

MUSICAL PERFORMANCE IN CONTEXT

A Festschrift in Celebration of
Doctoral Education at the Sibelius Academy



Edited by Juha Ojala and Lauri Suurpää



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Musical Performance in Context

MUSICAL
PERFORMANCE
IN CONTEXT

A Festschrift
in Celebration of
Doctoral Education at
the Sibelius Academy

Edited by Juha Ojala and Lauri Suurpää



30^{YEARS}

OF DOCTORATES IN MUSIC
AT THE SIBELIUS ACADEMY



Musical Performance in Context
A Festschrift in Celebration of Doctoral Education at the Sibelius Academy

Edited by Juha Ojala and Lauri Suurpää

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Preface

JUHA OJALA AND LAURI SUURPÄÄ

The first Doctors of Music graduated from the Sibelius Academy in 1990, and thus the year 2020 marked the thirtieth anniversary of the conferral of doctoral degrees. In celebration of the occasion, the DocMus Doctoral School of the Faculty of Classical Music is publishing this *Festschrift*. The aim is to give a glimpse of the breadth and versatility of scholarly and artistic activities at the Sibelius Academy. The book consists of scholarly essays as well as general and personal reminiscences. The authors of the essays are either in the faculty of the Sibelius Academy or have worked in cooperation with the Academy, in particular in the field of doctoral education. All the essays address, in one way or another, issues of musical performance, the field that arguably forms the core of doctoral education in DocMus.

Much has changed in thirty years. The Sibelius Academy is no longer an independent university but forms, together with the Academy of Fine Arts and the Theatre Academy, the University of the Arts Helsinki. As a result, doctoral education at the Sibelius Academy has a broader academic framework. A steady flow of new doctors has followed the first graduates of 1990, totaling 228 by the fall of 2020.

The book begins with two introductory essays, by Kari Kurkela and Lassi Rajamaa, respectively. Both authors played a pivotal role during the early phases of doctoral education, and the essays recall these first steps. Professor emeritus Kurkela was a crucial figure in establishing the academic framework for the doctoral program. Rector emeritus Rajamaa, who was Vice Rector of the Sibelius Academy in 1990 when the first Doctors graduated, has a unique view of the administrative and practical challenges that had to be overcome before doctoral education could start. In combination, the two essays shed light on the origins of doctoral education at the Sibelius Academy.

The scholarly essays are presented in three parts. The first part addresses interrelationships between history and musical performance. Anne Kauppala explores how soprano Aino Ackté prepared for her role in Richard Strauss's *Salome* in 1906–1907. In addition to giving a historical account of the performer's creative process, the genetic analysis contributes to the methodology of studying power hierarchies in music. Tomi Mäkelä describes Friedrich Wieck's various activities, challenging the narrow view of him that tends to be presented in scholarly literature as well as in more popular media such as film. Mäkelä's wide-ranging essay shows that Wieck was not only Clara's father and an influential piano teacher, but also a musician with diverse interests and strong, occasionally thought-provoking opinions on many topics that were current in his time. Matti Huttunen gives an introduction to the musical thinking of philosopher Ernst Bloch. In particular, he analyzes Bloch's views on musical form and musical expression, topics that are highly relevant in current musical research. Huttunen's careful historical contextualization helps to highlight the original, occasionally idiosyncratic features of Bloch's musical thinking. Peter Peitsalo inquires into Oskar Merikanto's liturgical music, with the 1913 service book of the Evangelical Lutheran Church of Finland as the point of reference. The study evinces Merikanto's comprehensive role in advancing the liturgical music of by far the largest church in the country, a role that was characterized by a respect for tradition and a quest for renewal.

The contributions in the second part concentrate on musical works in terms of analysis, performance, and pedagogy. Lauri Suurpää examines the slow movement of Joseph Haydn's String Quartet, Op. 20, No. 2, analyzing the movement as ultimately unresolved power play between two virtual musical agents, a crown and an individual. The analysis is historically contextualized through references to eighteenth-century views on musical expression, grammar, and the role of the performer. Juha Ojala embarks on an excursion into performance data from eight recordings of Arnold Schönberg's *Klavierstück*, Op. 19, No. 4. The detailed comparison in the case study sheds light on the post-World-War-II performance practice of piano music in the Second Viennese School. Robert S. Hatten describes a course on musical analysis and

performance that he teaches. Methodologically innovative, the course combines a large number of different approaches, including bodily movement, historical performance practice, musical topics, phrase structure, and meter. Together, these various layers help the students to achieve nuanced and rich performances.

The third part concentrates on various ways of generating and perceiving musical performances. Tuire Kuusi, Ivan Jimenez, and Matthew D. Schulkind investigate the role of both listener and musical factors in song identification. Using four songs by the Beatles, the authors show how non-professional listeners are able to identify a song from chords. They identify specialized familiarity as a background variable affecting the identification, meaning whether or not the listener has played the song and is able to write the chord labels. Violinist Mieko Kanno and composer Sam Hayden report on the ways of interacting with common practice notation in contemporary art music through live, algorithmically generated notation rendered in real-time for the performer. They discuss what music notation is in contemporary discourse and present a case study of their ongoing collaboration. Composer Giovanni Verrando explains how he seeks new kinds of timbral qualities through constructing new instruments or molding existing ones. Such instruments and their novel qualities also require special notational symbols. As a result, Verrando also considers ways in which the composer can communicate his or her ideas accurately to a performer.

The book ends with five reminiscences by people who have been intimately involved with the DocMus Doctoral School and its doctoral education. Raimo Sariola was the first artistic doctor to graduate from the Sibelius Academy (1990); Cecilia Oinas was the most recent scholarly doctor, having graduated in 2017 when we started to collect material for this book; Gustav Djupsjöbacka graduated from the applied study program around the middle of the thirty-year time-span (2005). Together, these three Doctors of Music cover the entire period of our doctoral education and represent the three study programs. Päivi Järviö and Annikka Konttori-Gustafsson, also Sibelius Academy Doctors, have both been Heads of DocMus, and also reflect on the daily routines. All in all, these scholarly essays and the reminiscences give

a multilayered picture of the breadth, the international connections, and historical background of doctoral education and research at the DocMus Doctoral School.

We wish to express our gratitude to Joan Nordlund for the language services she has provided. We appreciate the diligence and care she has given to the texts. The final choices were left for the authors, and any issues remaining are the responsibility of the authors and the editors.

Introduction

In Search of an Identity

Thirty Years of Doctoral Education: Some Personal
Recollections of the Birth and Growth of DocMus

KARI KURKELA

From a Conservatory Environment to the
University Level

My memories of doctoral education at the Sibelius Academy start with some minor steps taken at the end of the 1980s. The Academy had achieved the status of a higher education institution funded by the Ministry of Education and Culture some years earlier, after a long period as a private music school. At the same time, a curriculum reform was initiated that led to a system of degrees and curricula corresponding to that of Finnish science universities. This set many things in motion. It even became possible to graduate as a Doctor at the Sibelius Academy. What could this mean in practice? Musicology had its long tradition and profiles in research universities. The Sibelius Academy, on the other hand, had focused on the performing and composing of classical music, supplemented with music history and theory. Music teaching and church music were separate subjects. The Sibelius Academy was a conservatory *par excellence*, with an honorable tradition of artistic experiencing, thinking, and virtuosity going back one hundred years. Now it took its first steps towards being a university equal to other universities. New genres emerged in addition to the new degree system, as programs in jazz and folk music started. Music technology and a Master's program in arts management were soon added. *Summa summarum*, this was the immediate surrounding in which doctoral education was supposed to develop and find its identity.

More than 220 doctoral candidates have graduated at the Academy

in the last 30 years. Initially there were only one or two per year, then in the busiest times there were more than 10. About three quarters of those with a doctoral degree studied in DocMus or its predecessor. The remainder represent music education, folk music, jazz, music technology, and arts management, gathered together nowadays within the MuTri Doctoral School of Music Education, Jazz and Folk Music. Most doctoral degrees (about 60 percent) are artistically oriented, the rest comprising traditional research, dissertations, and projects related to research, development and specialization (I go into more detail about these three study programs below).

My involvement in doctoral education started in the late 1980s in the courtyard of the Kallio-Kuninkala Music Centre. I was there with my Master's students, giving a seminar. At one point I saw one of my musician colleagues walking around outside the country house looking somewhat bewildered. It turned out that he had started his doctoral studies, and now he was thinking how to go on. I had my diploma in piano playing from the Sibelius Academy, and I had recently graduated as a PhD from the University of Helsinki. I was substituting as Professor of music theory at the Sibelius Academy at that time, and I felt it was my responsibility to offer him a hand. It soon came out that he was not the only one wandering around in the enchanted forest of doctoral studies. I initiated a seminar for five or six pioneering doctoral students. I quickly found myself up to my neck in questions concerning the development of doctoral studies. We had some general guidelines, but more concrete content was needed. The question was: what should be the profile, the criteria, and the programs of such studies at the Sibelius Academy?

The Development of Doctoral Programs Starts

It was self-evident from the outset that a doctor graduating from the Sibelius Academy could be an artist, and that a high level of artistry would be required. It may seem odd not to equate doctoral studies exclusively with the process of qualifying as a researcher. At least in the 1990s, many treated it as an odd idea, if not a joke. However, the idea of a Doctor in arts follows the logic of traditional science univer-

sities: a Master's Degree or the corresponding level constitutes the basis of doctoral studies. Given that many Master's-level degrees at the Academy are artistically weighted, it seemed logical also to offer an opportunity for further education with an artistic emphasis. If there can be Bachelors and Masters of Music, why not Doctors of Music?

We thought that, as an academic degree, the Arts Study Program should also include education in academic research. Nevertheless, the key concept was the artist's perspective—the idea that activity as an artist creates a unique vantage point from which to investigate different aspects of music and its production. Combining a reasonable philosophical base and research methodology with solid artistic practice, experience, and skills would make it possible to open new perspectives of exploration—generate new questions, challenges, methods, and methodologies, as well as new knowledge. The idea was to combine high-level artistic competence with adequate research skills, thereby enriching the body of knowledge provided by musicologists and others, and last but not least, strengthening the overall capacity of the student as an excellent artist.

Consequently, a structure for an artistic DMus program was constructed. It comprised five demanding concerts forming a coherent whole, supportive studies in arts and research, and a written treatise (thesis), such that all the sections contributed to the candidate's artistic progression. Even if the extent of the treatise corresponded to the Master's thesis in terms of extent, many candidates, having acquired more self confidence in research-oriented work, have written treatises clearly exceeding the requirements of the program. The first Doctor of Music at the Sibelius Academy, cellist Raimo Sariola, graduated from the Arts Study Program in 1990. This was a big enough event to be reported widely in the media, including the national television company.

Even if the Sibelius Academy had been an art school, the idea of traditional research was not a total oddity in the 1980s and 1990s. There had been activity, especially in music history, music theory, and music education, which gave a natural mental impetus to embark on a doctoral program that followed in minute detail the models of research universities in Finland and elsewhere. We call it a Research Study Program,

and even if it is fully comparable to a PhD degree, it is a DMus degree at the Sibelius Academy. Some artists have even challenged themselves within this program and have trained to become researchers. Naturally, it requires considerable time, patience, and effort for an artist to immerse oneself in theoretical knowledge and research skills to the same level as those who are educated in research universities. The Research Study Program at the Sibelius Academy has also attracted some Master's-level graduates from research universities, eager to explore the possibilities at the interface between live music and research.

Little by little it became clear that many of the Academy's Master's-level students were exceptionally talented and interested in areas that are at the heart of music but beyond the scope of solo performance and traditional research. I personally felt that it would be a pity and a waste of endowment if our system of education did not give these people the opportunity to strengthen their skills and creativity in ways akin to art and research. We started a process aimed at developing a program that enabled students to concentrate on developing new, research-based and well-tested practices, and deepening their know-how and expertise in their selected special areas. Philosophically, this is akin to specialization in medicine, for example, and it has some common features with research and development (R & D) in medicine. Eventually the Board of Research and Education decided that this program would constitute a third DMus program, and this was the beginning of our Applied Study Program. I remember being in one meeting at which the then Research Director of the Academy of Finland was present. I was somewhat stressed when I told her about our new ideas for doctoral education, but her enthusiastic exclamation gave me the courage to start the program: "But all doctoral programs should be like this, shouldn't they!" The first degree in the Applied Study Program was awarded in 2001, since when there has been one per year, on average. The projects are usually very demanding, requiring the skills and mental disposition to conduct research, as well as a systematic mindset and developmental creativity, and an aptitude for high-level specialization in a music-related area.

The Birth of DocMus

The prehistory of DocMus as well as its later life are, of course, connected with administrative developments at the Sibelius Academy. At the very beginning there was a Center of Music Research. Somehow, I was put to run it, and I soon noticed that its operational idea and the resources were unrealistic. My logical conclusion was that the unit had to be put down. As a compensatory gesture I proposed that each department take responsibility for research and doctoral education in its own field. Despite some objections, the idea was accepted. This decision has certainly had far-reaching and beneficial consequences as far as research and doctoral education at the Academy are concerned. At that time, most classical instrument teaching (including singing) was organized in the large Soloist Department. Doctoral education in music performance and the related research found its niche here, first as a departmental project in 1988, then in 1994 as one of its units. However, as the demand for doctoral education grew it became evident that running the programs was very different from the rest of everyday life in the Soloist Department. Planning and real-time realization were difficult in an administrative system designed for undergraduate educational programs with curricula that scarcely changed year by year. Doctoral education was thus an oddity, not only as an educational idea but also administratively. It was my lot to start another struggle aimed at establishing an independent department that would take care of the doctoral programs in the Soloist Department, with its own budget and decision-making power in terms of educational planning and realization. The plan was eventually accepted at the highest administrative level in 1999. This was the beginning of DocMus in its current administrative form. Doctoral education in composition, music theory, and church music were later integrated into its activities.

From the first years onwards there was a full-on pioneering spirit and enthusiasm, which can only prevail when something new, significant, and interesting is about to emerge. There was also a constant struggle for resources, however, and we could not avoid some nasty surprises now and then. Sometimes it seemed that doctoral education had

disappeared into oblivion in the communications and decision-making of the Academy. Occasionally, we faced doubts, mockery, and animosity from inside and outside, and our doctoral students were also verbally attacked. I pointed out during a seminar in which these questions were discussed that the scoffing would end after the graduations. And so it did. A significant part of the negativism was a result of misunderstanding. When we face something new and unfamiliar, we are inclined to imagine the worst. We create scarecrows out of things we do not understand, and then we attack them.

It was therefore necessary to spread factual information about the doctoral programs inside and outside the Academy. Naturally, we made a special effort to make the Arts Study Program understandable. For centuries a doctor had been equated with a researcher (or a physician), and consequently spokespersons from the world of research in particular may have found it difficult to accept the idea of an artist as a doctor—or as a matter of fact, the idea that an art university could offer anything worthy of mention in the area of doctoral education. Many musicians also expressed badly veiled worries about their colleagues participating in the doctoral programs. On the other hand, many eminent artists changed their attitudes when they discovered what this was all about—as a result of being invited to participate in the planning and teaching of doctoral education, or as members of juries evaluating doctoral concerts. The situation has improved in the traditional research world as well, as people have found out what our work is really about.

The artistic audition panel that evaluates all domestic as well as foreign doctoral applicants has also had a stabilizing effect on the Arts Study Program. This panel comprehensively represents the Sibelius Academy's artistic expertise. Among other benefits, it made it possible to establish a uniform starting level for the whole art program, which would not have been as easy had the auditions been held field-specifically. The bar was set high from the beginning. Growing awareness of the fact that only those with very strong artistic and technical competence could be accepted as a doctoral art student also had a reassuring effect inside the Academy.

Attitudes towards the doctoral programs gradually became more

positive, which was extremely important from the perspective of the future. Of course, there were colleagues who understood the potential of this activity from the start and participated actively in the developmental work. Without forgetting the others, I wish to mention here the then Vice Rector of the Sibelius Academy Lassi Rajamaa who, in his position, actively supported this project. Support and opportunities for collegial reflection during the first years of development were offered by piano professor Erik T. Tawaststjerna and Raimo Sariola, who was Head of the Soloist Department and the second vice rector in 1990–1996 following his graduation as our first DMus. Erik, Raimo, and I had a memorable trip to America, where we visited several prominent universities with doctoral programs in the field of music performance. The doctoral degree in music had been under development for several decades in the US, designed to match local needs. As such it did not meet our requirements in Finland, but being able to exchange opinions and experiences helped us to strengthen our view about doctoral education in an art university.

Our Partners in a Time of Enrooting and Strengthening

What has been absolutely essential for the growth and establishment of doctoral education at the Sibelius Academy has been the cooperation with partners outside, including working together with the Theatre Academy (TeaK) and the University of Industrial Arts and Design (TaiK). We initiated this cooperation soon after doctoral education started in Finnish art schools, when it was furthest advanced at the Sibelius Academy. It was clear from the start that our doctoral students needed a teaching schedule lasting several years. The requirements for graduation were high, and it was unrealistic to suppose that students would manage their studies by themselves (which was quite normal in Finnish research universities at that time). The biggest problem was that there was no money to fund a comprehensive teaching program. I remember the astonishment of our guests from the United States when they asked about how we financed our doctoral programs.

According to them, adding a couple of zeroes to our budget would have been fair. Okay, they were from Yale if I remember right, but anyway...

Luckily, colleagues at the University of Industrial Arts and Design (TaiK) had extra money, having the tradition and the skills of getting a share of the money for strategic projects initiated and financed by the Ministry of Education. We therefore instituted a procedure such that the Sibelius Academy arranged the teaching and TaiK supported it financially. Doctoral students from TaiK could participate in these courses, as could students from TeaK. Professor Pekka Korvenmaa's jovial role as the representative of TaiK was of paramount value in this cooperation.

We also entered into partnership with the Ministry of Education. We were taken into consideration, for example, when the Ministry was in the process of drawing up a new university law. As could be expected, the first draft was formulated from the point of view of research universities. We asked if we could possibly discuss the draft, and the three art universities were invited to a meeting. Our aspirations and suggestions were received positively, and so the possibility to graduate as a doctor in the arts was legally formulated in a manner that took account of our specific ideas.

Another remarkable example of Ministry support was the initiation of funding for doctoral schools (called "graduate schools" in the US). On a nice summer's day I suggested to Pentti Paavolainen, Professor at TeaK, that we make an application for the funding of a National Doctoral School of the Performing Arts (VEST). After a short discussion Pentti looked into space and stated with the dramatic voice of a theatrical man: "This is an historic breakthrough!" The situation was not at all clear, however. The Ministry of Education outsourced the practical arrangements of the initiative, such as the evaluation of the applications, to the Academy of Finland, an institution that is responsible for funding research projects of the first rank in Finland. Responses to our tentative inquiries about whether the initiative was also supposed to involve doctoral education in the art universities did not bring enlightenment. So, once again we asked for an audience, this time with the authorities of the Academy of Finland, a representative from the

Ministry was also present. Nobody was willing to say anything definitive in answer to our rather simple question. Finally, I said that I would not leave the room before we had an answer—“yes” or “no” would be enough. In other words, would it in principle be possible to provide funding for artistic doctoral programs, or will the art universities be excluded from this project? Apparently, it was hoped that I would leave the room, because a positive answer was formulated, hesitatingly but clearly enough. We made the application—and received funding from 1995 onwards, when it was awarded for the first time. The Ministry of Education even allocated extra funding to us. We organized a party to celebrate the breakthrough, to which we invited representatives from the Ministry. They spoke very warmly about our ideas, and this naturally encouraged us a lot. This was how the official national doctoral network in the performing arts started. We invited the departments of musicology and theatre research at Helsinki University to be our partners, as well as the Program in Theatre Arts at Tampere University.

With the founding of the National Doctoral School of Performing Arts (VEST) our funding improved. We could offer several posts for full-time doctoral students, and we had more resources for arranging teaching and supervising. Most of the VEST courses were open to all doctoral students in the above-mentioned units. VEST also helped us to bring the funding from the Sibelius Academy to a level that corresponded with our activities. The idea that the Ministry expected actions that manifested the Academy’s willingness to develop its doctoral education as a respected activity was a catalyst in this respect. External funding was a rarity at that time in the Sibelius Academy, and therefore it was highly appreciated, and nobody wanted to lose it. As a result, our domestic funding improved, more full-time study posts could be offered, and teaching and administration were better resourced. Later, VEST expanded: several universities were involved in its operations following the Ministry’s request to combine smaller doctoral schools in bigger units. Finally, after several years, the ring-fenced funding for doctoral schools ceased totally, and the responsibility for funding networks in doctoral education rested with the universities. However, while it lasted, VEST played a remarkable role in supporting the consolidation of

doctoral education as a stable and established activity at the Sibelius Academy and elsewhere.

The Academy of Finland has also been a supportive friend. After contact was established as described above we were seen as one possible agent in the field of research. The idea of interaction between research and art was adopted exceptionally smoothly and with positive interest. The Academy of Finland was willing to initiate a project based on the very idea of interaction between research and art. The plan was that it would finance the research part while the artistic activity would be funded by The Arts Promotion Centre Finland (both under the auspices of the Ministry of Education and Culture). The project was carried out successfully, and so a second round was organized. Accordingly, this form of financing interactions between art and research continued for several years. Interactions between art and research were initiated in many ways among several persons and as projects of individual artists with the capacity to engage in both activities. Since then, the Academy of Finland has financed several projects carried out at the Sibelius Academy.

The institutionalization of doctoral education was also furthered when DocMus was twice designated a Centre of Excellence in Education (in 1999 and 2000) in a national competition organized by the Finnish Higher Education Evaluation Council. The documentation introducing our activities at the time reveals that we had two full professors, one docent, two teaching assistants, one education coordinator, 1.5 post-doc researchers, many VEST scholars, and other full- and part-time students as well as scholarship holders. There were also 30 part-time teachers and a laboratory engineer undergoing his non-military service. The part-time teachers represented, in addition to the Sibelius Academy, the Theatre Academy, the University of Industrial Arts and Design, the University of Helsinki, the University of Tampere, the University of Oulu, the University of Turku, the Academy of Finland, the National Research and Development Agency for Welfare and Health, and The Institute for the Languages of Finland. The documentation also lists the following visitors from different counties between 1997 and 1999: Prof. K. S. Subramanian (University of Chennai, Brhiddhvani,

Research and Training Centre for Musics of the World, India), Prof. David Best (University of Wales in Swansea), Prof. Laurence Dreyfus (University of London, King's College), pianist Pierre-Laurent Aimard (Paris), Prof., composer Marco Stroppa (Conservatoire de Paris and State University of Music and Performing Arts Stuttgart), Prof. Jerrold Levinson (University of Maryland), Prof. Anthony E. Kemp (University of Reading), composer Jonathan D. Kramer (Columbia University, New York), Prof. Carl Schachter (City University of New York), and pianist Claude Helffer (Paris). I wish to add to this list Prof. John Sloboda, a well known music psychologist and professor at Keele University at that time. He visited our unit several times.

The Evaluation Council states the following in the evaluation document : “In its doctoral education, the unit has very successfully managed to take care of how to develop students’ professional personality and how to integrate expertise in the arts, research, and pedagogy. The education reacts quickly and flexibly to developmental needs and opportunities. The supervising of research as well as the quality and quantity of the final projects have been exemplary under the direction of domestic and foreign specialists. The educational and research projects support the operations of the unit in an excellent manner.”

The two designations as a Centre of Excellence brought remarkable amounts of extra money to the Sibelius Academy. Of this, 33 per cent was allocated to DocMus. This administrative decision stirred up some bitterness among the DocMus personnel. The resentment related to the bigger picture, in which the policy-making at the Ministry of Education had a role. The Ministry allocated finance to the universities according to a model in which the number of doctoral degrees had a significant impact. Accordingly, doctoral degrees were princely rewarded at that time. However, at the Sibelius Academy most of the money deriving from doctoral graduates was allocated to Bachelor- and Master’s-level education, making doctoral education a golden goose of a sort. Even so, there were complaints that educating future doctors reduced the resources available for undergraduate studies, and this irritated some of us somewhat. I comforted myself with the thought that the situation was rather good for DocMus, in any case. We used the prize money to fi-

nance another professorship, which has been included in the Academy's annual budget since this money ran out.

The Time of Unification

My time as Head of DocMus ended after the dawn of the new millennium. The unit had developed from a seminar involving some doctoral candidates to a community of about 60 students, guided and supported by professionals representing academic expertise and solid administrative skills. At that time, we listed our main operational principles in the documentation for the Finnish Higher Education Evaluation Council as follows: Strengthening the students' creative presence, multisided interactivity, a diverse range of courses and individual guidance, a supportive learning environment (including financial support), national networks in education, research and arts, considered internationalization, and being in close touch with stakeholders. Since the millennium and my time in charge, DocMus has been headed by Matti Huttunen, Annikka Konttori-Gustafsson, Marcus Castrén, Anne Sivuoja, Tuire Kuusi, Päivi Järviö, and Anu Vehviläinen (five of these seven doctors graduated from the Sibelius Academy, one from the University of Helsinki, and one from the University of Turku). At the time of writing, DocMus boasts four full-time professors, four emeritus professors or docents, three senior lecturers, one university researcher and two postdoc researchers, one visiting professor and one visiting researcher, eight university-funded full-time students, more than 20 part-time teachers, and six other professors and lecturers working in DocMus along with their other activities at the Sibelius Academy. At the end of 2020, DocMus had 84 doctoral students.

There was considerable administrative upheaval at the Sibelius Academy when all educational activities were organized in two big faculties. In this process DocMus became part of the Faculty of Classical Music. Another doctoral school was established in the Faculty of Music Education, Jazz and Folk Music, namely MuTri. Two different cultures had developed in the doctoral programs, reflecting the division between the two faculties. I had the feeling that there was some

tension and mistrust here. When I started my work as the Academy's vice-rector in research and doctoral education in 2009 it was my fervent wish to change the bitter spirit into mutual cooperation and trust. The Academic Council provided a great tool for this endeavor when it assigned several smaller sections to prepare decision-making for the Council. The doctoral education section comprised experts representing the main fields of both doctoral schools, and became a valuable forum in which to share developmental work. The mistrust turned into fruitful cooperation and pursuits of unified practices. A mutual understanding of doctoral education evolved. Professor Tuire Kuusi, Vice-dean of research and doctoral education at the Sibelius Academy after my stepping aside, continued successfully as chair of this forum. Discussions about merging the two doctoral schools has been going on for many years, but it seems not to be an issue for the near future. However, working together continues and strengthens between the doctoral faculties.

Another interesting exercise was the process whereby Finland's three art schools—the Theatre Academy, the Academy of Fine Arts, and the Sibelius Academy—were combined in 2013 to form the new University of the Arts Helsinki (the University of Industrial Arts and Design had already found its niche within Aalto University). The new situation was perhaps not as strange for us in doctoral education as it was for the rest of the staff in the three Academies, because we had extensive experience of operating together. Consequently, the cooperation continued relatively seamlessly, we had many things in common, and it was quite easy to arrive at a mutual understanding if necessary. However, there were also evident fears, suspicion, and tensions, especially among those who were not so experienced in inter-academy cooperation. The Sibelius Academy was frightening mainly because of its much bigger size compared to the other two, whereas the small ones caused disquiet because of their enviable speediness and determination in real-time reactions. *Déjà vu* phenomena of some sort stirred when we tried to introduce doctoral education and research to policymakers at the new university. Even if our position was recognized in theory, as a relatively small activity sector we were once again on the margin in

the redistribution of resources. I hope that the situation has improved since those first years.

While I was writing this text, as a retired professor, I asked my successors how they had experienced their work as the head of DocMus. Many above-mentioned themes—such as establishing decent resources, the role of the Ministry of Education, and the enthusiasm in creating a new culture and new activities—also surfaced in my colleagues' comments. DocMus was prized as an intensive and highly professional work community. It was described as a milieu in which different views can come up—and sometimes clash in a lively way. They appreciated the formation of the DocMus faculty, which has also attracted cultural currents from the research-university world to the Sibelius Academy. Different ways of thinking have enriched the traditional “conservatory thinking”—without destroying it. The new currents have maintained appreciation of the absolute value of art, artistic creativity and expression, which is best seen in the attitudes of my colleagues towards the Arts Study Program. Many of them emphasize the role of DocMus as a prominent organizer of public concerts—in fact, it is among the biggest promoters of recitals in the Helsinki area. What is specific to DocMus concert series is that artists perform a series of five concerts compiled around a specific artistic idea and covered from different angles. The basis is pure artistic intuition and ambition, and no commercial interests, limits or pressures need to be involved.

One more aspect needs to be brought out. My colleagues emphasized the internal richness of DocMus. I remember, when we visited a prominent school of music during the above-mentioned trip to America, asking whether it was possible to study for a doctoral degree focused on music psychology. The answer was that it was not, because the institution did not have enough expertise in that field. This was, of course, good justification—particularly given the abundance of universities and other music schools in the United States catering for various interests in doctoral studies. The situation in DocMus is different. Students wishing to graduate as artists in music or in the Applied Study Program do not have many options in Finland (or in Europe, in fact). We therefore decided at the start that we would try to provide a good-enough learn-

ing environment for each talented doctoral applicant with a project that matched the DocMus profile and for which there was no other niche in Finnish universities. In such cases we had to complement our expertise from outside of DocMus, in Finland or abroad. This modus operandi also put pressure on DocMus staff to develop themselves. This may have been burdensome, but it has also enhanced the richness and versatility inherent in DocMus.

Doctoral Education in the Arts Spreads in Europe and a Lively Discussion Begins

Doctoral education and research were introduced in several European conservatories years after having been established at the Sibelius Academy. We already had a bunch of doctors when others started to wonder what this was all about, and in those early years we had several visitors who were interested in our doctoral programs. I remember Peter Dejan, for instance, who started the Orpheus Institute in 1996 in Ghent, Belgium, being inspired by our thinking. The conservative connection between a doctoral degree and research was clear from the beginning in European discourse, such as in events and groups of the AEC (Association Européenne des Conservatoires, Académies de Musique et Musikhochschulen). As far as I know, artistic excellence does not have as pivotal a role in many countries as in our Arts Study Program. We have clearly had our own path to follow, and our thinking has not always been understood in the European context.

My impression during those early years was that there were two main lines of thought emerging from the common perplexity of European discussion. One, as already mentioned, emphasized research over artistic activity and mastery: artistic demonstration as part of doctoral graduation was more or less the cherry on the cake. The other line may have started from regulations pointing out that teaching at the university level has to be based on research (this is also written into Finnish legislation). Consequently, there has to be research activity in a traditional conservatory environment if it is to be regarded as a higher education institution (HEI). A nice way to resolve this challenge is to

define art as research. Our preference in DocMus was to understand art as an independent activity equal to research, rather than a branch of research. For sure, artistic revelations can bring about new experiences, views, ideas, and so on, but in a different way than in research argumentation. Accordingly, the evaluation of artistic presentations differs from the evaluation of university-level research outcomes. An AEC committee visiting the Sibelius Academy asked how we published the results of artistic activity on the doctoral level (if not as research papers). Somehow this was a confusing question, but it was easy to answer: it happens in concerts and recordings, as is usual in music. Moreover, we customarily publish research papers about our findings that are based on appropriate research methodology. As I mention at the beginning of this contribution, there is nothing to prevent us from integrating the artistic expertise into these methodologies.

Little by little the concept of “artistic research” has gained strength in European discourse. At first, nobody could say what it meant—or if one could, others would disagree. I do not know if this has changed. However, consensus of a kind was reached in the somewhat Wittgensteinian idea that artistic research is an open concept, and time will show what it means. In time we will see how this word combination is used, what kind of activity is referred to as artistic research. We approached this concept with care at the Sibelius Academy. It was disquieting to find that there were no criteria of any kind that would define it, and practically anything could be considered artistic research. Given that doctoral degrees were at stake, we needed reasonably clear and mutually shareable evaluation criteria, in which cases of artistic performance and research papers differ. In one AEC work group we tried to find alternative formulations of the term “artistic research” and ended up with “research in and through music.” Even if this is more descriptive and otherwise less problematic than “artistic research,” it was nevertheless too long and clumsy to be used in common discourse.

The term “artistic research” is also potentially problematic if and when it is contrasted with “scientific/academic research.” If artistic research aims at articulating the human world, life, or whatever is interesting, and if it purports—based on reliable methods—to produce

reliable knowledge—something that is not “fake news”—it cannot be in contradiction with traditional research, which has exactly the same aims. What makes this even more confusing is that the usage of words that replace “research” in different languages may have different spectrum of meanings and connotation from that of “research” in English. Even within the same language the term may have different meanings in different contexts. In DocMus, we started from the premise that there is art and there is research, and there is room for fruitful interaction in which methodologically explicated research supports artistic activity in the understanding of facts. Art, on the other hand, may enrich research and broaden its scope as an activity aimed at the generation of reliable knowledge by presenting new questions as well as methodical innovations, in which artistic activity may have a prominent role. In addition to this, art has its own power and means of revealing new landscapes to enrich our lives and worlds (the word “research” is optional in this activity). The most beneficial impact of the term “artistic research” may be in broadening the field of research without rejecting the principles on which all pursuits aimed at understanding facts as reliably as possible are based. As such, this is not contradictory to the premises adopted by DocMus 30 years ago.

I have, in practice, been absent from the everyday life of DocMus during the last two years. However, I have been informed that developmental plans are in progress, especially concerning the Arts Study Program. The idea of merging the three programs into one that would form a continuum from the Research Study Program to Applied Study Program to the Arts Study Program has also been discussed. Many other developments will hopefully continue the history of DocMus and doctoral education in arts during the next 30 years. Even if there is good reason to be pleased with the results of shared hard work, one must avoid complacency, which would devitalize any progress. Päivi Järviö, who recently was in charge at DocMus for five years, expressed it aptly: “It is important to ask again and again, why we are here and what would be missing in the world if DocMus did not exist.” Identity is a developing product of being in a state of mutual and reciprocal interest.

From Log Doctors to Artistically Oriented Postgraduate Degrees

LASSI RAJAMAA

English translation by Jaakko Mäntyjärvi

Initial Impulse: Degree Reform

In the late 1960s, the degree system of Finnish universities was re-structured on the basis of the report published by the committee on arts and social sciences degrees (FYTT) appointed by the Ministry of Education. The report stressed that university studies should be broad based, goal oriented and occupation oriented.

With the exception of the University of Helsinki, Finnish universities initially appear to have accepted this without a murmur, judging by the fact that the subsequent Decrees on university degrees were written in accordance with the aforementioned principles. In the big picture, the idea was that once the degrees of scientific universities had been revamped, the arts universities – the University of Industrial Arts Helsinki, the Sibelius Academy and the Theatre Academy – would be next.

Because this happened at a time when the Sibelius Academy was in the process of being converted from a private university into a State institution, preparations for the Degree Reform began early, in 1975. The then Rector, Veikko Helasvuo, set up a Degree Reform working group. Apart from himself, its long-standing members included Vice Rector Ellen Urho, Harald Andersén as head of the Department of Church Music and Lecturer Lassi Rajamaa, who was the secretary of the working group. The student body was represented among others by Heikki Valkonen, who subsequently became a Degree Reform planner.

It soon became clear that the process would involve not just technical tweaks to the Sibelius Academy degree ordinance but a rebuilding of the profile and duties of the university from the ground up. Not only was the Sibelius Academy's morass of degrees and examinations of various shapes and sizes reworked into a structure with Bachelor's and Master's degrees as at the scientific universities; the domain of the Sibelius Academy also expanded to cover completely new genres: folk music and jazz.

The principles of goal oriented and occupation oriented studies were easily applicable to the training of musicians. By contrast, the notion that studies should be broad based was seen as problematic except for music educators and church musicians, since musician training tended to prefer a narrow, high quality approach as opposed to a wide range of studies.

The decisions taken, resulting in the creating of Master's degrees and the establishing of the new departments, were crucially influenced by Veikko Helasvuo's positive attitude for instance to the inclusion of jazz and folk music in university education and his acceptance of, or at least his absence of opposition to, everything else that was coming. Significantly, the Degree Reform was undertaken as a committee effort with practically no debate in or lobbying from the field – whether within the Sibelius Academy or in the sectors to which the domain of the Sibelius Academy was being extended.

Heikki Laitinen, the leading figure in folk music training, later wondered with some puzzlement why he himself, representing the field at the time, as it were, did not realistically think that folk music studies could ever lead to a Master's degree at a university, let alone a doctorate.

In response we may ask: Did we in the working group believe that the Degree Reform would revolutionize university-level training in music? Veikko Helasvuo summarized it well: "Mountains are in labor, and the result will be perhaps not a ridiculous mouse but no more than a scrawny rat."

Should Arts Universities Have Doctorates?

The question of postgraduate studies was a very interesting one, because it would determine the status of the music university in the field of Finnish universities.

Initially, postgraduate degrees were considered as merely scientific degrees, as at scientific universities. This represented a challenge for the reformed degree structure of the Sibelius Academy, because there was no history of scientific or knowledge based performances being required in basic level (“diploma”) completions. In this sense, the pre-reform Sibelius Academy was more on a par with a conservatory of the central European type than with a scientific university. The highest degree awarded by the Sibelius Academy was the [artistic] diploma. This could, however, be completed with music theory as the main subject. Statistics Finland equated this with a Licentiate’s degree at a university, but this equivalence had no practical meaning. In any case, only a handful of students wrote a thesis to graduate with a diploma in music theory.

The Department of Music Education at the Sibelius Academy, which trained music teachers for schools, had contacts with scientific universities, since part of the training for the degree was provided by the Department of Teacher Training at the University of Helsinki. Initially, postgraduate degrees were planned with a low profile: in the new system, the postgraduate degrees at the Sibelius Academy were to be the Licentiate of Music Education and Doctor of Music Education to be completed in the music education degree program, bringing music teacher training into line with the training of subject teachers in other fields, and the Sibelius Academy’s other programs would remain largely intact.

This plan survived for only a short time before being shot down. The principle of equality demanded that of course the new system should lead to the same degrees in all degree programs.

“Log Doctors” from Arts Universities

The status of the artistic diploma in the reformed degree system was problematic. The diploma examination was being converted into the final examination for the Master’s degree, constituting “advanced studies” as per the new terminology. But what should come after that? The first ideas were to call the next step an “artist diploma” or “artist doctorate.”

The only international models available for doctorates in the arts were to be found in the USA, where artistically oriented doctorates had been possible in music since the 1950s. The pioneers in this were the Eastman School of Music in Rochester and universities in New York City. However, from the perspective of the Finnish education system these “American doctors” were regarded as lightweight degrees, and there was resistance to adopting them as templates.

The Decree on degrees at the University of Industrial Arts Helsinki was adopted before the Sibelius Academy made its decisions. This Decree resolved the issue of artistic performances in postgraduate degrees so that a doctorate was defined as a scientific degree but could be accompanied by an artistic production supporting the research done.

Scientific universities, as might be expected, heaped scorn on such a model, coining the term “log doctor” in public debate: “A candidate creates a so-called ‘scientific’ dissertation and carves a log to support his research. And there you have it!”

Nevertheless, the Decree on degrees at the University of Industrial Arts Helsinki was adopted. The civil servants at the Ministry of Education who were preparing the Degree Reform, Professor Mikko Niemi and project manager Pekka Kilpi, had been subjected to withering criticism by the scientific universities because of the reform, and they took revenge by siding with the proposals of the arts universities that stemmed from the actual content of the training they provided. Or at least that is the impression that we got.

Group Work

The Degree Reform at the Sibelius Academy was designed without any prominent debate within the university of where the reform should be going, certainly not at the time when it was still possible to influence its content. Some change resistance was in the air, though. The Degree Reform in and of itself, with its “long words,” smacked of capitulation to the structures, teaching content and terminology of the scientific universities.

The Degree Reform working group chaired by Veikko Helasvuo eventually came around to the view that the status of a degree depends on what it is called, not on what it actually contains. Heikki Valkonen recalls being amazed that such a person as Harald Andersøn, D.D. h.c., generally regarded as a conservative rather than a reformer, was one of the first to declare that having a doctorate is what makes a university a university.

In 1978, the planning work was shifted from the Degree Reform working group at the Sibelius Academy to a degree decree working group appointed by the Ministry of Education. The concept of a doctorate including an artistic performance as introduced by the University of Industrial Arts Helsinki was reshaped into a degree where the core of the doctorate was an artistic performance. This evolved into the concept of two paths to a doctorate: 1) a scientifically oriented doctorate, basically the same as at traditional scientific universities; and 2) an artistically oriented doctorate whose core is an artistic performance, accompanied by a scientific (or knowledge-based) secondary subject.

There was a view that an artistically oriented doctorate should consist solely of an artistic performance, which would render art and science equal in terms of the content of a doctorate, but this view was abandoned because of concerns of such doctors being dismissed as “log doctors.”

Whither the Licentiate?

Another key issue was whether postgraduate studies at the Sibelius Academy should have two stages as at scientific universities or one stage as recommended for instance by the project managers at the Ministry of Education. At this time, it was being considered whether the Licentiate's degree (between Master and Doctor) should be eliminated at scientific universities too and whether arts universities should take the initiative in this. Well, the Ministry of Education was punching far above its weight in making such a revolutionary suggestion, considering the age-old pillars of the university institution that stood against it.

At the Sibelius Academy, there were concerns that proceeding directly to a doctorate would be seen as somehow less substantial than proceeding via a Licentiate's degree as at a scientific university. From today's perspective this may seem like paranoia, but in the late 1970s these were very real concerns for safeguarding our interests. Prevalent attitudes were reflected in that members of the working group at the Ministry of Education might be heard humming the recently released children's song by idiosyncratic underground musician-songwriter M.A. Numminen, declaring that "*It is time to make rabbits / just as valuable as people.*"

Lobbying was also undertaken in designing the Master's degree. While in other fields the normal scope of a Master's degree was specified as 160 credits, the Sibelius Academy at its own initiative set the scope of its Master's degree at 180 credits. The logic behind this decision was that university training in music would thus receive larger budget appropriations than other fields of study. Of course such logic was never observed in the actual allocation of funding, but it was cited as justification for the budget overruns that repeatedly occurred in the heady 1980s when central government finances were still doing quite well.

Find the C?

The first ever Decrees on degrees at the Sibelius Academy were adopted in 1979 (interim) and 1980 (permanent). They defined a two-step postgraduate degree structure allowing for both scientifically oriented and artistically oriented degrees and specified a written thesis to be included in the artistically oriented degrees.

In 1990, Lajos Garam became the first person to complete a scientifically oriented D.Mus. degree, on *The Influence of the Spatial-Temporal Structure of Movement on Intonation during Changes of Position in Violin Playing*. The study was firmly rooted in practical musicianship, which was only natural for a research project at a music university.

The first artistically oriented doctorate was completed by Raimo Sariola in the same year. His artistic performance consisted of *Finnish cello concertos*, which he performed and the examination board evaluated his performances.

At this point, the benchmark was laid for how the artistic and scientific portions of such a degree were to fit together. The thesis in Raimo Sariola's doctorate was titled *Sellokonserttojen motoriikkaan liittyvien kognitiivisten prosessien mallintamisesta* [On the modelling of cognitive processes relative to motor coordination in cello concertos] – a study of practical musicianship just as with Lajos Garam's doctorate. Among other things, Raimo Sariola explored just how many ways there are of playing the pitch C on a cello.

And what better way to begin – find the C!

PART I
Music History and
Performance

Aino Ackté's *Salome*: A Genetic Analysis of Her Creative Process (1906–1907)

ANNE KAUPPALA

Finnish opera diva Aino Ackté (1876–1944) wrote in her autobiography that having the title role in Richard Strauss's *Salome* (1905) was a high spot in her career, alongside her debut as Marguerite (*Faust*) at the Opéra de Paris in 1897 (Ackté 1935, 183). She performed *Salome* some forty times between 1907 and 1913, on various European opera stages including Leipzig, Dresden, Stockholm, Cologne, Frankfurt am Main, and Berlin. Her performances in the two cycles of *Salome* at Covent Garden in 1910 and 1913, under the baton of Sir Thomas Beecham (1879–1961), were very highly acclaimed (Sivuoja-Kauppalaa 2013). Ackté was one of the earliest *Salome* performers to dance the “Dance of the Seven Veils” herself, although she was not the first.¹

The critical focus in this chapter is on how Ackté prepared for the role of *Salome*, with genetic criticism as the main methodological tool. For decades it has been commonplace in music research to adopt the genetic approach to musical works and the creative processes of composers, using sources such as compositional sketches, letters, diaries, statements, interviews, and the composer's corrections of printed editions. However, this kind of approach is hardly ever applied to musi-

1 This credit goes to Fanchette Verhunk (1874–1944) who performed the role of *Salome* in Breslauer Stadttheater's own production, which was first following the world première in Hofoper Dresden (9 December 1905). Richard Strauss was among the first-night audience in Breslau (28 February 1906) and he wrote very encouragingly about it in the local newspaper. The issue, however, was not Verhunk's dance but the reduced size of the orchestra, which he approved (Strauss 1906). On the *Salome* performance in Breslau, see Zduniak 1998. The point here is that Strauss witnessed very early on a dancing prima donna in the role of *Salome*.

cal performers. Genetic analysis focusing on the creative processes of performers contributes to the unpacking of the power hierarchy of composer vs. performer within music scholarship. Not only composers but also performers create, and the performers' creative processes are worthwhile objects of research also in fields of study other than artistic research.

The focus in artistic (or practice-based, or practice-led) research is indeed on artistic processes. Studies are typically carried out in the first person by the artists themselves, and the artist-researcher's own experience constitutes the main research reserve. The knowledge generated is not only about the artistic processes but also about the world outside, art being considered a particular means through which to gain new insights from and into the world, whether real or imagined. Art and research are inseparable in the practice of artistic research, and the results are likely to enhance artistic practices (Hannula, Suoranta, and Vadén 2005; Coessens, Crispin, and Douglas 2009). In addition, temporal distance between artistic event(s) and related research is an essential factor in distinguishing genetic criticism from artistic research: whereas the latter tends to operate in the now-moment, historical distance is a matter of course in genetic criticism (Porkola 2019, 118).

Another part of the methodological platform of this chapter is historical performance research, particularly the flourishing sub-genre of prima donna studies (cf. Rutherford 2006; Cowgill and Poriss 2012; Henson 2015, 48–121). Research belonging to this sub-genre investigates a variety of topics: performance traditions, careers, repertoires, recording, education, collaboration with composers and opera managers, opera performance, gender, and artistic biography. As a paradigm it enhances understanding of opera performance culture. The results of my research contribute to the shedding of light on the early performance tradition of Strauss's *Salome*. In her pioneering work, Opstad (2009) studied how the role of Mélisande in Claude Debussy's *Pelléas et Mélisande* became intertwined with the lives of three singers, Maggie Teyte, Margy Gaden, and Georgette Leblanc. In a similar vein, rehearsing the role of Salome is studied in this chapter as part of Aekté's life course in 1906–1907. However, whereas Opstad's research is mainly

positioned at the crossroads of performance studies and life writing, the methodological approach adopted here is rooted also in genetic criticism.

Genetic criticism began to emerge in the mid-1950s as a novel approach within literary studies, emphasizing the link between the creative process and the finished work. During the next ten years, however, scholarly interest turned to creative processes as a self-contained field of analysis (Deppman, Ferrer, and Groden 2004, 4–8). One of the earliest precursors within this orientation was Paul Valéry in the 1920s (Deppman et al. 2004, 6): as he stated in “Ego scriptor” (a sub-chapter of “Revolution”), “To create a poem is itself a poem.” He thus emphasized the making as the principal issue rather than the accomplished thing (for instance a poem), which according to Valéry (2000, 475) was only an accessory.

This gradual shift in emphasis to the process of creation heralded the development a new sub-discipline, genetic criticism. It started in the field of literary studies (Grésillon [1994] 2016), but it soon spread to theater studies and music research, where it found a rather unproblematic companion in composers’ sketch studies (Kinderman and Jones 2009, 95–215). One practical hindrance in researching creative processes among performers of music is the availability of sufficiently rich source material. Many composers leave behind considerable personal archives, but this is seldom the case with performers.

In theater studies, genetic criticism has typically focused on the artistic collective in the process of rehearsing a play, with special attention being given to the stage director and the connection between the rehearsed and the finalized interpretation (Féral 1998, 57–59; 2008; Grésillon and Thomasseau 2006, 29–31), whereas my approach focusing on Aino Ackté’s creative process is reminiscent of genetic criticism in literary studies, specifically the work of Henri Mitterand (2004, 118) that concentrates on the “avant-texts”² of an *oeuvre* by a single author (in

2 “Avant-text” refers to materials predating the final work (or one of its versions). The term often remains untranslated to avoid awkward and misleading connotations (e.g., “pre-text”). See Deppman et al. 2004, *passim*, and particularly 240.

his case Émile Zola). Accordingly, I explore the cultural milieu as well as the personal and professional networks surrounding Ackté and her creative process. Sharpening the critical focus on the performer, particularly of a title role, is not alien in the context of the opera cultures of the 19th and early-20th centuries. The role of stage director was not yet prominent, and in many cases the singers themselves were responsible for creating the characters on stage, not only vocally but also physically and gesturally. Parts of the standard repertoire had been rehearsed already in their teachers' studios. Whereas opera houses tended to provide coaching for in-house ensembles, freelancers had to learn a range of roles independently such that they could easily step into any production. This was the case with Aino Ackté's *Salome*.

The most fertile sources for tracing avant-textual genetics here included Ackté's correspondence with opera managers and musical agencies, and her family letters to and from her husband Heikki Renvall (1872–1955), as well as her mother Emmy Achté (1850–1924) and her sister Irma Tervani (1887–1936), who were both opera singers.³ Ackté later used her business letters and correspondence with her mother and sister as source material for her autobiography (Ackté 1935). A piano score with Ackté's autograph performance markings as well as several photographs facilitated the deciphering of her creative process and particularly its goals.⁴

3 Ackté chose to leave the correspondence with her mother and sister for posterity, including them in her donation to the National Library of Finland (formerly Helsinki University Library). The letters to her husband Heikki Renvall were later included in his archive, The National Archives of Finland, donated 1955 by their children Glory Leppänen (1901–1979) and Mies Reenkola (1908–1988). I thank Ulla-Britta Broman-Kananen and Kaarina Reenkola for our inspiring collaboration in compiling the Achté family letters as well as the correspondence between Aino Ackté and Heikki Renvall. Without these letter projects this chapter would never have been written. All the translations are mine, if not otherwise indicated.

4 Ackté probably did not use this German-language *Salome* score with her autograph markings (in the Archive of the National Opera and Ballet) when she was rehearsing the role in 1906–1907: it therefore represents the outcome rather than Ackté's creative process. She probably wrote her detailed scenic conception of *Salome* in the score for her mother Emmy Achté, who was involved in directing the *Salome* production in December 1911 at the Finnish National Theatre, with her daughter in the title role. For the cast and performance dates see *Reprises. The Database for opera and music theatre*

Chronological order—which is a general working principle in genetic studies, not only in literary but also in theater contexts (Grésillon 2016, 132–136, 164–168; Mitterand 2004, 120 and 123; Grésillon and Thomasseau 2006, 28–31)—was also my guiding principle in organizing the material used here, and it is reflected in the structure of this chapter. The first section concerns Ackté's motivation for choosing the role of Salome, which in many ways lay outside her comfort zone at the time. Ackté's relationship with Richard Strauss is discussed next, with particular attention given to the vocal demands of Salome intended by Strauss. The focus then moves to the dance lessons Ackté had with Emma Sandrini for the "Dance of the Seven Veils", and then I take a closer look at her Salome costume, created by the House of Worth. As she was making these preparations she was also using her professional networks to find a stage for her Salome. The last section of chapter traces Ackté's steps towards performance excellence and anxiety.

“I wonder with what I could soon astonish the
world” (Paris, April–May 1906)

The idea of adopting Salome into her repertoire dates to the spring of 1906 when Ackté was in Paris performing an opera role she considered disadvantageous. She was a freelancer at the time, having terminated a long-term engagement at the Opéra de Paris (1897–1903) to gain the freedom to choose her performance venues more freely. After her two seasons at the Metropolitan Opera in New York (1903–1905) she had not made any long-term commitments. Her home and family were in Helsinki, and continuously living abroad was not what she wanted, away from her beloved husband Heikki Renvall and their small daughter Glory.

Before arriving in Paris with Glory at the beginning of April 1906,

performances in Finland c. 1830–1960, s.v. Salome. Undoubtedly, the score would have been a fruitful source for Ackté had she realized her plan to write a book about her conception of Salome for German and English readers (Aino Ackté to Emmy Achté, London 23 November 1913, Aino Ackté-Jalander's Archive, Coll. 4.23).

Ackté had had a long performance tour organized by impresario Joseph J. Schürmann (1857–1930), which took her to Cologne, Prague, Munich, Budapest, Vienna, Hamburg, Leipzig, Mannheim, and Strasbourg (Ackté 1935, 54–80). She did not see *Salome* during that tour: following the première in Dresden (9 December 1905) it was staged during the spring of 1906 in Breslau (28 February), Prague (5 May), Graz (16 May), and Leipzig (25 May) (Lesnig 2005, 56), and Ackté did not pass through any of these cities when *Salome* was given. She had heard about *Salome* when she was in Berlin (Ackté 1935, 94) and had probably read the reviews of the première, including Pierre Lalo’s (1905) laudatory piece.⁵

Ackté gave several concert performances during her middle-European tour, and she also appeared as a guest performer in the leading soprano roles in *Der fliegende Holländer*, *Faust*, *Lohengrin*, *Tannhäuser*, and *Tosca* (Aino Ackté to Emmy Achté, 14, 20, 22, and 30 January 1906; 9, 12, 22, and 25 February 1906; 2, 4, 7, and 12 March 1906, all in Aino Ackté-Jalander’s Archive, Coll. 4.22). Continuously stepping into accomplished opera productions was quite challenging. Ackté’s letters reveal that she grew tired of traveling, and that some of the roles began to irritate her, particularly that of Elsa in Wagner’s *Lohengrin* (all the quotations are from Aino Ackté’s letters to Emmy Achté, Aino Ackté-Jalander’s Archive, Coll. 4.22; all emphases in the original):

In Hamburg I shall begin with Elsa. I hate her because she has become embodied as someone so *traumselig*. I *cannot* perform a goose. (Graz 31 January 1906)

I begin to become sick of L.grin [Lohengrin]. Think of it: I never really liked this opera and now I must constantly [go] through with it. (Mannheim 22 February 1906)

Oh, I cannot tell you *how* weary I am of rolling onboard a train and always the same program. Yes, when I think of Lgrin and Faust I feel sick! (Strasbourg 2 March 1906)

5 Ackté refers to this review in a letter to her husband (Aino Ackté to Heikki Renvall, Berlin 11 October 1906, Heikki Renvall’s Archive, File 3). However, the review itself could not be located in Ackté’s scrapbooks, Aino Ackté-Jalander’s Archive, Coll. 4.48 and 4.50.



Figure 1.1. Aino Ackté as Marie-Magdeleine at the Opéra Comique, Paris 1906. She considered her costume horrendous, and the color was that of meat (Aino Ackté to Emmy Achté, Paris 12 April 1906, Aino Ackté-Jalander's Archive). Photo courtesy of the Photographic Archive of the Theatre Museum.

She was indeed looking for a change, and she wrote to her mother of having “begun to get interested in operettas. In general, I wonder with what I could soon astonish the world” (Aino Ackté to Emmy Achté, Cologne 8 March 1906, Aino Ackté-Jalander's Archive, Coll. 4.22).

It would not be the title role in Jules Massenet's *Marie-Magdeleine*, which was waiting for her in Paris. Originally an oratorio, it was now being staged for the first time. Rehearsals with the composer started immediately after Ackté's arrival.⁶ The role lay uncomfortably low for her voice. She also disliked the sets, and because the stage director Albert Carré did not allow her to wear her own dress designed by Worth⁷, she had to perform in the costume belong-

6 Ackté arrived in Paris on 1 April 1906 and the rehearsals started two days later (Ackté's personal Calendar 1906, Aino Ackté-Jalander's Archive, Coll. 4.44). The première at Opéra Comique took place on 12 April 1906 (Wild and Charlton 2005, 100).

7 The House of Worth (Maison Worth) was a well known French fashion atelier, which designed unique clothing for noblewomen and royal ladies. Well-to-do business clients were also regular customers, as were performing artists such as Adelina Patti, Nellie Melba, Sarah Bernhardt, and Emma Eames (de Marly 1990, 171–86). A large collection of dresses designed by Worth is housed in the Victoria and Albert Museum, London.

ing to the production (Ackté 1935, 81–88; Aino Ackté to Emmy Achté 12 April 1906, Aino Ackté-Jalander’s Archive Coll. 4.22; see Figure 1.1). Opéra Comique was not “her” stage, either: this was Opéra de Paris in Palais Garnier (Aino Ackté to Heikki Renvall, Paris 16 May 1906, Heikki Renvall’s Archive, File 3).

Ackté continued to dislike the role even after several performances, and she was eager to leave it behind: “I feel that the role doesn’t make effect like Marguerite did [...]” (Aino Ackté to Heikki Renvall, Paris 7 May 1906, Heikki Renvall’s Archive, File 3). The somewhat reserved reviews that began to appear in the middle of May were not likely to change her opinion.⁸ Ackté’s performance was certainly not a failure, but it was not a total success, either, as the reviews in her scrapbook testify (Aino Ackté’s Archive, Coll. 4.48).

Mme Ackté [...] has lost a bit of her precision in the milieu of her journeying, and I also believe that the role of Madeleine does not suit her temperament. (Georges de Dubor in *Chronique musicale* 20 May 1906)

Mme Ackté, who was so graceful and poetic in *Faust* and *Roméo* at the Opera, so pathetic and vehement in *Alceste*, has not found in Marie-Magdeleine a role that is fitting for her: this voluptuous inertia is just not her. (Pierre Lalo in *Le Temps* [15] May 1906; emphasis in the original)

Although Mlle [sic] Ackté’s voice has a marvelous timbre, it lacks the amplitude that the forceful and passionate role of Marie-Magdeleine demands [...] (*L’automobile* 19 May 1906)

However, something was emerging from the horizon that could “make effect”: she had heard the rumor from a certain Countess Stackelberg⁹ that Opéra Comique was planning to stage *Salome*. The

8 Opéra Comique had not allowed the press at the première and they were given access only to the sixth performance (Ackté 1935, 88). Ackté never returned to this role.

