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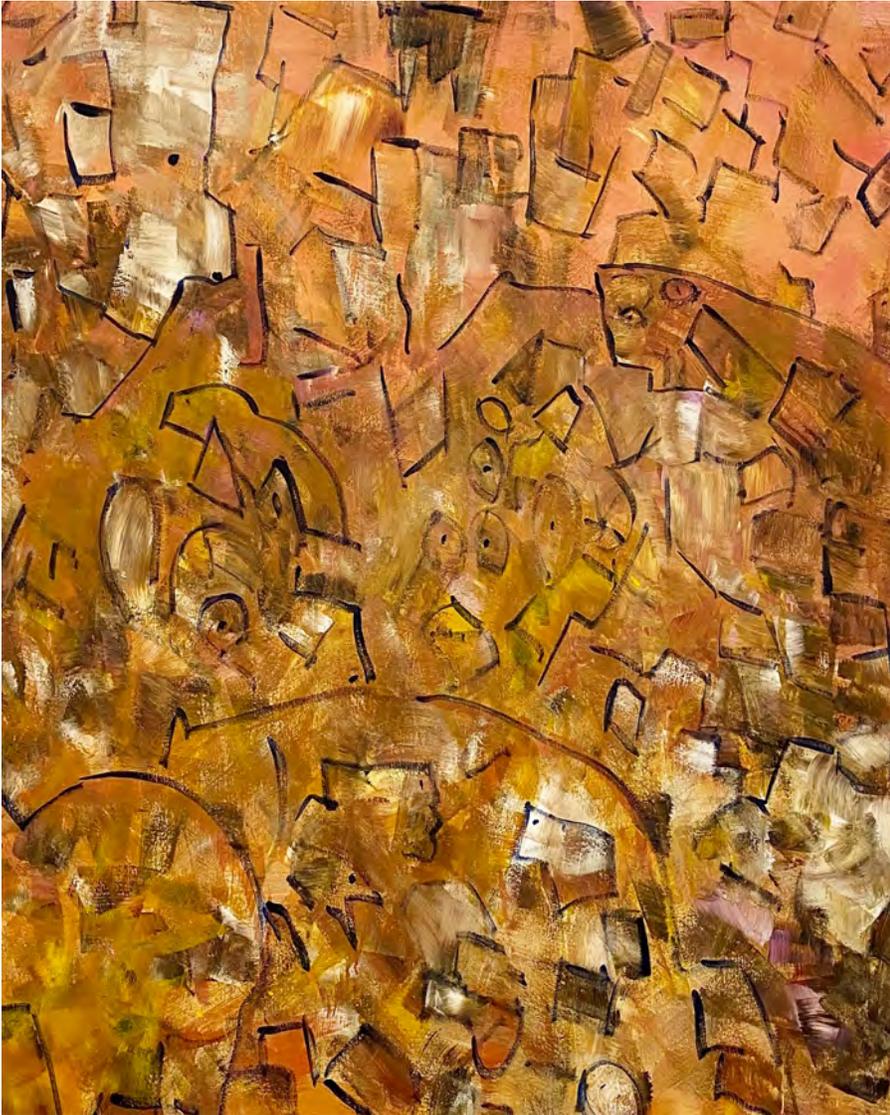
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Open Listener: Cross-Cultural Experience and Identity in American Music

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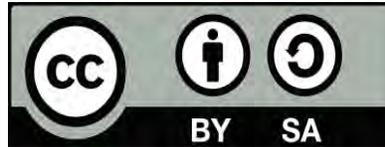


OPEN LISTENER

Cross-Cultural Experience and Identity in American Music

Heeseung Lee
Jittapim Yamprai

Open Listener: Cross-Cultural Experience and Identity in American Music
Heeseung Lee and Jittapim Yamprai
University of Northern Colorado



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Cover Image: *Migration* (2020) by Jim Klein

Preface

This book was initiated as part of the 2019–2020 institutional project “Open Educational Resources: Scaling Up at the University of Northern Colorado” supported by a Colorado Department of Higher Education grant. We are grateful to join the university’s, as well as the state’s, collective efforts to make higher education more accessible and affordable by offering an open/free textbook for MUS 140: Introduction to Music, an elective course of the Liberal Arts/Guaranteed Transfer Pathways Curriculum in a two-year or four-year college. Writing this book is an outcome of our ongoing commitment to providing updated educational information and perspectives in music, in conjunction with our pedagogical goals, the interests and needs of our diverse student populations at UNC, and our awareness of likely readers outside of the United States. Through this book and its inclusive narrative, we hope to generate a positive learning experience and academic success among students and to inspire them to nurture their lifelong love and support for various types of music and other arts.

Throughout this book, we have focused on developing a narrative that closely mirrors the contemporary cultural landscape of our students’ surroundings in the United States. Our repertory of music attempts to cover broadly music from classical, jazz, popular, and traditional spheres, as well as contemporary crossovers and cover versions. We emphasize the activity of listening as our first and foremost goal and way of studying music. In this paradigm, students will experience “listening” to music’s various sonic structures and elements, cultural and social implications, and associated historical roots. In conjunction with the global student learning outcomes expected in the Liberal Arts Curriculum, we purport to articulate the differences between the ways in which cultures view the world in music, along with musicians’ efforts to bridge the differences through creativity and for originality. In so doing, we encourage students to improve their level of understanding our surroundings and to navigate their places and identities in the changing environment of the United States and beyond.

The narrative of this book consists of three parts: Music and Ideas, Music and Sounds, and Music and Identities. Considering non-music major students’ experiences in encountering music, and their background of K–12 music education in the United States, we attempt to deemphasize a chronological, genre-based narrative history of music from antiquity to the present in European art music traditions. Instead, we put together a repertory of music coming from different directions yet sharing similar ideas and concepts under the aforementioned three themes. As we visit and revisit them throughout the 16-week semester, we expose ourselves to a wide range of styles and sounds, while experiencing the pleasure of seeking generalities to particularities in each returning musical example. In line with the subjects of Liberal Arts Curriculum, which the majority of non-music majors would tackle subsequently or simultaneously in their coursework, we explore broadly Native, Eastern, and Western philosophical and aesthetic ideas and their reflections on American music-making. We concentrate on developing not only the skills to listen to the details of a music’s style and sound but also the skills to express our feelings and thoughts about music in the form of writing. With the increased knowledge about ideas, styles, and sounds, we purport to integrate and continue to embody cross-cultural experience and identity in our lives. The repertory of music that accompanies this book in this first edition can be formed as a playlist through any streaming online music service free of charge and shared with the students. Reflecting the missions of OER, it is open to modification and customization by each instructor’s choice and/or students’ participation in each institution that adopts this book. It can continue to be updated, according to the changes of our surroundings. The YouTube links to the musical examples and performances embedded in the text need a regular review to ensure that they are still accessible.

This book includes:

- Native, Eastern, and Western ideas and cultures in the formation of American music
- Multiculturalism and interculturalism as key concepts to understanding the history, reality, and ideal of American and global music
- The listener's self-identification and cultivation as the ultimate goal of studying music, especially through a repertory that has resulted from intercultural music-making

How to use this book:

- Understand representative philosophical and aesthetic ideas in association with American music-making since 1750
- Learn to listen to the key elements of music, styles, and sounds in detail
- Apply knowledge and listening skills to intercultural works in contemporary music

Acknowledgements

We are indebted to many individuals we have encountered directly and indirectly in our academic lives, including formal teachers, students, and textbook writers. The authors of the music textbooks we had adopted in our various courses over the years laid the foundation for shaping our particular concerns and insights to teaching music for non-music majors. Among those, we extend our special thanks to Robin Wallace for his progressive listening approach and emphasis on active listening skills, Richard Crawford and Larry Hamberlin for their leading efforts to articulate the diversity and hybridity of American music, Terry E. Miller for providing an invaluable conceptual framework for teaching non-Western music, and Michael Tenzer for his pioneering work in bridging cultural differences and keeping their traditions anew in contemporary music scenes. We must thank Jonathan Bellman who has been always supportive of our ideas and projects by offering many great suggestions and wisdom. We also acknowledge the professionals we have worked with at UNC who made this project possible: Oscar Levin and Jennifer Mayer. Finally, we would like to thank our musical friends Cynthia Beard and Jim Klein for their contributions to finalizing the production of this book. An independent music teacher and editor with a PhD degree in musicology, Cynthia has shared her invaluable knowledge and experience in music by proofreading and editing this book. She understands and believes the importance of music in a person's emotional and intellectual growth as well as our need of improving diversity and equity in music education. Jim, who has created a painting entitled *Migration* in conjunction with the theme of our textbook and allowed us to use it as the cover, had a successful career in agriculture while continuously developing his passion for the arts by supporting musicians and creating music and paintings. His "artful" life surely exemplifies the spirit of music lovers and what we hope our non-music major students will do after this course is completed. For more information about Jim Klein's work, please visit <https://jkleingallery.com/>.

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INTRODUCTION

The majority of the readers of this book in the United States will come from Generation Z, the most racially and ethnically diverse generation and the most college-enrolled generation in the country's history. According to a report of the Pew Research Center on 14 May 2020, these student populations are more likely American-born, the *children* of immigrants, consisting of 52% non-Hispanic whites and 48% racial and ethnic minorities. In the classroom, we have found that as they identify themselves as "Americans" altogether, though important in fostering the sense of unity as a nation, the individual ethnic heritages seem to fade away from their memories. We as instructors believe that our cultural roots and assets are to be continuously remembered and learned in a constructive way in Liberal Arts courses in order to enrich our lives as Americans. As a way to engage our students in personal and interpersonal ways and help them expand their experiences in various directions, this book explores and celebrates Western and non-Western musical traditions as well as their mix. The associated contextual meaning and values as well as philosophical and aesthetic ideas are embodied in American music. Multiculturalism is not a latter-day invention but the reality and ideal of the United States from its very beginning and that of the outside world. In this trajectory, we highlight the latter-day innovations of non-Western music traditions and point out that they continuously change and modernize themselves through creativity and interest as much as their Western counterparts. With a correct representation of traditional music, we finalize our narrative that cross-cultural experience and identity has been the essence of American music, then and now, envisioning its intercultural future.

KEY TERMS AND CONCEPTS TO BE INTRODUCED BEFORE PART I

- Emotional and Intellectual Listening Practices and Responses (see below for the detail)
- Descriptive and Analytical Terms in Music Criticism (see below for the detail)
- Musical and Extramusical Ideas (see below for the detail)
- Fundamentals of Music
 - Pitch (highness or lowness of the sound of a musical note), Timbre (color of tone), Scale (a particular set of select musical notes), Interval (the physical distance between two notes), Chord (the linear or vertical relationship of more than three notes), Range (the span of pitches between highest and lowest of a voice or musical instrument), and Register (a specific segment of the total range of pitches available to a voice or musical instrument, commonly divided into high, middle, and low)
 - Conjunct (the contour of melody moving in a stepwise motion) and Disjunct (the contour of melody primarily consisting of leaps)
 - Beat (musical pulse), Downbeat (accented beat in the conductor's hand of classical music) and Upbeat (backbeat), Accent (stress on a musical note), Measure (a unit of musical time set by a meter), and Meter (metrical system for the grouping of rhythm)
 - Tempo (speed of music with character) and Dynamics (loudness, softness, or gradual changes of volume and intensity)
 - Consonance (euphonious sound) and Dissonance (cacophonous sound), Key (centric sound or sound of "home"), and Functional Harmony (a type of harmony in which all the notes and chords are subject to the home key with hierarchical relationships)
 - Form (structural design or outcome) and Content (internal activities of music in dialogue with the structural design)
 - Text (language; sacred versus secular in vocal music) and Text Setting Styles (syllabic, neumatic, and melismatic)
- Key Elements of Music
 - Emotion, Form, Timbre, Rhythm and Meter, and Melody, Harmony, and Texture (the way a musical line stands or interacts with other lines)
- Categories of American Music since 1750
 - Traditional, Popular, Classical, and Jazz Spheres
- Instrumentation/Medium/Performing Forces
 - Voice
 - String, Wind, Keyboard, and Percussion (from the Perspective of European Art Music)
 - Aerophones, Chordophones, Idiophones, Membranophones, and Electrophones (from the Perspective of World Music)
 - Vocal or Instrumental Ensemble
 - Homogeneous (usually of a single family of instruments) and Heterogeneous (of different families of instruments)
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- Ancient (Before the 5th Century)
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- Renaissance (15th and 16th Centuries)
- Baroque (17th to Early 18th Centuries)
- Classical (Later 18th Century)
- Romantic (19th Century)
- Twentieth-Century and Contemporary (20th Century to Present)

Emotional and Intellectual Responses

Our first and foremost goal through this book is to teach you how to listen to music. In order to do so, we ask for your undivided attention to music. By closely and repeatedly listening to it, you are to internalize its sound and sonic structure. Meanwhile, we help you learn how to express your feelings and thoughts about music in both **descriptive** and **analytical** terms. These are called **emotional** and **intellectual** responses. With respect to the latter, we use more musically specialized, analytical terms and expressions, which will be studied in detail throughout this course. With respect to the former, we to an extent already know how to do it, especially by using such common, descriptive words as “happy” or “sad,” “bright” or “dark,” and “grotesque” or “pleasant.” If the binary description does not apply, we use an adjective like “mysterious,” “strange,” or “abstract” for the quality of ambiguity. Throughout this course, and as we take many other courses of various disciplines, your ability to diagnose and express your feelings in words, especially when listening to music, will improve.

Descriptive Terms in Music Criticism

Due to the close connection between language and music, some of the descriptive terms used today in American music criticism originated from the classic literary forms and contents of Antiquity in Western Civilization. The description **poetic** versus **prosaic** came from ancient Greeks’ understanding of poetry and prose. Throughout the Hellenistic period (323–331 BCE; between the death of Alexander the Great and the emergence of the Roman Empire), prose was linked with knowledge and moral/ethical instruction, while poetry was associated with aesthetic pleasure. In other words, the function of prose was cognitive, to convey information to the reader, often with the added benefit of instilling moral principles. The function of poetry was aesthetic, to produce a sensation of pleasure, often stemming from an account of the unusual, distant, or improbable. In music criticism, likewise, the term poetic is commonly used to describe the content of an instrumental work sounding as suggestive, imaginary, and abstract. The prosaic, though not as commonly used as poetic due to the negative connotation of being less imaginary than fact-oriented, has to do with the content of an instrumental work that seems to describe the details of a commonplace essay-like story with a controlled emotion, leaving not much room for outside input or interpretation.

The descriptions **lyrical**, **epic**, and **dramatic** particularly owed to Aristotle’s groupings of ancient Greek poetry as lyric, epic, and drama, according to the mode of presentation and the resulting structure. In modern musical communities, lyrical music often indicates music that expresses personal views or feelings through beautiful melodies without any engagement with opposing characters. Epic music is understood as a narrative structure in sound that displays a series of episodes or contrasting scenes evolving around a heroic figure’s journey. The structural design of epic music appears sectional, and the scale and sound are often grand and heroic, with a triumphant ending. Lastly, dramatic music involves conflicting characters or feelings with a climax

of tension in the middle of the work. Articulating the protagonist's fighting through the obstacles, it frequently calls for a victorious ending, as well.

With regard to the structure of a narrative, or the way of unfolding the story, such descriptions as **originary**, **organic**, and **teleological** are of use. The originary narrative puts great emphasis on the beginning of the story, from which the rest of the work is drawn out. The organic narrative highlights the middle, just like the life cycle of an organic creature—seeding, flowering, and withering. The teleological is end-weighted or with a heroic-ending. These are useful descriptive terms to explain efficiently the structure of music and its interaction with the content, regardless of the classification of music as classical, jazz, popular, and traditional.

In association with the classic and modern literary forms, **pastoral**, **lamenting** or **elegiac**, **melancholic**, **tragic**, **sublime**, **symbolic**, and **abstract** are also available as descriptive terms for music. Depending on what is heard and felt in text, music, or both, the listener can take each of these words in its literal sense. The tragic in music, however, involves not merely destructive and dissonant sound but also its shocking appearance in the course of music. The sublime, in frequent contrast with the beautiful/pleasant, has to do with massive and incomprehensible sound, along with mysterious and dark feelings. The symbolic, in its particular association with the literary style of stream of consciousness, indicates a character's thoughts, feelings, and reactions depicted in a continuous flow without interruption of objective description. The type of music that invokes the word symbolic often sounds abstract, as well.

Analytical Terms in Music Criticism

In contrast to emotional response, intellectual response is likely to involve **analytical**, musically specialized terms, which will be studied in more detail in Part II of this book, in order to specify **musical** and **extramusical** ideas of a composition or performance. Though inseparable in actually making and listening to music, the musical ideas or elements concern form, timbre, rhythm and meter, melody, harmony, texture, and their scientific working-outs. The extramusical ideas refer to all the other ideas apart from what is considered “musical” above—from the ways that creators view knowledge, reality, existence, and beauty in relation to the dominating philosophical and aesthetic ideas at the time of conception to the ways that audiences receive the music within their own political, cultural, and social contexts.

Categories of Music

The repertory of music compiled for this book comes primarily from **traditional**, **popular**, **classical**, and **jazz** spheres of American music since 1750. Although Native peoples had been making music in North America for centuries before the arrival of Europeans, Africans, and Asians, it is around the mid-eighteenth century that all the cultures began to be reinstated as of the United States. The key traits of the **common practice period** of European classical music based on **functional harmony** began to be heard more regularly in churches and singing schools, infiltrating the practices of Native and non-European music. While maintaining their traditions, Western and non-Western compositions and performances have frequently explored overlapping styles and sounds as a means of survival or in search of novelty, creating distinct flavors in American music.

Classifications of Instruments

Depending on the purpose and intended audience of music, especially in Western classical music, each composition or performance calls for a different **instrumentation** and **venue**, in relation to the **music historical period** or time in which the music was conceived. Musical instruments other

than **voice** are commonly classified as **strings**, **woodwinds**, **brass**, **keyboards**, and **percussion** (pitched and non-pitched) by the physical properties of the instrument, and the means by which music is produced with the instrument. In search of timbral variety, each group of instruments can be played in unconventional ways, as well, such as plucking and strumming the inside strings of the piano to recreate it as “string piano,” obscuring the conventional classification of instruments and challenging the audience’s expectations. At the same time, not only for a new timbre but also for symbolic meaning of a subculture in music, European instruments are played with world music instruments, which can be categorized by **aerophones** (instruments such as flutes, reeds, and trumpets, producing sound by blowing air into the body of the instrument), **chordophones** (instruments such as lutes and zithers, producing sound by strumming or plucking the strings), **idiophones** (plucked, struck, and shaken instruments without any strings or membranes), **membranophones** (drums; instruments whose heads are covered with an animal or synthetic hide), and additionally **electrophones** (sounded or amplified by electrical means).

Types of Ensembles

When vocal or instrumental music calls for a group of musicians to play, it is called an **ensemble**. According to the nature of sound, whether played by instruments of a single family or of different families, the sound of an ensemble can be described as either **homogeneous** or **heterogeneous**. According to the size of group and the type of music the group plays, each ensemble can carry a distinct name, as well. By the size of group or the number of group members, it can be classified as **solo**, **duet**, **trio**, **quartet**, **quintet**, **sextet**, **septet**, **octet**, and **nonet**. If the group consists of around ten or more singers in vocal music, it can be called **choir**, while, in instrumental music, it can be specified as **band**, **ensemble**, or **orchestra**. The terms band and ensemble can also be more flexibly applied to even smaller groups of less than ten players.

In classical music, the ensemble primarily made of string instruments is often labelled a **chamber orchestra**—the harpsichord for its role and affinity to the sound of string instruments was often included in the Baroque chamber orchestra. The group incorporating string, wind, and percussion—occasionally keyboard instruments, as well—is a **symphonic orchestra**. In jazz music, **orchestra**, **band**, and **combo** indicate not only the size of the group but also the type and style of the music the group plays. In popular music, especially in rock, **band** is the most common term for the group, including singers and instrumentalists. **Group** is occasionally used for hip-hop musicians.

Performing Venues and Audiences

To many listeners today, owing to the advanced technology of internet services and personal listening devices, music seems to be played anywhere and anytime. Likewise, the development of sound and recording systems, as well as the stature of music, has enabled composers and performers not to limit their creativity to the size and type of venue and its audience. However, until the mid-twentieth century, a type of composition or performance was largely subject to a type of available venue as much as that of instrumentation. Upon listening to the style and sound of music, thus, it is possible for the listener to conjecture the type of the originally intended venue and audience. In close association with a music historical period and its cultural boundaries, each of the venues and audiences can be classified as **indoor** or **outdoor**, **sacred** or **secular**, and **private** or **public**. This discussion can be taken further into a variety of specific venues and their audiences, ranging from church, through home, salon, theatre (opera, ballet, musical, and movie), concert hall, dance hall/club, and jazz club, to street, arena/stadium, and outdoor stage/festival.

Music Historical Periods in Western Classical Music

Music historical periods, closely associated with the stylistic changes of Western classical music and other arts, are divided into **Ancient** (before 400), **Medieval** (ca. 400–1400), **Renaissance** (ca. 1400–1600), **Baroque** (ca. 1600–1750), **Classical** (ca. 1750–1820), **Romantic** (ca. 1820–1900), **Twentieth-Century**, and **Contemporary** periods. Since music is one of the last areas influenced by outside events and changes, each of the music historical or stylistic periods concerns slightly later beginning and ending dates, with a different time span, than those of the same labelling found in the histories of literature, architecture, and fashion. It is also important to be reminded that in the overlapping time between two adjacent periods, stylistic characteristics are often shared. Although this textbook is not structured by these divisions and their representative genres and stylistic characteristics, remembering the chronological outlines of this periodization would help organize our knowledge about ideas, sounds, and identities concerned in American music-making.

PART I: MUSIC AND IDEAS

Overview

The first part of this book traces how music has served different ideas and beliefs that were viewed as core values in particular American societies and cultures. Different styles of music carry their own contents and meanings, each of which can be understood among people within the shared culture or those who study the particular culture and music. Chapter 1 demonstrates the music that was conceived to serve communal beliefs or religions, Chapters 2 and 3 include the music that was created as a response to contemporary philosophical, cultural, and socio-economic movements, and Chapters 4 and 5 discuss the musical expressions that have directly or indirectly reacted to outside events since the turn of the twentieth century.

Chapter 1 Shamanism, Christianity, and Rationalism

Early American history commonly begins with a story of European immigration and settlement in the New World dating back to the sixteenth century. They brought with them European cultural heritages, socio-political systems, and ethical values. The lands of North America and West Indies (the Caribbean) had long been home, however, to more than five hundred Native American tribes. Each tribe had its own language, culture, and beliefs, some of which were shared with other tribes and modified at times according to their needs. As time went by, the European settlement in early North America and the Caribbean encompassed the expansion of power over indigenous people, along with slave trading, which brought another cultural intermingling with African people. For centuries, all of these people tried to survive in the Americas in their own ways, while also trying to maintain their own cultural identities of Native American, European, and African, respectively. These individual and collective efforts for cultural preservation resulted in a re-creation of their own heritages or an inevitable appropriation of other traditions so that the ideas and beliefs could survive and continue until today.

1.1 Shamanism

One of the world's oldest beliefs is shamanism, the belief in spirits as well as in the interaction between humans and spirits through the mediator, known as a **shaman**. Every continent has shamans who are known by various names, such as medicine man, priest, healer, seer, and others. Their role in each society also varies, ranging from the head of the community, ceremonial head of state, spiritual leader, doctor, or fortune teller. Shamanism is not a religion in a strict sense but a communal belief that certain humans can possess the ability to communicate with spirits, especially the spirits of nature, ancestors, deities, ghosts, and beyond the human realm. Shamanism survives today and has adapted to accommodate modern cultures and religions, since the original purpose of the shaman is to help people in overcoming their sufferings, either physical or mental, and to solve problems that science could not.

Regardless of the nationality and culture to which the shaman belongs, that person needs to enter a trance state in order to communicate with the spirit or to let the spirit possess the shaman's body. The key element that serves as a tool to trigger the shaman into a trance state is often music. It varies with the culture, ranging from the shaman's singing to the sound of drums or an ensemble of various instruments that play specific rhythms or tunes.

As mentioned earlier, the three major cultural heritages of the Americas—Native, European, and African—were cultivated in this land several hundred years ago. They all had their

long traditions of shamanic practices. For Natives and Africans, spirits are the core of their beliefs and the source of the answers to their lives. For Europeans, shamanism had an important place in their cultures before monotheism dominated the continent. The European tradition could be traced back to the Iron Age and was practiced among various tribes of the Nordic countries, such as the Sámi people, Druids, and Celts. Many stopped practicing, however, due to early American restrictions and efforts for conversion to Christianity.

1.1.1 Native American Shamanism

American Indian is the name by which the indigenous people of this continent have been labeled because of a misunderstanding of Christopher Columbus (1451–1506), who believed that he had reached India when he first landed in the Bahamas in 1492. The Native people who settled in this land originally migrated from Asia to Alaska across the Bering Strait late in the Ice Age, more than 15,000 years ago. They settled from the upper reaches of North America all the way down to South America. Each tribe had, and still has, its own language, culture, and tradition. Among the shared cultures, shamanism has been continued and preserved in various forms across different tribes.

