fun of something pre-existing, including music, is different and understood as humour.

6. The concept of music as an ethical, moral force in traditional Music Education:

In Education music has always been regarded as an important educational tool because of its perceived power to instil moral values. Vice versa, the negative, corrupting value of music has also been proclaimed. Due to its kinematic, energetic, biotic, physical, symbolic and social

aspects, music can be a contextual medium to express or propagate hedonistic or other, anti-social values.

In ancient Greece music was regarded as a strong ethical force, positively or negatively. Plato gave final shape to this concept in his so-called *ethos* doctrine. Certain music and musical instruments (e.g. the *Kythara, Lyra*) were associated with Apollo and regarded as morally uplifting, good and therefore to be recommended as a pedagogical instrument. Others (e.g. the *Barbiton* and the shrill reed instrument, the *Aulos*) were associated with Dionysus, god of intoxication, orgies and eroticism, regarded as decadent and therefore prohibited in schools. This doctrine was based on the concept of "mood" (affect), the doctrine of the four temperaments by Hippocrates and the speculative theories of musical number. It was upheld during the early Christian and Medieval period but translated into Christian terms (See also Chapter VI and VIII). The Church encouraged spiritual music and discouraged secular music, especially the rhythmic dances of the jugglers. The Platonic concept was endorsed in the Renaissance. Luther condemned the use of erotic songs ("fleischliche Gesänge"). Calvin subscribed to the Platonic concept of musical ethics and demanded psalm melodies clearly distinguishable from "secular" songs and containing "nobility", "depth" and "chastity". In the Baroque (ca. 1560-1740) the emphasis shifted from the ethical nature of music to the more *psychological* sphere of "mood" and rhetoric. Composers did therefore not shy away from portraying moral degradation and sensuality in order to preach *repentance and redemption*. In the subsequent centuries the concept of moral values conveyed through music remained unchanged, although the moral concepts changed with the change in worldview (e.g. Beethoven's symphonies, opera *Fidelio*, Wagner's operas, the veristic opera, etc.).

In Post-Modernism the ethical values portrayed by means of music have gained tremendous power through modern media. Although recognised by musicologists, a thorough co-ordinated investigation of this problem by means of extensive research (involving also physiologists, psychologists, sociologists) is yet to be undertaken. Various initial studies by sociologists and psychologists have revealed, however, the strong contextual moral impulses and associations experienced through music. As Dieter Baacke e.g. wrote concerning "Beat" music in the late 1960's: Beat music was perceived as an instrument of sexual liberation; love, eros, sex, fun, lust and freedom as conscious or unconscious values transmitted (see Baacke, Dieter: *Beat, die sprachlose Opposition*, Munich, 1968). See 1., above ("Contextuality") for a discussion of this issue.

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XIII. THE RELIGIOUS/FAITH ASPECT OF MUSIC
(outline)

All music has an aspect of <u>faith</u> to it, a religious dimension, whether it addresses faith issues directly or not. Humans are imbued with a sense of the transcendent, they are created in "the image of God".

Faith is the highest of all the modalities/qualities in the Dooyeweerdian model, it refers to every other mode in a retrocipatory fashion, but it also denotes human limitation: We are limited in our "understanding of God" and overall understanding of the world, "looking into a glass darkly". Concepts such as the "infinite" and "eternity", of "being without a beginning and end"(attribute of God), of "3 being 1" and other perceived paradoxes are beyond human grasp.

Faith and ethics have a close bond ("love God love/your neighbour"). Faith without love for the neighbour is meaningless or false. Yet faith should not be reduced to ethics, as happened in the "God is dead" Theology of the 20th century or in the Liberation Theology of the 1970's (Reductionism). The basic Theology of the Rock Opera *Jesus Christ Superstar* of the 1970's is a reflection of such reductionism.