9 Thekla (Fekla Pavlovna) Stackelberg (1863–1939), b. Shuvalova. See database *Albert Edelfelts brev*. Finnish painter Albert Edelfelt (1854–1905) had introduced Ackté to Countess Stackelberg a few years earlier (Aino Ackté to Emmy Achté, Paris 24 and 26 May 1903, Aino Ackté-Jalander’s Archive, Coll. 4.22).

Countess was acquainted with Strauss and could be helpful in advancing Ackté's chances of securing the title role in Paris (Ackté 1935, 98; Suhonen 1996, 129–30). Strauss's *Salome* had been discussed during a fine lunch party attended by Ackté, the Countess, and Prince Murat among others. There was also another rumor circulating: both Félia Litvinne (1860–1936) and Geraldine Farrar (1882–1967) were eager to get the role, but Strauss would have considered one to be too fat and the other too thin [*sic!*]. Unfortunately, the last page(s?) of Ackté's letter describing this discussion has been torn off. (Aino Ackté to Heikki Renvall, Paris 7 May 1906, Heikki Renvall's Archive, File 3)

Ackté returned to *Salome* some two weeks later when the lukewarm reviews of Marie-Magdaleine began to appear in print. "By the way, I have begun to look at Strauss's *Salome*. It would be extremely interesting to act, but the music is so ultra-modern that I wonder if anyone can manage it. Apropos, I will try to sing this to Strauss in Cologne [...]" (Aino Ackté to Heikki Renvall, Paris 21 May 1906, Heikki Renvall's Archive, File 3).

Encountering Strauss (Cologne, June–July 1906)

Ackté did not know Richard Strauss personally at that time, but she would soon have a good chance of making his acquaintance because he would conduct *Salome* in the Kölner Festspiele, in which she was engaged to appear as Elsa in Wagner's *Lohengrin* with her swan knight Leo Slezak (1873–1946) (announcement in *Gazette du Théâtre*, 20 May 1906, Ackté's scrapbook, Aino Ackté-Jalander's Archive, Coll. 4.48). Ackté needed someone to prepare the ground for her. I have not found further traces of Countess Stackelberg's activity, but Ackté's former colleague, tenor Hans Buff-Giessen (1862–1907) had turned directly to Strauss at Ackté's request.¹⁰ Incidentally, there is a postcard sent by

10 Ackté always referred to Buff-Giessen as Giessen. He had known Strauss for years, and Strauss had composed songs for him (Kennedy 1995, 89). Giessen was among the première cast of Strauss's opera *Guntram* in 1894, conducted by Strauss himself. Strauss's future wife, Pauline de Ahna (1863–1950), was also in the cast.

Richard Strauss to Hans Giessen in 1906 informing him that he would be in Cologne from 25 June, or 29 at the latest, to rehearse and conduct *Salome*. Strauss welcomes Mrs. Ackté to the performance and the final rehearsals, and he would be ready to go through the part of Salome with her either in Cologne or in Berlin. Giessen probably sent the postcard with his own letter to Ackté in which he mentioned that she could see *Salome* in Cologne on 2 July 1907 and that Strauss was expecting to meet her. (Richard Strauss to Hans Giessen, Marquartstein 14 June 1906 and Hans Giessen to Aino Ackté, Dresden 16 June 1906, both in Aino Ackté-Jalander's Archive, Coll. 4.14 and 4.16, respectively)

Ackté was so busy in Cologne that she did not see any *Salome* performances, only a stage rehearsal with orchestra, conducted by the composer. The leading lady, Hungarian soprano Alice Guszalewicz (1879–1940), had been sitting on a chair placed in the middle of the stage but she had not sung at all, only moved her lips (Ackté 1935, 93–95; Ackté typically did not disclose the identity of the singer and erroneously assumed her to be Polish).¹¹ Backstage, Ackté was introduced to Richard Strauss, who promised to receive her in Berlin for consultation. At least by now, if not earlier, Ackté had acquired a German version of the vocal score.

Ackté spent summer 1906 in Helsinki, in her beloved summer residence Villa Turholm. As well as preparing for *Salome*, she also had her usual summer leisure time with her family and friends (Ackté 1935, 95). Unfortunately, I have not been able to find out if she had a pianist to work with. She probably did, as she typically rehearsed her roles with a pianist (“accompanist”). Furthermore, given *Salome*'s “ultra-modern” texture, it would have been more than challenging for Ackté not to have

11 For the identity of Cologne's *Salome*, see *Gil Blas* 24 June 1906 and Lesnig 2010, 140. There is also a famous photograph of Alice Guszalewicz as *Salome* in Cologne, which for years was erroneously thought to represent Oscar Wilde as *Salome en travesti* (e.g., Dimova 2013, 16–18). The performance of 2 July 1907 was Alice Guszalewicz's debut as *Salome* (Lesnig 2010, 219). Incidentally, Ackté's sister Irma also attended a *Salome* performance in Cologne later that year, with Alice Guszalewicz in the title role (Lesnig 2010, 140). Although Irma considered the role of *Salome* gorgeous, the music otherwise seemed somewhat artificial (Irma Tervani to Aino Ackté, Cologne 5 November 1906, Aino Ackté-Jalander's Archive, Coll. 4.14; “delvis ett krystadt intryck på mej”).

had a competent pianist to work with. Some years later when she was rehearsing the role of Marta in Eugen d'Albert's *Tiefland*, as well as the title role in Jules Massenet's *Thaïs*, Kosti Vehanen (1945, 151–52), her then pianist, wrote about the rehearsing procedure in his memoirs:

Soon the musical part was clear to Aino Ackté. Learning even the most difficult role seemed to be like banter for her. Planning the stage performance took most of the time. The furniture in the beautiful salon of Turholm was moved around according to the staging requirements: a table represented an oven, a chair a cupboard and trees, and so on. The singer thought through even the smallest details; would she raise her hand at this point or would she lower it on a particular tone, would she go around the table this side or that side. If I remember correctly, in Act II of "Tiefland" Martha sets the table during which there is only music, for about a page. I had to play it again and again until, after several trial runs, Aino Ackté decided how she would set the table so that it would take precisely the time determined by the interlude.

She left nothing to chance. Everything was premeditated and thought through.

Although the above description is not about Salome, it is most likely that Ackté used a similar method in preparing for the role. She had to learn the music, plan her movements and gestures on stage, and create the dance. Her German score (see footnote 4) has a detailed performance description, albeit it also contains several pages without any performance markings by Ackté.

Rehearsing Salome with Strauss (Berlin, October 1906)

Aino Ackté spent some two weeks in Berlin in October 1906, during which time she rehearsed the role of Salome with an accompanist and sang it to Strauss three times: 11, 21, and 28 October (Ackté 1935, 99–102; Ackté's personal Calendar 1906, Aino Ackté-Jalander's Archive, Col. 4.44). Already on her arrival she felt desperately lonely and homesick. All the regular hotels were full, but finally she suc-

ceeded in finding a room with a salon in one of the better pension hotels at Potsdamerstrasse 13 (Aino Ackté to Emmy Achté, Berlin 10 October 1906, Aino-Ackté-Jalander's Archive, Coll. 4.22). She had a piano brought to her salon on 10 October, and the next day she began rehearsing with an accompanist whose identity, unfortunately, remains unknown. Ackté was well aware of the demands she faced: "I am quite afraid of my work here—it will be taxing but again it is nice to study only [musically] without acting." She wanted to be well prepared. (Aino Ackté to Heikki Renvall, Berlin 10 October 1906, Heikki Renvall's Archive, File 3.) But she was even more eager to meet Strauss, who had let her know that he could receive her on the same day. He had told her in his earlier telegram that he would stay in Berlin until 16 October (and also 21–27 inst.), so there would have also been later dates available for rehearsal sessions (Richard Strauss to Aino Ackté, telegram dated 23 September 1906 and letter dated Berlin 11 October 1906, Aino Ackté-Jalander's Archive, Coll. 4.14). Her first session with Strauss was not easy:

[...] today, just now I was with Strauss. I am not satisfied with my visit. I just got an overwhelming desire to go to him to get some instructions and advice although I feared that I wasn't well-enough prepared. It was only this morning that I could go through my role with accompanist, and I know it so poorly. I received a message from Strauss telling me that I could come at 3 p.m., and so I went. In any case, he was friendly, although restrained.

Then I sang half of my role—I took shortcuts because I couldn't sing it any better. However, my singing somehow seemed to soften Strauss, but I don't think that I made any deeper impact on him. I will go to him to sing again on Sunday at half past ten. I have to work hard before that. The accompanist will come in the evening. Everything feels so heavy and hopeless, but in any case, I'm trying to stand and maybe eventually I will gain something. (Aino Ackté to Heikki Renvall, Berlin 11 October 1906, Heikki Renvall's Archive, File 3)

Ackté worked with the accompanist for three hours on the following

day, and there would be another session after 7 p.m. She had decided not to go to Strauss on the Sunday because she needed more time to digest the role: “In my entire life I have never seen anything so horrendously difficult as Salome, but it will be beautiful when it is ready” (Aino Ackté to Heikki Renvall, Berlin 12 October 1906, Heikki Renvall's Archive, File 3). Indeed, as she rehearsed her spirits rose:

This morning I sang the other half of the role at half voice. It went rather well, and it suits my voice splendidly. The accompanist told Ester Fabrit.¹² that the role was as if written for me, and I think so too, when I really get into it. If only Strauss would now agree on this. [...] I will rest a little tomorrow because my brain gets tired, and it was really wonderful to wake up this morning without a headache. (Aino Ackté to Heikki Renvall, Berlin 13 October 1906, Heikki Renvall's Archive, File 3)

Ackté's stay in Berlin was not only about Salome: she had time to go to theater and opera performances (some starring Caruso, whom she knew personally), and to visit her family friends (Aino Ackté to Emmy Achté, Berlin 18 October 1906, Aino Ackté-Jalander's Archive, Coll 4.42; Ackté 1935, 103–06). However, she had not yet overcome the difficulties of the role, and there was much to learn before her next scheduled meeting with Strauss (21 October), too much, she thought:

Last Sunday I took a rest from my work because I was tired. The result was that yesterday I was more stupid than usual. Sometimes I think I will never learn Salome. It is atrociously difficult. And my voice gets tired even though I try to study quietly. (Aino Ackté to Heikki Renvall, 16 October 1906, Heikki Renvall's Archive, File 3)

She was still fatigued the next day, and she spent the morning quietly in her room. She read the role to herself and planned her gestures and movements on stage (Aino Ackté to Heikki Renvall, 17 October

12 Ester Fabritius (1878–1946), a cousin of Ernst Mielck, Finnish pianist and composer.

1906, Heikki Renvall's Archive, File 3). In the afternoon she took the train to Leipzig with Hans Giessen and Richard Strauss, where the two men had a recital together (Ackté 1935, 101–02). Ackté wrote in a letter to her mother, Emmy Achté, that she had tried to charm Strauss:

Naturally, I flirted persistently with him but as discretely as possible and I think that the result was good. It would be *excellent* if I succeeded in making Strauss fall in love with me because he is the most highly recognized contemporary composer. Next Sunday I will sing with him properly and that I sing well is the main thing now. [...] The role is as if written for me—what it gives [me] from the stage I do not know.¹³ (Aino Ackté to Emmy Achté, Berlin 18 October 1906, Aino Ackté-Jalander's Archive, Coll 4.22)

I have not been able to find Ackté's handwritten accounts of her last session with Strauss: there is only her short description in her autobiography (1935, 102). It is more than probable that Strauss had played the piano part in all the sessions, not only in the last one, and that the rehearsing had proceeded chronologically from the beginning of *Salome* until the end. They started from the beginning of the opera in the first session, Ackté sang the other half of the role in the second session, and Salome's final monologue was in focus during the last session. Strauss did not interrupt,¹⁴ and at the end he closed the grand piano, uttering very seriously: "C'est magnifique, Madame. C'est magnifique" (Ackté 1935, 102).¹⁵ He refused to take any payment for the sessions, adding: "I only hope that with this role you achieve great success—that is enough compensation for me" (Ackté 1935, 102).¹⁶

13 "Partiet är som skrifvet för mig – hvad det sedan ger från scènen vet jag ej."

14 This could indirectly suggest that Strauss had interrupted Ackté's singing on earlier occasions and given advice on the spot.

15 This was probably not the only occasion on which French was used in the sessions. Some of Strauss's letters to Ackté are in German, some in French. Ackté probably only used French, because German was not a strong language for her. There is also a draft of a letter from Ackté to Strauss written in French (Aino Ackté-Jalander's Archive, Coll. 4.17).

16 Ackté was not ungrateful. Later, she sent Strauss a present for which he thanked in a friendly letter (Richard Strauss to Aino Ackté, Berlin 21 November 1906, Aino Ackté-

Accepting Ackté, a lyrical soprano, as Salome is proof of a remarkable change in Strauss's conception of the role's vocal demands. He had originally imagined an Isolde-like voice as required in Wagner's *Tristan und Isolde*. Some six months before the première, on 16 May 1906, he wrote to conductor Ernst von Schuch: “[a]fter careful consideration I have come to the conclusion that Salome can be sung only by Mrs. Wittich. The role requires a singer of great style who is used to Isoldes and things like that.” Two months later (15 July 1905) he was of the same opinion: “Salome’s orchestral apparatus has become so demanding that it can be mastered only by a high-dramatic first-class singer. Experiments with small worms [*sic!*] are absolutely ruled out; only Mrs. Wittich remains.” (von Schuch 1953, 65–66.)¹⁷ The role of Salome was played by various singers after the première: Fanchette Verhunk (28 February 1906, Breslau), Annie Krull (5 May 1906, Dresden), Betty Schubert (5 May 1906, Prague), Jenny Korb (16 May 1906, Graz), Henriette (Henny) Dima (18 May 1906, Nuremberg), Paula Doenges (25 May 1906, Leipzig), Alice Guszalewicz (2 July 1906, Cologne), and Signe von Rappe (21 October 1906, Mannheim).¹⁸ Strauss was the conductor in Prague, Graz, and Cologne, and in addition to the world première in Dresden, he had witnessed at least the Breslau première (Lesnig 2005, 56, 74–76, and 108; 2010, 97, 127, 140, 143, 153, 171, 181, and 291; Rode-Breyman 2014, 167; Zduniak 1998, 137–39; see also footnote 1). Wittich, Verhunk, Krull, Schubert, Korb, Doenges, and Guszalewicz were all dramatic sopranos, whereas Dima’s and von Rappe’s voices were of the “jugendlich-dramatisch” type. Although Ackté also sang that kind of repertoire, such as Elsa (*Lohengrin*), her voice was at home in high lyrical roles such as Marguerite (*Faust*), Juliette (*Roméo et Juliette*), or Thaïs (*Thaïs*).

Jalander’s Archive, Coll. 4.16).

17 Strauss was not happy with Marie Wittich in the end because she was slow in learning the role, and he asked that Eva von der Osten be coached to be on the safe side (von Schuch 1953, 66–71). Wittich sang the role only thrice, whereafter it was adopted by another in-house prima donna, Annie Krull (1876–1947) (Lesnig 2010, 111; Rode-Breyman 2014, 167).

18 The dates indicate the singers’ role premières.

In her preparations for *Salome*, Ackté had to tackle vocal writing that was intended for a more voluminous voice than hers, and she also had to convince Strauss that also a lyrical voice could be suitable to the role. It seems clear that Strauss grew to accept Ackté's *Salome*, at least later, because he asked her to sing with him in some performances (for instance, Dresden 26 January 1909 and Berlin 27 March 1911). Strauss indeed became convinced about the potential of a more lyrical voice, and he tried to convince Elisabeth Schumann to accept the role (Affron and Affron 2014, 399). Schumann did not, neither did Geraldine Farrar (1938, 87), whom Strauss had also asked. A couple of years after Ackté's *Salome* debut Mary Garden (1874–1967), whose voice was even more lyrical and softer, adopted *Salome*'s French version in her repertoire (Garden and Biancolli 1951, 123–27; Lesnig 2010, 170 and 219).

Towards the “Dance of the Seven Veils”
(Berlin–Paris, October–November 1906)

On their first encounter in Cologne, in July of 1906, Strauss had suggested to Ackté that she should perform the dance herself to achieve a perfect illusion (Ackté 1935, 95). Now that she was in Berlin tackling the vocal demands of the role, the “Dance of the Seven Veils” seemed quite challenging: “And then the dance! I doubt I will ever learn it. I will take the best dancer as my teacher” (Aino Ackté to Heikki Renvall, Berlin 10 October 1906, Heikki Renvall's Archive, File 3). Strauss gave her a chance to retreat during their first rehearsal session as he began to express doubts about her doing the dance: “I also talked about it with Strauss, and this time he did not seem to hold his previous opinion that I should do the dance myself. Therefore, it may be left out” (Aino Ackté to Heikki Renvall, Berlin 11 October 1906, Heikki Renvall's Archive, File 3).

Strauss probably changed his mind again and in any case Ackté had arranged an appointment with a dance teacher by the end of October 1906: Emma Sandrini (1871–1946), whom she knew from her years in Paris. Sandrini had been prima ballerina at Opéra de Paris, mastering the traditional style with pointe shoes and tutus, and her other specialty

was ancient Greek dances. She was not as radical as Isadora Duncan, Loïe Fuller, and Regina Badet, who abandoned the strictures of classical ballet in their art. Ackté had seen all of them performing many times in Paris, but Emma Sandrini had one strong advantage over all the others: she was the mistress of Pedro Gailhard (1848–1918), director of Opéra de Paris, and they even had a son together (Pierre, born in 1893). Ackté thought that through Sandrini she might improve her chances of getting an opportunity to perform *Salome* in Paris (Ackté 1935, 109). She was already in Paris on 29 October 1906, ready to rehearse the dance (Emma Sandrini to Aino Ackté Paris, s.a. and Aino Ackté's Calendar 1906, both in Aino Ackté-Jalander's Archive, Coll. 4.13 and 4.44, respectively). Ackté had five rehearsal sessions with Sandrini before she left Paris on 3 November for a concert in Görlitz (Ackté 1935, 110; Ackté's personal Calendar 1906, Aino Ackté-Jalander's Archive, Coll. 4.44).

Despite my homesickness I am continuing my odyssey. In Berlin we decided quite quickly to travel to Paris. H¹⁹ for his work and I to dance! The days that we have been here, I have worked very diligently on my new branch and Sandrini! my teacher claims that I have quite unusual dispositions. I still need to dance eight hours at her place, and then this matter is clear. (Aino Ackté to Emmy Achté, Paris 31 October 1906, Aino Ackté-Jalander's Archive, Coll. 4.22)

Strauss wrote his own scenario for the "Dance of the Seven Veils", most likely as late as 1920 (reprinted in Puffett 1999, 165–67, for instance). Ackté's papers make no mention of such a document, or of receiving any instructions from Strauss concerning the choreography. Given that the performance tradition of *Salome* was just emerging at that time, performers had to create the role by themselves. Ackté carefully considered *Salome*'s gestures on stage, with what kind of movements and expressions she could convey *Salome*'s nature. In her endeavor to achieve this she had read not only Oscar Wilde's play on

19 H = Heikki Renvall, Ackté's husband. He had arrived in Berlin on 27 October 1906 (Ackté's personal Calendar 1906, Aino Ackté-Jalander's Archive, Col. 4.44), and they traveled together from Berlin to Paris.

which the libretto is based, but also historical studies on Salome (Ackté 1935, 109). By then she had seen at least two Salome dances on stage. A professional ballerina danced instead of prima donna Alice Guszalewicz during the rehearsal of the Cologne performance. More significantly, however, Ackté had attended a performance of Wilde's play *Salome* in Helsinki. Finnish actress Elli Tompuri (1880–1962) had been in the title role, and she had danced herself.²⁰ Tompuri's role work did indeed impress Ackté: "Mrs. Tompuri was interesting, her body was supple, and the dance voluptuous" (Ackté 1935, 130). At some point Tompuri's Salome was lying like a sphinx on a flat rock, and Ackté adopted this in her own choreography (see Figure 1.2).

I was told by an esthetician and art reviewer that Tompuri had borrowed the pose from another Finnish actress, Ida Aalberg, in her role as Cleopatra, who in turn had learnt it from her teacher in Dresden, Mrs. Niemann. She had copied the pose from a fresco in the Egyptian

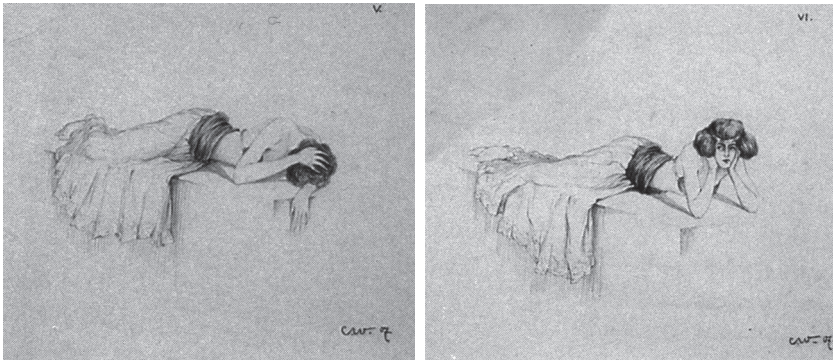


Figure 1.2. C[hristian?] Walter, Aino Ackté as Salome (1907). Two drawings from a series of 12 depicting Aino as Salome in Dresden in May 1907. Ackté received the drawings directly from the artist and took them home with her (Ackté 1935, 134–35). They are in private possession and are used with permission. These two drawings were previously printed in Pakkanen 1988, 216.

20 Elli Tompuri played the title role in the staging of Wilde's play at the Finnish National Theatre (première 15 November 1905). She also toured as Salome in 1906–1907 (Mäkinen 2001, 37–82). Tompuri and Ackté were personally acquainted and they occasionally corresponded with each other. However, I have not found any letters in their archives indicating that they had exchanged ideas on Salome (Elli Tompuri's Archive, Aino Ackté-Jalander's Archive, as well as Aino Ackté's correspondence included in Heikki Renvall's Archive). This, of course, does not rule out a possible face-to-face conversation between them.

department of the Berlin Museum. Now I borrowed this same pose.
(Ackté 1935, 130)

The dance would most likely begin with the dancer in a lying position. The initial pace is slow, but the movements gradually become faster and more intensive. The basic steps in Ackté's movements were those of the waltz. She would cast off all the seven veils (the different colors representing different emotions), and the dance would end with whirling movements.

The Dance of the Seven Veils! In reality Salome hardly performed such a dance. In any case, we fitted movements and expressions paying attention to different moods, hatred, love, hope, pain, always according to what we thought music and the colours of the veils stipulated. And proper, flying light veils would be used. (Ackté 1935, 110)

Ackté marked in her *Salome* score the measures at which the first, second, and the last veil would be thrown. Salome would stop her movements a few measures before this and turn around. The last veil covered her face, and Salome would fling it off during the measure preceding the famous long trill on A6 (Ackté's *Salome* score, 148).

The dance, of course, was an extreme challenge for Ackté as she was not a professional dancer. The basic requirement was not mastery of the steps and the choreography, but very strong physical stamina. Although she had a slim figure and enjoyed outdoor activities, particularly gardening, she was not an athlete. The rehearsals with Sandrini were quite taxing, and Ackté's heart sometimes beat so powerfully that she felt it would pierce her chest. Sandrini's partner, opera director Gailhard, spied on Ackté and her exertions through a crack in the door (Ackté 1935, 110). Therefore, although she did not meet him in person, Gailhard had a chance to observe with his own eyes Ackté's dancing skills and commitment to the role.

Salome's Dress by the House of Worth
(February–April 1907)

Less than two months before her debut as Salome, Ackté managed to see a performance of *Salome* for the first time, in Frankfurt am Main where she was giving a concert:

Today [...] I finally went to see the opera—Salome. The opera itself is very big and beautiful but Salome—a little plump Jew [*sic!*—]—was not so beautiful. A dark voice, *speaking* all the low notes, changing the high ones—and her acting—it was one of a kind. I suffer so much when I see a bad, *idiotic* conception that all my muscles become cramped. (Aino Ackté to Emmy Achté, Frankfurt am Main 2 March 1907, Aino Ackté-Jalander's Archive, Coll 4.22, emphasis in the original)

In that performance, Salome was played by Beatrix (Beatrice) Kernic (1870–1947),²¹ an Austrian–Hungarian mezzo-soprano, and the conductor was Hugo Reichenberger (1873–1938) (Mohr 1980, 144–46, 149; Lesnig 2010, 120). In fact, later on Ackté, too, would use her speaking voice in her Salome delivery, and already in her first performances she occasionally changed some notes to help her through the role.

In the beginning of March 1907, Ackté's performance costume issue was still unaccomplished. Incidentally, the dress was one of the few issues on which she did not consult the composer. She turned instead to the famous Parisian House of Worth where, like many opera singers and celebrities, she was a regular customer (see footnote 7). She recalls in her autobiography (1935, 127) that she popped into Worth's boutique in Paris to order the Salome dress before her concert tour, but Worth's letter (15 March 1907) and invoice reveal that it had been a more complicated procedure (both in Aino Ackté-Jalander's Archive, Coll. 4.16 and 4.41, respectively). The first invoice entry, dated 30 March 1907, refers to the headdress and other ornaments as well as a chamois singlet, whereas the dress and the scarves were added to the invoice on 8 April, only 11 days before Ackté's role debut. She had

²¹ She was also known as Blaženka Krnic or Kernic-Göhring.

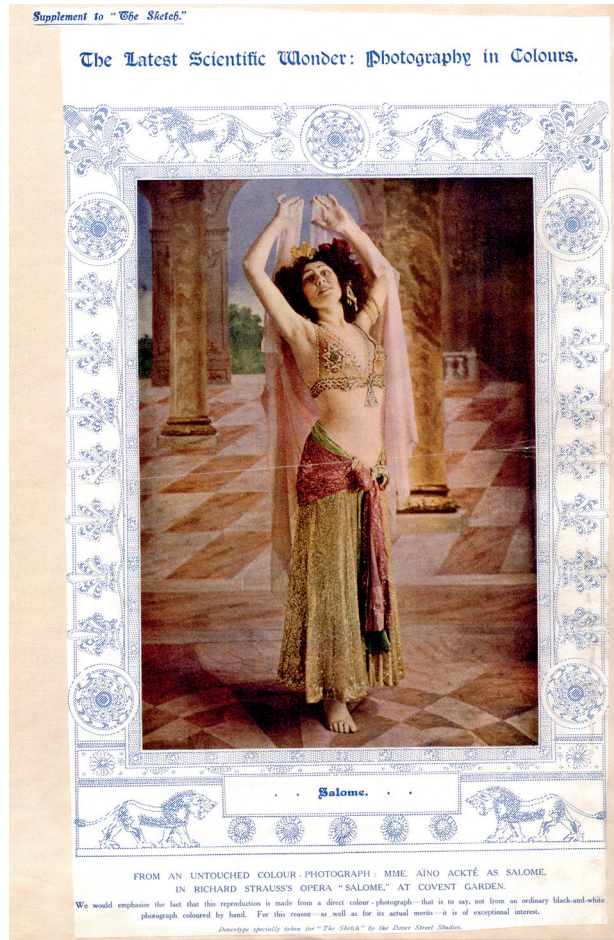
passed her own design and fabric specimen on to Worth, possibly during her short visit to Paris.²² Ackté's sketch is referred to in Worth's letter of response as "très joli," but her suggestion for material had been impractical and unsuitable: too thick, not shiny enough, and it could be torn too easily. Therefore, Monsieur Worth made a new suggestion through his secretary. In his view, the Salome dress of Regina Badet was too modern and somewhat indecent, and for Ackté, he wanted a costume that was oriental and seductive but still classical and not too flashy. He suggested the use of embroidery as ornamentation instead of fake jewels: it would be more supple and allow freer movement, and there would be no risk to Ackté from the sharp edges. (Worth to Aino Ackté, Paris 15 March 1907, Aino Ackté-Jalander's Archive, Coll. 4.16) However, it seems that fake jewels were chosen in the end, grouped to form the Star of David covering Ackté's breasts (Figure 1.3).

Ackté's Salome costume, like others before, had two parts, a long skirt adorned with scarf(s) and a small top; even Elli Tompuri had worn a similar dress (reproduced in Mäkinen 2001, photo appendix). Ackté's costume was quite revealing. Her *décolleté*, hands, and feet were uncovered, but her belly, back, and her sides only gave the impression of nudity as in reality they were covered by very fine chamois fabric—otherwise her navel would have been exposed (Figure 1.3). Ackté later wrote to her husband that she needed at least three hours to dress even though she would be almost naked on stage (Aino Ackté to Heikki Renvall, Dresden 16 January 1909, Heikki Renvall's Archive, File 3).

Worth provided not only the skirt and top but also the oriental snake ornaments for Ackté's arms (she wore only one), her earrings, and her headdress, which was the most costly item (155 French francs) apart from the costume (2500 French francs): the seven

22 During her only visit to Paris in 1907 (14–16 February 1907) Ackté had been reunited with her sister Irma who was planning to discontinue her studies in the Conservatoire de Paris and try her luck in Dresden. (Irma Tervani to Aino Ackté, Paris 13 January 1907, Aino Ackté to Emmy Achté, Aachen 18 February 1907, both in Aino Ackté-Jalander's Archive, Coll 4.14 and 4.22, respectively; Aino Ackté to Heikki Renvall, Paris 15 February 1907, Heikki Renvall's Archive, File 3)

Figure 1.3. Aino Ackté in her Salome costume designed by the House of Worth, originally published in a Supplement of *The Sketch*, December 1910, in the context of Salome performances at Covent Garden, London.



veils of different colors and a blanket were also included in the price (Worth's invoice, Paris, after 8 April 1907, Aino Ackté-Jalander's Archive, Coll. 4.41). The consignment contained no sandals because Ackté's shoe size was not known at Worth's. She may have requested sandals: during Elli Tompuri's dance episode, which Ackté had seen earlier, the slaves had taken off Salome's sandals (Mäkinen 2001, photo appendix). However, according to the photographs and drawings Ackté had no footwear, and she would have danced barefoot like other modernist dancers of her day.

Getting a Stage for Her *Salome*
(October 1906–February 1907)

When Strauss's *Salome* was premiered in Hofoper Dresden on 9 December 1905, the title role was sung by Marie Wittich (1868–1931), who was the leading soprano of the opera house and had the honor, or rather the obligation, to portray Salome. Ackté was a freelance performer and her situation was entirely different. It was up to her to find a stage, and with this she had a great deal of help from various opera agencies as well as her own professional contacts. Strauss's approval was invaluable: had she not obtained it, her career as Salome would have been much more difficult.

Ackté was concerned about finding a performance venue from the very start. When she wrote to her husband, having “begun to look at Strauss's *Salome*,” she was already assessing her chances of obtaining a stage to do Salome: “[...] maybe I get a chance to create it here [in Paris] next year [1907], at the Opéra Comique, if it is given there. But [Félia] Litvinne and [Geraldine] Farrar would probably have better chances than I of getting the role.” (Aino Ackté to Heikki Renvall, Paris 21 May 1906, Heikki Renvall's Archive, File 3.) Litvinne's voice was much more “pastosa” than Ackté's, whereas Farrar's voice was similar, lyrical, supple, and high. In fact, neither of them would sing Salome (Litvinne 1933, 283–86; Farrar 1938, 87), but of course that could not be foreseen in 1906.

Ackté attached so much importance to the performance opportunity that she mentioned it during her very first rehearsal session with Strauss (11 October 1906). Her heart sank when she heard from Strauss that Lucienne Bréval (1869–1935), Ackté's main rival at the Opéra de Paris, would create Salome in Paris, and Emmy Destinn in Berlin: “Why should I study Salome at all?” (Aino Ackté to Heikki Renvall, Berlin 11 October 1906, Heikki Renvall's Archive, File 3; Ackté 1935, 100). She had already requested a performance opportunity directly from Count Nikolaus Seebach, the director of the Hofoper Dresden, whom she knew from her previous performances there. Just before her second session with Strauss, she received a positive answer from

the Count, welcoming her to do both *Salome* and *Tosca* in Dresden (Count Nikolaus Seebach to Aino Ackté, Dresden 16 October 1906, Aino Ackté-Jalander's Archive, Coll. 4.13). There was a practical problem in that there would be no *Salome* performances in Hofoper Dresden before March or April 1906 because the Dresden Hofoper's Herod, Karl Burrian (1870–1924), was in New York.²³ Ackté probably passed this information on to Richard Strauss on their trip to Leipzig, and he promised to come to see her performance (Aino Ackté to Emmy Achté, Berlin 18 October 1906, Aino Ackté-Jalander's Archive, Coll 4.42).

Ackté employed many agents to look for a venue, with some success. She could only accept a few of their proposals because she had a rather tight tour program until the beginning of April 1907. In November 1906, on Ackté's behalf, Konzertdirektion Leonard was in negotiation with Opernhaus Berlin about *Salome* performances that would have taken place in January 1907, although this did not work out (Konzertdirektion Leonard to Aino Ackté, telegram, 13 November 1906, Aino Ackté-Jalander's Archive, Coll. 4.16). Then, in February 1907, Ackté received an offer from Maurice Kufferath, Director of Théâtre Royal de la Monnaie, to create *Salome* in their new French production.²⁴ The première would be in the middle of March 1907, and rehearsals had already begun. Ackté should have joined them at least a week earlier (Théâtre Royal de la Monnaie / Maurice Kufferath, 6 February 1907, and Maison Mobisson, 13 February 1907 to Aino Ackté, both in Aino Ackté-Jalander's Archive, Coll. 4.16). Ackté had to decline the offer because of her mid-European tour.

Paris was the most desirable stage of all, and Ackté kept herself posted about the twists and turns there via many channels, including

23 Karl Burrian (or Karel Burian) (1870–1924) had belonged to the première cast of *Salome*. He had now travelled to New York to appear in *Salome* with Olive Fremstad at the Metropolitan Opera. That production caused a scandal, and the cycle of performances was discontinued (Affron and Affron 2014, 60–66). Irma Tervani, Aino Ackté's younger sister, would soon fall in love with him (see for instance Irma Tervani to Aino Ackté, Dresden 18 March 1907 and 26 September 1907, Aino Ackté-Jalander's Archive, Coll. 4.14).

24 Incidentally, Pedro Gailhard was involved in translating the *Salome* libretto into French, together with Jean de Marliave. In fact, Ackté would never sing *Salome* in French.

her former voice teacher Édmond Duvernoy (1844–1927) and her own sister Irma, whose teacher at Conservatoire de Paris was also Duvernoy (Irma Tervani to Aino Ackté, Paris 12 January 1907, and Édmond Duvernoy to Aino Ackté, Paris [January 1907] and 22 January 1907, all in Aino Ackté-Jalander's Archive, Coll. 4.14 and 4.8, respectively). Pedro Gailhard, director of the Opéra de Paris, also informed Ackté directly about what was going on. After she had finished her rehearsal sessions with Strauss she received a telegram from the composer saying that he would do what he could to promote her as *Salome* in Paris, but by the end of the year he regretfully informed her that he had chosen Lucienne Bréval for the role²⁵ (Richard Strauss to Aino Ackté, telegram dated 14 November 1906 and a letter dated Turin 29 December 1906, Aino Ackté-Jalander's Archive, Coll. 4.14). On the previous day Gailhard had sent a telegram to Ackté informing her that Strauss himself had chosen the cast for the Parisian performances of *Salome* in February 1907 (Pedro Gailhard to Aino Ackté, Paris 13 November 1906, Aino Ackté-Jalander's Archive, Coll. 4.9). It is apparent that Gailhard was interested in engaging Ackté,²⁶ but she was not Strauss's favorite. However, plans to mount this French *Salome* at Opéra de Paris were called off (Ackté 1935, 134; Théâtre Royal de la Monnaie / Maurice Kufferath to Aino Ackté, 6 February 1907, Aino Ackté-Jalander's Archive, Coll. 4.16) and Gailhard's days as its director were beginning to get numbered.²⁷

Ackté's plans for Leipzig were advancing more easily, however, and as mentioned above, Dresden had been settled already before. In 1906, Ackté was in contact with impresario Joseph J. Schürmann, who had arranged her the extensive concert tour during the first months of

25 In fact, Bréval never appeared in Strauss's *Salome*, but she had success in the title role of Antoine Mariotte's *Salomé*, premiered in 1910 at Théâtre de la Gaîté (see Rowden 2013).

26 Ackté's former singing teacher Édmond Duvernoy was of the same opinion. He wrote as follows: "Gailhard was much more favorably disposed towards you than you would ever believe and as to why Strauss requested Bréval, I could tell you viva voce things that would interest you" (Édmond Duvernoy to Aino Ackté, Paris January 1907, Aino Ackté-Jalander's Archive, Coll. 4.8).

27 Gailhard was superseded by André Messager and Lemistin Broussan from the beginning of 1908.

the year. Schürmann offered a performance of *Salome* in Stadttheater Leipzig on either 12 or 15 March 1907 (Joseph J. Schürmann to Aino Ackté, Leipzig 27 October 1906 and Budapest 4 November [1906], Aino Ackté-Jalander's Archive, Coll. 4.13). However, at that point Ackté decided to discontinue her collaboration with Schürmann and turn to the services of Konzertdirektion Norbert Salter, who took on the negotiations with Stadttheater Leipzig. The theater would give one *Salome* performance (only for Ackté), and the date was still under negotiation in February (Konzertdirektion Norbert Salter to Aino Ackté, 16 February 1907, Aino Ackté-Jalander's Archive, Coll. 4.16). It was only a month before the performance that a binding contract was signed (Gastspiel-Contract between Stadt-Theater Leipzig/Robert Volkner and Aino Ackté, 17 March 1907, Aino Ackté-Jalander's Archive, Coll. 4.44).

Towards Excellence via Anxiety
(Dresden–Leipzig, April–May 1907)

Before her role debut as *Salome* Ackté visited her family in Helsinki for a fortnight or so at the turn of March and April 1907. *Salome* aside, her mind was set on another plan: to have a second child and to stay at home the following winter (Aino Ackté to Heikki Renvall, Berlin 10 April 1907, Heikki Renvall's Archive, File 3). She arrived in Dresden on 11 April 1907 to finish her work and was reunited with her sister Irma, now living there (Aino Ackté to Emmy Ackté, Dresden 12 April 1907, Aino Ackté-Jalander's Archive, Coll. 4.22).²⁸ Ackté's *Salome* costume had been sent from Paris to Irma's address, and she finally had a chance to try it on, a week before the debut. It was very beautiful, "comme il faut." Aino Ackté also observed that she looked naked and

28 Irma Ackté had changed her surname to Tervani, discontinued her studies at the Conservatoire de Paris, and moved to Dresden by 22 February 1907 (Irma Tervani to Aino Ackté, Dresden 22 February 1907, Aino Ackté-Jalander's Archive, Coll. 4.14). Aino had found her sister a new teacher, Louise Belce-Reuss, who would coach her for her audition for Hofoper Dresden. This succeeded, and Irma was engaged in the Hofoper from 1908 until 1933. During the season 1912–1913 she would belong to the *Salome* cast, as Herodias (see database *musiconn.performance: Staatsoper Dresden*, s.v. Tervani; Lesnig 2010, 111–12).

child-like (Aino Ackté to Heikki Renvall, Berlin 13 April 1907, Heikki Renvall's Archive, File 3).

The fine-tuning of the role continued in both Dresden and Leipzig, where Ackté traveled with Irma a couple of days before her *Salome* debut. Irma complimented Ackté on her acting and costume after the orchestral rehearsal, but there was not much to say about the singing because, as was the usual procedure and to save her voice, Ackté sang *sotto voce* in the only stage rehearsal with the orchestra (Aino Ackté to Emmy Achté, Leipzig 18 April 1907, Aino Ackté-Jalander's Archive, Coll. 4.22).

Ackté was happy to make her debut as *Salome* in Leipzig instead of Dresden: "Here [in Leipzig] the opera is not that famous" (Aino Ackté to Emmy Achté, Leipzig 18 April 1906, Aino Ackté-Jalander's Archive, Coll. 4.22; Aino Ackté to Heikki Renvall, Leipzig 17 April 1907, Heikki Renvall's Archive, File 3). However, *Salome* was also well known in Leipzig, having been performed 33 times in 1906 (Lesnig 2010, 143). The same conductor, Richard Hagel (1872–1941), would also conduct the only performance of *Salome* in 1907 with Ackté in the cast (*Salome* announcement in *Leipziger Tageblatt* 19 April 1907). Curiously, Ackté assumed that the orchestral conductor did not know the score as well as she did (Aino Ackté to Emmy Achté, Leipzig 18 April 1907, Aino Ackté-Jalander's Archive, Coll. 4.22).²⁹

As the day of the performance approached, Ackté was becoming worried about how she would pace herself in terms of strength and breathing in the dance so that she would still have the resources to manage the following final monologue. She seemed to succeed when she was rehearsing it by herself in her room, but she was concerned about what would happen on stage, particularly because the rhythm still seemed so very complicated (Aino Ackté to Heikki Renvall, Dresden 15 April 1907, Heikki Renvall's Archive, File 3). This continued to occupy her mind even after the first orchestral rehearsal:

29 In the performance, Hagel had the orchestra play so loudly in *Salome*'s final monologue that it partly drowned Ackté's voice (Ackté 1935, 133).

Tomorrow is my Salome role debut. Yesterday I was overcome by great anguish and fear of not being able to sustain my role to the end. No Salome singer has been able to reach the end without changing the notes, and they even haven't done the dance themselves. Irma wondered how one could sing those high notes in the first place and I began to think that perhaps I wouldn't be able to sing them on stage. [...] I am so tired that I am going to remain silent today so that my voice will be bright tomorrow, that is the *main* thing. If my voice is alright, the rest will surely come. (Aino Ackté to Heikki Renvall, Leipzig 18 April 1907, Heikki Renvall's Archive, File 3; emphasis in the original.)

To help her recovery from the dance, Ackté had arranged for two slaves to come to her after it, one offering a white blanket for cover and the other a bowl of water for her to drink (Ackté 1935, 132–33). However, breathing was still a challenge:

Even before the dance I felt breathless and at the end of it I couldn't have sung another note had I not been able to drink on stage. I had to save my voice a lot by singing piano, and occasionally leaving out some tones and that is how I reached the end with honor because the end I sang the best. I felt so tired at times that I was afraid I couldn't go on, and I was afraid that I was breathing very heavily. Anyway, Irma said that this was not heard in the auditorium. (Aino Ackté to Heikki Renvall, 20 April 1907 on her way to Riga, Heikki Renvall's Archive, File 3)³⁰

On 23–28 April 1907, before her second night as Salome, which as agreed at the end of April would take place in Hofoper Dresden on 3 May 1907 (Aino Ackté to Heikki Renvall, Riga 26 April 1907, Heikki Renvall's Archive, File 3), Ackté had guest performances in Riga as Marguerite (*Faust*), Elsa (*Lohengrin*), Senta (*Der fliegende Holländer*),

30 Not being able to avoid the heavy breathing after the dance, Ackté made it a visible stage gesture. The composer's parentheses in the score stipulate that, after her dance, Salome throws herself at Herod's feet. Ackté continued the stipulation as follows: "spreading out her arms, breathing heavily." (Ackté's *Salome* score, 148.) However, there is no mention in her score about the slaves or the offering of water.

and Elisabeth (*Tannhäuser*) (Aino Ackté to Heikki Renvall, Riga 23 April 1907, Heikki Renvall's Archive, File 3). One of her main concerns in Riga was whether or not to cancel her next Salome performance: "Now I just sit here homesick and in horrible pain wondering whether I should travel to Dresden or not. I think that Salome is dreadfully heavy, and perhaps I will get tired and pant my way through the role, and receive bad reviews in the press" (Aino Ackté to Emmy Achté, Riga 23 April 1907, Aino Ackté-Jalander's Archive, Coll. 4.22). The very good reviews from Leipzig only partially eased her anguish. She expressed her doubts in a telegram to her sister, who urged her to come to Dresden because the performance was already sold out on the first day of ticket sales (Ackté 1935, 134). Her husband gave his unflinching support and also encouraged her to go: "Although I ardently hope you come home—you cannot doubt that—I am glad that you will sing in Dresden. The thing is that you would sing Salome on one of the finest stages in Germany, for which you have taken so much trouble" (Heikki Renvall to Aino Ackté, Helsinki 20 April 1907, Heikki Renvall's Archive, File 6). Ackté eventually decided to go to Dresden, but not without reservations:

I don't think the Dresden trip will turn out to be beneficial for me, I feel it, and also the cards tell me, but nevertheless I will go there now. So, I cannot reproach myself for gutlessness. I have fought my battles to the end through the worst kind of fire—nothing draining my strength as much as Salome cannot be found. When I come through it, it is like having given birth. You are quite right that the performance in the Dresden opera might turn out to be some kind of a crowning. But it would be a pity if it were to become a crown of thorns to finish off my brilliant artistic season. I occasionally need to change the tones in Salome, otherwise I cannot get through it without becoming breathless. When I need to shout out a horrible number of words in a swift tempo, my voice can barely carry on. I can do it when I'm in a room [by myself] but on stage it is entirely different. My consolation is that they have never had a good Salome in Dresden—even Mrs. Wittig [*sic*] was roughened before she finished—and with my body and my acting I can always arouse admiration. I am very beautiful indeed as

Salome, particularly my body, and that is something rare, at least here in Germany. (Aino Ackté to Heikki Renvall, Riga 24 April 1907, Heikki Renvall's Archive, File 3)

After her first performance (preceded by one orchestral rehearsal) Ackté was confident that she would know the music and declined the offer to rehearse with orchestra at Hofoper Dresden a day before the performance; an orchestral rehearsal two days prior to the performance would be enough, and in addition she was prepared to go through certain passages with the director of the opera (Aino Ackté to Count Nikolaus Seebach, Dresden 1 May 1907, Dresdner Opernarchiv). Much more important was to rest and spare her voice for the actual performances. In her second Salome performance (Dresden on 3 May 1907) Ackté was able to pace herself in a more economical way (Ackté 1935, 134).

During the spring of 1907, plans had been advancing to mount a German *Salome* in Paris with three alternating performers in the lead role. Strauss was involved in these arrangements. He had one favorite: Emmy Destinn (Richard Strauss to Gabriel Astruc, 15 February and 13 April 1907, Dossier Salomé, Carton 2240. 2160. R 183083). However, before Ackté left Riga for Dresden she had received a letter from Carl Harder, a representative of E. Drenker's Theater-Agentur, stating that Richard Strauss would consider it very "sympatisch" if Ackté would agree to appear thrice as Salome in Paris, on 17, 21, and 24 May 1907 in a cycle of three performers, the other two being Emmy Destinn and Olive Fremstad (Carl Harder to Aino Ackté, Berlin 23 April 1907, Aino Ackté-Jalander's Archive, Coll. 4.16; Ackté 1935, 136–37).³¹

It was hardly a coincidence that this proposal came after the glowing reviews of Ackté's Leipzig performance appeared, and of course the

³¹ In fact, it was claimed in some newspapers in March, before Ackté's role debut, that Ackté would sing Salome in Paris alternating with Emmy Destinn. Being rather certain that her husband would not follow her to Paris, she was already then planning to refuse the offer, which, strangely enough, she so far had not even received personally (Aino Ackté to Emmy Achté, Frankfurt am Main 3 March 1907, Aino Ackté-Jalander's Archive, Coll. 4.22).

pouring accolades from the Dresden performance would raise Ackté's fame. Although performing in Paris was what Ackté had been striving for since the very beginning of her *Salome* project, she did not rush to accept the proposal. For one thing, she did not like being the last in line, following Olive Fremstad. She would agree to perform (for the price of 2,000 French francs per evening) after Destinn, who would only sing, and not dance.³² Following Destinn, Ackté could have caused a "sensation" (as she wrote) in combining singing and dancing. Appearing after Fremstad would not have enhanced this because Fremstad was also known to perform the dance herself. In fact, Ackté was more concerned about being reunited with her husband than with performing *Salome* in Paris. She tried in vain to entice him to travel with her if she were to accept the offer: "Think what a lovely little jaunt, no rehearsals, and I would not be nervous as I would change the notes and there would be no press" (Aino Ackté to Heikki Renvall, Riga 27 April 1907, Heikki Renvall's Archive, File 3).³³ He could not give in to his wife's entreaty and instead continued to encourage her to accept the offer, which embittered her: did not her husband want her to be at home with him and their little daughter?³⁴ In the end, having sent her letter of acceptance, Ackté dispatched another note to Paris in which she declined the offer (Ackté 1935, 136). The Parisian *Salome* performances (in German) at Théâtre du Châtelet therefore took place without her, under the baton of Richard Strauss. She later regretted her decision: "What makes you do crazy things?" (Ackté 1935, 137).

Ackté's withdrawal from Paris could have been the outcome of uncontrollable stage fright. However, she had written to her husband on several occasions telling him how she could no longer endure being separated from him during that spring, and that she was hatching a plan

32 Against Strauss's wish, Russian Natalia Trouhanova danced for Destinn (Rowden 2013, 72–75).

33 Ackté assumed that only the first cycle of *Salome* performances, with Destinn in the title role, would be reviewed and therefore her own slight re-writing of *Salome*'s vocal lines would not attract attention in the press.

34 Heikki Renvall had been elected a member of the first Finnish Parliament, which convened for the first time on 22 May 1907.

to stay at home with her family for a year after the 1906–1907 season, “either as healthy or as sick.”³⁵ This plan meant even more to her than winning back Paris with *Salome* (Aino Ackté to Heikki Renvall, Paris 28 April 1906, Aachen 18 February 1907, Frankfurt am Main 1 March 1907, Berlin 10 April 1907, all in Heikki Renvall’s Archive 3). Indeed, she did stay home and bore her second child at the age of 31, on 29 February 1908. Her next *Salome* performance would be in Stockholm on 20 November 1908.

Conclusion

Aino Ackté’s unique archive material allows to decipher her meticulous process of preparation for the role of *Salome* from a distance of over 100 years and situate it as part of her biography. Both correspondence and her autobiography (Ackté 1935) contain descriptions of her emotions, plans, and actions during the process, and my methodological choice was to quote these sources generously in order to give voice to Ackté at work behind the curtain. In a sense, the citations are similar to sketches in genetic studies of literary works in that they shed light on the unfolding of this unique creative process, in parallel with the preparation, but the difference between this material and literary or compositional sketches is that the citations are not anterior versions of the work, they are mediations. When she wrote her autobiography in the 1930s, Ackté knew how her career and life would proceed (including her divorce from Heikki Renvall at the beginning of 1917), whereas the future lay ahead, uncharted, in her letters. In addition, her autobiography could be considered a kind of performance, intended for the general public, whereas the letters are Ackté’s private, even intimate communication. They also disclose several challenges and moments of frustration she encountered in preparing for the role, which she chose not to reveal in her autobiography, including her anguish as the performance dates approached. The letters also disclose her tactics of coping

35 Sickness in this context refers to pregnancy. The original Finnish reads as “joko terveenä tai sairaana.” Ackté had no chronic diseases at that time.

Salome performances in practice including a quiet and calm day before the performance, a glass of water after the dance, changing the notes of her vocal line when necessary. The foundation of the role work, of course, rested on her systematic preparations beforehand. Musically, the role had been engraved upon her already during that process because Ackté was not very eager to rehearse the role with orchestra; she rather let her voice rest.

Up until her second rehearsal session with Strauss Ackté had been pessimistic about her ability to learn Salome and to find a stage on which to portray her, but then she began to feel that Salome was made for her. There is no doubt that working with Strauss contributed to this: Ackté's learning process advanced considerably. It is evident that Ackté was not Strauss's ideal Salome, and he accepted her only after the glowing reviews of her debut had appeared. It would seem from Ackté's correspondence that Strauss's role was less straightforward than implied in her autobiography.

The correspondence reveals how a rich network of people and institutions, professional contacts, acquaintances, and family members contributed in many ways to Ackté's success. Following Mitterand's (2004) method, I have charted the cultural context of her creation process, the phase of her career, her private life as well as her early performances of Salome's role. I have aligned the events and details given in Ackté's correspondence and autobiography with press material and histories of performance traditions and opera houses. Typically, Ackté seldom mentions the names of other artists in her letters, and for this chapter I have traced them from other sources whenever possible.

Unlike Mitterand (2004, 129) and in accordance with Valéry (2000, 475), I claim that tracing the creative process is valuable in itself, regardless of the endpoint, in other words the public performance.³⁶ The genetic order of the creative process (Mitterand 2004, 120) is decipherable through Ackté's correspondence. It is not only the order of events that matter, but also their duration. To emphasize this, the temporal

³⁶ In fact, even creative processes associated with roles that remained unperformed would be valid topics for future research.

progression is shown in the section headings. Curiously, it seems that the scheduling in the opera houses was rather flexible, allowing changes to be implemented at short notice.

There was a time span of 11 months between Ackté's debut as Salome (19 April 1907) and her first documented reference to the work in a letter to her husband (7 May 1906), when she was utterly frustrated with the state of her career (particularly the role of Marie-Magdeleine) and was determined to find a role with which she could "make effect" (cf. Figures 1.1 and 1.3). Salome indeed offered her the chance to do this and to boost her career on European stages. No other character intrigued her as much as Salome did (Ackté 1935, 130–31), and it never bored her, as Elsa and Marguerite did. All in all, the steps she took reveal her as most rational, determined, and goal-oriented in preparing for the role of Salome, the most irrational female role figure in opera thus far.

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Friedrich Wieck: Musical Education Beside Karl Marx's "Philistine Mediocrity" and Friedrich Nietzsche's "Griechenproblem"

TOMI MÄKELÄ

Filmed Images

Johann Gottlob Friedrich Wieck (1785–1873) was a remarkable pedagogue. He was alacritous in applying concepts of the most recent “reformed” pedagogy (Johann Heinrich Pestalozzi et al.), no doubt due to his academic background as a student of theology in Wittenberg. This is how he ended up teaching the youngest pupils without recourse to written music, advising them to practice in many short rather than in a few longer stretches. He also knew that solid physics was a *condicio humana sine qua non* for a musician.

However, his public image is trivial and reflects the archetype of a stubbornly conservative teacher and a brutally ambitious father. Like a late-born *commedia dell'arte* figure, Friedrich Wieck plays a role in a popular drama entitled *The History of Western Music*. This unfair picture can be complemented through further research. The constellation is not unique, otherwise Voltaire would not have stated in his “letter” on Sophocles’s *Oedipus Tyrannus* of 1719: “On doit des égards aux vivants; on ne doit aux morts que la vérité.” (We owe respect to the living; to the dead we only owe the truth.)

Behind a distorting mask of fiction, Wieck made some remarkable appearances in cinematic reviews of cultural history. He is ignored in

Helma Sanders-Brahms's *Geliebte Clara* (Beloved Clara, 2008) with Martina Gedeck as the protagonist, mainly because it tells an intimate story about the later years of his daughter Clara Schumann née Wieck (1819–1896). Cineasts interested in music history are also likely to have seen Peter Schamoni's semi-documentary *Spring Symphony* (*Frühlingssinfonie*, 1983), with Rolf Hoppe as Friedrich. Its prominent cast—Nastassja Kinski as Clara, Herbert Grönemeyer as Robert Schumann and Gidon Kremer as Niccolò Paganini—and authentic locations in Saxony characterize this remarkable film, which was produced in Bavaria and was awarded the distinguished Bavarian Film Prize. Two notable films produced a few decades earlier have fallen into oblivion to some extent, having been of significance among past generations on both sides of the Atlantic Ocean: Harald Braun's, Herbert Witt's and Fritz Thiery's *Träumerei* (*Dreaming*, 1944) with Friedrich Kayßler as Friedrich and Hilde Krahl as Clara, and Clarence Brown's *Song of Love* (1947) with Katharine Hepburn as Clara and Leo G. Caroll as Friedrich. Even if those with political power dismissed *Träumerei* as useless entertainment with no ethical impact on a country at war, it was shown with great success in Germany as well as in Switzerland, Portugal, and Finland until 1945. *Song of Love* seems to have been an American reaction to that.

All three films demonstrate how hard it has been to get a non-biased picture of Friedrich Wieck in Robert Schumann's (1810–1856) shadow. The social setting surrounding the great German composer, including Clara as his performer and primary mediator, should be analyzed as typical of the functional hierarchy in music history, contemning theorists, pedagogues, and essayists. Therefore, in Wieck's case the problematic focus is attributable not to gender or nationality, but to social roles, professional functions, and conventional historical narratives. Schamoni's *Spring Symphony* does not portray Wieck as the fascinating Master Raro, the oldest Davidsbündler or "The Extraordinary," famous for selected quotations—a profile that can be studied in Schumann's essays: it rather depicts a greedy variant of Pantalone, who wanted to spoil the love affair of the ideally romantic couple Clara and Robert in a marriage of performance and structural innovation. He is told to

readily distinguish himself at the expense of his children and other pupils, as if it were rare among pedagogues engaged in the education of artists. Worst of all, his relationship with Clara is treated in a sensationalist manner in favor of theatrical effect and scandal, as if the parental relationship could be based solely on ignorance or abuse. Director Schamoni and his scriptwriter Hans A. Neunzig characterize Wieck's fatherly love for Clara more than ambiguously: "a father who is connected with his daughter in more than fatherly love," according to one of the trailers compiled by Schamoni Film und Medien GmbH that is available on the Internet. However, both Schamoni and earlier directors have also realized that it is a demanding task to play Wieck: they all engaged magnificent character actors for the role.

The Unfocused Newcomer

Wieck worked mainly as a teacher. He started as a tutor in general (private) education, in the homes of wealthy people, then he became a piano teacher in Leipzig. He was based in Dresden from 1840, where he was a distinguished vocal coach, representing the Italian bel canto tradition. Simultaneously he worked as essayist, piano merchant and technician, concert organizer, manager, bookseller, and private librarian. Ignoring a world that was already moving towards the specialization of labor, he fought on various fronts as an entrepreneur, never in the employ of an institution such as a conservatory or a government department.

Wieck fought for artistic commitment and aesthetic seriousness among the young as well as adults. He reclaimed the beauty of all things and action for music, combined with moral and categorical imperatives. This could easily be seen as a product of Friedrich Schiller's *On the Aesthetic Education of Man (Über die ästhetische Erziehung des Menschen, 1795)*, transcending the domain of art education and aesthetics to incorporate all fields of life. It did not matter to Wieck whether or not the goal of his students was musical professionalism, and in fact, only a minority of them became professional musicians. Even non-professionals should not become dull and bourgeois but should develop as

sensitive individuals who are able to understand and to feel the beauty and significance of music in all its detail.