Although shamanism has been practiced in Native American cultures, Native Americans did not use the word “shaman,” preferring terms such as healers, ritualists, medicine men, mystics, priests, and singers. Thus, their status in the Native American community is very high, and they hold respect from each tribe since they perform religious rituals, serve as physicians, and, in many cases, are tribal chiefs.

Especially in healing rituals, a healer or physician is possessed by the spirit with which the shaman has a connection, though the healer’s individual identity is sometimes withheld through clothing or a mask. When the lead drummer starts beating the sacred drum, the healer sings spiritual songs. In a trance state, the healer is visited by the spirit who provides the answer for the sickness’ cause or treatment. The practices vary in tribes, with some involving spirit possession, and some using the spirit’s presence for communication.



Native American Regions

(Spacenu2525, Public domain, via Wikimedia Commons)

Musical Instruments in Native American Shamanistic Rituals: Drum, Rattle, and Flute

Native Americans believe that music is an important tool for the shaman to connect with the spirits. Sung words and musical instruments help take the shaman to the subconscious state of mind in order to be in trance and connect with the spirits. For Native Americans, their musical instruments are not just sounding instruments but have life that is connected with nature; thus, they are treated as sacred objects that have spirits. The drum, which comes in different sizes, represents the heartbeat of the mother earth and can call upon the spirits. Its body is made of wood, covered with animal skin of deer, elk, or buffalo. For example, the water drum is a type of drum that appears commonly in sacred rituals. For the **Native American Church** (also known as **Peyotism** or Peyote Religion), the drum is made of a well-soaked buckskin head stretched over an iron kettle. The kettle is half-filled with water, which represents rain or the water of the earth.

Rattles or shakers are also used in rituals and dances of many tribes. Similar to the drum, rattles possess an ability to call the spirits and also help clear the mind for prayer. Various types of materials are used to make rattles, depending on the tribe. Turtle shell, animal skin, corn, beans, or small rocks are placed inside the rattle to produce the sound. The handle of the shaker is made of wood. Therefore, the rattle represents the animal, mineral, and plant kingdoms. For this reason, it is believed that the use of the rattle helps align the person's soul with nature and provide healing. The rattle not only serves the sacred ritual but also accompanies traditional storytelling.

The Native American flute is made of the wood of juniper, cedar, or walnut and appears in various sizes. It is another sacred instrument and a means of healing and love. According to one folktale concerning the instrument, there was a young man who fell in love with a girl who was never interested in him. Sitting under the tree with despair, he heard the sound of a woodpecker pecking the branch above his head. The wind blew through the branch in which the woodpecker had poked holes, creating different, wonderful sounds. He picked up the branch and started to blow air through, discovering a beautiful melody. He played it to comfort himself, while the sound attracted the girl, who finally fell in love with him. Of many regional usages of the flute, it is most widely known that people of the Plains tribes include the flute in courting rituals and love songs.

Peyotism and Music of the Native American Church

Originating in the Oklahoma territory during the late nineteenth century, Peyotism is the blending of Native American beliefs with Christianity. Peyotism then spread to many other territories and regions where Native Americans have lived. They believe in the Great Spirit, which is analogous to the creator or the Christian God. In communication with God, believers take peyote (a small, spineless cactus) as a holy sacrament that is given by the Great Spirit. Peyote was originally used as a medicine for healing sickness. Connecting with the Great Spirit by consuming peyote can initiate visions in which the Great Spirit would provide guidance directly for the people.

The ceremony of Peyote varies in the different chapters and church groups. During the ceremony, some churches sing only non-Christian spiritual songs with drums and shakers, while others sing Christian Peyote songs and also recite the Bible. The ceremony begins on a Saturday evening and ends early Sunday morning.

- Video to Watch: Peyote and the Native American Church
<https://youtu.be/wctP9CFmsaY>
- Listening: Four Old Kiowa Songs
<https://youtu.be/ex24xuyklNg>

The Kiowa tribe lived in the area of Montana before migrating East and South, and then most Kiowa people were eventually forced to live on a tribal reservation in Oklahoma. **Peyote song** is a spiritual genre that is sung during intertribal ceremonies. The performance of a Peyote song usually involves a solo singer accompanied by a rattle and a water drum. The song usually employs a descending melodic contour, asymmetrical form, repeated rhythmic pattern, and a wide range of pitches. Traditionally, Peyote song is repeated four times with no variation. The structure of the song begins with three phrases: the first in a higher register, the second in the middle, and the third in a low register. Each phrase can be different in length and involves variation in pitch.

1.1.2 African Shamanism

Historically, Africans believed in **animism**—potentially, all things have spirits—before many converted to Christianity and Islam. Traditional beliefs included worshipping the spirits, nature gods, and deities. They believe that the spirits of their deceased ancestors can be present on earth in the forms of animals and will appear when called by their descendants to guide and assist them. Spirits of the ancestors can be fearful and can cause harm to humans. To please the spirits, Africans had to perform an offering and sacrifice to the ancestor-spirit.

When Africans were forcibly brought from West Africa (spanning from Senegal, through the Congo, all the way to Angola) to the Caribbean Islands and what is now the United States, they came with their cultures, religions, and beliefs in spirits and ancestors. The descendants of the Dahomey people from Benin and of the Yoruba from Nigeria, enslaved and transported to Haiti during the colonial period, practiced **Vodou** (“spirit” or “deity” in the Fon language of Dahomey). As Haitians arrived in the Louisiana Territory during the Haitian Revolution around the turn of the nineteenth century, this religion began to make a strong cultural mark in the United States. Without a central authority, it focuses on the community and communal benefits. It is a syncretism that, blending with influences of Roman Catholicism, honors the spirits of ancestors and a pantheon of nature gods. Singing in call-and-response and polyrhythms (two or more different, simultaneous rhythms that interact with each other) is a substantial part of the Vodou religion. The ceremony involves possession by the spirit. Some of the ritual music echoes the songs of the Catholic church, and sometimes new songs are created from dreams or through the possession of the spirit.

- Video to Watch: St. John’s Even Voodoo Ceremony
https://youtu.be/Ah_8dNMWGfw



African Slave Trade

(KuroNekoNiyah, CC BY-SA 4.0 <<https://creativecommons.org/licenses/by-sa/4.0/>>, via Wikimedia Commons)

1.2 Judaism, Islam, and Christianity

These three religions have been closely connected in history for thousands of years. Within the monotheistic practice, they shared their belief in the same God, at least theoretically. Moreover, the three religions originated on the same land, in the Middle East, in which Christianity and Islam took their roots from Judaism. They all trace their origin to Abraham and share many passages in their scriptures.

1.2.1 Judaism

Judaism emerged in the Eastern Mediterranean around 4,000 years ago. After the Roman Empire drove the Jews away from Jerusalem in 73 C.E., many Jews had lived in a diaspora across the world until modern Israel was established in 1948. Jews that migrated and settled in many places around the world are called by different names and have developed their own spoken languages. Jews that settled in Germany and Eastern Europe are associated with what is known as Ashkenazim. They have their own language, Yiddish. The Sephardic Jews settled in the Iberian Peninsula and have historically spoken the Ladino (Judeo-Spanish) language, although relatively few people speak the language today.

Followers of Judaism believe in one God and also study the teachings of prophets. They follow Jewish laws and regulations called Halakhah (Hebrew for “the Way”) that are derived from the Torah, the first five books of the scriptural Tanakh (the Hebrew Bible). Equivalent to the first five books of the Old Testament, the Tanakh is believed to have been compiled by Moses. Jews perform their sacred service on the Shabbat (seventh day) at a synagogue. Their prayers and services start from sunset every Friday evening and continue until Saturday night. Jewish celebrations include Passover, Rosh Hashanah (Head of the Year or the Jewish New Year), Yom Kippur (the Day of Atonement, which is the holiest day of the year in Judaism), Purim, and Hanukkah, each of which is rooted in significant historical events.

Jewish Sacred Music

Singing sacred text has been an important part of Jewish musical tradition since its beginning. Music sung in the ancient rites was lost, however, at the time of the destruction of the temple in Jerusalem. Even though the main structure of the rites has been preserved to an extent, the contents of music accompanied at the services have been modified and recreated. As many Jews have found their homes in the diaspora, their music has been influenced by other cultures. The main parts of synagogue music are comprised of cantillation, nusah, hymns, and niggunim, in which most of the songs have their text drawn from the scriptures.

- Video to Watch: Synagogue Chants, “Shema Yisrael” (“Hear, O Israel,” to 3:50)
<https://www.youtube.com/watch?v=tRyg2wt4tK4>

1.2.2 Islam

Islam was established around the seventh century in what is now Saudi Arabia. The Islamic faith has influences from Jewish tradition and Arab nomadic cultures. The religion spread throughout the Middle East, to other parts of Asia, and in the West. The expansion of Islam can be seen in the heritage of the Byzantine Empire that lasted into the fifteenth century. Muslims, the believers of Islam, center their lives in the belief in Allah (the most common Islamic word for God) and the prophet Muhammad. Their main scripture is the Quran, written in Arabic. They follow the five pillars (monotheism, prayer, almsgiving, fasting, and pilgrimage), pray five times a day, fast in the

holy month of Ramadan, and perform their religious services on Friday at the mosque. Their main festivals include Eid al-Fitr (ending of Ramadan) and Eid al-Adah (Abraham's sacrifice). The two major denominations of Islam are Sunni and Shia, in which **Sufism** exists as an individual inner practice.

Islamic Sacred Music

What is considered music generally is not applicable to the sacred music of Islamic cultures. Chanting is used to pray to Allah, but it is regarded as a sacred speech or confession, not music. In general, musical instruments are not allowed in Muslim life; however, some say that instruments can be included as long as they do not corrupt a person's faith. When Muslims practice their prayers five times a day, the Muezzin (an official at the mosque) will make a call for prayer known as "Adhan." For this lyrical and beautiful chant, each Muezzin is expected to have a good voice and ability to reach a wide range with melisma. Besides "Adhan," the reciting of the Quran itself is very melodious, containing patterns and rhythms that require versatility in music. Sufism also regularly includes music other than chanting as part of the worship, and music serves as a tool for the worshippers to be united with Allah, especially through trance. One of the popular forms of worship in Sufism is **Sama**, a meditation ceremony in which whirling dances are accompanied by songs with instruments.

- Video to Watch: "Adhan" ("Call to Prayer")
<https://youtu.be/oW28nbADKFO>
- Video to Watch: Sufi Ceremony
https://www.youtube.com/watch?v=JSoU_RB-EXE

1.2.3 Christianity

Christianity developed from Judaism through the life and the teachings of Jesus in the first century, but it was not officially recognized as its own religion until the emperor Constantine converted to Christianity in the year 324 C.E. While Jews are waiting for the coming of the Messiah, Christians believe that Jesus is actually the Messiah who fulfilled the prophecies of the Old Testament: Jesus is God the Son in union with the Father and the Holy Spirit through the Trinity. Their scriptures embrace both the Old Testament, which shares the content of the Jewish Torah and history, and the New Testament that was written after the death of Jesus. Christians conduct their religious services on Sunday and celebrate many seasons and days of the liturgical calendar, including Advent, Christmas, Lent, and Easter.

The Reformation of Christianity occurred in the sixteenth century, led by Martin Luther (1483–1546), a German monk in the Roman Catholic Church. His publication of the Ninety-Five Theses raised questions about the Catholic Church regarding its misconduct in the sale of indulgences (monetary payments made in order to be absolved of sins) and understanding of the Bible. The call for the Reformation led to a split from the Catholic Church and the creation of several Protestant sects, such as Lutheranism, the Church of England, Calvinism, and the Anabaptist movement. An earlier schism had led to the formation of the Eastern Orthodox Church. Within Protestantism, Christianity has been divided into more denominations including Presbyterians, Methodists, Baptists, Evangelicals, and others.

Christian Sacred Music

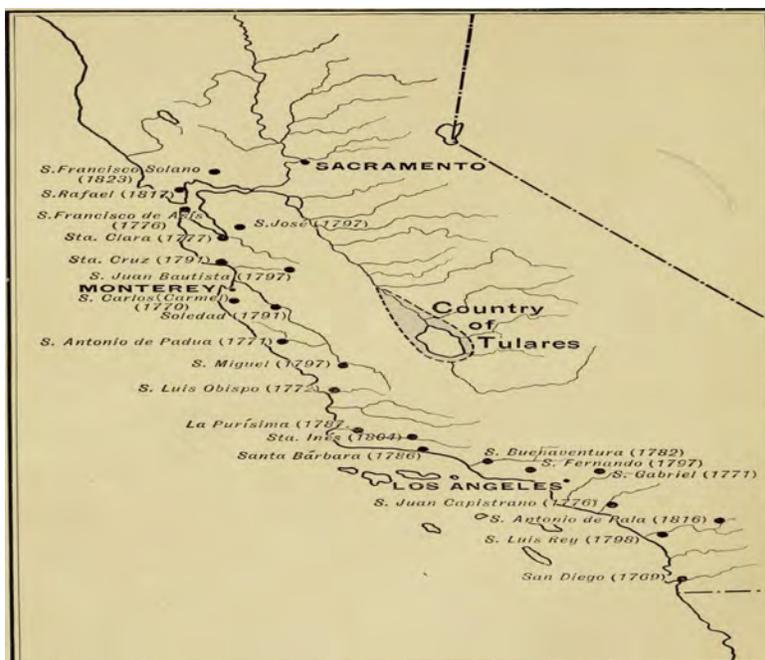
As in the practice of Judaism, singing sacred text has been a significant part of the Christian rites since the time of Jesus. His Last Supper with the disciples is commemorated as part of the Mass in the Roman Catholic Church, with music outlining the structure of the Mass. Prior to the domination of the Holy Roman Empire, many languages and regional melodies were used in the Church. Christianity in Rome decided to make Latin the official language of the Catholic Church in the fourth century. Under Pope Gregory I (540–604), many **plainsongs** (also called plainchants or Gregorian chants) were compiled to be used in the liturgy of the Roman Catholic Church. The worship music of the Catholic Church at that early stage was primarily sung in Latin without harmony and meter. The stylistic and musical development in liturgical music paralleled the development of musical practices and techniques in European music as a whole. As time went by, the single melody plainchant became a basis for other genres that called for harmony and metrical rhythm, and the Mass subsequently involved a choir and instrumental accompaniment.

When Luther made his move from the Roman Catholic Church, one of his goals was to allow people to understand the Word of God and thereby participate in the worship. He had both the Bible and sacred music translated from Latin into German, the everyday language of his homeland. The contemporary invention of the movable printing press aided in distributing the copies of this Bible and his writings in German. He also conceived a new type of sacred song for the German-speaking church, called a **chorale**, by setting a new German text to a well-known folk tune or writing a simple melody for the biblical text. To create full participation in the liturgy, he encouraged the communal singing of the chorale. Hymn books were published and later translated into other vernacular (non-Latin) languages.

In England, not only Luther's Reformation but also King Henry VIII's (1491–1547) personal motive for divorce led him to decide to separate from the Roman Catholic Church and established the Church of England or the Anglican church, from which Episcopalianism later evolved in the United States. At the early stage, the music of the Anglican church was modeled after the music of the Catholic Church. Later, the Latin liturgy was replaced by the English liturgy, having the Book of Common Prayer to provide a collection of texts to function in the Anglican services, which could be both read and sung. Music was developed to be sung in a choral tradition.

- Video to Watch: The Church Reformation
<https://www.youtube.com/watch?v=IATyzSAjC1w>
- Listening: Juan Bautista Sancho, "Gloria" from *Misa En Sol* (ca. 1800)
<https://www.youtube.com/watch?v=21ujXFfnNTI>

Misa en Sol ("Mass in G") was one of the best-known works by Juan Bautista Sancho (1772–1830), a Spanish Franciscan priest and composer who spent his life in California during the early nineteenth century. Spanish Franciscan priests began to teach Californian Native Americans the Catholic faith and music in Spanish. The excerpt here is the Gloria section of Sancho's Catholic Mass, in which the sung text was in Latin according to the Catholic tradition, but the music was written in a Baroque style that combines voice and string instruments, along with the harpsichord as **basso continuo** (a bass line that helps establish the harmony).



Spanish Missions Founded in Alta California
(Internet Archive Book Images, No restrictions, via Wikimedia Commons)

- Listening: William Billings, “Chester” from *The New-England Psalm-Singer* (1770)
https://www.youtube.com/watch?v=t7S_07E-9CA

“Chester” is one of the hymns found in *The New-England Psalm-Singer* in 1770, written by William Billings (1746–1800), who is considered to be the first American choral composer. This Protestant hymn was titled after the town of the same name in Pennsylvania. It was also sung during the American Revolutionary War (1775–1783), with more specific lyrics added in the 1778 edition. It was composed in four-part polyphony. The lyrics, apparently written by Billings himself, directly address the tyranny of England and the ultimate American separation from it. The composer William Schuman (1910–1992) used the melody in his *New England Triptych* (1956) and its later expansion *Chester Overture*.

1.3 Hellenism, Humanism, and Rationalism

These three philosophies have had a major impact on numerous socio-cultural movements in Western culture. They brought about changes in social structure and perception, and have found expression in politics, societies, and the arts. All the three *-isms* are closely connected and refer back and forth to one another.

1.3.1 Hellenism

Hellenism is a term that means “imitating Greeks.” Dating back to the time of the ancient Greek civilization, the Hellenistic period encompasses the life of Alexander the Great and his conquest of the Middle East and Asia, which was the basis of political alliances until the fall of the Roman Empire in the fifth century. Hellenism commonly refers to the ideas of Greek philosophy, politics, social systems, language, and culture. Among the key elements of Hellenism is its emphasis on education that underlaid politics and cultural movements. According to the Hellenistic view, education can build a good citizen, an idea promoted in Plato’s *Republic* (ca. 375 B.C.E.). One of

Plato's disciples and Alexander's teacher, Aristotle (384–322 B.C.E.) also wrote extensively about logic and what we now call the scientific method. When Aristotle's writings were translated into Latin in the twelfth century, a new approach to scholarly thinking was developed, including logical analysis and scientific observation. This was particularly evident in the writings of St. Thomas Aquinas (1225–1274). According to his philosophy, the goal of learning is more than obtaining the knowledge, expanding to encompass the development of humans to become wholesome in body, mind, and creativity. Music is also a significant subject in Hellenistic philosophy, because it can induce a proper function of humanity to have affection and appreciation.

Throughout the Middle Ages, Boethius's (477–524) writings and translations from Greek documents served as the basis of all musical understandings and education. Although they were largely subject to the teachings of the Church, Boethius's ideas were deeply ingrained in Pythagoras's mathematical explanations of music and Plato's perception of music as affecting human compassion and understanding. A renewed interest in Hellenism took place as Renaissance humanism during the fifteenth and sixteenth centuries. Then, it continued to remain as part of the philosophical and aesthetic principles of subsequent centuries in Western civilization. Especially during the later eighteenth century, the Neoclassical movement brought back and set as aesthetic measures the elements of simplicity, balance, and clarity found in ancient Greek arts. The ideas of classical Greece would be best exemplified in the contemporary architecture constructed in the so-called Greco-Roman style.

1.3.2 Humanism

Although the term Humanism was not officially used until the nineteenth century, humanist philosophy had circulated and dominated the ideas of people since the fifteenth and sixteenth centuries, the period of the Renaissance. Following the lead of Hellenistic thinking, the core idea of Humanism is the emphasis on the intellectuality of “classical studies” that focused on Greek and Latin rhetoric, history, grammar, poetry, literature, and morality. Instead of blindly accepting the authority of the Church as the key to human affairs, humanism took the approach that all humans have the ability to find answers for themselves through logic and investigation. Philip Melanchthon (1497–1560) was a German scholar and friend of Martin Luther who decided to study the original Greek texts of the New Testament instead of relying on the Latin translation that the Catholic Church had adopted. Nicolaus Copernicus (1473–1543), using mathematical observations, determined that the earth revolved around the sun, a view which Galileo Galilei (1564–1642) and Johannes Kepler (1571–1630) were later religiously excommunicated for holding. In literature, the poet Petrarch (Francesco Petrarca, 1304–1374) had earlier developed new forms of secular poetry because of his interest in classical studies. The expression of humanist philosophy can be clearly seen in the visual and performing arts, as the themes of artworks became more focused on human subjects, such as the human anatomy seen in the drawings of Leonardo da Vinci (1452–1519) and the art of sculpture. The sculpture entitled *David* by Michelangelo in 1504 portrayed a heroic human facing a great challenge with both fear and resolve.

The idea of humanism concerned various changes in Western music, especially with regard to the subject, sound, and expression. From the fourteenth century, there was a growing number of compositions that dealt with human experiences and problems, as found in musical settings of Petrarch's poems about love and of Boccaccio's bawdy *The Decameron* (ca. 1353). Around the same time, there was a major shift in sound from a single melodic monophonic texture to the four-part polyphony in which four melodic lines are sung simultaneously, producing greater harmonic complexity. As for musical expression, the ancient Greek theory of **modes** (melodic types) and

their relationships with **ethos** (approximately translated as emotion or ethical character) grew into latter-day perception of music and sound, and their impact on the listener's character and behavior. The ancient Greeks believed that certain modes would induce particular emotions and have ethical powers that could directly affect human behavior. This theory was then used to choose what mode would best fit the purpose of the song to be written. For example, the sound of the Dorian mode was perceived as dignified and devout, while the Mixolydian mode would impart mournful feelings.

1.3.3 Rationalism

Rationalism is a philosophy based on the idea that answers to human problems can be found through logic and scientific evidence. In a strict sense, it is opposite to the belief in the supernatural, divine revelation, and judgements based on emotion. Rationalism grew out of humanism and had been expressed in ancient Greek civilization when philosophers such as Pythagoras, Socrates, and Plato used reason and observation to discover truths about mathematics, geometry, politics, and music. Again, Aristotle's work on logic and scientific observation was important to the development of rationalism. The rise of rationalism came in the period of seventeenth and eighteenth centuries with thinkers such as René Descartes (1596–1650), Baruch Spinoza (1632–1677), and Gottfried Leibniz (1646–1716). However, not all rationalists were opposed to faith or religion. John Locke (1632–1704) and Blaise Pascal (1623–1662) wrote extensive treatises supporting the idea that, upon examining the evidence, it is rational to believe that a Creator exists and that he has revealed himself at least in Nature. Immanuel Kant (1724–1804) continued the rationalistic explanation in his three critiques: *Critique of Pure Reason* (1781; 1787), *Critique of Practical Reason* (1788), and *Critique of Judgment* (1790). He proposed that all scientific knowledge was based on human anatomy and, as such, there were limits to what humans could know with certainty. Politically, the idea of rationalism led to the end of monarchical rule and paved the way for the rise of democracy in much of Europe and, of course, the United States.

By the end of the seventeenth and early eighteenth centuries, a new set of rules about harmony based on the vertical relationships of pitches had taken over the sphere of classical music. Centering around the home key and its first chord (tonic), all chords have specific interrelations and hierarchical functions—hence called **functional harmony**. Corresponding to this new way of viewing harmonic relationships and progressions, which creates a sense of logic in musical structure, instrumental music began to embody more advanced forms including **ritornello form** and **fugue** (pronounced as “fewg”). In the former, as the solo instrument(s) and the ensemble alternate regularly, the music unfolds in a series of sections that contrast and balance each other. In the latter, three to four independent melodic lines successively enter by playing the same melody at different times and on different pitch levels, as occurs in a round. Then, the rest of the work continues to develop the melody in fragments until the final return of the entire melody in the home key. The ideas of functional harmony and musical form are closely related to rationalist thinking on the basis of mathematical relations in music.

- Video to Watch: Humanism and Classical Greek Education
<https://www.youtube.com/watch?v=w95Zmb3nB80>
- Video to Watch: Antonio Vivaldi, *The Four Seasons*: “Autumn,” Concerto, Op. 8, No. 3 in F Major, RV 293, Mov. I (1725)
<https://youtu.be/MBUCqwLtmJA> [to 5:05]

Chapter 2 The Ideas of Enlightenment and the Industrial Revolution (ca. 1750s–1800s)

Eighteenth-century Europe and the United States were marked with a cultural movement that stressed humanity's potential to improve its condition through the application of reason. The period in which this outlook flourished is now known as **the Age of Reason** or **the Age of Enlightenment**. It was during this period that philosophers began asserting the rational power of the individual to figure out the basic problems of mankind for the benefits of the whole. Within the climate of rationalist thinking and enlightenment, the authorities of the Church and the rulers of the State grew in awareness about the world and its people. They also began to show interest in improving their surroundings and appeasing their subjects, while tolerating differences in ideas and beliefs as well as rational inquiry to all matters, including the existence of God. Challenging though it may have appeared to the Church, this progress fueled the outbreaks of the American Revolution (1775–1783) and the French Revolution (1789–1799).

With the contemporary enthusiasm about enlightenment and education, private homes and salons emerged as new institutions for secular moral education, in which music and music literacy were regarded as a significant component of a well-rounded education, especially for young adults. This belief gave rise to a new tradition called **Hausmusik** (“house music”) first in German-speaking lands and the British Isles, then adopted in the United States. With the beginning of the Industrial Revolution from the mid-eighteenth century, middle-class households could afford musical instruments and sheet music for their children, contributing to an increase in the number of amateur music lovers and shaping their musical preferences. Meanwhile, intellectual efforts to bring back the ideals of ancient Greeks as the aesthetic models (“classics”) of contemporary arts led to an emphasis on simplicity, clarity, balance, and coherence in music. By incorporating these aesthetic principles into published music, composers in Europe facilitated amateur musicians' learning. Aesthetically pleasing pieces that required less technical skill were particularly popular, not only for singing but also for piano, violin, flute, or a small ensemble of any combination of those instruments. These compositions were also favored in the United States, since it had not produced any famous composers who wrote secular songs and instrumental music at the same level of European composers, nor was there one predominant taste in American music-making yet.