Music as an expression of faith and faith values: Not only music written for worship, but music reflecting a certain trust, solidity, security without avoiding profoundly disturbing questions about the purpose of human suffering

The *purpose and nature* of music: a Christian versus a humanistic concept

The dualistic terms "secular", "sacred" imply a erroneous *separation* (See also Chapter I). For a Christian, *all music is a gift from God and will be used with thanksgiving to the glory of God*, regardless whether it is written for worship, to express joy in creation, pain and suffering or love. Faith in Christ will be reflected in the *way* liturgical or non-liturgical music will be written. The terms "sacred" and "secular" music rather replaced with *functional terms*, by the *function the music has to fulfil*: Church Music (liturgical/extra-liturgical), Dance Music, Concert Music, etc.

Background to the "secular"/"sacred" dualism: The dualistic terminology developed in early Christianity to cope with the Greek splitting of their religion in <u>opposing cults</u>. The <u>Apollinian</u> and <u>Dionysian</u> cult concepts were transformed into the concept of "Christian worship of Christ" versus the "Serving of the flesh (hence the devil, the world)". In a narrow sense everything that addressed the active worship of God and Christ became seen as "sacred", "religious" and everything else became "secular".

Various categories of Church Music:

-   Liturgical service music, e.g. hymns, songs, anthems, organ music etc. Liturgy as "dialogue" between God and the Church/Congregation, the need for music that is liturgically meaningful (correspond to the Gospel and sermon). This applies also to other liturgical models such as weddings and funerals.

    - Examples of different categories of hymns and songs within worship service

- Church music *outside the liturgy* (extra-liturgical), e.g. oratorios, organ recitals etc.):

• "Religious" music in the broadest sense: Music which relates religious experience or refers to God or gods.

• Qualities of church music: Biblical, theocentric, containing universality (in a historic and cultural sense), ethic values in accordance to the Scriptures, aesthetic value (quality and simplicity)

• Functional and stylistic possibilities. Style alone does not define "church music". Examples of what is mistaken as "holy" or fitting for the church.

• Stylistic unity in Bach's Court and Church music; his practice of transcription

• The purpose and function of music in the Christian church versus that of other religions and cults

• Problems encountered in the assimilation of traditional Church music styles and non-church music styles in our time.

Discussion topic: Is all music equally *suitable/functional* for use in worship?
Critique the views of Luther, Calvin, etc.

In-class assignment: Comparison of two renditions of a Bach Cantata:

Background to the assignment:

Johann Sebastian Bach (1685-1750) had to write a Cantata weekly to go with the gospel reading and the sermon of the specific Sunday in the German Lutheran Church. The people who heard this music were ordinary church members [A Cantata is a piece for church choir and instruments and is usually sung before and/or after the sermon and formed part of the preaching of the gospel – see also *Genre*, Chapter XIV].

Bach had different musical possibilities to write a Cantata. It could be the gospel words set freely as a choir piece, or as solo songs (Arias) or based on a hymn. Bach had a great fondness for hymns and used them often in his Cantatas as a way of *musical proclamation of the Word.*

The Cantata # 140, "Sleepers, wake/ Wake, awake" (in German "Wachet auf") was written for the last Sunday in November. The theme of this Sunday is Christ's return at the end of time. The Gospel reading deals with the parable of the ten virgins going out with their lamps to meet the Bridegroom (a metaphor of the Church as bride meeting Christ). Bach based his Cantata on the Hymn "Sleepers, wake"(3 verses of the hymn, supplemented by duets between Christ and his Bride) [see *Psalter Hymnal* 613, which will be shown on the overhead]:

1.   The first stanza ("Wake, awake..") is a wake-up call by the Watchmen announcing the coming of Christ the Groom. Bach set this verse for Choir and various instruments.

2.   Following a lively narration (recitative) and a duet expressing the bride's longing for the groom to come, there follows:
    -     the second stanza of the hymn, "Zion hear the watchmen singing" ("Zion hört die Wächter singen"). This is set as a festive dance of Zion (the Church as Bride) on the way to meet the bridegroom.
          [This is the setting you have to analyse, below. See details later]

3.   After another duet, which expresses the love of the Groom and Bride for each other, follows:

    -     the third stanza of the hymn, which sings the praise of Christ (the Groom) at the

    -     heavenly banquet (in the New Jerusalem): "Lamb of God, the heavens adore you..."
          Bach set this as a festive hymn for full choir and instruments.