Wieck defended the seriousness that was taken for granted in the “main subjects” of the grammar schools, but rarely in general music education. He attacked the “philistine mediocrity” of his contemporaries, and in particular of the “middle class,” which Karl Marx denounced in 1844 (Marx 1844, 83; cf. Easton and Guddat 1997, 261 *passim*). In the words of young Marx: “Even the *moral self-esteem of the German middle class* is based only on the awareness of being the general representative of the philistine mediocrity of all other classes” (italics in the original). Wieck fought against the shenanigans of all people interested in music regardless of their social status and task. His pedagogy was an application of philosophical and social projects that were typical of the first half of the century.

The discussion generated by Immanuel Kant’s dualism of sense and sensibility (“Vernunft” und “Sinnlichkeit”; cf. *Critik der reinen Vernunft*, 1781) lies behind the approaches of both Schiller and Wieck. This is just one example of the increasingly important role of the Prussian state in the German “Avant-garde” of the nineteenth century in general. The attitudes of actors in other than governmental areas tended to be elusive in the new geopolitical constellation that developed simultaneously with other major changes in political and societal thinking. Moreover, the political and parliamentary fields still lacked a solid basis on which they could be defined. Königsbergian Louis Köhler, pianist, composer, conductor, author, and music pedagogue, described Wieck as an “arch-revolutionary” (Köhler 1852), but Wieck repeatedly referred to himself as “conservative.” As he wrote in the preface to his collection of writings *Clavier und Gesang* (1853): “But I will remain conservative until the men of the future convince me with results that surpass or at least equal those of the old days.” (The preface is included in a completely new edition of Wieck’s writings, from which all other quotations in this article are taken [Mäkelä et al. 2019]; the current contribution includes fragments from this author’s introductory essay [*ibid* 15–51].) Wieck was conservative not out of family tradition or as a matter of principal, but because he doubted the progressive concepts of his time in their detail.

As a father, piano teacher, music merchant, and essayist, Wieck was concerned about the present and the future of art. Occasionally he also revealed literary-artistic ambitions, particularly in Chapter 14 of *Clavier und Gesang*: “Frau Grund und vier Lectionen” (Mrs. Grund and Four Lessons), in which he asks a fictitious person to read all the other chapters. Stylistically, however, he was not a great author. He called himself “pedagogue,” “philosopher,” and “psychologist” in his later essays, but he never referred to studying theology in Wittenberg. While he was there he visited the Lutheran “Predigerseminar” (preacher’s seminary) and brought a heavy load of rhetoric to the preacher’s examination. There were no significant traces of theological conviction in his argumentation. Wieck apparently used the famous faculty to educate himself in general, following on from grammar school. He turned his back on the office of preacher immediately after the examination and followed his own paths.

His transcendence to complex professionalism took place in small steps. Many, particularly among the Leipzig educated bourgeoisie (an early example of German *Bildungsbürger*), saw his manifold commitment as an indication of a lack of focused competence and craftsmanship. This mistrust went so far that it was a very long time before musical patrons developed a closer personal relationship with him. Wieck was an outsider and an odd fellow, at least until he could no longer be overlooked given the overwhelming class of his eldest daughter Clara. Even in 1829 he was mainly known as a former student of theology (Dorn 1875, 77). He lacked the early success typically achieved in a special field of music, being anything but a *Wunderkind*, given his background. He was born in the village of Pretzsch on the Elbe river between Wittenberg and Torgau, in the back of beyond. He was neither the son nor the pupil of a famous man. He had no connections and no other status emblems of more powerful representatives of the generation, and therefore he had to focus on less sought-after segments of musical life: he could not afford to concentrate on one field. Luckily his generation in the Kingdom of Saxony could overcome their heritage limitations without a mentor, at least to a certain degree. His lack of focus was due in part to the financial and social uncertainty concerning

his professional future, and in part to his manifold interests in complex matter (the aesthetic education of man after Kant, Schiller, and the French Revolution), but not to a lack of talent.

A Combative Essayist

Writing essays was, for Wieck, the fulfillment of a “fiery desire to work,” as Prussian colleague Louis Köhler noted in his aforementioned review. There is no need to speculate about whether Wieck was “primarily” concerned with “educational intentions,” “profiling wills,” or “commercial interests” (Köckritz 2007, 264). His essay writing was part of the uprising among the educated bourgeois, his vocation was to “work” and his “profession to express oneself” (Köhler). He, like many other authors of the time, was concerned about being socially active in line with his own talent in a crumbling society. Scholars have questioned why so many volumes on teaching music, including books containing studies and exercises, were published around and after 1800. In the light of Wieck’s essays it seems quite obvious that it was not a reaction to the volumes written by famous musicians of the eighteenth century such as Johann Joachim Quantz (Berlin 1752), Carl Philipp Emmanuel Bach (Berlin 1753 and 1762), and Leopold Mozart (Augsburg 1756), but rather reflected the rapidly increasing interest in musical education and the lack of well-educated teachers. Less experienced teachers as well as individuals interested in self-education were grateful for the advice of established senior pedagogues such as Wieck. However, he does not encourage his readers to use his contribution in this way, but rather emphasizes the need to find a serious master instead of listening to the less talented pedagogues of the day.

Wieck was versatile and unfocused, “restless and hasty, not smooth and orderly enough when it comes to calmly penetrating and processing the subject at hand,” as one reviewer wrote in a prominent national-liberal journal (Anonymous 1852, 399–400). In fact, the level of objectivity in his texts varies widely. The supra-regional significance of his ambitions and ideas, which never seem provincial, nationalistic, or chauvinistic, remains constant. His argumentation did not promote racism: only

once did he choose the German word “Negerthemen,” harmless in the context of his time, but nowadays so striking and unacceptable. Wieck’s “anger at the Germans” and his flirting with “the others” attracted the attention of Louis Köhler: whereas Köhler hoped that the “French bell-wethers” would be “bashed,” Wieck hunted Liszt, Wagner, and their offensively “German” supporters. Wieck’s main idols were Ferdinand David, Ignaz Moscheles, Giacomo Meyerbeer, and Felix Mendelssohn Bartholdy, which is significant in the light of Clara’s famous anti-Judaism. Unfortunately, she did not share the attitude of her father, but rather agreed with her husband. “God protect me from Jews,” “Jews remain Jews”, and so on. Robert referred in writing to Wieck as being a kind of “Jew” as a father, without suggesting a factually Jewish origin; for him “Jew” was a generally insulting term (Klassen 2009, 187 f.), and the pejorative intention was easily understood in the contemporary milieu.

His short period of study with the now forgotten maestro Johann Aloys Miksch (1765–1845) turned Wieck into a bel canto specialist at a time of upheaval in voice aesthetics. The lessons with Miksch, a pupil of Vincenzo Caselli, were apparently preceded only by singing practice as a high school pupil and a theology student: at least nothing else is documented. According to Heinrich Dorn, Wieck “never dealt with this subject” in his time in Leipzig (Dorn 1875, 80). His attitudes were formed when the bastions of the Wagnerians and Brahmsians had just been established. It was for this reason that the *Neue Zeitschrift für Musik* (*NZfM*), edited by his renegade student Franz Brendel, concentrated its criticism on his “outdated” art-philosophical argumentation, a sweeping criticism of Wagner. He was indeed one of the most stubborn opponents of the development that was necessary, as Brendel saw it.

His First Wife and Other Biographical Oddities

Wieck taught singing and piano playing to a number of students who later became successful, but his eldest daughter Clara was an exception as a world-class model student, perhaps even the most remarkable pianist of her day. He does not deserve all the praise for Clara’s fame. Robert Schumann’s genius probably also had a strong influence on her

and possibly even compensated for her father's possible pedagogical shortcomings with regard to romantic visions and Johann Sebastian Bach, for example. Wieck did not teach very much Bach, but Schumann understood the importance of the Baroque master and is reported to have analyzed him intensively, together with Clara. Clara's repertory in the early years included Bach's Concerto for three pianos (BWV 1063), which she performed with a string quartet in 1835 and orchestra in 1845. She is documented to have studied the C-sharp minor Fugue from *Wohltemperierte Clavier* (BWV 849) in 1832 at the age of 13, the D major and F-sharp major Fugues in 1836 (BWV 850 and 858), and the C-sharp major one in 1835 (BWV 1835). If that is all, it is not much. It seems that, even later, she did not play a single suite or a whole partita.

Clara's mother Mariane (Marianne in the baptismal register) should also be mentioned. She was a gifted pianist and a successful singer, and a granddaughter of flute virtuoso and composer Johann Georg Tromlitz. As an artist, pianist, and singer, she must have been an early role model for Clara. Even though formerly taught by Friedrich, Mariane had her own aura from which Clara possibly profited more than is revealed in the literature and archived documents.

Unfortunately, it is not known where and how Wieck was introduced to music. According to Meier (1995, 20), "[h]e was famous as a piano teacher, although he himself had not received any musical training." How plausible is that? He is also said to have attended the Thomasschule in Leipzig for a short time, but he had to return home for health reasons. Even later he had asthmatic complaints, in addition to "hard hearing" and "complete deafness," which miraculously disappeared toward the end of his life (Dorn 1875, 80 ff.). After Thomasschule he went to a grammar school in the neighboring town of Torgau. The piano teacher there, Johann Peter—or rather Philipp Jacob (Berdux 1999)—Milchmeyer gave him "6 to 8" lessons as he was visiting Torgau (Köckritz 2007, 55 ff.). Milchmeyer was an interesting master who is almost forgotten. His *Die Wahre Art das Pianoforte zu spielen* appeared in Dresden in 1797, and in 1801 he also published *Anfangsgründe der Musik* and *Kleine Pianoforte-Schule für Kinder, Anfänger und Liebhaber*. He is even known to have planned a "Pianoforte-Journal." Nowadays he

is best known for his work in Paris and its significance for the history of the piano pedal (Rowland 1993, 42–45), but he could have been an influential role model for Wieck.

From 1798 onwards Milchmeyer worked in Dresden, which is on the Elbe not very far from Torgau. Wieck was then at the best age for sustainable learning, especially given that he was probably educated by a church musician in Pretzsch (also on the Elbe and a one-hour ride from Torgau), and by a music teacher at a grammar school in Torgau that was founded in the fourteenth century and is now the Johann Walter Gymnasium. The fact that, seventy years later, he claimed he had only had a few spontaneous lessons in pianoforte should not prevent further reflection on the matter. Milchmeyer finally moved to Strasbourg around 1803 (Rosenblum 1988, 455), when contact with the young Wieck must have been broken.

Adolph Kohut and Victor Joß established the image of a malnourished boy growing up in the shadow of his father's alcoholism, who had to assert himself auto-didactically (Kohut 1888; Joß 1902). The picture is idiosyncratically romantic. Doubts about older biographies are now a matter of course: unlike Kohut and Joß, modern biographers tend not to believe in or repeat critically unproven representations based on stories of close relatives, such as Eugenie Schumann (1925). Anecdotes need to be contextualized.

Mariane Tromlitz, one of Wieck's famous students and his first wife, could not be expected to pay homage after their dramatic divorce. From her point of view Wieck was a tyrant and an egoist who misused his wife's successes for "business" purposes. Representing the minority in the history of Wieck's reception, Heinrich Dorn wrote (possibly with Mariane in mind, especially since he also refers to money as a sacrifice; Dorn 1875, 85): "He was one of the most amiable characters; and that he never complained about the notorious ingratitude of some students, for whom he so often sacrificed time, effort, and money, that just made the man doubly worthy of my respect [...]."

Posterity has ignored Dorn's reports—even if he belonged to the most respectable elite among those who have published an opinion on Wieck. The world has listened to Mariane, who needed to make her de-

cision to leave the father of her child socially plausible before the courts (according to Saxony legislation the child would stay with the father in such cases). She fled from Leipzig to her parents in Plauen in 1824, and then went back to her new husband Adolph Bargiel, a violinist and founder of an institute for vocal training in Leipzig. Wieck was probably thinking of Bargiel when he harshly wrote about the many new vocal institutes in *Clavier und Gesang* (Mäkelä et al. 2019, 253): “Who is at the head of these institutions?—Yes, musicians who are unfamiliar with actual singing education—but no singing teachers who would know how to combine school education with practical achievements.” Nowhere else did he express such outrage against the new music schools.

His second marriage also involved him in the educational elite. His second wife Clementine Fechner, a young woman, came from one of Saxony’s best-known academic families. She was the sister of legendary psychologist, experimental aesthetician, and scientist Gustav Theodor Fechner, as well as of painter Eduard Clemens Fechner, who was established in Paris. Eduard Clemens left behind some informative sketches about his sister’s family: it seems that Wieck had a weakness for demanding females and also tried to promote them. We do not have to refer to his behavior as patriarchal interference.

Revision of his psychogram should also succeed without calling into question the qualities he claimed for himself, such as “conservative.” Self-irony was fashionable, so he called himself “Der alte Schulmeister” (the old schoolmaster), and his brother-in-law Gustav Theodor Fechner published under the pseudonym “Dr. Miese” (Dr Lousy). Dorn described Wieck as follows (Dorn 1875, 84):

Wieck could not talk through certain favorite themes often enough, but he also knew how to gain new sides from the old views again and again, admittedly mostly in exaggerated expressions; but in his exalted nature, the errors that arose as a result were easy to explain, and were all the more forgiven, because he then involuntarily moved the audience into the realm of tremendous cheerfulness.

The True Inventor of “Zukunftsmusik”

Wieck aggressively threw himself into the breach for the “art of singing,” specifically in favor of bel canto and against the “future opera.” He was among the first to use the term “Zukunftsmusik,” “music of the future” in print (with the derivatives “musician of the future,” “opera of the future,” “recitative of the future,” “vocal music of the future,” “conductor of the future,” “piano of the future,” and so on), doing so, at least, before Louis Spohr wrote his famous letter in November 1854 (Gregor-Dellin 1980, 874).

Richard Wagner’s *The Artwork of the Future* of 1850 assigns the category “future” its significance in the context of music and cultural history. Of course, the French term “l’art d’avenir” appeared in the writings of opera critic Joseph d’Ortigue (1802–1866) in *Revue musicale* (Paris, 1833). Most later texts refer to Wagner’s well-known essay “Zukunftsmusik” from 1860. Wagner believed this was the most obviously mocking variant of all the phrases using “Zukunft” (see above). He attributed it to Ludwig Bischoff (*Niederrheinische Musikzeitung* 1858) but he was wrong: Wieck was clearly the first to publish the polemic phrase in *Clavier und Gesang* in 1853 (printed and reviewed in late 1852 and produced during that year). This was no coincidence: the bold ideological undertone in dealing with aesthetic themes of all kinds, including the “future” as well as conceptual innovativeness, was typical of him.

Wieck’s attitude may seem more conservative nowadays than it was in the 1850s. He had the self-confidence to note in the preface of *Clavier und Gesang* that some of the chapters had appeared around 1848 in Schumann’s sophisticated *NZfM* and in Bartholf Senff’s more popular *Signale für die Musikalische Welt*, albeit in a somewhat different version. The majority of the changes concerned the deletion of refined subtleties. It is understandable that Wieck wanted to mitigate these after 1850, in the Restoration era, although the original “Vormärz” polemics were convincingly authentic. It is not the timelessness but the close, intelligent fusion of his thoughts with the exciting present of the nineteenth century, which equally well applies to the present epoch, that makes Wieck a remarkable author.

As he was writing his essays there was a dramatic shift not only in social horizons but also in the foundations of musical life and aesthetics. Even the differentiation of professions, which affected him given his diverse interests and activities, took place during his lifetime. Universal musical and educational professionalism and entrepreneurship were bundled more seldom—in Wieck’s case in an entrepreneurial personality: the piano trade with Viennese models such as “Tomaschek-Wieck” (based on Anton Tomaschek’s products) and the commercial lending library. Virtuosity, too, developed as a profession with a force that left little time for the development of a balanced aesthetic attitude. The so-called “self-composers”—shadows of the universal musical geniuses of the past—gave way to highly specialized artists, among them countless “Wunderkinder.” Wieck stubbornly stood on the brakes, but with little effect.

A Master of Bel Canto

Perhaps the best way to appreciate Wieck is to emphasize the timeless qualities of his taste and influence. This is easier to discuss nowadays than it was a century ago. A letter from singer Livia Frege, née Gerhardt (1818–1891) to Clara (dated 12 December 1851, cited after Gerber 2016, 103) reports on the varying spirits at Wieck’s home that transcended the nervous fluctuations in trends and fashions at the time:

Among other things, the other day when I was sitting at my grand piano and Schubert’s song “Auf dem Wasser zu singen” [op. 72] was there in front of me, this melody evoked a memory from time gone by when we children were playing the song together and your father drew my attention to the beauty and lightness of your playing to make me understand how it should be sung. What a lot lies between this time of then and now.

Under Wieck’s guidance, a gifted singer could learn vocal skills from a piano player. The lightness of bel canto, which meant so much to

him, was already rare in the 1830s, but he did not stop fighting for the concept. Until the end of his life he taught according to the “method of chaste singing,” and he was enthusiastic about the vocalizes in Gaetano Donizetti’s newly found *Belisario* (1836), which seemed suitable for him as solmization exercises: “and most of all he would have liked to have called all his old pupils together to let them start all over again with the new *Belisario* vocalises” (Dorn 1875, 80 and 82).

From the outset, the themes of his essays reflect the “chaste” sound and aesthetics of controlled beauty of the human voice. The review of Frédéric Chopin’s Variations op. 2 on Mozart’s “Là ci darem la mano” (1831) was followed by a contribution on the “Handleiter” as an aid in piano studies, written for the first year of the *NZfM* founded by Schumann, and an “Offener Brief” on vocal training for the *Signale*. The fact that, contrary to an announcement, he did not publish in the *NZfM* straight after 1834—he did so only much later, in 1849 and 1850—is connected to the dispute with Robert over Clara.

Schumann’s contribution to the reception of Chopin is widely appreciated. However, he had severe and, with regard to his own profile, symptomatic difficulties in recognizing Chopin’s true greatness as a master of “inwardness” and of “interiority” as something “higher”—with “influence on the further education of our art in general” (Schumann 1982, 193–94; entitled “Kürzere Stücke für Pianoforte,” first published in the *NZfM* in November 1841). Wieck, on the other hand, wrote with remarkable precision about Chopin’s fame and perceptibility within the proper stylistic context. His contribution was based on his and Chopin’s common interest in *bel canto*, but as the better Chopin interpretation of the first hour it undeservedly went unnoticed.

It is not the way he writes, but what he writes (always with a pedagogical horizon that was rather foreign to Schumann) that legitimizes the reading. What was probably a sign of recognition, Chopin played at Wieck’s during his stay in Leipzig in September 1836 (see Schumann 1987, 25)—as well as in two other “salons,” especially with the Härtel family of Breitkopf & Härtel, known for their original and genuine Chopin editions. Wieck’s admiration for Chopin was based in his timeless aesthetic, which encouraged the reading Chopin as a fol-

lower of Bach and Bellini rather than as a brother-in-arms of Robert Schumann.

A Few Words on Schumann and Politics

In many other respects, Wieck was reminiscent of Schumann in his attitudes. Schumann published a prelude in 1834, which was stimulating far beyond the actual theme according to a review (without a heading) of Johann Wenzel Kalliwoda's orchestral overtures (Schumann 1982, 77: this was incorrectly dated 1836 and entitled "Kritische Umschau' über Ouvertüren," first published in the *NZfM* in May 1834):

The present is characterized by its parties. As in the political sphere, musical affiliation is divided among liberals, middlemen [Mittelmänner] and reactionaries, or romantics, modernists, and classicists. On the right sit the old, the counter-pointers, and the anti-chromatists, whereas on the left are the young, the Phrygian caps, despisers of form, and the cheeky geniuses among whom Beethoven's disciples stand out. Young and old sway from side to side in the *juste milieu*. This is where most contemporary products are understood, creatures of the moment, created and destroyed by it.

Kalliwoda belongs among the middlemen, the kind, the clever, and the ordinary at times. His symphonies are bolts of lightning that glide along Roman and Greek ruins simultaneously. Apart from that, as a Republican you have nothing to fear from him.

There is no space for the budding interest in early music in this grid because it was not "reactionary." Instead, the present is discussed as somehow differentiated from the near future. The "middlemen" ("Mittelmänner") category would probably also fit Wieck—not least because he had to mediate between the extremes of Eusebius and Florestan in Schumann's *Davidsbündler* universe in the form of *Master Raro* (the Rare and Extraordinary), which he did with quotations from Goethe et al. (Schumann 1982, 8–12). In the historical context, the term "middlemen" "Mittelmänner," or "*Juste-milieu*," should be understood

not as reflecting a one-sided polemic, coined by the radical thought leaders of the time, but rather with reference to Pierre-Alexandre-Laurent Forfait, Victor de Broglie, François Pierre Guillaume Guizot (Levot and Doneaud 1866, 191; Faguet 1891), and Eugène Delacroix (Boime 2004, 275 ff.). Schumann's benevolent use of the term points in this direction. In general, it is striking how moderately judgmental he was in his references to all "parties."

Wieck seemed to distance himself from the fashionable concept of the romantic—especially in a review he wrote in the spring of 1834 referring to the "newest, albeit not romantic style." Schumann probably regarded himself as a man with objective horizons and above the aesthetic and socio-political controversies of the day—or even multiform in the sense of his multiple alter egos. He was neither a "youth" nor of an "age," but he had good contacts with the "leading middle." He belonged to the "Juste-milieu," the bourgeois center of society, but as one of its intellectual, liberal-romantic spearheads. Of course, he did not represent aesthetic "half measures" or Karl Marx's "middle class," nor did he want to admit that his works were "ordinary" at times (not only "clever and friendly"). Of course, republicans and monarchists had little to fear from Schumann.

Wieck showed Beethoven so much respect that he would probably have liked Schumann's term "class" (with a view to the Latin origin of the word "classic"), even if he spoke ironically of the "classics"; he was not among them, and considered himself "modern" in his own way. Wieck met Beethoven in Vienna in 1826, but he had already had the opportunity to witness him on stage, when he played in Dresden in 1796. Clara, guided by her father, learned the third movement (Rondo) of his Piano Concerto No. 3 in C minor op. 37 as early as in 1829.

Wieck was a true contemporary of Goethe, whose notes on *Faust II* (1827) envisaged the reconciliation of the "classics" and the "romantics" (Goethe 1996, 455; Schmidt 2001, 254). Parts of *Faust II* were premiered in Weimar in October 1852. Goethe was certainly not a "contrapuntist." Neither was he a "Phrygian cap," such that Schumann would have been able to place him among the "modern" majority, close to everyday life and active in the synthetically "mixed" center of society.

When Schumann wrote about the “modern” his thinking was very similar to that of Goethe (*Faust II*, line 10176): “Bad and modern! Sardanapal!” The problem of the majority’s suitability and legitimation of unbridled morals connected with the (alleged) Assyrian king Sardanapal obviously coined Schumann’s concept of modernity, and Wieck understood it. No one wants to be a “creature of the moment, created and destroyed by it.” As Aristotle stated long ago (2011, 6): “Now, in choosing a life of fatted cattle, the many appear altogether slavish; but they attain a hearing, because many people in positions of authority experience passions like those of Sardanapallus.”

In an essay in the *Signale* of November 1848, which did not find its way into the later collection of essays entitled *Clavier und Gesang*, “Der Setzer” (typesetter) expresses itself in a footnote on the freedom of the press: “Dear Mr. Das, we typesetters are not parrots! Since we have freedom of the press [...], we no longer allow ourselves to be used for talking.” The press censorship to which the German Confederation had been subject since the Carlsbad Decrees (August 1819) was lifted in March 1848. The way in which the typesetter is involved here and elsewhere may surprise today’s reader, but such gestures were typical of the time. It is possible that behind the “Setzer” lies the “Redacteur” and publisher Bartholf Senff. Such masquerades were also common. Indeed, Wieck seems occasionally to have given himself a mask: for example, he quotes “letters to the editor” (Chapter 19), which he probably wrote himself. A similarly grotesque striving for anonymity was already visible in the moral weeklies of the eighteenth century.

The Century of Change

In general, Wieck achieved a balance between the extreme positions of his time. He stated that music should be seriously written, performed, and heard. He referred to his experience, his “instinct,” his “mediocre mind,” and the gift of “nature” in his desire to recognize everything that was “good and beautiful” and avoid the “untrue and ugly.” Thereby, he confessed to “common sense” and to authentic thinking in the style of Thomas Reid (*Essays on the Intellectual Powers of Man*,

1785), an enlightener who emphasized the unconscious in “common sense,” not the discursively legitimate, the seemingly instinctive or the natural (Henningesen 1970, 422). He might have known Reid, but he did not boast about it. He was similarly cautious about other authorities. He openly shunned the universe of learned “deductions,” as he called them, probably because he did not wish to irritate his musical readers by adopting an academic style.

Wieck’s polemics, with which he sought in particular to defend his idea of the art of singing (*bel canto*) against new currents, are more understandable against the background of change in aesthetic premises before 1850. As he wrote in Chapter 5 of *Clavier und Gesang*, for example: “This art of singing, which for centuries was the basis of all music, cannot easily be eliminated.” This is not only about *bel canto* in contrast to the “modern” treatment of “human voices” such as “clarinets, flutes, and bassoons,” it is also about the close relationship between vocal and instrumental music. He stood historically on lost ground. The physically strenuous, at least seemingly unidiomatic and not “clavier-like” standard program for pianists—beginning with Beethoven’s piano sonatas, which from op. 2 on (metaphorically speaking “orchestrally”) deal with material inherited from Joseph Haydn (as does the piano chamber music from op. 1 on)—occupies a much higher pedestal in concert life than Wieck’s favorites (even including Mendelssohn Bartholdy).

The upheavals in his lifetime concerned not only the philosophical and aesthetic environment, but also his professional environment. He was a private teacher, but there were many plans to establish bourgeois music schools, academies, and conservatories. Mendelssohn Bartholdy founded a music school in Leipzig in 1843, from which a world-leading conservatory evolved in the nineteenth century. Wieck, who had moved to the less enlightened and fairly conservative city of Dresden (with its heavy flavor of the Ancient regime) a few years earlier, observed these tendencies surprisingly calmly. This may have had something to do with the fact that Robert and Clara were temporarily active in the Leipzig Conservatory, and Clara later established herself as a conservatory professor. Wieck wrote a long essay on the “main examinations” of the Leipzig Conservatory in October 1844—which could have been the first

public critique of a student concert in a conservatory. The terminology for such events was not yet established. The term “Zögling-Concert” was used in 1818 in an advertisement the Gesellschaft der Musikfreunde in Vienna (cf. Hilmar 2003, Fig. 2).

Wieck’s general claim to seriousness is by no means outdated: curious devotion enlivens the imagination, creating feelings of happiness and profound serenity. In the same sense, but a little later, Friedrich Nietzsche concerned himself with seriousness, convinced of its importance in dealing with weighty but “cheerful” matters—or, in a critical context, with the “female flight from the seriousness and horror” of decadence, “this cowardly allowing oneself to be satisfied with comfortable enjoyment” (Nietzsche 1953, 72). Thus, Wieck’s essays are suitable reading for anyone who needs to know in which discourse Nietzsche began to analyze “the grandiose Greek problem” (“Griechenproblem”), the “Dionysian basis of the German spirit” and Wagner. Nietzsche’s later renunciation of Wagner meant a move toward Wieck’s premises, albeit in a new cultural and music-historical context. Wagner and the “German spirit” had rather negative connotations in Wieck’s mind space.

Nietzsche’s concept of the Dionysian and the Apollonian, as well as his criticism of the “Socratic” and “Alexandrian” culture of the “theoretical human being” in favor of the “artistic” and the “Hellenic” could pave the way to a better understanding of Wieck (Nietzsche 1953, 110 f.). This does not presuppose a hypothesis of direct influence, but rather goes back to the common roots in the history of ideas and a comparable tendency to “unscientificness” in humanist scholarship. Common to both is an artistically motivated style of writing, passionate in its interest in the “general” and partly provocative, partly talkative at the expense of clarity: nowadays one would refer to both authorities as pioneers of artistic research. Nietzsche and Wieck were eccentrics, border-crossers and seekers of synthesis behind the extreme positions of their time. They ignored the extremes and sought a solution that truly corresponded with their convictions—and did not foresee the political topography of decades to come. The discussion of “Hellenic” in Nietzsche’s treatise could be associated with Wieck’s aesthetic and

moral positions. Common to both is the great danger of being simplified and thus misread: Nietzsche as a Wagner enthusiast and Wieck as a reactionary. Neither deserves to be a cartoon figure: both belong to the group of intellectuals and professionals who made the nineteenth century such a challenge.

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The Concepts of Musical Form and Expression in Ernst Bloch's *Geist der Utopie* (1918/1923)

MATTI HUTTUNEN

So the beat is actually and fortuitously full of objective-metapsychic reflections and correlations (Bloch 2000, 129)

Problems concerning its expressive nature constitute one of the major questions currently being addressed in music philosophy. Music—like art in general—is not a living creature, but it is capable of expressing emotions. This problem is dealt with in Anglo-American literature in particular, in which the expressive nature of music, together with the ontology of a musical work, are considered mainstream issues in the philosophy of music.

The aim in this chapter is to analyze the concepts of musical form and expression in Ernst Bloch's work from his youth *Geist der Utopie* (1918/1923),¹ which contains an extensive section on the philosophy of music. Even if Bloch belongs to the canon of 20th-century German philosophy, his ideas on music have not been analyzed exhaustively in the literature on musicology, particularly in works written in the English language. Among the 20th-century representatives of classic German philosophy, only Theodor W. Adorno has more extensive output on the

1 As my main source I use the 1964 version of the second revised edition (1923) of *Geist der Utopie* (Bloch 1977 [1964]). For the present purpose I use Anthony A. Nassar's English translation, entitled *The Spirit of Utopia* (Bloch 2000), which is based on the second edition. The section on music philosophy in *Geist der Utopie* also appears in English in Bloch: *Essays in the Philosophy of Music* (1985).

philosophy of music (Münster 1982, 147). Moreover, much of the secondary literature analyzes Bloch's ideas without going more deeply into music, which in some cases is hardly mentioned at all.

I proceed in this chapter as follows. First I describe some of the basic concepts and ideas that characterize Bloch's philosophical project, and then I analyze the connection between musical form and expression in *Geist der Utopie*. The third section deals with the roles of musical form and expression in Bloch's philosophy of history, and in the final section I consider the psychological and sociological importance of musical form and expression in his thought. Throughout his work, Bloch emphasized the essentially expressive nature of music. His philosophy is loaded with social and sociological ideas, from which one could assume that there is a significant link between form and expression in music and in its social relevance. In the words of Ruth Levitas (2013, 221), Bloch "argues that it [music] is the most socially conditioned of all arts."

There are many significant and interesting aspects of both the theory of musical expression and Bloch's philosophy of music that I have to leave aside in this short essay. I will not go deeply into the basic distinction between musical expression and representation, for example. Most of Bloch's argumentation concentrates on what could be regarded as expression, but he occasionally refers to program music and musical representation.² I refer only briefly to his well-known ideas about the "non-synchronicity" [*Ungleichzeitigkeit*] of certain musical and cultural phenomena (see Korstvedt 2010, 44, for instance). The same applies to his fascinating notion of time in music. Nor do I attempt to elucidate some of the esoteric terms he used in connection with music, such as the concept of "rhythmic tonic," or the "counterpoint" of successive themes in the sonata form. These concepts would hardly satisfy a critical music theorist, but they could reveal some underlying traits in Ludwig van Beethoven's music, for instance.³ I do not follow Bloch's

2 In *Geist der Utopie*, Bloch (2000, 110) harshly criticizes program-music interpretations of the works of Beethoven.

3 In Bloch's words: "The rhythmic tonic is superior to any harmony precisely in Beethoven; it relieves it of its duties, and with the progressive demolition of tonality it is ever more

life or his career, which started during his youth in Germany and continued in the US, the German Democratic Republic, and finally, just before the erecting of the Berlin Wall, to West Germany. Likewise, I do not comment on his reactions to the political events and questions of his time, including his political ideas concerning the Soviet Union and his non-conformist attitude towards official academic research in the German Democratic Republic, for instance.

I hope my contribution will bring some new ideas to questions concerning musical form, the expressive nature of music and its social significance, as well as to the discussion on Bloch as a philosopher. My aim is to interpret Bloch's ideas primarily in the context of musicology and music theory, and to find some kind of systematic structure that is more or less hidden in the esoteric language of *Geist der Utopie*.

My main thesis is that Bloch's philosophy, especially with regard to music, is not one-sidedly and thoroughly irrational in nature. I argue that it contains certain traits that connect his thought to music theory, thereby providing a solid and even rational basis for his reflections on music and art, and their social nature. The claim that Bloch overlooked musical form and technique, putting his energy almost exclusively into the analysis of free musical expression, is a biased (and a typical) conclusion about his philosophy of music.

Concepts, Cases, and Starting Points

Orientation to the future is the starting point of Bloch's philosophical project. Virtually all of his thinking on this stems from his interest in the future orientation of history, science, culture, and even nature, the central concepts in his philosophy being "utopia", "hope," and "not-yet-conscious." These notions are present in *Geist der Utopie*, and they are further analyzed and clarified in his later works. This applies in particular to his *magnum opus* entitled *Das Prinzip Hoffnung* (1959 [1954–55]), which introduces certain new concepts and elements into Bloch's

destined for victory [...]" (Bloch 2000, 128).

philosophy (such as “utopian function” and “militant optimism”). It also analyzes the utopian nature of almost all phenomena of human life, from classical theories of the ideal society to works of art and even the philosophical significance of certain drugs that were used in Bloch’s days.

Bloch acquired influences from many different sources—his philosophy could be called eclectic in the positive sense of the word. In the main he leaned on the classical tradition of German philosophy, especially Leibniz, Schelling, Hegel, and Marx. His epistemological reflections on the relationship between subject and object could be seen as a legacy of German idealism. They reflect not only the Hegelian question concerning the relationship between “identical” and “non-identical,” but also Schelling’s early identity philosophy, the aim of which was to show the exceptionally close relationship between the subject and the object, which become one in the “Absolute.” Bloch similarly thought that there was an intimate, albeit dialectical, connection between the subject and the object, which applied not only to the realm of culture but also to the relationship between the human being and nature. Bloch’s work has been referred to pejoratively as “identity philosophy”—a criticism that disregards the wide interest in Schelling’s philosophy during the past two or three decades (for an early example of this, see Rang 2000). Bloch also frequently cites early Romantic German literature (Goethe, Jean Paul, Novalis, and others), although he sometimes refers to more recent theories and literature—the work of Bertolt Brecht being an example (Bloch 1959, 479–85).

Bloch’s relationship with Marxism has been the subject of debate in the secondary literature. He is frequently labelled a “Marxist” philosopher, although this view has also been questioned: it has even been claimed that he “has nothing in common with Marx” (see Horster 1980, 24–25). Orthodox Marxists may well call Bloch a “revisionist.” His attitude to Marx changed during his career, from the last section (“Karl Marx, Death, and the Apocalypse”) of the romantic and expressionist *Geist der Utopie* to the much more consciously Marxist tone of *Das Prinzip Hoffnung*. Bloch refers here and there to Marx (and occasionally to Engels and Lenin in *Das Prinzip Hoffnung*), but he interprets Marx’

ideas liberally, referring to texts such as *Die Deutsche Ideologie* or *Thesen über Feuerbach* rather than *Das Kapital*. In *Das Prinzip Hoffnung*, he refers to the “cold” and “warm” currents of Marxism that enhance understanding of the different philosophical meanings of “possibility” (Bloch 1959, 235–42).

It was Bloch's desire to create a human version of Marxism, which in its original form focused on the economic aspects of society. In *Geist der Utopie* he describes Marx's distinction between the “base” and the “superstructure” as a “critique of pure reason,” which he considered a simplified starting point for analyzing the human aspects of society (Bloch 2000, 244). In his view, the critique of ideology was an immensely important aspect of Marxism, even if it addressed nature and the natural sciences (Schmidt 1985, 118). Bloch's relationship with Marxism is further complicated by his open encounters with the Bible, Christian theology, and Jewish mysticism. Such encounters are evident in the above-mentioned last section of *Geist der Utopie*, as well as in the way he analyzes Augustin's conception of society in the section on social utopias in *Das Prinzip Hoffnung* (Bloch 1959, 582–90).

Of the more contemporary streams of thought, Bloch was connected not only to Marxism but also to psychology, philosophical irrationalism, and Existentialist philosophy. As he states in *Geist der Utopie*, the starting point of utopian philosophy is “the shape of the inconstruable question.” This is evident proof of the link between Bloch and philosophical irrationalism: the “question” is a paradox with a clear irrationalist tone in that nothing that is inconstruable can have a shape. Despite all the differences, there is a clear connection between Bloch and certain early-20th-century representatives of philosophical irrationalism, including Henri Bergson. Early-20th-century irrationalism arose as a phenomenon simultaneously with Expressionism. Indeed, as Tibor Kneif (1965, 289–90) points out, expressionism was the key presupposition in Bloch's utopian philosophy (this is discussed in more detail in the section on Bloch's historical account of musical forms).

The “not-yet-conscious” is a key to Bloch's psychological convictions. He seemed to accept certain particular aspects of psychoanalysis, but his criticism of the psychoanalytic approach with its focus on the

“no-more-conscious” is generally harsh. It was his view that hunger, rather than the sexual urge, was the fundamental force that enabled one to proceed to utopian thinking. Daydreams and the not-yet-conscious traits of art works and other products of human culture replace Freudian analyses of dreams, with all their sexual and suppressed content. The suppression of utopian dreams differs strongly from the psychoanalytic conception of suppression in that it derives from the immature nature of the capitalist society.

According to Bloch, the “not-yet-conscious” arises from the “darkness of the lived moment.” Here is a link to Existentialism, with its tendency to emphasize immediate radical actions and decisions. Certain Existentialist philosophers such as Karl Jaspers had a tendency toward irrationalism (in his case also toward psychology and psychiatry), hence there was common ground for interplay between Bloch’s work and several contemporary trends in philosophy.

Bloch refers repeatedly to “concrete utopia,” but he avoids giving any detailed societal guidelines for arriving at the final utopian state. Utopian philosophy is neither a prophecy, nor a plan (see e.g., Tüns 1981, 67–75). Nor is it a utopian model of society (in the manner of Thomas More) or a society that could be construed on the basis of an initial, indifferent state (such as the state model of Thomas Rawls). On the contrary, utopia should have a strong connection to reality, which Marxist dialectical materialism could secure.

Expression as a Function of Musical Form

The style of *Geist der Utopie* is emotional, almost ecstatic, and at the same time heavy and esoteric. Jaspers’s words, “musical philosophers lack philosophical music” apply *par excellence* to Bloch’s book (as they do, at least in part, to Schopenhauer, Nietzsche, and Adorno). The text is full of metaphors, some of which are, to say the least, obscure and difficult to translate into English. *Das Prinzip Hoffnung*, in turn, is much more systematic and much less difficult in style, but it presupposes a wide knowledge of classical German literature and philosophy as well familiarity with an extensive range of Western cultural history.

Musical form was a central concept for Bloch. However, as has often been observed, the word “form” has more than one meaning in connection to music. This is elucidated in a comparison of two authors with very different conceptions of the term: Eduard Hanslick and Hugo Riemann.

Hanslick, who is usually labeled a “formalist,” leaned on the philosophical conception of form, with its acquired influences from the philosophical ideas of Immanuel Kant and G. W. F. Hegel. In Hanslick’s view, form was not only an expression of *Geist*, it was in itself *Geist* and not representative of something outside it. This is the reason why form may be content that self-realizes in tone material. (Dahlhaus 1967, 79–80) All emotional and other influences that come from outside the work are superfluous: “tonally moving forms” are the only legitimate content of music. It is worth noting here that the epithet “formalist” is not without its problems: Hanslick has been classified as formalist, as have various aestheticians such as Kant, Roger Fry, and Igor Stravinsky. It is practically impossible to find a strong common denominator for all these thinkers.

Hugo Riemann, one of the greatest musicologists of all time and an opponent of Hanslick, understood form (such as the sonata form) as a music-theoretical phenomenon. His starting point was the German tradition of *Formenlehre*, which stemmed from the work of early-19th-century theorist A. B. Marx and his textbook models of musical forms including the lied, the rondo, and the sonata. The approach could be described as “form-theoretical realism” in the ontological sense: theorists in this school are interested in codifying formal types as kinds of Platonic ideas, in contrast to “form-theoretical nominalism” which, as it were, sees musical forms as labels that could be attached to particular works of music.

What is important here is that the music-theoretical conception of form as represented by A. B. Marx and Riemann excludes neither emotional attitudes to music nor philosophical speculation concerning the development of music and its forms. A. B. Marx believed that formal types, which according to his theory evolved from the lied form to the sonata form, were manifestations of the Hegelian *Geist*. Riemann, in

turn, was a devoted proponent of the aesthetics of emotion. In his book *Die Elemente der Musikalischen Aesthetik* (1900)—typically for him—he starts with the smallest elements of music and at the end he addresses issues such as aesthetic “imitation,” “contrast” (or “conflict”), and “characteristics and tone painting.”

Form in Hanslick’s conception of music was the contrast of emotional influences and other outer-musical factors, whereas Marx and Riemann considered musical form a necessary counterpart of the philosophy of history and the emotional nature of music.

For Bloch, in turn, music was an exceptionally expressive form of art. There are strong references to Albert Schweitzer’s book (1905/1908⁴) on J. S. Bach, and to its emotional interpretations of Bach’s compositions, in *Das Prinzip Hoffnung*, for example. Schweitzer’s book is clearly one of the most widely read treatises on Bach, but Bloch could have used some later source when he wrote his main work: instead, he stayed in the emotional world of Schweitzer and his tendency to find different kinds of symbolism in Bach’s oeuvre.

Much of the music-philosophical section of *Geist der Utopie* is about musical forms, and it is evident that, despite his philosophical interests, Bloch understood musical form in the music-theoretical sense of the word. When referring to “form” he seems to have had in mind that of the fugue or the sonata. He also uses the word in connection with dramatic counterpoint, for instance: many theorists would call counterpoint a technique or a structure, not a form. Bloch refers to a number of musicologists and music theoreticians of his age, mentioning Riemann and “the fundamental works” of Hauptmann from earlier literature (apparently primarily *Die Natur der Harmonik und Metrik*, 1853) (Bloch 2000, 95).

Basically, it seems that Bloch’s conception of the different musical forms follows conventional text-book models. For example, he saw Haydn’s sonata forms following the traditional view of musical themes as the essential formal elements (“the bithematic form was not actually

4 The book appeared first in French, in 1905. An extended German edition was published by Schweitzer in 1908.

invented by Haydn"; Bloch 2000, 60). It is understood nowadays that Classical formal thinking is based much more strongly on tonal play than on the dramatic relationship with thematic dualism.

Bloch was not a professional musicologist, but it would be unfair to accuse him of having a one-sided amateurish or stereotypical conception of music-theoretical phenomena. His innovative attitude focused strongly on the relationship between form and expression. There is an inherent dramaturgy in music theoretical forms—especially the sonata—the result of which is the essential expressive quality of a work of music.

To shed further light on Bloch's idea of musical expression, let us consider one of his sources, namely Paul Bekker's Beethoven monograph (1913) to which he refers repeatedly.⁵ Bloch does not analyze Bekker's book in detail, but a closer look at Bekker's text reveals a striking similarity between their ideas. Bekker, like Schweitzer, had an emotional picture of his hero. The book consists of two extensive sections, the first one is biographical ("Beethoven der Mensch"), and the second one is dedicated to Beethoven's works ("Beethoven der Tondichter"), which are dealt with according to musical genre. Both sections emphasize the emotional and poetic nature of the works: this becomes very clear from the first chapter of the second section, which deals with the "poetic idea." Bekker does not present typical text-book analyses of Beethoven's works (in the manner of A. B. Marx), but rather describes them freely, evidently attempting to capture the unique expressive character of each of the masterpieces. The section on "the poetic idea" makes a crucial point that helps to explain Bloch's attitude to musical expression: according to Bekker (1913, 96), "the sonata is the form of instrumental drama" ("Die Sonate ist die Form des instrumentalen Dramas"). In other words, the sonata contains certain inherent dramatic traits from which the musical expression stems. It is not possible in the present context to posit any hypotheses about the concrete influence that Bekker had on Bloch, but the similarity of ideas

5 Benjamin M. Korstvedt points out a connection between *Geist der Utopie* and Bekker's book *Die Sinfonie von Beethoven bis Mahler* (1918).

makes it easier to understand Bloch's conception of form and expression: Bekker's text could be seen as a "context of meaning" (Quentin Skinner), which elucidates Bloch's view of Beethoven in particular, and of musical expression in general.

To mention only one testimony of this, I cite a sentence from the section entitled "Beethoven, His Form, His Object and the Spirit of the Sonata" (here Bloch connects Beethoven's piano sonatas to his symphonies):

But all this germinates out of something other than the theme; it derives from less of from more, from the ebb and flow of the excitement, from wavering and hesitating, subsiding, waning, doubting, embarking and the new, dynamic, expressive means of an affect wildly hurling itself, unreservedly abandoning itself, singing out, venturing out, its illumination and the worldly spectacle of its development (Bloch 2000, 64).

Bloch's conception of musical expression is a strong example of the fact that form as a music-theoretical phenomenon is fully compatible with the idea that music is an expressive art. A noteworthy point is that Bloch links musical expression to the essential dramaturgy of traditional musical forms—the sonata form in certain works of Beethoven being the model that demonstrates this idea at its purest. In short: expression is a function of the inherent dramatic traits of a music-theoretical form.

Form and Expression in Bloch's Philosophy of History

The preceding analysis does not give a comprehensive picture of Bloch's conception of form and expression, there being another dimension: the historical evolution of music. It is to this aspect that I now turn.

Bloch's interest in the details of music history was restricted, and his assessment of certain periods and composers is conspicuously negative. To take an example, he belittles the music of the Middle Ages and the Renaissance because of its lack of strong expression (Bloch 2000,

35–37). Here again is evidence of his tendency to emphasize music that could be considered expressive. Medieval and Renaissance music lacks the expression that is typical of later stages in music history, and thus it attracts diminutive comments in *Geist der Utopie*.

Bloch's arrogant way of dealing with historical phenomena should be understood in the light of his approach, which—in the words of Arthur C. Danto (1985)—belongs to the “substantial philosophy of history.” Unlike the analytical philosophy of history, which deals with historical knowledge and explanations, and the language used by historians, the substantive approach takes history “itself” as the object of philosophical investigation. Well-known examples of this approach include the works of Hegel and Marx, which in both cases contain an eschatology of history (freedom vs. communism). It is not uncommon in the substantial philosophy of history to evaluate historical persons and phenomena harshly and arrogantly, and some of Bloch's comments attest to this. Some scholars in the philosophy of history refer to the approach as “speculative” in that it provides models of thought rather than testable facts that “ordinary” historical methods could verify or falsify.

In *Geist der Utopie* Bloch distinguishes three stages in the history of music, using the German word *Teppich* (carpet)—a concept he claims to have acquired from Georg Lukács. As Benjamin M. Korstvedt shows in his book *Listening for Utopia in Ernst Bloch's Musical Philosophy* (2010, 5–19), there is more to the background of the concept of *Teppich* than Lukács, with whom Bloch had a very complex relationship throughout his life.

Bloch defines the three “carpets” as follows (Bloch 2000, 46–47):

1. “The *first* includes the endless singing-to-oneself, dance and finally chamber music, the last having declined from something higher, become a carpet in large part inauthentically.”
2. “The *second* takes a longer approach: it is the self-enclosed *Lied*, Mozart or the *Spieloper*, which their brief secular excitation, the oratorio, Bach or the *Passions*, with their brief spiritual excitation, and above all the fugue, from which its purely architectonic, undramatic counterpoint decisively distinguishes it, however.”

3. “[...] the third schema, event-form, [...] the turmoil of the heavy, more chaotic, dynamically symbolic opera, the great choral work, and Beethoven-Bruckner of the symphony [...].”

Later on, Bloch also included “Open Song”, as well as “event form” and “dramatic form” in the third schema.

As Carl Dahlhaus (1988 [1972], 492) points out, these schemas are dialectically connected. For instance, the Shepherd’s Song in *Tristan* belongs to “singing-to-oneself,” and the fugue themes of J. S. Bach precede Richard Wagner’s endless melody.

Hence, “open song” (or open lied), “dramatic form,” and “event form” are placed in the last of these stages, which sharpens the nature of expression as a result of form. However, this is not all there is to be said about the development of forms, which the concept of “open song” makes evident.

There is nothing new or innovative in the notion of “open song.” On the contrary, it is—and certainly was in Bloch’s day—a commonplace in music history that the genre of “*Durchkomponierung*” (through-composing) complemented the conventional “lied form” (codified by A. B. Marx) and strophic song, even in the works of Franz Schubert and Carl Loewe. This is probably one example of the “non-synchronicity” of music historical phenomena: “open song” is assigned to the third and last “carpet” despite its early-19th-century presence in the work of Schubert, for instance. At the same time, the third carpet contains “dramatic form” and “event form,” both of which sharpen the expressive quality of music.

Let us now take a step further in this interpretation of Bloch, and consider the dialectical nature of the relationship between form and expression. Basically (or “systematically”), expression is a function of musical form and its inherent drama, as in Bloch’s descriptions of Beethoven’s works, for instance. However, the evolution of music (as in Bloch’s philosophy of history) is colored by the increase in expression, which finally—as the case of the “open song” shows—leads to the disappearance of musical forms. In my view, Bloch’s philosophy of history assigns to expression, which is dependent on musical form, the final

responsibility for destroying the very same world of traditional music-theoretical forms.

Throughout *Geist der Utopie*, Bloch shows little interest in changing or challenging the traditional canon of Western music. Instead, he writes almost exclusively about the so-called “great” composers. However, his ideas were unusual: composers such as Bach, Beethoven, Wagner, and Bruckner were eccentric personalities, who had almost nothing in common with their immediate age or surroundings. He proved this through his conception of “non-synchronicity,” citing Bach’s similarity to Gothic art and Beethoven’s affinity with the Baroque period.

Wagner has a special role in Bloch’s philosophy. As Dahlhaus (1988 [1972]) points out, Bloch’s philosophy of music is largely a philosophy of Wagner: he favors the “transcendental” operas (*Tristan und Isolde* and *Parsifal*) over the “event operas” such as the *Ring* tetralogy. Nevertheless, he rated Bruckner over Wagner. It becomes evident that Bloch admired highly dramatic music, and alongside Wagner’s work, Bruckner’s symphonies fulfilled the ideal of “dramatic” form, in which expression captivates conventional forms of music. One of Bloch’s sources was August Halm and his dialectical theory of the “two cultures of music”, which culminate in Bruckner whose music is a dialectical synthesis of Bach’s fugues and Beethoven’s sonatas.

Many commentators on Bloch’s philosophy connect him to musical Expressionism, which blossomed as he was writing *Geist der Utopie*. He mentions Expressionism here and there, but he does not give any concrete examples. He refers to Schoenberg the theoretician in *Geist der Utopie*, but not to Schoenberg the composer. Nevertheless, as Tibor Kneif (1965, 289–90) points out, the basic tone of and ideas expressed in *Geist der Utopie* stem from the Expressionist movement. Bloch discusses the philosophy of Schopenhauer extensively, but there were essential differences between the Romantic idea of music and Bloch’s philosophy. The Romantics saw music as fantasy that was based on the activity of the musical genius, whereas Bloch believed that Expressionism would finally allow music to free itself from the bonds of musical form.

Expression, Utopia, and the Social Relevance of Music

Bloch's approach to music comprises a complex whole in which specifically musical ideas are combined with the occasionally esoteric concepts of his utopian philosophy. Both Bloch and Adorno sought the social and sociological nature of music within the work itself. Their approach could be contrasted with the other major trend in the sociology of music that focuses on the role of music in societal structures, often and especially in German musicology, and concerns musical genres and their social "place" and "tone."

According to Adorno, the social nature of music is to be found in the material—understood not as a phenomenon of nature, but as the historically and sociologically evolving fundament of music. In one of his leading treatises on music, *Philosophie der neuen Musik* (1975 [1949]), he refers to the "tendency of material," the ideal manifestation of which was in the "free atonal" phase. Not all music was equally relevant as far as Adorno was concerned—Wagner, Sibelius, and Stravinsky being well-known examples of "wrong" or outdated musical material. Accordingly, program music reflecting attempts to describe social circumstances in a superficial way such that the compositional work is tied to superficial social representation is bound to be irrelevant or distorted. This is yet another example of the substantial philosophy of history and its arrogant relationship with particular historical phenomena. Adorno, who read *Geist der Utopie* in his youth, acquired some of his most fundamental ideas from Bloch, most notably the conception of musical work as a non-identical and non-conceptual entity (Boldyrev 2014, 170).

The significant contrast with both Hanslick and Riemann is now clear. The counterpart of Hanslick's conception of form was a philosophically understood expression, the aesthetic relevance of which Hanslick decisively refuted. Riemann, for his part, coined the tradition of *Formenlehre* with its aesthetics of emotion. This was some kind of continuation or complement of music theory, implicitly acknowledging the pedagogical conviction that it starts from the smallest elements of music and ends in questioning its emotional and expressive content.

Bloch's philosophy is a curious combination of all three of Dahlhaus's music-theoretical categories (regulative, speculative, and analytical), but it is not without certain amateurish traits. In any case, he was interested in using theoretical terminology and talking about "music theory," sometimes in terms that remain more or less cloudy ("philosophical theory of music," for instance). If one were to seek a contrast to both Hanslick's and Riemann's approaches and conceptions of form and expression, one could characterize Bloch's ideal as animated and non-suppressed expression. Not by chance, a standard German textbook of music history, *Europäische Musik in Schlaglichtern* (1990), characterizes the emotionally free music of the 1970s with the heading "Das Prinzip Bloch."

One of Bloch's fundamental ideas—and ideals—was the authenticity of art. Art should contribute to *Selbstbegegnung* and the homecoming of a human being, thus connecting his philosophy to the ideal of human self-knowledge. Music, being the essence of utopian art as well as its purest expression, is accordingly a medium of non-ideological social information that emerges from the existential "darkness of the lived moment." The connection of music with both the irrational and rational dimensions of human existence is clear. The "darkness of the lived moment" implies an irrational, virtually non-verbal source of utopia and *Selbstbegegnung*. However, this irrationality is dialectically bound to musical forms, understood simultaneously as music theoretical and dramatic entities.

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The Liturgical Music of Oskar Merikanto Revisited in the Context of the 1913 Orders of Worship

PETER PEITSALO

Introduction

The DocMus Doctoral School and the Department of Church Music at the Sibelius Academy arranged an international conference in Helsinki in January 2016, entitled *Liturgical Organ Music and Liturgical Organ Playing in the Long Nineteenth Century*.¹ The program included a reconstruction of a divine service from 1916 with music by Oskar Merikanto (1868–1924) and Richard Faltin (1835–1918), two leading figures in Finnish church music around the turn of the twentieth century. The service was held in St. John’s Church, where the composer Merikanto, also known as a pedagogue, pianist, conductor, and music critic, had served as an organist. This article focuses on material related to the reconstructed service: Merikanto’s sheet music edition *Suomalainen ja ruotsalainen messu uuden kirkkokäsikirjan mukaan* (The Finnish and Swedish Mass According to the New Service Book), also published under the Swedish title *Svenska och finska mässan enligt den nya kyrkohandboken* (Merikanto 1916a, 1916b), and his compositions and arrangements for organ that were intended for liturgical use. The first-mentioned edition consists of the musical settings of liturgical texts for minister, congregation, choir, and organ according to the orders of worship in

¹ The abstracts (*Liturgical Organ Music 2016*) and the proceedings (Peitsalo, Jullander, and Kuikka 2018) are available online.

the 1913 service book of the Evangelical Lutheran Church of Finland.²

The aim of the study is to clarify the relationship between Oskar Merikanto's liturgical music and contemporary liturgical practices, the point of reference being the 1913 service book and its instructions on the musical realization of the liturgy. First, I set Merikanto's liturgical music in its historical context. What opportunities did the 1913 orders of worship offer for the renewal of liturgical music in the Evangelical Lutheran Church of Finland, and what kind of views were expressed in the contemporary discussion on the nature of this music? Second, I consider the relationship between the context and the compositions under study. How did Merikanto make use of previously published material in his mass? What was his own contribution to it? What inspiration did he get from his travels abroad? What was his contribution to liturgical organ music? Third, I discuss the historical significance of the music in question. Why was Merikanto's edition of liturgical melodies not officially approved? Was he a conservative or an innovator in the field of liturgical music?

The source material consists of the printed scores of the compositions under study, Oskar Merikanto's own writings and textbooks, service books, and contemporaneous Finnish journal and newspaper articles about liturgical music. As expressions of human action, musical works are embedded in different cultural practices. The purpose here is to understand the characteristics and functions of the compositions in question from the perspective of liturgical and music history. The art work also illuminates the context, which is not given but shaped by the researcher's prejudice and selection of data. The context is consequently a construction and a result of the research (Tomlinson 1984, 351, 357; Hyrkkänen 2002, 225).

Previous studies on Merikanto's liturgical music include the contributions of Erkki Tuppurainen, Jan Lehtola, and Anna Maria

2 As a national church, the Evangelical Lutheran Church of Finland has members from both the Finnish-speaking majority and the Swedish-speaking minority. Consequently, service books and hymnals are published in both languages. These books are approved by the highest decision-making body in the Church, known as the General Synod.

Böckerman. Tuppurainen (1994, 2011) investigated Merikanto's activities as an organist and his writings about liturgical music. Lehtola focused on the organ works and their performance, and in a recent article (Lehtola 2018) he discusses Merikanto's role as a developer of liturgical organ music on the basis of two printed collections: *100 koraali-alkusoitto* (100 Chorale Preludes), op. 59, and *Kolme lähtökappaletta* (Three Postludes), op. 88, with an emphasis on stylistic and performance-related aspects. Merikanto's liturgical melodies are the subject of an article by Böckerman (2011), who presents the 1913 order of the main service but does not discuss the instructions concerning the music. Her description of the content of Merikanto's collection concentrates on the preface and the role of the choir in the performance of the liturgical melodies. However, she does not take into consideration the fact that a significant number of the melodies and their harmonization stem from previously published material compiled by Johan August Gottlieb Hymander (1831–1896), cantor of St. Nicholas Church in Helsinki.