2.1 The Enlightenment and Its Philosophies

The ideas of Enlightenment, advocated by such thinkers as John Locke (1632–1704), David Hume (1711–1776), and Jean-Jacques Rousseau (1712–1778), led to major changes in both science and politics. In science, scientific methods brought new knowledge, which sometimes opposed the beliefs of the Church. Galileo Galilei (1564–1642) and Isaac Newton (1643–1727) had begun describing a set of natural laws that consistently determine how the universe works, such as gravity, momentum, and inertia. Using the same concepts and approaches, eighteenth-century philosophers began asserting that human beings have natural rights “endowed by their Creator,” as Thomas Jefferson would say later, which encouraged the middle and lower classes to demand their independence. This idea challenged the authority of kings and aristocracy having any kind of privilege given by birth and suggested that, if nature runs by a fixed set of laws, then governments should also—not by the whim of the monarch. Thus was born the idea of “Lex, Rex”—the Law is King—the defense of the rule of law and the attack on absolutism based on the Church-State relationship.

The philosophy that all things could be explained with knowledge and reason was against the belief in superstition and the unquestionable dogma of the Church. The Age of Reason could

be explained as the age of “light” as opposed to the age of “darkness.” Rationalism encouraged people to search for knowledge outside of the scriptures and see the value of individualism that all humans have the right and ability to achieve understanding. This idea of rationalism materialized in many organizations for special purposes, including Freemasons, academies, literary salons, and coffee houses. By the end of the eighteenth century, the American and French Revolutions had, in different ways, reorganized their political systems. The new model was to keep the ruling power in check by an elected legislative body and an independent judiciary.

2.2 The Industrial Revolution

The Industrial Revolution began in Great Britain and dominated the eighteenth and nineteenth centuries with various movements to replace the method of production from hand-made to machine-made. The invention of machinery took a significant place in shifting an agrarian and handicraft economy to one led by industry and machine manufacturing. The first steam engine was invented in 1712 by Thomas Newcomen and quickly began to find applications in the production of textiles and refinement of iron ore. By the early 1800, this technological innovation had revolutionized transportation through steam-powered ships and railways. Through rationalist approaches and mechanization, the production of goods became simpler and more efficient, creating industries and transforming the economy, which was the basis of Adam Smith’s book *The Wealth of Nations* (1776) that promoted capitalism, private ownership of businesses, free market economics, and liberal care for the employees of these industries. Unfortunately, labor rights were generally overlooked, as profits became the driving force.

Factories that needed more workers to complete their production caused the migration and resettlement of people from rural areas to urban areas for factory work. The advancement of technologies resulted in an expansion of social classes, primarily into three: upper, middle, and working classes. The middle class experienced an increase in influence in society and became better off than in previous centuries. The growth of factories and the rise of the middle class made a gradual shift from a feudalist to a capitalist economy. The members of the middle class challenged the injustice of rights and the inequality of classes, instigating uprisings and protests against the upper class’s domination of power.

The Enlightenment came with an enthusiasm for education. At the beginning of the Industrial Revolution, many children became factory workers. Laws issued in the nineteenth century began to provide free basic education for children and to make sure that children who worked in the factories were literate. Middle and working classes could obtain an education and knowledge. The education resulted in social mobility and a growing middle-class population.

2.3 The Enlightenment and the Industrial Revolution in the United States

Influenced by the eighteenth-century Enlightenment in Europe, the American Enlightenment aimed to exercise reason based on scientific experiment and education. The impact of the Enlightenment was found in various changes in politics, science, education, and religion. Rejecting religious superstition and the absolute power of the monarch and aristocracy led to a call for liberty and equality of all mankind. This movement culminated in the Declaration of Independence in 1776, which gave birth to republicanism and liberalism in the United States. “Life, Liberty, and the Pursuit of Happiness” was established as the declaration of rights that Americans should have. With slavery still legal and ongoing attempts to dominate Native Americans at that time, these new rights were explicitly for land-owning European-descended Americans. Many colleges and universities were built in response to the cultural climate of the Enlightenment, including Harvard,

Yale, Princeton, and Columbia. Renowned Americans that came from this movement are Benjamin Franklin (1706–1790), Samuel Adams (1722–1803), John Adams (1735–1826), and Thomas Jefferson (1743–1826).

The Industrial Revolution in the United States was modeled after the British movement and focused on textile manufacturing, which was introduced by Samuel Slater (1768–1835). Factory systems were installed and equipped with machines to increase mass production, which demanded a change from laborers who had been accustomed to working in the field and at home. The development of the railroad improved transportation and created urbanization, bringing more rural workers to cities including New York and Chicago. Among all the technologies developed in the United States, the interchangeable part facilitated easy assembly, repairs, and customization, especially in making rifles and other devices during the early nineteenth century.

2.4 The Enlightenment and the Industrial Revolution in Literature, Arts, and Music

Much of the literature of the day was philosophical, such as treatises by Benedict Spinoza (1632–1677) and Thomas Paine (1737–1809), but a new form of writing was invented to encourage social reform by telling an elaborate story, which became known as the novel. Some of the earliest and most influential novels were Voltaire’s *Candide* (1759) and Jean-Jacques Rousseau’s *Émile, or On Education* (1762), both biting satires attacking the aristocracy and the Church for standing in the way of the progress of human reason.

Architecture and visual arts abandoned the highly intricate ornamentation of the Baroque style and developed a simpler, more elegant style known as **rococo** in which clarity was the most important goal as a response to the order of the social structure. Because the new style was patterned after the interpretation of classic Greek and Roman art forms, the years from the 1700s through the early 1800s are often referred to as the **Classical period** in arts. This example of Classical order can be seen in the architectural styles of many buildings constructed during the eighteenth and nineteenth centuries, such as the White House in Washington, D.C., which is modeled after the style of Greek and Roman buildings emphasizing columns across the front. Painters began to present images that drew attention to the main characters and attempted to tell a story with the background of the paintings often dominated by settings of nature. Jean-Honoré Fragonard’s *The Progress of Love: The Lover Crowned* (1771–1772), for example, depicts a young woman playfully putting a wreath on her boyfriend’s head in the midst of a lush and extravagant garden.



Jean-Honoré Fragonard’s *The Progress of Love: The Lover Crowned* (1771–1772)
(Jean-Honoré Fragonard, Public domain, via Wikimedia Commons)

The Enlightenment and the rise of the middle class during the beginning of the Industrial Revolution caused a major change in musical style. Just as there was a shift toward order and balance in politics and society, in music composers sought to codify and clarify the rules for musical composition, rather than indulging in the performer's knowledge and whim in improvisation as was common in the Baroque and its ornate styles. Pursuing the similar ideals of clarity and refinement, the changing world of music in Europe saw a number of works of excellence that served as textbook examples for later composers of the **common practice period**. Not only bringing back the ideals of ancient Greek "Classic" but also providing new "Classic" examples, it is thus called "Classical music" or the music of the Classical period, although the term "classical music" (with the lowercase "c") today has come to mean the music of any period written within the tradition of European art music, distinguished from jazz, popular, and traditional music. Many conventions of classical music today were established within the musical traditions of the Classical period.

The elements of order and clarity in Classical music were enhanced by rejecting the complexity of late Renaissance and Baroque music, in which the listener had to keep track of seamlessly moving multiple melodies or one melody highly ornamented by the performer's spontaneity. The composers of the Classical period tried to present a clear single melodic line with accompaniment that supports it. A melodic phrase remains within a singable range of commoners and indicates a clear-cut pause or closure before a new melodic phrase is introduced. The length of each phrase is created evenly, reflecting the structure of Greek and Roman architecture in which regularly spaced columns established symmetry.

With the support of the contemporary aesthetic principles, a great number of musical works for amateur musicians were composed and published. Songs were arranged or newly written with simple accompaniment for private music-making. Folk and folk-like melodies became an important source of materials for familiarity and accessibility. Instrumental music for the piano, a hallmark of middle-class values, took a central place in music education and entertainment. Dramatic genres including opera and ballet integrated more comic characters and assigned main roles to middle-class or even working-class characters. Composers adopted the ideas of the Enlightenment and allied themselves with leagues and societies that embodied particular aesthetic pursuits. Their music was an outlet to reflect their ideas and beliefs and a place of originality to react to the changing society.

2.5 Joseph Haydn and Wolfgang Amadeus Mozart as Enlightenment Composers

Joseph Haydn (1732–1809) and Wolfgang Amadeus Mozart (1756–1791) were among the most prolific composers of eighteenth-century European art music. Their works have thrived for centuries, consistently appearing on music textbooks and concert programs around the world. Both composers' musical careers were established in major cities in Europe, especially in the city of Vienna, Austria. Hence, they are called the "**First Viennese School**," which also includes the young Ludwig van Beethoven (1770–1827), due to his stylistic affinity with them. Their music incorporated a great balance between playfulness and richness, symmetrical structure, and systematic progression in harmony without much radical change.



Joseph Haydn (1791)
(Thomas Hardy, Public domain, via Wikimedia Commons)



Maria Anna ("Nannerl") Mozart, Wolfgang Amadeus Mozart, and their Father Leopold Mozart, on the Wall the Portrait of the Deceased Mother (ca. 1780)
(Johann Nepomuk della Croce, Public domain, via Wikimedia Commons)

Joseph Haydn, "Emperor" String Quartet, Op. 76, No. 3, Mov. II (1797)

Haydn's String Quartet op. 76, no. 3 is nick-named *Kaiser* ("Emperor") because the second, slow movement presents several variations on a melody that Haydn had written in honor of Emperor Francis II of the Holy Roman Empire. Reigning from 1792 to 1806, the emperor was one of the leading figures of the Enlightenment and rationalism. He differed from other monarchs of the time due to his belief in law and order of the State, instead of the absolute power of the monarchy. He reformed the legal system and eliminated violent punishment, promoted human rights, and gave more freedom to his citizens. Education was among his reforms to implement the ideas of the Enlightenment. With emphasis on literacy, he also changed the teaching language from Latin to German to reflect the serious consciousness of nation and nationhood.

- Listening: Joseph Haydn, "Emperor" String Quartet, Op. 76, No. 3, Mov. II (1797)
<https://youtu.be/mBmCcSz6HWw>

Wolfgang Amadeus Mozart, Piano Sonata, No. 16, K. 545, Mov. I (1788)

This piano sonata comprises three movements that are contrasting in character and tempo. The ideas of clarity and order are heard, especially in the beginning phrases of the first movement. The melody stands out from the accompaniment which plays a simple, repeated pattern of tonal harmony. The melody is easily followed and is singable. It presents the two phrases in the manner of asking a question and answering the question, whereas the accompaniment breaks the chords into single notes that outline the harmony of the piece without distracting the melody. This device is called **Alberti bass**, one of the basic skills for beginners in piano lessons.

- Listening: Wolfgang Amadeus Mozart, Piano Sonata, No. 16, K. 545, Mov. I (1788)
<https://youtu.be/4xeAsc6m35w>

Chapter 3 The French Revolution and Romanticism (ca. 1780s–1880s)

The Age of Enlightenment brought about changes in political, social, and economic structures that began to allow greater freedom in thought, speech, and opportunity for individuals, especially of the middle class. As the yearning for freedom grew, the end of the eighteenth century saw the outbreak of the French Revolution (ca. 1789 onset), which became a source of inspiration for many thinkers and writers to advance their ideas about freedom, equality, and rights. The progressive and radical outlook also sparked a fire in many nations to stand up against the ruling class.

In reaction to the previous emphasis on reason and scientific evidence, which seemed to reduce everything to logic and physical mechanisms, there was a growing interest in individual emotion and experience that gave rise to the core concern of romanticism and realism of the nineteenth century. Simultaneously, while providing economic growth and more income to households, the Industrial Revolution gradually replaced manual work with machinery and forced people to move away from their quieter agricultural lives to live in crowded cities where the factories were located. Although the reality of farming and manual work was not as blissful as it looked decades later, they yearned for the “good old days” and the beauty of nature through their dreams and imagination, which served as their only access to the distant past. Others withdrew themselves to private sectors, finding comfort in a hermitlike religious life, often with a pessimistic attitude to the outside world.

With all these changes in societies and lives, the new ideas and philosophies of romanticism, realism, nationalism, and historicism were expressed in arts and music. While endeavoring to meet the mainstream expectations, such individual composers as Ludwig van Beethoven (1770–1827), Franz Schubert (1797–1828), Frédéric Chopin (1810–1849), and Louis Moreau Gottschalk (1829–1869) devised their own ways of expressing thoughts and feelings. In resistance to the confinements of the world, they often broke norms in composition and performance, demonstrating their revolutionary and individual spirits.

3.1 Romanticism

One of the early philosophers who instigated the idea of Romanticism was the Enlightenment thinker Jean-Jacques Rousseau (1712–1778). His ideas about freedom, equality of all men, and the removal of the barriers that keep men from being their natural selves were essential to the leaders of the French Revolution and became the ideals of the Romantic Age. For Rousseau, all men are different, and each man has a right to be unique and express who he is. In his book *The Confessions* (ca. 1782–1789), he wrote, “I am not made like any of those I have seen. I venture to believe that I am not made like any of those who are in existence. If I am not better, at least I am different.” This statement of his pushed forward the ideas of law and order of the preceding period into the new age of individualism and subjectivism fostered by the idea of Romanticism.

Also influential were Immanuel Kant (1724–1804) and Georg Wilhelm Friedrich Hegel (1770–1831). Kant in his *Critique of Pure Reason* (1781) and *Critique of Practical Reason* (1788) asserted that logic had limitations—while perfectly acceptable for matters of the physical realm, they resulted in paradoxes when applied to ideas about the spiritual realm. Eventually, this became an important basis for a general rejection of the authority of reason, except in the sciences, while increasing the significance of emotion in daily life. Theologians who followed Kant rejected the pursuit of objective spiritual truths and taught that the importance of religion lay in the subjective experience of the believer and the will to believe. Hegel’s dialectic theory that history is driven by a cycle of thesis, antithesis, and synthesis of those two oppositions became the basis of most

German ways of thinking and education throughout the nineteenth century. It was applied to every imaginable sphere, the most famous of which was Karl Marx's *The Communist Manifesto* (1848), which claimed that the proletariat (the antithesis) would revolt against the bourgeoisie (the thesis) to create a new society (the synthesis).

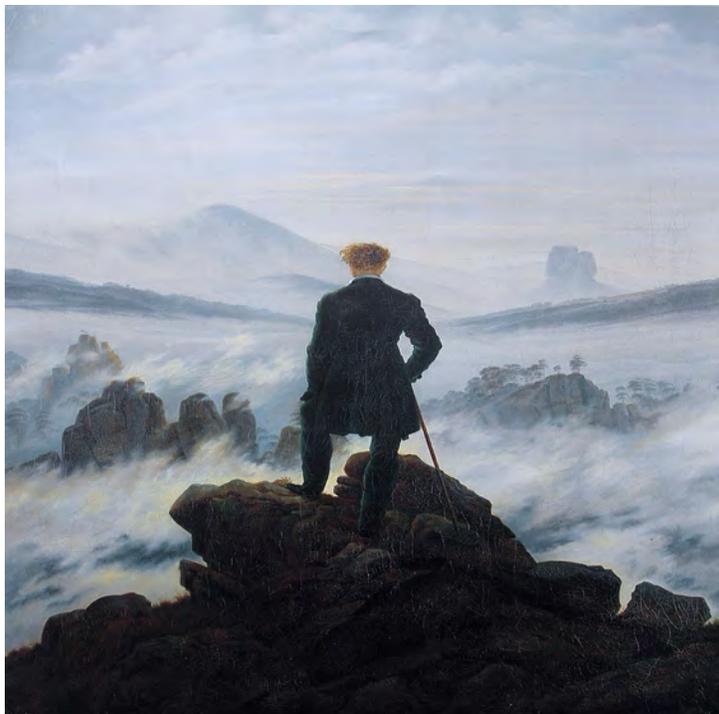
Apart from these revolutionary and radical spirits of the time during the Romantic period, the term "romanticism" was in fact derived from the French word "romant" in the field of romance literature. It aimed to express the inner feelings of the writer's isolation in nature. The ideals of the Romantic period included the importance of the individual (**individualism**) to subjectively (**subjectivism**) experience (**existentialism**) one's personal reality (**realism**) led by one's own emotion. Tagging on to Rousseau, American writers Ralph Waldo Emerson (1803–1882) and Henry David Thoreau (1817–1862) suggested that man must reconnect with Nature to transcend the corruption of society and find his true self (**transcendentalism**).

3.1.1 Romanticism in Arts and Music

Both in the late eighteenth century and in the nineteenth century, all areas of the arts served as a means for artists, authors, composers, and performers to express their individual thoughts and subjective feelings in their works. Literature and poetry were an effective mode of expressing individual emotions. Artists were in favor of emotional expression that was displayed in varieties of shades showing the light to dark side of human beings. An individual's melancholy was expressed in many art forms, especially in music, where new sounds were created to express personal sorrow. Nature became the setting and was closely tied with the idea of Romanticism in the literature, poetry, visual arts, and opera of that time.

In poetry and literature, England's William Wordsworth (1770–1850) and John Keats (1795–1821), German-speaking lands' Johann Wolfgang von Goethe (1749–1832), and Victor Hugo (1802–1885) and Alexander Dumas (1802–1870) from France were among leading figures who had a great impact on other artists and societies. Poetry depicted the beauty of nature as well as mystery, passion, imagination, submerged logic, death, depression, and heightened joy. Fantasy, mythology, legend, superstition, daydreaming, and magic were employed to evoke senses of fear, excitement, and spaces in-between. Older fairy tales and stories of chivalric knights became sources for popular romantic literature, in which unrequited love presented the ideal of true love and sentimental romance. There was also a great interest in the darker aspects of humanity in Hector Berlioz's *Symphonie fantastique* (1830) and stories such as Goethe's *Faust* (Part I, 1808; Part II, 1832) and Edgar Allen Poe's *The Tell-Tale Heart* (1843) and *The Raven* (1845).

For visual arts, Romantic artworks moved away from Classical forms to the nostalgia of the past or the mystery of unknown world. The beauty of nature was continuously expressed through the painting of landscape, countryside, seascape, or forest, yet often with emphasis on an individual within it. The history of the Middle Ages became a common subject as those events were reinterpreted in this new age. Death was also depicted as a place of possibility or of comfort. New techniques, such as a shimmery moonlight that evokes loneliness, were invented to express emotion in painting.



Caspar David Friedrich, *Wanderer above the Sea of Fog* (ca. 1818)

(Caspar David Friedrich, Public domain, via Wikimedia Commons)

In music, composers often drew on characters and themes taken from eighteenth-century literature. Many of them wrote their compositions on the same sources, challenging themselves within the emerging tradition of music; for example, Goethe's *Wilhelm Meister's Lehrjahre* (*Wilhelm Meister's Apprenticeship*, 1796) and its female character Mignon, as well as his tragic play *Faust*, had become popular sources of inspiration for compositions of various genres from songs and operas to symphonic works by Ludwig van Beethoven (1770–1827), Franz Schubert (1797–1828), Felix Mendelssohn (1809–1847), Berlioz, and Franz Liszt (1811–1886). The advancement of literature and its closer relationship with music gave rise to a genre known as **program music**, in which the composer tied music to a specific narrative story or poetry by realizing the details of scenes and emotional changes in sound. Thus, it often called for a single movement in pursuit of the organic whole, along with an individual title that readily indicates the source of inspiration. Paul Dukas's *L'apprenti sorcier* (*The Sorcerer's Apprentice*, 1897) was, for example, based on Goethe's 1797 poem of the same name (*Der Zauberlehrling* in German).

The popularity of the piano as the central medium of private music-making continued during the nineteenth century. Composers in Europe were no longer employed by the courts as many had been a century earlier, but they made their living composing commissioned works, giving private lessons, and through the publication of songs, piano music, and small chamber works. As the piano made technical advancements in range, pedal, and sounding system, composers were able to detail their thoughts and feelings, while experimenting with sonic possibilities that had never been introduced in piano music. Pianist-composers wrote more and more technically challenging works not only for their artistic desires but also to showcase their abilities to the audience, and the industry of piano music began to see a distinction between amateurs and professionals.

The idea of individualism that Rousseau had introduced became the new code for contemporary musicians to be different and stand out from others. Performers discovered new

techniques and practices at their extreme to attract an audience that was eager to see extraordinary performance styles. Playing at a rapid speed and with exaggerated physical and emotional manners were typical for the virtuoso musicians that young performers aspired to achieve as a goal of their professional career. At the same time, composers invented new sounds that gradually moved away from the previous century's aesthetic of refinement. Rules that had been established as the proper practices for composing music were often broken by composers who attempted to create adventurous harmonies and rhythms for better expression of emotions and characters. Through the power of imagination and individual interpretation, composers devised original means of delivering a variety of feelings of excitement, sorrow, loneliness, anger, and fear, as well as a wide range of images including heroes, lovers, wanderers, ghosts, and witches. Large-scale orchestral works from the late nineteenth century, involving 60 to 100 performers on stage, and theatrical operas that combined literature, music, acting, and stagecraft exemplified the Romantic ideal of expansion and vastness, magnifying the audience's musical experience.

3.2 Biedermeier Realism

Within the movement of Romanticism was another aesthetic trend known as **Biedermeier**. It refers to a cultural movement that was centralized in German-speaking lands, especially through the visual art that brought comfort, peace, and harmony in the midst of the political turmoil of the nineteenth century. Two important authors of Biedermeier were Franz Grillparzer (1791–1872) and Eduard Mörike (1804–1875). The latter, in particular, wrote a short story entitled *Mozart auf der Reise nach Prag* (*Mozart's Journey to Prague*, 1855), in which he depicted the life of the late composer Mozart in the setting of a happy family. When the trend of Biedermeier realism intersected with the love of emotional expression in Romanticism, it found a common factor in the fantasy that allowed one to escape from the pain of reality and acquire a temporary happiness.

Musicians who aligned themselves with Biedermeier ideas did not approve of the complete departure from the Classical thinking of order and form. They aimed to conserve the composition styles of Mozart and rejected the revolutionary, radical expression of romanticism advocated by those who followed Beethoven. Composers of Biedermeier realism to an extent embodied a traditionalist aesthetic outlook, with emphasis on the feelings of solitude and piety in private sectors. Examples of Biedermeier expression in music could be seen in Schubert's songs set to Wilhelm Müller's poems, and Johann Strauss's waltz.

Ludwig van Beethoven, Symphony No. 3 in Eb Major, Op. 55, "Eroica," Mov. I (1803)

Beethoven's Symphony no. 3 exemplifies many of the concepts associated with Romantic music. Beethoven was an admirer of Napoleon Bonaparte (1769–1821) who had freed France from the Reign of Terror. He originally titled this symphony "Bonaparte" in honor of Napoleon. For Beethoven, Napoleon was a brave individual who had united France after the French Revolution in the spirit of *Liberté* ("liberty"), *Egalité* ("equality"), and *Fraternité* ("brotherhood"). However, in 1804, when Napoleon proclaimed himself the Emperor of France, Beethoven was upset and disappointed. He changed the title to "Eroica," meaning "heroic" in Italian, and dedicated the symphony to Prince Franz Joseph von Lobkowitz, one of Beethoven's patrons, instead. The work was first performed at the palace of the prince as a private concert in 1804. It was published in 1806 with the title, "Sinfonia Eroica ... composed to celebrate the memory of a great man."



Jacques-Louis David, *Napoleon at the St. Bernard Pass* (1801–1805)

(Jacques-Louis David, Public domain, via Wikimedia Commons)



Ludwig van Beethoven (between 1804 and 1805)

(Joseph Willibrord Mähler, Public domain, via Wikimedia Commons)

This work marked a departure from the Classical symphony that followed a certain framework and rules. Probably because of the revolutionary figure in Beethoven's mind, the composition was constructed differently, which thereby surprised both the musicians and the audience at the premiere. First, he expanded the length of the composition, which one critic called "horribly long." The music also employed unusual techniques that challenged the performers playing the instruments. Finally, Beethoven did not entirely follow the established form and procedure of the Classical symphony, in that he presented a new theme in a transitional section that conventionally would not be expected to introduce major new musical ideas.

The example here is the first movement of the symphony. At the beginning, the sound of the two strong chords set up the audience with a character of boldness that is followed by the sweet theme of the symphony played by the lower strings. Beethoven deviated from tradition by introducing new notes outside of traditional compositional rules, creating a harmonic surprise that was prolonged for a while and resulting in a long tension that was not familiar to the audience. There are plenty of unexpected compositional techniques that Beethoven brought in, such as the new theme in the middle section, and assigning the French horn to enter alone prior to the final return altogether, which could have led the audience to think that the hornist made a mistake.