To get acquainted with the hymn tune,

    - listen to the final stanza in the way the choir and instruments perform it.
    - all sing together verse two ("Zion hears") from the xerox copy with piano accompaniment.

Assignment:

1. Listen to the second stanza as Bach has set it for violins, bass instruments, keyboard and tenor voices (*Zion hört die Wächter singen*, " *Zion hear the Watchmen singing*)".

    - See if you can recognise the hymn as Bach uses it (listen carefully when it is used).
    - Describe *how* Bach has set it (what he has done with it/added to it) and the character he has given it.

2. Listen to a 20th century rendition of the same music by the French Swingle Singers, simply called *Prelude*.

    - Describe this version, its character and impact (on the listener) and the mediums used.

3. Compare the two versions of the same piece with regard to:

    - Medium (the voices or instruments used)
    - Treatment of the text
    - Character of music and psychological differences (impact on listener)
    - Social connotation (in which social environment will you put each of these)
    - Liturgical usefulness (usefulness within a church service) .

XIV. TERMINOLOGICAL DISTINCTIONS IN THE CLASSIFICATION OF MUSIC: FORM. GENRE, TEXTURE, STYLE AND TECHNIQUE

Musical terms are incorrectly often used in classifying music. The term "form" may be used when "genre" is intended, "style" and "technique" become confused, etc. A clear distinction in thd classification is needed.

1. Genre in Music

While FORM refers to the structure of the work (structuring process, which can take on the structural quality of a traditional form model, but need not be), GENRE refers to the *way the work is performed,* the *performing praxis*, the *instrumentation, vocal participation*, *texts*, etc. A genre can represent a variety of forms and styles (see STYLE, below).

Examples of genre:

SYMPHONY: A *cyclic* work (a work containing more than one movement) for orchestra with or without vocal participation. The number of instruments, movements and form possibilities can vary considerably.

SONATA: A cyclic work for one or more instruments (e.g. Piano Sonata, Trio Sonata). If written for a non-keyboard instrument, it is usually accompanied by keyboard.

STRING QUARTET: Music written for four string instruments: Violin 1 and 2, Viola and Cello.

STRING TRIO: Music for Violin 1, 2 and Cello

PIANO TRIO: Piano, Violin and Cello

PIANO QUARTET: Piano and String Trio (Violin 1, 2, Cello)

PIANO QUINTET: Piano and String Quartet (Schubert's *Trout Quintet* an exception, written for Piano, Violin 1, Viola, Cello and Double Bass)

CONCERTO: The term indicates a specific performing praxis, namely of dialogue between an orchestra and one or more instruments, set in more than one movement.

CONCERTO GROSSO: Earlier form of 17th century Concerto, written for larger group (*Tutti* or *Ripieno*) against a smaller group of soloists with continuo (*Soli*)

OPERA: Theatrical performance set to music and performed on stage, involving soloists, instruments (an ensemble or full orchestra) and, possibly, a choir (since around 1600). The music tended to dominate the other arts in Opera and made use of an alternation of Arias and Recitatives, as well as choruses. In the earlier 19th century a more flexible arrangement/grouping of recitative, chorus and aria-like songs into operatic *scenes* replaced the more stereotypical recitative-aria arrangement.

MUSIC DRAMA: A 19th century reform of the Opera. An attempt is made to *fully integrate music, drama, ballet and visual arts* (e.g. Wagner). Music becomes *subservient to the dramatic action*. Traditional musical forms, such as *recitative* and *aria* are *sacrificed* for the idea of a continuous, expressive, lyrical form of speech-song (*unendliche Melodie)*

ORATORIO: A concert-style musical presentation of dramatic events through *narration* in which the performers (soloists with or without choir) do not act or dress in theatre costumes.