Before turning to Merikanto's music for worship services and the liturgical prerequisites I should clarify some key concepts. The service book or manual of the Evangelical Lutheran Church of Finland, *kirkkokäsikirja* in Finnish and *kyrkoandbok* in Swedish, includes orders of worship and agendas for occasional services and other sacred rites. During Merikanto's time the service book did not contain music related to the liturgical texts that were intended to be sung by the minister and the congregation. These parts were called "mass" or "masses," *messu* or *messut* in Finnish and *mässa* or *mässorna* in Swedish, and they were available in separate, unofficial editions of sheet music. The word "mass" thus had a different meaning than nowadays, when it signifies a communion service (cf. *Palvelkaa Herraä iloiten* 2009, 1).

The 1913 Orders of Worship as a Path to the Renewal of Liturgical Music in Finland

The turn of the twentieth century was characterized by an increase in the number of church choirs and organs within the Evangelical Lutheran Church of Finland. A tradition had emerged during the nine-

teenth century to sing the choral piece *Hosianna, Davids son* (ca. 1795) by Georg Joseph Vogler at the service on the first Sunday of Advent. This anthem was published with a text in Finnish in 1871, and since 1897 it has been attached to the chorale book edited by the hymnologist and Bishop Otto Immanuel Colliander (1848–1924), together with Richard Faltin who at that time was employed as organist of St. Nicholas Church in Helsinki. The temporarily assembled Hosianna choirs provided an incentive to use church choirs on a more regular basis. Even hymns and other liturgical melodies were sung in parts in some parishes, as an alternative to or to complement the organ accompaniment (Pajamo 1991, 123–25; Pajamo and Tuppurainen 2004, 303–08; Vapaavuori 1997, 182–94).

There was a significant increase in the number of organs in Finland during the latter part of the nineteenth century. Early in the century, or at the end of the Swedish era, about thirty organs were to be found in churches situated in coastal regions, but there had been a tenfold increase by the end of it (Pelto 1994, 20; 2014, 51–52, 84). The expansion took place as new Lutheran church buildings were erected, especially in the inner parts of Finland, which was an autonomous Grand Duchy within the Russian Empire from 1809 to 1917. New churches were built due to the destruction of existing ones during the Finnish War of 1808–09, territorial expansion, and population growth (Lukkarinen 1989, 339). Consequently, there was an emerging market for domestically made organs, printed chorale books, and sheet music editions of organ music (Peitsalo 2018, 250–55). The purpose of the organ accompaniment was to unify the congregational singing, which was described as heterogenous in contemporary newspapers and at convocations (Vapaavuori 1997, 89–106). By around 1900 the organ had become a common inventory item in buildings of the Finnish Lutheran Church.

The 1913 service book took advantage of the expansion of choirs and organs described above and consolidated their position in the liturgy. An appendix to Church law from the same year stated that the church-

warden³ should be responsible for the church choir, where such could be maintained (Pajamo and Tuppurainen 2004, 306). Whereas the previous service book from 1886 mentioned only two liturgical subjects in the main service, the minister and the congregation, the 1913 service book added the choir and the organ (*Kyrko-Handbok* 1888; *Ewankeliumi- ja Rukouskirja* 1915). This addition opened up new opportunities for choral singing and organ playing in the liturgy. Let us take a closer look at two orders of worship in the 1913 service book in which the participation of the choir and the organ is explicitly mentioned: the main service, *päiväjumalanpalvelus* in Finnish and *högmässogudstjänst* in Swedish, and the so-called liturgical service, or *liturginen jumalanpalvelus* in Finnish and *liturgisk gudstjänst* in Swedish.

Inconsistent use of the term “mass” is evident in the Swedish-language edition of the 1913 service book, which refers to the main service as *högmässogudstjänst* (High Mass service), with or without communion. The Finnish-language version of the service book refers to *päiväjumalanpalvelus* (midday service) instead, which indicates the temporal placement of the main service in relation to the morning service (*aamu jumalanpalvelus*) and the evening service (*ehtoojumalanpalvelus*).

The 1913 order of the main service included an introduction, a liturgy of the Word, a liturgy of the Eucharist, and a conclusion, as does its current equivalent (*Palvelkaa Herraa iloiten* 2009, IV, 1–33). However, the liturgy of the Word culminated in the sermon instead of the Creed, which accentuated the subjective trait of the preaching. The liturgy of the pulpit provided a framework within which to emphasize the sermon.⁴ The fact that communion was celebrated more seldom than has been customary in recent decades strengthened the focus on the sermon (Nyman 1952, 92–93). According to the Church Law of 1869 (see

3 Because the precentor, *lukkari* in Finnish and *klockare* in Swedish, had extramusical duties, the term “churchwarden” is used here.

4 The liturgy of the pulpit consisted of an introduction, the second reading from the Scripture, a prayer, the celebration hymn, a concluding prayer, announcements, and the pulpit office conclusion. A prayer of intercession could also be included (*Ewankeliumi- ja Rukouskirja* 1915, 361–66, 372–75).

Lång 2015, 28–29), communion was to be celebrated only when members of the congregation specifically requested it (§ 59). The Lord’s Supper should nevertheless be received at least once a year (§ 64). Communicants should register with the vicar in advance (§ 60) and participate in a confession and absolution (*rippi* in Finnish, *skriftermål* in Swedish), which was often held the evening before the communion service (§ 61; *Ewankeliumi- ja Rukouskirja* 1915, 452).

The placement of certain parts in the 1913 order of the main service differed from current practice: Kyrie, nowadays sung after the absolution, was included in the confession of sins, whereas Agnus Dei, now placed before the communion, was sung at the distribution (*Ewankeliumi- ja Rukouskirja* 1915, 357, 368).

The order of the main service was based on the agenda in the 1886 service book, although the new order of worship varied more in the details. Some of these differences confirmed existing practices, whereas others contributed to the renewal of the liturgical music. The ringing of bells at the beginning of the service and abolishing the recitation of the Collect, the lessons, the Lord’s Prayer, and the Words of Institution belong to the former category. In fact, the minister was invited to read these parts in the mass edited by Johan August Gottlieb Hylander (1889, 1892).⁵ The minister and the congregation were still able to sing the versicles and responses, and the minister should also intonate the creed, if it was sung. A new element in the 1913 order was the introit on feast days (*johdantolauselma tahi johdantovuorolaulu* in Finnish, *inledningsspråket eller inledningsväxelsången* in Swedish), which consists of a short passage from the Scripture, read or sung by the minister, and a sung response by the congregation (and choir). As Sarelin (2013, 84) observes, this part of the liturgy was reminiscent of the *introitus*, that is, the psalm of the day.

5 Unlike the 1889 edition, the 1892 edition once again included melodies for the Collect, the Words of Institution, and the Lord’s Prayer, albeit with contradictory instructions *borde hálre* [sic] *läsas* (should rather be read) and *borde alltid läsas* (should always be read). This indicates that some ministers sang these parts before the publication of the 1913 service book.

The choir was subordinate to the congregation in the 1913 order of the main service. This corresponds to Friedrich Schleiermacher's (1850, 169) view of the choir as "der künstlerische Ausschluß aus der Gemeinde," in other words the musically trained part of the congregation.⁶ Vicar Emil Bernhard Holmsten (1917, 148) expressed the same view in Finland in his article "Högmässogudstjänstens musikaliska del" (The Musical Part of the Main Service), with reference to Swedish Bishop Uddo Lechard Ullman's book on liturgics (1874–85).⁷ The most important task of the choir was then to support the congregation in the singing of hymns and other liturgical melodies. This principle is expressed in the repeated instruction *seurakunta (ja kuoro) or församlingen (och kören)*, or congregation (and choir), in the 1913 order of the main service. It mentions independent choral singing only on feast days to replace the hymn preceding the creed, in other words the Gradual. This choral singing was limited to "worthy spiritual hymns, motets, and the like"⁸ (*Ewankeliumi- ja Rukouskirja* 1915, 359). The primary function of liturgical choral singing was accordingly to support the congregation in its *sacrificium*, in other words its invocation, thanksgiving, and confession. Independent choral singing underlined the solemn character of the feast day. Therefore, according to Ullman (1874–85, 2:179; see also Bexell 1987, 263–64), not only did liturgical choral singing have a sacrificial meaning, it could also enhance the devotion of members of the congregation in a sacramental manner.⁹

The organ is mentioned explicitly only in two places in the 1913 order of the main service. First, a soft organ accompaniment could be added to the sung creed if no choir was available, and second, organ

6 Verbatim "the artistic committee from the congregation."

7 Emil Bernhard Holmsten (1881–1926), vicar of the rural parish of Liljendal, together with Richard Faltin's successor John Sundberg (1891–1963), edited the Swedish-language version of the liturgical melodies, which the General Synod approved in 1923 (Sundberg and Holmsten 1926).

8 "Juhlapäiwinä woidaan tämän wirren sijasta käyttää arwokkaita hengellisiä hymnejä, motetteja y. m."

9 Concerning the conceptual pair *sacramentum* och *sacrificium* in the liturgical theology of Theodor Kliefoth, see Bexell 1987, 37–39.

playing could replace the versicle and response before the prayer of thanksgiving after communion. This organ playing was thus a continuation of the singing of the communion hymns. In addition, organ playing could introduce the evening service with communion (*erityinen rippi- ja ehtoollisjumalanpalvelus, särskild skriftermåls- och nattvards-gudstjänst*), and accompany the minister's movements to and from the altar during a service for children (*Ewankeliumi- ja Rukouskirja* 1915, 360, 369, 386, 389, 399). The eighth paragraph of the 1869 Church Law and the 1908 ordinance also allowed other instruments to be used in public worship (Lång 2015, 16), but the 1913 service book did not give any further instructions on this matter. It is clear from other sources that the organ was used in worship in a more versatile manner than the scanty instructions in the service book suggest. I will return to this in the following section.

An order for a liturgical service for solemn occasions was introduced in the 1913 service book. The liturgical service included an organ prelude, hymns, versicles and responses, readings from the Scripture, prayers, an oration, and choral singing. The agenda was criticized for lacking detail and not adhering to the agendas of the Reformation era. Because of this it was not used very widely, in spite of the fact that there was interest in musically rich worship services at the beginning of the century (Lehtonen 1925, 60; Cleve and Carlsson 1931, 20).

The Music of the Main Service at the Beginning of the Twentieth Century

As noted above, the 1913 service book did not include music for the sung parts of the liturgy. Ever since 1897, *Finska och svenska mässan* (The Finnish and Swedish Mass) by J. A. G. Hylander had been attached to new editions of Colliander and Faltin's chorale book, and thereby acquired a semi-official status. Hylander's collection was published in several editions during the latter part of the nineteenth century and was enlarged in 1892 with two compositions by Richard Faltin: *Hilarianska Lofsången* (Laudamus) for four-part mixed choir (1889) and *Välsignelsen* (The Benediction), a solo song with organ ac-

companiment (Hymander 1892). The chorale book was intended for both the Finnish and the Swedish hymnals, hence the mass melodies were also published in parallel in both languages (Colliander and Faltin 1903, vi). Competing proposals for liturgical melodies were published by the 1903 chorale committee and pastor Karl Wilhelm Eugén Wallén from Porvoo before the new service book was taken into use, but they were not used by congregations to any significant degree, according to Pajamo and Tuppurainen (2004, 227). An early-twentieth-century commentator expressed the opinion that the harmonization in the chorale committee's proposal was too difficult (*Kaiku* 10 August 1916).

The introduction of the 1913 service book placed church musicians in a difficult situation, given that no liturgical melodies that would be completely consistent with its regulations and wording were available. The problem was three-fold. First, the new service book included liturgical parts for which music had to be composed: the responsorial introits and the responses to certain prayers (the Collect on feast days, the general prayer, and the Lord's Prayer) belonged to this group. Second, linguistic revisions were made to the orders of worship, which did not conform with the wording of the older liturgical melodies (*Mikkelin Sanomat* 11 April 1916; Holmsten 1917, 143; Cleve and Carlson 1931, 17). Organist and musicologist Ilmari Krohn pointed to a third, language-related problem in his response to a questionnaire in the journal *Uusi Säveletär* (Kiertokysely 1916, 10): the former liturgical melodies did not take into account the correct word stress in the Finnish language. According to Krohn, this was because the Finnish-language versions were based on the Latin originals. It could be added that the parallel texts in Finnish and Swedish in Hymander's mass also compromise on word stress in both languages (see Hymander 1889; Colliander and Faltin 1903).

In anticipation of official liturgical melodies, prominent church musicians from different parts of the country made their own interim proposals. Tuppurainen (2011, 137) lists six such proposals released after the publication of the new service book: Martti Hela (Jyväskylä), Fredrik Isacsson (Turku), and Viljo Mikkola (Turku) in 1915; Hjalmar

Backman (Tampere), and Oskar Merikanto (Helsinki) in 1916; and Emil Sivori (Vyborg) in 1918. It would take until 1923 for the General Synod to approve the new liturgical melodies, divided into five series. An edition including their harmonization was prepared by Heikki Klemetti (1925).

From the minister's point of view, the second decade of the twentieth century was characterized by fidelity to the instructions in the service book (Dahla 1980, 23). At the same time, there was the problem of musical heterogeneity, which was caused by the absence of an officially approved collection of liturgical melodies and the use of several competing proposals. Emil Bernhard Holmsten (1917, 144) describes the situation as follows:

As it is now, there is a complete mess in our churches around the country in the matter of the liturgical melodies of the main service. Different masses are used in different congregations, different masses in different churches in the same city, different masses are even used in the same church, depending on the minister who celebrates the liturgy.¹⁰

The 1913 service book does not give a comprehensive picture of worship music in congregations in which a choir or an organ was available. Articles, sheet music, and pedagogical material testify to the more extensive use of choral singing and organ playing than is evident from the service book. Emil Bernhard Holmsten's article, quoted above, describes the situation when Merikanto's collection of liturgical melodies was published. Holmsten (1917, 139) divides the music of the main service into three categories: "organ playing, liturgical singing or mass, and congregational singing."¹¹ He does not consider instruments other than the organ. He further uses the concept "mass" as a synonym for

10 "Som det nu är, råder en fullständig villervalla i våra kyrkor landet runt i fråga om högmässogudstjänstens liturgiska melodier. I olika församlingar användas olika mässor, i de skilda kyrkorna i samma stad användas olika mässor, ja, i samma kyrka användas olika mässor, beroende på den präst, som förrättar liturgin."

11 "[...] orgelspel, liturgisk sång eller mässa, och församlingssång."

liturgical singing and includes choral singing in the concept of congregational singing. According to the liturgical ideals of the nineteenth century (e.g., Ullman 1874–85, 1:19), organ playing shall contribute to the solemn character of the service and enhance devotion: in other words, it should represent the sublime and the transcendental. Holmsten was by no means unaware of the *de tempore* principle in his remark that the character of the different times of the church year can be emphasized by means of organ music. He expected the organ to be played in places that were not mentioned in the service book: the introductory prelude, the prelude to the introductory hymn of the sermon, the postlude (“a recessional march”), and more short preludes and modulations (Holmsten 1917, 140).

The singing of the mass (*mässandet*), in other words, the performance of the liturgical melodies in the service, should, according to Holmsten (1917, 142, 148), be characterized by “a solemn simplicity.” He, like Ullman (1874–85, 2:179; see also Bexell 1987, 263), also considered the choir to be subordinated to the congregation. This view of the choir as primarily a support for the congregation permeates the 1913 service book, as noted in the previous section. Holmsten was critical of the four-part singing of congregational responses by the choir, a form of performance that Oskar Merikanto (1916a, 1916b) expressly recommends in the preface to his edition of liturgical melodies. However, this did not prevent Holmsten (1917, 149) from recommending polyphonic choral singing in other parts of the liturgy: the responsorial introit on feast days, the Kyrie, “the continuation of the Gloria” (Laudamus), the Graduale, “immediately after the sermon,” and during the communion. He does not indicate whether or not the choir should replace the congregation in the listed parts of the Ordinary, but in any case, he calls for more extended and varied use of the choir than implied in the 1913 manual.

There are indications that the congregation did not always join in the singing of the Mass Ordinary. According to Hylander’s 1889 edition, the Sanctus was performed by the minister, the congregation,

or the choir,¹² and in Colliander and Faltin's (1903) chorale book the *Laudamus*, composed by the latter, was given to the choir. At the time of the publication of Merikanto's mass there were complaints in the press about the low participation of the congregation in the singing of the liturgical melodies. Ilmari Krohn expressed annoyance that the choir deprived the congregation of the liturgical melodies (*Kiertokysely* 1916, 11).¹³ According to a wish expressed in the newspaper *Kotimaa* (7 April 1916) by Gust. A., a pseudonym, "the congregation should get involved in the mass,"¹⁴ that is, in the singing of the liturgical melodies. To remedy this problem, the writer adds, only the melodies should be published in booklets so that the congregation could sing them in unison to organ accompaniment. Given that the liturgical melodies were not printed in the hymnals, and the accompanimental editions were not used by the congregations, the tunes had to be learnt by ear. Participation in these liturgical parts therefore became sporadic or even non-existent.¹⁵

Erik Dahla's (1980, 21–23) research material on ministerial liturgical practices in the diocese of Porvoo revealed evidence of an indifferent attitude towards the liturgy in congregations around the turn of the twentieth century. This reflects the sermon-oriented view of the worship service described above. The orders of worship in the 1913 service book enabled a richer shaping of the music, which would enliven the liturgy and eventually contribute to projecting a more balanced view of its various parts.

12 The three alternative melodies for the Sanctus in the 1892 edition were intended only for the minister or the choir.

13 "[...] kuoro riistää messut seurakunnalta."

14 "[...] messuihin pitäisi saada seurakunta mukaan."

15 Gustav Pettersson (1895–1979), choir conductor and later cantor in Helsinki's Northern Swedish Parish (*Norra svenska församlingen i Helsingfors*) from 1926 to 1960, said in an interview that the congregation did not participate in the singing of the liturgical melodies when the 1913 service book was used in the Old Church in Helsinki. It was the cantor who sang them from the organ gallery, assisted by the choir on feast days (Gustav Pettersson interviewed by Erik Dahla 8 April 1974, magnetic tape no. 80, *Kyrkohistoriska arkivet vid Åbo Akademi*).

Oskar Merikanto and Liturgical Singing

According to the newspaper *Helsingin Sanomat* (17 October 1915), material from Oskar Merikanto's mass was premiered in a worship service in St. John's Church on the first Sunday of Advent in 1915. The music was published in the following year by Werner Söderström Osakeyhtiö in parallel complete editions in Finnish and Swedish (Merikanto 1916a, 1916b). A pocket edition with only the melodies was also published (Merikanto 1916c), in accordance with a request made in the press (*Kotimaa* 7 April 1916). The complete edition contains settings of the sung liturgical texts of the main service with its variants. Three appendices are included: (1) responsorial intonations to ten out of a total of nineteen texts in the service book; (2) orders for other types of service with additional remarks concerning the music; and (3) downward transposed versions of versicles and responses in the main service.

The preface to the complete edition implies that the musical settings were intended for minister, choir, and organ. According to Merikanto, the melodies should be performed either by the choir in unison with organ accompaniment or by the choir in four parts mainly without the organ. In the latter case, the organ should accompany only the minister and the louder parts sung by the choir—he uses the term “choir masses” (*kuoromessut, körmässor*)—such as the hymn of thanksgiving (*Hilarius, Ambrosius*), the Sanctus (*Pyhä*), and the Alleluia exclamations (*Halleluja*) of the *Benedicamus*. Merikanto aimed at sonic variation by adding organ accompaniment sparingly to the liturgical melodies (Merikanto 1916a, preface). As Böckerman (2011, 149) observes, there is a discrepancy between the use of the term “choir masses” in the preface and the instruction in the sheet music that these same parts should be performed by “the congregation (and the choir),”¹⁶ in conformity with the 1913 manual. I will return to this question later when I discuss Merikanto's musical contribution to the edition.

The idea of allowing the choir to take over the liturgical melodies that were intended for the congregation was not new. Merikanto had

16 “Seurakunta (ja kuoro),” “[f]örsamlingen (och kören).”

come up with the same thought in 1907 in an article published in the journal *Säveletär*, in which he reported on his study trip to Stockholm, Copenhagen, London, and various centers of church music on the European continent. During this trip, he became convinced of the great importance of church choirs in the enlivenment of worship services:

Would it not be time for us also to be relieved of the tedium and the sleepiness to which long hymns and long sermons subject us. And there is a way to do that. Choirs should be acquired for churches, masses should be sung in four parts without organ, and hymns in unison with choir and the organ assisting. In addition to this, our clergymen should give more attention to their musical education and learn at least to sing the masses properly. Then one could gradually augment the “altar service” as a dialogue between the minister and the choir.¹⁷ (Merikanto 1907, 204)

Merikanto (1907, 205–06) pointed out that investment in (preferably paid) church choirs, musically educated ministers, skilled precentors, and better organ playing would help to raise the level of church music in Finland. His church-music-related publications were part of this endeavor, and in his edition of liturgical melodies he put into practice the inspiration he brought back from abroad.

Merikanto departs from the service book in another sense, too. Giving supplementary instructions about modulations and organ playing in places that are not mentioned in the book, he clarifies and strengthens the use of the organ in and around the liturgy. Modulation connects the hymn with the ensuing versicle and indicates the key of the latter. Merikanto also introduces organ playing as an alternative to the hymn of prayer, during which offerings are collected, and the

17 “Olisipa meidänkin jo aika päästä siitä pitkävetisyydestä ja uneliaisuudesta, johon pitkät virret ja pitkät saarnat jumalanpalveluksissamme vaivuttaa. Ja keino siihen on olemassa. Köörit ovat hankittavat kirkkoihin, messut ovat neljä-äänisesti laulettavat ilman urkuja ja virsissä avustaa sekä kööri yksiäänisesti että urut. Mutta tämän lisäksi pitää meidän pappiemme huolehtia enemmän musikaalisesta kasvatuksestaan ja oppia ainakin kunnollisesti messuamaan. Sitten voidaan vähitellen lisätä ‘alttaritoimitusta’ papin ja köörin vuoropuheluna.”

Lord's table is prepared. He may have encountered the organ offertory, a dominant genre in post-Tridentine liturgical organ music, during his visits to foreign churches. According to the instructions in Merikanto's mass edition, organ playing should frame both the funeral service and the liturgical service (Merikanto 1916a, 11, 41–42).

It is noteworthy that Merikanto is specified as an editor, *nota bene* not a composer, on the title page of his 1916 edition of liturgical melodies, and that it is based on the new 1913 service book: *Suomalainen ja ruotsalainen messu uuden kirkkokäsikirjan mukaan toimittanut Oskar Merikanto* (1916a, title page). This reflects the fact that for his edition he partly revised existing melodies and their accompaniment. Included in the discussion on the new melody proposals was appreciation of the well-known melodies from Hymander's mass (*Kotimaa* 7 April 1916; Holmsten 1917, 145). Even Merikanto's proposal is characterized by contextual sensitivity and respect for this tradition, in that his edition is based on Hymander's (1889) Finnish and Swedish mass, with additions from the 1892 edition. As mentioned above, material from Hymander's mass was appended to Colliander and Faltin's chorale book. It is remarkable that this appendix was still printed in unaltered form in 1915, even though the new service book with its revised texts had already been introduced (see Colliander, Faltin, and Nyberg 1915).

Merikanto's collection of liturgical melodies comprises two layers: linguistically updated and musically revised material from Hymander's mass with additions by Faltin, and compositions by Merikanto for the newly introduced parts in the 1913 orders of worship. A comparison of Merikanto's mass (1916a, 1916b) with the liturgical appendix to the contemporary chorale book (Colliander, Faltin, and Nyberg 1915) reveals that Merikanto had gently revised the older material: he added an accompaniment to the parts of the minister, corrected the language according to the formulations in the new service book, and made some modifications—e.g., in *Laudamus (Hilarius)* and *Agnus Dei (O[i] Jumalan karitsa)*—to the rhythm so that it corresponded better with word stress in the Finnish language (Fig. 4.1). When he revised the *Kyrie* Merikanto created a uniform rhythmic structure in its three acclamations. He enlivened the simple homophonic settings with occasional passing tones.

He also slightly retouched the harmony and rhythm in his older colleague Richard Faltin's *Laudamus*, and he replaced the fermatas with precisely notated note values and rests. In the parts of the liturgy for which Hylander gave several alternatives, Merikanto chose only one (*Sanctus*, *Agnus Dei*). The *Laudamus* is an exception in that a setting of the Ambrosian hymn *Te Deum* (*Ambrosiuksen kiitosvirsi*, *Ambrosianska lofsången*), which also occurs in Hylander's 1892 edition, is given as an alternative to Faltin's *Hilarianska lofsången*. Moreover, Merikanto omitted Faltin's *Benediction* (*Välsignelsen*).

11.

Agnus Dei.

O Jumalan karitsa!

Seurakunta:

Adagio.

O Ju - ma - lan Ka - rit - - sa, jo - ka pois o - tat mailman syn - - nit,

ar - mah - - - - da mei - - - tä! O Ju - ma - lan Ka - rit - sa, jo - ka

pois o - tat mail - man syn - - - nit, an - na meil - le rau - has ja siu - na - uk - - ses!

Figure 4.1a. Johan August Gottlieb Hylander, *Uusi suomalainen ja ruotsalainen messu*, *Agnus Dei*, *O Jumalan karitsa!* (Hylander 1892, 22).

24. Ehtoollisen jakaminen.

Seurakunta (ja kuoro):

p

Oi Ju-ma-lan ka-rit - - sa, jo - ka pois o - tat maa-il-man

p

syn - nit, ar - - - mahda mei - - tä! Oi Ju - ma - lan

mp

mp

ka - rit - - sa, jo - ka pois o - tat maa-il-man syn - - nit,

rall. - - -

an - na meil-le rau - ha - si ja siu - na - uk - se - si!

rall. - - -

Siirrytään Ehtoollisvirteen. Siitä C-duuriin (tai B-duuriin).

Figure 4.1b. Oskar Merikanto, *Suomalainen ja ruotsalainen messu*, Ehtoollisen jakaminen (Merikanto 1916a, 15).¹⁸

18 *Suomalainen ja ruotsalainen messu* stands for “Finnish and Swedish mass”. *Ehtoollisen jakaminen* is the distribution of the Eucharist. The word *seurakunta* stands for congregation and *kuoro* for choir.

Merikanto included several of his own compositions in the collection: the ten responsorial introits for feast days; supplications and responses to the Litany and the general prayer; the invocation, which according to the service book should be read (*Ewankeliumi- ja Rukouskirja* 1915, 356); settings of the Amen and the last sentence in the Lord's Prayer; and an elaboration of the slightly monotonous *Benedicamus* and *Alleluia* (*Halleluja*) from Hymander's mass. Both masses consist of only one series of melodies, although feast days can be accentuated in Merikanto's mass by means of his additional compositions.

Merikanto's edition is characterized by stylistic dualism, as Böckerman (2011, 149–50) observes. The recycled, diatonic, four-part settings from Hymander's mass display an elevated simplicity, whereas Merikanto's own compositions are distinguished by lyrical expressivity resulting from his nuanced use of chromaticism, altered chords, expression markings, and more varied rhythms. Many of the newly composed pieces also have long, melismatic phrases, a wide melodic range, and a high pitch range in the treble, going occasionally up to g^2 . These structural traits complicate the congregational use of the pieces in that, despite the repeated indication "congregation (and choir)" in the score, they are in fact written for the choir only (Fig. 4.2). Formally, Merikanto was bound by the regulation "congregation (and choir)" in the service book, but his use of the term "choir masses" in the preface implies that the new, more complicated compositions at least were to be performed by the choir rather than the congregation. With regard to the unison performance of the liturgical melodies, Merikanto apparently assumed that they were to be sung mainly by the precentor when the choir was not present. As he notes in his book *Urut* (The Organ), in these parts the organist should adapt the registration to the vocal resources of the precentor (Tulenheimo and Merikanto 1916, 168). It thus seems that the instruction "congregation (and choir)" expresses the ideal condition rather than the reality in the parishes.

Kolminaisuudenpäivänä.

Pappi: *Seurakunta*

Py - hä, py - hä py - hä on Her - ra Se - ba - ot, ko - ko

(ja kuoro):

maa on täyn - nä hä - nen kun - - - ni - aan - sa.

Tähän jatkoksi joko *Kunnia olkoon* tai ainoastaan kuoron:

A - - - - - men, a - - - - - men, a - men, a -

a - - - - - men, a - - - - -

rall. - - - - -

- - men, a - - - - - men, a - - - - - men.

- - - - - men, a - - - - - men, a - - - - - men.

rall. - - - - -

Figure 4.2. Oskar Merikanto, *Suomalainen ja ruotsalainen messu*, Johdantovuorolaulu Kolminaisuudenpäivänä (Merikanto 1916a, 37).¹⁹

¹⁹ *Johdantovuorolaulu* is the Finnish for introit, *kolminaisuudenpäivä* is Trinity Sunday, *pappi* the minister, *seurakunta* the congregation, and *kuoro* the choir.

Even the parts sung by the minister require a schooled voice. The long, melodious phrases are stylistically related more closely to contemporary solo songs than to liturgical chanting in the rhythm of spoken language (Fig. 4.3).

Pappi:

Her-ra Ju-ma-la, Si - nä sen voit ja tah - dot. Sa-nom-me siis

I - sän ja Po-jan ja Py-hän Hengen ni-meen, tur - val - li -

Seurakunta (ja kuoro):

ses - ti: A - - men. A - men, a - men, a - - - - men

Figure 4.3. Oskar Merikanto, *Suomalainen ja ruotsalainen messu*, Yleinen kirkkorukous, excerpt (Merikanto 1916a, 21).²⁰

Merikanto's edition evoked great expectations because of his prominent position within Finnish musical life and the unclear situation with

²⁰ *Yleinen kirkkorukous* is general prayer.

several melody proposals. His mass was complimented in newspaper articles for its reuse of material from Hymander's mass, but the high pitch range and the layout with awkward page turns were criticized (*Kaiku* 10 August 1916; *Kotimaa* 7 April 1916). A contributor to the newspaper *Kotimaa* (6 June 1916) writing under the pseudonym J. R. was of the opinion that Merikanto had not taken sufficient account of word stress in the Finnish language, and that the edition was useful in particular for services in Swedish.

Why did the General Synod not accept Merikanto's proposal? A comparison with the liturgical melodies approved in 1923 casts light on this issue. The General Synod had rejected the interim melody proposals in 1918 and asked for masses based on historical material (Klemetti 1925; Sundberg and Holmsten 1926). This reflected contemporary historicist tendencies, as church music was now to be deployed in building the national identity of the young republic. The eyes of the General Synod were directed at the domestic musical heritage of the Middle Ages and the Reformation era, which was also a main area of interest in contemporary musicological research (see Krohn 1920). Another reason for the rejection was the need to accentuate the different periods of the liturgical year more clearly in the music. Whereas Merikanto's proposal, following the tradition, consisted of only one melody series, albeit with additions and alternatives for feast days, the melodies approved in 1923 included no less than five series, of which three or four were intended for temporary use at different times of the year (Christmastide, Eastertide, summertime). Revised material from Hymander's mass survived in the first series. More weighty reasons for discarding Merikanto's material included problems related to the performance of the music: the unclear role of the congregation and the better suitability of the music for choral performance than congregational singing. Merikanto was perhaps too idealistic in his quest to renew the artistic expression of liturgical singing, given the variegated musical resources in parishes around the country.

Oskar Merikanto's Contribution to Liturgical Organ Music

The year 1915 was particularly productive for Oskar Merikanto in terms of vocal and organ music for the liturgy. In addition to editing the mass, he composed organ music and arranged piano music for the organ. Then, in the following year, he published a comprehensive teaching manual on the art of registration, with a special focus on liturgical organ playing.

During the summer of 1915 Merikanto composed three large-scale works for organ, which were intended to be used as recessionals on festive occasions (*Kolme lähtökappaletta juhlatilaisuuksia varten*). The printing of these *Three Postludes* was delayed until 1920, however, when they appeared as Merikanto's opus 88 (Merikanto 1920; Poroila 2019, 174–45). I should point out that the 1913 orders of worship do not mention any postludes, but they were nevertheless played by the organist during the exit of worshippers from the church building. Merikanto himself remarked that the postlude had a magnificent effect when it was not played every Sunday, hence the designation “for festive occasions.” He further states that the postlude could be played for the most part with full registration, whereas softer parts played on the second manual would increase its value (Tulenheimo and Merikanto 1916, 171). Merikanto followed this advice in his own compositions. The form of the first two postludes is ABA, whereas the third is a prelude and fugue. The middle section of the second Postlude—clearly inspired by Felix Mendelssohn's Sixth Organ Sonata—is based on the chorale “Jeesus kruunun kirkkaan kannat” (“Jesus ist mein Heil und Leben”), which highlights the religious character of the piece and echoes liturgical practices.

Merikanto arranged seven keyboard pieces for organ during the summer during which he composed his Three Postludes. The three shortest arrangements were published in 1915, in separate volumes with the common title *Urkusovituksia* (Organ Arrangements). These volumes include two Sarabandes from the English Suites, BWV 810 and 812, by Johann Sebastian Bach, and “Iltalaulu”, or “Aftonsång” in

Swedish, a transcription of Robert Schumann's "Abendlied," op. 85, no. 12. Liturgical purposes are stated on the title page of these three arrangements: "May be used in the services as a prelude before the altar service, as an interlude before the liturgy of the Eucharist, and at funerals in the Church."²¹ (Merikanto 1915; Poroila 2019, 402–04, 416–17) The service book does not prescribe any organ playing in these parts of the service, but according to the mass (Merikanto 1916a, 20, 42) and the text about registration (Tulenheimo and Merikanto 1916, 168, 170), Merikanto expected soft organ playing. Consequently, his instructions could be understood as attempts to enhance and consolidate the use of the organ in the liturgy. With regard to genre, he joined a prevailing tradition: organ arrangements of both secular instrumental music and vocal church music had belonged to the liturgical organ repertoire since the nineteenth century (Peitsalo 2018, 254–55).

It is worth noting that Merikanto contributed to practically all compositional types of contemporary Lutheran liturgical organ music, including preludes with or without a chorale theme, chorale endings, modulations, and postludes. Reflecting his teacher Lauri (Lars) Hämäläinen's *Orgel-musik för kyrkan II* (Organ Music for the Church II, 1870) collection, Merikanto's *100 koraali-alkusoittoa*, op. 59 (100 Chorale Preludes, 1906, the preface dated September 1905) consists of versets with different musical characters, grouped according to the key. Similarly, most of the chorale preludes are based on freely invented themes. Motifs from chorales appear in some preludes (e.g., nos. 20, 33, 81, 85), whereas no. 48 is a genuine organ chorale over the hymn "O[i] Herra, ilo suuri" ("Christus, der ist mein Leben"). This seems to have been a significant hymn for Merikanto, in that he composed a figured chorale setting (ca. 1888, OM190) and a Concert Fantasia (1890, OM122) on it in his youth. The dualism between the chorale-based and the freely

21 "Voidaan käyttää jumalanpalveluksissa alkusoitoina ennen alttaritoimitusta, välisoitoina ennen ehtoollismessuja sekä kirkkohautajaisissa. Kunna användas vid gudstjänsterna som förspel före altartjensten, som mellanspel före nattvardsmässan samt vid begrävningar i kyrkan." The indication *alkusoitto ennen alttaritoimitusta* (prelude before the altar service, i.e., at the beginning of the service) is according to Poroila (2019, 343–44) also given in a manuscript to Merikanto's organ piece *Rukous* (Prayer).

composed short preludes was a characteristic trait of liturgical organ music in the nineteenth century, reflecting the contemporary view that the chorale prelude should primarily express the spirit of the hymn text (Mankell 1862, 42; Herzog 1867, 96; Colliander, Faltin, and Nyberg 1915, xi; Peitsalo 2018, 255–57).

Merikanto also published chorale preludes in his textbook of harmonium playing (*Urkuharmoonikoulu aloitteleville*, 1910), as well as in a chorale book intended for schools (*Koulun koraalikirja*, 1924). The latter also contains chorale endings, in other words additional, usually plagal cadences carrying on the final note of the last sung verse. These featured in Lauri Hämäläinen's *Helmiwyö* (1878), a collection of his own chorale preludes and four-part harmonization, as well as in Richard Faltin's compilation of chorale preludes and chorale endings, *Samling af Preludier och Koralslut till Nya koralbokens koraler* (1892), from which material was transferred to the 1897 edition of Colliander and Faltin's (1903, vii) chorale book. The chorale ending not only signified the end of the hymn but also prepared the congregation for the following part of the liturgy. The modulation had a similar function if the hymn and the minister's succeeding versicle were in different keys. By the time Merikanto published his two-volume textbook of modulation (1923), he had ended his career as an organ teacher (Tuppurainen 1994, 115–16).

I have shown above that Merikanto used traditional forms in his liturgical organ music, but as Lehtola (2018, 280, 292) observes, his organ works differ from the music of his domestic precursors in some fundamental respects. Whereas the liturgical compositions of Hämäläinen and Faltin were still anchored in the noble simplicity of the Biedermeier period, Merikanto's pianistic textures made higher demands on the player, and his late-romantic pieces are characterized by a bolder and more expressive harmony. He took full advantage of the dynamic flexibility and the light touch of the pneumatic organ and its playing aids.

Merikanto's text on registration in the book *Urut* (The Organ) illustrates how rich nuances could be elicited from the pneumatic organ of the time in liturgical contexts, concert repertoires, and accompaniments (see Tulenheimo and Merikanto 1916, 147–94). The text is thus a major source of information on the performance of Merikanto's organ

music. It includes a vivid and extensive description of the use of the organ in a contemporary main service. Its systematic description of the different stop combinations could profitably be used as a starting point for the registration of Merikanto's chorale preludes. With regard to transcriptions, Merikanto was critical of the performance of light secular music on the organ, but he believed that slow, old dances were suitable for use in church (Tulenheimo and Merikanto 1916, 179–80). His arrangements of J. S. Bach's Sarabandes undoubtedly belong to this latter category.

Conclusions

The 1913 service book for the Evangelical Lutheran Church of Finland, unlike the previous one from 1886, contained regulations on the involvement of the choir and the organ in the liturgy. The 1913 orders of worship also contained new parts, for which music had to be composed. Among the several proposals presented before the new liturgical melodies were approved by the General Synod in 1923 was Oskar Merikanto's collection of musical settings to liturgical texts from the new service book, *Suomalainen ja ruotsalainen messu uuden kirkkokäsikirjan mukaan* (The Finnish and Swedish Mass According to the New Service Book), edited in 1915 and published the following year (Merikanto 1916a, 1916b).

However, the 1913 manual does not give a comprehensive picture of the musical elements in the main service during the second decade of the twentieth century, especially with regard to organ playing. Contemporary discussion in the press as well as the instructions in Merikanto's edition of liturgical melodies, his organ transcriptions, and the text on registration in the book *Urut* (1916) all confirm this. Merikanto's instructions in his publications could be interpreted as attempts to enhance and consolidate the use of the organ in the liturgy.

With regard to the mass, Merikanto took into account the wishes expressed in contemporaneous discussion on the quality of liturgical melodies: the tradition should be respected and word stresses in the Finnish language should be observed. His proposal was based on ma-

terial published previously by Johan August Gottlieb Hylander (1889, 1892). It seems from this study that Merikanto gently revised the older material, provided the minister's parts with organ accompaniment, and added his own compositions to the new parts of the 1913 orders of worship. Inspired by experiences from his 1907 trip abroad, he wanted to reinforce the independent role of the choir in the singing of the liturgical melodies, but he was bound by the regulation on its subordinate, accompanimental role in relation to the congregation. This resulted in a discrepancy between the higher technical demands of the newly composed parts and the instruction in the score that these parts should be performed by the congregation with possible support from the choir. Whereas the older material taken from Hylander's mass represents a simple, diatonic liturgical style, Merikanto's compositions are distinguished by a lyrical expressivity expressed by means of chromaticism, more varied rhythms, a wide melodic range, and a high pitch range suitable for choral singing. A corresponding pursuit of expressivity paired with high technical demands also characterizes Merikanto's liturgical organ music, written for the dynamically flexible pneumatic organ.

It is claimed in previous research that Merikanto's mass does not point towards the renewal of liturgical music (Böckerman 2011, 151), and that his contribution to both the music and its renewal is small, or at least one-sided (Tuppurainen 2011, 141). The answer to the question of Merikanto's possible conservatism depends on the perspective. Against the backdrop of the historicist tendencies of his time and the slightly later reform movements in church music, the answer is positive. The interim melody proposals were not based on historical material as the General Synod perceived the matter. Unlike his domestic predecessors, Merikanto nevertheless strived for more subjective expression, he placed higher demands on execution, and he tried to redistribute the musical tasks of the different parts of the congregation. In this sense, he could be regarded as an innovator of the liturgical music of his time.

The proportion of liturgical music in Merikanto's musical output is, admittedly, not very large. Like several other leading contemporary Finnish artists, he was interested in theosophy and also composed music for theosophist gatherings (Suomalainen 1950, 146–47; Poroila 2019,

140–41, 150–53). In 1915, however, he was deeply involved in producing music for the liturgy: he edited the mass, composed three large-scale postludes, and arranged keyboard music for the organ. The text on registration was published in the following year.

Merikanto's role in the promotion of liturgical music is thus characterized by his respect for tradition as well as his quest for renewal. In fact, his contribution appears to have been comprehensive when considered in the light of contemporary liturgical practices, comprising compositions, arrangements, editions, and textbooks. Further research could include a longitudinal study of Finnish collections of liturgical music from the twentieth century, their models, editorial and compositional principles, as well as how they relate to contemporary liturgical practices and ideals.

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PART II
**Musical Works: Analysis,
Performance, Pedagogy**

An Individual Opposing the Crowd: The Capriccio of Haydn's String Quartet, Op. 20, No. 2

LAURI SUURPÄÄ

An intelligent woman said, that when she heard a quartet of Haydn's, she fancied herself present at the conversation of four agreeable persons. She thought that the first violin had the air of an eloquent man of genius, of middle age, who supported a conversation, the subject of which he had suggested. In the second violin, she recognised a friend of the first, who sought by all possible means to display him to advantage, seldom thought of himself, and kept up the conversation, rather by assenting to what was said by the others, than by advancing any ideas of his own. The alto, was a grave, learned, and sententious man. He supported the discourse of the first violin by laconic maxims, striking for their truth. The bass, was a worthy old lady, rather inclined to chatter, who said nothing of much consequence, and yet was always desiring to put in a word. But she gave an additional grace to the conversation, and while she was talking, the other interlocutors had time to breathe. (Bombet 1818, 63)

This quotation, which is from L. A. C. Bombet's adaptation of Giuseppe Carpani's early biography of Haydn, gives a rather hilarious view of the string quartet as a mode of communication.¹ In itself, the

1 The quotation is taken from an English translation of a modified and expanded French version of Carpani's biography, which does not acknowledge Carpani's Italian original, however. For a discussion of the publication history, as well as for a translation of the

idea of the string quartet as a forum for conversation was widespread in Haydn's time, and it was discussed without these comical undertones. These commentaries described each instrument as having its own speaking voice, of a kind.² In modern terminology, the idea of the string quartet as a platform for musical conversations implies a dialogue among a number of virtual musical agents. All the instrumental agents in the Haydn quartet to which Bombet's "intelligent woman" refers agree on the topic of discussion. Thus, they support each other and bring various compatible perspectives into the conversation, the subject of which was initially introduced by the first violin. Yet such an agreement among the multiple agents was not mandatory. The musical agents in the Capriccio of Haydn's String Quartet, op. 20, no. 2 (1772), which forms the topic of this chapter, seem to disagree and to present strongly contrasting perspectives—their conversation includes tensions and power play.

Contemporary studies on musical agency started in earnest in 1974 with the provocative question that Edward T. Cone asked: "If music is a language, then who is speaking?" (Cone 1974, 1). His answer was, a "virtual musical persona." Cone's term "persona" is frequently replaced by the term "agent" in recent research. According to Robert S. Hatten's definition, a "virtual agent in music is not an actual agent, but its efficiency lies in its capacity to simulate the actions, emotions, and reactions of a human agent" (Hatten 2018, 1). Edward Klorman has extended the idea of musical agency in the direction of interaction, developing a theory of "multiple agency" in the context of string quartets and chamber music more generally. Clarifying this concept, he refers "to a way of experiencing a musical passage or composition as embodying *multiple, independent characters—often represented by the individual instruments—who engage in a seemingly spontaneous interaction*

passage above from Carpani's original without touches of the French adaptation, see Klorman 2016, 41–42. The most notable difference between the above quotation and Carpani's original is that in the latter the talkative lady is the viola, not the cello.

2 For a thorough discussion on eighteenth-century views concerning the string quartet as a mode of conversation, see Klorman 2016, 20–72.

involving the exchange of roles and/or musical ideas" (Klorman 2016, 122, italics in the original).

Klorman issues a warning, however: one should not overemphasize the significance of the individuality of each instrumental part when one is discussing multiple agency. He explains that this would diminish the effect of musical factors such as harmony, texture, topics, and meter—musical parameters that are constituted by all instruments together. W. Dean Sutcliffe makes the same point in challenging the plausibility of the metaphorical purely melody-centered conversation in string quartets, because this view “does not allow for the flexible boundaries between different constituents of quartet texture” (Sutcliffe 2003, 187). I agree with both Klorman and Sutcliffe: scholars analyzing agency in string quartets would do well to avoid oversimplifying interpretations that directly equate individual instrumental parts with specific agents—in other words interpretations such as Bombet’s “intelligent woman” describing the instruments of the quartet in the above quotation. One should rather acknowledge the function of musical factors such as harmony, texture, meter, and expression when defining the musical agents. Robert S. Hatten uses the term “melos” with reference to situations in which “the entire musical texture [... takes] on an integrative agential character” (Hatten 2018, 21). String quartets commonly feature conversations among multiple agents that do not limit themselves to interactions among the individual instrumental parts. This is what happens in Haydn’s *Capriccio*, too.

When a string quartet is considered from the perspective of multiple agency, much of the conversation among the individual musical agents concerns the music’s expressive trajectory: it could be said that the music is expressive of the agents’ emotions. On a more general level, the idea of portraying emotions in music saturated eighteenth-century musical thinking. A clear instance of this is to be found in the entry on musical expression [*Ausdruck in der Musik*] in Johann Georg Sulzer’s *Allgemeine Theorie der schönen Künste*: “The most important, if not the only, function of a perfect musical composition is the accurate expression of sentiments and passions with all their particular shadings. [...] Expression is the soul of music. Without it, music is but an entertain-

ing diversion. But with it, music becomes the most expressive speech overpowering the heart” (Sulzer 1792–94, 1:272; translation from Baker and Christensen 1995, 50–51).

Late-eighteenth-century musicians considered the sonata—a genre that also included music for string quartets—to be the ideal medium for expressing finely nuanced emotions. The article on the sonata [*Sonate*] in Sulzer’s *Allgemeine Theorie* clarifies this: “There is no form of instrumental music that is more capable of depicting wordless sentiments than the sonata. [...] In a sonata, the composer might want to express through the music a monologue marked by sadness, misery, pain, or of tenderness, pleasure and joy; using a more animated kind of music, he might want to depict a passionate conversation between similar or complementary characters” (Sulzer 1792–94, 4:426–27; translation from Baker and Christensen 1995, 103). The reference to “a passionate conversation between characters” is quite close to the idea of multiple agency in string quartets. The agents in this case could be understood as performing such “passionate conversations”—it is via their gestures and utterances that the emotions expressed in the conversation are communicated to the audience.

The utterances of the string quartet’s virtual agents could be mirrored against the requirements imposed on real performers in Haydn’s time. In the eighteenth century, it was the performer’s task to communicate to the listeners deeply felt emotions, the significance of which is emphasized in the above quotations. C. P. E. Bach bluntly conveys this idea in stating that the performer “must of necessity feel all of the affects that he hopes to arouse in his audience, for the revealing of his own humor will stimulate a like humor in the listener” (Bach 1753, 122; translation from Bach 1949, 152). Leopold Mozart made a similar point: “[O]ne must also perform with a certain sensitivity; one must put oneself in the type of affect which is to be expressed” (Mozart 1756, 253). The affective world of a musical work was thus expected to occupy the performer as well as the audience.

The intertwining of musical conversation with the communication of emotions implies that the musical agents in a string quartet may be connected to the musical affections in two ways. On the one

hand, as virtual personae involved in conversations the agents do feel, so to speak, the emotions we, as listeners, associate with the musical dialogues. On the other hand, in performing the musical conversations that the listener follows, the agents communicate the emotions to the audience.

The idea of musical agents communicating a musical conversation to an audience brings to mind another metaphor governing eighteenth-century musical writings, namely the connections between music and language. A given utterance, be it linguistic or musical, should follow certain grammatical principles. For example, Johann Mattheson (1739, 26, 236) famously used the term “musical speech” [*Klangrede*] in *Der vollkommene Capellmeister* when he was referring to the principles of rhetoric that underlie musical works. What is significant here is the idea of punctuation that music and language were seen to share, and which articulates both linguistic and musical conversations in discreet units.

Heinrich Christoph Koch comprehensively discussed late-eighteenth-century views on musical punctuation in his three-volume compositional manual *Versuch einer Anleitung zur Composition* (1782–93). In his view, a musical unit always ended in a resting point, or a cadential conclusion to use modern terminology. These resting points are hierarchically organized, and the conclusiveness of the phrase’s ending depends on the quality of its closure. The most strongly concluding phrase is termed the “closing phrase” [*Schlußsatz*] (Koch 1787, 358) and it ends in what is nowadays called a perfect authentic cadence (PAC; Figure 5.1): when listeners hear a closing phrase they sense the termination of a complete musical idea.³ Koch also describes two other, less conclusive resting points that could end internal phrases but not complete periods, the closure of which requires a closing phrase. The two types in question are the “I-phrase” [*Grundabsatz*] that ends in the tonic chord but has the third in the top voice, and the “V-phrase” [*Quintabsatz*] that ends on the dominant (ibid., 415). The resting points

³ Koch (1782, 240–44) only used the term “cadence” [*Cadenz*] when referring to a perfect authentic cadence. I have taken the English translations of Koch’s terminology on resting points from Baker 1983.

that end I- and V-phrases closely resemble the modern imperfect authentic cadence (IAC) and half cadence (HC), respectively (Figure 5.1). Together, perfect authentic cadence, imperfect authentic cadence, and half cadence exhaust the functional closures in William Caplin's (2004) influential taxonomy of Classical cadences.

clausula	bass	top voice
PAC	$\hat{5}-\hat{1}$	$\hat{2}-\hat{1}$ OR $\hat{7}-\hat{1}$
IAC	$\hat{5}-\hat{1}$	$\hat{4}-\hat{3}$ (usually)
HC	$\rightarrow \hat{5}$	free
<i>comma</i>	$\hat{7}-\hat{1}$	free
<i>clausula vera</i>	$\hat{2}-\hat{1}$	free
<i>passo indietro</i>	$\hat{4}-\hat{3}$	free

Figure 5.1. Clausulae appearing in Haydn's Capriccio, op. 20, no. 2, II.

These three cadence types do not cover all varieties of resting points in eighteenth-century music, however. As Markus Neuwirth points out, eighteenth-century music theory still drew on “the centuries-old *Klausullehre*, according to which closure is brought about by a specific combination of individual voices called *clausulae* rather than by a specific succession of harmonies” (Neuwirth 2015, 120). The three lowermost lines in Figure 5.1 show three such clausulae that end on the tonic chord, labeled according to the terminology established in Robert O. Gjerdingen's *Music in the Galant Style* (2007). The quality of each clausula is defined by its bass progression, which is stepwise in each instance: the bass in *comma* ends in a $\hat{7}-\hat{1}$ progression, in *clausula vera* in a $\hat{2}-\hat{1}$ progression, and in *passo indietro* in a $\hat{4}-\hat{3}$ progression. According to Koch, none of these clausulae would be strong enough to end an independent phrase; as a result, their conclusions are intermediate, occurring in the middle of larger unified phrases.⁴

4 In eighteenth-century German partitura theory, the term *maior* was used of a cadence with a $\hat{5}-\hat{1}$ in the bass, whereas the term *minima* referred to harmonic resting points with either a $\hat{2}-\hat{1}$ or a $\hat{7}-\hat{1}$ progression in the bass (Gjerdingen's *clausula vera* and *comma*, re-

This all-too-brief historical outline indicates that the notion of multiple agency in string quartets can be associated with eighteenth-century ideas on at least three levels: expression, punctuation, and performance. Indeed, the possibility of intertwinement among these areas was raised in Haydn's time, as indicated in the article on performance [*Vortrag*] in Sulzer's *Allgemeine Theorie*: "Every good composition, like a speech, must have its phrases, periods, and accents [...] [A] performance must convey them, otherwise the listener cannot understand what is happening. [...] Therefore, in a good performance, clarity is the first thing to be taken into consideration. Then come the expression and character of the musical work" (Sulzer 1792–94, 4:700). Sulzer thus argues that the performer must convey to the hearer the musical grammar (clarity of punctuation) as well as the work's affections (its expression and character). All these aspects seem to have been addressed by the string quartet's multiple agents: their conversations clarify the phrases, periods, and punctuation, while at the same time their utterances convey and perform the music's expression and character. An analysis of Haydn's *Capriccio* that examines the relationships among musical agents could thus address both musical structure and expression, and indirectly also issues of performance.

Among the slow movements of Haydn's string quartets, the Adagio of op. 20, no. 2 is the only one that has been termed *Capriccio*, which indicates that it may have had a special character in Haydn's mind. In the eighteenth century, *capriccio* was associated with another genre, *fantasy*. Both genres consist of works featuring freedom and unpredictability, of music filled with capricious twists. *Capriccios* emphasized variety within the eighteenth-century aesthetic maxim of "unity in variety." These whimsical and improvisatory qualities are noted in the entry on *capriccio* in Heinrich Christoph Koch's *Musikalisches Lexicon*

spectively); for further discussion, see Diergarten 2015.

(1802), which describes it as a genre in which “a composer is not tied to the forms and modulations that are conventional in musical works, but he can leave the overall plan to the governing whim of his imagination. Thus, capriccio does not aim to express any given established affection. [...] It distinguishes itself from ordinary musical works solely through its freer form, through a less consistent character, and through a looser succession of [musical] ideas” (Koch 1802, cols. 305–06).

Haydn’s Capriccio is close to this description. From the perspective of overall form, it divides into three distinct sections (mm. 1–33, 34–50, and 51–63), none of which follow any common formal schema, thus the work deviates from “forms and modulations that are conventional in musical works.” There are also local-level idiosyncratic features that closely reflect Koch’s views: in particular, the Capriccio abundantly features “looser connections between [musical] ideas.”

At the beginning of the work the same thematic material is repeated twice, but in strongly different textural guises (Figure 5.2): first in

Capriccio
Adagio

5
piano
p
p
p

topics unison / declamation lament

8
f
mezzo forte
f
f
p

French overture sensibility

Figure 5.2. Haydn, Capriccio, op. 20, no. 2, II, mm. 1–9, annotated score.

unison texture (mm. 1–4) and then with the melody in the cello, accompanied by the other instruments (mm. 5–7).⁵ The textural change also affects the topical quality of the music.⁶ Measures 1–4 represent the unison topic. The rhythm and the placement of rests also give it a quality of declamation. From the perspective of virtual agency, unison, both as a texture and as a topic, suggests the voice of a group rather than of an individual. As Janet M. Levy notes, “surely no other type of texture seems so laden with semantic significance [...] Probably the single most pervasive quality of a unison passage is its aura of authoritative control. For unanimity—as in the crowd singing together in unison—is basically contrary to our sense of the individuality of human beings” (Levy 1982, 507). Levy further states that unison passages are “tinged with connotations that instruct—indeed command” (*ibid.*, 509). Haydn’s *Capriccio* thus opens with an authoritative, commanding utterance of a group or a crowd, and the expressive quality of the command is clearly not positive, or hoped-for.

The textural change in m. 5 also changes the topic. The low register of the cello playing the melodic material, together with the expression of anguish, are indicative of a lament topic. Owing to the thematic utterance of the lone cello, the voice in the thematic statement is no longer that of a crowd, as at the beginning of the work, but of an individual. A similar juxtaposition of crowd and individual is also implied by the topics in the ensuing mm. 8–9 (Figure 5.2). Measure 8 refers to a ceremonial and authoritarian French overture topic (crowd), whereas m. 9 features the topic of private sensibility (individual). In sum, the work’s opening introduces crowd and individual as the two principal virtual agents in the movement.⁷

5 I only show score excerpts of the passages that require annotation. Therefore, the reader should ideally have a score of the *Capriccio* at hand.

6 Throughout this paper, I use the term “topic” when referring to established musical signs that are associated with various textures, figures, or expressive states: for a thorough discussion of topic theory, see Mirka (ed.) 2014.

7 Elaine Sisman also refers to the topical juxtaposition of an individual and a group in the *Capriccio*, noting that the movement “combines instrumental and vocal genres, in that a concerto-inspired *ritornello* acts as introduction to an aria-like concerto section, with

The topical juxtaposition of the unison (crowd) and lament (individual) in the two thematic statements establishes a starting point for the work's dramatic trajectory: the crowd utters a command, as it were, and the individual attempts to oppose it. This juxtaposition also implies power play: given its authoritarian tone, the unison is capable of giving orders, so to speak, whereas the tone of the individual is more pleading. Robert Hatten discusses such "dramatic conflicts," in which "contrasting musical gestures may suggest opposing virtual agents, setting into motion a dialogical interaction that may also develop over time. Such ongoing developments [...] serve to create an agential discourse" (Hatten 2018, 22). It is possible to follow the narrative of Haydn's *Capriccio* through the discourse between the virtual agents representing the crowd and the individual. Because the individual virtual agent provides the listener with a point of identification, which also elicits sympathy, I will call it the "protagonist." The crowd, in turn, is more like a faceless commanding force, an antagonist that, because of its impersonal quality, I call the "authoritarian voice."

Figure 5.3 clarifies the overall course of the first section of the *Capriccio* (mm. 1–33), which I have divided into six segments. The authoritative first unison segment (mm. 1–4) ends in a strong clausula, a half cadence. The second, private and pleading segment (mm. 4–8) also implies a strong clausula, an authentic cadence, but this closure is elided and this downplays the strength of the private lament: owing to an overlap of segments, the ending of the second segment on the downbeat of m. 8 simultaneously begins the third segment (mm. 8–13) in the forte dynamic. In that m. 8 starts with a French overture topic, which is ceremonial in nature and suggests an utterance of the authoritarian voice, the pleading lament of the protagonist fails to reach a harmonic closure through a clausula. The crowd here outweighs the individual.