- Video to Watch: BBC Film, Beethoven's Symphony No. 3
<https://youtu.be/UtA7m3viB70>
- Listening: Ludwig van Beethoven, Symphony No. 3 in Eb Major, Op. 55, Mov. I (1803)
<https://www.youtube.com/watch?v=iukF5CzRL1I>

Frédéric Chopin, Nocturne in Eb Major, Op. 9, No. 2 (1830–1832)

Chopin's Nocturne in Eb Major is often considered to be one of the most beautiful piano works of the Romantic period. After spending a few years in Vienna, Chopin moved to Paris in 1832, and this opened the opportunity for him to publish his first set of Nocturnes—pieces that evoke the feelings of nighttime. The theme is lyrical and is repeated many times. Chopin employed delicate ornaments and a flexible tempo in the right hand (**tempo rubato**), while keeping steady beats in the left hand, in order to make the overall sound sentimental and dream-like. The entire

composition conveys a candid expression of the feelings of sweet love and melancholy at night. At the end, there is a cadenza-like (virtuosic solo) section that repeats a four-note figure with a delicate subtle shade of dynamics from soft to loud before the passage ends like a whisper hanging in the mind of the listener. Here he marked **senza tempo**, which means “without meter,” to be played however the performer feels the music should be expressed. This piece provides an opportunity to hear emotionally charged Romantic music as well as Chopin’s individualism in tempo management as a means of expression.

- Listening: Frédéric Chopin, *Nocturne in Eb Major*, Op. 9, No. 2 (1830–1832)
<https://youtu.be/YGRO05WcNDk>

3.3 Nationalism and Exoticism

Beside the ideas of romanticism and realism, nationalism was another significant idea that inspired artists to create works of originality throughout the nineteenth century. Materials and themes that were closely associated with national identity became the source of creating national sentiments in music. The idea of nationalism was conceived and promoted by many of the leading countries in Europe that had established a strong identity in culture or fought against the ancient regime in order to achieve modern political ideologies and systems, such as France, England, Italy, and Germany. Subsequently, their use of folk materials and stylistic characteristics of traditional music was lifted up as to convey the awareness of nation and nationhood. As a representation of national sentiments in music, and as a source of originality, composers employed folk melody, rhythm, dance, and tales, as well as historical narratives and legends of the nation. Their works brought new styles and sounds into the compositions of the European art music tradition, while promoting love and pride toward the culture of homeland. Closely tied to the nostalgia for a distant place, nationalistic feelings found an important place in Romantic literature and music. Examples include Carl Maria von Weber’s *Der Freischütz* (1821) and Bedrich Smetana’s *The Moldau* (1874).

In contrast, the application of folk and traditional elements from the Eastern world and ethnic minorities of Europe and the Americas (e.g., Roma people and Native Americans) was considered to be what is now called **exoticism**. Despite a growing interest in the cultures of the East within the Western world, caused by the expansion of European colonies into China, India, Indonesia, Malaysia, and the Philippines, their perceived difference in style and sound in music carried negative connotations of being foreign, strange, unrefined, and rootless, demarcated from the norms established by and in the West. More often than not, folk melodies and rhythms of the East and ethnic minorities, though using similar materials to their Western counterparts, were not presented adequately in their own contexts. Western composers’ knowledge about the musical cultures of the East was limited, drawn from secondary or tertiary sources. Their incorporation of Eastern elements remained a mere hint of exotic taste instead of a wholesome presentation of the actual culture. In pursuit of making music more interesting and entertaining from the perspective of the West, inaccuracy and distortion occurred in many works of this style. Such incidents are found in Giuseppe Verdi’s *Nabucco* (1841), Georges Bizet’s *Carmen* (1875), and Giacomo Puccini’s *Madame Butterfly* (1904), despite other notable musical aspects of these works.

3.4 Historicism

The consciousness of the past during the nineteenth century took on a new form, that of historicism. In literature, the Arthurian legends became popular as a basis of historical novels, such as Sir Walter Scott’s *Ivanhoe: A Romance* (1819) and Alfred Lord Tennyson’s *Idylls of the King* (1859–

1885). Other works were based on historical figures from European, Roman, Greek, and even Egyptian histories, but almost always for the sake of advancing the contemporary fascination with heroic individualism and the power of emotion delivered through the stories. Similarly, in painting and architecture, many artists looked to the past for ideas that they could use and often idealized these subjects within the context of romanticism.

Historicism in European music was an outcome of the application of Hegel's dialectic to the study of history, which claimed to reveal the real reasons why change and progress took place in humanity. This school of thought grew out of German universities and was applied to music history by Franz Brendel (1811–1868). Using the dialectical method, Brendel demonstrated the superiority of German music, creating a genealogy of the composers, from Bach and Handel, through Mozart and Haydn, to Beethoven, and then proposed that the new music of Wagner and Liszt represented the music of the future. In this lineage, the first biography of Bach was written in 1801 by Johann Nikolaus Forkel (1749–1818), and Bach's *St. Matthew Passion* (1727) was revived under the direction of Mendelssohn in 1828. Other composers also brought back archaic sounds and forms of German music as an homage to their predecessors or as a token of their awareness of the history. While this advocated primarily German nationalism in music history and historiography, it soon inspired other countries to rise to demonstrate in music the importance of understanding the history in the progress of their nation.

Franz Schubert, “Kennst Du Das Land?” (“Do You Know the Land”), D. 321 (1815)

Schubert's German art song “Kennst Du Das Land?” was based on Goethe's novel *Wilhelm Meister's Apprenticeship*. In the novel, this text is spoken by Mignon, a girl who was saved by Wilhelm from being beaten and then fell in love with her rescuer, which speaks to the emotional idealism of the period. This text became a favorite of numerous composers of the Romantic era and was translated into French, Russian, and Italian to promote the idea of nationalism in those countries. Oddly enough, the place that Mignon is speaking of is in Italy, as lemons and oranges (mentioned in the text) do not generally grow in Germany. Within the political context of early nineteenth-century German-speaking lands, before the unification in 1871, the protagonist was in search of an imaginary place of peace and safety.

Do you know the land where lemon trees blossom;
where golden oranges glow amid dark leaves?

A gentle wind blows from blue sky,
the myrtle stands silent, the laurel tall:
do you know it?

There, O there
I desire to go with you, my beloved!

Do you know the house? Its roof rests on pillars,
the hall gleams, the chamber shimmers,
and marble statues stand and gaze at me:
what have they done to you, poor child?

Do you know it?
There, O there

I desire to go with you, my protector!

Do you know the mountain and its clouded path?
The mule seeks its way through the mist,
in caves the ancient brood of dragon dwells;
the rock falls steeply, and over it the torrent.

Do you know it?
There, O there

lies our way. Oh father, let us go!

- Listening: Franz Schubert, “Kennst Du Das Land?” (“Do You Know the Land?,” 1815)
https://youtu.be/Yk_Y9ALhzh0

Louis Moreau Gottschalk, Souvenir de Porto Rico, Op. 31 (1857)

Louis Moreau Gottschalk (1829–1869) was an American composer and virtuoso pianist, whose musical career, as well as upbringing, demonstrated a pan-American, multiculturalist spirit. Born to a Jewish father and a French Creole mother and growing up in New Orleans, Gottschalk was exposed to many different musical cultures. He was familiar with European piano repertoire, including works by Beethoven and Chopin. Frequently traveling and touring outside the United States, and also living in South American and the Caribbean for extended periods of time, Gottschalk adopted, with critical judgment, the local influences and musical traditions in his compositions. In 1857, he visited Puerto Rico and wrote his *Souvenir de Porto Rico* based on a Christmas folk song he heard sung by the peasants there. The subtitle, *Marche des Gibaros* (“farmer’s march”), using an antiquated spelling of the word *jibaros*, refers to the farmers who live in the countryside. This piece is set as a theme and variations for piano, many of which give the performer a chance to show off technical and musical abilities. After the rather somber opening, Gottschalk projected Latin-American and African-influenced rhythms, presaging early Jazz that would develop in New Orleans a half-century later. While it was a direct expression of the composer’s nationalistic sentiments for his surroundings and ethnic roots, the music was received and popularized as something exotic and thereby interesting during his lifetime.

- Listening: Louis Moreau Gottschalk, *Souvenir de Porto Rico*, Op. 31 (1857)
<https://youtu.be/RVRdi2MArXs>



Louis Moreau Gottschalk (1864)
(Louis Moreau Gottschalk, Public domain, via Wikimedia Commons)



Caricature Illustration of “Monster Concert” by Louis M. Gottschalk at Fluminense Theatre, Rio de Janeiro, Brazil, 5 October 1869

(Angelo Agostini?, Public domain, via Wikimedia Commons)

Chapter 4 Modernism to Realism (ca. 1880s–1960s)

Unlike the two previous centuries of the Western civilization, primarily led by the dominant ideas of Rationalism and Romanticism toward the achievement of cultural homogeneity, the twentieth century is largely characterized as emphasizing diversity and plurality in ideas and beliefs. The Darwinian, evolutionary outlook that explained history and society through a teleological process and outcome by natural selection came to a dead end when industrialized society had to face economic recessions and territorial rivalries among the European powers. The contemporaries whose beliefs were steeped in tradition became dismayed when World War I (1914–1918) and then World War II (1939–1945) broke out, leading to a destruction of their efforts for social and economic infrastructure and, tragically, the genocide that resulted in the deaths of millions of people, especially those of Jewish lineage. Turning away from the past and detaching the current period's identity from that of the past, the idea of modernism provided new tenets for the majority of the contemporaries. Technological advancements, in particular, made possible worldwide travel and communication. Ideas and styles in music that used to serve a single isolated community began to be disseminated broadly and rapidly through media including the phonograph, radio, television, and computer. The increasing mobility at the global level, as well as the aftermath of the two world wars, led the United States to welcome a larger number of immigrants and their contributions. With the wealth of economic and intellectual resources, the United States began to gain new confidence as a country with a distinctive culture.

4.1 Americanism and Its Redefinitions

Americanism is an ideology to create a collective American identity in culture, language, and civil and political rights in the United States. Since the first settlement of European immigrants in North America, what it means to be American has continued to change and be challenged, especially through the political and social movements of the first half of the twentieth century. When the country was new, the sense of national identity focused on how to distinguish American culture from that of the European counterpart. A tension occurred between the royalists who were loyal to the Old World and the patriots of the New World. Although the patriots were eager to establish distinctive Americanness in their culture, the majority of them were from the British Isles, and their identification with British culture in the United States did not offer much distinction in what it meant to be American at that time, and instead caused confusion and a crisis in identity. More often than not, artistic influencers turned to Native American and African American cultures, with which British Americans ironically attempted to identify their cultures, not because of a cultural affinity but because of the difference they could claim as being distinctively American in opposition to European. As the United States saw a growing number of immigrants not only from Western Europe but also from Eastern Europe, Latin America, Africa, and Asia, the focus of discussion gradually shifted toward the relationship between the dominant European-descended ethnicity and ethnic minorities.

4.1.1 Americanism in Music

Cultural diversity and aesthetic pluralism are the norms of music-making in the United States today. This aesthetic value to an extent began with Antonín Dvořák's address to young American composers when he took the directorship of the National Conservatory of Music of America in New York, where he remained from 1892 to 1895. Bringing his nationalist insight as a Bohemian from the eastern region of what is now the Czech Republic to American music education, Dvořák

appreciated the beauty of Native American and African American music and the importance of these traditions as sources for a distinctively national music in his adopted homeland. As a public advocate for musical nationalism in the United States, he inspired many of his young contemporaries, including Harry T. Burleigh, Edward MacDowell, Amy Beach, and Charles Ives. Due to peer pressure, some of these composers who were of European descent deliberately tended to suppress feelings for their ethnic roots in order to be “American” at that time in music. They gradually felt comfortable incorporating music regularly heard and sung by people of their own ethnic heritage.

Antonín Dvořák, Symphony No. 9 in E Minor, “From the New World,” Movs. II and IV (1893)

Dvořák’s Ninth Symphony is a synthesis of the European art music tradition, along with elements of indigenous American music. The symphony comprises four contrasting movements, each of which displays different folk materials. The first movement quotes the African American spiritual “Swing Low, Sweet Chariot,” a song that has a history tied to enslaved people from Africa and their struggle to survive in the United States. The second movement features a well-known theme introduced by the English horn. This plaintive melody is similar to African American spirituals and was later given lyrics to serve as an independent song titled “Goin’ Home” by William Arms Fisher (1922). The third movement was inspired by a scene in Longfellow’s epic poem *The Song of Hiawatha* (1855), which describes Native Americans dancing at Hiawatha’s wedding. The sound of the third movement itself, especially the rhythm of the woodwinds’ first theme, is however the most characteristically Czech-like part of the symphony. The last movement combined the themes of the three prior movements, and a newly introduced folksong. The final fanfare proclaims a new beginning of the United States with its plural identities.

- Listening: Antonín Dvořák, Symphony No.9, “From the New World,” Mov. II (1893)
<https://www.youtube.com/watch?v=ASlch7R1Zvo>
- Listening: Antonín Dvořák, Symphony No.9, “From the New World,” Mov. IV (1893)
https://www.youtube.com/watch?v=RCct_tSQ8WY



Antonín Dvořák (1882)
(Unknown author/Unknown author, Public domain, via Wikimedia Commons)



Charles Ives (ca. 1913)
(voir Image:CharlesEdwardIves1913.jpg, Public domain, via Wikimedia Commons)

Charles Ives, “Putnam’s Camp, Redding, Connecticut” from Three Places in New England (1911–1914; rev. 1929)

Ives’s “Putnam’s Camp, Redding, Connecticut” is the second movement (the second “place”) of *Three Places in New England*. Each place has significance to the history of the United States, centering on the life of an American leader. Putnam’s Camp is named after an important Revolutionary War General, and the location was significant in the Battle of Bunker Hill. Ives drew the melodies from Civil War songs, camp songs, and marches, including “Yankee Doodle,” “Marching through Georgia,” “Arkansas Traveler” (also known as “Turkey in the Straw”), “Columbia, Gem of the Ocean,” “The Star Spangled Banner,” “Tramp, Tramp, Tramp” (also known as “Jesus Loves the Little Children”), “Hail, Columbia,” and, in contrast to the American-themed tunes, Wagner’s “Ride of the Valkyries.” To Ives, this was American music—a collection of songs that shaped people’s thoughts and emotions in their memories—and he found a unique way to present and comment on this music through his experience and imagination.

- Listening: Charles Ives, “Putnam’s Camp, Redding, Connecticut” from *Three Places in New England* (1911–1914; rev. 1929)
<https://www.youtube.com/watch?v=qojlj5yqs94>

William Grant Still, Symphony No. 1, “Afro-American,” Mov. I (1930)

This is the first symphony written by an African American composer and performed for an audience of the United States. Corresponding to the tenets of the Harlem Renaissance in the 1920s–1930s, and reflecting his cultural identity, Still based the main theme of this first movement on a blues melody very similar to the one his mentor, W. C. Handy, had written for “St. Louis Blues” (1914). The main theme is set against other thematic material derived from the blues and a section that is similar to the spiritual “Sometimes I Feel Like a Motherless Child.” In parallel with Ives’s understanding of “folk” music, Still incorporated music with which he himself was familiar, knowing what it meant to the people who would hear and perform it and reclaiming blackness as something positive.

- Listening: William Grant Still, Symphony No. 1, “Afro-American,” Mov. I (1930)
<https://www.youtube.com/watch?v=2OXmKehGDmE>



WILLIAM GRANT STILL

William Grant Still (1936)

(Maud Cuney-Hare, 1874-1936, Public domain, via Wikimedia Commons)



Duke Ellington (ca. 1940)

(Unknown author, Public domain, via Wikimedia Commons)

Duke Ellington, Black, Brown and Beige, Part 1 (1943)

Ellington's 1943 composition *Black, Brown and Beige* is a set of nine pieces altogether, three for each of the categories listed in the title that indicates different skin shades. The three movements of Part 1 (*Black*) are titled "Work Song," "Come Sunday," and "Light." Ellington was assisted in his composition by his arranger-composer, Billy Strayhorn, who had come to be an indispensable partner in producing music for the band. The music is primarily written within the tradition of classical music, while it occasionally allows for improvisation when a soloist plays over the band.

"Work Song" reflects the dignity of work in life. The trombone solo in the "Work Song" is played by using a plunger mute to close and open the bell, creating a "wah-wah" effect with growling. "Come Sunday" is a spiritual melody. Ellington included a violin solo in the "Come Sunday" movement to feature the talents of Ray Nance (1913–1976), a longtime member of the band (from 1940 to 1963) who could play trumpet and violin, as well as sing and dance. "Light" blends the two melodies in a more upbeat tempo, as if demonstrating that a complete life includes both work and spirituality. The music clearly presents the idea that to be Black is to be an overcomer, noble, joyous, and hopeful.

- Listening: Duke Ellington, *Black, Brown and Beige*, Part 1 (1943)
<https://youtu.be/o06HwF2PFXw>

4.2 Impressionism, Expressionism, and Primitivism

These three ideas began in the late nineteenth century as aesthetic movements in the visual arts before advancing to literature and music. Modernism's rejection of tradition and its primary goal of refinement led these movements to change their focus to the opposite direction. Instead of conveying a clear message and deeper meaning, impressionist artists aimed to suggest an idea and please the viewer's or listener's sensorial faculties. Instead of providing a "beautiful" feeling and experience, expressionists attempted to shock the audience with distorted images and grotesque feelings. Even more refreshingly, primitivism freed the creators from the consciousness of self and its development and allowed them to go back to the raw and crude stage of humanity through the window of arts.

4.2.1 Impressionism

Impressionism was an expansion of realist ideas in a different form, first in painting and then in literature and music. Impressionist painters, like the realists, depicted simple scenes of everyday life and nature, but did so in short brush strokes instead of clear lines, using light pastel colors and playing with the effects of light. This created a style of painting that presented objects less obviously than the traditional style that had preceded it, with a new concept of beauty that broke many of the "rules" of previous painters.

Some of the most important impressionist painters were Édouard Manet (1832–1883), Claude Monet (1840–1926), Pierre-Auguste Renoir (1841–1919), Paul Cézanne (1839–1906), and Edgar Degas (1834–1917). When their works were rejected by the contemporary artistic authority, they decided to form their own association and exhibit their works in 1874. Their completed works looked like sketches to the public, since the goal of impressionism was to create an impression that is to be finished not with the eyes but with the mind. As detected in Monet's works including *Impression: soleil levant* ("Impression: Sunrise," 1872), landscapes and the lives of common people became the painters' favorite themes. They captured a moment in time and painted the

atmosphere, for example, of light flickering on the surface of the water, moving clouds, and sunrise. Shifting light and painting the effect of light became the main concerns of impressionism.

Similarly, in literature, symbolist authors including Stéphane Mallarmé (1842–1898), Paul Verlaine (1844–1896), and Arthur Rimbaud (1854–1891) chose to highlight the effects and feelings of words when pronounced in sound rather than describing a realistic event or conveying a concrete meaning. As with impressionist paintings, symbolist poets depicted a vague idea of atmosphere and a character’s perception of events, focusing on expressing the protagonist’s inner mind of impressions, emotions, and sensations. Symbolist poetry often dealt with complex psychology, while appearing abstract in content.



Claude Monet, *Impression: Sunrise* (1872)
(Claude Monet, Public domain, via Wikimedia Commons)

Impressionism in Music

Impressionism in music began in the 1880s with the French composer Claude Debussy (1862–1918). He was influenced by symbolist poetry, and many symbolist poets were his friends. He drew texts from their works and used these texts as inspirations for his compositions, while developing compositional techniques to portray the sound in a style later called the impressionist style. To obtain the same effect as impressionist paintings and symbolist poems, he had to break from the traditional rules of composition. Just as impressionist painters had to use broken lines and short brush strokes, he incorporated fragmentary melodic lines, flexible rhythms, and harmonies that obscured the progression and structure of tonal music. The resulting texture became more important than specific chords or melodic structures. Timbre (or tone color) was the key element in producing impressionism in music, along with subtle changes in dynamics for atmospheric sound. The massive sound of the entire orchestra playing together or reaching a climax was avoided for a sentimental effect. Debussy also introduced new scales in addition to the traditional Western major and minor scales in order to create new harmonies obscuring the expectations of the audience and articulating a concept of beauty that was different from what they had experienced before. He borrowed scales from the music of the East as well as the sound of Asian instruments that he heard on his visit to the Paris Exposition in 1889.

Claude Debussy, *Prélude à l'après-midi d'un faune* (“Prelude to the Afternoon of a Faun,” 1894)

Debussy selected the symbolist poem *L'après-midi d'un faune* (*The Afternoon of a Faun*) written by his close friend Mallarmé as the topic of his first major orchestral work. The poem told the story of a mythological faun (half man and half goat) who woke up from his afternoon nap and depicted his sensual encounter with nymphs in his dream. In 1912, this work was transformed for the ballet with one of the most renowned dancer and choreographers, Vaslav Nijinsky (1889–1950), performing the role of the faun.

Debussy conveys the image of the faun and his fantasy through a long solo theme played by the flute. Harp was included in this work to add the effect of the mythical creature and the dreamy mood. Musical activities pass in slow motion to depict the sleepy atmosphere of the afternoon time. The rhythm is not in strict time but is flexible to reflect the fluctuation of memory, the impression of the mind, and the dreamy world.

- Listening: Claude Debussy, *Prélude à l'après-midi d'un faune* (“Prelude to the Afternoon of a Faun,” 1894)
<https://youtu.be/EvnRC7tSX50>

4.2.2 Expressionism

Similar to impressionism, expressionism emerged from a movement in art at the turn of the twentieth century. While impressionism’s birthplace was France, expressionism began in Germany and Austria. The philosophy behind this movement was from one of the most influential writers of the late nineteenth century, Sigmund Freud (1856–1939). He drew attention to the internal struggles of the human psyche, which he separated into the id (urge), ego (self), and superego (conscience). By recognizing all the layers of human mind, he gave a voice to the inner self.

Contemporary artists followed this new psychological viewpoint by creating paintings, poetry, and music that were candid expressions of the inner consciousness. This often led to explorations of the darker urges of humanity. While impressionism depicts beauty, expressionism explores the ugly side of the mind, sickness, and death. Expressionists rejected the subtle shades of light and soft mood of French impressionism and instead presented disproportionate figures, oddity, intense color, and harsh brush strokes. Famous expressionist artists were Ernst Ludwig Kirchner (1880–1938), Emil Nolde (1867–1956), and Edvard Munch (1863–1944). As found in Munch’s *The Scream* (1893), *Death in the Sickroom* (1895), and *The Sick Child* (1907), the themes and content of expressionism involved suppression, social protest, poverty, violence, hardship, and the torment of life.



Edvard Munch, *The Scream* (1893)
(Multiple Authors, CC0, via Wikimedia Commons)

Expressionism in Music

Expressionism in sound was opposite to the method Debussy had introduced in his impressionist works. To expose struggles and pain in sound, dissonance was the key factor to display the darkest part of the mind. Melodies were distorted and scattered in fragments. Unusual registers of extremely high and extremely low pitches were used, and unconventional instrumental and vocal techniques were used to make new sound effects.

Some late nineteenth-century works had already started to incorporate expressionistic elements when romanticism and realism employed darker themes and intense harmonies as heard in the works of Richard Wagner (1813–1883) and Gustav Mahler (1860–1911). Richard Strauss's opera *Salome* (1905), depicting a young woman's erotic dance to request the head of John the Baptist on a platter, was one of the early examples of expressionist composition.

Expressionism was developed further by Arnold Schoenberg (1874–1951) and his students Alban Berg (1885–1935) and Anton Webern (1883–1945). This group of composers was called the “**Second Viennese School**” since their professional lives and distinctive styles were formed in Vienna, Austria, similar to the “**First Viennese School**”—Haydn, Mozart, and the young Beethoven—more than a century earlier. Although the spirit of experimentation in composition would have been the same as with the previous school, the second group worked within the context of expressionism at the turn of the century, incorporating atonal harmony with a darker side of humanity. By means of the extreme use of dissonance, Schoenberg's song cycle *Pierrot lunaire* (“Moonstruck Pierrot,” 1912) portrayed a complex psyche of the famous pantomime clown Pierrot, who is especially struck by the moon. Similarly, Berg's opera *Wozzeck* (1914–1922) associated dissonances with the torment of poverty, victims of war, social problems, loss of morality, and the shocking tragedy of killing a loved one in the moonlight.

Arnold Schoenberg, “Der kranke Mond” from Pierrot lunaire (“Moonstruck Pierrot,” 1912)

Pierrot lunaire (“Moonstruck Pierrot”) comprises twenty-one songs that Schoenberg composed in 1912 for a female singer and five musicians. The choice of instruments changes throughout the twenty-one songs. The lyrics of the songs were drawn from a collection of poems by Albert Giraud, all of which speak of the effects that the moon has on people, with many references to death and murder. This piece was written before Schoenberg later developed the twelve-tone compositional technique (serialism).

The seventh song, “Der kranke Mond” (“The Sick Moon”), exemplifies Schoenberg's early, expressionist style. “Der kranke Mond” compares the appearance of the moon to a lovesick person losing himself in his passion for his beloved, to the point that his life is gone. Schoenberg's dissonant harmony deepens the sickness of the protagonist.