The events are narrated by a soloist (*testo*, Evangelist), soloists or the choir and appeal to the imagination of the listener. Oratorios are mostly biblical or based on legends, materials from miracle plays etc., but are not exclusively so. They can appear under other names such as "Histories" (*Historia* by Schütz) or "Passions" (Oratoria based on the suffering of Christ). Some oratorios, such as Handel's *Messiah* do not offer a detailed dramatic story, but rather bring a chronological presentation of biblical texts, prophesies, which *refer* to such events. Oratoria can also deal with non-religious matter (e.g. Haydn's *Seasons*). Instances of Oratoria accompanied by theatrical performance did occur (blurring the distinction between Biblical Opera and Oratorio) but were disallowed by the church.

BALLET: A theatrical performance using dancers and music without any text or spoken word. Mime and gestures are used to convey the story and emotions involved.

CANTATA: These are shorter works (up to ca. 20 minutes in length) with more than one movement for soloists with or without choir based on biblical texts or other poetry. Church cantatas (e.g. Bach) were based on the Gospel reading of the specific Sunday and intended to reinforce the sermon. Court cantatas were written for the court to celebrate specific occasions (birth, marriage) or propagate some ideas (e.g. Bach's cantatas for hunting, Coffee cantata etc.)

MOTET: Music for a choir containing more than one voice part and based on one text; it can be unaccompanied and written in a variety of styles, e.g. polyphonic, homophonic, antiphonal, iso-rhythmic, etc. In the medieval 13th century motet multiple simultaneous texts occurred. The motet is shorter than the cantata but can also be incorporated as a movement of a cantata.

ART SONG (German *Lied*): A song for solo voice with accompaniment – in earlier years it could be a lute or guitar or harpsichord. Since the later 18th century the *fortepiano* and modern piano was used. Styles and structures can vary. Strauss and Mahler also wrote Art Songs for voice and orchestra, where the distinction between Aria and Art Song became blurred.

SONG CYCLE: A collection of art songs depicting a unifying theme (e.g. the "Winter Journey" by Schubert.

 MASS: A setting of the Ordinary sections of the Mass and depicts more the *larger structure* of a work *than denoting a specific performance practice*. Masses can be in any style (monophonic, polyphonic, monodic, etc) and its instrumentation can vary from voices alone (early medieval times) to choir, soloists with ensemble (Baroque) to Choir, Soloists and Symphony orchestra since the Vienna Classic. Masses occur also in different cultures and may use the specific styles and instruments peculiar to that culture (e.g. *Missa Kwanga*, *Missa Creola*, etc.). The only genre connotation of the Mass is its milieu and function (part of a Sunday Mass), but the use of full orchestras and mass choirs since the 18th century made it impractical for liturgical use and did it become part of the concert hall practice.

CHORALE PRELUDE: An arrangement for organ based on a chorale (hymn), forming part of the Sunday liturgy.

ELECTRONIC MUSIC: A new genre that started in Modernity. It allows not only for taped/recorded electronic sounds, but also for live interaction between performer and tape. In Post-Modernity the concept of "Genre" has been weakened in the Indeterminacy movement, since it left the performer with multiple choices of medium (e.g. Cage, *Variation II*) or no medium at all (*4'33''*- left to the listener to imagine). The impact of computer technology also allowed for improvised electronic manipulation of live performances.

Genre terms do *not* therefore indicate any *specific form* or *style* and it is wrong to refer to the SYMPHONY, the STRING QUARTET, etc. as forms, for these genres can be written in a variety of forms and styles.

2. Texture in Music

Texture is a structural term relating to the dynamic and timbre-quality of the single-voice part ("thick", "thin", "clear", "muffled", "bright", "linear", "rounded", "*sfumato*-like", "woolly", "silky", "rigid", "heavy", "light", "flexible", "blending", "outstanding", etc.) and its relation to other voice – parts., e.g. density, function kinetic direction (e.g. "thin texture", "thick texture", "dense texture", "transparent texture", "polyphonic texture", "homophonic texture", "heterophonic texture", "monodic texture", etc.). The term has been derived by analogy from the area of textiles. Like the characteristics of fabric, musical texture is a function of the various "strands" (voices) and their relationships. Texture is almost identical with "structural style" (see STYLE), although it can be said that it defines that style in greater detail, e.g. a polyphonic style with a thick or thin texture, a too "thick", "woolly" unison, etc.