As Figure 5.3 shows, after the second segment the music refers to several keys. Following the initial tonic, the third segment (mm. 8–13)

declamatory, recitative-like passages to punctuate both sections" (Sisman 2014, 104).

measures	1–4	5–8	8–13	14–17	18–25	26–33
keys	c	c	c → f → E _b → A _b	b _b	b _b → c → g	g → c
topics	unison	lament → French overture	French overture vs. sensibility	unison → sensibility	unison vs. sensibility → unison → French overture	lament → French overture → sensibility vs. French overture
clausulae	c: HC (m. 4)	c: IAC (overlap in m. 8)	f: <i>comma</i> (m. 8) E_b: <i>clausula vera</i> (m. 10) A_b: <i>passo indietro</i> (m. 11)	b_b: <i>passo indietro</i> (m. 17)	c: <i>comma</i> (m. 22) g: <i>comma</i> (tonic in m. 26)	g: <i>comma</i> (m. 29) c: <i>comma</i> (m. 30) c: HC (m. 33)

Figure 5.3. Haydn, Capriccio, op. 20, no. 2, II, section 1 (mm. 1–33), keys, topics, and clausulae.

quickly traverses through three fleeting tonal centers. Topically, it consists of a juxtaposition and dialogue between the French overture and the sensibility topic: the former is ceremonial and is associated with the authoritarian voice, whereas the latter reflects private emotions and is associated with the protagonist. Significantly, all the clausulae of the section are executed in the French-overture gestures, thus the sensibility topic receives no harmonic confirmation. However, because none of the clausulae in the third segment (*comma*, *clausula vera*, *passo indietro*, respectively) suffices to end a self-contained phrase, the struggle between the crowd (French overture) and the individual (sensibility) remains unresolved. Nevertheless, the tension between the two virtual agents has changed since the beginning of the Capriccio: whereas the two were initially introduced in two consecutive formal segments, they are now more directly juxtaposed within one segment. The struggle is getting more active.

The fourth formal segment (mm. 14–17) is significant both tonally and topically. Tonally, it is governed throughout by the remote B_b minor, an unusual tonicization of $\flat VII$. From the perspective of musical drama, the arrival of the B_b-minor tonic is a significant moment (Figure 5.4). The tonic sonority is first reached in the second half of m. 17 via a $\hat{4}-\hat{3}$ progression in the bass, thus the clausula is *passo indietro*, an inconclusive arrival at the local tonic. The tentative nature of the

arrival at the B \flat -minor tonic is enhanced by the musical topics. After the unison outburst that opens m. 14, a reference to the authoritative crowd, the governing topic has been a somewhat pleading sensibility that is associated with the individual. The arrival at the B \flat -minor tonic as a six-three sonority in m. 17 transforms the topic into a French overture, and significantly, retains the pianissimo dynamic. As a result, the private quality of sensibility draws the inherently ceremonial and public French overture into its orbit. It is as if the virtual agent representing the individual attempted to get closer to the orders of the crowd. However, given that the topical merger occurs in the remote B \flat minor, the tonic of which is represented solely by a $\frac{6}{3}$ sonority, the sense of resolution is rather hesitant.

Measure 18, which begins the fifth segment of the first section, immediately indicates that no lasting agreement between the individual and the crowd is possible at this point of the work (Figure 5.4). The B \flat -minor tonic is sounded as a $\frac{5}{3}$ sonority in the unison topic and a fortissimo dynamic at the beginning of this bar, and the French overture topic returns at the end of m. 18 in its customary ceremonial guise; the authoritarian voice now shows its power over the protagonist. Following this outburst, topics associated with the crowd (unison and French overture) on the one hand, and the sensibility referring to the individual on the other, alternate until m. 22, during which time the unison and

17

18

pp *pp* *pp* *ff* *f* *f*

topics sensibility French overture unison / declamation French overture

Figure 5.4. Haydn, Capriccio, op. 20, no. 2, II, mm. 17-18, annotated score.

the French overture gradually get the upper hand. After a brief tonicization of C minor in m. 22, G minor, the tonal goal of the first part of the Capriccio, arrives in m. 26. At this point, the material of mm. 5–7, the protagonist’s initial pleading comment, is repeated in the dominant key (mm. 27–29). The return to the opening thematic material and the lament topic indicates that the strange tonal excursions brought no consolation to the individual virtual agent.

Figure 5.5 clarifies the tonal structure underlying the remote tonicizations in the first section of the Capriccio. The bass consists of a stepwise descent from C to G. The second pitch of the descent (B \flat) is stressed, thus it receives the function of the upper third of the dominant. In other words, the remote tonicization of B \flat minor also receives structural emphasis, whereas other tonicizations are built around local contrapuntal sonorities. The underlying stepwise bass could be seen as part of a larger motivic network with expressive connotations. A descending $\hat{1}$ – $\hat{5}$ progression in the bass is often associated with deep misery and death: in the music of Haydn’s time, William Caplin (2014) refers to this as a lament topic, whereas John A. Rice (2014) uses the term *morte* schema, particularly when combined with an ascending top-voice line. This descending bass progression extending through the first part of the Capriccio is anticipated at the beginning of the work: a $\hat{1}$ – $\hat{5}$ descent underlies the initial unison passage referring to the authoritar-

4 5 8 10 11 14 18 21 22 23 26 30 33

Stufen 1⁵ ————— 6 —^b6 —^bVII^b ————— V^b —————

keys c f Eb Ab bb c g c

Figure 5.5. Haydn, Capriccio, op. 20, no. 2, II, section 1 (mm. 1–33), tonal structure, an overview.

ian voice (mm. 1–3) as well as the protagonist's first pleading utterance (mm. 5–7). The fact that the same progression starts the statements introducing both virtual agents and underlies the middleground structure enhances the threat that the musical expression suggests. It is as if the crowd threatened the individual in a concrete way.⁸

The G-minor chord arrived at in m. 26 is prolonged until the end of the first part of the Capriccio, transformed in m. 33, after the key has changed to C minor, into a major sonority (Figure 5.5). The final sonority of this first part constitutes a half cadence. As the line on the clausulae in Figure 5.3 shows, the concluding C-minor half cadence is the first strong and untroubled punctuating gesture since m. 4. But the topical environment is different in mm. 4 and 33. Whereas m. 4 is sounded within a unison topic, with shades of declamation, the situation leading to m. 33 is more complex (Figure 5.6). Measures 30–31 juxtapose the first violin's sensibility topic, associated with the protagonist, with the French overture of the other three instruments, associated with the authoritarian voice. Thus, there seems to be an acute conflict between the two virtual agents. By contrast, when the half cadence arrives in m. 33, the two agents are fused; the French overture is sounded in the *piano assai* dynamics, thus the topic is that of the crowd, whereas the texture and dynamics can be associated with the individual. The expressive reference of the half-cadential progression are specified by the bass progression A \flat –G–F \sharp –G, the le–sol–fi–sol schema that is often associated with sacrificial death, as Vasili Byros (2014, 395–97) has shown. The first part of the Capriccio thus ends in an expressive situation in which the threat over the protagonist is acute.

The onset of the second part in m. 34 signifies a complete change (Figure 5.7). Topically, the section's beginning introduces the aria, a topic not heard so far. With its single accompanied vocal-like line, it could be associated with the protagonist. The key is an unprepared E \flat major, the first fully confirmed major key in the work. The new topical and more hopeful expressive quality maps onto a more straightforward

8 For a thorough discussion on the descending lamento bass in the music composed between the sixteenth and the nineteenth centuries, see Williams 1997.

30

[f]

[f]

[f]

[f]

piano

piano

piano

topics sensibility vs. French overture

32

piano

assai

piano

assai

piano

assai

piano

assai

piano

assai

French overture / sensibility

Figure 5.6. Haydn, Capriccio, op. 20, no. 2, II, mm. 30–33, annotated score.

formal, tonal, and metric organization (Figure 5.8). The second part of the Capriccio consists of two units, of eight and nine bars, respectively, both of which end in a cadence (a half cadence in m. 41 and a perfect authentic cadence in m. 50). The first unit (mm. 34–41) consists of two four-bar hypermeasures, the first one representing a clear initiating function (an antecedent) and the second one combining medial and cadential functions (a continuation). At the beginning of the second hypermeasure the music modulates to B \flat major, the dominant of E \flat major, through a Galant schema called the modulating prinner (mm. 38–39). In the middleground, the tonic of E \flat major is prolonged until the downbeat of m. 41 through an extended 5–6 progression that prepares for the arrival at a II \flat (= the half-cadential V of V). All these features are very conventional, thus the Capriccio now deviates from the qualities that Heinrich Christoph Koch (1802) associated with the capriccio

34

più forte

p

più forte

p

topics aria

36

tr

Figure 5.7. Haydn, Capriccio, op. 20, no. 2, II, mm. 34–37, annotated score.

genre: rather than exhibiting idiosyncrasies, here the music fits into conventional eighteenth-century patterns.

Although slightly more adventurous, mm. 42–50 also traverse conventional paths for the most part. The initial one-measure units (mm. 42–43) suggest fragmentation, hence the unit of mm. 42–45 lacks the initiating function (phrase-structurally, mm. 42–45 begin a continuation). The second, five-bar unit (mm. 46–50) is cadential in its entirety. The two consecutive perfect authentic cadences (mm. 45 and 50) deviate from the earlier work that mainly featured weak and unconfirming clausulae. It seems that, finally, the protagonist is able to establish a positive affection, and thus to escape the threat of the authoritarian voice.

This hope is vain, however. Unison and French overture—the topics representing the authoritarian voice—return in m. 51, starting the Capriccio's third and final part and indicating that the protagonist's attempt to establish a positive affection had no lasting effect (Figure

temporal function	initiating		medial				cadential	
phrase structure	2		2		1	1	1	1
	34		38					

Stufen	Eb: I ⁵						6	II [♯]
	Bb: I	IV	V	I	Bb: I	IV ⁵⁻⁶	V	
meter	1	2	3	4,	1	2	3	4,
cadences	(IAC)							HC

temporal function	medial		cadential (1)		cadential (2)		
phrase structure	1	1	2		5		
	42		46				

Stufen	Eb: V								
	Bb: I	I ⁶	IV	V ⁶⁻⁵ ₄₋₃	I	I ⁶	IV	V ⁽⁶⁾ ₄₋₃	I
meter	1	2	3	4,	1	2	3	4,	
cadences	PAC					PAC			

Figure 5.8. Haydn, Capriccio, op. 20, no. 2, II, section 2 (mm. 34–50), tonal structure, phrase structure, and meter.

5.9). The protagonist must now accept that the previous state of bliss was only an illusion, an acceptance enhanced by the transformation of the aria topic and thematic material of the second part into F minor, a tragic minor key (mm. 53–54). Significantly, the same thematic material is subsequently heard in its original E_b major (mm. 55–57), thus draw-

51 *ff* *6* *sotto voce* *p*

topics unison French overture aria

53 *f* *f* *f* *f*

unison

60 *pp* *pianiss.* *pianiss.* *pp*

(unison) sensibility

Figure 5.9. Haydn, Capriccio, op. 20, no. 2, II, mm. 51–61, annotated score.

ing a direct link to the previous blissful state (Figure 5.10). However, as a sequential repetition, this nontragic thematic occurrence sounds rather like a nostalgic recollection than a true challenge to the tragic F minor. Moreover, as the quotation marks in Figure 5.10 show, neither the F-minor nor the E \flat -major aria is confirmed through a proper clau-

sula: in that the V-I progressions in mm. 53–54 and 56–57 end two-bar initiating segments, they do not provide functional conclusions. Thus, they are fleeting elements.⁹

measures	51–52	52–57	57–63
keys	→ f	f → E _b	→ f → c
topics	unison → French overture	aria vs. unison	unison → sensibility
clausulae	—	f: <i>comma</i> (m. 52) f: “PAC” (mm. 53–54) E _b : “PAC” (mm. 56–57)	c: HC (m. 60)

Figure 5.10. Haydn, *Capriccio*, op. 20, no. 2, II, section 3 (mm. 51–63), keys, topics, and clausulae.

Figure 5.10 indicates that F minor returns towards the end of the *Capriccio*’s third part (mm. 57–63), thus the E_b major is framed by this key. The work regains the tonic key, C minor, at the end. However, the line in Figure 5.10 showing the clausulae indicates that the work ends in a half cadence, an inconclusive tonal arrival. In terms of topical organization, in turn, the final segment (mm. 57–63) moves from unison, representing the authoritarian voice, to sensibility, representing the protagonist.

I am now in a position to present an overview of the *Capriccio* (Figure 5.11). The work’s first part (mm. 1–33) juxtaposes topics associated with the crowd (unison and French overture) and with the individual (lament and sensibility). Although these two topic classes fleetingly merge at times (in mm. 17, 25, and 32–33), they mostly appear consecutively. Thus, there is a sense of conflict: they appear side by side as if challenging each other, but neither manages to assume primacy.

9 In William Caplin’s (2004, 81–85) terminology, the V-I progressions would have “cadential content” but no “cadential function.” In other words, they consist of harmonic gestures that in other musical contexts might function as proper cadences. However, in that they end what sounds like an initial module of a unit (mm. 53–54) or a sequential repetition in a model-sequence passage (mm. 56–57), they do not end units with a distinct functional beginning and ending.

virtual agent	crowd (primary) vs. individual (secondary)	individual	individual (primary) vs. crowd (secondary)
	14 18 23 26 30 33	34 41 42	45 51 52 55 58 59 60 50

Stufen I (V^b — ||) III⁵ — 6 IV V ||

form 1 2 3

topics unison / French overture vs. lament / sensibility aria aria vs. unison → sensibility

Figure 5.11. Haydn, Capriccio, op. 20, no. 2, II, an overview.

The rhetorical emphasis on unison as well as the sheer power of the gestures representing the French overture seemingly give the authoritarian voice (crowd) the upper hand in the struggle. However, given that the first part ends in a back-relating dominant and a half cadence, and topically in a merger of the French overture and sensibility, there is no firm conclusion. The conflict between the individual and the crowd remains unresolved: the first part ends without reaching a tonal closure or placing emphasis on topics associated with either the protagonist or the authoritarian voice.

The aria topic that predominates the second part of the Capriccio concentrates on the individual, completely neglecting the crowd. The two perfect authentic cadences at the end of it create the impression of finally having reached a firm tonal closure, but from a wider perspective, this impression is only apparent. The B_b major in which the cadences occur is a local key, emphasizing the B_b-major triad that functions as the upper fifth of the E_b, reached in m. 34. Globally, the cadences thus occur in a key that is underlain by a back-relating local dominant prolonging the III of C minor. Therefore, the perfect authentic cadenc-

es do not establish a strong middleground element, thus also failing to challenge the power of the authoritarian voice in the large-scale organization.

Indeed, with the onset of the third part in m. 51 the crowd reminds the individual of its power. At this point the deep-level structure also challenges the individual's feelings of bliss that govern the second part. The chord of m. 51 is a V_5^6 of IV that prepares the ensuing key of F minor. As the voice-leading graph (Fig. 5.11) indicates, this sonority prolongs the middleground III through a 5–6 exchange. This underlying 5–6 motion has two major consequences for the work's dramatic course. First, the key of B \flat major, confirmed by two perfect authentic cadences, is located within a more extensive prolongation of III. Second, the E \flat -major chord that supports the aria is transformed into the unison gesture of m. 51: it is as if the crowd subsumed into its orbit the element initially signifying the individual. Both of these features imply that the bliss of the second part is only the protagonist's reverie, whereas the unison of m. 51 brings the reality back.

The third and final part of the Capriccio continues the conflict between the protagonist and the authoritarian voice, temporarily interrupted by the reverie in the second part (Figure 5.11). Now the individuality of the protagonist is enhanced by the primacy of the aria topic, derived from the second part. As a result, the individual is now the primary musical agent, strongly challenging the significance of the crowd. The conclusion of the work, which establishes the sensibility topic that is associated with the protagonist, only emphasizes this impression. There is no proper resolution of the conflict, however. The music ends in a standing on the dominant following a half cadence, so there is no complete harmonic closure. Likewise, the global tonal structure ends in a back-relating dominant, so the initial tonic triad is neither regained nor confirmed. The work seems to end before reaching a closure.¹⁰

10 The four-movement quartet cycle does not end here, of course, and continues to the ensuing C-major minuet. The two movements follow each other *attacca*, which suggests a close connection between them. Indeed, James Webster (1991, 298) argues that in “the Capriccio/minuet pair, we can have every expectation that Haydn intended it to be understood as ‘through-composed’”; in his view, the Capriccio would “become complete

Ending a musical work without a concluding perfect authentic cadence was unusual in the eighteenth century. As mentioned, Heinrich Christoph Koch used the term “closing phrase” when referring to units ending in a perfect authentic cadence: if there was no closing phrase, in Koch’s view there was no proper closure, either. Likewise, Johann Philipp Kirnberger (1774, 94) uses the terms “closing cadence” and “principal ending” when referring to a perfect authentic cadence, specifying that such closures occur at the end of musical works. The fact that there is no perfect authentic cadence at the end of Haydn’s *Capriccio* implies that something remains incomplete.

In general, the requirement of resolution at the end of a work was deemed important in eighteenth-century aesthetics. Aristotle’s *Poetics* was an influential text, arguing in its description of the plot the need for a functional conclusion—a good plot consists of causally related phases, the last of which, the ending, resolves tensions:

Now a whole is that which has a beginning, a middle, and an end. A beginning is that which does not necessarily come after something else, although something else exists or comes about after it. An end, on the contrary, is that which naturally follows something else either as a necessary or as a usual consequence, and is not itself followed by anything. A middle is that which follows something else, and is itself followed by something. Thus well constructed plots must neither begin nor end in a haphazard way, but must conform to the pattern I have been describing. (Aristotle 1965, 41)

The significance of resolving conflicts at the end of a work is also

only ‘outside’ itself, by being run-on into the minuet” (ibid., 299). However, acknowledging the pairing of the two movements does not yet require the latter movement to resolve any dramatic tensions that the former leaves unresolved. In my view, the expressive world of the playful minuet is so far removed from the unsettled *Capriccio* that the minuet hardly suffices to counterbalance the *Capriccio*’s deep tragedy or to resolve its open ending: the former movement’s anxieties remain unresolved, the run-on pairing notwithstanding.

emphasized in modern literary criticism. Vladimir Propp (1968, 92) emphasizes resolution at the end of the plot in *Morphology of the Folktale*, on which much of the discussion on plot in twentieth-century literary theory is based, at least indirectly: “Morphologically, a tale (*skázka*) may be termed any development proceeding from villainy (A) or a lack (*a*), through intermediary functions to marriage (W*), or to other dénouement. Terminal functions are at times a reward (F), a gain or in general the liquidation of misfortune (K), an escape from pursuit (Rs), etc.” There is a similar emphasis on closure in discussions on musical narrative. Byron Almén (2008), for example, describes four narrative archetypes starting with the opposition of “order” and “transgression” and ending in a situation that signifies either “victory” (a positive outcome) or “defeat” (a negative outcome) of one of the poles. Again, the ending signifies the resolution of a conflict.

The ending of Haydn’s *Capriccio* clearly lacks such a dénouement—there is no functional closure that would resolve musical tensions. Such open endings are discussed both in literary criticism and in music theory. In the context of literary studies, for example, H. Porter Abbott (2002, 51–60) distinguishes between “closure” (the resolution of a conflict) and “end” (that leaves questions unanswered), whereas Barbara Herrnstein Smith (1968, 210–34) refers to “failure of closure.” With regard to music theory, Kofi Agawu (2009, 52–54) differentiates a “functional ending” (tonal closure, in particular cadences) and a “locational ending” (that leaves tonal tensions unresolved).

Applying this terminology, I suggest that Haydn’s *Capriccio* exemplifies “failure of closure” in that its agential narrative does not resolve the underlying conflict but rather leaves questions unanswered: it therefore has an “end” but no “closure,” to use Abbott’s terminology. The musical discourse, in turn, fails to reach a perfect authentic cadence, the eighteenth-century signal of firm closure, or even the tonic chord. It therefore has no “functional ending” even though it has a “locational ending,” to use Agawu’s terminology. In sum, at the end the work leaves the power play between its two virtual agents (the protagonist and the authoritarian voice) in a state of uncertainty. The piece ends, but we, as listeners, do not know what the outcome is. Nor do the virtual agents,

the performers of the drama, whose conflicts we have been following with sympathy—and indeed, with empathy.

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Temporal Excursions in Eight Performances of Schoenberg's Op. 19 No. 4

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Introduction

The premise of this chapter is that the process of performing music is semiotic, one of signification and communication. The performer in Western art music (WAM) is a *communicative agent* (Nöth 2014; Colapietro 1988), operating among other agents such as composers and audiences (Figure 6.1; cf. Hatten 2017, 11; Hargreaves, MacDonald, and Miell 2005; Nattiez 1990, 16–32; Jakobson 1960). The process is not unidirectional. The composer's *message*, whatever it may be, although as a communicated object it usually consists of performance *instructions* (notation in particular), is more or less reciprocated by the performer—if by no other means than choosing to perform (Martin 1993; Hellaby 2016, 25; Kanno and Hayden in this volume). Similarly, the performer's message, considered here simply but essentially as *sound* despite its performativity and multimodality (Kartomi 2014; McKerrell and Way 2017), is reciprocated by members of the audience whatever the reception and their action choices at the end may be (see Erickson 1999).

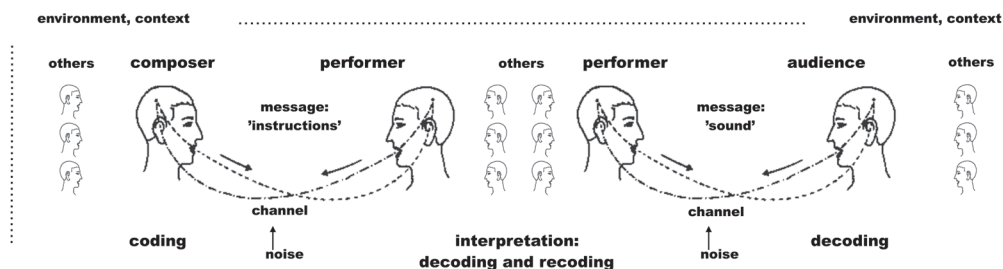


Figure 6.1. A semiotic communication model of Western art music. (The portrayal developed after the image of speech act in Ferdinand de Saussure's 1916 *Cours de linguistique générale*, 27.)

As the hub of musical communication in WAM, the performer as mediator has a task that is straightforward only in principle. *Decoding and recoding* are complex processes of *signifying praxis*: action guided by *phronesis*, the performer's practical wisdom and judgment concerning the consequences of the action that ought to be good for something or someone, the audience in particular (Ojala 2009, 36–44; Regelski 1988; 2017; Silverman and Elliott 2016, 90). The performer's agency is bound by the ethics of praxis. In accordance with the ideal of *Werktreue* (e.g., Goehr 2007, 231–34), the onus is on the performer a) to *decode* the instructions *coded* by the composer and received through whatever *channels* are involved, while b) overcoming any *noise* in the channel, and c) to *recode* the instructions into sound delivered to the audience, to give them the benefit of experiencing the sound *as music*.¹

This is easier said than done. The composer's code, in traditional and contemporary notation at least, is in Umberto Eco's (1979) words vague, incomplete, and weak. As any performer knows very well, the decoding required is far from the one-to-one technical translation of given instructions to the (re)production of sound. In the process, the unavoidable incompleteness and indeterminacy of the instructions demands the completion of what remains crude and unspecified in the notation or in other instructions. This involves aspects of timbre, issues of balance and projection, fine-tuning of the dynamics, nuances of articulation, metric and rhythmic details, and much more. All of these aspects affect the corporeal action of sound production, the qualities of sound and their perception, and the meanings conveyed or evoked by the performer. The performer should also take into account the weakness of the codes: codes are time variant and the performer needs to be informed that the coding, decoding, and recoding—by the composer, the performer, or the listener—are *socially and historically situated*

1 The composer may be the same person as the performer, and the coding may also be an outcome of a more collective effort, a tradition. The noise in decoding may be any disturbance in communication, such as possible errors in editions or manuscripts, or vagueness or contradictions in the instructions. The channels include but are not limited to notation, written text or speech, and other performances. In recoding, the performer again attempts to overcome noise, this time in the context and channel of performing.

in embodied practices, even if contemporary. In short, the composer's code requires *interpretation* (Hill 2002; Walls 2002; Hatten 2017, 4–8).²

The pragmatist stance taken here maintains that meanings are situated in the habits of action (Ojala 2009; Määttänen 2006, 2015). Consequently, the notion of “performance practice” is taken as referring to *the socially contracted collective of shared habits in the performer's decoding of instructions and recoding of the sound in musical communication, which are applicable to the performance in question*—regardless of the inherent dilemmas of historical perspective and authenticity (cf. Jackson 2005, ix–xi). As such, performance practices are affected by the context, the participants and, in particular, the way they construe meanings in the communication process of music. Long-established practices may be supported by written testimonies in historical documents whereas, by definition, the habits that constitute performance practice in the most recent music can only emerge through reciprocal negotiation involving the composer, performers, listeners, and others involved in the process (Figure 6.1).

However, in recoding the code into sound it might not suffice to decode the possibly time-variant composer's code and, in doing so, to adhere to established performance practices (if there are any). According to Naomi Cumming (2000, 30), the performer cannot simply stand back saying, “I am giving an authentic reproduction of standardized stylistic gestures” and be done. Jonathan Dunsby (1995, 31) points out the anxiety in the artistry of the Western musical performer:

[I]n a sense the musician also competes against predecessors. It is not only that ‘I know this has been done before but it is worth doing again, for music is a living art’; but also, ‘I know *how* it came out before, and I am driven to do it either better or at least in a new way’.

Professional or not, the performer is a subject, with self-knowledge, agency, identity—an individual, a person (see Cumming 2000, 20–42).

² From this perspective, semiotic and musical notions of “interpretation” are well aligned. See, for instance, Määttänen 2006; Ojala 2009, 101–05; Eco 1979.

Professional performers in particular, with a professional identity that incorporates ambition, are expected—by themselves and others—not only to interpret the composer’s code and adhere to the performance practice, but also to be *creative* (Clarke 2005), and to “demonstrate their musical individuality” (Silverman 2008, 266). In these conflicting aspects they are ethically committed both to themselves and to others in the process—even the long-gone yet influential agents of the past. Morris Grossman (1987, 280) describes this double commitment as follows:

The object towards which a performer feels an obligation has a two-fold, paradoxical nature. It is at once a prior existence and independent standard, and it is also the vision of excellence that the performer here and now generates and approximates with the skills available to him [or her].

He continues:

[t]he conspicuous double loyalty, to self and to other, to inner demand as well as to outer command, is at the core of ethical existence in its most difficult and hence most meaningful moments. The performer has to make his choices, and nobody can guarantee that he [or she] makes them well.

Performers, their choices and agency, drive the development and possible establishment of performance practices. Each instance of performance stands in relation to previous (and future) performances, even if not all performers can be familiar with all performances. This leads to an idealized hypothesis concerning the dynamic emergence and maintenance of performance practices. Each instance, each performance of instructions (a composition or a larger corpus) contributes to the socially contracted collective of shared habits of practice, and is judged by the reciprocal negotiations in the process (particularly feedback to the performer, self-assessment included) and the ways in which it is identified, accepted, appreciated and valued as a token of

the composition (or corpus, style, or culture). Each performance either reinforces current practice or (incrementally) updates the *prototype* towards (or away from) the judged performance.

This, in turn, evokes interest in studying how individual and corpuses of performances contribute to the emergence, continuation and dynamics of performance practices. Researchers focusing on historically informed practices (HIP) are—perhaps painfully—cognizant of the fact that “the documents and other records will never bring back the past ‘as it really was’” (Butt 2002, 144) and, as I understand it, seek no replication of historical situations (cf. *ibid.*, 71). Nevertheless, the primary interest in HIP research seems to be in continuing the music of past generations and their practices then and now. In terms of the WAM repertoire, until recently—and with some exceptions—performance studies in general have emphasized pre-20th-century repertoires (see, e.g., Leong et al. 2019; Heaton 2012; Cook 2007; Rink 2005; Kanno 2001, 7; Kurkela 1991).

Conversely, the constantly evolving music of the present (or so it might seem, given that we lack the historical perspective) entails constantly evolving practices. From this perspective, there seems to be no reason to negate a more recent past (Butt 2002, 127). Rather the opposite: we might greatly benefit from detailed, comparative studies of particular, well-defined corpuses of performances that could provide data on and evidence of the performers' individual and shared decisions. Such studies should cover a relatively recent period, so that practices might still be changing yet the temporal span is long enough to allow sufficient accumulation of corpuses of performance, accompanying historical documents, and supporting scholarly studies. Studies of this kind might enhance understanding both of the position of the performer between commitment to the self and others in the process of musical communication, and of the developmental aspects of performance practice. These issues are highly relevant to performers in executing their task of creative contribution and interpretation *versus* execution.

Methods and Materials

With this in mind, I carried out an exploratory and descriptive case study (Yin 2009) on eight performances of “Rasch, aber leicht” (quickly but lightly), the fourth piece from *Sechs kleine Klavierstücke* op. 19 (1911) by Arnold Schoenberg. Although, according to Glenn Gould (1985, 124), sufficient critical attention had been paid to the opus half a century ago “to fill a small encyclopedia,” there seemed to be good reasons to give it another try. In fact, issues of performance practice related to Schoenberg, and his expressionist solo piano music in particular remain under-investigated. This is surprising given their exploratory role, enabled by aspects such as their miniature scope and “elasticity of form” (Wilhelm 1983), at the turning points in Schoenberg’s output, and more broadly in the critical stages of transition from the era of tonality and Romanticism to the post-tonality and plurality of 20th- and now 21st-century music. Moreover, although the impact of Schoenberg, as well as of Webern and Berg, on more recent WAM is well acknowledged, less is known about *performances* of music from the Second Viennese School, and *their similarities and differences over time* (although see, e.g., Grassl and Kapp 2002; Feß and Muxeneder 2018). Further research in this area could therefore shed light on the developments of performance practice in the general context of 20th- and 21st-century WAM. The focus here, as in Haack (2002), Laubhold (2018), and Leong and Ewen (2019), is on the temporal aspects, although from a slightly broader selection of performances and with closer scrutiny of temporal data. The objective is to give a detailed description of the signifying rhythmic and metric aspects in the performance data of the selected corpus, and to develop an understanding of the similarities and differences both across the performances and in relation to the score. An in-depth expounding of performance practices, especially as conveyed through a larger corpus, would be well beyond the scope of this article. Nevertheless, I hope my deliberations will open up a path for future examination of how the temporal choices revealed in the performance data foster the creation of the performers’ narratives of the story of Schoenberg’s op. 19 no. 4, and thereby contribute to the study

of the dynamics of performance practices. It would also, to a degree, resolve the question of performers' commitment to themselves and to others, including composers and their instructions.

Of all Schoenberg's solo piano works, the fourth piece in op. 19, "Rasch, aber leicht," suits the current purposes particularly well due to its historical position at the center of pre-twelve-tone expressionism, the fact that it is sufficiently concise in scope (in comparison to op. 19 no. 1, and other opuses), its instantaneous nature,³ and the avoidance of a strong, consistent character (as in the "aria" or waltz character of number five and the epitaph of Mahler in number six; Muxeneder 2018). Furthermore, op. 19 no. 4 poses a relevant question regarding temporal coding in particular: there are fermatas and indications of retardation in the score, but no indications of *a tempi*. Presumably, these instructions give the performer much leeway to decide, specifically with regard to "whether you should play strictly in tempo or with liberty" (Steuermann 1989, 104), which has been debated based on Schoenberg's ambiguity on the matter (see, e.g., Stein 2002, 67).⁴ Number four consists of clear-cut phrases, each with an individual character, although some seem to suggest temporal continuation whereas others are left open either by the fermata or the rests (Figure 6.2). The score also hosts a variety of indications of distinct rhythmic characters. These extend from the double-dotted opening to the more steady-state 16ths and 8ths and intermittent triplets—with occasionally injected accents and slurs, the articulation of which might interweave with the rhythmic treatment—and further to the contrasting precipitate *forte martellato* passage before the seemingly straightforward, rigorous ending.

The material selected for this study consists of eight recordings of op. 19 no. 4 spanning over about 50 years: those by Eduard Steuermann (1957), Glenn Gould (1965), Claude Helffer (1969), Maurizio Pollini (1974),

3 The first five pieces of op. 19 were composed on a single day, 19 February 1911.

4 Even the tempo marking at the top may be slightly contradictory: *rasch*, the connotations of which may be more active than those of the synonym *schnell*, is contrasted with *leicht*, denoting easy and light. The Cambridge German-English dictionary translates *rasch* as "rapid," "quick," and "swift," and *schnell* perhaps more neutrally as "quick," "fast." The adjective *leicht* clearly has the double meaning of "bright" and "easy."

14

IV

Rasch, aber leicht (♩)

1 *p*

2 *f*

3

4 *poco rit.* *pp*

5 *leicht*

6 *pp* *p* *pp*

7 *poco rit.* *p*

8

9

10 *f martellato*

11 *ff* *sf*

12 *ff* *sf*

13 *fff*

Figure 6.2. “Rasch, aber leicht”, no. 4 from *Sechs kleine Klavierstücke* op. 19 (1911) by Arnold Schoenberg (1874–1951), © with kind permission of Universal Edition AG., Vienna.

Paul Jacobs (released in 1975), Günther Herzfeld (1994), Mitsuko Uchida (2000) and Stephen Hough (2006). Older recordings were left out, because of the interest in covering the post-World-War-II stage of developments in the performance practice of the Second Viennese School: the era of post-war modernism, the time after Schoenberg's death, and the onset and proliferation of LP and then CD recordings, for example. I also omitted the most recent recordings, issued after the onset of online distribution. At this point I will skip over the issue of *recordings as performances*, and simply accept them as publicly released recorded performances regardless of their production (on this issue, see, e.g., Cook 2013, 364, 374–79; Doğantan-Dack 2008). Nevertheless, the corpus is decidedly varied (albeit admittedly male-dominated), and includes performers with evidently diverse positions in terms of developing their performance practice by means of this repertoire. Eduard Steuermann certainly was not an innocent bystander at the Second Viennese School, for instance, and has been so recognized (Steuermann 1989), whereas Günther Herzfeld made his contribution in a different context in terms of time period, audience, repertoire, and even teaching versus performing. The other six, each in their own way, have also contributed to the setting of “standards” for performing this particular piece, as a small part of the expressionist, modernist and (going back about a hundred years) contemporary repertoire.

The recordings were analyzed for their event inter-onset intervals (IOI) by, first, automatically extracting the intensity data and the subsequent intensity tier data from the sound files using Praat software (version 6.0.49, Boersma and Weenink 2019) and, subsequently, manually adjusting the onset times ($N = 8 \times 57 = 456$), based on repeated listening of the perceived attack onsets.⁵The onset times were used to

5 Although the solutions and quality of automated beat tracking from audio are rapidly developing, other solutions, such as using the Sonic Visualiser family (Centre for Digital Music at Queen Mary University of London), used in Chopin studies, for example, were not an option here, for technical reasons. The number of onsets ($N = 57$) was small enough to allow computer-assisted but manual, perceptually reliable extraction of the IOI data, corresponding to the performer's and the listener's perceptions of the events. A randomized selection covering ca. 10 per cent of the IOIs was re-extracted from scratch to ensure data consistency (and to identify possible risks), and the analysis gave no in-

determine the IOIs, event durations, and tempi in different time resolutions (event, beat, measure). These were then plotted against score positions, and the data and the plots compared across performances in various magnitudes, and in relation to the score. The scores consulted were the Wiener Urtext Edition by Eduard Steuermann and Reinhold Brinkmann (Schoenberg 1983), which is based on the Schott edition of the *Sämtliche Werke* (1968), as well as the facsimiles of the holograph fair copy and the first written copy of the Arnold Schönberg Center edition (Schoenberg 2012).

The focus in the analysis of the performance data is on aspects of the rhythmic and metric treatment that appeared to differ in some performances while being similar in others. Here, the analysis is limited to temporal performance data, and the comparisons are made on a detailed level (cf. Cook 2013, 149–57).

The events and comparisons are displayed below, not primarily as tempo maps to which the reader might be more accustomed, but as *event curves*, in other words plots of score positions over event onset timestamps, such that the performance time runs on the horizontal axis and the score position for each event onset of performance data is given by its vertical position. The idea here is to avoid the difficulties of estimating tempo in events with no clear offset time while portraying their unfolding from the viewpoint of the performer. In this way, the tempo at each given moment can be deduced from the slope of the lines between events: the steeper the curve, the faster the tempo, whether momentary or general.⁶

dication of significant differences in the repeated IOI measurements (median difference 0.185 ms; the related-samples Wilcoxon signed-ranks test across measurements resulted in the retention of the null hypothesis: $n = 48$, $Z = .349$, $p > .05$).

6 References to the score are given not only as measures, but also, for the sake of brevity and connection to the event onset data, as score positions, with position within the measure in decimals: e.g., “pos. 3.5” is the middle point of m. 3, and “pos. 3.125” the second 16th (the time signature being $\frac{2}{4}$). The tempi are indicated as quarter beats per minute (bpm).

Results

The event curves portray the differences and similarities across performances (Figure 6.3). The mean overall tempi (as measured from the first to the last event onset, excluding the final decay and reverberation) vary between 63 and 88 bpm (Herzfeld and Steuermann, respectively), in other words 19 percent below and 15 percent above the median of 77 bpm. However, it is better to look first at the temporally steady-state sections (mm. 1, 3, pos. 5.5–6.5, and mm. 10–11). I will then consider the temporally less stable sections, indicated by the *ritenuto* markings in m. 4 (missing in the first and holograph copies) and at the beginning of the phrase in m. 7, and the fermata in m. 5. These are followed by remarks on certain details, mainly of opening measures.

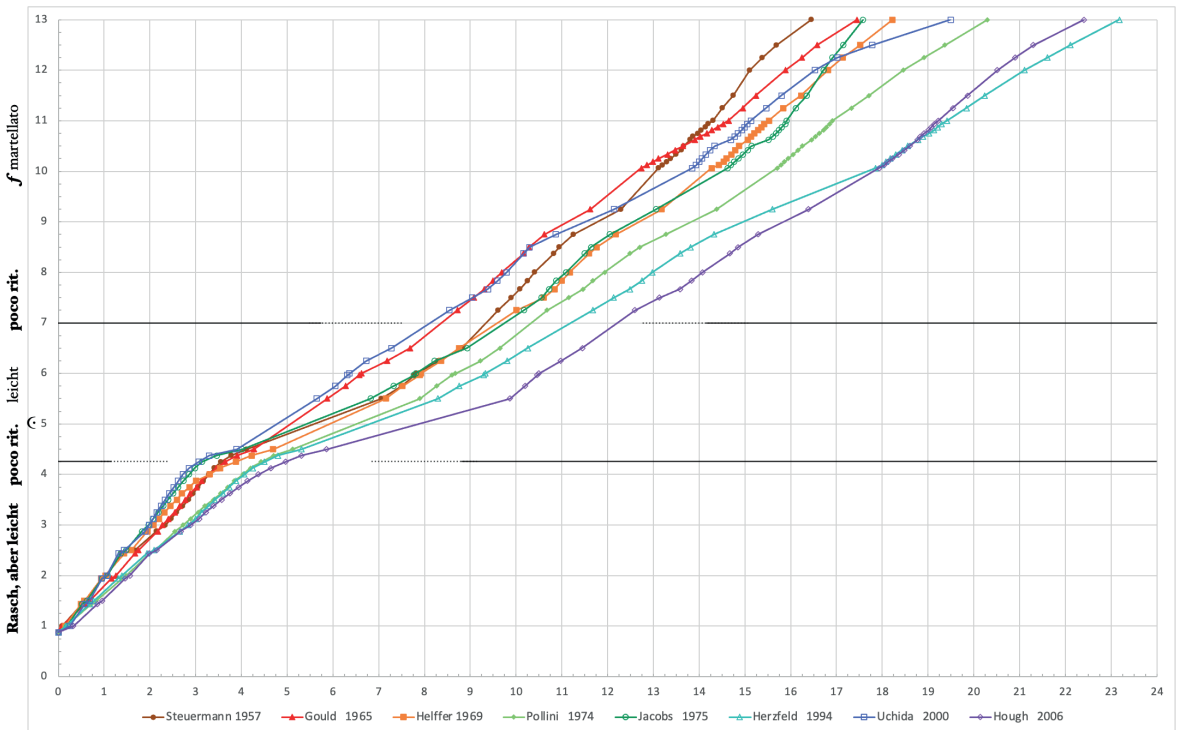


Figure 6.3. The event curves of eight performances of Schoenberg's op. 19 no. 4, "Rasch, aber leicht," indicate the timelines of the event onsets for each one: performance time (in seconds) on the horizontal axis, score position (in measures) on the vertical axis.

Steady-state Tempi and the Final Ritenuto

Measures 1 and 3 are temporally relatively steady in each performance. The opening tempo in m. 1 varies quite widely across the performances, between Pollini's 91 and Uchida's 147 bpm with a median of 113, and even more in m. 3 between Hough's 81 and Uchida's 161 bpm (Figure 6.4). Although the median tempi between mm. 1 and 3 remain close to same (113 and 108), only four of the performers retain the tempo at approximately the same level (Jacobs at ca. 135, Steuermann at ca. 124, Herzfeld at 98, and Pollini at ca. 91 bpm), whereas two take up a substantially faster tempo in m. 3 (Gould from 102 to 119 and Uchida from an already fast 147 up to 161), and two a substantially slower tempo (Helffer from 135 to 98 and Hough from 97 to 81). Interestingly, Herzfeld keeps the tempo in mm. 1 and 3 exactly the same, to an accuracy of tenths in bpm. Helffer's (1969) tempi are matched in m. 1 by Jacobs (1975, differing only by +0.4 bpm), and in m. 3 by Herzfeld (1994, +0.2 bpm). In turn, Herzfeld's (1994) tempo in m. 1 is matched by Hough (2006, -0.6 bpm).

After the first *ritenuto* and the fermata (discussed below), the tempi in pos. 5.5–6.5 vary between Jacobs's 57 and Hough's 76 bpm, in other words they are all slower than in the opening measures (despite the

score pos.	Steuermann 1957	Gould 1965	Helffer 1969	Pollini 1974	Jacobs 1975	Herzfeld 1994	Uchida 2000	Hough 2006	median
1.0–2.0	123	102	135	91	136	98	147	97	112.6
3.0–4.0	125	119	98	92	135	98	161	81	108.5
4.0–4.5	73	61	43	55	52	48	51	40	51.6
4.5–5.5	41	75	49	43	43	40	68	30	43.0
5.5–6.5	68	66	75	69	57	61	73	76	68.5
10.0–11.0	95	59	90	93	87	72	88	87	87.7
11.0–12.0	151	96	93	78	149	71	86	93	93.2
12.0–13.0*	89	77	85	65	139	58	40	63	70.9
overall mean	88	83	80	72	83	63	75	65	77.2

Figure 6.4. Mean tempi of each performance in the steady-state sections, in m. 12* (with or without a final *ritenuto*), and in the first *ritenuto* (gray area, 4.0–4.5 and 4.5–5.5): score positions 6.5–10.0 omitted here (see below).

upcoming *ritenuto* in m. 7), and in most cases very much so: this applies especially to Uchida, who was the fastest in mm. 1–3, but plays pos. 5.5–6.5 at only 73 bpm, and Jacobs, who drops the tempo down from 135 to 57, the slowest in the selection. Only Hough slows down less between mm. 3 and 5.5–6.5 than mm. 1 and 3 (97–81–76 bpm). Moreover, the tempi vary less across performances (at most 17 percent above and 11 percent below the median in mm. 5.5–6.5 vs. +49 and -25 percent in m. 3, or -31 and +20 percent in m. 1).

There is a significant difference in texture between the *forte martellato* in m. 10 and the accentuated final measures 11–13 in the later steady-state sections close to the end. I discuss the treatment of the rhythm and the relative tempo in the *martellato* in more detail below, but there seems to be quite a consensus for the prevailing tempo in m. 10 (as in mm. 5.5–6.5): six of the eight pianists perform the *martellato* between the relatively narrow span of 87 and 95 bpm, whereas two take it notably more slowly: Herzfeld at 73 and Gould at only 59 bpm, i.e. slower than in mm. 1, 3 or even 5.5–6.5.

Measures 11–12 up until the concluding beat in m. 13 seem to accommodate two main performing strategies in terms of tempo after the *martellato* passage: either consistently slowing down measure by measure from the *martellato* until the end (Uchida, Herzfeld, and Pollini), or first picking up a faster tempo during or immediately after the *martellato* and then either slowing down in m. 12 (most others)—or not (Jacobs). Helffer's solution to keep the tempo practically same throughout the end measures stands alone here. Pollini slows down almost linearly (93–78–65), whereas Herzfeld (72–71–58), and Uchida in particular (having also been fastest at the beginning), emphasize (Uchida more drastically) the end in slowing down (88–86–40). Gould and Steuermann, in contrast, take the first half of m. 12 significantly faster than the *martellato*, before notable final *ritenuti* in m. 12, Gould only on the final event. Jacobs (1975) and Hough (2006) both continue in m. 11 with the tempo reached in *martellato*, but the latter (like Steuermann) does a short final *ritenuto* in m. 12 whereas the former (like Helffer) does not (see also Figure 6.8 below).

The First Ritenuto and the Fermata

The varied interpretations of the general tempo instruction “*Rasch, aber leicht*” in the steady-state sections are largely left open for the performer to choose, in the absence of metronome markings or other direct indications. On the other hand, the “poco rit.” markings constrain the temporal choices available, unless the performer decides blatantly to override them. This is not the case here: the *ritenuti* markings are definitely observed, but what is interesting is how.

The first “poco rit.” (in Schoenberg 1983 but not in the first copies, Schoenberg 2012), is at the phrase ending in m. 4, accompanied by a diminuendo from pianissimo and a pedal mark until the fermata in pos. 5.0. The two and a half beats of score time have only three event onsets for the deceleration. The close-up on the event curves (Figure 6.5) shows a coherent set of curvatures bending to the right, illustrative of gradual retardations, event by event. The *ritenuto* is marked at pos.

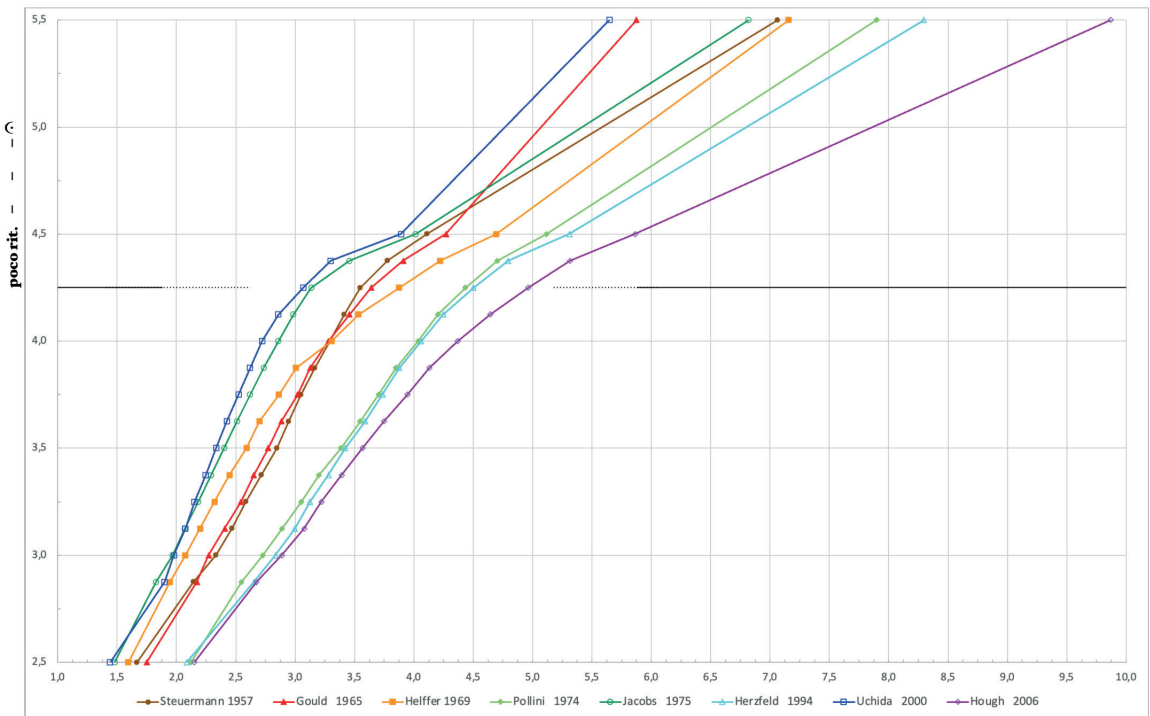


Figure 6.5. Close-up of event curves at the first *ritenuto*, including the fermata.

4.25, but only Steuermann and Jacobs seem to effectively start it at the marked point and not before: Gould and Uchida start slowing down from pos. 4.0 (although Gould's *ritenuto* also resembles Steuermann's), Pollini and Herzfeld quite similarly slightly from pos. 3.75 and more from pos. 4.25, Helffer somewhat unevenly from the end of m. 3, and Hough very gradually from as early as pos. 3.5.

The amount of retardation, as measured between the mean tempo of the steady-state m. 3 versus the event tempo at pos. 4.375, the C3 16th, is substantial: from a span of 81 to 161 to one of 25 to 45 bpm. This is a *ritenuto* to about a third of the earlier tempo in most cases, with the exceptions of Jacobs (1975) and Uchida (2000) who take it down to 20 (from 135 to 27 bpm) and 16 (from 161 to 25 bpm) percent, respectively.

The exact shapes of the *ritenuti* are somewhat difficult to assess, given the small number of events and the ambiguities of the starting points. In terms of curvature, the success of matching them with linear, quadratic, or other polynomial curves depends on where one starts, in other words where exactly the *ritenuto* is judged to begin. For example, Jacobs's *ritenuto* seems best to match a quadratic curve if examined between score positions 4.0–4.375, but up to 8th- or 9th-degree polynomials if one starts from the beginning of m. 3, leading to the *ritenuto*.

Note, too, how the sustained chord in pos. 4.5–5.5 ending with the fermata is treated: as the sole exception, Steuermann's event line tilts further right at 4.5–5.5 in comparison to the span between 4.375–4.5 (top right in Figure 5), whereas the others more or less ascend. On the event level, the fermata ending the first *ritenuto* is not observed, except perhaps by Steuermann, but even he drops the tempo only by 10 percent from 45 to 41 bpm. Others increase the tempo only slightly (Hough by 9% from 27 to 30 bpm, Pollini by 19% from 36 to 43 bpm), or more extremely, practically swallowing the fermata and the sustained chord (Gould adds 79% to the tempo, from 42 to 75 bpm, and Uchida a whopping 170% from 25 to 68 bpm).⁷ The performances seem more

7 In terms of chord duration, if predicted on the basis of the tempo set at the previous 16th (the C3 at pos. 4.375), it would mean cutting the expected durations of 2.88 (Gould) and 4.74 seconds (Uchida) by 1.23 seconds or -44% (Gould) and 2.99 seconds or -63% (Uchida).

“correct” on the beat level in the sense that the tempo on the two beats of the sustained chord is lower than on the first beat of m. 4 (i.e. the sustained chord is prolonged beyond its written duration)—but only in five cases: Steuermann, Hough, Pollini, Jacobs, and Herzfeld, in that order (Figure 6.4, the gray areas).

Tempo Pickup and the Second Ritenuto

As noted, the picked-up tempo after the first *ritenuto* in pos. 5.5–6.5 is relatively steady, and notably slower than at the beginning. This, too, holds on beat-level observation, and is visible in the fairly straight lines at the bottom of Figure 6.6. However, after the *leicht* upbeat of paired eighths, the acciaccatura opening the soprano motif on downbeat m. 6, and the short counterpoint with the beginning of the melody line in the alto voice, accompanied by pianissimo chords, raise detailed questions

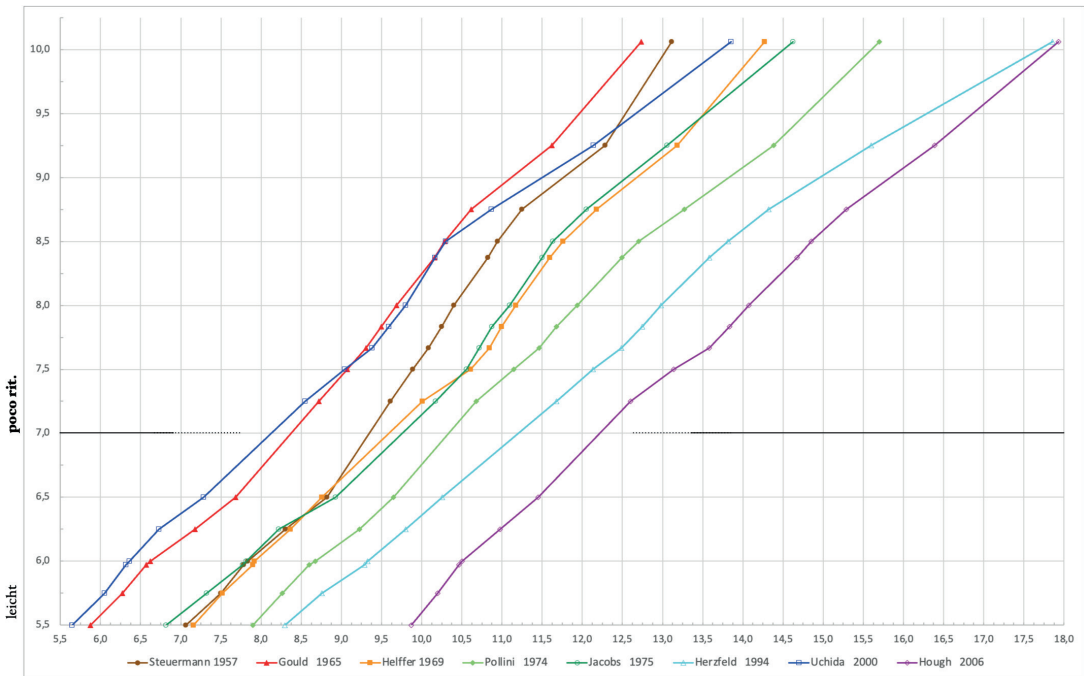


Figure 6.6. Close-up of event curves from the approach to the second *ritenuto* until the end of the phrase and the beginning of the *forte martellato*.

about temporal treatment (and perhaps also about clarity of execution). Despite their different tempi, Uchida, Steuermann, Gould, and Hough hasten to the acciaccatura, and slow down for the first half of m. 6 (Figures 6.6 and 6.7). Jacobs does the same an eighth later, hastening to the chord at pos. 6.25 and taking more time before the sustained F4. Herzfeld gives a little more time to the last eighth of m. 5, but his tempo is steady in comparison. In contrast, Helffer and Pollini decelerate until the chord at 6.25 and hasten to the F4.

The second *ritenuto* marking is at the beginning of m. 7. Punctuated by the chord in m. 8, the expressive monophonic *recitativo* line encompasses great variety in the details of the temporal choices. In preparation for both the expressive *legato* and the *ritenuto*, six of the eight pianists—Helffer and Herzfeld excluded—already pick up the tempo at the syncopated F4 (that is, they leave it short), and six of them—now excluding Helffer and Jacobs—give time for the tenuto A4 at pos. 7.5. In the bigger picture, however, although the second *ritenuto* is at the beginning of m. 7, the local tempo *maximum* in each of the eight performances is not reached until the second half of the measure, or (with Uchida, Hough, and Gould) in the first half of m. 8. Despite the time given by many to the tenuto A4, this is when the *ritenuto* finally starts. It ends effectively at the punctuating chord (pos. 8.75), with the exception of Herzfeld. This time, it is not as substantial as the first *ritenuto*, reaching only the event tempi between 47 (Uchida and Herzfeld) and 60 bpm (Gould, Jacobs, and Helffer), and not as “well-shaped” as in the first *ritenuto*, either (Figures 6.5 and 6.7). Pollini reaches the local tempo minimum as early as at the D4 before the chord. Most performers again leave the phrase ending short, with the rests before *martellato*—as if implying *horror vacui* in this context of scarcity: the exception is Herzfeld, who continues the *ritenuto* through the phrase ending (although Jacobs's tempo remains practically the same between 8.75–10.0).

The Forte Martellato

The hammering character of the *forte martellato* (m. 10) is an abrupt, marked change. The precipitate accented passage of 32nds is infused

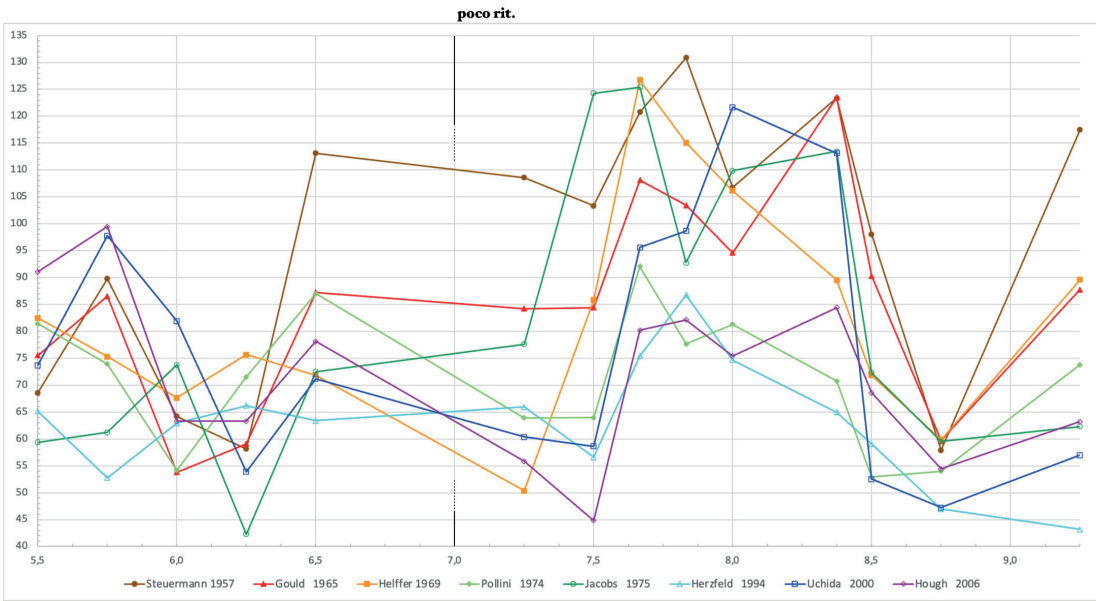


Figure 6.7. Event-by-event tempo map of the second ritenuito and the approach to it: the score position now on the horizontal axis, local tempo on the vertical axis.