You nightly deathward sinking moon
 Draped upon Heaven's blackened bed.
 Your face, so fevered, overlarge,
 Haunts me, like some exotic song.
 An all consuming lovesickness
 Kills you with longing, suffocates...
 You nightly deathward sinking moon,
 Draped upon Heaven's blackened bed.
 Your loved one, senseless with desire,
 Without a thought speeds to his love,
 Delighting in your dancing beams,
 Your white contaminated blood,
 You nightly deathward sinking moon.

Schoenberg abandoned the tradition of tonal music in setting this song. Using consonances and dissonances rather freely, he employed what is known as atonal harmony. The choice of instrumentation for this song consists of a solo flute with a female voice. The vocal part does not follow a traditional singing style. The melody is not all sung but instead is half-spoken much of the time, using a technique called **Sprechstimme** (German for “speech-voice”), which is suitable for a free expression of the inner consciousness and exploration of humanity’s deepest thoughts and desires.

- Listening: Arnold Schoenberg, “Der kranke Mond” (“The Sick Moon”) from *Pierrot lunaire* (1912)
<https://youtu.be/6CBe8fZSvB0>

4.2.3 Primitivism

Primitivism was initiated by a group of artists who wanted to extend the content and theme of their works to the past, especially to the Age of Discovery, in which Westerners encountered the indigenous people of the lands that they explored and cultures of ethnicities and tribes very different from their own, such as Native Americans, Africans, and Pacific Islanders. The philosophical idea behind primitivism was the concept of “utopia.” While industrialization had improved society and the lives of people, the experience of the past and a close-to-nature lifestyle had been abandoned due to urbanization. Modern artists therefore attempted to integrate the material of native lifestyles and cultures that had disappeared through modernization at that time.

Paintings presented these cultures in strikingly simple line and bold color. Paul Gauguin (1848–1903) was the leading figure in “primitive” art, in a positive sense, by presenting the idea of “the noble savage” through visual image. He painted images of the indigenous people of Tahiti with brush, expressive colors, glorifying their uninhibited nature. Beside Gauguin, Pablo Picasso (1881–1973), in his early works, focused on African and Iberian images which eventually led him to develop cubism. Picasso saw an exhibition of African masks at the museum and included the masks on the faces of women in his paintings. Primitivism was criticized by many for its cultural appropriation and distorted representations of indigenous people.



Paul Gauguin, *Day of the God* (1894)

(Art Institute of Chicago; Paul Gauguin, Public domain, via Wikimedia Commons)

Primitivism in Music

The theme of tribal and indigenous culture was also adopted in music. Of the various elements of music, rhythm was elevated as a crucial means of realizing primitivism in sound. The most famous work in this style was *The Rite of Spring* (1913) by Igor Stravinsky (1882–1971). New instrumental sounds and compositional techniques were developed to convey pagan culture. The images of indigenous people and their music were presented in an opposite way to that of the “civilized” European art music. In contrast to delicacy and elegant sound, primitivism in music incorporated seemingly unorganized, irregular, coarse, and dissonant sounds. Besides Stravinsky, Béla Bartók (1881–1945) employed the principles of primitivism in his works *Allegro barbaro* (1911) and *Music for Strings, Percussion, and Celeste* (1936).

Igor Stravinsky, Le Sacre du printemps (“The Rite of Spring”), Part I: “Dance of the Adolescents” (1913)

Commissioned by Sergei Diaghilev’s *Ballets Russes* (a ballet company based in Paris from 1909 to 1929), Stravinsky wanted to compose music that reflected a pagan ritual. He was inspired by Picasso’s primitivist work *Les Femmes d’Alger* (“The Young Ladies of Avignon,” 1907) and the writing of Freud’s new book *Totem und Tabu* (“Totem and Taboo,” 1913). Stravinsky shared his vision about this new work with Diaghilev, in which he projected a pagan ritual where a young girl dances herself to death as a sacrifice to the God of Spring.

Stravinsky scored *The Rite of Spring* for a large orchestra, with particular emphasis on the percussion section. The music is very complex rhythmically with the ending section changing meter every few seconds. Stravinsky created a folklike melody which sounded idyllic and slow-paced at the beginning but later turned dissonant, along with rhythmic changes. The music displayed extremes of volume and dissonance, often making sudden changes with unusual accents in the instruments and unconventional instrumental techniques that created piercing sounds. The resulting experience was so visceral and shocking that, when combined with Nijinsky’s new choreography of pagan dance, caused a riot at the premiere in Paris.

- Video to Watch: BBC Film “Riot at the Rite”
<https://www.youtube.com/watch?v=JcZ7lfdhVQw>
- Video to Watch: Understanding Stravinsky’s *The Rite of Spring*, Part 1: “Dance of the Adolescents”
<https://youtu.be/tXUxdF6jo8Y>
- Video to Watch: Igor Stravinsky, *The Rite of Spring*, Part 1: “Dance of the Adolescents” (1913)
<https://youtu.be/h-3wI3Upvpw> [4:28–7:33]

4.3 Objectivism: Neoclassicism and Serialism/Integral Serialism

The music at the beginning of the twentieth century had taken the extreme emotionalism of the Romantic era and branched out to impressionism, expressionism, and primitivism under the umbrella of subjectivism. In the 1920s, composers who were dissatisfied with the lack of rules in subjective music or tried to find an alternative to tonal music and its expansion began to conceive of scientific approaches to music. Some composers looked back at the principles of the past,

especially of the eighteenth century, and perceived them as models of rational, objective approach to composition. Besides, the world had experienced the destruction of humanity during World War I. All promise and hope for human progress seemed to be lost, there was a massive economic collapse all over Europe, and Russia turned to communism with Joseph Stalin (1878–1953) trying to consolidate power in a vast number of provinces. There seemed no place for emotion to be attached and wasted at this point. With a rather cold and indifferent attitude to their surroundings, composers searched for creative outlets to exercise the idea of objectivity, under which they formulated neoclassicism, serialism (later developed into integral serialism), and alienation, an effect of disengaging the audience from the object of music.

4.3.1 Neoclassicism

The idea of neoclassicism was deeply rooted in the rational approach to music particularly favored by composers of the Classical period. In a broader sense, however, this aesthetic movement referred to the deliberate imitation of any earlier style, not from a sentimental point of view but from an objective one. By embracing both the past and the present, neoclassical composers liberated themselves from the pressure of modernism that had them search for something new or different from that of the past. Under the slogan of “Back to the Past,” “Back to Tonal Music,” or more symbolically “Back to Bach,” they aimed to restore the elements of the “old” including balance, order, and clarity to articulate a scientific working-out of sonic elements, while diminishing emotion and its association with other arts. With a neoclassical outlook, they tended to downplay dissonant harmony in pursuit of congruous sound and coherent structure. Subsequently, without knowledge of who wrote the piece and when it was written, neoclassical music often sounds like music of the Classical or Baroque period. However, neoclassical works frequently involved small chamber ensembles of unconventional combinations or a piano solo, due to the aftermath of World War I that had caused the loss of resources including orchestras, opera companies, and musicians. It was not easy to find enough musicians for a large-scale work at that time.



Igor Stravinsky (1921)
 (Photographer: Robert Regassi. Publisher: J. & W. Chester, publisher, no author listed, Public domain, via Wikimedia Commons)



Arnold Schoenberg (ca. 1948)
 (Florence Homolka, Attribution, via Wikimedia Commons)

Arnold Schoenberg, Piano Suite, Op. 25, Mov. VI: Gigue (1923)

Schoenberg's Piano Suite, op. 25 is an example of both **neoclassicism** and his twelve-tone technique (also known as dodecaphony or **serialism**). The pitches used are a result of manipulation of a series of twelve pitches that he preselected, while the rhythm and form of each movement in the suite evoke the movements of the Baroque dance suite. Schoenberg started writing this composition in 1921 as his first attempt to put his emerging theory into practice. The Gigue movement was not composed until 1923 when he finally had some experience with the concept. "Gigue" is the French name for what the Irish call a jig—a lively dance grouping the beats in two, each of which is subdivided into three smaller rhythmic values. The gigue, like most dances, usually has two parts, each of which repeats. Schoenberg applied some of these metrical and formal conventions in a way that is lively but almost impossible to dance to. He designed the movement to repeat the first section but not the second. In effect, it bears almost no resemblance to a traditional gigue. By labeling this movement as a gigue, he probably attempted to make his twelve-tone music more accessible (or at least look familiar) to the audience, even if the content is twelve-tone, atonal harmony.

- Listening: Arnold Schoenberg, Piano Suite, Op. 25, Mov. VI: Gigue (1923)
<https://youtu.be/pLKVe8YikRo>

4.3.2 Serialism and Integral Serialism

In the 1950s, more likely after Schoenberg died in 1951, some composers expanded the idea of serialism to other elements of music beyond pitch, such as rhythm, articulation, and dynamics, by creating rows of each element and applying them to the pitch rows. This became known as **integral serialism** because everything was built on predetermined series of musical elements. This was the ultimate form of objective, predetermined, and scientific approach to music.

Milton Babbitt, Three Compositions for Piano, No. 1 (1947)

Babbitt's *Three Compositions for Piano* uses integral serialism. In some ways, this seems like a fatalistic approach to composition because many of the musical decisions are determined mechanistically by the method rather than by what would be expressive in the context of music, yet Babbitt makes it work. The piece goes by quite quickly, which makes it hard to follow. Although the music may sound totally random, which is a characteristic of serial and integral serial works, it is the exact opposite of that. Every pitch, note value, and dynamic are carefully determined by the serial method. It should be mentioned that, after computers were sophisticated enough to be programmed for serialization, a few experiments were made to allow a computer to generate music simply by following all the rules of integral serialism. Because the human element had been removed completely, however, the results were unremarkable. Even with a rigid system like this, a human being making compositional decisions has an impact on the aesthetics of the music.

- Listening: Milton Babbitt, *Three Compositions for Piano*, No. 1 (1947)
<https://youtu.be/z87gifJNqoE>

4.4 Realism: Music for Peace and Justice

Modern realism was a further extension of nineteenth-century realism. Twentieth-century realism was a response to the harsh realities of global wars and political struggles. Many composers around

the world wrote music that was antiwar by depicting the cruelty and terror of wars. The loss of lives of soldiers and civilians, along with the consequently broken families, were the realistic scene of the time that influenced composers to write music to reflect their own views on war.

Composers used music to express their opinions on both world wars. Olivier Messiaen (1908–1992) was a prisoner of war during World War II. While staying in Stalag VIII-A (a prisoner-of-war camp), he composed the *Quartet for the End of Time* (1941). Another composer who wrote a composition that presented the realities of war was Krzysztof Penderecki (1933–2020). His sound mass technique enabled him to depict the sounds of war and the United States’ bombing of Hiroshima and Nagasaki in Japan. He devised new, unconventional performance techniques for string instruments to display the eerie sounds of siren, bombs, and chaos.

Classical composers were not the only ones who wrote music that represented the cruelty of war. Popular songwriters also wrote many antiwar songs during the second half of the twentieth century. The meaning of the lyrics varied from political satire against governmental decisions about war, through general opposition to all wars, to songs of comfort for soldiers and their families. There were also some pro-war songs encouraging young men to join the fight. Especially in the 1960s, American songwriters of popular music revived folk music as topical songs and protest songs, leading crowds to demand peace and justice, while searching for a point to unify the country.

Krzysztof Penderecki, Threnody to the Victims of Hiroshima (1960)

Threnody to the Victims of Hiroshima was written in 1960. Penderecki had originally titled it 8’37” possibly inspired by John Cage’s 4’33” (1952). Yet, after its premiere, he realized that the title did not adequately reflect the work’s emotional power. In the following year, he dedicated it to the victims of the most horrific nuclear bombings of Hiroshima and Nagasaki in Japan and renamed the work.

Threnody to the Victims of Hiroshima was scored for 52 string instruments. Corresponding to the sounds of war, Penderecki experimented with new sounds on the string instruments, such as using the wooden side of the bow rather than the horsehair side and by playing behind the bridge instead of in front of it. He also used tone clusters to create tense moments in the piece. There is no melody to speak of, as the piece is focused on creating timbres and textures that elicit a powerful emotional response. There are also times when Penderecki uses an aleatoric or chance approach, allowing each musician to play whatever they want within certain parameters—for example, playing the highest possible pitch of the instrument. The sound of the strings with new techniques evoked uneasy feelings for audiences. Through *Threnody to the Victims of Hiroshima*, the audience could experience the cruelty of war and a panicked feeling. The composition received the annual award from the *Tribune Internationale des Compositeurs* UNESCO in 1961.

- Listening: Krzysztof Penderecki, *Threnody to the Victims of Hiroshima* (1960) <https://www.youtube.com/watch?v=HilGthRhwP8&t=53s> [with Animated Score]

Pete Seeger/Jamila Jones, “We Shall Overcome/We Are Not Afraid” (1960s)

Pete Seeger (1919–2014) did not actually compose the song “We Shall Overcome.” It was originally a spiritual entitled “I’ll Be Alright” sung to the words from a 1903 hymn called “I’ll Overcome Someday.” Seeger learned the song from Zilphia Horton (1910–1956) at the Highlander Folk School in Monteagle, Tennessee, which later became the Highlander Research and Education Center for training social leaders and organizing protests. They initially published it in the *People’s Songs* newsletter in 1948. Shortly after that, Seeger changed the words from “We will overcome”

to “We Shall Overcome,” and Guy Carawan (1927–2015) and Frank Hamilton (b. 1934) altered the rhythm. They copyrighted their version of the song, giving all the royalties to a nonprofit fund that supports equal rights.

One night in 1958, the police decided to raid the Highlander School, and they had the city turn off all electricity to the campus. A 14-year-old girl named Jamila Jones (b. 1944) was there that night attending a workshop to learn more protest songs. When the lights went out, she sat quietly in the darkness unsure of what was happening. Then she began singing “We are not afraid” and added a new verse to the song as others throughout the room joined her. Other verses that Seeger has suggested are “We’ll walk hand in hand,” “We shall live in peace,” “We shall all be free,” “The truth will set us free,” “Black and White together,” and “Love will see us through.” In 1960, Carawan taught the song to a group of about sixty African American college students who were preparing to stage protests in cities throughout the South. Through their influence, the song quickly became an anthem for the civil rights movement throughout the decade.

- Listening: Pete Seeger, “We Shall Overcome” (1960s)
<https://youtu.be/1osKWCDX140>

Chapter 5 Postmodernism to Interculturalism (ca. 1970s–Present)

The period after World War II was a time of re-evaluation. The aftermath of World War II brought changes to politics, societies, and economies of the world. The end of the war led to the independence of many nations that had been colonized by the West. On the other hand, it created two major powers, the United States and the Soviet Union, that were fighting over political ideologies: democracy versus communism. Their indirect confrontation, known as the Cold War, led to the Korean War (1950–1953) and the Vietnam War (1954–1975), as well as the emergence of terrorist groups which have since continued into this twenty-first century. The economies of European nations had collapsed after the war, but recovery was on the way in some countries, and by the end of the twentieth century, the economy of East Asia grew rapidly. Europeans and Americans had opportunities to learn from and collaborate with the Eastern world.

For many in the United States, the postwar era was a time of prosperity. The domestic economy soared, and marriage and birthrates rose dramatically, resulting in a baby boom. However, there were also a multitude of issues that needed to be questioned and reevaluated at a global level: the morality of war in light of the nuclear threat, Civil Rights issues, the validity of Western-European Christendom, and colonialism that had driven the rest of the world into conformity and subjugation.

Throughout the 1960s, these issues came to the forefront through music, art, protests, and countercultural movements, as the foundational ideas of modernism, born from rationalism in the Enlightenment, began to be challenged; hence, postmodernism was born. While it is difficult to define exactly what it means, the idea of postmodernism certainly included skepticism about finding universal truth and the rejection of the idealistic morality that had preceded it. The ideas of deconstruction and post-structuralism are often used to describe the analytical process of reconsidering the foundations of knowledge, values, and traditional institutions in Western civilization. The 1980s, after the Vietnam War, saw major political scandals in Great Britain and the United States, assassinations of Civil Rights leaders who demanded change, and the lack of real progress in the areas of equality and justice for Black people, Latinos, women, and the LGBTQ community. There was a general distrust of modernist political sources of power. Truth and morality were described as relative and culturally conditioned. While postmodernism destabilized much of what had been assumed as normal since the postwar era, it did not provide substantial answers as to what should replace those structures.

Feeding into questions about postmodernism, Western society began to become more aware of religions, philosophies, and cultures of the rest of the world. As Eurocentric supremacy began to break down, a new openness to the established ideas of other parts of the world began to be explored and embraced. To a large extent, this began with the introduction of Hindu ideas into the counterculture of the 1960s through yoga, transcendental meditation, and music of popular bands like the Beatles. Buddhism and Taoism became popularized through the books by Ram Dass (e.g., *Be Here Now*, 1971) and the television series *Kung Fu* (1972–1975). The rise of Islamic fundamentalism in Iran generated interest in the true teachings of Islam. Immigration increased exponentially from Asia, the Middle East, Africa, and South America to Europe and North America, as technologies and commerce continuously opened new avenues for them. Eventually, among the informed public, there was an important realization that the world was interconnected politically, economically, socially, and culturally.

5.1 Postmodernism

Postmodernism was an attitude that expressed skepticism for the tenets of modernism, which came to dominate philosophy, criticism, visual arts, literature, architecture, and performing arts during the last quarter of the twentieth century. Postmodernism also marked the dominant philosophical approach in the period that came after that of modernism. This new idea questioned the philosophical and aesthetic principles of the immediate past and reinterpreted them from an individual point of view. Postmodernism valued self-interpretation and self-defined ideas of truth. It criticized the ideology of modernism and its origin—rationalism of the Enlightenment—and debunked the concept of a universal truth tied to the canon of European culture.

5.1.2 Postmodernism in Music

The idea of postmodernism impacted various aspects of music and music-making during the last quarter of the twentieth century, often with positive outcomes. It tended to view history not as a diachronic, linear (chronological) process that evolves by its inherent necessity but as a collection of synchronic moments without the traditional relationship of antecedent and consequent. This way of thinking provided great freedom for composers in their conception of ideas and styles. According to their postmodernist understanding, the styles of all epochs and cultures are equally available. It is the composer who chooses and makes them fit at the moment of creation. Thus, postmodernist music is often eclectic and incongruous, sounding like a patchwork that presents completely different styles and sounds without consideration of order, conformity, and propriety. Materials from old and new ages, classical and popular spheres, or Eastern and Western worlds are possibly mixed not by the principle of amalgamation but by the principle of juxtaposition.

Postmodernism in classical music was a reaction to the extreme modernism that culminated in the ideas of serialism and integral serialism which ruled music by predetermining virtually all elements of music. Composers with a postmodernist attitude began to view a musical composition as a text that is open to the opinions of performers and audiences in creation and interpretation. Abandoning the modernist belief in the composer as a Godly creator and the notation as the composer's testament, postmodernism introduced indeterminacy as a part of the act of composition, and electric and electronic devices as a part of performing forces, whose mechanical manipulation of sound was also regarded as a part of the compositional process. In this milieu, music reemerged as an interdisciplinary and intercultural outlet of creativity. The sonic palette of music became reimagined not only in classical music but also in jazz, popular, and traditional spheres of music. Musical structures and methods were also reassessed, and the idea of experimental music exploded.

5.2 Indeterminacy

Indeterminacy is a concept that some aspects of a work is open to chance or the interpreter's intentional or unintentional choice of freedom. It resists the fixity of the traditional concept of composition and continuously invites performers and audiences to participate in the creation of music as they interpret it in their own ways. This approach was initiated by John Cage (1912–1992), largely influenced by painter Robert Rauschenberg (1925–2008), and especially his *White Painting* [three panel] (1951), and choreographer Merce Cunningham (1919–2009). It soon spread to many other American and European composers as well as free/avant-garde jazz musicians. Also known as chance music or aleatoric music, the concept of indeterminacy in music fundamentally changed the perspective on classical music and its tradition of notation. Various methods were employed, such as tossing a coin, rolling a pair of dice, and tuning a radio, to create a composition based on chance operations rather than conscious decisions. Cage, in his *Music of Changes* (1951),

employed the Chinese book of divination *I Ching* (at times called “Book of Changes”), while creating charts of musical sounds, durations, dynamics, tempos, and densities. Then, he consulted not his own whim but the *I Ching* on which notes he should use in the composition. In so doing, he freed himself and the music from his preferences, while challenging the authoritative role of the composer that was long established in the tradition of Western art music. The other methods associated with indeterminacy include letting the musicians determine which pitches they want to perform. Some composers drew pictures or made graphic representations of what they wanted the players to do, leaving the interpretation of those symbols to the performers. The entire field of musical composition became chance-controlled or an opportunity to ask, “What if we do this?” Writing music resulted in a sound that was no longer determined by the composer alone.

John Cage, 4’33” (1952)

Cage composed *4’33”* for any instrument(s) or any combination of instruments. The title indicates the duration of the entire three-movement performance. During the four minutes and thirty-three seconds, one or as many musicians as are in an orchestra or a choir, perhaps even altogether, appear on the stage, not playing their instruments but letting the ambience itself play the composition. Many audiences interpreted this as four minutes and thirty-three seconds of silence, but Cage said that they missed the point. The music of this work consists of all the ambient sounds or noises that occur in the surroundings during the time of performance. There might be mechanical noises, shuffling of feet, coughing, or uncomfortable giggles, but whatever sounds take place, that is the music that the audience hears throughout the four minutes and thirty-three seconds. Cage derived the idea from Zen Buddhism, which he had studied for many years prior to this composition, with D. T. Suzuki, a Japanese Zen scholar who taught at Columbia University. Silence in Japanese Zen plays a key factor in meditation and in the path to enlightenment. Only through silence can a person hear the sound of truth. Although the *4’33”* may sound next to nothing as “music,” Cage’s perception of music, sound, and space brought a philosophical point of view to music and broadened the boundaries of music and its capacity.

- Video to Watch: Inspirational Working Methods, John Cage and the *I Ching*
<https://www.youtube.com/watch?v=uyjOnqzjqpc>
- Listening: John Cage, *4’33”* (1952)
<https://youtu.be/9RAgthGA-9Q>

5.3 Minimalism

Minimalism emerged from the field of visual arts in New York City around 1960. This new concept preferred a non-dramatic display through the use of industrial colors in a simple, plain, and symmetrical style. Minimalist artists were opposed to the expressionism and impressionism that were saturated in overly emotional expression. With an objective and mechanical touch, Andy Warhol (1928–1987) produced a series of minimalist paintings on iconic American objects, such as Campbell’s Soup cans and Coca-Cola bottles, as well as celebrities including Marilyn Monroe, Elvis Presley, Muhammad Ali, and Michael Jackson. Presenting a series of basically the same objects or people, yet all different kinds of soup or all different amounts of Coca-Cola in the bottles, Warhol portrayed the repetitive contemporary lifestyle and its static motion in progress.



Andy Warhol, *Green Coca-Cola Bottles* (1962)
(Andrew Moore, CC BY-SA 2.0 -<https://creativecommons.org/licenses/by-sa/2.0/>, via Wikimedia Commons)

Likewise, in music, minimalist composers limited the number of materials they employed to as few as possible. In order to convey the main idea, they focused on musical processes, while avoiding tension and conventional emotional effect. Thus, the texture is simple and transparent, in which sustaining harmony, unvarying dynamics, repetitive figures, static motion, and slow addition of new materials result in an organic whole. The leading American minimalist composers include Terry Riley (b. 1935), La Monte Young (b. 1935), Philip Glass (b. 1937), Steve Reich (b. 1936), and John Adams (b. 1947). Although minimalism in music began as an avant-garde aesthetic around 1960, over time it became a popular approach in contemporary music-making as a whole, readily overlapping with the ideas and styles of rock, hip-hop, and jazz as well as non-Western philosophies and musical elements.

The idea in creating minimal music is very similar to the process of Hindustani music of India, which in fact entered the United States through the settlement of Indian musicians, inspiring a number of the contemporary musicians in the 1960s. The sustaining sound of tanpura (or tanbura), an Indian instrument, became the model for drone harmony (sustained pitches that continue for an extended period of time) in minimalist music, as well. Not only the instrumental sound but the rhythmic cycle and modes of Indian music theory were also applied to music, as found in the works by Riley and Glass, respectively. Minimalism has been the most common style of wind band music in the twenty-first century. It has also melded somewhat with the neo-romantic style of composition that arose as composers found that audiences disliked the extremes of atonalism.

Steve Reich, "It's Gonna Rain" (1965)

"It's Gonna Rain" was conceived as an electronic musical experiment and then became known as one of the very earliest instances of minimalism in music. Reich recorded a Pentecostal preacher who gave a sermon about Noah and the ark in San Francisco's Union Square, by using two reel-to-reel tape recorders. Because of the imprecise technology in 1965, they did not play back-to-

back as Reich originally intended. This accident, however, enabled him to come up with a technique called “phase shifting.”

In the recording of the preacher’s sermon, Reich discovered that the extremes of vocal inflection created an effect that imitates pitches in music. Reich took out or sampled the phrase “It’s gonna rain” and played it repeatedly until the two recordings were no longer synchronized, canceling each other out. As the piece continues, he allows the recordings to shift to stereo so that they are both heard, while remaining out of phase with each other. This results in new sounds and tones that were not part of the recording originally. Reich also created the second part of the piece by taking other phrases from the sermon (“sho nuff,” “couldn’t open the door,” “had been sealed by the hand of God”) and setting them into a much more complex phase shifting pattern which almost sounds like an organ playing by the end of the piece.