Examples: Qualities of an unaccompanied solo voice (monophonic)
 Qualities of a solo voice with decorative embellishment of the same (heterophony)
 Qualities of singing in unison and octaves (monophonic choral singing)
 Qualities of parallel singing (organum)
 Qualities of equal melodies (counterpoint)
 Qualities of voice parts with different melodies, but in rhythmic unison (homophony)
 Quality of a melody with harmonic accompaniment (monody)
 Quality difference between chamber music setting and one for full orchestra
 Difference in texture in orchestration (e.g. Mozart and Brahms)
 Change in texture within a piece and their structural function (e.g. difference between
  minuet and trio; gradual increase in density, etc.)

3. Style in Music

 STYLE IN MUSIC: CLASSIFICATION OF STYLES; STYLE PERIODS

The word "style" (from Latin "stilus" = "pen") is used in Music to describe the peculiarity of writing displayed in a composition. This peculiarity of writing reflects certain personal qualities of the composer, as well as various outside stimuli which shaped him musically.

Living in a certain age (period), belonging to a certain generation, social class, region, country, writing for a peculiar medium or genre, and working with certain musical form models and

structures, a composer will reflect in his music the period style (e.g. Baroque or Classic style), generation style (e.g. Early-Classic), social style, (e.g. Church-Music style, Underground-Music style, "Primitive-style", etc.), medium style (piano style, organ style, vocal style, etc.), genre-style (symphonic style, concerto style, motet style, etc)., structural style (homophonic style, polyphonic style, monodic style, canonic style, style of texture, etc.). As a unique person, being created by God, the composer integrates these diverse style influences by means of his/her personal style which distinguishes the resulting work from any other composer's. This explains why two composers of the same age and nationality can reflect two opposite personal styles which having any other style elements in common (e.g. Bach and Handel: Late-Baroque, same generation, German, oratorical works, *concerti grossi*, etc. and yet totally different in character, structural style and genre-preference).

Style is more than technique (see 4., below), which is a *skill* that can be *learnt*: It is the *personal adoption and application of such objective skills*. A composer can thus learn the technique of piano playing, orchestration, harmonization, or writing in certain form models, etc., but his/her personal application of these learnt skills will result in a personal style of piano playing, orchestration, harmonisation, etc.

While reflecting a rich abundance of style elements, a composition will lack style unless these various style elements are *completely integrated to form a new whole*. The music of many young composers often lacks an integrating personal style, as the composer is simply overwhelmed by various style impressions and is still in the process of searching for a personal idiom and style.

Musical style should be distinguished from musical form. A musical form or form model (e.g. Rondo-form) can display a variety of styles. Vice versa: A style (e.g. the Fugue style) can be cast in a variety of forms.

Style represents a very important aspect of music. To appreciate music, an understanding of the basic style is essential. For a performer of music this understanding is crucial. Many performances, no matter how technically brilliant, fail because they show a lack of stylistic understanding on the part of the performer – not always recognised by the audience however.

In Music History a number of historical style periods can be distinguished. Each period displays an outstanding global style feature despite the variety of general and personal styles contained within that period. These style periods derive their peculiar style quality from the general world-and-life view of the time (see historic charts Chapter IX: The Historic Aspect of Music, pp. 101-104)

4. Technique:

This is an objective *skill that can be learnt* in any activity (walking, writing, playing, driving a car, playing tennis, swimming etc.) including music: the writing (harmony, counterpoint, composing based on a specific form model, orchestration) or performing of music etc. The *way* the individual will use these writing or performing techniques (subconsciously) will become a personal *style* (see 3. Above)

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