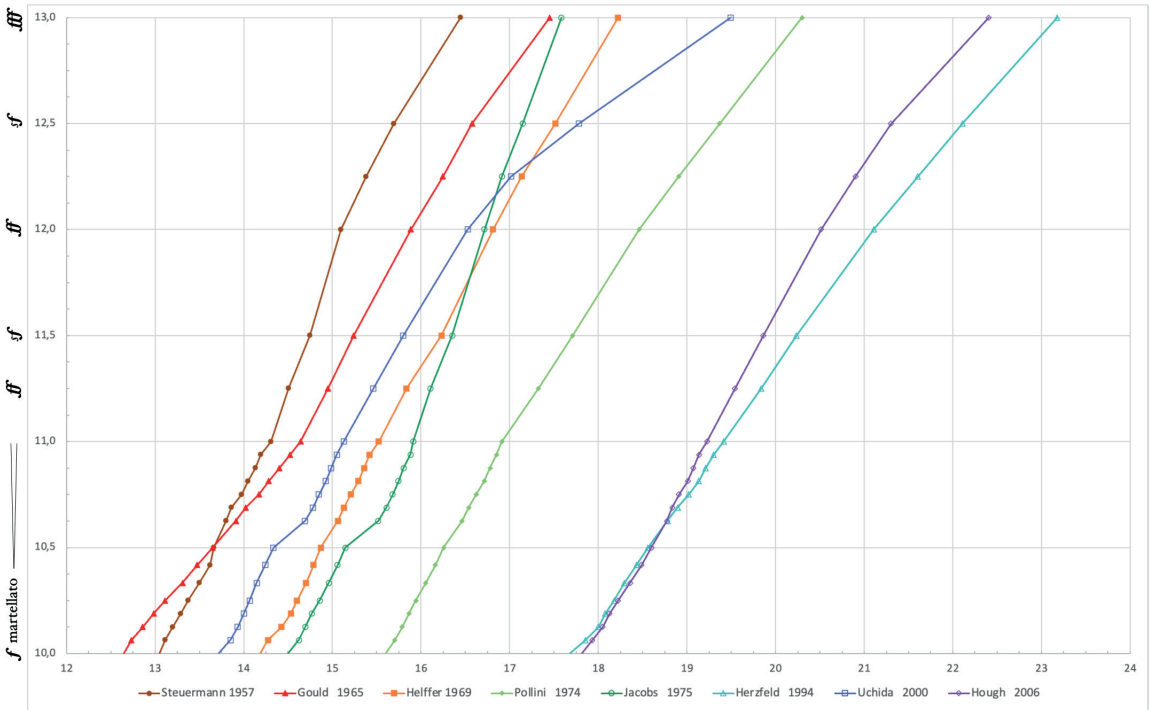


Figure 6.8. Close-up of event curves at the forte martellato and the conclusion.

with the twists of the 16th triplet, a sudden rest, and the slur towards its end, complicating the run before the resolute *fortissimo* hits end the piece. In terms of the *martellato* tempo, four of the performers (Steuermann, Jacobs, Uchida, and Herzfeld) choose a faster tempo than in pos. 5.5–6.5 but slower than in mm. 1 or 3 (down to 55–75% from m. 3; Figures 6.4 and 6.8). Hough's *martellato*, an exception, is slower than m. 1 but faster than m. 3 or pos. 5.5–6.5. Pollini's *martellato* tempo is very similar to mm. 1 and 3: 91–92–93 bpm. Gould differs from the others: his *martellato* is notably slower than in the earlier steady-state sections, only 50 percent of m. 3, and even slower than in pos. 5.5–6.5.

Two strategies are apparent in the rhythmic treatment: dividing the *martellato* in two or keeping the complete run linear. Jacobs and Uchida take their time at the midpoint rest and keep the halves of the run compact and internally linear (see the parallel shifts of the otherwise straight lines in the event curves, Figure 6.8). In a way, Steuermann does the same, but in a different direction—rushing to the second half of the *martellato* run—and his rhythmic details vary more (and are blurred by slurring). Others keep it more or less linear, especially Gould and Pollini, but also Herzfeld and Hough. Helffer (like Steuermann) has more local deviations from the exact time-values in the instructions. By way of illustration, Figure 6.9 shows Helffer's and Pollini's deviations from the written time-values, proportionate to their tempi in the *martellato*. The mean deviation of the proportionate duration of the event from the proportionate duration of the notated time-value in Helffer's *martellato* is 1.77 percent, and 0.88 percent in Pollini's. Note, however, that I am approaching the limits of data resolution here, as the deviations are in the magnitude of milliseconds or even less. Note also the temporal stress given to metrically strong events at 10.25, 10.5 and 10.75 by both.

Other Rhythmic Details

Although one could examine event-level details almost indefinitely, it should suffice for current purposes to point out just a few more, on a) the initial upbeat, b) the double-dotted opening motif, c) the treatment

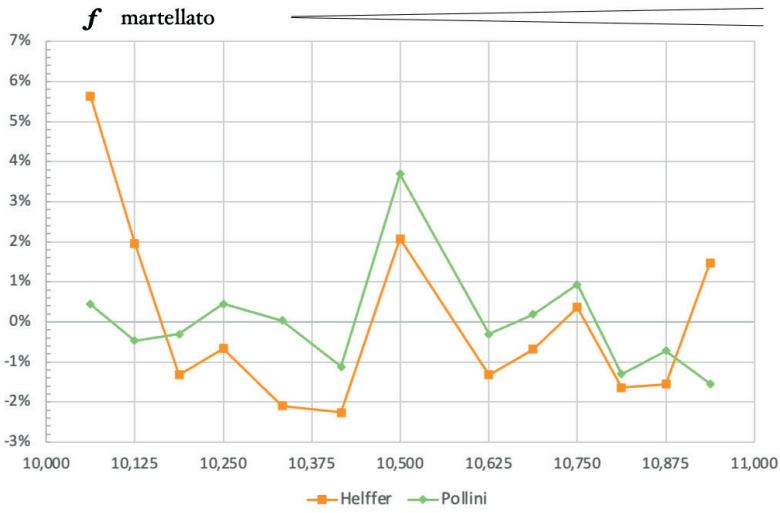


Figure 6.9. Deviations from the notated durations in Claude Helfer's and Maurizio Pollini's *forte martellato* sections, scaled to relative proportions: Pollini deviates less, except for the metrically strong beat at pos. 10.5.

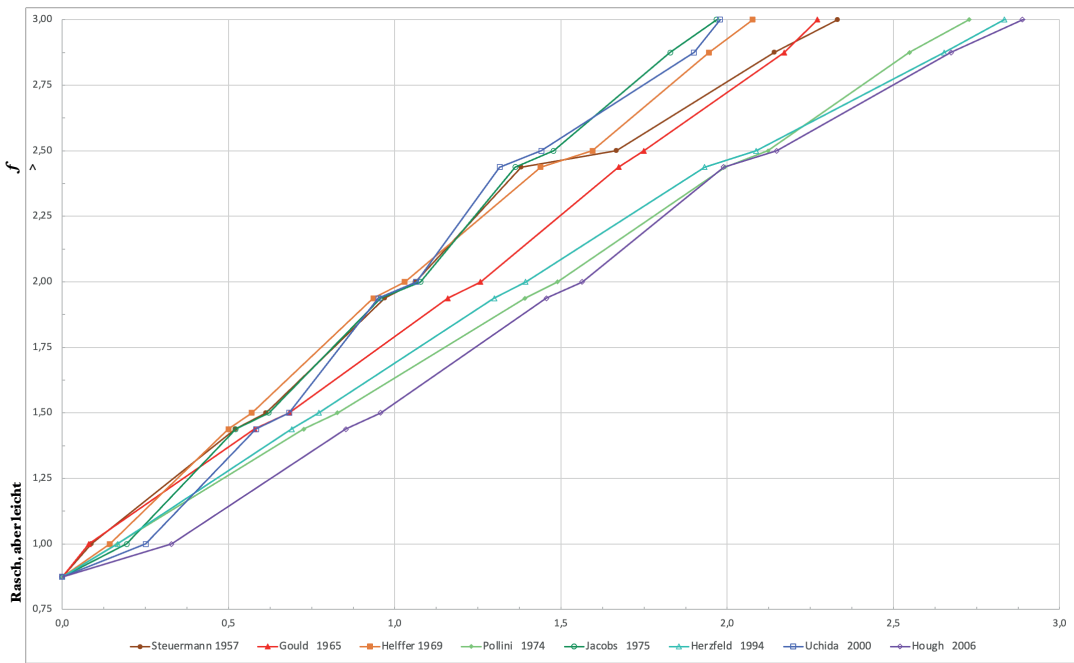


Figure 6.10. Close-up of the event curves of the beginning: steepness indicates tempo, straightness indicates adherence to the written time-values. The double-dotted rhythm tends to be smoothed, and the accented dyad at pos. 2.375 is given time in varying degrees, as is the upbeat to m. 3.

of the accented forte dyad in it, and d) the *acciaccatura* in m. 6.

If treated supposedly “correctly,” the duration of the initial upbeat 16th in m. 0 should, of course, be 25 percent of the beat duration in m. 1. However, it varies widely in the eight performances, from Gould’s 13 and Steuermann’s 17 percent to Hough’s 52 and Uchida’s 58 percent (Figure 6.10). In other words, Gould takes the written 16th very nearly as a 32nd, whereas for Uchida and Hough it is longer than an eighth. Herzfeld with 27 percent and Helffer with 34 percent are closest to the median.

Correspondingly, the time values in the characteristic double-dotted opening motif of m. 1 “should” have a ratio of 7:1, the 32nds lasting 12.5 percent of the complete beat duration. Herzfeld and Pollini come closest to this (averages of 14 and 15 percent, respectively, of the only four values in m. 1), whereas Jacobs and Uchida smooth it off at 25 and 26 percent, respectively, i.e., as a single-dotted rhythm. The others are within a one-percent unit of the median of 18 percent, in other words close to a 5:1 ratio.

Accentuation does not necessarily mean greater volume, as shown in the temporal treatment of the accented forte dyad F5–B5 in m. 2. Here, Gould, Pollini, and Herzfeld play the dyad event the closest to the strict timevalue (at 16, 20, and 22 percent of the beat length, respectively), whereas Uchida makes it a third and Steuermann almost half (33 and 47 percent). The others are, again, within a one-percent unit of the median, now at 27 percent, in other words at about single-dotted rhythm.

Finally, with regard to the *acciaccatura* of m. 6, the options are whether to play it on or before the beat, and at what length.⁸ It seems from the measured onsets and repeated listening that only Steuermann plays the *acciaccatura* on beat, together with the accompanying chord and the melody line beginning in the alto voice; the others play it before the beat. However, in some cases one cannot be sure, given the short duration of the *acciaccatura* (and the sound quality). The absolute dura-

8 The *acciaccatura* is without the slash in the holograph fair copy (Schoenberg 2012).

tions of the acciaccatura vary between 24 and 73 milliseconds (Helffer and Pollini, respectively), but the duration relative to the beat length might be of more interest in this detail: Helffer, Herzfeld, and Jacobs play it as about a 128th (relation to beat length 3.2%, 3.6% and 4.2%), Pollini as about a dotted 64th (9.5%), and the others as about a 64th (6.2–6.8%; median 6.2%).

Discussion

Although the results discussed above illustrate the varied choices made by the performers, they are also midway findings, *en route* to further study on how temporal and other parameters of performance data contribute to the construction of the identity, narrative, and signification of each performance. This temporal analysis of eight recordings is a beginning. In addition to increasing the corpus and other parameters such as dynamics, future research could focus on comparing the performance not only with the score (and its versions) but also with other, more indirect instructions given by Schoenberg (e.g., in *Style and Idea*, Schoenberg 1984, or his diaries) and others who might be or have been in a position to set the direction of performance practice—and even of Schoenberg’s process (e.g., Steuermann 1989). The corpuses and instructions, in turn, should be understood in the contexts in which they are currently uttered and heard.

The details excavated here only provide material for in-depth analysis, and should be interpreted further as performed narratives of each performer, temporally unfolding unified structures with which to convey the performer’s message. This would entail the inclusion of each performer’s “knowledge background” in all its complexity, and all the “assumptions, information, images, and associations.” In other words it would incorporate socially and historically situated, embodied agency and identity, in addition to the composer’s instructions that govern the decoding and recoding, and thereby “contribute in unique ways to the formation of her [or his] performance interpretations, and performance signature” (Doğantan-Dack 2008, 303). Only then would it be possible thoroughly to compare interpretations and how they relate over time,

as well as possible path-dependency, and thereby finally, little by little, to tackle the dynamic hypothesis of performance practice.

Nevertheless, the data discussed here reveals some interesting points. The temporal performance data comprising the eight recordings seems to be relatively efficient in bringing out choices agreed upon more or less unanimously, other choices with varying alternatives, and some individual exceptions. In this sense they point out some of the shared and distinct habits of performing, albeit obviously insufficient to allow fuller description of the temporal practice, let alone of practices in the performance of the expressionist solo piano music of the Second Viennese School in the latter half of the 20th century. Some of the choices seem too coincidental not to be path-dependent, in other words implying that some choices in more recent performances were affected by choices made earlier, which is a sign of performance practice as a collective of shared habits. Although the number of performances analyzed is too small to allow the drawing of conclusions, there may be a slight tendency to slow down the overall tempi in more recent performances. Nevertheless, and given that the analysis was not intended to include the complete narrative, it seems to me that all the performances constitute unique entities, and the individuality of each performer comes out clearly—in how the instructions are complied with, or not.

The narrative characteristics of the steady-state and *ritenuto* sections are *markedly* different (see Hatten 2017), evidently affecting the tempo choices. There is space for the performers to substantially vary the tempi in the active double-dotted opening and the subsequent paired sixteenths (mm. 1–4.5)—although not all of them take it—but given that there is no *a tempo* marking after the first *ritenuto*, the consensus on tempo (57 to 76 bpm) in pos. 5.5–6.5 is quite striking. All eight performers observe the *ritenuto* instructions, in particular the first one—the span of which is marked more clearly in the published score. In the second one, which lacks more detailed instructions, there is more variance, temperance, and ambiguity, partly locally targeting the A4 in 7.5, partly emphasizing the longer span of the monophonic phrase. For many of them, the idiomatic, specified character of the *martellato* seems to override the written rhythm and the *a tempo* issue following

the second *ritenuto*.

Risking oversimplification, I would say that the instructions are “obeyed” and “disobeyed,” more or less passively *versus* actively. The strategy—or the ethics—seem to vary. The intention may have been to avoid any action not mandated in the score such as when Jacobs opts out of a final *ritenuto* and Pollini steers clear of tempo changes or deviations from the notated rhythm. On the other hand, it may have been to engage the “performer’s creativity” more fully when given leeway, such as the different tempo choices by Gould and Uchida vs. Helffer and Hough in mm. 1 and 3. The performers vary in their choices between the temperate (such as Pollini’s and Herzfeld’s quite unrelenting maintenance of tempi and rhythm) and the extreme (such as Uchida’s more radical *ritenuti* and tempi in the steady states), verging on barely noticeable nuances vs. exaggerating gestures.

Further study would definitely deepen understanding, but the performance data reported here already seems illustrative of the problem of the performers’ various commitments. Such commitments are realized in how the performance and thereby the performer relate a) to the instructions and thereby to the composer; b) to earlier performances (of which they may or may not be aware) and thereby to the collective of performers (and audiences); c) to the shared habits of performance practice; and d)—last but not least—to the self through their *own* choices, thereby bringing out the performer’s identity and positioning as a communicative agent in the signifying process.

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Teaching “Performance and Analysis”: A One-Semester Course at The University of Texas

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As a music theorist and pianist, I often find myself working at the intersections of performance and analysis.¹ And at the University of Texas at Austin, I enjoy teaching a one-semester course entitled “Performance and Analysis.” While the course does indeed help students apply stylistically warranted analysis to their performance interpretations—e.g., understanding phrase structure and expansion, or shaping metrical dissonance—it goes much further, helping students to physically embody sound prior to playing; to discover the irreducible significance of the surface through gestures, topics, and tropes; and to incorporate insights from historical treatises and older recordings. The goal is to foster students’ competency in making informed yet individual interpretive choices with respect to their tonal repertory. Drawing on my experience in teaching this course, I suggest how performance and interpretation may be approached comprehensively, including embodied and critical, as well as theoretical and historical perspectives.²

My course is cross-listed for upper-level undergraduates as well as masters’ and doctoral students, but I typically attract far more grad-

1 See, for example, Hatten 2014a.

2 This chapter focuses on my organization and teaching strategies for a 15-week, semester-long course as designed for an academic curriculum common to universities in the United States. While I recognize that the entire course may not be appropriate or practical for different curricular designs and academic years, I trust that those who teach performance and analysis will encounter a few approaches that might usefully be adapted to their particular needs.

uate than undergraduate students, probably due to a more crowded undergraduate curriculum. We meet for 50 minutes three times a week, and I control the class size (no more than 16) so that each student has time to demonstrate and perform for the class at least four times during the semester. Grading of in-class presentations is based on the successful application of various approaches, not on a juried evaluation of a finished performance, although the playing is usually quite strong. I often accompany my students at the piano, thereby sharing a wealth of non-verbal insights through ensemble interaction, in addition to our verbal interactions. One of my goals for these presentations is to create a supportive atmosphere in which every student feels safe to explore, often spontaneously, a range of interpretive options. The course also carries a “writing flag” for undergraduates, which means that a significant part of the grade must come from writing assignments. I have found this complement to the course to be equally useful for graduate students, and they seem to appreciate having a chance to consider their interpretive choices in light of a wide range of evidence, from the heuristic to the theoretical and historical.

There are two required texts: Alexandra Pierce’s *Deepening Musical Performance Through Movement* (Pierce 2007) and Clive Brown’s *Classical and Romantic Performance Practice: 1750-1900* (Brown 1999), both available in less expensive paperback editions (2010 and 2002, respectively). I prepare a coursepack of music during the first week, during which students select two excerpts they will be focusing on throughout the semester: a Classical (or Baroque) and a Romantic (or 20th-century neoromantic) composition, with each excerpt generally encompassing no more than a major thematic section. Transcriptions are acceptable, in order to accommodate every instrument; for example, percussionists typically choose transcriptions for marimba. The coursepack also includes about a hundred pages of excerpts I have selected for purposes of illustrating a range of issues that might not appear in the student excerpts. While preparing this coursepack with their excerpts, I distribute a short packet of musical excerpts to support our exploration of exercises from Alexander Pierce’s text.

I devote the first five weeks of the 15-week semester to Pierce’s

approach, since I have found that her wide-ranging exercises continue to be directly applicable throughout the entire course. Students immediately warm up to the camaraderie and good humor inspired by these exercises, and I also pair them in teams so that they can interact productively outside of class. Students are asked to keep a journal about their discoveries, which leads smoothly to their first essay assignment, a five-page discussion of their team practice, specifying in detail which exercises worked well, which did not work as well, and why.

I begin by leading students to experience core balance in the body, when sitting and standing. One way to find that “tonic” centering of the body is by going in and out of balance at different speeds, based upon the shaping of musical phrases. Fig. 7.1 presents only the first of seven one-page handouts I distribute to students as handy summaries of Pierce’s exercises, focusing on those that we actually practice in class. I find such “class notes” to be extremely helpful as outlines for all of my students, and especially those for whom English is not a first language.

This early movement-to-music practice leads naturally to an exercise called “arc-ing” that helps one embody gradual intensification toward a phrase climax. The student stands and traces with an extended arm a slow, clockwise arc, beginning with the arm pointed downward, and timed to reach the climax of a given phrase, experienced with maximum upward stretching, around “one-o’clock,” with an extension of up to an “hour” on either side. Such an apparently simple exercise can have profound results when transferred to performance, often helping to shape larger phrase units and ensure follow-through after the apex. As Pierce notes, the climax can “spread” across several beats in which energy only gradually tapers off (see the bracketed beats in Fig. 7.2). Both team members can arc to a recording, then one teammate can continue to arc while the other is actually playing the phrase, helping the performer focus attention on shaping the climax. Teams can compare their intuitive results and explore arcing of various-sized phrases. In class, other students can be actively engaged in the same—or different—exercises to the music as it is being performed, perhaps standing or moving about the room as they explore their own intuitive reactions

Pierce, Alexandra, *Deepening Musical Performance through Movement* (Indiana UP, 2007)

Drawing on movement disciplines (Ida Rolf; Émile Jaques-Dalcroze), acting disciplines (Constantin Stanislavski) and music theoretical approaches to hierarchy (Heinrich Schenker), Dr. Pierce (theorist, composer, pianist) presents a comprehensive approach to:

EMBODYING movement qualities (via a series of exercises focusing on each musical element)

To achieve **Vitality** and **Precision** in **Affect** that is

Heuristic, as a means of exploring, discovering, via

Proprioceptive awareness of your own body's position and movements.

She begins by introducing a body principle (>), leading to a movement exercise (*), that is then used to explore (by mapping) the characteristic movements shaping a *musical excerpt*.

I >BALANCE

"Resting balance" (centered, core support) (both sitting and standing)
 Extremes: "Arching" (tensing back) vs. "Giving way" (slumping forward)
 "Activated balance" (slight forward lean; seated: weight on feet; standing: "Z-crouch")

***ROCKING** (forward and backwards)
 Tonic = from resting balance to "activated balance," in preparation for Arching (or Giving Way), and then returning to
 Tonic = activated balance, to complete a performance phrase: "*The Turtle Dove*"

II >FLEXIBLE SPINE (trunk, arms, head)

***SWAYING** (freely in all directions, but no collapsing; all parts of spine flexing)
 Timed, for shaping various-sized phrase units: *Schubert, "Die Nebensonnen"*

III >CORE SUPPORT (feet, legs, pelvis)

***ARM SWINGS** (throw of weight: initial propulsion . . . follow-through of momentum, regathering of weight [reabsorbing, reverberation] with juncture (taking stock without stopping flow), before tossing again)

***GRACIOUS CURVE** (integrating all of above: rocking, swaying, arm swings)
 Standing in activated balance (Z-crouch), push up from floor, thrusting arms open ("embracing the moon"), to capture the dynamic flow of (hyper)metric phrasing and quality of climax:
Chopin, Prelude in A Major, Op. 28, no. 7

Figure 7.1. Handout #1 for the first unit on Alexandra Pierce's movement and interpretation exercises. Asterisks indicate the names of specific exercises (practiced in class).

to the shaping of sound. I emphasize the heuristic nature of this embodiment, since every performer must explore their unique body's range and character of movement (weight, breath, etc.) as applied to their specific instrument's capacity, in order to transduce their gestural energy into sound. Though informed by the practical shaping of intuited gestures, every performer will bring their own individuality to this

The musical score for Chopin's Prelude in A Major, op. 28, no. 7, measures 11-16, is shown in 3/4 time with a key signature of two sharps (F# and C#). The tempo is marked [Andantino]. The right hand begins with a piano (*p*) dynamic and a *dolce* articulation. A bracket labeled "climax spread" spans measures 12 through 15. The left hand provides a steady bass line, with asterisks (*) placed below measures 11 through 16.

Figure 7.2. Chopin, Prelude in A Major, op. 28, no. 7, mm. 11-16.

beginning interpretive stage (as well as at later, more complex stages of thoughtful interpretation).

Another exercise that helps develop both remarkable precision and nuance is aptly named “ping and lilt.” Here, all five fingers of each rounded hand touch each other precisely and with appropriate energy on the beat (the “ping”), then rebounding outward into an appropriate “lilt” that reflects the energy of that beat, as refracted into subsequent notes, and then regathering to prepare for the next precise “ping.” One can also step to the beat with its qualitative ping, whirling after each precise step in a nuanced flow of lilting energy. Again, the results can be transformative, creating awareness of the beauty that can be created by an elegantly even metric flow. This naturally emergent, exquisite experience of periodicity can be an illuminating counterbalance to erratic rushing and pulling back in a naïve attempt to force expressivity. Furthermore, one can experience and practice ping and lilt at various hypermetric levels—e.g., just one ping per downbeat—and experience a different placement of weight (and a more expansive lilt) when, for

The musical score for Schubert's Atzenbrugg German Dance no. 4 (38 Waltzes, Ländler, and Ecossaises, D. 145, no. 2), measures 1-4, is shown in 3/4 time with a key signature of two sharps (F# and C#). The piece is marked *p*. The right hand features a melody with accents (>) and slurs, while the left hand provides a steady bass line.

Figure 7.3. Schubert, Atzenbrugg German Dance no. 4 (38 Waltzes, Ländler, and Ecossaises, D. 145, no. 2), mm. 1-4.

example, a phenomenal accent on the second measure (dynamic, agogic, or both) creates a hypermetric syncopation (see Fig. 7.3).

“Contouring the melody” goes through several stages, from discrete “laddering” of intervals with a flat hand moving parallel to the ground, up and down in a single column, to more analog or freer shaping of contour that focuses on continuity of energy, moving the hand laterally and incorporating looser swirls that emulate the energy of the melodic line. Stepping the fundamental bass allows one to experience the structural harmonic rhythm at several reductive levels, thereby introducing Schenkerian hearing in a very natural way. Here, one steps forward and backward from a central tonic stance, shaping the distance to approximate the size of the interval between chord roots (not inversions).

Exercises in finding “tone of voice” can bring affect to the surface in a way that is surprisingly powerful. One way to overcome reticence in probing emotion is an exercise Pierce calls “gargoyles,” which is also one of the most entertaining. A student is shown an emotion word and upon taking the “stage” must suddenly freeze into a posture that most closely approximates that feeling; the other students then try to guess what emotion is being portrayed. Engaging the entire body is important for this exercise, and the student may try again after hearing feedback from the class. “Tone of voice” captures an emotion word by enunciating it with an intonation that most closely evokes the emotional expression. Finding the “right” word for a passage—or several words, for successive, contrasting gestures in a theme—and enunciating it just before playing can focus the entire body toward the goal of projecting each musical gesture with its characteristic affective tone.

Each of these exercises can be transformative in isolating and improving sensitivity to a highlighted musical element, but ultimately performance demands integration. Students spontaneously find ways to combine or adapt the exercises to solve issues in their own excerpts, synthesizing the gains from each exercise. For example, one can combine ping-and-lilt with stepping the fundamental bass, and experience the “counterpoint” (tug and pull) between an enlivened but regular pulse and a variable harmonic rhythm. Presentations by the same

teams enable students to explain what exercises they chose, and demonstrate how one team member, embodying the exercise in an agreed-upon way, can help support the gestural flow of the other, who is actually performing.

The process of journaling over these five weeks encourages each student to take ownership of their team practice, and the five-page essay practically writes itself as students draw on feedback from the class as well as from each other. Discoveries stemming from climax shaping and hypermetric ping-and-lilt exercises lead naturally into the next unit, which will provide more precise analytical names for the phrase structures, expansions, and metrical dissonances they have begun to intuit. For this more “theoretical” unit I have them read selections from William Caplin (1998) on phrase structures, William Rothstein (1989) on phrase expansion, and Harald Krebs (1999) on metrical dissonance, as supplemented by my one-page handouts on each (see Figs 7.4–6).

I typically demonstrate from my chosen excerpts in the coursepack during the first few days, while half the class prepares presentations focusing on either phrase expansion or metrical dissonance (or both, in some cases). In a written essay, students explore how the expansions or displacements found in their excerpts might serve expressive ends, and how they might convey that marked contribution in performance (perhaps through intensification in some dimension of sound). The written assignment also includes an excerpt for everyone to analyze, one that features distinctive phrase structure, expansion, and metrical dissonance (see Fig. 7.7).

The other half of the class will have their opportunity to present through a demonstration of topics found in their excerpts, drawing on Ratner (1980) and Allanbrook (1983), as summarized in my handout (see Fig. 7.8). They will also explore the combination of topics into more-or-less compatible or creative tropes—akin to metaphor, but purely musical—as based on my own theoretical work (Hatten 1994; and 2004). This sub-unit also carries forward Pierce’s work on characterizing gestures and corresponding emotion, as we search for appropriate affective words to help embody gestures and topics. A shorter written assignment includes a comparison of three Mozart excerpts in 6/8, each

Rothstein, William, *Phrase Rhythm in Tonal Music* (NY: Schirmer, 1989).

In Chapter 1, Rothstein distinguishes phrase structure from hypermeter along the lines of Lerdahl & Jackendoff's (1983) distinction between grouping and hypermeter—they can be either in agreement or in conflict. **Hypermeter** refers to the combination of measures on a metrical basis, with a pattern of alternation between strong and weak measures. **Phrase structure** refers to the coherence of musical passages on the basis of melodic, harmonic, and rhythmic content. A **phrase** is defined as "a directed motion in time from one tonal entity to another"; thus, "if there is no tonal motion, there is no phrase" (p. 5). **Phrase rhythm** (Rothstein's useful substitute for phrasing) embraces both phrase structure and hypermeter, and addresses the kinds of **expansions** outlined below.

Important concepts from pp. 64–83:

1. **prototype:** (64) the structural skeleton of that part of a phrase which is subject to transformation by expansion. Often, the prototype must be inferred from the expansion.
2. **phrase expansions** (65) elaborations/embellishments of prototypes, involving a point of departure and a point of return. Often, **"the expansion temporarily suspends the hypermeter without actually breaking it."**
 - a. **external expansions**
 - (1) **prefix** (introduction): vamp/accompanimental figure setting stage for melodic entrance. (70) A "suffix may be transformed, midway, into a prefix"
 - (2) **suffix** (codetta): (71) "extend the basic phrase's closing harmony" [RH: including, in the K. 310 example, a cadential passage of 7 bars!] (73) "suffixes themselves have suffixes" and in Beethoven, they "tend to become progressively shorter." "The essential quality of a suffix . . . is the extension of a goal already reached" [RH: hence, "post-cadential" in Caplin's sense]
 - b. **internal expansions**
 - (1) **by repetition** (echo, response, sequence, creating a continuation; may often be excised [like an interpolation in Caplin] to reconstruct the basic phrase. In the case of deceptive moves, they count as expansions only if they occur where one might have expected a phrase to complete itself (e.g., at a four-bar boundary), and where one might substitute an authentic cadence. May create a parenthetical effect of interpolation. Depends on context of surrounding phrases to determine norm.
 - (2) **by composed out deceleration or fermata** (slowing down and expanding the penultimate harmony by repetition, or by delaying cadential action [V4/2-16, in Op. 101]; sometimes associated with an acceleration of surface rhythm [end of Mozart piano concerto second theme group])
 - (3) **by parenthetical insertion** (asides, interruptions, "purple patches" by moves to bVI, or bIII or i, or bII)

Figure 7.5. Handout summarizing Rothstein's definitions and types of phrase expansions.

Again, I provide ample illustrations in advance, performing for them a wide range of topics from excerpts included in their coursepack, and demonstrating how multiple topical allusions can arise from each of the musical elements that are artfully synthesized in, for example, the opening theme of Mozart's Piano Sonata in F Major, K. 332, I. I illustrate how in just the first four measures Mozart combines 3/4 dance meter

Krebs, Harald, *Fantasy Pieces: Metrical Dissonance in the Music of Robert Schumann*
(Oxford, 1999) [Prof. Hatten's comments in brackets]

1. **meter**: “the union of all layers of motion active within a work” (23)
interpretive layers [periodic groupings based on patterning of accents]
pulse layer [tactus]
micropulses [subdivisions of the tactus]
2. **interpretive layers**: “arise from a regularly spaced succession of phenomenal accents”
23 phenomenal accents may be dynamic, agogic, density, registral, or new-event accents
28 “the most perceptible layers are those that are articulated by the greatest number of musical features”
29 the strongest phenomenal accents are harmonic (new event) and dynamic accents

Interaction of layers

3. **metrical consonance**: (29) alignment of all interpretive layers [congruent]
30 “the meter of a work is . . . a particular *consonance* that functions as the *normative* metrical state of that work” “I refer to the nested layers that form the normative metrical consonance of a work as ‘metrical layers’.”
4. **metrical dissonance**: 29 “when interpretive layers do not sound together” [non-congruent] [Gretchen Horlacher calls this “periodic dissonance”]
 - a. **grouping dissonance** (type A): non-aligned grouping divisions that begin and end in alignment, creating a *cycle* (e.g., 4 against 3, beginning on the same downbeat).
Notation: G 3/2 describes a typical hemiola in which three groups of two is played against two groups of three. The numbers literally mean that 3-beat units are pitted against 2-beat units, but they will cycle together on a downbeat every 6 units (3x2).
 - b. **displacement dissonance** (type B): non-aligned layers of the same periodicity that begin out of phase. D3+1 means a layer of three-beat units that begins 1 beat later. [RH: displacement dissonance can be interpreted in three ways, depending on whether or not we hear the competing periodic layer as beginning with a downbeat:
 - (1) merely *out of phase*, as when a melody begins with an upbeat or anacrusis (we saw how L&J handled this discrepancy between grouping and meter by capturing the grouping analysis in the time-span analysis)
 - (2) *syncopated*, as when the upbeats are phenomenally accented and contradict without overturning the prevailing meter (rhythmic conflict). If the syncopations are periodic, and sufficiently strong, for a sufficiently long enough time, then we may hear:
 - (3) *metrically displaced*, as when alternative beats are interpretable as competing downbeats and thus take the place of the prevailing meter, not just rhythmically contradicting, but metrically contravening it (an intermediate stage in which two competing meters can be heard at the same time is termed *bimeter* and contributes to the effect of *stratification*)])
 Combining grouping and displacement dissonance can produce a *displaced hemiola*.

Compositional uses of metrical dissonance (see Krebs, Chapter 4)

5. A **metrical progression**, e.g., from metrical consonance to dissonance and back to consonance, can create or enhance a dramatic trajectory or “metric narrative.”

Figure 7.6. Handout for Krebs's definitions and types of metrical dissonance [with commentary].

and a singing-style melody with Alberti bass, pedal point, and V^7/IV to create a pastorally inflected dance (see Fig. 7.9a).⁴ By further experiencing the embodied gesture in each slurred interval, students are led

4 For a more extensive topical discussion of the exposition of this movement in the context of troping, see Hatten, 2014b.

[presentation]
Allegro
p

5 [continuation] [phrase expansion—interpolation]
fp fp f

9 [cadential] [phrase expansion—varied repetition of mm. 5-10]
p fp fp f

13

Figure 77: Mozart, Piano Sonata in G Major, K. 283, I, mm. 1-16.

to identification of the *Ländler* as the appropriate pastoral dance topic, an identification which is supported by the heavy downbeats, the hint of “yodel” in the wider intervals, and the “stomping gesture” in the fourth bar. These various topical allusions and inflections combine gracefully into what I call a “compatible” trope (Hatten 2014b, 516). The surprising shift to “learned-style” imitation in mm. 5–8, reinforced with 4–3 suspension, suggests incompatibility, and hence a more ironic trope, the gentle mockery or parody of imitative high style that Allanbrook (1983, 6) also notes. Continuity of discourse is achieved by the inversion of the “yodel” sixth that begins this eccentric imitative passage (compare mm. 3 and 5). Finally, order is restored with the more minuet-like character of mm. 9–12, and the potential for a creative troping of low-style

Ratner, Leonard. 1980. *Classic Music: Expression, Form and Style*.

New York: Schirmer. Chapters 1–2, pp. 1–30.

Ideas of Expression:

I. *Codes of feelings and passions*, linked to:

- A. pace, movement, tempo
- B. intervals
- C. motives used to symbolize affect

II. *Styles*, based on:

- A. locale/occasion/situation
 - 1. ecclesiastical or church style (**learned style**)
 - 2. chamber style (**galant style**; *galanterie* = dances, see below)
 - 3. theatrical or operatic style (closely related to chamber)
- B. degree of dignity
 - 1. **high** style: stately, emphatic, elevated
 - 2. **middle** style: pleasant, flowing, melody dominates
 - 3. **low** style: nature in simplest form; no “clever elaborations”

III. Topics (used topically when **imported into a larger form or genre**).

A. *types* (fully worked-out pieces, such as marches, dances)

Allanbrook (1983) classification based on **meters** and **high/middle/low**:

	C	exalted march
high	2/4	slow march
	4/4	infantry march
	4/4	bourrée (one quarter upbeat)
		gavotte (two-quarter=half-bar upbeat)
middle		(musette) (pedal and skirling sixteenths)
	3/4	sarabande (agogic accent on second beat)
		minuet (often a repeated quarter-note motto)
low	6/8	siciliano (slow), pastorale (moderate), gigue (fast)
	3/8	passepied, Ländler, waltz, allemande,
		contredanse (often 2/4)

B. characteristic *styles*

- highest 1. **learned style** (strict; [imitative] counterpoint, Baroque or Renaissance)
[note also other Baroque evocations: French overture, sarabande]
- high 2. **Sturm und Drang** (tempesta): minor mode, chromatic and dissonant harmonies, impassioned rhythms, full textures
- high/ 3. **Empfindsamkeit** (sensibility, intimate, sentiment): rapid changes in
middle mood, disruptions, sighs, gasps, declamatory; Fantasia: ombra
- middle 4. **galant** (free; balance, proportion, compensation—central style)
- 5. singing style (legato melody and Alberti bass)
- 6. brilliant style (virtuoso style, conventional scales, arpeggios, etc.)
- 7. military: march, fanfare
- 8. hunt: horn fifths
- low 9. pastoral: musette, pastorale (drone fifth, parallel 3rds, slow har. rhy.)
- 10. Turkish (Janissary battery: bass drum, cymbal, triangle + piccolo)

Figure 7.8. Handout briefly summarizing Ratner and Allanbrook on topics.

Ländler and higher-style minuet is premised. The second theme (Fig. 7.9b) is a playfully stylized minuet with a characteristic opening motto for minuets (three quarter-note repeated pitches). The closing theme (Fig. 7.9c), however, tropes the minuet motto with alternating measures

a. **Allegro**

b. **[Allegro]**

c. **[Allegro]**

Figure 7.9. Mozart, Piano Sonata in F Major, K. 332, I: a. first theme, mm. 1-12; b. second theme, mm. 41-44; c. closing theme, mm. 71-76.

that feature the *Ländler*'s heavy-footed downbeat and slurred gestures. Here, Mozart tropes high and low styles *simultaneously*, as opposed to the *successive* troping premised in the opening theme.

Of course, the students' excerpts will not typically be this rich in topical play, but when alerted to ways in which topics may appear as inflections or "flavorings," they are quick to find the "sweetening" of pastoral parallel thirds, or the "authoritative" connotations of even fleeting learned-style procedures. The enrichment of affective interpretation as warranted by topical play can lead to more sensitive per-

performances, even when a presumed trope may be ambiguous or suggest multiple possible meanings. Here, students are encouraged to take a more creative stance toward performance, rather than assuming that a mechanical reproduction of notated symbols in the score constitutes an interpretation of the work. We will return to these concerns near the end of the semester.

After this roughly 3½-week theoretical unit, I turn to historical performance practice for a 4-week unit (the last part devoted to historical recorded performances). Along with student presentations, there are two written assignments to support the readings. The first explores the different ways composers and theorists interpreted the dot versus the stroke, and how different treatises recommended the performance of non-legato, or non-articulated pitches. The answers are found in selected pages assigned from Clive Brown (1999), whose thorough investigations will ideally inspire students to continue their historical explorations in researching their final papers. My class lectures prior to their presentations introduce C. P. E. Bach's (1949) and J. J. Quantz's (1985) treatises from the mid-18th-century, with key points summarized in handouts. We read about C. P. E. Bach's distinctions among legato, tenuto, non-legato, portato, and staccato (see Fig. 7.10); his execution of slurs and ornaments; and his general recommendations for performance. And we explore Quantz's instructions for double-dotting and assimilation with triplets (see Fig. 7.11), his rules for the use of *notes inégales*, and his recommendations for performing an Adagio. His theoretical use of dynamics to indicate classifications of dissonances offers an early example of the use of musical notation as a theoretical metalanguage.⁵

The students' second written assignment involves exploration of a treatise as appropriate to their instrument. Some instrumentalists, of course, will need to go further into the nineteenth or even the twentieth century to find treatise-like works addressing their instrument, but they may also choose to explore earlier treatises for points of compar-

5 For a detailed discussion, see Jones 2016.

C. P. E. Bach, *Essay on the True Art of Playing Keyboard Instruments* (trans./ed. William J. Mitchell) (Part I, 1753; Part II, 1762)

From Chapter 3:

153: detached [**staccato**] notes “are always held for a little less than half of their notated length.” **Legato** (slurred) notes “must be held for their full length. . . . The slur applies to all of the notes included under its trace.” “Patterns of two and four slurred notes are played with a slight, scarcely noticeable increase of pressure on the first and third tones.”

154: **Portato**: “played legato, but each tone is noticeably accented” [!] Bach shows an example of four eighths moving stepwise upward. “The term which refers to the performance of notes that are both slurred and dotted is portato” **Bebung**: vibrato on the clavichord by numerous pressings of a key.

157: “the first of each **slur** is slightly accented” even if across the barline.

[**Non-legato**:] “Tones which are neither detached [staccato], connected, nor fully held are sounded for half their value, unless the abbreviation **Ten.** [tenuto] (hold) is written over them, in which case they must be held fully. Quarters and eighths in moderate and slow tempos are usually performed in this semidetached manner.”

Figure 7.10. Excerpt from a handout on C. P. E. Bach’s treatise, comparing various articulations.

Johann Joachim Quantz. *On Playing the Flute [Essay of a Method for Playing the Transverse Flute]*, Berlin: Voss, 1752], trans. Edward R. Reilly. NY: Schirmer, 1966.

p. 66 “the notes after the dots in [dotted-eighths and dotted sixteenths] must be played just as short as those [after the dots] in [dotted thirty-seconds], whether the tempo is slow or fast.”

In other words, Quantz insists on double-dotting, but only for dotted eighths and shorter.

p. 67 “when there are triplets in one part and dotted notes against them in the other part. . . . you must not strike the short note after the dot with the third note of the triplet, but after it. Otherwise it will sound like six-eight or twelve-eight time”

[compare C. P. E. Bach, p. 160, Figure 177, in which Bach insists that dotted-eighth + sixteenth against triplets must be assimilated to the triplet (i.e., the sixteenth is played **with** the third note of the triplet on each beat).]

Figure 7.11. Excerpt from a handout on J. J. Quantz noting his preferences for double-dotting (p. 66) and his opposition to “assimilation” of dotted rhythms with triplets (p. 67), with cross-reference to C. P. E. Bach’s treatise, where such assimilation is recommended.

ison. Since there were no singers in my recent offering of the course, I invited a violist from an earlier offering to present her discoveries from the second volume of Manuel García’s treatise on singing, notably his recommendations for discovering and projecting particular emotions in operatic scores (García 1894). She had crafted her doctoral lecture-recital by applying García’s suggestions not only for his chosen opera excerpts—e.g., a Donizetti aria she then transcribed for viola—but extending them to help interpret emotional expression outside of the vocal realm—for example, in the first of Schumann’s *Märchenbilder*.

In other demonstrations for the class I explain and demonstrate a range of ornaments, including *portamento*, a vocal ornament that was adapted to enhance instrumental expression. I also take them through discoveries prompted not by treatises but by cumulative evidence from scores, such as Schubert’s differentiation between *decrescendo* and *diminuendo* (only the latter includes a slight slowing of the tempo), or the use of what I call “articulatory counterpoint” (see Fig. 7.12a). Other specifically notational issues are also discussed, including Beethoven’s use of slurs. A particularly illuminating case is found in the second theme from the first movement of op. 101, where levels of slurs appropriately choreograph the weight and releases of a four-note gesture (see Fig. 7.12b). The lower-level slur articulates the first two notes as begun with weight on the beat and released on the second note. The upper slur indicates that the third note is part of that same gesture of release, and hence without a new accent (i.e., performed within the single upward motion though which the second note was released). And the absence of a slur over the entire four-note motive indicates that the fourth note should receive due weight from its metric arrival on the downbeat.

a. [Andantino]

b. [Etwas lebhaft und mit der innigsten Empfindung]

Figure 7.12. a. Schubert, Piano Sonata in A Major, D. 959, II, mm. 5–8; b. Beethoven, Piano Sonata in A Major, op. 101, I, mm. 162–191.

A similar choreography of weight within legato is found in the rondo theme from the slow movement of Beethoven's op. 13 (see Fig. 7.13). Presuming that Beethoven's *Adagio cantabile* melody would be performed legato, the cross-metric slurs suggest a counterpoint of weighted emphasis that often contradicts the downbeat. The clearly indicated alternations correspond to natural gestural/motivic implications (e.g., the surge upward in m. 3 that loses momentum on the last eighth and falls with weight to the next downbeat, and the prolonged chromatic yearning that begins in m. 4 and stretches across the barline to deny downbeat weight to m. 5). But just as the sequential implication suggests a parallel treatment in mm. 5–7, Beethoven develops the articulatory gesture with a fresh slur, initiating weight on the downbeat of m. 6, then stretching to a weaker lift on the downbeat of m. 7. This variety in weight avoids an overly didactic emphasis on the structural stepwise descent from scale-degree 6 in m. 5 to the tonic in m. 8, and an overly foregrounded emphasis on the implied motivic sequence of downward leaps by P5 or d5. The portato in m. 7 overrides the prevailing legato and implies a gentle, resignational touch of consolation on each individual sixteenth (any extra time here would be simply that required to execute a touch of gentle weight on each sixteenth—hence, an expressively motivated if very slight rubato to the cadence). My interpretation of portato here is supported by other demonstrations of its similar expressive use in Beethoven, Schubert, and Brahms.

Adagio cantabile.

The musical score is presented in two systems. The first system contains measures 1 through 5, and the second system contains measures 6 through 8. The notation includes a treble and bass clef, a key signature of three flats (C minor), and a 2/4 time signature. The right hand features a melodic line with various slurs and accents, while the left hand provides a consistent accompaniment of sixteenth notes. A piano (*p*) dynamic marking is indicated at the beginning of measure 1. Measure 7 is specifically marked as *portato*.

Figure 7.13. Beethoven, Piano Sonata in C Minor, op. 13, II, mm. 1–8.

The student presentations in this unit are typically focused on issues such as tempo or execution of ornaments—including implied portamenti on the beat, like *appoggiaturas*, as opposed to the occasional grace-notes that precede the beat—even in Mozart.⁶ Students play multiple possible interpretations and offer their solutions after weighing evidence from musical contexts as well as from generalizations of rules found in treatises. Class discussion may lead to further refinements in execution. For a study of the potential of a melody for multiple articulations, I use an example involving Bach’s slurs and staccatos added to an oboe part from a cantata.⁷ Students are asked to add their own slurs and staccatos to an unmarked copy of the score, and then generalize the principles that guided their intuitive choices. Such principles include motivic parallelism, the use of legato for stepwise figures and non-legato for leaps, and even “variety”—as in the example from Beethoven’s *Adagio cantabile* discussed earlier. We explore, and refine for consistency, several student solutions before I show them Bach’s version. Students are delighted to find places where they echoed Bach’s choices, and surprised to see his unique interpretations of this melody. What I emphasize at the end is that the melody has the potential to be interpreted in a number of equally interesting ways, and that Bach’s choice may have been the inspiration of a moment, rather than a fixed or final version demanding slavish obedience. If students can take Bach’s improvisatory freedom of articulation as a model, then they can similarly enhance the delivery of other melodies with the potential to “dance.”

The next portion of this unit is a brief one, devoted to historical recorded performances. Initial readings for class discussion address the range of issues raised by the history of recordings, including why performing styles evolve and what factors lead to “expressive inflation” or its opposite.⁸ Then, I assign each student one of three chapters on

6 For examples and arguments, see Neumann 1986, 42–75.

7 This example, the oboe part from the introduction to the aria “Hochgelobter Gottesohn,” from Cantata no. 6, may be found in Badura-Skoda 1993, 104.

8 Cottrell 2012, especially “Changing performance aesthetics,” 738–43; and Leech-Wilkinson 2009a.

the history of changing recorded performances (Chapter 4 on the voice, 5 on the violin, or 6 on the piano) from Leech-Wilkinson's online book, *The Changing Sound of Music: Approaches to Studying Recorded Musical Performances* (Leech-Wilkinson 2009b), which incorporates excerpts from the extensive database of CHARM, The Centre for the History and Analysis of Recorded Music. Listening to early recordings of solo repertoire emphasizes how interpretations of scores are never static over time, and illuminates the range of performance variables that one can bring to bear to achieve particular expressive effects. These recordings prompt consideration of issues not yet discussed, including the incorporation of vibrato (for strings and even winds) and pedal (piano); the selective addition of *portamenti* that are unmarked in the score; and further investigation of the varieties of rubato, the expressive uses of articulation, and the range of sound color (timbre). In addition, the influence of HIP or Historically Informed Performance, adds a dimension for which students have been prepared to some degree by their previous introduction to treatises.

All of this is preparatory to their final project, involving a short class presentation (10 minutes) and extended essay (10–12 pages), for which students must provide two contrasting URLs for historical (or historically-informed) and more contemporary (freer) recordings of the movement from which they will present an excerpt. The choice of repertoire can extend beyond the excerpts they contributed to the coursepack (which have been fairly extensively worked over by now), but they are still asked to stay within the Classic-romantic tonal realm, even if somewhat extended into the twentieth century to accommodate certain instruments. Note my explicit instructions for all three phases of this final project, as outlined in Fig. 7.14.

While students are preparing their presentations for the last five class days, I reserve two days for summary discussion of the growing field of performance and analysis, drawing upon two articles. Nicholas Cook (1999) argues for a performative approach to analysis, empha-

INSTRUCTIONS for FINAL PROJECT**1. PROSPECTUS**

- a. Choose a relatively short (2–3 min.) piece or excerpt from a Classical or Romantic Adagio or Andante from your repertoire. This may be solo or with piano accompaniment—but no concerti, and no Baroque or post-tonal 20th-century works. Show me the score for pre-approval.
- b. Provide YouTube or other URL for two contrasting performances of your piece or excerpt, representing early/historical (or H.I.P.) vs. more contemporary/freer performing styles (indicate which is which).
- c. In a paragraph, explain (aspects of) each performance you prefer or dislike, and why.
- d. In another paragraph, indicate what aspects of performance practice you will incorporate in your own performance of the piece or excerpt in class.
- e. In another paragraph, indicate 2–3 other approaches (besides historical performance practice) you will incorporate in preparing your performance interpretation (phrase expansion, metric dissonance, Pierce’s performance phrases, contouring, arcing, etc.; Hatten’s gestures, topics, tropes)
- f. **Indicate which 3 days you would prefer to present in class, in priority order.**

2. FINAL PRESENTATION (10 min.+ 2 min. discussion) TBA

- a. Introduce composer, piece, date composed, and any special circumstances affecting performance interpretation. (1 min.)
- b. Indicate **one specific performance practice** issue and illustrate your choice. (3 min.)
- c. Indicate **one other relevant analytical or movement approach** learned in class, and illustrate how it influenced your performance. (3 min.)
- d. Perform a significant excerpt or the whole piece if short enough. (3 min. max.)
- e. Answer questions about your interpretive choices. (2 min.)

3. FINAL PAPER (10–12 pages, typed, double-spaced, 12-point font, 1-inch margins, with title page, bibliography, and footnotes for any information cited in the body of the paper. Note that this is NOT a research paper but rather a critical performance essay; however, you must reference sources you used. Please provide measure numbers for your piece or excerpt.)

- a. Introduce composer, piece, date composed, and any special circumstances affecting performance interpretation (1–2 pages)
- b. Discuss **three performance practice issues** and explain/justify (also labeling on the score, as relevant) your choices for your own performance (3–4 pp.)
- c. Discuss **three other specific approaches** (one example each) that you applied, chosen from those learned in class, explaining (and labeling location[s] on score) how they influenced and improved your interpretation (3–4 pp.)
- d. Explain how you **integrated or synthesized** performance practice, analytical, gestural, and/or movement approaches to achieve your “ideal” performance. (2–3 pp.)

Figure 7.14. Instructions for a final project in three phases (from the syllabus for “Performance and Analysis,” Prof. Robert Hatten).

sizing the role of the performer in interpretation.⁹ In my own article (Hatten 2010), I summarize Cook’s and others’ approaches to interpreting a score as either a work, a text, or a script; introduce three particularly useful interpretive approaches (gestures, topics, and tropes); and incorporate these approaches into a performance interpretation of a Chopin Ballade, as framed with respect to the kinds of questions Edward T. Cone (1968) asks in his influential study of performance.

9 I have students read Cook 1999, 238–52, for discussion.

Of course, there are always more ideas to explore than time allows, and other alternatives to organizing a course on performance and analysis.¹⁰ An early collection of essays edited by John Rink (1995) helped forecast significant areas of interest in the emerging field of performance analysis.¹¹ More recent books in this growing field range from Nicholas Cook’s (2013) comprehensive philosophical overview, to Jeffrey Swinkin’s (2016) Schenkerian (and semiotic) readings of specific works that incorporate imaginary programs to situate the emotional experiences of (virtual) agents, to Daphne Leong’s (2019) essays on her collaborations with other performers in preparing interpretations of twentieth-century works. The complexities of speculative theorizing found in these sources would make them especially suitable as centerpieces for a higher-level graduate seminar focusing on critical examination of their presuppositions and rich insights. Other agential approaches to interpretation in performance are offered by Edward Klorman (2016), who explores a more historically-grounded performer-based agency in Mozart, and my own recent book on virtual agency (Hatten 2018), in which I devote one chapter to varieties of “performative agency” (stances the performer may take in conveying the emotions experienced by virtual agents as inferred from the music) and another chapter to a summary analysis of levels of virtual agency affecting a performance interpretation of Chopin’s Ballade in F Minor (Hatten 2018, 219–59).

The short performance presentations and longer final papers for “Performance and Analysis” have invariably proven illuminating, and students often express their appreciation for the variety of analytical approaches and sources of evidence to which they have been introduced in a scant fifteen weeks. I trust this brief overview of my class organization may inspire similar courses that integrate multiple perspectives

10 Models for structuring performance and analysis courses may be found at the Performance and Analysis Interest Group of the Society for Music Theory website (<<https://smtpaig.wordpress.com/pedagogy-resource/>>; accessed 5 March, 2020). This resource, curated by Daphne Leong with the assistance of Edward Klorman, includes not only syllabi with reading lists, but also sample lesson plans and assignments from performance and analysis courses taught by theorists throughout North America and Europe.

11 See my review of Rink 1995 (Hatten 1996).

on performance, with the goal of developing informed yet individual interpretations of works from the tonal repertory.

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PART III
Generation and Perception
of Music and Its
Performance

Revisiting the Effect of Listener and Musical Factors on the Identification of Music from Chord Progressions

TUIRE KUUSI, IVAN JIMENEZ, AND MATTHEW D. SCHULKIND

Introduction

There is plenty of research showing that listeners, regardless of their musical training, can identify pieces of music from the melody, and that identification is possible even if the musical material is manipulated in one way or another (for a review, see Halpern and Bartlett 2010). Some studies also indicate that timbre may facilitate the identification of pieces of music, especially if the excerpts are very short (Krumhansl 2010; Schellenberg, Iverson, and McKinnon 1999). There has been considerably less research on the contribution of harmony to the identification of music: theorists and researchers investigating music cognition have tended to focus on the general syntactic properties of chord progressions (e.g., the accumulation and resolution of tonal tension) as opposed to seeing them as a means of characterizing specific pieces of music (for a review, see Pearce and Rohrmeier 2018). There could be several reasons for this scarcity. First, the same or very similar chord progressions tend to appear in many pieces of music (Anderson, Miyakawa, and Carlton 2012; Manzo 2005; Shaffer, Hughes, and Moseley 2014; Torvund 2005). Second, although Western tonal harmony can easily be represented by conceptual labels such as I-vi-IV-V or C-Am-F-G, or by names such as “doo-wop progression”, harmony cannot be instantiated as auditory stimuli without also instantiating melodic, rhythmic, timbral, and other extra-harmonic features. Consequently, unless listeners are able to focus on harmony and

to ignore extra-harmonic features, they will inevitably be influenced by musical parameters other than harmony in their identification of a piece of music.

Maintaining an exclusively aural focus on harmony is not easy because extra-harmonic features tend to be perceptually more salient (Cullimore 1999; Farbood 2012; Halpern 1984; Mélen and Deliège 1995; Williams 2005), and according to evidence from transcription tasks, the grasping of harmony is not a straightforward process for listeners. In fact, the analysis and labeling of chord progressions by ear is considered one of the most challenging tasks in courses focusing on aural skills and ear-training (Chittum 1969; Rogers 2004; Radley 2011), and there is evidence that such tasks even challenge professional musicians with many years of experience transcribing music (Brown 2004; De Clercq and Temperley 2011; Humphrey and Bello 2015; Koops et al. 2019; Ni et al. 2013; Pedler 2010; Temperley and Clercq 2013). Although some of these challenges could be described as purely harmonic in nature (Jarvis 2015), extra-harmonic features such as texture and timbre often introduce ambiguity with regard to the pitch content of the chords. For instance, even relatively simple textures may feature non-chord tones that may obscure the harmonic identity of the chords, and spectral features of timbre such as the relative salience of certain partials and its harmonic-percussive ratio could affect the salience and clarity of the different chord members.

Not only do these issues challenge listeners in their grasping of harmony, they are also recognized among researchers in the field of music information retrieval as a major obstacle in the development of accurate automatic chord-recognition systems (Cho and Bello 2013; Mauch and Dixon 2010; Ueda et al. 2010). The fact that instruments and recording techniques differ widely in the way they emphasize certain overtones and generate inharmonic components also means that automatic chord-recognition algorithms cannot easily generalize across different timbral contexts (Benetos et al. 2018; Nadar, Abeßer, and Grollmisch 2019; Osmalsky et al. 2012). It is therefore likely that listeners face a similar challenge to the extent that their grasping of harmony relies on their matching of what they hear to specific exemplars held in the

long-term auditory memory.