- Listening: Steve Reich, “It’s Gonna Rain” (1965)
<https://youtu.be/vugqRAX7xQE>

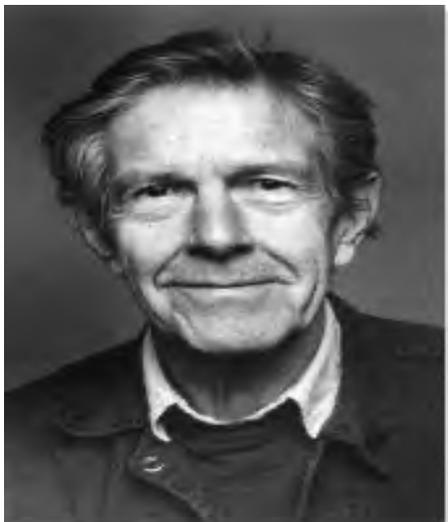
5.4 Interculturalism

The aftermath of World War II was a time of international reconnecting in all areas of politics, economies, and cultures, during which the United States emerged as one of the most powerful nations and opened its door for immigrants from the East, resulting in greater diversity across the land. On the other hand, the United States experienced internal conflicts, such as the Civil Rights movement, the Vietnam War and antiwar protests, and extremist political views. Many young Americans became skeptical about the teachings of Christianity and the practices of democracy. Some of them directly confronted systems to demand change, and others sought to find religious and spiritual alternatives in Eastern ideas and beliefs including Hinduism, Buddhism, Taoism, Confucianism, Islam, and Judaism. Forming a countercultural movement among the youth, these movements and associated musical phenomena had a considerable impact on the progress in music in the United States. In recent decades, the idea of interculturalism has been promoted globally as a way of preserving tradition and building originality, and as a method of active response to rapidly changing surroundings beyond the political and cultural boundaries.

John Cage, “Our Spring Will Come” (1943)

Cage composed “Our Spring Will Come” for African American dancer Pearl Primus (1919–1994) in 1943. This piece is intended for a “prepared” piano. Cage gave very specific instructions for how to prepare the traditional piano by inserting such objects as screws, nuts, and pieces of bamboo onto or in between the inside strings of the piano so that each key would play a particular sound rather than the pitch and tone it conventionally plays. The original conception is that this piece is to be played while a poem by Langston Hughes (1901–1967) is read. Hughes was an African American Poet Laureate of the United States as well as a social activist who raised a racial and cultural consciousness among Black people and their cultures during the Harlem Renaissance of the 1920s–1930s. With a hope and vision, Hughes’s poem for this piece ends with the phrases, “We are like those rivers / That fill with the melted snow in spring / And flood the land in all directions / Our spring will come.”

- Listening: John Cage, “Our Spring Will Come” (1943)
https://youtu.be/1A3C_X-awnI



John Cage
(Ann Keyvan, CC BY-SA 4.0 <<https://creativecommons.org/licenses/by-sa/4.0/>>, via Wikimedia Commons)



Langston Hughes (1942)
(Jack Delano, Public domain, via Wikimedia Commons)

John Coltrane, “Acknowledgement” from *A Love Supreme* (1965)

In the last few years of his life, jazz saxophonist John Coltrane (1926–1967) came to equate his music with his relationship to God. In 1964, Coltrane departed from the African American Methodist Episcopal church and shifted his interest to Eastern mysticism. By this phase of his life, he had studied Islam and Hinduism but had declared, “I believe in all religions.” *A Love Supreme* was a spiritual and devotional album. Coltrane titled the four songs of it “Acknowledgement,” “Resolution,” “Pursuance,” and “Psalms.” The first song presented here is an acknowledgment of indebtedness and thankfulness for divine love, which includes Coltrane’s chanting of the album’s title “A Love Supreme.”

- Listening: John Coltrane, “Acknowledgment” from *A Love Supreme* (1965)
<https://youtu.be/fth9UUa1Mfw>

Tan Dun, “Crouching Tiger, Hidden Dragon” (2000)

The film *Crouching Tiger, Hidden Dragon* made an impact in theatres not only because of the remarkable special effects of fighters flying through the air but also because of the film score composed by Tan Dun (b. 1957), whose work was honored with Academy, Grammy, and BAFTA awards. To record this score, he enlisted the Shanghai Symphony Orchestra, the Shanghai National Orchestra (of traditional instruments), and the Shanghai Percussion Ensemble, plus the legendary performer Yo-Yo Ma (b. 1955) to play the cello solos. At its heart, the music is in a Chinese style, but it is “translated,” or reinterpreted, for American audiences. Dun’s goal was to create a composition that represents the connection between East and West and thereby the contemporary United States. He was especially interested in the ancient music of the Silk Road. Behind the score, Dun integrated the performance techniques and articulation of Silk Road instruments, and folk melodies. He included many indigenous instruments of the Silk Road, including tar (a North African frame drum), bawu (a bamboo, copper-reed flute which came into China from Southeast Asia), and rawap (a high-pitched, plucked string instrument of the Taklimakan desert region), as well as Chinese erhu (a bowed string instrument) and dizi (bamboo flute), blending them with a Western classical orchestra.

- Listening: Tan Dun, “Crouching Tiger, Hidden Dragon” (2000)
https://youtu.be/VcUgBJu_XQI?list=OLAK5uy_m3W3UTRPO_5a_navEzytYCy42e0nYfrq4



Tan Dun

(en:User:Iluv2write at en.wikipedia.org, CC BY-SA 3.0 <<https://creativecommons.org/licenses/by-sa/3.0/>>, via Wikimedia Commons)



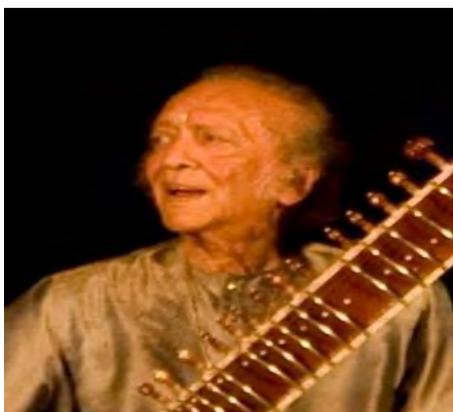
Yo-Yo Ma (2013)

(Ralph Daily, CC BY 2.0 <<https://creativecommons.org/licenses/by/2.0/>>, via Wikimedia Commons)

Ravi Shankar and Philip Glass, “Ragas in Minor Scale” from *Passages* (1990)

This piece is from an album produced by the collaboration of Indian composer-musician Ravi Shankar (1920–2012) and minimalist composer Philip Glass (b. 1937). The two individuals demonstrated together how the Indian **ragas** (system of scales) could be used in a minimalist fashion, and how the musical processes could be blended with the Indian **talas** (system of rhythmic patterns). The concept of tala was applied in the form of a meter change, which indicated the regrouping of rhythm similar to the procedure of the actual Indian composition. “Ragas in Minor Scale” employed Indian Hindustani instruments, such as the sitar and tabla as well as Western instruments, especially the cello to imitate the sound of veena, an ancient plucking instrument rooted in Hindu culture, traditionally associated with the Hindu Goddess Saraswati.

- Listening: Ravi Shankar and Philip Glass, “Ragas in Minor Scale” from *Passages* (1990)
<https://youtu.be/60HvrFmkyFA>



Ravi Shankar (2009)

(Ravi_Shankar_2009_crop.jpg: *Ravi Shankar 2009.jpg: Alexandra Ignatenkoderivative work: Hekeruiderivative work: ChaudhryAzan, CC BY-SA 3.0 <<https://creativecommons.org/licenses/by-sa/3.0/>>, via Wikimedia Commons)



Philip Glass

(MITO SettembreMusica, CC BY 2.0 <<https://creativecommons.org/licenses/by/2.0/>>, via Wikimedia Commons)

Steve Reich, "Tehillim," Mov. II (1981)

Drawing on his roots in Judaism, Reich composed *Tehillim* (Hebrew for "Psalms" or "praises"), which is based on the Book of Psalms. Composed for four voices, woodwinds, strings, two electronic organs, and percussion, this piece provides a variety of textures and colors in the instrumentation. There is no steady rhythm because Reich wanted the natural rhythm of the text to be the guiding principle, in accordance with the tradition of Jewish folk music. With a rather short text to set, it is presented as a theme and variations. Rather than the phase shifting that was found in his "It's Gonna Rain," Reich uses the repetition of small cells of music and rhythms to create a joyous, dance-like piece. There is no break between the sections of this composition in live performance, which may cause this movement to sound as if it begins and ends rather abruptly when it is pulled out of the context of the entire work.

- Listening: Steve Reich, *Tehillim*, Mov. II (1981)
<https://www.youtube.com/watch?v=KxugR-jyLek>

PART II: MUSIC AND SOUNDS

Overview

In previous chapters, we have studied ideas and beliefs that originated from various regions of the world and have become the foundations for the philosophical and aesthetic principles of American music-making and its value systems. The focus of our discussion now extends to the details of the associated styles and sounds, with specific regard to the key elements of music—**emotion, form, timbre, rhythm, meter, melody, harmony, and texture**. As we will discover, these elements have been perceived, utilized, and developed differently in each sphere of music, owing to the individual preferences of composers and performers involved as well as the different orientations and subcultures steered by audiences' expectations.

Chapter 6 Emotion

Key Terms and Concepts

Emotion

Affect or Affection

Character

Ethos

Feeling (Communal versus Individual)

“Swing,” “Feel,” or “Swing Feel”

“Rock”

Groove

Impassivity

Emotion is subjectively experienced feeling and is often an intuitive response to a musical object. By relying less on conscious recourse to thought, observation, or reason than on the affective aspect of consciousness, emotion sets itself apart from the other key elements of music. On the other hand, emotion is not solely subject to the innate feelings of an individual, but it is also influenced by, or at least the way of expression of it is mediated by, external factors such as cultural conventions, social mores, and standards of group behavior. Subsequently, the nature, intensity, and importance of emotion are projected differently in every type or style of music. Historically, some music is believed to provide both cognitive and ethical benefits, along with emotional and aesthetic pleasure. In other music, emotion serves as a judgment or attitude before taking a particular situation as good or bad and thus reacting to it with happy or sad feelings, or in some cases, irrational feelings that lack a particular reason. Just like the other key elements of music, emotion is an area of complex study in music through which we understand the mysterious process of shifting from the arousal of feelings to a mindful experience in each type of music, while acknowledging the reciprocal relationship between emotional and intellectual listening practices, and the interaction between musical and extramusical elements.

6.1 Affect or Affection

Affect or **affection** is a term in which rationalist thinkers in seventeenth-century Europe conveyed a state of mind. It was viewed as static in general, though external stimuli could alter its consistency. René Descartes (1596–1650), a French thinker who is known for the statement “I am thinking, therefore I exist,” approached affect synonymously with humor and passion, without much

differentiation of each emotion's nature and intensity. In his *Passions of the Soul* (1649), Descartes identified six basic affections—love, hate, joy, sorrow, wonder, and desire—and explained that any others must be compounded from these. Descartes's understanding of the states of the human mind and the power of stimuli that can lead one state of mind to another was echoed by his contemporaries. According to their theory, the goal of arts including music was to move the audience to the composer's intended state or **character** of mind. For this goal, composers devised distinct musical figures and gestures that were associated with different affects. Whereas, audiences and music theorists were expected to identify these gestures as the sonic representations of the perceived affections. Examples of musical gestures include descending melodic gestures as a representation of a sigh and tears of sorrow in contrast to fast-moving ascending melodic figures for fire and anger, various dance rhythms and accentuations for the associated individual and nationalistic characters, and chromatic harmonies for pain and death.

Cesare's aria "Empio, dirò, tu sei" ("I say that you are ungodly") from George Frideric Handel's Italian opera *Giulio Cesare* ("Julius Caesar"), Act I, Scene 7 (1724) demonstrates the affection of hate in music. As Cesare condemns Ptolemy for his cruelty in beheading their military rival, Cesare expresses frustration and anger by means of harsh tone and sharp attacks in singing the words, disjunct melodic lines, and the continuously rising and falling melisma above the vowel "à (ah)." Corresponding to Cesare's fury, the accompaniment of string instruments with a harpsichord intensely moves around and elicits the dominating affect. When the first section returns at about 2:00, Cesare's rage gets intensified through even more fluctuating melodic lines and harsher tone by the improvisation of the singer who modifies some of the original melodic contours, corresponding to the volatile emotional state.

This aria exemplifies an early fascination with music's ability to express the affection of hate, not as a negative emotion but as a natural state of the human mind. Advancing Renaissance humanists' interest in body and mind and their exploration of it in Italian secular songwriting, Baroque composers wrote operas on stories from ancient Greek mythology and history and dramatized the association between character and affect on the operatic stage. While the sung drama is performed—cruelty is responded to with rage in this aria—the audience's state of mind is to be moved temporarily to the intended state of the music. This idea of music as a powerful force controlling the listener's mind relates to the ancient Greek belief in **ethos** (loosely translated as emotion or ethical character), in which music exerts the power to change, not just influence, the character and behavior of an individual. The type of music is thus to be chosen with care, and if it is done properly, music serves as an important means of education, especially in building brave and loyal characters and behaviors among young citizens.

- Video to Watch: Cesare's Aria "Empio, dirò, tu sei" ("I say that you are ungodly") from George Frideric Handel's Italian Opera *Giulio Cesare*, Act I, Scene 7 (1724)
<https://youtu.be/uXBOOf43cYQ>

[Italian] Empio, dirò, tu sei, togliti a gli occhi miei, sei tutto crudeltà.
Non è da re quel cuor, che donasi al rigor, che in sen non ha pietà.
Empio, dirò, tu sei, togliti a gli occhi miei, sei tutto crudeltà.

[English] Merciless, I will say, you are, take off from my eyes, you are all cruelty.
It is not like that heart, that gives itself to rigor, that has no place for mercy.
Merciless, I will say, you are, take off from my eyes, you are all cruelty.¹

6.2 Feelings (Communal versus Individual)

Rationalist and Enlightenment thinkers in the later eighteenth century also recognized feelings as affective consciousness but were inclined to view them not as a passive response to what has happened or is conveyed but as a property shared by the community. This perception of feelings as **communal** had a direct bearing on the mainstream of early American musical thinking and performing in Catholic and Protestant churches, singing schools, and choral societies. Compositions and performances were often intended to convey feelings that would be embraced by the community as a means of educating and edifying themselves within the trajectory of their teachings. Even in smaller, private musical gatherings, as well as in ritualistic services of many other religions, music played an instrumental role in assuring communal, sympathetic feelings, while promoting the ideas of betterment and sociability among the members of the community.

One of the instrumental music genres that traditionally foster the spirit of conviviality on the basis of reason and sentiment is the **string quartet**. Without a conductor, the four performers of string instruments, which include one first violinist, one second violinist, one violist, and one cellist, play music for themselves or for what was originally a small audience. With a strong hold of moral consciousness in music making, at least at the beginning of the genre's development, it is customary that the performers carry individual melodic lines on an equal footing, while creating a sense of support for one another. The German poet and musical connoisseur Johann Wolfgang von Goethe (1749–1832) once described this democratic procedure of music-making as “four rational persons conversing together.”² This fellow-minded spirit to an extent overlaps with the ideals of the then-contemporary French Revolution (1789–1799)—freedom, equality, and fraternity—pointing to the cultural context of the genesis of the string quartet.

The second movement of Joseph Haydn's “Emperor” String Quartet, op. 76, no. 3 (1797), whose recognizable theme is shared as the national anthems of Austria and Germany today, embodies the concept of communal feelings, connecting whoever consciously or subconsciously recognizes the tune. It was originally *The Emperor's Hymn*, a melody Haydn himself had composed in honor of Emperor Franz II, but after it was circulated in public as a patriotic song set to the text “Gott erhalte Franz de Kaiser” (“God preserve Franz the Emperor”) during the Napoleonic wars, Haydn brought back and adopted it as the theme of the second movement of his string quartet. Today, this tune is frequently heard in Protestant churches with different sacred texts as well as in the World Cup and Olympic games as the Austrian and German national anthems. Without the original context of wartime sentiments, this tune, and the “Emperor” String Quartet,” engages both sacred and secular audiences, evoking similar collective and positive feelings of pride and patriotism that intersect with the composer's intention and the expectation of the audience of his time.

- Video to Watch: Joseph Haydn, “Emperor” String Quartet, Op. 76, No. 3, Mov. II (1797)
<https://youtu.be/mBmCcSz6HWw>

In addition to communal feelings, there are feelings that are identified more as **individual**, personal, not always rational, and intimate in music. They are commonly conveyed by a solo instrument, particularly by the piano. The gradual advancement of the **pianoforte** (or fortepiano), which had fewer keys on its keyboard, to the modern piano with the expansion to 88 keys and a better mechanism of key action and pedals made it possible for composers and performers during the nineteenth century to explore individual ways of expressing various moods and feelings. From an intimate confession to a fiery statement, and a poetic touch to a blazing display of bravura,

artists' imagination gradually reached beyond the music's ability to move the audience toward a single state of emotion. By the nineteenth century, composers had begun to explore the mood or character of a particular image, idea, situation, or feeling, corresponding to the spirit of time often represented by romanticism, individualism, and subjectivism.

Frédéric Chopin's *Nocturne in Eb Major, op. 9, no. 2* (1830–1832) expresses personal, nuanced feelings through the solo sound of the piano, while inviting the listener to an intimate dialogue with the music in the imaginary space of “night.” Popular in nineteenth-century literature and music, the theme “night,” as well as “death,” provides room for feelings of comfort and rest. Straying away from the negative connotations of the two as of “punishment” in Christian theology, the protagonist of “night,” as well as that of “death,” makes possible things that are not usually allowed to happen during daylight or while being seen by others, as frequently portrayed in songs and operas of that time. Here in Chopin's *Nocturne*, the right hand of the piano “sings” a personal, swaying melody over the left hand's steady rhythm and agreeable harmony. The ebbs and flows of subtle dynamic and tempo changes add to the perceived intimate feelings, taking the listener to the unknown world of night filled with the freedom for imagination and fantasy.

- Video to Watch: Frédéric Chopin, *Nocturne in Eb Major, Op. 9, No. 2* (1830–1832)
<https://youtu.be/-2y14caU3sg>

6.3 “Swing,” “Feel,” or “Swing Feel”

As emotion adds a particular flavor to the execution of each composition in classical music, jazz also involves emotion as a significant element in realizing various combinations of the key elements of music. Though utilizing almost the same fundamental elements of music, including melody, rhythm, harmony, and texture, jazz is distinguished from classical music by approaching and expressing those musical elements in a more relaxed manner: hence, the associated emotion is referred to as “**swing**,” “**feel**,” or “**swing feel**” in jazz. While the term “swing” indicates the style of jazz popular in the 1920s–1940s, characterized with the popularity of “swing dance” and **big band** or jazz orchestra music, the term owes much to the spirit of freedom by which jazz musicians tend to play just slightly behind the beat (the musical pulse), differing from classical musicians who are usually expected to attack precisely on the beat. This practice of off-beat phrasing, also called **syncopation**, points to the underlying distinct emotion of jazz, although it is also found in various types of traditional music and incorporated in classical music, as well.

Benny Goodman (1909–1986) and his orchestra's recording of “Sing, Sing, Sing” (1937), arranged by Jimmy Mundy (1907–1983), is an iconic example of the spirit of “swing” in jazz. The members of the big band vigorously articulate the downbeat, along with the stirring backbeat in a metrical grouping of two. The symmetrical duple division, fairly natural to the human body and movement, readily invites the audience to the dance floor. The main melody (also called the “**head**” in jazz) flows around rather effortlessly, and each solo instrumental player tosses it around in a flexible manner. Over the propulsive drum, clarinet (0:58), tenor saxophone (4:06), trumpet (5:34), and then clarinet (6:42) improvise the melody in turn. Such a lively and carefree spirit becomes notable, perceived as “swing,” “feel,” or “swing feel,” a distinct feeling that comes with the style and sound of jazz.

- Listening: Benny Goodman and His Orchestra, “Sing, Sing, Sing” (1937)
https://youtu.be/u_E0UVNtJ9Y



Benny Goodman and His Orchestra
(Film screenshot, Public domain, via Wikimedia Commons)



Benny Goodman Concert at the Oakland California Dance Hall on 26 April 1940
(Rondal Partridge; National Archives at College Park, Public domain, via Wikimedia Commons)

6.4 “Rock”

As the swing style began to decline in popularity at the end of the 1940s, the spirit of popular music gradually shifted from “swing” to “rock and roll” or “rock.” The feelings of hypnotically organized steps and moves were replaced with those of excitedly bouncing and jumping bodies, along with yelling and screaming. Reflecting the countercultural demands of postwar white middle-class teenage consumers, the term “rock and roll” was borrowed from African American slang by the disc jockey Alan Freed (1921–1965) in 1951. The feeling of “**rock**” in proximity to that of sexual intercourse came into new association between white teenagers and black rhythm and blues (R&B). Rejecting their elders’ hardships, moral standing, and cultural segregation, the fans of early rock and roll found their own mode of expression with the driving pulse of “rock.”

Chuck Berry’s “Roll Over, Beethoven” (1956), with its exaggerated title and content, claimed a new status in American music culture during the mid-twentieth century, not by classical music but by popular music. Causing a cultural war between the generations of teenagers and their parents, the lyrics openly call attention to black music and the tradition of rhythm and blues. Although the “rocking and rolling” mentioned in the song indicates the rise of rock and roll as a new genre of popular music, what is really promoted here is rhythm and blues, the stylistic novelty and emotional intensity of which it was assumed would surprise even classical legends, such as Beethoven and Tchaikovsky. With a new emotional and physical energy, alluded to in the lyrics, the accentuated backbeat over the repeated rhythm and harmony generates the feeling of “rock” and entuses the audience to shake their bodies. Against the proprieties of middle-class life during the postwar era, contemporary white youngsters consciously and subconsciously appropriated rhythm and blues as their musical identity in search of emotional truth and fun.

- Video to Watch: Chuck Berry, “Roll Over, Beethoven” (1956)
<https://youtu.be/jLD5H4uQ1xs>

6.5 Groove

Groove is an elusive term that attempts to capture a vital drive or rhythmic propulsion that urges the body to sense or move to the beat with subtlety. It is also a process or an effect of a musician’s

personalized manipulation of highly repetitive musical pulse and its interactive motion with rhythm, texture, and harmony. In the aura of groove, the beat remains irresistible, yet not overbearing on the listener's ear in comparison to other elements of music. As a sustaining vibe with suppressed intensity, groove provides a sense of life and energy, notably in jazz and popular music, especially in funk.

To say the least, James Brown (1933–2006) invented what is today known as funk and its groove. Pushing his rhythmic style forward in the mid 1960s, and fusing it with soul, Brown conceived of what is known as “**funk beat**,” in which the first beat of each measure is attacked hard, while having the backbeat still accented within the lineage of traditional rhythm and blues. Sacrificing melody for rhythm, and chord changes for groove, his entire band turns into one rhythm section. The aggression of off-beat bass lines, drumbeats, and horns drives his vocals to interplay percussively and tirelessly with the other instruments. Brown's notable style and sound as funk envisioned the fundamentals of disco and hip-hop, and his records have been sampled widely in hip-hop circles.

Clyde Stubblefield's **drum break** (a brief drum solo) in Brown's “Funky Drummer” (1969), sampled later in Public Enemy's hip-hop “Fight the Power” (1989), is one of the most recognizable and popular funk grooves of all time. At around 4:30 of the song, Brown musically speaks to his band, acknowledging the drummer. After a while, Brown counts to four and gives a cue for Stubblefield to let loose. The drums play the memorable solo, while the vocals counterplay it, and after Brown counts to four again, other band members come back in, eventually fading away as Brown repeatedly invokes the title of the song “Funky Drummer.” Throughout this song, all the forces—drums, organ, guitar, horn, and the vocals—maintain their individual parts with colorful tones, while being blended into a single undercurrent groove.

- Listening: James Brown, “Funky Drummer” (1969)
<https://youtu.be/dNP8tbDMZNE>



James Brown at the Musikhalle of Hamburg in February 1973
(Heinrich Klaffs, CC BY-SA 2.0 <<https://creativecommons.org/licenses/by-sa/2.0/>>, via Wikimedia Commons)



Clyde Stubblefield with Michael Feldman's Trio in 2005
(Paul VanDerWerf, CC BY 2.0 <<https://creativecommons.org/licenses/by/2.0/>>, via Wikimedia Commons)

6.6 Impassivity

It is conventional wisdom that emotion in texted music, or primarily vocal music, comes from the affect of the text and the music's sensitive response to it. Songs in classical music are composed to reflect this aesthetic as closely as possible, often through a device called **word painting** or **text**

painting. When the text evokes somber moods, for example, the music is designed to convey the corresponding feelings, typically including descending melodic lines, slow-paced rhythms, and dissonant harmonies. It is then the singer's responsibility to deliver the perceived emotion in a creative and effective manner. However, this is not universally true in all music. In British American traditional ballads and modern representations of them, such as bluegrass songs and protest songs, there is not always an emotional congruence found between text, music, and the manner of delivery of the song. Emotional detachment can be detected in songs that cynically deal with political and social issues in association with innocent people's pain and suffering, such as Billie Holiday's "Strange Fruit" (1939), Laurie Anderson's "O Superman" (1981), and Tupac Shakur's "Changes" (1992). The seeming absence of emotion does not mean that the song would not bring about any emotional experience at all, however. It is a stoic method of expression in the performance of such folk-related genres and postmodernist works with implicit political messages. Intriguing to many listeners today, who have been so used to emotional delivery in accordance with the dominating emotion of the text, **impassivity** appears as a particular concept of emotion and a novel approach to modern and postmodern songs which often results in a peculiar experience of spiritual renewal.

Bob Dylan (b. 1941)'s style of songwriting and performance in the 1960s made an indelible mark on American popular music. The puzzling marriage of caustic words and joyous music was added to his remarkable, unemotional delivery. Ironically empowering the message of the song, Dylan's stoic approach to the issues of the civil rights movement resulted in a new style and sound, mirroring his indebtedness to the traditions of British folksongs and their variants in North America. Similar to the monotonous expression of ballad singers in the Appalachian Mountain region, which has been built on the tradition of British narrative ballads brought by early immigrants, Dylan in singing is observant yet emotionally silent to what is happening to the protagonist, as if the suffering seemed too grave to express. In "A Hard Rain's A-Gonna Fall" from *The Freewheelin' Bob Dylan* (1963), for example, the prevailing emotion of woundedness felt in the lyrics contrasts with the emotion of the gleeful music. Dylan's seemingly indifferent delivery obscures the boundaries of good and evil as well as hope and despair. This song, though highly original, is in effect modeled on the old Scottish ballad "Lord Randal" (Child 12), a dialogue between a mother and her son, who returns from a visit to his sweetheart only to realize that he has been poisoned. In Dylan's song, despite the music's counternarrative mode, the text progresses, deepening its meaning. As the protagonist answers a succession of questions, the listener senses the message deeper and better, with an ultimate call to action. The tension built through each strophe is, however, released in the short refrain that echoes the title of the song. Through this process of push and pull, and with a journalistic point of view, Dylan seeks a way of comprehending the world, allowing the listener to experience an emotional catharsis.

- Lyrics of "A Hard Rain's A-Gonna Fall" from *The Freewheelin' Bob Dylan* (1963)
<https://www.lyrics.com/lyric/211976/Bob+Dylan/A+Hard+Rain%27s+A-Gonna+Fall>
- Video to Watch: Bob Dylan, "A Hard Rain's A-Gonna Fall" from *The Freewheelin' Bob Dylan* (1963)
<https://youtu.be/hXn9ZKPx6CY>



Billie Holiday at the Downbeat Club in New York City (ca. 1947)
(William P. Gottlieb, Public domain, via Wikimedia Commons)



Bob Dylan at Civil Rights March in Washington, D.C. on 28 August 1963
(Rowland Scherman, Public domain, via Wikimedia Commons)

Chapter 7 Form

Key Terms and Concepts

Form

Strophic Form

Verse-Chorus or Verse-Refrain Form

12-Bar Blues Form

32-Bar, Tin Pan Alley Song Form

Da Capo Form

Through-Composed Form

Free Form or No Form

Theme and Variation Form

Binary Form

Ternary Form

Ritornello Form

Rondo Form

Sonata Form

Form is a structural design of music that provides conceptual boundaries for musical and extramusical ideas for a certain length of time. It can serve as an external scheme in which the composer puts together the components of music. At the same time, it can occur as an outcome of the composer's or performer's creative process that generates musical and extramusical activities with a particular interest or purpose.

The concept of form crosses the listener's mind when a portion of music is repeated or returns. It is often necessary to listen to the music several times in order to figure out the structural plan. The basic principles that are involved in musical forms are **repetition**, **contrast**, and **variation**. Working interdependently, they articulate the organization of music: beginning, middle, and ending. However, some music does not involve any notable repetition or return of materials, making the organization less obvious. It continuously unfolds varying or contrasting musical ideas, without much concern for conventional musical structures or with the free-form design of having no explicit structure. In any case, the listener's attempt to identify the form by listening alone stimulates both sensorial and mental faculties, forging a closer relationship with music from its larger scheme to the details.

7.1 Vocal Music Forms

A lot of vocal music heard and studied in American music basically outlines one of three forms: **strophic**, **da capo**, and **through-composed**. Each form has produced variants, as well, in association with different styles and genres of music. Strophic form has expanded to include a modified strophic form in classical vocal music, while it has taken new directions in popular and jazz music, including verse-chorus, 12-bar blues, and 32-bar (common with Tin Pan Alley) song forms. Da capo form particularly developed with the convention of Italian opera during the Baroque Era, in which the castrato (a type of high-pitched male voice caused by childhood surgical castration) sings a tripartite aria (ABA'), embellishing the final section, which is a repeat of the first section but with great virtuosity and emotional intensity. Apart from these forms is a structure that is known as through-composed form, which is unchained by the principles of repetition, contrast, and variation, to explore a more nuanced narrative in both text and music.

7.1.1 Strophic Form and Modified Strophic Form

Vocal music in **strophic form**, following the structure of a poetic text set to music, repeats the same music for each strophe or stanza. For its simplicity, a large number of songs, ranging from various religious hymns through children’s rhymes to art, popular, and folk songs, have been conceived in strophic form. Though it seems the most basic form primarily governed by the principle of repetition, it has diversified into several forms in different genres of music. In order to make the strophic song more interesting in composition as well as in improvisatory performance, musicians shift the harmonic mode from bright to dark, or vice versa, in between strophes. Another technique involves embellishing the melody, changing the accompaniment style, and playing an entire strophe with instruments alone (sometimes as a “bridge” between sung strophes), in a **modified strophic form**.

7.1.2 Verse-Chorus or Verse-Refrain Form

In popular vocal music, strophic form has been modified into **verse-chorus** or **verse-refrain form**, and it has become probably the most well-liked structural plan. As occurs with strophic form in general, each strophe repeats the same music. In text, however, each strophe consists of contrasting two sections known as the verse and chorus. The former is usually longer than the latter. While the verse has a different text for each strophe, the chorus remains the same, providing a sense of rhyme. Correspondingly, the music of the verse closely conforms to the text, without much musical variety, whereas the music of the chorus assumes catchy melodies, a higher level of dynamics, and emotional heights, thereby drawing much more attention from the listener.

Jack Norworth and Albert von Tilzer’s song, “Take Me Out to the Ball Game” (1908), whose chorus is traditionally sung in the middle of the seventh inning of baseball games in the United States, outlines a verse-chorus form. Reflecting public enthusiasm for major and minor baseball leagues at the beginning of the twentieth century, the first verse tells a story about a character named Katie Casey whose boyfriend called to see if she wanted to go to a show at the theater. Her response was that she wanted him to take her to a ball game. In the second verse, then, the story changes to describe Katie’s enthusiasm about baseball games, to the point that she went to all the games, knew all the players by their first names, and even critiqued the umpire. While the story progresses throughout the verses and becomes more comical, the chorus consistently returns, unchanging and in an enthusiastic first-person narrative.

- Video to Watch: “Take Me Out to the Ball Game,” Words by Jack Norworth and Music by Albert von Tilzer (1908)
<https://youtu.be/q4-gsdLSSQ0>

7.1.3 12-Bar Blues Form

Another variant of strophic form in popular music is **blues form**. It originated from the blues, a genre which has brought at least a dozen subgenres in country, gospel, and other styles of music, influencing their modes of presentation and structural plans. The 12-bar blues form repeats the same music in every strophe or “verse.” Typically, each verse consists of three lines, outlining an AAB structure. Each line, commonly set in quadruple meter in early blues, takes four measures or bars. When all the lines are sung, or one entire verse is completed, the result is a total of twelve measures.

The textual spirit of the blues involves expressing frustrations about personal problems whose burdens are alleviated through music, and a blues song can include an almost unlimited number of verses. In Muddy Waters's "Standing Around Crying" (1952), after the four-measure instrumental introduction, each verse presents three lines interspersed with a soulful guitar and a wailing harmonica; when three verses have passed, the music fades away without a conclusive ending. As the blues has diversified into many subgenres, the lyrical structure of AAB has not always been strictly followed, while the fundamental musical 12-bar blues form has simultaneously continued to survive as a distinctive form not only in blues music but also in many different genres, especially in jazz, which often incorporates and manipulates the 12-bar form. Particularly, the blues-influenced New Orleans-style jazz at the beginning of the twentieth century frequently based its structure on the 12-bar form. In Louis Armstrong's "West End Blues" (1928), the improvisatory solo trumpet introduction is followed by a total of five sections. Each section, generally called a "chorus" among jazz musicians, has a 12-bar form in quadruple meter, featuring a different solo instrument that improvises with a different combination of sounds and textures.

- Listening: Muddy Waters, "Standing Around Crying" (1952)
<https://youtu.be/zPtZnnhq-xY>
- Listening: Louis Armstrong and His Hot Five, "West End Blues" (1928)
<https://youtu.be/4WPCBieSESI>

7.1.4 32-Bar, Tin Pan Alley Song Form

Another influential formal structure in American jazz and popular music is the so-called **Tin Pan Alley song form** or **32-bar form**. During the late nineteenth and early twentieth centuries, Broadway show tunes and other hit songs were published in the "Tin Pan Alley" district, where a number of music publishing companies and songwriters were located at West 28th Street between Fifth and Sixth Avenues in Manhattan, New York City. The 32-bar form, frequently in quadruple or duple meter, was the most popular structural design, alongside the familiar verse-chorus and 12-bar forms. Operating on the principles of strophic form, the 32-bar form outlines an AABA structure, at times for an entire song, as in Harold Arlen's "Over the Rainbow" from *The Wizard of Oz* (1939), and other times only in the chorus of songs in an overall verse-chorus form, as in the chorus of "I Got Rhythm" from George Gershwin's musical *Girl Crazy* (1930). As these tunes became popular in the repertory of jazz or **jazz standards**, the 32-bar form has found a new role as a structural platform on which a number of original tunes were conceived to showcase legendary musical improvisations.

- Video to Watch: Harold Arlen, "Over the Rainbow" from *The Wizard of Oz* (1939)
<https://youtu.be/PSZxmZmBfnU>
- Video to Watch: The Chorus of "I Got Rhythm" from George Gershwin's Musical *Girl Crazy* (1930)
<https://youtu.be/v4hI-xhGZug>

7.1.5 Da Capo Form

Da Capo form in classical music, often found in the arias of Italian Baroque operas, exercises the principles of repetition, contrast, and variation. As the Italian term *Da Capo* ("from the head")

indicates, a song in da capo form makes a statement, contrasts it with a new statement, and then repeats the initial statement with improvisation. Tracing an ABA' structure, with a definite sense of closure at the end of each section, this form is similar to ternary form in instrumental music. Cesare's aria "Empio, dirò, tu sei" ("I say that you are ungodly") from Handel's Italian opera *Giulio Cesare*, Act I, Scene 7 (1724), discussed above with regard to the affection of hate, follows a da capo form. When the first section returns at about 2:08, Cesare's rage gets intensified by the singer's dramatic improvisation.

- Video to Watch: Cesare's Aria "Empio, dirò, tu sei" ("I say that you are ungodly") from George Frideric Handel's Italian Opera *Giulio Cesare*, Act I, Scene 7 (1724)
<https://youtu.be/uXBOOf43cYQ>

7.1.6 Through-Composed Form

In contrast to the strophic song form that repeats the same music throughout every strophe, regardless of the text's changing content, songs in **through-composed form** can tell a story in a nuanced manner, corresponding to the varying emotional contour of the content. No significant portion of music repeats or returns, though some melodic or rhythmic gestures could recur throughout the song as unifying devices. By progressing the story and music in a chronological order, the through-composed form helps create a sense of drama.

Franz Schubert's "Erlkönig," D. 328 ("Erl-King" or "Elf-King," 1815) is a German art song (called **Lied** in German) sung by a soloist with piano accompaniment. The music is set to a poem of the same title written by Johann Wolfgang von Goethe (1749–1832). The poem describes a dreadful night during which a father rides a horse with his feverish son in his arms. The boy cries out in fear, hearing the supernatural Erl-king's enticing voice promising to take him somewhere that is pleasurable and comfortable, while the father constantly tries to calm his son. When they arrive home, the boy is found dead in his father's arms.

For the poem originally written in a strophic form, Schubert crafted through-composed music in which he deftly embedded four characters—narrator, father, son, and Erl-king—by differentiating vocal registers and melodic contours for the solo singer who is to portray all the characters. The narrator's part stays in the middle register, without much emotion. Meanwhile, the father's lines are in the low register and in a serious tone, and the son is positioned in a higher register with a frantic vocal quality. Finally, the Erl-king sings an undulating melody in a suspiciously bright harmonic mode. The piano accompaniment adds to the intensity of the journey with rapidly pounding triplet figures, simulating a galloping horse that urgently carries the father and his son. Whenever the Erl-king interferes with his sweet and soft voice, as implied in the text, the piano accompaniment temporarily changes to gently bouncing steps, magically calming down the horse's hoof beats and eventually taking the son away to his death. Apart from the regularity heard in the text, the through-composed form contributes to the seamlessly unfolding story with a high sense of drama.

- Lyrics of Franz Schubert, "Erlkönig," D. 328 (1815)
<https://www.oxfordlieder.co.uk/song/1420>
- Video to Watch: Franz Schubert, "Erlkönig," D. 328 (1815)
<https://youtu.be/5XP5RP6OEJI>

7.2 Instrumental Music Forms

Instrumental music forms have developed in proximity with vocal music forms. Apart from free form, equivalent to through-composed form in vocal music, most instrumental music forms are structured on the principles of repetition, contrast, and variation, as well. Popular in Western classical music during the **common practice period** (approximately, 1680–1875) are theme and variation, binary, ternary, ritornello, rondo, and sonata forms, along with their variants and, at times, combinations. Non-Western music, though broad in range and different in terminology, to an extent outlines similar conceptual boundaries and narrative structures, as will be discussed in detail with select examples in Part III.

7.2.1 Free Form

Free form creates a particular narrative, image, or mood in instrumental music, especially involving a solo instrument, such as the lute, the Middle Eastern oud (similar to a lute), guitar, or keyboard instruments. Compositions in Western classical music that come with such characteristic titles as “ricercar” (literally, “research or search”), “fantasia,” “rhapsody,” and “prelude” are often free in form and inspiration. Likewise, the opening slow section of raga in Indian classical music, called **alap**, extemporizes from a mere minute to an hour, depending on the taste of the performer and the interest of the audience. With an air of spontaneity, these compositions are intended to capture subjective feelings of a fleeting moment by means of a sustained bass (also called **drone**), improvisatory passages, abrupt changes in dynamics and tempo, and contrasting moods. The accompanying image of the music is a continuous search for a theme rather than a systematic working out of it. The resultant feelings are thus often contemplative, whimsical, transient, and inconclusive.

7.2.2 Theme and Variation Form

Theme and variation form, also known as **variation form**, is one of the most used forms in instrumental music. Just like free form, it can be readily adopted by a solo instrumentalist and explored in an extemporaneous manner; yet unlike free form, it articulates the principal idea and its regular return in a series of sections that follow. Each repetition involves melodic embellishment, rhythmic augmentation and diminution, or changes in tempo, character, harmonic mode, and texture. Probably due to its accessibility and efficiency, realizing the principles of repetition, contrast, and variation in a compact form, it has been favored by both amateurs and professionals, and can be found in small-scale chamber music to large-scale orchestral music.

The second movement of Haydn’s “Emperor” String Quartet, op. 76, no. 3 (1797), which we have studied for the concept of communal feelings, is set in a theme and variation form. The theme is taken from *The Emperor’s Hymn*, a melody that Haydn himself had written in honor of Emperor Franz II and was circulated later as a patriotic song with a new text during the Napoleonic Wars. Taking advantage of the public’s familiarity with the melody, which would have been the selling point of the string quartet, Haydn presented the melody in the second movement a total of five times in a theme and variation form. The theme introduces the principal melody in the first violin, while keeping the lower strings as an accompaniment moving along with it. Variation 1, turning into a violin duet, places the melody in the second violin and creates a countermelody in the first violin. In Variation 2, the melody is given to the cello, around which the other strings weave a rich, complex texture. Unusual for that time, the cello served as a melodic instrument with its distinct tone quality, rather than functioning as an arbitrary harmonic filler of the ensemble. Contributing the melody and color essential to the musical fabric of the string quartet, the cello

claims its own entity as an obligatory accompanying instrument; hence, it is referred to as **obbligato accompaniment**, a significant change to the role of lower string instruments in the Classical period of Western art music. Accordingly, the viola takes over the principal role in Variation 3, while the other instruments control their volume to balance the viola. The following, final Variation 4 sees the theme return in the first violin. As the lower strings respond to it in full force, the four instruments altogether reach a wider range of pitches, dynamics, and expressions, heightening the communal spirit of the string quartet.

- Video to Watch: Joseph Haydn, “Emperor” String Quartet, Op. 76, No. 3, Mov. II (1797)
<https://youtu.be/mBmCcSz6HWw>

7.2.3 Binary Form

Binary form, as the name indicates, consists of two contrasting sections, **A and B**. Balanced in length and content, binary form was commonly used in Baroque dances. For the purpose of dancing, each section can be repeated immediately after the first instance of the section (AABB), each time articulating a conclusive ending. Depending on the performer’s preference, and imagining the rising excitement of dance, the repetition could involve melodic embellishment or changes in metrical grouping and dynamic level.

The concept of binary form is fairly simple, and thus it is also called **simple binary form**. However, it has developed into **balanced** and **rounded** binary forms and other adaptations to the basic form. Each of these modified forms, unlike the simple binary, involves a partial return of the A section within the B section. When listening to it without the help of a written score, it sounds like ternary form. Although it is not required to identify all these specific forms through listening alone at this introductory music course level (and it is not usually easy for experienced music majors, either), the difference is that ternary form includes a conclusive harmonic closure (cadence) in each of the three sections, while balanced and rounded binary forms remain inconclusive before the partial return of A.

7.2.4 Ternary Form

Ternary form is also common in instrumental music, and even more common than binary, probably due to the familiar rhetorical structure, **ABA**, that is found in church sermons, novels, and other forms of secular literature. In conjunction with the narrative of major-minor functional tonality (which provides a sense of “home-away-home”), the structure of ternary form (statement-contrast-restatement) provided a strong sense of organization in instrumental music, particularly during the common practice period. Originating from the Baroque dance, the minuet-trio-minuet, or later the scherzo-trio-scherzo, in ternary form became a popular design for a single composition or a signature movement of Classical symphonies, string quartets, and sonatas. Customarily, similar to da capo form in vocal music, only the first and second sections (A and B) are written on the score with the designation of **D. C.** (*da capo*, “from the top”) at the end of the second section. Following the instruction to return to the beginning, the performer plays the A section again, even though it is not written out a second time. Once the return of the A section is complete, the performer should stop at the end of the first section, as indicated by **Fine** (“end”).

Ludwig van Beethoven’s Minuet no. 2 in G Major from *Six Minuets for Piano*, WoO 10 (1796) outlines a ternary form with three distinct sections. In the first section, with some internal repetition, the two hands bounce together in a vertically synchronized manner, while changing to

move more linearly in the second section. As the music repeats the first section after the second section, the minuet completes the threefold speech with a strong sense of conclusion.

- Listening: Ludwig van Beethoven, Minuet No. 2 in G Major from *Six Minuets for Piano*, WoO 10 (1796)
<https://youtu.be/gQ-KTGqaqlA>

7.2.5 Ritornello Form

Ritornello form reached its maturity during the later Baroque period with the **concerto**, an instrumental genre that features a soloist or multiple soloists contrasted against a larger ensemble, usually in three movements, with the second movement at a slower tempo than the first and third movements. As the term **ritornello** references a “refrain” (or “brief return” in Italian), this form alternates the ritornello and solo sections throughout the movement, and the ritornello form is most often employed in fast movements. Beginning with the home key, the ritornello section recurs in a stable key, involving the entire ensemble; whereas, the solo section, with new materials, modulates to a new key for the next ritornello. As the solo displays a short, intriguing musical event in the successive story of the movement, it is thus labeled an **episode**. The ritornello form in a movement of a concerto usually includes four to five ritornello sections, interpolated with three to four episodes, eventually coming back to the home key. Ritornello form is, however, not a rigid scheme but a general organizational principle, as the number of ritornello sections is not fixed, and the concept of ritornello can be incorporated in other structural plans.

The third movement of Antonio Vivaldi’s Concerto for Flautino in C Major, RV 443 (1728–1729) outlines the following structural pattern: Ritornello 1 (ensemble)–Episode 1 (solo)–Ritornello 2 (ensemble)–Episode 2 (solo)–Ritornello 3 (ensemble)–Episode 3 (solo)–Ritornello 4 (ensemble)–Episode 4 (solo)–Ritornello 5 (ensemble). Correspondingly, the harmony changes: C major–modulation–G major–modulation–E minor–modulation–A minor/major–modulation–C major. In the ritornello sections, the entire ensemble always returns with the same material, articulating a stable harmony and thereby functioning as a musical punctuation. In the episode sections, contrastingly, the flautino (a small, high-pitched recorder) plays with more spontaneity, repeating a melodic figure at different pitch levels, a compositional method known as **sequences**.

- Video to Watch: Antonio Vivaldi, Concerto for Flautino in C Major, Mov. III (1728–1729)
<https://youtu.be/u2qkw21z5Rg> [Mov. III at 7:30]

7.2.6 Rondo Form

Similar to ritornello form, **rondo form** features several returns of the opening as well as a couple of episode-like sections within, creating a pattern of **ABACA** and sometimes more extended versions of this basic structure. Nevertheless, rondo form differs from ritornello form, in that the A section usually returns in the original key, and the B and C sections, though they modulate, do not incorporate as much spontaneity and flexibility in developing materials as do the episodes of ritornello form. More in the spirit of the Classical period than that of the Baroque, in other words, the rondo concerns more of the listener’s logical focus on structure than on the performer’s whim for virtuosity. Rondo form mirrors the compositional and performance practices of that time in favor of the premeditated management of form and content. Consequently, once the listener gets familiar with the opening through repeated listening, which is always recommended for serious-minded audiences, it is relatively easy to follow the form and predict its structure.

7.2.7 Sonata Form

Sonata form, also called **sonata-allegro form**, has been one of the most important musical forms in Western classical music, especially during the common practice period. It is often found in the first movement of multimovement instrumental genres including the sonata (a solo instrumental work), concerto, string quartet, and symphony, typically with the tempo *allegro* (fast, literally “lively”). The structural design of sonata form should not be confused with the genre of sonata. It is also noted that sonata form, though it has a basic formal pattern, has been used flexibly and differently over time. Stemming from the design of rounded binary form that features a return of the opening section, sonata form incorporates three sections in length: **exposition**, **development**, and **recapitulation**. The exposition introduces the primary and secondary themes with contrasting characters and keys; the development thoroughly explores them in fragments (**motives**), incorporating complex textures and constantly shifting harmonies; and the recapitulation features the complete return of the primary and secondary themes in the original key. Depending on the composer’s intention or the listener’s interpretation, the procedure of sonata form can involve an **originary**, **organic**, or **teleological** narrative.

The first movement of Beethoven’s Symphony no. 3 in Eb Major, op. 55, “Eroica” (1803) is constructed in sonata form. As the title “Eroica” (Italian for “heroic”) evokes, this sonata form is closely associated with a narrative of the hero’s journey. During the time of composition, Beethoven in fact had in mind Napoleon Bonaparte, a leader of the French Revolution, as the image of the symphony. He crossed out Napoleon’s name on the title page, however, when he learned that Napoleon had crowned himself emperor. Corresponding to this extramusical idea, the first movement is filled with new, revolutionary compositional ideas. The movement lasted an unprecedented length of time compared to what was typical in the early 1800s, around 16 to 17 minutes long depending on the conductor’s choice of tempo. It is loud, dissonant, almost violent to the ears, and unpredictable in procedure, despite the use of sonata form, which had previously been regarded as a structural form that would help music sound more intelligible and predictable to the audience. Especially in the development section, the primary and secondary themes get severely fragmented, pushing the journey of the music forward into the unknown. By repeating seemingly ceaseless gestures of building, thrusting, struggling, and overcoming, the movement finally achieves a triumphant ending.

- Video to Watch: Ludwig van Beethoven, Symphony No. 3 in Eb Major, Op. 55, “Eroica,” Mov. I (1803)
<https://youtu.be/fjXnSSoRxbA>

Chapter 8 Timbre

Key Terms and Concepts

Timbre

Vocal Registers

Voice Types and Ranges

SATB Choir

Vocal Styles and Techniques

Categories of Musical Instruments (Western and Non-Western)

Conventional and Non-Conventional Performance Practices

Electric and Electronic Instruments and Devices

Timbre is the tone color, specifically the quality of sound produced by each musical instrument, including the human voice. It is largely determined by each instrument's physical properties and the means by which sound is generated. Simultaneously, timbre is part of the individuality of each performer's sound, based on physical and physiological differences and ingenuity in music. When a performer produces a pitch on an instrument, it provides a distinctive tone color. Although the resulting timbre in general will fall into the conventional boundaries of a "good" sound on the instrument, it is not always possible for a performer to know by notation what was the specific timbre in the composer's mind. At the same time, every performer would produce the same pitch with a slightly different timbre, in that timbre is in effect a separate entity of pitch, yet there is no better way to specify it than auxiliary musical markings and written instructions. Like emotion, it is thus one of the most variable elements and means of expression. As performers experiment with various timbres, and the boundaries of a "good" sound are always questioned and expanding, the element of timbre seems to have open-ended possibilities. For this reason, finding one's own tone color, which commonly incorporates a particular style or technique, is an important artistic goal among serious-minded musicians, as many listeners choose their all-time favorite performers, consciously or subconsciously, often on the basis of timbre.