In light of all these challenges, it seems logical to expect that musical training will affect the ability of listeners to identify a piece of music. In fact, it has been shown that various aspects of training sharpen their attention to the harmony (Farbood 2012; Norgaard 2017; Sears, Caplin, and McAdams 2014; Williams 2005). A similar tendency has been reported concerning sensitivity to harmony, both in behavioral studies showing that participants use their theoretical and practical knowledge of harmony to complete experimental tasks (Corrigall and Trainor 2009; Loui and Wessel 2007), and in brain studies showing the effects of harmony on pre-attentive mental processing (Huotilainen, Partanen, and Tervaniemi 2014; Virtala et al. 2012).

Results from our research on memory for chord progressions are partly consistent with these findings. For example, identifying well-known pieces of classical music as well as pop and rock songs from the harmony appears to be easier for musicians than for non-musicians (Jimenez and Kuusi 2018; Jimenez, Kuusi, and Doll 2020). However, we have also found evidence that specific musical experiences may be more important than general musical training. Specifically, we found that in a group of professional jazz musicians and advanced jazz students, the identification of famous jazz standards was not associated with the participants' years of training, the type of instrument, or the amount of time they had spent playing chords by ear. Instead, it was associated with their having played the target piece and being able to retrieve the chord labels of the pieces from their long-term memory (referred to below as "specialized familiarity;" Jimenez and Kuusi 2020). This finding implies that piece-specific visual and bodily imagery (e.g., having played the chords of a piece) and piece-specific abstract knowledge (e.g., being able to retrieve chord labels from the long-term memory) could significantly increase the vividness of harmonic memories. Despite these provocative findings, however, the effect of specialized familiarity on the identification of jazz standards explained only a small part of the differences between participants, thus casting some doubt on the importance of such familiarity in the identification of music from harmony in general.

Aims

Our aim in the study was to replicate the effects of specialized familiarity (see above) on the identification of music from harmony, using a different repertoire and a group of participants that was more diverse in terms of musical training than in our jazz study (Jimenez and Kuusi 2020). One of the challenges in previous research in this field has been the need to discard responses from participants who did not know the target pieces well enough to name them from commercial recordings, which meant that they were evaluated on slightly different sub-sets of songs (Jimenez and Kuusi 2018, 2020). In order to alleviate this problem, we decided to use well-known Beatles songs and a large number of non-professional participants who were familiar enough with the target songs to name all of them from commercial recordings. This also increased the ecological validity of the study. We believe that the aspects relevant to perceiving harmony could be generalizable even though Beatles songs represent only one and perhaps a harmonically particular segment of popular music. In addition, and on the basis of our previous findings on the effect of surface features on the identification of pieces of music from chord progressions (Jimenez and Kuusi 2018), we decided also to test the following musical factors: melodic cues, transposition, and the number of chords.

Methods

Participants

A total of 355 participants (278 male, 73 female, 4 other; mean age = 36.5, SD = 14.3) completed the experiment online. They were recruited from among users of the Beatles and music-theory subreddits of the social media platform Reddit (r/beatles, r/musictheory), and among workers from Amazon Mechanical Turk (MTurk), a crowdsourcing platform that provides access to more than a hundred thousand potential participants (Difallah, Filatova, and Ipeirotis 2018). The online descriptions of the study called for participants who could name Beatles songs from the original commercial recordings, and explained that

the objective of the study was to test their ability to identify the songs from the chord progression. The online version of the experiment was visited a total of 1,123 times between 27 July 2017 and 1 March 2018. This completion rate ($355/1123 = 31.6\%$) is about 20 points lower than rates in other online experiments (Bosnjak and Tuten 2003; O'Neil & Penrod 2001; O'Neil, Penrod, and Bornstein 2003; Tuten, Galesic, and Bosnjak 2004), and could indicate that the experimental task was somewhat demanding.

Given our aim to make sure that our participants were familiar with the songs used in the experiment, we discarded responses from 45 respondents who could not identify one or more of the test songs from the commercial recordings. We also discarded responses from seven participants whose data was partially lost due to a glitch in the online testing system. The total number of participants whose responses were included in our main analysis was 303 (246 male, 54 female, 3 other; mean age = 37.2, $SD = 14.4$). Males were overrepresented, but we do not know of any research showing that gender has any effect on harmonic awareness.

During the experiment we also collected participant data related to musical training (e.g., years and intensity of playing an instrument, lessons in music analysis, ear training) as well as the various ways of engaging with chords and with Beatles songs (playing chords by ear or from notation, playing the songs, for example). After the experiment we also assessed how accurately the participants could write down the first chords of the songs that were used in the experiment, and we asked them if they had focused on the bass, melody or the whole of the progressions. The majority of these participants had practiced an instrument regularly for a year or longer (for details, see Figure 8.1). We come back to the other participant variables in the Results section (Analysis of the background variables).

Stimuli: Songs

We used a three-step procedure to select the Beatles songs for the experiment. First, we chose 50 songs based on their popularity on

	Ps	%Ps
Five years or more of practicing their main instrument regularly (between 4 and 7 days per week)	221	72.9%
Less than 5 years of practicing their main instrument regularly	60	19.8%
Had played an instrument but not regularly for more than a year	20	6.6%
Had never played an instrument	2	0.7%
Total	303	100%

Figure 8.1. The participants' experience of playing and practicing musical instruments.

the music website Last.fm, an online music discovery service that collects user listening behavior from popular streaming services such as Spotify and YouTube. Last.fm has frequently been used in empirical research to estimate song popularity (e.g., Istók et al. 2013; Monechi et al. 2017). Second, we chose songs from the set of 50 based on the following criteria:

- a) Harmonic rhythm: to minimize the influence of rhythmic cues, we selected songs with a predominantly isochronous harmonic rhythm (i.e., all the chords in the initial chord progression had the same duration).
- b) Chord duration: to avoid making the experiment take too long to complete, which may negatively affect completion rates in online experiments, we selected songs in which the inter-onset interval (IOI) between successive chords was between 1.95 and 2.925 seconds (that is, between the average from the data set of 495 popular songs compiled by Cho and Bello 2013, and +50% of the average). “Hey Jude” and “Something” are two examples of well-known Beatles songs with an initial inter-onset interval that exceeds this threshold, with IOIs 66 and 86 percent longer than average, respectively.
- c) Harmonic uniqueness: to increase the likelihood of identification from the harmony, we did not consider songs in which the first eight chords were limited to I, IV, V chords, which were the most com-

monly used in the popular music of the Rock era (De Clercq and Temperley 2011; Gauvin 2015; Miles, Rosen, and Grzywacz 2017).

d) Texture: to minimize the influence of textural cues, we did not consider songs in which the opening texture resembled the texture of our chordal stimuli (i.e., one unembellished block chord per chord change). Two examples of well-known Beatles songs with a similar type of opening texture are “Strawberry Fields Forever” and “I Am the Walrus.”

The four most popular Beatles songs in Last.fm that fulfilled our selection criteria were “Let It Be,” “Lucy in the Sky with Diamonds,” “While My Guitar Gently Weeps,” and “A Day in the Life.” Pilot testing with three musicians and three non-musicians confirmed that it was possible to identify these four songs from the chord progressions. We refer to these four songs in the rest of the text as LET, LUCY, GUIT, and DAY, respectively.

Stimuli: Chord Progressions and Original Commercial Recordings

The roots and main chord qualities for the progressions consisting of sixteen chords from the beginning of each song were taken from *The Beatles: Complete Scores* (Fujita et al. 1993). We prepared four different versions of each chord progression: (1) a version with melodic cues in the top voice and in the original key (Yes melodic cues, Original; YO), (2) a version with melodic cues but transposed down a tritone (Yes melodic cues, Transposition; YT), (3) a version with no melodic cues in the top voice but in the original key (No melodic cues, Original; NO), and (4) a version with no melodic cues and transposed down a tritone (No melodic cues, Transposition; NT). The top voice in the melodic-cues version of each chord progression was composed to represent the most prominent pitches of the original vocal melody. In the no-melodic-cues versions, on the other hand, it was composed to avoid the most prominent pitches and the contour of the original melody from both the instrumental introduction and the vocal line of the verse (see

Figure 8.2a for an example). Most progressions had four voices, and all the voices had only one pitch per chord (see Figures 8.2b and 8.2c for examples; see the Appendix for transcriptions of the other chordal stimuli). Repetitions of a chord progression within a song were omitted.

Three music theorists, two of whom have published extensively on the music of the Beatles, were consulted to ensure that the choice of chords closely matched the original songs and that the melodic cues were perceptually representative of the original vocal lines. Chord progressions were recorded with a Steinway grand piano sound using

Figure 8.2. An example of creating the stimuli.

Figure 8.2a displays four musical staves for the first four bars of the song 'GUIT'. The chords indicated above the staves are Am, Am/F, D9/F#, and FM7. The staves are labeled as follows: 'Original vocal melody', 'Top voice in piano intro' (with a note '(Dm in intro)' above the second bar), 'Top voice of melodic-cues version', and 'Top-voice of no-melodic-cues version'.

8.2a. Top voices from the original vocal melody, piano intro, melodic-cues version, and no-melodic-cues version of the first four bars of GUIT.

Figure 8.2b shows a piano accompaniment for the melodic-cues version of 'GUIT'. The tempo is marked as $\text{♩} = 56$. The score consists of two systems of piano accompaniment, each with a treble and bass clef. The chords used in the study are represented by various chord symbols and accidentals throughout the piece.

8.2b. Melodic-cues version of GUIT with all sixteen chords used in the study.

$\text{♩} = 56$

8.2c. No-melodic-cues version of GUIT with all sixteen chords used in the study.

GarageBand software (Apple Inc.). The duration of the chords matched the harmonic tempo from the best well-known commercial recording of each song.

Audio excerpts from the original commercial recordings were used to test the participants' familiarity with the songs. These excerpts lasted 15 seconds and contained the chord progressions used in the main experimental task. Some of them included vocals, but none contained any part of the song title.

Stimuli: Gating

We determined whether the number of chords had an effect on the identification of songs from the harmony by means of the gating paradigm, in other words by presenting each chord progression multiple times and increasing the number of chords with each new presentation. This paradigm has been used previously for investigating the identification of melodies (Bailes 2010; Büdenbender and Kreutz 2017; Dalla Bella and Peretz 2003; Schulkind 2000, 2002, 2004a, 2004b; Schulkind and Davis 2013; Schulkind, Posner, and Rubin 2003) and pieces of music from commercial recordings (e.g., Krumhansl 2010;

Schellenberg, Iverson, and McKinnon 1999). Although gated chord progressions have been used in music research (e.g., Bigand and Parncutt 1999), our study is, to our knowledge, the first to use such progression in research on the identification of songs.

Both musicians and non-musicians tested in previous studies report having sometimes identified songs after hearing only the first three chords (Jimenez and Kuusi 2018, 2020), or even from 300-ms excerpts of one chord (Krumhansl 2010). We decided to use two chords as the shortest stimulus in our study because—in the absence of timbral cues provided by an original recording—the identification of a song from chord progressions, similarly to the identification of melodies (Dalla Bella and Peretz 2003), would require the completion or near completion of a musical unit. Additionally, we ran a pilot test and noticed that the number of chords needed for identification varied from two for LET, four for GUIT and LUCY to twelve or more chords for DAY. Given these results, and the fact that most of the four chord progressions had a symmetric structure built on four-chord units, we decided to make the experiment shorter and created a gating sequence with the first 2, 3, 4, 8, and 16 chords of each song.

Procedure

This web-based experiment was programmed with a PHP script specifically made for the current purpose. The participants received the following instructions:

We will ask you to identify four famous Beatles' songs from their chords alone. We will increase the number of chords until you identify the song or until we have played 16 chords, whatever happens first. We will also ask you to identify the same four songs from commercial recordings. Between the songs we will ask you to provide information about yourself and your musical background.

After a volume check, the participants watched a two-minute video-clip demonstration of the gating procedure using a well-known song.

The clip emphasized the fact that the rhythm of the chords during the experiment is simpler than the rhythm of the original songs.¹

Each participant heard all four songs and the conditions, but only one condition per song (e.g., DAY YO, GUIT NO, LET YT, LUCY NT; Y standing for Yes melodic cues, N for No melodic cues; O standing for Original and T for Transposition). The ordering of the songs and of the conditions was randomized for each participant. The participants were allowed to hear each excerpt only once. They were encouraged to listen to all the excerpts (including 2, 3, 4, 8, or 16 chords) unless they were completely sure that they had correctly identified the songs. In practice, they were allowed to end the testing of a song at any point regardless of whether or not they had correctly identified it.

The identification tests from chord progressions constituted the main part of the experiment. In the next phase the songs were presented as 15-second excerpts from commercial recordings, and the participants were asked to name them and to provide information about whether they had ever played the chords in question. In the scoring of the responses, correct names, words from the lyrics, and other descriptions that were accurate enough to indicate definite identification of the piece received a score of 1 (identified), whereas other responses were scored 0 (unidentified). The responses were tabulated as 1 (identified) even if they were not fully correct (e.g., “*as* my guitar gently weeps” for GUIT and “*but* nobody was really sure he was from the house of *cards*” for DAY; here the italics indicate the inaccurate words). At the end of the experiment the participants were asked to write from memory (using chord symbols or other types of chord labels) the first six chords of the songs used in the experiment. The experiment lasted between 30 and 45 minutes.

Design

We analyzed how well the four Beatles songs were identified from the

1 To watch the video, please go to <http://ivansamples.com/beatles/Clips/chordsDemo.mov>.

chords, and how the participant background variables affected the identification. For the latter, we used principal component analysis to group the participant variables into factors, and linear regression analysis to assess the effect of the factors on the number of chords needed to identify the four pieces. We further analyzed the effect of how the participants engaged with the chords of the target pieces (as described above in the sub-section *Participants*), in this case by means of a Kruskal-Wallis test. Finally, we ran a logistic binomial regression analysis separately for each of the four pieces to examine the connection between transposition and melodic cues in the participants' ability to identify the songs.

Results

Having analyzed how well the four Beatles songs were identified from the chords we observed that LET was the most easily identified in that 259 participants (85.5% of them all) were able to do so. DAY was the most difficult, identified by only 91 participants (30.0%; see Figure 8.3).

Participant Background Variables

We were interested in the extent to which identification was influenced by the participant's background. First, we considered the participant variables by subjecting them to an exploratory factor analysis (principal component analysis, PCA, varimax rotation). Having conducted a preliminary analysis of the correlation matrix, and eliminating variables

Target piece	Participants who identified the song	Participants who did not identify the song
LET	259	44
GUIT	198	105
LUCY	109	194
DAY	91	212

Figure 8.3. The numbers of participants who identified the songs used in the experiment.

with high multicollinearity, we decided to use 12 variables (see Figure 8.4). The first five were related to musical training: years of playing the main instrument (V1), weekly practice with the main instrument at the peak of interest (V2), years of private lessons (V3), years of studies in music theory (V4) and in ear training (V5). The next two related to the playing of chords: the amount of time the participants had spent playing chords by ear (V6) and from written material (e.g., lead sheets) (V7). We also analyzed the extent to which they focused on melody (V8), bass (V9), or the stimulus as a whole (V10) when listening to the chord progressions in the experiment. With a view to assessing the effects of having worked with the target pieces, we used the scores from the post-test question concerning how well the participants were able to write the first four chords from memory (V11), and whether or not they had played the chords of the target pieces (V12). The results of the Kaiser-Meyer-Olkin test (.686) and Bartlett's test ($p < .001$) indicated that PCA could be conducted with this set of twelve variables.

The analysis revealed a four-factor structure explaining 65.66 percent of the variance. The structure was understandable and easy to interpret (see the bold numbers in the Varimax-rotated matrix in Figure 8.4): (1) *experience* of playing the main instrument and playing chords either by ear or from notation; (2) *formal training*, that is, years of music theory, ear training and instrument lessons; (3) *specialized familiarity* (having played and being able to write the chord labels of the target pieces) together with the amount of weekly practice at the highest peak of interest; and (4) *focus* during the experiment.

We conducted a linear regression analysis to see if the four factors predicted the participants' ability to identify the four Beatles songs. The dependent variable was the average number of chords at identification, indicating that all the responses in which the participant had not identified the song were excluded from the averaged score. Given that 15 participants had not identified any of the songs from the chords, and that a further 16 had some missing data in the factor analyses and hence were without factor scores, the final N was 272. There was no multicollinearity between the predictor variables because orthogonal rotation (varimax) was used in the PCA analysis. The residuals were

	Component			
	1 (experience)	2 (formal training)	3 (specialized familiarity)	4 (focus)
V1 Years of playing main instrument	.885	.146	-.006	-.049
V2 Amount of weekly practice	.085	.125	.635	-.018
V3 Years of private lessons in main instrument	.266	.681	-.104	-.016
V4 Years of studies in music theory	.058	.868	.239	-.010
V5 Years of studies in ear training	.001	.846	.154	.013
V6 Years of playing chords by ear	.759	-.011	.350	-.045
V7 Years of playing chords from notation	.791	.213	.213	-.086
V8 Focus on the melody of the stimulus	.067	-.208	-.461	.621
V9 Focus on the bass of the stimulus	-.130	.194	.448	.621
V10 Focus on the stimulus as a whole	.099	.004	.024	-.880
V11 Score from the chord label post test	.207	.169	.610	.007
V12 Having played chords of the songs	.410	-.220	.623	-.015
Total variance explained	19.242%	18.119%	15.308%	12.986%

Note: Bold print indicates the highest loading of each variable on the components.

Figure 8.4. Varimax-rotated component matrix with 12 variables.

normally distributed and linear, and the Durbin-Watson (2.005; see Figure 8.5) was near optimum.

The analysis revealed that specialized familiarity together with a large amount of weekly practice at the peak of interest (Factor 3) were

the only statistically significant participant factors influencing their identification of the four Beatles songs from the chords. Figures 8.5 and 8.6 show the model summary and the coefficients for the regression analysis. As the figures indicate, only after adding the third variable (Factor 3) does the R^2 Change become statistically significant ($p = .006$), and Factor 3 ($t = -2,789, p = .006$) is the only statistically significant one: the indication is that the more specialized familiarity the participants had, the fewer chords they needed for the identification. The model with four factors explained only 2.1 percent of the variance, however, thereby indicating a poor fit.

Model	R	R Square	Adjusted R Square	Std. Error of the Estimate	Change Statistics					
					R Square Change	F Change	df1	df2	Sig. F Change	Durbin-Watson
1	.022 ^a	.000	-.003	3.35251	.000	.126	1	270	.723	
2	.023 ^b	.001	-.007	3.35864	.000	.019	1	269	.890	
3	.170 ^c	.029	.018	3.30673	.028	7.816	1	268	.006	
4	.189 ^d	.036	.021	3.31153	.007	1.840	1	267	.176	2.005

Note: Bold print indicates a statistically significant R^2 change.

Figure 8.5. Model summary.

Model		Unstandardized Coefficients		Standardized Coefficients	t	Sig.
		B	Std. Error	Beta		
4	(Constant)	5.669	.201		28.180	.000
	Factor 1: <i>experience</i>	-.073	.201	-.022	-.365	.715
	Factor 2: <i>formal training</i>	-.029	.201	-.009	-.143	.886
	Factor 3: specialized familiarity	-.564	.201	-.168	-2.789	.006
	Factor 4: <i>focus</i>	-.273	.201	-.082	-1.356	.176

Note: Bold print indicates the only statistically significant factor.

Figure 8.6. Coefficients for linear regression for model 4 with all the factors added.

*The Effect of Specialized Familiarity on the
Identification of the Four Songs*

Even though specialized familiarity together with a large amount of weekly practice at the peak of interest (Factor 3) explained song identification in our experiment, the model explained very little of the variance. Additionally, as stated earlier, the number of participants who were able to identify the song from the chords varied from song to song (see Figure 8.3 above). Hence, we decided to analyze the effect of specialized familiarity for each song separately. We therefore categorized the participants into three groups according to specialized familiarity, in other words according to their chord label score (V11 above) and whether they had played the target piece (V12 above). We identified the following three participant groups: *PW* (P standing for Play and W for Write), comprising participants who reported having played the target piece at least three times and whose chord label score was equal to or higher than 3.0 (of the maximum 6.0); *PnW* (Play, not Write), those who reported having played the target piece at least three times but were unable to write the chords (chord label scores 0.0); and *nPnW* (neither Play nor Write). We did not use the *nPW* group because there were very few cases in which the participant was able to write the chords without having played the piece. Because we excluded the *nPW* participants, those who reported having played the pieces once or twice,

Target piece	PW	PnW	nPnW	Excluded from analysis
LET	102	80	79	42
GUIT	61	75	111	56
LUCY	39	74	140	50
DAY	49	84	130	40

Note: P stands for Playing and W for writing the chords of the target songs, while nP and nW stand for not playing or writing. The number of participants who were excluded from the analysis (right-most column) includes nPW participants, those who reported having played the pieces once or twice, and those whose chord label scores were between 0.1 and 3.0.

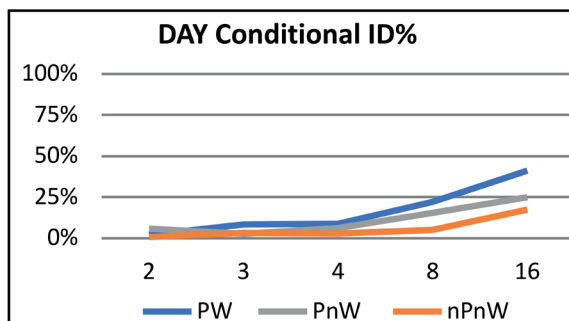
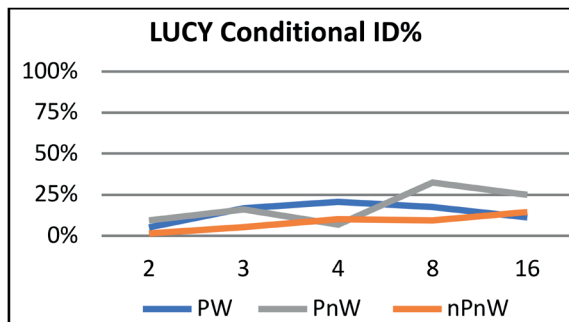
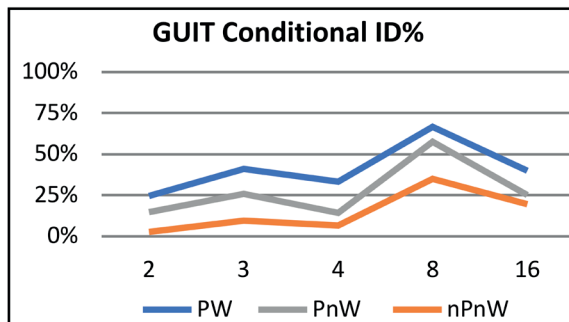
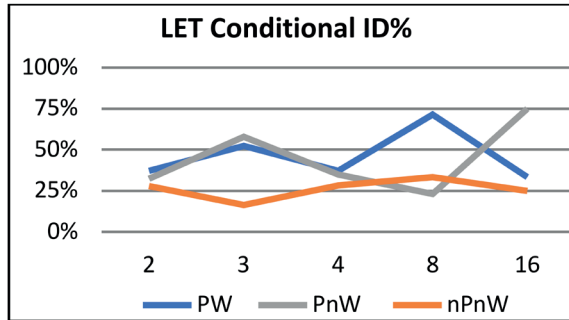
Figure 8.7. The numbers of participants in the three subgroups, and the numbers excluded from the analysis.

and those whose chord label scores were between 0.1 and 3.0, the total number of participants in the groups does not amount to 303. Figure 8.7 shows the numbers of participants in the three groups separately for each target piece.

We used conditional testing to define the identification percentage (ID%) in the analyses, the conditions being 2 chords, 3 chords, 4 chords, 8 chords, and 16 chords, calculated separately for each target piece and participant group. The conditional ID percentage shows the number of participants who identified the target piece at the condition of x chords as a percentage of all participants who had not yet identified the piece. For example, the number of participants in the PW group who identified LET from 2 and 3 chords were $\text{LET}(2)\text{PW} = 38$ and $\text{LET}(3)\text{PW} = 33$, respectively. Additionally, there was one LET-PW participant who ended the testing of LET after hearing the first two chords despite giving an incorrect response. This indicates that $\text{LET}(2)\text{PW} = 38/102 = 37.3\%$ and $\text{LET}(3)\text{PW} = 33/(102-38-1) = 52.4\%$.

Figures 8.8a–d show the identification of the target pieces under the five conditions for each of the participant groups. As the figures indicate, having played a piece's chords and being able to write them appeared to help with the identification of the piece from its chord progression, at least to some extent. We conducted an independent-samples Kruskal-Wallis test separately for each target piece with a view to analyzing the differences between the five conditions and participant groups: the results showed that the distribution of the conditional IDs was not the same across the conditions of the three participant groups for LET and GUIT. In other words, there were statistically significant differences between the participant groups for LET ($p = .046$), and marginally significant differences for GUIT ($p = .056$) but not for the other two pieces. The pairwise comparisons showed that the differences were between PW and nPnW. The standard test statistics were as follows: $\text{PW-nPnW}(\text{LET}) = 2.406, p = .048$ and $\text{PW-nPnW}(\text{GUIT}) = 2.404, p = .049$.

Figures 8.8a–d also show that adding more chords does not systematically increase the identification percentage (ID%). Instead, there are conditions at which identification seems to be easier than at some other



Figures 8.8 a–d. The conditional ID percentages for the three groups of participants, separately for each target piece; the horizontal axis shows the conditions.

points. DAY(16), for example, seems to be a point of identification in all the participant subgroups, and the identification could be attributable to the distinctive chord succession $\flat VII(\text{add}\sharp 11)\text{-vi}$.

In the case of GUIT, specialized familiarity had a general effect, but the identification points were seemingly similar for all groups of participants. As the figures show, there was a small peak at 3 chords and a higher one at 8 chords, both of which were most likely related to the occurrence of the major IV chord (D chord in A minor), which contains a raised scale-degree $\hat{6}$ (F^\sharp in A minor). Although there is, to our knowledge, no specific data available concerning the frequency of the major IV chord in minor-key passages of pop or rock songs, probe tone experiments indicate that the raised $\hat{6}$ is one of the least expected scale degrees in minor-key contexts (Krumhansl and Kessler 1982; Vuvan, Prince, and Schmuckler 2011). The occurrences of the raised $\hat{6}$ in the bass of the third chord of the progression may be particularly distinctive in being preceded by $\hat{8}$ and $\flat\hat{7}$, because it creates a gesture that deviates from versions of the lament bass that are more commonly used in pop and rock music (i.e., $\hat{8}\text{-}\flat\hat{7}\text{-}\hat{6}\text{-}\hat{5}$ and $\hat{8}\text{-}\hat{7}\text{-}\flat\hat{7}\text{-}\hat{6}$). The singing of the song's title during the fifth, sixth, and seventh chords in the original version may also have facilitated the identification peak for the 8-chord version of the progression.

Taken together, the results show that even the best-known Beatles songs differ in terms of identifiability. They also show that previous engagement with the chords of the target piece (specialized familiarity) was the only participant variable that explained the identification on a general level, and that this variable in particular was of significance in the identification of two songs (LET and GUIT). Finally, adding chords did not systematically help identification, although there were some distinctive chords that seemed to have a role in the process.

The Effect of Transposition and Melodic Cues

We also analyzed the effect of transposition (TR) and melodic cues (MC) on the participants' ability to identify each song. For this we used logistic regression, given that the dependent variable (identification of

the song) was binary (yes or no): in other words, we did not include the number of chords at identification in the analysis. The independent variables were also binary. To save space we give the statistics in one table, even though the analyses were conducted separately for each song.

Figure 8.9 gives the frequencies of the two variables (transposition and melodic cues), whereas Figure 8.10 shows the statistical significance of the model with TR and MC, in other words, how well the cues predicted identification of the song. Because both variables were entered in one step, we only show the significance of the model. In addition, we give the Nagelkerke R^2 showing its predictive power. All the logistic regression models turned out to be statistically significant. The Chi-squares varied between $\chi^2(2) = 21.432, p < .001$ for GUIT and $\chi^2(2) = 7.516, p = .023$ for LUCY, but the Nagelkerke R^2 values were lower than .100 for all four songs, indicating relatively low explanatory power.

Figure 8.11 gives the statistics for the two variables, again separately for each song. As it shows, transposition was a statistically significant predictor for LET ($Wald = 11.918, p = .001$) and GUIT ($Wald = 13.216, p < .001$), but not for LUCY and DAY. These results indicate that the

Song	TR: Original (O)	TR: Transposed (T)	MC: No (N)	MC: Yes (Y)
LET	152	151	166	137
GUIT	141	162	146	157
LUCY	160	143	141	162
DAY	153	150	153	150

Figure 8.9. Frequencies showing how many times each of the four songs was played to the participants (N = 303) in the original key, or transposed and with or without melodic cues.

Omnibus Tests of Model Coefficients				Model summary	
		Chi-square	df	Sig.	Nagelkerke R square
LET	Model	13.556	2	.001	.078
GUIT	Model	21.432	2	.000	.094
LUCY	Model	7.516	2	.023	.034
DAY	Model	15.938	2	.000	.073

Figure 8.10. Chi-squares and significances of the model with transposition and melodic cues.

		Variables in the Equation					
		B	S.E.	Wald	df	Sig.	Exp(B)
LET	Melodic Cues	-.016	.335	.002	1	.961	.984
	Transposition	1.277	.370	11.918	1	.001	3.586
	Constant	1.283	.267	23.082	1	.000	3.607
GUIT	Melodic Cues	-.717	.252	8.111	1	.004	.488
	Transposition	.934	.257	13.216	1	.000	2.545
	Constant	.596	.204	8.578	1	.003	1.816
LUCY	Melodic Cues	-.551	.245	5.045	1	.025	.576
	Transposition	.347	.244	2.017	1	.156	1.414
	Constant	-.519	.212	5.997	1	.014	.595
DAY	Melodic Cues	-.919	.262	12.318	1	.000	.399
	Transposition	.487	.259	3.532	1	.060	1.628
	Constant	-.680	.216	9.952	1	.002	.507

Note: Bold print indicates the statistically significant variables.

Figure 8.11. The statistical significance of the transposition and melodic cues for the identification of the four Beatles songs.

chord progressions from LET and GUIT played in the original key were identified more frequently than the transposed chord progressions (positive signs in column B). On the other hand, melodic cues constituted a statistically significant predictor for GUIT ($Wald = 8.111, p = .004$), LUCY ($Wald = 5.045, p = .025$) and DAY ($Wald = 12.318, p < .001$), but not for LET. This indicates that the chord progressions from GUIT, LUCY and DAY without melodic cues were identified less frequently than progressions with melodic cues (negative sign in the column B). In sum, the results show that the original key and melodic cues tended to facilitate identification, but the effect depended on the song.

Discussion

We showed in our experiment that it is possible for listeners other than professional musicians to identify pieces of music from very little harmonic information, even without correct melodic cues and heard in

a key that is distant from the original. The number of chords needed for identification was not the same for all pieces or participants, varying from as little as two to as many as 16. The extent to which adding chords made the songs easier to identify also varied. A further finding was that the participants' music studies and practice—even though forming a clear structure per se—did not predict identification. The only variable that had some effect was specialized familiarity, in other words the participants' ability to write the chord labels from memory and their having played the target piece. We further found that playing the experimental items on the original transposition and with melodic cues also helped identification. Generally, the results are in line with our earlier findings (Jimenez and Kuusi 2018, 2020), although there was variation between the individual songs.

Distinctive and Common Chords

Some of the identification patterns, such as the peak in the identification rate during the chord succession ♭VII(add♯11)–vi in DAY, are consistent with the view that harmonic uniqueness facilitates song identification (Coker, Knapp, and Vincent 1997). However, harmonic uniqueness did not seem to be required or sufficient for the identification of these songs. For instance, 58 percent of the participants were able to identify LET from just two chords, I–V, one of the most common chord successions in tonal music. Moreover, relatively distinctive harmonic events such as the shift from emphasizing C major to emphasizing its relative minor in LET, the shift from the key of A minor to its parallel major, A major, in GUIT, and the modulation from A Mixolydian to B, Lydian in LUCY did not increase identification rates compared to other less distinctive harmonic events in the progressions. It is possible that some special conditions need to be met for harmonic distinctiveness to play a central role in the identification of songs. Our results indicate that two such conditions are the early occurrence of the distinctive harmonic event, as in the case of the raised scale-degree $\hat{6}$ in the bass of the third chord of GUIT, and the absence of strong extra-harmonic (and harmonic) cues previous to the occurrence of the

distinctive harmonic event, as in the case of DAY. Future research could focus on the time course of the identification of songs from the harmony, and specifically the potential role of harmonic uniqueness in that process.

As stated above, the instantiation of harmony into chord progressions necessitates the making of various choices concerning outer pitches, voice leading, key, timbre, and other extra-harmonic features. The way in which we instantiated our experimental stimuli resembled some of the original songs more than others in significant aspects such as timbre and texture. The chords were played using piano sound, but even though the piano is prominent at the beginning of LET and GUIT, it is less so in DAY and it is missing from LUCY. In addition, the block-chord texture of our chordal stimuli bore more resemblance to LET and GUIT than to DAY or LUCY.

Transposition and Melodic Cues

In our study, transposition seemed to affect the identification of LET and GUIT, but not of the other two songs. There is some evidence that listeners tend to remember the key of a song with an error margin of only one half-step up or down if the original song is always heard in the same key (Levitin 1994; Miyazaki 1988; Terhardt and Seewann 1983; Terhardt and Ward 1982). We do not know whether or not our participants had been exposed to only one transposition of the songs—especially if they had played the songs themselves. If they had retrieved the melody of “Let It Be” close to the pitch level of the original key (e.g., C, B, D) it would have been easier for them to match their internal singing to the chords of the non-transposed version, because singing on the transposed version would have required the additional step of quickly shifting the key of the melody they imagined.

Correct melodic cues tend to help identification, and this was the case in our study, except for LET. Although the versions with and without melodic cues were created following the same rules, these rules seem to have resulted in the un-cued version of LET still having melodic cues even though they were different from the specific pitches and

contour of the vocal melody for the opening chords I–V–vi ($\hat{5}$ – $\hat{5}$ – $\hat{3}$, as an ascending M6). In fact, the melodically downgraded upper voice of the in-cued LET started with scale-degrees $\hat{3}$ – $\hat{2}$ – $\hat{1}$ and happened to be similar to the original vocal melody for the fifth (I), sixth (V), seventh (IV), and eighth chords (I) of the song (the part of the phrase in which the title of the song is featured in the lyrics). Moreover, downgrading melodic cues does not change the bass, and in LET the bass could still have reminded the participants of the opening melodic gesture in the original piano introduction, a descending P4 from $\hat{8}$ to $\hat{5}$.

Top-Down and Bottom-Up Strategies

Another possible factor affecting the identification of LET could have something to do with the popularity of the song. Participants in an experiment concerning famous Beatles songs would probably expect to hear “Let It Be”. If a participant was expecting to hear the words “Let it be” before hearing the first chord, and tried mentally to sing “Let it be” on top of the chords to see if the melody matched the stimuli, that top-down strategy would be affected by downgraded melodic cues to a lesser extent than a bottom-up strategy that allowed him or her to rely on the melodic features of the stimuli only in activating long-term-memory traces of the song (Krumhansl 2010; Schellenberg, Iverson, and McKinnon 1999). This strategy could have been strengthened by the timbral similarity between the original and the stimulus played on piano. In addition, the ability to retrieve chord sequences from the memory and to associate them with songs allows the listener to use both bottom-up (what does this excerpt sound like) and top-down (what songs have this chord sequence) processes.

Yet another factor that might have contributed to the mismatching responses is extra-musical knowledge. Some responses could have been motivated largely by the popularity of the song, for example. This may explain why the participants gave incorrect responses such as “Yesterday,” the third most popular song in Last.fm, even though it does not feature piano, nor does it match the chord progression of any of our chordal stimuli. However, very few responses seemed to have

been motivated purely by extra-musical knowledge. “Yesterday,” for instance, was mentioned only five times. Most incorrect responses seemed to have been motivated by musical features, either harmonic as when the participants confused GUIT with another minor-key song, “Eleanor Rigby,” or extra-harmonic as when they confused GUIT with the harmonically unrelated piano song, “Hey Jude.”

Conclusions

In sum, our study shows that there are various factors affecting song identification from the harmony. As reported in previous research, we found that correct melodic cues help identification, which was the case especially in songs that were difficult to identify from the harmony. The roles of transposition and specialized familiarity were not as clear, and our results imply that they may only have an impact on songs that are relatively easy to identify from their chord progressions. Our chordal stimuli were more similar to the original commercial recordings in LET and GUIT, the two most often identified songs in our experiment, than in LUCY and DAY in terms of timbre (piano tones) and texture (one unembellished block chord per chord change). Therefore, our findings indicate that specialized familiarity and transposition are more likely to affect the identification of songs from chords when the extra-harmonic similarity between the chordal stimuli and the original is relatively high. One possible explanation for this is that participants who are very familiar with a song and its harmony have easier access to, and a higher likelihood of using top-down identification strategies such as singing the melody on top of the chord or recollecting the chord labels of the song. Close transposition and extra-harmonic similarity between stimuli and the original could also facilitate the success of such top-down strategies. We must point out, however, that these ideas regarding the effects of extra-harmonic similarity and specialized familiarity derive from the testing of only four songs representing a particular segment of popular music, and that further testing of these ideas would require a larger set of songs. Future research is needed to assess the effect of these and other as-

pects of musical and participant factors on the identification of songs from harmony.

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APPENDIX

Melodic-cues version of LET

$\text{♩} = 74$

The musical score for the Melodic-cues version of LET consists of two systems of piano accompaniment. Each system has a grand staff with a treble and bass clef. The tempo is marked as quarter note = 74. The first system contains 8 measures, and the second system contains 8 measures. The bass line is a simple sequence of quarter notes: C2, C2, D2, E2, F2, G2, A2, B2. The treble line consists of chords: C4-E4-G4, C4-E4-G4, C4-E4-G4, C4-E4-G4, C4-E4-G4, C4-E4-G4, C4-E4-G4, C4-E4-G4.

No-melodic-cues version of LET

$\text{♩} = 74$

The musical score for the No-melodic-cues version of LET consists of two systems of piano accompaniment. Each system has a grand staff with a treble and bass clef. The tempo is marked as quarter note = 74. The first system contains 8 measures, and the second system contains 8 measures. The bass line is a simple sequence of quarter notes: C2, C2, D2, E2, F2, G2, A2, B2. The treble line consists of chords: C4-E4-G4, C4-E4-G4, C4-E4-G4, C4-E4-G4, C4-E4-G4, C4-E4-G4, C4-E4-G4, C4-E4-G4.

Melodic-cues version of LUCY

$\text{♩} = 86$

The musical score for the Melodic-cues version of LUCY consists of two systems of piano accompaniment. Each system has a grand staff with a treble and bass clef. The tempo is marked as quarter note = 86. The key signature has two sharps (F# and C#). The first system contains 8 measures, and the second system contains 8 measures. The bass line is a simple sequence of quarter notes: C2, C2, D2, E2, F2, G2, A2, B2. The treble line consists of chords: C4-E4-G4, C4-E4-G4, C4-E4-G4, C4-E4-G4, C4-E4-G4, C4-E4-G4, C4-E4-G4, C4-E4-G4.

No-melodic-cues version of LUCY

$\text{♩} = 86$

This musical score is for a piano accompaniment in G major, 4/4 time, with a tempo of 86 beats per minute. It consists of two systems of two staves each. The first system contains measures 1 through 7, and the second system contains measures 8 through 14. The music is primarily chordal, with the right hand playing chords and the left hand playing a simple bass line. The key signature has one sharp (F#), and the time signature is 4/4.

Melodic-cues version of DAY

$\text{♩} = 77$

This musical score is for a piano accompaniment in G major, 4/4 time, with a tempo of 77 beats per minute. It consists of two systems of two staves each. The first system contains measures 1 through 7, and the second system contains measures 8 through 14. The music is primarily chordal, with the right hand playing chords and the left hand playing a simple bass line. The key signature has one sharp (F#), and the time signature is 4/4.

No-melodic-cues version of DAY

$\text{♩} = 77$

This musical score is for a piano accompaniment in G major, 4/4 time, with a tempo of 77 beats per minute. It consists of two systems of two staves each. The first system contains measures 1 through 7, and the second system contains measures 8 through 14. The music is primarily chordal, with the right hand playing chords and the left hand playing a simple bass line. The key signature has one sharp (F#), and the time signature is 4/4.

Live Notation Project: *NEXUS*

MIEKO KANNO AND SAM HAYDEN

INTRODUCTION

The Changing Status of Music Notation: Digitally
Created and Produced Music Notation, and the
Digitization of Production in Music

Digitally created and produced music notation has subtly affected the status of notation as a musical object in the past thirty years: digitally created and produced notations are no longer venerated objects like autographs, the cultural value of which frequently exceeds the information intended for dissemination. Digitally created and produced notations become objects to be used, inviting user interaction. In this sense, the notations draw more attention to what the users do *with* it, such as how they navigate through the specificities of notation software. It is similar to the phenomenon of digital photography to an extent in that music notation is becoming a *tool* rather than being an object.¹ The relatively recent surge in the use of digital notation software ranges both in purpose and in technical sophistication, from the kind that presents manuscript papers in a digital format—many performers use iPads with scans—with facilities for manipulation, to the kind that inputs notes through the keyboard. It has prompted a total shift in the role of music notation from being the carrier of musical work to becoming an instrument in the collaborative system for musical work (Antoniadis 2016).

The digitization of *production* in music has had an even more decisive impact on the role of music notation. Digital technology has proliferated data in various types in recent decades, including audiovisual record-

1 It is worth noting that notation has always been a tool for many composers. The fetishization of scores as “venerated objects” is a cultural phenomenon arising from the nineteenth-century concept of the composer as a “genius.”

ings, computer code, and MIDI visualizations. Music-without-notation nowadays is as rich in “documentation” as music-with-notation: the former takes advantage of contemporary technology to replace the functions that used to be assigned to manual communication means such as hand-written music notation. Algorithmic composition is one such type of music-making in which the generation of musical material is effected through its own digital means without notation.²

An algorithm is a predetermined set of instructions for solving a specific problem in a limited number of steps. In this sense, it has much in common with prescriptive notation as an approach. “In-time”, real-time, or “generative” algorithmic composition has a capacity to produce music in multiple variants (see ESSL 2007 or Manning 2004 for a concise history). Composers in this field create most of their music without traditional notation, without involving performers, and instead use materials that are pre-recorded or synthesized in advance or in real-time. Performing musicians who are part of this kind of music-making either improvise or play musical material that has been prepared in advance in a notated format.³ Challenges for meaningful musical integration between “live” and “real-time,” that is to say the live performance action of the performer and the real-time generation of sounds, have been identified and discussed (see for example Emmerson 1994; Croft 2007; Hayden and Kanno 2011, 2013), but the search for imaginative solutions continues.

Entextualization:

Text without a Text, and Text as Technology

The central point of this investigation is to grasp what music notation *does* in incidental and playful ways, rather than what it *should do*,

² Music notation can enter the process at a later stage, where the information is converted from numerical data.

³ For example, in our collaborations in previous projects, which resulted in *schismatics II* (2010) and *Adaptations* (2011), we were using prepared notations. See Section 9.2 for further descriptions of these works.

because we wish to discover what it can do when it is put into a new, less established environment. For this purpose, we explore the idea of “text without a text”: where and how text may be produced, away from a written text. Anthropologist Karin Barber (2005) calls this process “entextualization.” She observes the practice in the oral culture of Africa, and observes the omnipresence of entextualisation throughout ritual performances (*ibid.*, 266):

In oral traditions, the co-presence of performance and text is of course difficult to see, because there is no visible, tangible document to contrast with the evanescent utterance. Nonetheless, it is clear that what happens in most oral performances is not pure instantaneity, pure evanescence, pure emergence and disappearance into the vanishing moment. The exact contrary is usually the case. There is a performance—but it is a performance *of* something. Something identifiable is understood to have pre-existed the moment of utterance. Or, alternatively, something is understood to be constituted in utterance that can be abstracted or detached from the immediate context and re-embodied in a future performance. Even if the only place this “something” can be held to exist is in people’s minds or memories, still it is surely distinguishable from immediate, and immediately-disappearing, actual utterance. It can be referred to.

At this point, it may be useful to mention that, reflecting what Barber suggests about the oral culture of Africa, music notation does not require the existence of a physical or visible text to be effective as a cultural interface in art music. Oral and literate societies both employ the symbolic power of text to enrich their cultures. Notations do exist in art music, but their conceptual significance is even more effective than the notations themselves to the extent that entextualization is practiced regardless of the actual presence of any music notation throughout the stages of music-making. John Shepherd (1991, 160) discusses “the exigencies of control” that art music exercises through music notation: he considers the omnipresence of this control in the culture of art music to be one of its defining characteristics. These exigencies may be

observed in the most basic acts of music-making, such as composers thinking about music in terms of “pitch and rhythm” even before anything is written down, or performing musicians’ attention to intonation betraying the significance of discipline towards the controlling powers of music notation.

Musical discourse utilizes entextualization regardless of the presence of a score in Western art music, but it is equally significant that the existence of a text does not prevent entextualization entering music performance: it rather tends to inspire it. Musicians exercise creative agency in the presence of a score. In explaining the creativity in this action, Nicholas Cook (2001, 15–16) suggests that scores contain “scripts” rather than “texts,” where a “script” denotes a particular sub-category of text designed especially for individual performance (or a text that describes such a specific instance).⁴ It is clear that music notation acts on the user in ways other than it is anticipated of its normative representational function; it mediates the behavior of the user. This is where the term “interface” begins to have a powerful meaning. By considering music notation as an interface, we start to search for its potential as a creative *tool*: this includes the way in which some contemporary composers use prescriptive notation, but goes beyond it, to the way Jonathan Impett (2016) describes notation as “soft technology.”

Music notation is a porous interface, with which creative musicians over the centuries have accumulated sophisticated interactive skills in Western art music (Kanno 2007). Floris Schuiling (2019, 431) observes the increasing significance of the cultural attributes that continue to invigorate the interface:

Musicians today variously use notational systems [...] In all these different practices, notations serve to construct forms of musical interac-

4 Theater director Richard Schechner introduced the conceptual categories of drama (equivalent to text in the present discussion), script, theatre, and performance in *Performance Theory* (1988, 71). He explains the dynamic relations between them, and his explanation indicates that this ecological practice was of relevance much earlier in theatre than in music performance.

tion. They mediate performed identities, and inform notions of music as a cultural practice. They offer different ways of imagining sound as music, make different demands on musical knowledge, and condition musicians' creative agency. In short, they construct notation cultures.

There is ample evidence that many forms of entextualisation take place in the performance of art music as notation exegeses. Taking notation to be fixed, they all configure an interpretive space in which "scripts" or other equivalent material can be creatively found and interacted with. They all point towards the drastic consequence that "it decouples writing and text" (Schuiling 2019, 444).

Pattern Recognition and Sight-Reading: What Does Notation Trigger?

Having outlined the potentially very large area for the meaning of text, the next question is how musicians can interact with music notation as a particular type of text. The concept of "triggering" needs explanation. Music notation has many functions: it presents a composition, represents music, facilitates the execution of a composition into a performance, and constitutes a score that users (musicians and readers) can interpret. It may also prompt users to take on actions that are not necessarily intended by anyone except the users themselves. It could be a "cue" if it is an action agreed by the musicians; or simply a "trigger" if the consequence is individual or unforeseen.

It may be worth pointing out that, for performing musicians, reading music notation is about recognizing patterns and not about reading individual details. Sight-reading is a critical skill in Western art music; it "requires that a sequence of movements be produced in response to a succession of visual stimuli presented in real-time" (Thompson and Lehmann 2004, 145).⁵ Sight-reading exercise books remind you that "music reading depends on *understanding the language*, instantly

⁵ Thompson and Lehmann explain the link between sight-reading and improvisation, in both of which visible and imagined pattern recognition plays a critical role.

recognizing the symbols and knowing exactly what they mean. You need to know the different keys, spot recurring melodic patterns, really understand how rhythms go and develop an instinct for fingering” (Harris 2008, 4). The language of classical music consists of various parameters, including pitch, rhythm, key, speed, phrasing, character, mood, timbre, historical style, genre-specific style, instrument-specific idioms, expressive rhetoric, technical ease, and so on. Sight-reading exercises are designed to trigger a whole set of *learned skills* automatically, combining all the information pertaining these parameters that come with the language. The skill of sight-reading has much in common with that of style recognition, which is traditionally a required part of *Tonmeister* training in which learners identify a compositional style at sight, from an open page of an unknown score.

The sight-reading skills of professional performing musicians allow them to read off more information than is given on the page. They infer, anticipate, and guess. They exercise entextualization. Harris (2008) puts more emphasis on the need to understand the “language” with advanced learners than with beginners; with the latter, as one might expect, he prioritizes the correct reading and execution of the factual information. The gathering of an excess amount of information from the visual cues, and making it available in performance, are at the heart of excellent sight-reading. Music notation is designed to stimulate spontaneity.

An approach towards music notation as a triggering interface for the performer’s imagination may seem overly utilitarian. Yet, as the evidence on the acquisition of sight-reading skills suggests, an excellent capacity to read a varied range of both visible and invisible information off the page and set it in motion is a hallmark of good musicianship. Pianist Ian Pace is skeptical of the approach taken by Cook, who states that performances do more than reproduce or fill out scores (Cook 2013, 236), “but this model is negative about literate (or notated) music; I prefer to see scores as the means for channeling performers’ creative imagination in otherwise unavailable directions, rather than

as an obstacle” (Pace 2017, 285).⁶ This is the attitude with which we are working in *NEXUS*.

NEXUS

Live Notation Systems

Real-time algorithmic composition has, in recent decades, acquired an additional capacity to generate notation as well as sounds. This notation is not necessarily singular: a “musical work” resides in the code, which in the context of *NEXUS* is a patch produced in MAX (version 7; Cycling ’74), with the capacity to generate notations in infinitely varied forms. The algorithmic generation of notation can be rendered in real-time for the performer to respond to it as “live notation.” Therefore, algorithmic composition provides a framework for addressing two fundamental questions: What do we want notation to *do*, if we use it? What type of musical spontaneity can we derive from live or non-live notation?

NEXUS is the latest project in a series of collaborative ventures involving the two of us, violinist Mieko Kanno and composer Sam Hayden.⁷ Over the past ten years the collaboration has focused on the interaction between the computer and the performer using live electronics in a performance setting.⁸ *NEXUS* uses MAX7 with INScore to generate score fragments (i.e. music notations) algorithmically, in real-time to be read by the performer during the performance.⁹ The

6 Also quoted in Schuiling 2019, 432.

7 The project is also presented in Hayden and Kanno (2020).

8 The previous research collaborations (funded by the Arts and Humanities Research Council of the United Kingdom) resulted in two new works for electric violin (*Violectra* model) and interactive computer: *schismatics II* (Hayden 2010) and *Adaptations* (Hayden 2011; see Hayden and Kanno 2011 and 2013). *schismatics II* involved seven movements of fixed notation with real-time DSP. *Adaptations* involved modules of fixed notation to be performed by the violinist in an indeterminate order, with real-time DSP, to which the computer *adapted* its own performance (as if being an *obligato* performer) using Nick Collins’s machine listening and learning system, implemented as the MAX external object ll- (Collins 2010).

9 MAX7 is a version of MAX released in 2014, which is a visual programming language

current version still involves no digital sound processing (DSP), existing entirely as a notation-producing system, generating musical information exclusively in the symbolic domain.

Live notation is a type of practice in computer music in which music notation is generated by the computer according to a pre-configured set of constraining rules, and it appears on the screen “on the fly” for the performer to read and play. Indicative examples of live notation compositions include the live common practice music notation used in Richard Hoadley’s *triggered* (Hoadley 2011), and the generative graphic scores of Andrea Valle’s *Dispacci dal fronte interno* (Valle 2012). Various notation-based composition systems exist that are interactive to user input, including the Bach project (Agostini and Ghisi 2016) and MaxScore (Hajdu and Didkovsky 2012), both MAX-based applications, and computer-assisted composition environments such as Opusmodus by Janusz Podrazik and others,¹⁰ OpenMusic by IRCAM,¹¹ EScore (Alcorn and McClelland 2005), and the Active Notation System (Legard and Morgan 2007).

The *NEXUS* MAX patch utilizes some external objects and abstractions from Karlheinz Essl’s Real Time Composition Library for controlled randomness, including the implementation of Markov chains, which can be applied to the domains of pitch, rhythm and register, according to user choice.¹² These objects are involved in the generation of Open Sound Control messages, which are then sent to INScore, becoming rendered as notation using the GUIDO Music Notation (GMN) engine.¹³ Figure 9.1 is a short example of such GMN code with its resultant rendering as notation, as would appear in the INScore window:

designed especially for music and multimedia; INScore is a design environment which extends the music representation to graphic objects (common-practice notation in the present case).

10 See <https://opusmodus.com>.

11 See <http://forumnet.ircam.fr/product/openmusic-en>.

12 RTC-lib 7.1 for MAX7 by Karlheinz Essl from 2016. See <http://www.essl.at/works/rtc.html>.

13 The GUIDO Music Notation Format by Holger Hoos and Keith Hamel from 1997. See <http://guidolib.sourceforge.net/doc/GUIDO-Music%20Notation%20Format.html>.

```
/ITL/scene/myscore set gmn "[\meter<"4/8"> \clef<"g"> \beam ( \slur ( g1/8
c1/16 e1/16 a&0/16 c&1/8 c1/16 ))]"
```



Figure 9.1. GMN example.

Our context is that, while the aforementioned projects have created interesting procedural systems in their search for spontaneity by using live notation, a performer-centered approach lags behind them. The spontaneity in live notation is largely confined within the computer's generative process, not in the *reading* of the generated notations or in the use of the *affordances* of a given system. Finding spontaneous ways to engage musicians' expert skills in a responsive manner is our objective.

The interface was created using MAX functions both as a performance system and as a composing tool. The live notation system has a modular construction that generates notational fragments of varying lengths and complexity, a process set manually by the performer, using the MAX graphical user interface (GUI). During the performance, the performer can manually alter the settings to influence multiple musical parameters such as:

- pitch generation method (harmonic or Pythagorean series; the use or not of Markov chains to affect the sequential character)
- rhythm generation method (random permutations or weighted probabilities using Markov chains)
- variation of registers (clustered high or low, or scattered)
- variation and periodicity of pitch classes (more repetitions of select pitch classes, or less)
- variations of rhythmic values (longer or shorter values, similar or mixed values)
- probability of rests
- phrase shape, contour and phrase direction
- maximum and minimum number of "events" (where an "event" is a rest or note)
- interpolation between "initial" and "target" settings (so that there

is a “form” within a series of notations)

- indicative dynamic shape or level (*ff*, *mp*, and others to be present or not)
- meter (3/8, 4/8, or variable)

To make the music easily readable, the variables in pitch, rhythm, and meter are limited within small ranges.

The difference between traditional and live notation in the interpretive context of *NEXUS* could be described as follows. Critical interpretation of text in contemporary music often depends on having an understanding of the correspondence between symbols and actions. There is an established presentation style in this type of literature, frequently offered as manuals or reference books (for example, Rehfeldt 1977; Strange and Strange 2001; Arditti and Platz 2013). However, a close reading of the content reveals that the symbol and the action do not always form a one-to-one relation. It is dynamic: it may be one-to-many, many-to-one, one-to-one, many-to-many. The variety of ways in which harmonics are notated for the violin, for example, is one such instance of a many-to-many relation.

Although performer-centered research has explored the subject of embodied reaction to music notation as an important component in music-making (such as Rink 2001; Laws 2012; Cook 2013; and McCaleb 2014), it still manifests a tendency to assume that notation pre-exists as an object of authority, and that the performer’s thought and actions are *reactive* to it. By using the live notation system, we purport to (a) situate music notation to make composition and performance more synchronic in creativity, (b) divest music notation of authorial status, and (c) set up an environment in which the user’s thought and action are *interactive* with music notation, enabling the performer to make decisions that tend to be associated with the composer. Such a setup implies the lateral, side-by-side organization of creative practice, assimilating music notation within a dynamic system in which symbols and actions are *both fluid and interdependent*.

Methods Used for Material and Performance Generation

We are interested in how the computer could creatively complement our existing expertise as performer and composer in the handling of notation, to the extent that the new relationship between live computer-generated notation and live human performer interpretation expands our understanding of the potential of “text” in music. Text in this context is the exigencies of control that we can embed in the system, which is “text without a text”. This text without a text then generates notations as scripts (in Cook’s sense), which the performer interprets to create a “text” whose characteristics are located somewhere between the notations and the patch.

The patch has been developed through an iterative process between Hayden’s programming and Kanno’s feedback on different versions, gradually constraining the material until something “musical” emerges. For example, the control and constraint of register has proved to be a very important parameter for Kanno, reflecting the fact that expressive quality on the violin depends heavily on the register and intervallic sizes used in the generated notations. We have agreed on select configurations for this: clustered low, middle, or high, and scattered within two octaves.

Constraints on the material are also informed by ideas about what is idiomatic for Kanno on the violin. Work continues on optimizing the musical affordances of the patch for her, and on finding solutions to the issues of maintaining musical interest and variety, whilst retaining readability. This has included implementing more variability within the idea of “interesting musical material” from a perceptual (rather than statistical) point of view, more nuanced variety in the possible lengths and characters, and more efficient handling of larger-scale global formal control of musical parameters (via the interpolation system discussed below).

Programming decisions are also aesthetic decisions, directly affecting the notational outcomes of the system. Yet, the material is necessarily incomplete, in particular with regard to timbre and articu-

lation (parameters such as dynamics, tempo, bowing, phrasing, and tonal nuances); it needs the interpretation of a human performer to complete its transformation into musical material. The main points of investigation are to understand the affordances of both the MAX patch and the live notation that it creates for Kanno's interpretative spontaneity, and to find a useful definition of what we mean by "musical" in this digitally mediated context. The use of Markov chains, for more weighted probabilities in relation to pitch, rhythm, and register, has significantly helped to achieve this transformation into musical material from our points of view. The observation is that the use of Markov chains reinforces the melodic character of the generated material by suggesting a sequential direction (via weighted probabilities), helping Kanno to create phrasing.

Attempts at creating a sense of direction as well as an overall form have led to the introduction of a global formal shaping, using an interpolation function. Most musical parameters defined in the patch can be given fixed values. However, creating effective larger-scale formal controls *between* successive generated notations is considered critical from both compositional and performance perspectives. To achieve this end, we implemented a *pattr* system to interpolate between user-defined "initial" and "target" settings and thereby create more "musical" global transformations, in which "musical" is defined through the performance use of practitioners.¹⁴ Almost every defined music parameter is now connected to the *pattr* system, so a linear, exponential, or user-drawn table interpolation can be selected from a user-defined number of generated notations to give a large-scale musical transformation of multiple parameters simultaneously.

The benefit of the interpolation to performance is twofold. First it gives an overall formal shape and direction. Second, and perhaps less obviously but more significantly, the shape and direction assist Kanno in interpreting notations *in relation to her expectations of the shape and direction*. Her expectations about musical form, development, contrast,

14 On the function of *pattr*, see <https://docs.cycling74.com/max5/tutorials/max-tut/pattr-chapter02.html>.

and variety are strongly informed by her training and experience, and the interpolation brings into play not only her learned skills but also her broader musical knowledge. Theoretically, it gives her more compositional control over the musical form and allows her more space in which to interpret the notations as scripts and create a text-as-performance. In terms of practice, it adds much more character to the sequence, and contributes to making generated material more expressive in performance.

Making Generated Material Expressive in Performance

With regard to the notations (generated material) in *NEXUS*, Kanno makes a distinction between “properties” and “behaviors.” Here, “properties” are the combined statistical or numerical processes that generate the material (the various parameter settings on the patch and its internal algorithms), whereas “behaviors” reflect perceptions of the nature of the musical object or entity, in totality or *gestalt*. As a performer, Kanno is less worried about *how* it has been generated, focusing more on *what* is generated. From Hayden’s compositional point of view, this is relatable to a distinction between generative *processes* (multi-variable algorithms internal to the patch) and generative *results* (the notation as a musical entity). The *results* of compositional processes are usually heard, as opposed to being directly perceived. In other words, it is the qualitative character that comes across that is registered as music, rather than the quantifiable details that make the piece distinct.

Figure 9.2 gives six notations from a generated set of twenty notations as a series. The parameters have been set to have linear transformations in the following domains between the initial and the target settings:

- The number of pitch classes increases from approximately 8 (initial) to 12 (target) in harmonic series.
- The register starts low and limited in pitch-range and moves to high and wide.
- There is more variation in rhythmic value towards the end.

Notation 2:



Notation 3:



Notation 6:



Notation 12:



Notation 18:



Notation 19:



Figure 9.2. Six notations (selected out of 20) from a generative process on 19 November 2019.

Are these linear transformations observable? Not really. The system is not set in a direct way to produce intended transformations or configurations: it is set within a statistical probability. Hence, notation 2 is an example of an “odd behavior” in the system: it should be in the low register. But this is also precisely what renders the interaction interesting: it triggers something in Kanno against expectation.

Descriptions of what Kanno reads off these notations may be of relevance. Notation 2 is surprising for her, because of its high register and chromaticism (where the smaller pitch-class size is expected to make more “open” intervals). However, this material may typically be played with a fast, scurrying character at *pp*, giving contrast to the weighted probability of the preceding lower register (in Notation 1, not given here) and what is more likely to follow immediately. Notation 3 is not exactly what Kanno expects: the range spreads widely despite starting low; the character contrasts to the previous notation and invites a dramatic characterization with wide leaps; it has many open intervals, which could be seen as part of the initial setting; and the configuration of pitches and the *ff* indication suggest a steady tempo. Notation 6 plays around perfect fifths and a tritone and has a musical direction intervallically and dynamically; these intervals are also idiomatic for the violin. Notation 12 seems to be similar to notation 6 in terms of the intervals used. However, this one is rather awkward to play because of the string crossings required, hence a steady tempo seems a good option, as is the idea of dividing it into smaller phrases with a different timbre and nuance for each one. Notations 18 and 19 are spread in register and contour as expected, whereas Notation 18 provides local moments of lyricism due to its particular combinations of rhythm and pitch.

Many decisions are deliberately left to Kanno, including choices of tempi, details of articulation classes, as well as continuity (or not) between successive generated notations. These decisions are designed for Kanno to find entextualization, as discussed earlier, for each performance occasion. A resulting performance is therefore a performance of *something* that comprises not only the notations but also what the notations trigger for the performer. Such responses include the performer’s

learned skills, expectations, and the culture the performer brings to the act of performance. It is not our aspiration that the system becomes an autonomous virtual composer or performer: its notational outputs are necessarily incomplete. As Kanno's description of her reading attests, this project also makes her consider *compositional* parameters more than usual, because she *can* change them. She can re-generate series of notations *ad infinitum*, until she comes across a series that she finds suitable for her playing.

This open-ended process raises questions about the link between the generated musical material and what Kanno plays well, and the relation between this link and what comes across as "musical" when performed. Arguably there is a need for a certain balance between predictability and surprise in the generated material, in order for it to bear some sense of musicality. If there is too much predictability, the composition-performance becomes a pastiche exercise; if there is too little, it becomes too random and reduces Kanno's role to merely that of a translator. Notations do not necessarily have to be expressive in themselves, but they need to demonstrate something as music notation that will trigger Kanno's imagination to make an expressive performance of it.

The issues considered have affinities with the traditional collaborative models of composition and performance used for the last seventy years or more. The novelty of *NEXUS* is that it attempts at answering these questions through the digitally mediated symbolic dimension.

Why "Live Notation" and How "Live" Is It?

There is always a temporal lapse between the generation of a notation and the performance action of it. It is the temporal duration of no more than a second or two that allows the human performer to digest the visual material, grasp its characteristic behaviors, and give a trajectory to what follows. In this sense, generative notation may be live, but sight-reading always lags behind it. Yet, what can be said for certain is that this approach guarantees the uniqueness of each composition-performance, and the uniqueness of performer responses, whereas the

patch generates a defined musical object resulting from concrete constraints. Using the same settings, it can generate an infinite number of notations, or series of notations forming “pieces,” all of which are different from each other yet demonstrate the same properties determined by the shared values in the settings. It is one way of ensuring spontaneity on the part of the composer and the computer on the one hand, and on the part of the performer and the resulting performance on the other.

This is also the point that explains why *NEXUS* is not a tool that is simply designed for sight-reading. There are similarities between the two in that both train the performer to learn the musical language and anticipate features associated with it. However, *NEXUS* is a composition tool too, not only for Hayden but also for Kanno: it is a tool that encourages the performer to *compose* music at structural levels, through manipulation of the given parameters, regardless of any particular notation that may result from the process for performance.

In the context of multiple pieces the question of identity inevitably arises, and whether the computer should be regarded as an instrument or a compositional tool (or both): computer-mediated “live” notation somewhat deconstructs this traditional binary division in Western art music. The answer to this question really lies in the artistic *uses* of the system. Part of the aesthetic of the piece (an infinite set of pieces) is that each performance is unique yet created by defined algorithms, which have infinite variations yet are highly constrained. Many of the generative processes are automated versions of Hayden’s “outside-time” compositional methods for writing fixed scores, but they are necessarily simplified to enable reading by sight. The idea of a *hybrid* compositional and performance tool is therefore apt. Through computer mediation, Hayden has formalized some of his compositional procedures in the programming. Likewise, it has become something akin to an instrument for Kanno as she learns to anticipate the general effects of changing certain parameters as a means of directing live performances.

“In-Time” and “Outside-Time”

To use Iannis Xenakis’s distinction, there are both “in-time” and “outside-time” (Xenakis 1992) musical applications of the system. Although the collaboration has focused more on “in-time” or real-time performance, one could generate and prepare material any time before the performance, “outside-time.” One could, as Michael Edwards (2012) does with his “slippery chicken” software, generate notation algorithmically, which then becomes a fixed score to be rehearsed in preparation for a later performance (an “outside-time” compositional application). Each generation of the piece would still be different and unique so it would be a valid approach, as long as that version was not repeated.

It has become apparent that, in Kanno’s opinion, the timing of the generation of notation material has a significant impact on the quality and extent of the interpretative space. This is less of an issue for Hayden, for whom the generative system itself (the patch and the coding underneath) defines the work and the potential musicality of the performance. Hence, the current prototype incorporates the possibility to combine pre-prepared material with material generated “live”.¹⁵ This combining system gives two levels of engagement. The pre-prepared materials on which Kanno can work for three days in advance, for example, allow her to pay more attention to the playing action or the musical shape it may create in relation to what happens before and after the material. This also enables a wider range of settings to be used, as instant readability and playability become less of an issue. Meanwhile, the material generated “live” engages Kanno’s attention and skills in a very different way: her playing focuses more on the present and immediately following moments of sound production, less on building a relationship with what has happened and what is coming beyond the next moment. Overall, the two levels of engagement produce two differ-

¹⁵ This is enabled by creating two sets of notations (named “simple” for the set generated live and “complex” for the set generated and saved in advance), and adding the option to splice the two sets in order to combine more straightforward sight-readable materials and more complicated materials that require preparation time to be learnt by the performer. The splicing can either be randomized or the generated order preserved, such as when the interpolation system is used.

ent perspectives through which the material is interpreted and given a trajectory.

Such a combination of “in-time” and “outside-time” strategies is an aesthetic decision to adopt a more experimentalist approach that requires performance uniqueness and an unpredictable (but not a Cageian unknown) outcome—one possible affordance of this technology. The combination increases the variety in the mode of engagement on Kanno’s part and thus enriches musical expression in the piece. The use of two distinct types of material also realizes more fully the compositional potential of the system. Although the strategically pre-prepared material may appear to reduce the randomness or spontaneity, it is the *controlled* randomness that is of interest in the collaboration, somewhere between the aesthetics of John Cage and Iannis Xenakis, where spontaneity is given a context. On the one hand, the notation is necessarily simplified considerably from Hayden’s usual composition practice whilst still embedding his compositional ideas in the programming. On the other hand, it gives Kanno the ability to influence the outcome of a performance to a greater extent, even if it is still highly constrained in that Hayden sets very defined limits on what can happen in the system as the “work.”

CONCLUSION

The shift of emphasis from music notation representing the work to music notation as merely one instance of potentially many pieces is not entirely new. It is akin to the shift of emphasis from “text” to “interpretations” that has taken place in music studies over the last forty years. In the former case, the location of singularity—where the “work” is—has moved from the music notation to the computer code: in the latter, it has moved from the text to the interpretive agency. Both cases emphasize the ephemeral nature of performance and the spontaneity within the process that makes each performance unique.

We asked what musical spontaneity was in relation to the concept of precision in contemporary music, using *NEXUS* as an example. We conducted an experiment in two stages. The first, keeping the same

settings, generated a set of notations (20 notations) that Kanno played before repeating the process with another set of notations (about ten sets per day). She quickly developed a flair for what she might see in the generated notations. This became clear because of the problems she kept encountering in playing the generated notations, such as having simple notes in a very complicated metric notation, or too many successive intervallic leaps. In other words, despite the inclusion of randomization in the generative process, the behavior of the generated notations was often too consistent and allowed Kanno to predict problems for her playing in advance. The second stage kept the settings as above, setting one set of notations aside that Kanno practiced repeatedly until reaching a satisfactory level of execution. This is very much in line with how she practices music with a fixed notation. The process allows her to rectify problems in isolation.

This two-stage experiment yielded insights. The second-stage practice allowed Kanno to practice not only the problematic passages but also the problematic patterns that particular given settings are likely to produce. Going back to the first stage subsequently (still using the same settings), she found the newly generated notations less problematic to play. She predicted not only the notations but also the *solutions*. This knowledge also gave her an understanding of the remit of her capacity as a performer in the situation: if, after repeated practice, she could not play a particular type of passage well, it is highly unlikely that she could play this type of material when reading it by sight. She then changed the settings in the patch to reduce the probability of such passages occurring.

The work *NEXUS* is in the MAX patch, but it only has the potential to generate code. Any one instance of the generated GMN code could be considered an example of the work, but the code itself does not exist in the patch prior to its generation; only the building blocks to assemble it exist. It is debatable whether the work is the patch itself, or the infinite totality of potential generated notations—and their performance (or both). Both of us discover through repeatedly performing and listening to the generated materials how common-practice music notation interacts with Kanno, to which Hayden's response is to develop the

patch further to optimize the interaction as musically expressive performance. The cycle continues, and gradually a sense of precision emerges in which the code, the generated notations, and Kanno's playing align. It is an alignment between the aesthetic logic in the code and the precision of expressive intent on Kanno's part. The generated notations merely form a tangent in this alignment, and carry no meaning beyond being "data." Spontaneity arises as a consequence of achieving this alignment, not an alignment between the generated notations and the playing: the alignment between the code and Kanno's intent captures the expressive yet ephemeral passing of a musical event as notations come and go. The next challenge is to implement real-time DSP in the live violin signal, to explore further the live and real-time conundrum with this system. This will guide the development of a polyphonic application in the future.

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Composing the Instruments

GIOVANNI VERRANDO

The personalization of musical instruments has been a possible and plausible option for some decades now. In fact, many composers characterize their works by carefully studying the resources of the instruments, founding on them some decisive elements of their own style—the flute in the case of Salvatore Sciarrino and the piano for George Crumb, to give two examples. In this short essay I describe my personal approach to choosing and creating instruments as an intrinsic phase of the composition process.

General Background

The relationship between composer and instrument has been following a largely unwavering path for a very long time. The composer inherited from the past, from the hands of the instrument makers—or more simply from the commissioning institution—the instrumental means, the instrumentation for which the music would be conceived. The inheritance also includes elements that characterize the instruments: the gestures, the materials, the technical features, the number of players—in the case of an ensemble—and so on. It even encompasses the notion of shared sound, which derives from the known characteristics of the instruments—the sound of the brass family, the writing typical of the string quartet, etc.—which is then personalized. We are well aware that the structure of an instrument is decisive in terms of the type of sound it can produce: it works within a territory with borders that are limited but at the same time are ready to be extended by compositional and performance practice. It is as if composers inherit a space with defined confines within which to work, and that if they wish they could then help to enlarge and modify in accordance with their own choices.

There have been well-known and significant exceptions to this acceptance of sonic confines in existing instruments throughout history, driven by musicians and composers who wrote music for particular instruments they themselves had built. Examples worth mentioning include the archicembalo created by Nicola Vicentino in the sixteenth century, the impressive set of unique instruments built by Harry Partch starting in the 1930s, and the urge to find “an entirely new medium of expression, a sound-producing machine (not a sound-reproducing one)” fiercely proclaimed by Edgard Varèse in 1939 (“Music as an Art-Science”; quoted in Cox and Warner 2008, 19).

Notwithstanding these and other notable exceptions, the connection between composers and instruments has been mainly in line with the approach described above, which is based on the potential of existing instruments. Nowadays, for example, writing for orchestra means accepting the instrumental grouping, the working territory and, to some extent, the model of musical production associated with that sphere. It is, of course, possible and possibly desirable to personalize the use of the orchestral ensemble: the addition of unforeseen *sound generators*, the careful study of instrumental techniques, and refined orchestration skills will certainly help to achieve a unique personal mark.

However, despite this almost inevitable personalization of the means, the relationship outlined above is destined to remain mostly unchanged: the composer receives the instrumental ensemble that he or she is to write for, accepts the field of action as a pre-established condition and, if anything, exploits its qualities by personalizing the way it is used. At the opposite extreme this relationship is reversed, an approach that I personally favor. I do not start by working on the sound of a given instrument or ensemble of instruments, I rather conceive of, elaborate, or invent the instrument on the basis of the sound I am looking for.

Between these two poles, which I have described in a rather scholastic fashion for the sake of greater clarity, there are many possible intermediate solutions. On the one hand the pre-established instrument decides the fate of the sound, and on the other hand the instrument is viewed in terms of a sound that is desired. In between these extremes

are undoubtedly numerous other possible formulas, all equally and potentially effective.

My own personal history as a composer tells of a progressive move towards the second extreme, that of invented or elaborated instruments, as I shifted my attention from the sound of the means to sound *tout court*. In my works I have gradually driven the musical instrument away from the role of the goal (I am writing for a given musical instrument) towards the role of the means (I think this particular instrument could be useful to produce the sound I have in mind). In other words, for some years now I have been increasingly transcribing my musical imaginary by moving beyond instruments as I have known them. This endeavor, which is entirely personal, arises from an innate irreconcilability with the predetermined sound of instruments: although this distancing was the outcome of a fundamentally private and arbitrary path, it has concretely led me to reflect deeply about instruments and to incorporate my thoughts into my everyday work as a composer.

The Creation of the Instrument as a Compositional Phase

In the twentieth century, composition of the instrument grew hand in hand with the composition of the sound. Having set aside the idea of working solely with the notes, it became increasingly necessary to focus more directly on descriptors of the sound. It is, in fact, possible to keep the various dimensions—pitch, duration, dynamics and so on—separate when composing with notes, whereas sound composition inevitably involves more complex systems—or spectra—in which the data set constitutes a network of intrinsically connected relations.

This is an historical matter, and the debate spread across the twentieth century. Of course, the electronic and then the digital revolution, as well as French spectral music, concrete music, and other developments made a decisive contribution to the shift in attention from the note towards the sound, and at the same time led to a rethinking of musical instruments. Many composers followed this route, each tackling the

question in their own way,¹ while many others are legitimately working with notes. Both approaches allow the production of great music, depending on the talent and the technical awareness of the composer.

I take it for granted that the common elements of this historical pathway are already familiar, and therefore I proceed directly to describing the four themes that characterize my personal approach to the matter.

a) Contact with the instruments

The meticulous translation of each sound, the control of the gestures required from the players, and the relationship between the various instruments involved all demand more immediate control of the sound. Contact with the instruments is a decisive element in achieving a successful outcome with a piece, even during the compositional phase. Management of the detailed properties of the timbres, manipulated on the basis of their descriptors, made it necessary for me to acquire as much knowledge as possible about the act of performing. Given that the composer is contextually the conceiver, the researcher, the performer, and the producer of the final product, a slow metamorphosis of his or her role takes place.

b) Working alongside the instrument maker

I therefore start with an idea of a sound that does not necessarily derive from what I already know about the capacities of the instruments. In particular, I have followed three paths in recent years.

- The transformation/reinvention of traditional instruments

1 In 1958, Karlheinz Stockhausen declared: “The existing instrumental sounds are something already preformed, dependent on the construction of the instruments and the manner of playing them: they are ‘objects’. Did today’s composers build the piano, the violin or the trumpet? Did they determine how these instruments ought to be played? What does an architect do when he is to build a cantilever bridge, a skyscraper or an aircraft hangar? Does he still use clay, wood and bricks? New forms require prestressed concrete, glass, aluminium–aluminium, glass, and prestressed concrete make the new forms possible” (Stockhausen, “Electronic and Instrumental Music”; quoted in Cox and Warner 2008, 371–72).

I started out with a specific vision of the respective solo instruments in my latest pieces for soloists, namely *Fourth Born Unicorn* for prepared viola, *Fifth Born Unicorn* for transformed and dismantled cello and electronics, and *Sixth Born Unicorn* for electric guitar and electronics. I knew that each of them could produce the particular combination of sound that interested me, a sound that was not necessarily orthodox but that, apart from coinciding with my vision, was inherent in the potential of the instrument. In each of these cases I worked in close daily contact with the instrument and, where necessary, with the instrument maker, to test the gestures, the details of the timbre and the feasibility of my project.

This transformational path based on a given project could develop in two possible directions. In the first case I would maintain the instrument's original framework and materials, that is to say I would leave it intact and work only on the tools used to produce the sound—an emery board to rub against the strings of the electric guitar, a pair of gloves to dampen, strike and slide on the strings of the viola, for example.

In the second case I would work alongside the instrument maker, modifying the materials that it comprises. To give an example: during the same months as I am writing this short account I am composing a piece entitled *Instrumental freak show*, in which I have replaced the normal violin strings with dual-gauge strings; half of the string is thicker in diameter, the other half is thinner. As a result, the basic sound of each string becomes inharmonic, and the strings are most effective if they are made to vibrate using tools other than the bow—such as a metal stick rubbed against them.

- The search for and reconstruction of existing instruments that serve my goal

When I was in the initial phase of composing *Keekee Bouba*, for four musicians and transformed voice, I spent a long time looking for an instrument that was able to interact with the voice, here as a powerful generator of sound. It was essential to find a means that, like the voice, moved between the harmonic and the inharmonic, between stable and highly unstable timbres, between percussive envelopes and those with-

out a perceivable attack. I therefore retrieved the construction plans of the daxophone, an instrument invented by Hans Reichel in the 1980s, and I rebuilt it with the help of an instrument maker. At the same time we molded various forms of wooden blades, all of which are used to produce different sounds on the instrument (see Fig. 10.1).



Figure 10.1. A photo of the daxophone blades produced by the instrument maker.

Exploiting the timbral qualities of the daxophones, I composed a dialogue with the voice, basing it especially on the spectrum analyses and sound descriptors of the sounds produced by both of the “generators.” Working alongside the instrument maker was invaluable in enabling me to understand how to obtain the sounds I was looking for: we experimented with different types of wood—each blade is made of a different type—and shapes, taking into account the precise measurements of the elements that make up the instrument.

- Electronics

This is perhaps the most obvious solution, which I have adopted only to expand the transformation of the instrument. The electronics act

together with the other materials employed, sometimes to make the metamorphosis of the instrument in accordance with my initial plans more effective.

c) The exact transcription of the sound onto paper

Considerations about notation, although already widely developed during the twentieth century, represent a phase of composition that can by no means be taken for granted. The passage from the exploration of each single sound and instrumental gesture to their transcription on paper raises many questions. The most obvious of these concerns the transformation of unusual gestures into effective graphic symbols. Of course, it is sometimes necessary to reinvent even fundamental elements such as the clef, the notational space, and the form of the actual notes, but this ordinary procedure leads to other, more significant questions. Below I illustrate just two of the many possible issues.

First, it is my precise task—the task of the composer—to look for an approach that will not cause too many difficulties for the performer of the piece, despite the metamorphosis of the instrument or the unusual gestures. The notation plays a decisive role in this search for relative simplicity, in parallel to my daily contact with the instrument during the compositional phases. I must, in fact, make it easy to understand the approach to the instrument I have in mind, especially if the design has been modified and the tools required to play it are not the usual ones. Within this general framework the goal of immediate comprehension and ease for the performer is not easy to achieve: it remains a matter requiring constant and relentless research, piece after piece.

The second question concerns how the large amount of data linked to the sound relates to the notation, which must synthesize this data. If the sound with its descriptors constitutes the element from which the whole musical project arises, the notation must be able to transmit all the information necessary to attain the desired result. Indeed, it is for this reason that my latest scores are presented in two versions: a more ordinary one that is useful for the moment of the concert, and a multimedia version, conceived for study and rehearsals. The latter includes photos, audio files and videos, accompanied by texts describing

the instrumental gestures, the position of the instrument, the speed of each gestural phase, and all other information required to play the piece accurately. Figure 10.2 shows a page of my piece “Sixth born unicorn” for electric guitar and electronics, which includes two videos. By clicking on the video icons, the soloist is able to look at the gestures and listen to the sound related to the red boxes

d) The composer as the first performer of his or her own music

In this context, the act of composing includes the performance of many sections of the work, or even of the whole piece, to check its feasibility and efficacy. At this point, the relationship between actual composition and manipulation of the instrument clearly intensifies. It is only through contact with the instrument that it is possible to realize the composing and writing of the score. There are many reasons for this, some of which I have already described: verifying the initial sounds, checking the gestures, and managing the sound descriptors through their instrumental properties. This process leads to a virtuous circle between the writing and testing on the instrument, which ends only with the conclusion of the piece.

It is for this reason that the composer becomes, of necessity, the first performer of his or her own music, rediscovering the physical contact with the material that writing for orchestra had weakened, to some extent. It is very clear that the exigencies of performance bring about an equally evident absence of certain and pre-existing references. While it is possible to learn about orchestration through the study of historical models, converting a personal idea of sound into a material form envisages direct contact with the instrument, precisely on account of the lack of references and antecedents. The enactment of my own essential idea of sound has led me back to daily instrumental practice.

Transforming the Concept of Instrument

At this point in my article, I would like to clear the field of any inopportune misunderstandings. In sharing my thoughts I have no intention of providing any universal, necessary or, still less, obligatory solution

for the musical *milieu*. I firmly believe that the pluralism expressed in today's musical world is a source of societal wealth. The multiplicity of solutions, if carefully thought out and self-criticized, remains a priceless model of reference for a Western world that increasingly refuses to come to terms with difference.

Moreover, I am obliged to fit my work into the current context as accurately as I can: current research into musical means is being shared among many other composers, each of them contributing amazing pages to a musical chapter that, in all probability, has yet to be completed. Thus, what I state here describes my own personal approach to the matter, stemming—and in this case I can use the term—*necessarily* from the progressive combination of elements that have shaped my life as a musician for the past 15 years or so: research, daily reflection on the means, and application to composition as a discipline of self-representation.

This approach inevitably leads to the spontaneous and constructive transformation of the instrument as a concept. It is spontaneous because it has gradually emerged from my everyday work as a composer, without any predetermined planning. It is also literally “constructive” in that it constitutes the basis of my works, it contributes to the making of the instruments, and it proves necessary for the realization of my musical imaginary.

Moreover, as already stated on other occasions, it is an approach that is based on a simple point of departure: *the musical instrument as a means to an end, a means with a purpose*. My musical aims require means that may not be immediately available, and like other composers, I work on the means as I compose the piece. From this perspective, the musical instrument is allowed to reveal its nature as a means, being perceived increasingly less as a finite set and more often as a system of relations, an apparatus to be discovered, chosen, built, and managed during the compositional phase.

I could perhaps better illustrate this metamorphosis by citing an example of my personal approach to the solo instrument, which is without doubt the simplest and most straightforward case to deal with. I am able, in fact, to study, choose, and test each element of the sound in which I am interested, directly on the means. This process is facili-

tated by direct contact with the instrument, and possibly also with the performer, who will pass on his or her vast technical expertise: this is indispensable, especially when I am writing for this player's own particular instrument and not for one of my new "means," which may be unfamiliar to him or her.

There is one last consideration, which is more general in nature and guides my way of viewing and working with sound—and maybe, more globally, of viewing reality. History is moved by those who are able to look beyond cultural habits, offering a personal perspective based on research and in-depth inquiry. If we allow ourselves to be constrained by convention, it becomes more difficult for us to offer our own constructive contribution. In our activity as composers, for instance, we risk the orchestral process of production becoming precisely one of these conventions—a few hours of rehearsal time and scarce malleability towards new instruments, for instance. If we accept such conventions without too much thought, as if they were a necessary precondition, they will influence a large part of the creative process. In the same way, instinctively adapting ourselves to predetermined families of instruments as a necessary and inevitable phenomenon could turn into a constraint on unlimited creative and generating potential.

Indeed, although it is doubtlessly true that creativity is enhanced by limits—whether they be practical or theoretical—and it is precisely through them that expressive capacity is nurtured, it is equally necessary that such limits are not unwittingly transformed into conditions grounded solely on tradition. The provisions and restrictions associated with the available musical means are, in fact, the fruit of the intellect and of the cultural context, and as such are intrinsically in constant evolution: as far as possible, they should not turn into invariable, unchallenged and unquestionable preconditions. The balance between the limits and the creative potential of individuals is extremely complex and changeable over time, and the limits in themselves should rather continue to regenerate themselves and to evolve within this dynamic process.

Pedagogical Implications

The study of sound, the knowledge already acquired on this topic, and the evolution of instruments and their repertoire are all areas that are in urgent need of renewal in academic courses. The failure to adapt the contents of teaching programs in music schools represents a restraint, a major obstacle that goes far beyond the single subjects, covering the entire dynamics of musical production and obstructing the natural evolution of our musical and extra-musical civilization.

Any partial revision of academic programs should aim at the progressive redefinition of the musician as a figure. Performers aiming to meet the demands of the repertoire described above are now expected to:

- be familiar with the principal rules of acoustics and psychoacoustics,
- have a thorough knowledge of the properties of sound and of its descriptors,
- know how to approach an instrument that is different from their own,
- know how to approach different notations,
- combine technical skills with scientific knowledge of the sounds produced,
- know how to play a role that is also theatrical and not exclusively musical.

These expectations imply, above all, a need to introduce psychoacoustics as a fixed subject of study. It incorporates fundamental elements that could enhance understanding of sound and its properties, and would help musicians to update their subject-specific vocabulary with terminology that may be more appropriate and technically more precise.

It is equally useful for performers to be capable of managing the sound of their own instruments (and more generally, of sound *tout court*), not simply via a rather alchemical approach to the “means” but also through enhanced knowledge of the properties of the timbre.

Studying the descriptors and being able to match the gesture with their control offer the musician an indispensable tool for interpreting many contemporary pieces, as well as for enhancing their performance of a more traditional repertoire. Given that composers are no longer working only with notes, as mentioned above, performers should know how to act more directly on the prime factors of sound, managing their instruments to attain the specific sound requested.

The teaching of music should therefore be patiently reviewed in terms of its approach. This would keep it in touch with current musical output and with the collectivity as a whole, of which contemporary music represents a limited but significant part.

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PART IV
Reminiscences

RAIMO SARIOLA

The public examination of the components of artistic demonstration for my doctoral degree in May 1990 attracted curiosity and great deal of interest as it happened to be the first of its kind in Finland. The Wegelius Hall at the Sibelius Academy was packed, and there were lots of press representatives on site, in addition to television cameras. Afterwards, there was a feisty discussion in various arenas such as journals of science policy, the union for academic workers, and the musicians' union, on whether or not it was possible to earn a Doctor of Philosophy by playing music.¹ A question was posed: "Artistic science or scientific art—is that what you are now going to do there at the Sibelius Academy?" I joined in the debate, and wrote a letter to the editor of the tabloid newspaper *Italehti* in an attempt, on my behalf, to dispel prejudices against the artistic Doctor of Music degree. It is difficult to believe that anyone today would think of questioning the status of artistic doctoral degrees in higher education. Times and attitudes have radically changed in the past 30 years, however, and these degrees have become the new normal.

There was a genuine pioneering spirit in the air in the fall of 1983 when I and a few younger-generation teacher colleagues were eagerly starting our doctoral studies in music. The structure of the doctoral degree has remained the same. Artistic demonstration corresponded to the traditional academic dissertation, and in terms of scope it had to be equivalent to at least five concert programs. Studies supporting artistic work and a written thesis were also included in the degree. The lack of models caused headaches in a number of areas, from designing the study plan to deciding on the content and scope of the concert series, let alone the written thesis. Insinuating comments from the leadership of the academy warning that the standards had to be high did not make it any easier. The Ministry of Education and the science community were

1 Journals *Tiedepolitiikka*, *Akava*, and *Muusikko*.

expected to carry out thorough assessments concerning the comparability of artistic demonstrations of proficiency with dissertations. To make matters worse, there were conflicting opinions about the overall need for doctoral degrees inside the Academy.

For the artistic components, I ended up choosing Finnish cello concerti. I had already had the opportunity to perform a few, and that was a good start. Composers Einojuhani Rautavaara, Einar Englund, and Joonas Kokkonen represented the category of well-known works. The concertos of Pehr Henrik Nordgren and Aarre Merikanto had been performed less frequently, but they were high-quality acquaintances. The series also included two first performances: works of Esko Syvinki and Kari Tikka. The concerto performances were realized as concert performances with the Helsinki Philharmonic Orchestra at Finlandia Hall, with Sibelius Academy orchestras in the Sibelius Academy concert hall, or as master recordings for the Finnish Broadcasting Company, YLE, with the Finnish Radio Symphony Orchestra. The artistic component also included a concert of Finnish sonatas and the recording of all cello music composed by Jean Sibelius.

Writing the thesis was clearly a project with many more twists. First, I started to study Aarre Merikanto's compositions for cello, which were part of the concert series. The topic itself was a good one, and I could have continued with it, but I became interested in the very problems of playing more than in the composition: the phenomenon of playing from the viewpoint of the player.

My interest in the subject arose when I began to reflect on the relationship between the theoretical and the practicable alternatives to sound intention. The aim of my study was to examine the possibility of modeling the cognitive processes at work in cello playing. I investigated this performance-practice-related phenomenon from two perspectives: on the one hand by finding alternative paradigms in theories concerning motor skills, schema and production as well as in artificial intelligence programs involving computer simulation, and on the other hand by developing a hypothetical descriptive model of the cognition of cello playing. The cognitive function refers to human cognitive processes, which are related to perception, learning, remembering, thinking, prob-

lem solving, and decision-making.

The aim of modeling is to describe the reduction of phenomena through functional and structural processes. At the time, the modeling of phenomena in the cognitive sciences, in other words simulation, was based on computer analogy. The starting point of my study was in the pre-phase of the player's physical performance—the phase in which he or she already has an intention of a sound-image but has not yet decided how to implement it on the instrument. Thus, the focus was on the cognitive processes in the preparation of action strategies. The goal of these strategies is to provide, at any given time, an optimal choice among potential implementation options in relation to the sound image.

As a performing cellist, I was interested in the relationship between the sound-theoretical intent and generally available knowledge of implementation options based on the player's own expertise. I noticed that each of the audio-intentions has a finite number of possible theoretical and practical implementation options, and that they seemed to be affected by aspects such as the structure of the instrument, the player's learning history and the level of expertise, as well as the player's own physical dimensions. To facilitate description of the relationship between the theoretical sound intentions and their implementation alternatives in the player's action chain I defined a simple implication: *if* the sound-intent is *x*, *then* the implementation is denoted by *y*. I went on to define the criteria that guide the selection process in execution. As a result of this process, a hierarchical four-level system consisting of fifty-two classes emerged. John Anderson's production theory (ACT* theory; Anderson 1983) was applied to describe the structure and functioning of the developed cognitive model.

From my viewpoint as a retiree, the most significant effect of the doctoral degree has been on my professional approach to teaching. The project combining art and science strengthened my identity as a teacher and instilled in my pedagogical thinking a basis on which to infuse stimulation into the tuition of cello students and cello pedagogy. One cannot know in advance what kind of benefits may accrue from pursuing a doctoral degree. In any case, regardless of the benefits, engaging

in the process may become an exciting adventure, opening up new avenues for growth in one's own artistry.

GUSTAV DJUPSJÖBACKA

Reflecting on interpretation and doing research on the background of musical works have always been part of my musicianship. When I was a student at the Sibelius Academy in the 1970s, however, I never took the time to extend my studies to musicology at the University of Helsinki. There was simply too much to be learned in the acquisition of piano technique and repertoire.

During my active years as lecturer of *lied* music in the 1980s and 1990s I organized the Sibelius Academy *Lied* seminar to awaken a consciousness among students of the *lied* and to formulate ideas behind its interpretation, given the poetic element involved. The seminar writings of the students were considerably more extensive in those days than today.

I followed the discussion on artistic research from the sidelines during the 1990s, recognizing several elements from my own activities, and when the first DMus degrees were awarded I congratulated my colleagues without relating in any way to their efforts. My respect for research education in musicology was still so high that I considered the short courses in academic writing and methodology some kind of shortcut, not really research education. It took me several years to realize that there was a bridge between research education and artistic work that was convincing, whether it be called artistic research, reflection, development, or experimentation. I also realized that the concept of research was much broader than I had hitherto understood.

Several years before finally starting on a plan for a doctoral degree at DocMus, I sketched an outline for new piano arrangements of

a few orchestral or unfinished songs by Sibelius, as well as a guide to Finnish art songs. Most of this materialized: my guide *Istumme ilokivelle: sata suomalaista yksinlaulua* was published by WSOY in 2000, most of it written during a six-month sabbatical, granted by the Sibelius Academy.

It was Kari Kurkela who persuaded me to get to work on research somewhere around 2002. I had faced philological problems while I was writing the guidebook, given the substantial differences between the manuscripts and the published versions of Toivo Kuula's songs. At the same time, the Madetoja Foundation had initiated a critical edition of Leevi Madetoja's songs (published later by Fennica Gehrman), and as Chair I could closely follow that endeavor. The issue of how critical editing affects the attitude of the performer became of utmost relevance. I was involved in the complete recording of the Madetoja songs (Ondine) and could test this critical attitude towards the score, having come far from the "fundamentalist" attitude I had been living with. Suddenly it seemed quite natural to combine performing with research on the editing problems in Kuula's production—and there was the doctoral plan!

When I started this enterprise I had no idea that, before finishing it, I would be elected Rector of the Sibelius Academy in April 2004. It would have been impossible to combine the two endeavors had I not finished most of the theoretical studies and seminars before entering the Rector's office. The remaining two concerts during 2004, in which I performed all of my edited stuff, Kuula's complete song production with Ritva-Liisa Korhonen and Gabriel Suovanen, was inspiring and a great experience. The edition was published by Fennica Gehrman in 2008. Given my position, there had had to be some changes in the evaluating board to avoid conflicts of interest. The public examination took place in October 2005, and the degree was awarded in November 2005. The Vice Rector signed the document.

Artistic research is still a concept under debate. Several conservatories still do not accept DMus exams—on the same grounds on which I resisted it in the 1990s. For me, the DMus of the Sibelius Academy has developed as a good combination of research and artistic development.

CECILIA OINAS

My doctoral studies began at the Department of Composition and Music Theory in 2009. I wanted to study the interaction between music analysis and performance, which is why it was a huge advantage for me when, a few years later, all doctoral students of classical music were transferred to the DocMus department. My fellow students were now doing both artistic and scientific research, and we had an eclectic mix of performers, composers, and theorists sharing ideas in a collaborative and open environment.

When you embark on a long-term project such as a doctorate, you rarely know what path you will eventually take. Mine included two longer visits abroad (one year at the City University of New York Graduate Center and a three-month period at the Orpheus Institute in Ghent). I presented numerous conference papers in Finland and abroad, gave lecture-recitals and concerts, and attended seminars and workshops. I had acceptances and rejections, successes and failures, and frustrations. Even though you have your peers and advisors who are there to help you, you have to do a large amount of work alone. There may be days—even months—when you don't see any light at the end of the tunnel. But then suddenly a clear, well-formed idea comes into your head and then you know this is it, I need to hold on to this idea and not let it go. Moments like these are the most rewarding for me, when I know it is worth it. There is something very mysterious about the research process, I think. To be sure, you read, you write, you polish, you check, you ask, you receive constructive criticism, and you keep going. All too often you feel like a blind person in a room full of beautiful and precious things, and you try to grasp what you can.

My journey through those doctoral years made me what I am today: researcher-teacher-pianist. I feel that all these sides were supported by the DocMus department, and that I was encouraged to do my own thing. It is not so easy to maintain a balance between these three roles, but for me none of them can exist without the other two. After

finishing my doctoral degree in October 2017 I was able to continue my research for one year as a post-doc scholar at the University of Music and Performing Arts in Graz. As of the fall of 2019, I have been a full-time lecturer in music theory at the Sibelius Academy. Thank you DocMus, the teachers, my fellow students, and my wonderful advisor Lauri Suurpää for believing in me. The story will continue.

ANNIKKA KONTTORI-GUSTAFSSON

When I began my doctoral studies at the DocMus Department (later DocMus Doctoral School) about 24 years ago I did not imagine that it would become the center of my future professional life. At the time I was looking back at a ten-plus-year teaching period in the Piano Music Department of the Sibelius Academy, and I more than welcomed the impulse for engaging in doctoral studies I received from Professor Kari Kurkela, the innovator and long-standing head of DocMus. It certainly was an invaluable opportunity to challenge oneself! I took a risk and chose a subject that was quite new to me, and generally unknown in Finland as well. I had a strong urge to learn more, and because most of the literature was in French, I needed to enhance my language skills as well. My doctoral concerts (*The Presence of Olivier Messiaen in French Piano Literature*) and my thesis focusing on Messiaen's color associations gave me the opportunity to specialize in the French piano music he influenced. Since then, I have been offered an abundance of interesting work as both a performer and an educator.

It was a fascinating experience to study in the community of artists and researchers! Many kinds of approaches and opinions were accepted and discussed in the seminars. At that time—before the administrative incorporation into the University of the Arts Helsinki—cooperation with doctoral students from the Theatre Academy and the Academy of

Fine Arts developed quite naturally in seminars, and within the framework of the VEST doctoral school.² I experienced being a member of the community, which then became a long-term challenge.

My studies culminated in the *PianoHorizons* concert series I performed with two fellow students as part of our respective artistic proficiency demonstrations. We planned the programs together and performed them in different combinations.

The nature of the written thesis has been reflected on and discussed within the Arts Study Program for as long as I can remember. I am grateful for having had the opportunity and the time to consider my own approach. When I found my path, my supervisor, Professor Matti Huttunen gave me his support without hesitation. As a musician, it was very important for me to strive towards a convincing interpretation, but as an inexperienced writer it was not at all easy to achieve anything even closely comparable to the artistic output. People need to find their own resolution of this dilemma. In my opinion, one of the remarkable strengths of DocMus is the flexibility of the supervisors, their ready acceptance of different approaches.

Soon after graduation I was asked to take over as the head of DocMus. I was totally surprised and found the challenge a mission impossible at first, but, anyway I agreed and began my seven-year period as the head, followed by several years as the deputy head. This would not have been successful without the support of the working community. There was already the ongoing tradition of meetings every two weeks, on the same weekday at the same time. The need to discuss all the details of this quite new educational venture was strong, and although the main features of the doctoral studies are still the same, this need has not decreased. There are a lot of questions regarding the auditions in the three different study programs, the individual supervision, and the evaluation of the demonstrations of proficiency. For instance, a board of five members is individually chosen for every doctoral student in the Arts Study Program.

2 *Valtakunnallinen esittävän taiteen tutkijakoulu*, the National Doctoral School of Performing Arts.

Doctoral students on this program at the beginning of the 21st century demanded seminars and projects with an emphasis on artistic activity. I took it as my responsibility, in cooperation with my colleagues, to create different forums with various approaches, frequently including visiting contributors from Finland and abroad. This was how the workshop for composers and instrumentalists or vocalists started, as did several other workshops, often planned by Margit Rahkonen in cooperation, for instance, with actor Jussi Lehtonen and painter Hannu Väisänen. Building the bridge from basic education to doctoral studies was considered an important task. I was also teaching in the Piano Music Department at the time, and it was quite natural for me to organize, together with students and teachers, a large project about Finnish composer Selim Palmgren that included seminars, as well as six concerts with booklet texts about his piano music. The interaction between the arts, the research, and the philosophy has become manifest in interesting ways during the series of lecture recitals (Music and Philosophy), which I have been planning and partly carrying out with Professor Matti Huttunen. Cooperation between DocMus and the Musica nova festival in Helsinki culminated in 2017 within the international György Ligeti Symposium.

During the early stage of my career as its head, DocMus was already generally highly appreciated, although there were still doubts in Finland and elsewhere about the Arts Study Program with its strong artistic emphasis. The discussion goes on about doctorates that focus on producing extensive artistic proof and a supporting thesis, but nevertheless, the influence of our Doctors of Music in the field of music in Finland is remarkable, and the DocMus concerts have a particularly high reputation in Helsinki. The interaction between the three doctoral programs has always been a strength, providing a stimulating environment for students and teachers.

I think back to the hardworking years at DocMus with gratitude. Amongst many interesting tasks I also became acquainted with the conventions of historical research, and with the editing of publications. For me, as an author of arts and research, being given the opportunity to deepen my understanding about the arts and myself has been a privilege.

PÄIVI JÄRVIÖ

Little did I know where an innocent chat with harpsichordist Annamari Pöhlö at the beginning of the 1990s would lead me. She told me she was pursuing her artistic doctoral studies at the Sibelius Academy. “What? Doctoral studies???”—“Yes, it’s fun, you should do it too!”

As soon as I returned to Finland, I was persuaded to join Professor Kari Kurkela’s doctoral seminar. Over the years, this resulted in my dragging myself through licentiate and doctoral studies, becoming a salaried doctoral student and a part-time supervisor, then, after a three-year post-doc period, joining the staff of DocMus as a senior lecturer, and finally in becoming head of DocMus for a five-year period.

Even during my year as a hang-around doctoral student I felt at home in the DocMus community. The commitment to determined searching and re-searching, the fascination with in-depth discussions, and the linking of all this to performing music, to art, soon overwhelmed me. After a relatively easy path through school, my Master’s studies in music education, and my specialization in early music performance in Germany, I welcomed my own incapability and ignorance as well as the complexity of the issues at hand. What a great opportunity for self-development!

Interestingly, this absorbing and challenging effect that DocMus has on me, has remained more or less the same over the years (or decades), regardless of my role in the community. The image that spontaneously comes to my mind is of rowing a boat full of holes and at the same time attempting to bail out the water that is mercilessly pouring in through them.

My individual challenges on the DocMus boat have been varied. At one point I was a student writing a megalomaniac thesis in an area of research that didn’t exist. At another, as head of DocMus, I was obliged to convince my superiors about our need for new research professorships. These challenges often seemed hopeless undertakings, spiced with a feeling of not moving forward and the threat of the boat sinking any minute. Still, there has been movement, possibly even forward.

There seems to be something charmingly chaotic in the way things happen at DocMus. This sprouting, even times exploding quality of DocMus life makes it irresistible to people, such as myself, who are tempted by ever new, singular situations, problem solving, even trouble. Yes, the staff are constantly trying to bring more clarity to the practices and even some serenity to the everyday bustle of the doctoral school. One aspect of this controlling tendency is to keep expanding our cherished DocMus manual in an attempt to encompass all aspects of every imaginable case, the discussion on which never seems to stop.

And yet, there are always cases for which we are not prepared. It is emblematic of doctoral education and research not to aim at producing something ordinary, something that we know in advance. Rather, questioning, finding new ways of thinking about and doing things is what makes DocMus tick. We do not educate professionals who are merely competent and reliable. Rather, we try to provide a fertile ground that will foster something exceptional in our students. Given that the staff and the majority of the doctoral students are remarkably insightful, creative, and intelligent, there is always the possibility that something unforeseeable will happen. Order and controllability would probably make DocMus life easier, but by sacrificing our creative energy we would probably lose the essence of what makes DocMus what it is: creative, intuitive, and bold, yet at the same time rigorous, organized, and solid.

Contributors

Robert S. Hatten is Marlene & Morton Meyerson Professor in Music at The University of Texas at Austin, where he has taught music theory since 2011. He served as President of Society for Music Theory in 2017–19 and President of the Semiotic Society of America in 2008. Hatten’s first book, *Musical Meaning in Beethoven: Markedness, Correlation, and Interpretation* (1994) was co-recipient in 1997 of the Wallace Berry Award from the Society for Music Theory. His second book, *Interpreting Musical Gestures, Topics, and Tropes: Mozart, Beethoven, Schubert* (2004) helped launch the book series “Musical Meaning and Interpretation” (Indiana University Press), for which he served as general editor until 2020, shepherding the publication of over 35 books. His latest book, *A Theory of Virtual Agency for Western Art Music*, appeared in the series in 2018. Illustration and performance at the piano inform his current research, including explorations of texture and expressive meaning in the Bach keyboard partitas, and enrichments of *melos* in two late nocturnes of Chopin.

Sam Hayden is a composer, and professor of composition at Trinity Laban Conservatoire of Music and Dance in London. He completed his doctorate in 1998 and held previous academic posts at the University of Leeds (1999–2003), University of Sussex (2003–10) and Durham University (2010–13). His research interests focus on computer-assisted composition, real-time DSP, and live notation. He has been the recipient of prizes including the Benjamin Britten International Competition (1995) and the Christoph Delz Composers’ Competition (2003). Hayden’s music has been widely performed in the UK and on the European continent, by ensembles such as BBC Symphony Orchestra, Oslo Sinfonietta, London Sinfonietta, ensemble mosaik, ELISION, Cikada, Quatuor Diotima and Ensemble

Musikfabrik. Numerous festivals have featured Hayden's music including BBC Proms, Huddersfield Contemporary Music Festival, London Ear, MaerzMusik, Spitalfields, Tage für Neue Musik Zürich, Ultima, and Warsaw Autumn. His works have been recorded on the Divine Art, GROB, NMC, Oboe Classics, United Phoenix, and UTS labels, and his scores are published by Verlag Neue Musik (Berlin).

Matti Huttunen, PhD, studied musicology and philosophy at the University of Turku. He was the senior lecturer of music history at the Helsinki Conservatory of Music in 1989-1999 and professor of musical performance and research at the Sibelius Academy in 1997-2005. Since then he has taught music history and music philosophy, among others, at the University of the Arts Helsinki, and at the University of Oulu in 2012-2020. His main areas of interest are intellectual history, philosophy of music, history of Finnish music, and the history of musical performance.

Ivan Jimenez (Ph.D. in Music Theory and Composition) is a researcher affiliated to the Sibelius Academy, University of the Arts Helsinki since 2016. He has taught music theory and appreciation of twentieth-century art music at the Department of Music of the University of Pittsburgh, U.S.A., and the Facultad de Artes of the Universidad Javeriana, Bogotá, Colombia. He has also worked for the College Board in the U.S. on the Advanced Placement testing of music theory. His work in the area of music cognition research has been supported by grants from the Kone Foundation and the Jenny and Antti Wihuri Foundation and focuses on investigating how musicians and non-musicians remember chords and chord progressions. In the area of music theory pedagogy, he has been working towards developing new approaches to take advantage of students' implicit knowledge of the harmony of familiar pieces of music. He has presented his work at numerous music cognition and music theory conferences and published his research in international peer-reviewed journals includ-

ing Psychology of Music, Musicae Scientia, and Music & Science.

Mieko Kanno is a violinist, professor in artistic doctoral studies at DocMus Doctoral School of Sibelius Academy at the University of the Arts Helsinki, and director of the Centre for Artistic Research (CfAR) in the same university. She first came to international attention in the 1980s when she won prizes in violin competitions such as the Carl Flesch, Queen Elisabeth of Belgium, and Hannover. Later she developed an interest in performing contemporary music and received the Kranichsteiner Musikpreis at the Darmstadt New Music Institute in 1994. Since then her work as performer and scholar centres on the development of music-making as live performance practice. She is especially known for her pioneering work on complex notation and microtonality, and her research ranges from performing on the Violetra electric violin with live electronics and commissioning works for it, to a long-term project on John Cage's *Freeman Etudes*. Since her doctorate in 2001, she has worked at Durham University (2001–12, UK) and the Royal Conservatoire of Scotland (2013–16), and in Finland she continues to promote artistic practice as means of knowledge production and dissemination.

Anne Kauppala is professor of music performance research since 2005 at the DocMus Doctoral School, Sibelius Academy, and the concurrent leader of the Uniarts History Forum. Her research interests are opera, music history, musical semiotics, women's studies, and the cultural study of art music (including performance). She is the editor-in-chief of the DocMus Research Publications and has led externally funded research projects on opera performance research which helped to create an open access research tool, *Reprises. A Database for Opera and Music Theatre Performance in Finland c. 1830–1960* (<http://reprises.uniarts.fi/en/>). Her output also includes chapters on Aino Ackté's Salome performance in *Performing Salome, Revealing Stories* (Ashgate 2013) and on Cathy Berberian's Camp in *Cathy Berberian – Pioneer of Contemporary Vocality* (Ashgate 2014), "Staging anti-Semitic

stereotypes. Wäinö Sola's Eléazar at the Finnish Opera, 1925" in *Grand Opera Outside Paris: Opera on the Move in Nineteenth-Century Europe* (Routledge 2018) as well as "Barthes's *The Grain of the Voice* Revisited" in *The Routledge Handbook of Music Signification* (2020).

Professor **Tuire Kuusi** works as a professor of music research in the DocMus Doctoral School (Sibelius Academy, University of the Arts, Helsinki). Her research interests are in music-theoretical concepts and their concrete representatives in music. She has conducted research on the perception of harmony and continues this as the PI in an ongoing project "Unveiling the mystery of harmony" with PhD Ivan Jimenez (five years; Kone Foundation). She has also carried out research on effects of music in an individual's life and topics related to teaching and supervising university students. Further, she has participated in research projects examining the biological effects of music, musical performance, and creative activities on humans. Tuire Kuusi is the first vice chair of the Research Council for Culture and Society (Academy of Finland). She has also acted as a reviewer in journals and book publishers. Her work as a teacher involves seminars, lecture series, and supervising doctoral students (dissertations, theses, work as supervisor-in-charge).

Tomi Mäkelä, professor of musicology at the Martin-Luther-University Halle-Wittenberg in Germany, studied in Finland, Austria, and Germany. He had university and research positions in Finland before moving to Germany 1994. He started as a theorist on the interaction of performative acts and scores. That led towards his book *Klang und Linie* (2004). In the 1990s he got involved in exile studies. Recently he has written on cultural history of the North European music, including books on Sibelius (2007, 2011, 2014) in German, Finnish, and English. His work includes a study on Friedrich Pacius (2013) and the 20th Century in Finnish cultural life, but also essays on Nordic artists such as Grieg, Nielsen, Tubin, and Tüür. A strong interest of his is the

history of education, including Wieck whose most famous essays he translated into Finnish 1993; the collection of all Wieck was published 2019. Mäkelä has been visiting professor at the EHESS in Paris (the cultural transfer program) and at the University of Bergen in Norway (Grieg research center). At the DocMus, he has been head of a Finnish Academy research project, teacher, and advisor. He holds an honorary readership at the Department of Music Theory and Composition.

Juha Ojala is professor of music performance research at the DocMus Doctoral School, Sibelius Academy of the University of the Arts Helsinki. With previous background in praxes of piano performance, composition, as well as electronic and computer music, he received his doctorate in musicology from the University of Helsinki, and has served e.g. as professor of music education at the University of Oulu. His main research interests are musical signification and mind, performance data, harmony, composition theory, and learning and education in music. He has published widely, and has worked as journal and book editor, as well as thesis and dissertation supervisor, and as peer-reviewer and board member for a variety of journals, publishers, and conferences. Since January 2021, he also works as the vice dean of research and doctoral education at the Sibelius Academy.

Doctor of Music **Peter Peitsalo** is a senior lecturer at the Sibelius Academy, University of the Arts Helsinki, where he teaches the organ at the Department of Church Music and supervises doctoral students in church music and organ performance at the DocMus Doctoral School. Peter Peitsalo is also a member of the editorial board of DocMus Research Publications.

Matthew Schulkind is a professor in the Psychology Department at Amherst College in Amherst, Massachusetts. His major research interests fall in two areas: autobiographical memory and music cogni-

tion. His autobiographical memory work has examined the distribution of memories across the lifespan, sex differences, the social context of remembering, and long-term memory for popular music. His music cognition work has focused on memory for rhythmic structure and understanding how people – especially those with little or no training – identify well-known songs. His research has been published in many journals including *Music Perception*; *Psychology of Music*; *Journal of Experimental Psychology: Learning, Memory, & Cognition*; *Memory*; *Memory & Cognition*; *Perception and Psychophysics*.

Lauri Suurpää is professor of music theory at the Sibelius Academy, University of the Arts Helsinki. His main research interests are in analysis of tonal music. His publications have typically combined technical music analysis with other approaches, such as programmatic aspects, narrativity, musico-poetic associations in vocal music, eighteenth-century rhetoric, and Romantic aesthetics. He has given invited lectures in universities in North America and Europe, and contributed papers to numerous scholarly conferences. He is or has been a member of the editorial board of four international scholarly journals (*Eighteenth-Century Music*, *Journal of Schenkerian Studies*, *Music Theory and Analysis*, and *Music Theory Spectrum*) and is a member of the Editorial Committee of the *Jean Sibelius Works*, the critical edition of Sibelius's complete works. His publications include *Death in Winterreise: Musico-Poetic Associations in Schubert's Song Cycle* (2014), *Music and Drama in Six Beethoven Overtures: Interaction between Programmatic Tensions and Tonal Structure* (1997), and numerous journal articles and book chapters. He is currently working on a monograph on Haydn's London Symphonies and late string quartets.

Giovanni Verrando is a composer and writer of musical essays. Since 2016–17 he holds the first European course on “Chamber music with new lutherie” in Conservatory of Lugano, Switzerland. In the 1990s and since he has received many prizes in prestigious international compe-

titions, among them IRCAM/Ensemble Intercontemporain Reading Panel (1995), Gaudeamus Music Week in Amsterdam (1995), Festival International d'Art lyrique in Aix-en-Provence (1999), ISCM World New Music Days (2009), and Leone d'Argento of the 55th Biennale di Venezia (2011). He studied composition at the Conservatorio di Musica "G. Verdi" in Milano and the Accademia Chigiana in Siena. In 1993 he moved to Paris, where he attended the "Cursus annuel d'informatique musicale" of IRCAM. He has received commissions from many European institutions (French Ministry of Culture, Biennale of Venice, IRCAM in Paris, MaerzMusik in Berlin, Orchestra Sinfonica della RAI, Holland Festival and many others) and his music has been presented at festivals and seasons all over the world. He is full professor of composition, orchestration and theory of composition at the Scuola Civica in Milano and the Conservatory of Lugano, Switzerland, and he leads seminars in Italy and abroad. His music is published by Edizioni Suvini Zerboni, Milano.

DocMus Research Publications is a series of scholarly research publications – monographs, anthologies, and edited volumes. The series has been published by the Sibelius Academy since 2012.

The DRP series has implemented the label for peer-reviewed scholarly publications of the Federation of Finnish Learned Societies and is committed to follow the guidelines for the mark. The manuscripts intended for publication in the DocMus Research Publications series undergo peer review.

The series is available in printed and electronic format. Open access to DocMus Research Publications is provided through the Taju repository of the University of the Arts Helsinki at taju.uniarts.fi.

Musical Performance in Context celebrates the 30th anniversary of the first Doctor of Music graduations in 1990 at the Sibelius Academy of the University of the Arts Helsinki. Wide-ranging in its orientation, the book consists of ten essays that elucidate areas and topics with which the DocMus Doctoral School of the Faculty of Classical Music has been engaged over the years. All the essays address, in one way or another, issues of musical performance, covering this concept very widely. The authors are current and former faculty members, or scholars and artists who have co-operated with the Sibelius Academy. Complementing the scholarly essays, two introductions and five reminiscences give background on the early stages of doctoral education at the Sibelius Academy and recall personal experiences over the years.

Scholarly essays by Robert S. Hatten; Matti Huttunen; Mieko Kanno and Sam Hayden; Anne Kauppala; Tuire Kuusi, Ivan Jimenez, and Matthew Schulkind; Tomi Mäkelä; Juha Ojala; Peter Peitsalo; Lauri Suurpää; and Giovanni Verrando. Introductions by Kari Kurkela and Lassi Rajamaa. Reminiscences from Gustav Djupsjöbacka, Päivi Järviö, Annikka Konttori-Gustafsson, Cecilia Oinas, and Raimo Sariola.



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