8.1 Vocal Timbre

Vocal pedagogy in Western music identifies a singer's voice primarily as having three registers, depending on the area of human body used for resonance from low to high: **chest voice**, **middle voice**, and **head voice**. These **vocal registers** are called altogether the normal or **modal voice** in linguistics, through which the most common phonation of vowels occur in many languages. Lying above this modal voice are **falsetto** and **whistle** registers, while below is **vocal fry**. Voices are also classified by range into four principal parts: **soprano**, **alto (or contralto)**, **tenor**, and **bass** (SATB), the constituents of a standard choir. The former two parts are traditionally identified with high and low female voices, respectively, and the latter two with high and low male voices. The area of pitch shared by the soprano and alto is at times regarded as a separate vocal range called **mezzo-soprano**, as is the **baritone** in between the tenor and bass. These classifications, largely based on gender binary, can be limiting, however, when considering what is understood today about what is possible with the human voice. At any rate, the goal of a singer in training is usually to utilize the registers of the modal voice with flexibility and control. The higher and lower registers have been exploited among professionals for their artistic curiosities or circumstantial needs.

8.1.1 Hawaiian Falsetto

Hawaiian songs frequently feature falsetto known as **leo ki'eki'e** (“high voice”), mostly sung by men. When Hawaiian women were not allowed to sing publicly in the past, men sang the high-pitched notes usually reserved for women and told a story of the regional culture through singing. Beside this socio-cultural reason, Hawaiian falsetto evolved from ancient Hawaiian songlike chanting, early Christian hymn singing, the singing and yodeling of Mexican cowboys who were brought to teach the islanders how to take care of cattle in the 1800s, and the music of Spanish and Portuguese immigrants who introduced stringed instruments and new harmonies. With this rich cultural background, both men and women now sing in this Hawaiian falsetto style, accompanied by Hawaiian steel guitar and ukulele, which are, respectively, adaptations of Spanish and Portuguese instruments.

As examined in Dennis Pavao’s “Puamana” (“Majestic Flower”) from *Ka Leo Ki'eki'e* (1986), what is particularly unique for Hawaiian falsetto is that the singer emphasizes the break between registers rather than attempting to move as smoothly as possible between registers as would be the case in Alpine yodeling and classical operatic singing. Despite the expected rustic timbre created by the articulation of the break (naturally coming from 'okina, a glottal stop that provides a distinct separation between two juxtaposed vowels in the Hawaiian language), Pavao’s falsetto singing flows from one phrase to the next. Taking advantage of the inherent quality in the language, in which most words end with open vowel sounds, such as *ah*, *oh*, *oo*, *ai*, and the like, Pavao performs in a natural and fluent way, effectively delivering the relaxing vibe of the islands and the soothing effect of the natural environment on the nervous system.

- Listening: Dennis Pavao, “Puamana” (“Majestic Flower”) from *Ka Leo Ki'eki'e* (1986) <https://youtu.be/TLZQxHIXggA>

8.1.2 The Voice of the Castrato

Similar to the sound of male falsetto yet regarded to be as natural as the normal registers of male voices during the Baroque was the voice of **castrato**. This vocal type had particularly flourished in **serious opera** (opera on a serious or historical subject) in Italy and England. Due to a large demand for high soprano-like yet much more powerful, virtuosic voices for primary male roles, young boys with gifted voices would be surgically castrated in order to prevent a change of voice at puberty. Despite the seemingly unnatural physical appearance of the castrato—unusually tall with a pale complexion, barrel-shaped body, and spindly legs due to the hormonal imbalance—historical documents recount that the castrato voice was not falsetto (a false or “fake” voice), but it was a “natural soprano” (*soprani naturali*) with great agility, sweetness, and power. Castrato singers in fact preserved the larynxes (voice boxes) of boys with the natural pitch range of boys and women, while growing to have a man’s vocal track, which could produce a variety of sonic and timbral possibilities of men with big lungs, facilitating high notes and singing them for a long time.

Cesare’s aria “Empio, dirò, tu sei” (“I say that you are ungodly”) from Handel’s Italian opera *Giulio Cesare*, Act I, Scene 7 (1724), discussed earlier with regard to emotion and form, was originally intended for a castrato voice with a structural design that allows for his virtuosic display of a high voice and improvisation with an intensifying affect. It is in the convention of the Baroque da capo form, resulting in the structural pattern of **ABA'**. Today this aria is sung by either the **countertenor** (higher than the male tenor voice) or the **contralto** female voice (originally meant to refer to a “male alto” in the Baroque) with a modern imagination of the castrato voice.

As Handel wrote deftly on the score, the singer undulates a wide range of notes, articulating the cruelty of Cesare's opponent, Tolomeo, through the **melismatic text-setting** above "ah," the ending syllable of the word "crudeltà" ("cruelty"). After contemplating Tolomeo's mercilessness as a ruler, Cesare returns to the opening as the third, final section of the aria, in which he accentuates the phrase "togliti a gli occhi miei" ("get out of my sight") with more rage, adding notes to the given melisma. This compositional and performance practice of the castrato in da capo arias developed with the exit convention, as well: upon completing the aria, the castrato was to exit the stage in order to bring the audience's attention back to the story.

- Video to Watch: Cesare's Aria "Empio, dirò, tu sei" ("I say that you are ungodly") from George Frideric Handel's Italian Opera *Giulio Cesare*, Act I, Scene 7 (1724)
<https://youtu.be/uXBOOf43cYQ>

8.1.3 Coloratura Soprano

The fascination with the singing virtuoso never ceased to end in the world of opera, even after the convention of the castrato had begun to disappear in the later eighteenth century. Vocal virtuosity that incorporated fast brilliant runs, scales, high notes, and improvisation continued to appear in the Classical and Romantic periods. Exploiting the falsetto and whistle registers, a new type of female soprano known as a **coloratura soprano** ("colorful soprano") emerged. Combining the historical memory of the castrato with a touch of Classical aesthetics—balance, clarity, and precision—Mozart, in particular, incorporated the coloratura soprano in his serious, comic, and folk operas, often in association with the emotion of rage. However, his coloratura arias required not only a technical ability but also the ability to deliver dramatic expressions in a large vocal volume, which few sopranos could sing regularly without damaging their voices.

In Mozart's German folk opera (also known as **Singspiel** in German) *Die Zauberflöte* ("The Magic Flute," 1791), K. 620, The Queen of the Night's famous aria "Der Hölle Rache kocht in meinem Herzen" ("Hell's vengeance boils in my heart") in Act II exemplifies both the challenges and awe that the coloratura soprano has brought into the opera theater. Depicting a fit of the queen's vengeful rage, this aria covers two octaves from F4 to F6 (C4 is known as Middle C in the keyboard). The singer executes with agility and precision the virtuoso leaps, chains of staccato notes, and undulating passages. Her expression matches the dramatic sound of the symphonic orchestral accompaniment. Though Mozart's focus of interest primarily was on the music over drama, somewhat backward-looking and unusual for his time, the sound of the coloratura soprano for the wrathful queen was a perfect choice to dazzle the audience, while enhancing the dramaturgy of the opera.

- Video to Watch: The Queen of the Night's Aria "Der Hölle Rache kocht in meinem Herzen" ("Hell's vengeance boils in my heart") from Wolfgang Amadeus Mozart's German Folk Opera *Die Zauberflöte* ("The Magic Flute"), K. 620, Act II (1791)
<https://youtu.be/YuBeBjqKSGQ>

8.1.4 Basso Buffo

As the aesthetic and stylistic shifts began to occur in the Classical period, the low-voice bass adopted humor and wit, along with simplicity in sound and gradually emerged as a key character of comic opera, hence the birth of **basso buffo** (Italian for "funny bass"). With the rise of the middle class, and gradual changes of society through the mobility of social classes, the opera stage

incorporated more realistic and comical stories with accessible melodies in later eighteenth-century Europe. More characters were created from the nobility, including those who occasionally ascended from commoners, while retaining social behaviors associated with the lower classes. Their envious servants, while speaking for their masters, also strived within themselves for Enlightenment virtue. Abandoning their traditional role in serious opera, which was mainly silent with simple pantomiming or a minimal rhythmic speech (**recitative**), the buffo characters, with the bass voice, became more actively involved in the course of the drama with a few memorable arias.

In Wolfgang Amadeus Mozart's *Don Giovanni*, K. 527 (1787), a comic Italian opera with a tragic ending, the composer assigned a basso buffo character type to Don Giovanni's male servant, Leporello. His aria "Madamina" ("Pretty lady") features relatively short melodic passages in an accessible, natural singing style with a narrow range of notes that lacks much elaboration. In response to this simple music, the lyrics humorously list the number of women Leporello's master, Don Giovanni, has attempted to seduce in every region he had traveled. Twisting the tradition of **catalogue aria** in serious opera, which was more commonly used to enumerate lands or enemies conquered by a hero, Mozart uses this type of aria as a means of counting the victims of the master's sexual desire. In this otherwise offensive story, the simplicity and buffoonery of Leporello's aria provide a comic relief with sympathy not only for Donna Elvira, Don Giovanni's wife who was enraged because of his wrong doings, but also for the audience who could feel the moral tension between the opposing characters, Donna Elvira and Don Giovanni. Here Leporello's moderation in music and drama helps to restore the characters from one scene to the next, continuously pushing the opera forward with balance and coherence.

- Video to Watch: Leporello's Catalogue Aria "Madamina" ("Pretty lady") from Wolfgang Amadeus Mozart's *Don Giovanni*, K. 527, Act I, Scene 2 (1787)
<https://youtu.be/5X6ybenmZRU>
- Lyrics of Leporello's Catalogue Aria "Madamina" ("Pretty lady") from Wolfgang Amadeus Mozart's *Don Giovanni*, K. 527, Act I, Scene 2 (1787)
<https://lyricstranslate.com/en/madamina-il-catalogo-%C3%A8-questo-leporello-young-lady-catalogue.html>

8.1.5 Bel Canto

Witty and humorous servants continued to appear as part of the group of stock characters in the Romantic Italian opera, playing a key role in the narrative of sung drama. In response to the changing spirit of the time, which allowed for increased flexibility and freedom in expression as well as upward mobility in society, these characters of middle and lower classes also gained fast-running notes and free-flowing passages in their musical parts. A similar change occurred in the singing style of the main female character, known as **bel canto** (Italian for "beautiful singing"), in which the traditional concept of beautiful singing with a good tone quality obtained new connotations of virtuosic and flexible display of diverse singing styles, including patter, lyrical, and comic, with a truthful expression that incorporates a variety of tempos.

Gioachino Rossini's *Il Barbiere di Siviglia* ("The Barber of Seville," 1816), the first opera ever performed in Italian during the early years of the United States (premiered in New York City, 1825), features a new type of basso buffo as well as an innovative soprano character. In Figaro's aria "Largo al factotum" ("Make way for the factotum," or "general servant"), the barber Figaro

sings in the tradition of basso buffo. Yet, the baritone, who has an attitude of overconfidence, signals a further change in his social status during the nineteenth century. In contrast, Rosina's aria "Una voce poco fa" ("A voice a short while ago") exemplifies a new rendition of the operatic high voice in the Romantic period, conjoining the stylistic possibilities of bel canto with an expression of vulnerable feelings by a young woman in search of true love, a rising theme of that period's literature and music.

- Video to Watch: Figaro's Aria "Largo al factotum" ("Make way for the factotum") from Gioachino Rossini's *Il Barbiere di Siviglia* ("The Barber of Seville," 1816)
https://youtu.be/Dq_0wPYFp9A
- Video to Watch: Rosina's Aria "Una voce poco fa" ("A voice a short while ago") from Gioachino Rossini's *Il Barbiere di Siviglia* ("The Barber of Seville," 1816)
<https://youtu.be/d4kwM5Ylr4k>

8.1.6 Sprechstimme

Bringing to an end the common practice period of Western art music (approximately from the eighteenth to nineteenth centuries), composers at the turn of the twentieth century (ca. 1880–1914) began to challenge the tradition of tonal music and the idea of beautiful singing. In reference to **expressionism**, an artistic movement in German visual art and literature that sought to bring to the surface unconscious thoughts and visceral emotions, composers attempted to reflect the inner consciousness toward an artistic object in music. The result was frequently an exaggerated and distorted sound with grotesque and shocking feelings within the context of atonal music, debunking the myth of "art" in Western civilization. Corresponding to this trend, a new type of singing style known as **Sprechstimme** ("speech-voice") was devised by German composers. This singing style called for the approximate reproduction of pitches notated with an x as note heads (instead of rounded note heads) or on the stems of notes.

Arnold Schoenberg's German art song "Der kranke Mond" ("The Sick Moon") from the song cycle *Pierrot lunaire* ("Moonstruck Pierrot," 1912) employs Sprechstimme in order to express the melancholy, moonstruck clown's deeper emotions reflected in the poetry. Against the conventional, external representation of the moon as shining and wholesome, the protagonist sees through darkness and sickness, articulating a worldview through the eerie sound of a speech-voice and a flute. The historical expectation for pleasure and awe in German art song, as exemplified in songs by Schubert and his contemporaries, was completely replaced with shock and assault, challenging both the listener and the performer. To a singer who is trained in the tradition of Western art music, it is not an easy task to sing in Sprechstimme, as the melody was composed within a highly chromatic, atonal context. It requires an unlearning of the guiding principles of projecting a "good" tone that had governed the traditional singing styles from cantabile (songlike) to bel canto (beautiful singing with flexibility). Though controversial, by deserting the major-minor tonality and its associated concepts of beauty and expression, Schoenberg and his contemporaries contributed to opening the door to so-called **extended vocal techniques** that would follow in both classical and popular music during the later twentieth century and beyond.

- Video to Watch: Arnold Schoenberg, No. 7 "Der kranke Mond" ("The Sick Moon") from *Pierrot lunaire* ("Moonstruck Pierrot," 1912)
<https://youtu.be/bd2cBUJmDr8> [No. 7 at 10:55–13:10]

8.1.7 Vocal Harmonics in Electronic Music

Among the many extended vocal techniques, **vocal harmonics** (also known as **multiphonics**) gradually ventured into the realm of avant-garde music, drawing attention from experimental and postmodern multimedia artists. As technology infiltrated music as an indispensable means of human expression in the later twentieth century, especially in the popular sphere, this extended vocal technique was facilitated by the **vocoder**, a voice-distorting machine that splits and blends the human voice with keyboard-controlled harmonies, as if one singer could generate a couple or several notes simultaneously. It is similar in concept to the art of **harmonic singing** or **throat singing** practiced for centuries in acoustic music, by which a performer sings a sustained low note while humming an eerie, whistle-like melody. The vocoder results in a more robotic, futuristic sound, however, with impassivity leading the listener to create distance from the context of the song and contemplate its content with an objective point of view.

Laurie Anderson's song "O Superman (For Massenet)" from *United States Live* (1981), which reached number two on British pop charts at release, quickly joining the New Wave, electro-techno pop, is a genre-bending postmodern work between popular music and experimental art, and traditional and modern. Anderson expands her voice through the vocoder into two alternating chords (first-inversion A-flat major and root-position C minor) over the repeated syllable and rhythmic pulse "ha" looped by the sampler. In this digitized, impersonalized voice with a minimalistic touch, Anderson sings and speaks a parody of the ironic text of the aria "O souverain, ô juge, ô père" ("O King, O Judge, O Father") from a serious opera *Le Cid* (1885) by French composer Jules Massenet. Her implicit challenge to authority becomes more obvious in a passage when she describes airplanes and then expresses a longing for her mother to hold her. She reveals her political message about the dreadfulness of technology and communication, alluding to American foreign policy and war, with a skeptical view on American power and heroism.

- Video to Watch: Laurie Anderson, "O Superman" from *United States Live* (1981)
<https://youtu.be/Vkfpj2H8tOE>



Laurie Anderson
(Bert56 at Dutch Wikipedia, CC BY-SA 2.5 <<https://creativecommons.org/licenses/by-sa/2.5/>>, via Wikimedia Commons)



Louis Armstrong
(World-Telegram staff photographer, Public domain, via Wikimedia Commons)

8.1.8 Nonsense Syllables, Scat-Singing, Yodeling, Rapping, and Beatboxing

The cultural dominance of European art music in early decades of the United States had long caused vocal timbre in popular music to resemble the style of classical music. It was not until the

interwar period of the 1920s and 1930s that popular music and jazz began to emerge as independent music industries with the aid of technological advancement, such as records, radio, and movies. Stepping outside the tradition of “beautiful” singing that had been established on the ideal of refinement, popular and jazz musicians explored their own singing styles and techniques, either deliberately or by accident.

Louis Armstrong’s signature gravelly vocal timbre, caused in part by a prolonged cold and permanent surgical damage on his vocal cords, has become more widely used in jazz singing, influencing a number of vocalists who came after him. On the principle of jazz, with its swing and spontaneous feel, Armstrong often added extra words and **nonsense syllables**, pointing to a singing style popularized as **scat-singing** (singing with vocables). Although scat-singing was already practiced in early jazz, Armstrong and His Hot Five’s “Heebie Jeebies” (1926) is remembered today as the first commercial recording of a song that employs scat. Popular legend tells us that during the recording session of this song, the sheet music slipped from the stand, and Armstrong started scatting to save the recording. Whether this story is true or not, the informality and playfulness of scat-singing with the banjo compliments the nature of New Orleans jazz. Likewise, in his “West End Blues” (1928), Armstrong instrumentalized his voice as if it were a second trumpet equivalent to the other instruments of the band. Beginning to sing gently “wah-wah-wah,” the sound effect of a trumpet with a plunger mute, he allowed the scatting voice an entire 12-bar section for improvisation (1:23–1:58), in which the voice creates a call-and-response with the clarinet playing in a low register.

- Listening: Louis Armstrong and His Hot Five, “West End Blues” (1928)
<https://youtu.be/4WPCBieSESI>

The use of nonsense syllables as a melodic, rhythmic, or harmonic filler has a long tradition in Western music, traced back to refrains made with syllables similar to those of Medieval solfège (for example, “fa-la-la-la”) or syllables of Renaissance onomatopoeic words (such as “cuckoo”). It is not uncommon, either, in non-Western music that carries secret, venerable, and even mystical significance. One of the traditional singing styles that frequently mix with nonsense syllables is **yodeling**. The singer alternates a succession of vowels rapidly yet smoothly between full voice and falsetto registers, between two pitches, or an arpeggiation of several pitches. In Alpine folk singing, yodeling occurs in passages called “Jodlers,” which is attached as a refrain to the beginning, middle, or end of a song. Yodeling was also used as a means of communication over moderate distances by the inhabitants of mountainous regions, including the Alpine peoples of Switzerland and the Austrian Tirol (also spelled Tyrol), peoples in China and the Americas, some of the Central African foragers, and the Aboriginal peoples of Australia.

As unconventional as it may seem to be mixed with other singing styles, Jimmie Rodgers (1897–1933) deftly combined Alpine yodeling with blues in his thirteen “blue yodels.” With a flexible and informal approach, his blue yodels freed the genre from the stricture of 12-bar form that consists of three equal-length phrases (AAB). Whereas, the songs preserved a clear distinction between the three phrases and the additional yodeling refrain as an ending of the B phrase. As heard in “Blue Yodel No. 11” (1929), Rodgers maintains the textual outline of AAB (statement-restatement-contrast) in each chorus; however, his musical phrasing constantly shifts over the quadruple meter squarely outlined by the guitar. After the four-measure introduction, the first chorus consists of 3 + 3.75 + 6 measures, the second chorus is 3.25 + 3.5 + 6 measures, and the third chorus is 3.5 + 3 + 5.5 measures long. His flexible approach to the blues form, relaxed manner

of singing, and unpretentious vocal timbre altogether creates a sound that resembles that of early blues cultivated as a field holler or work song by African Americans. In fact, Rodgers had worked in close contact with black laborers in railroad jobs and recognized their ways of understanding the hardships of life. This cross-cultural experience left an indelible mark on his musicianship and led him to identify his blues with a touch of yodeling, pointing to the nature of country and western music as a blend of various sources.

- Listening: Jimmie Rodgers, “Blue Yodel No. 11” (1929)
<https://youtu.be/hzC3dHNfDKY>

Another vocalist who exploited nonsense syllables to an extreme measure in his own singing style and genre, while shaping the latter-day popular music history in the United States is James Brown. In addition to his conception of funk and its groove, his percussive use of vocal mimicking of the sound of drum, ad-libbed speech-singing, and lyrical content that was politically conscious of his blackness laid the foundation for the essence of hip-hop music: **rapping** and **beatboxing**. The former is a style of vocal delivery that incorporates rhyming, rhythmic speech, and street vernacular, usually performed over the backing beat or accompaniment. The latter, in close connection with rapping, is an extended vocal technique that replicates the sounds of a drum set, drum machine, or drum loop through a series of noises generated by the mouth. Even before names existed for these performance practices, Brown, as in “Funky Drummer” (1969), devised a meaningless word “Kooncha,” as if imitating the sound of drums. Beginning at the 3:20 mark, he creates a rhythmic melody of “Kooncha” and interchanges it with speech-singing over the repeated rhythmic patterns produced by the band. Without any aid from digital hardware or software that has become prevalent in sound mixing, Brown’s colorful sonic palette, creative composition, and spontaneous performance marked a notable advancement in popular music.

- Listening: James Brown, “Funky Drummer” (1969)
<https://youtu.be/dNP8tbDMZNE>

8.1.9 Yelling and Screaming

With the introduction of rhythm and blues to white consumerism in the late 1950s and its prompt adaptation under the label of rock and roll, **yelling** and **screaming** became an emblematic emotional gesture and energetic singing style of popular music at that time. Though provocative to audiences, especially the parents of teenage fans, early rock and roll singers’ stage and singing manners paved the way for more variety in singing styles and vocal effects that followed. What would have been considered mere exaggeration or noise to capture the audience’s attention in popular music came into existence within a musical context.

The relationship between text and music, or drama and music, became closer in rock and roll, with its own interpretation of a life that was joyful and unworried. Little Richard’s “Lucille” (1957) incorporates yelling and screaming whenever the protagonist calls out “Lucille.” Though it may sound absurd and funny by itself, Richard’s screaming makes sense and works well when the listener understands the level of confusion and anger that the protagonist would have felt when he found out in the morning that his love was not in sight as his friends remained silent about her whereabouts. The repeated boogie-woogie accompaniment of the piano and the blazing tenor saxophone break, however, make the situation comical and laughable in the spirit of rock and roll.

- Video to Watch: Little Richard, “Lucille” (1957)
https://youtu.be/u0Ujb6lJ_mM

The inclusion of yelling and screaming as extended vocal techniques changed the course of popular music in the second half of the twentieth century and beyond. Yelling developed in part into **belting**, similar in sound yet more controlled in resonance, as heard in Ethel Merman’s singing of “I Got Rhythm” from *Girl Crazy*—sustaining the C above middle C in chest voice for 16 bars over the orchestra in the chorus. Noises like animal cries became part of the artistic expression of the human voice, such as **grunting**, **growling**, and **croaking**. As the avant-garde composer John Cage once predicted in his talk “The Future of Music: Credo” (1937), this postwar generation already began to go through the war “between noise and so-called musical sounds” and to practice the beauty of ugly and rough sounds without much further justification. Although not necessarily healthy options for the singer’s sounding faculty, these extended techniques and effects led popular music to distinguish itself from classical music, attracting a larger number of listeners to the industry.

- Listening: Ethel Merman’s Singing “I Got Rhythm” from George Gershwin’s *Girl Crazy*
<https://youtu.be/7ViCaVW5JWs>

Apart from all these singing techniques created by human imagination, **crooning** owed much to the invention of the microphone and the early users’ timid reactions to this technology. This device was designed to help produce a louder volume for the voice befitting a large performance venue or a focused sound for the recording studio, but many of the singers in the early twentieth century were rather intimidated by its new capacity. Without an ability to control the technology yet, vulnerable feelings in front of the microphone caused them to sing quieter and softer, which resulted in a whispering, intimate singing style with a more nuanced, conversational approach to music. This incidental discovery witnessed itself developing into unique singing styles among contemporaries, as opposed to virtuosic charismatic singing on a grand scale, which had long overwhelmed both performers and audiences.

The term “crooner” traditionally indicates a male, typically white, singer of sentimental songs in a low, soft voice, drawing a long lineage of singers from Bing Crosby (1903–1977) and Frank Sinatra (1915–1998) to Tony Bennett (b. 1926) and Harry Connick, Jr. (b. 1967), today. The singing style known as “crooning” also became a substantial part of Billie Holiday’s soulful interpretation of songs. Her thin, high voice may not be a good match with that of Ella Fitzgerald (1917–1996) whose timbre is sweet and clear, covering a wide range of styles and techniques, but Holiday’s singing into the microphone led to a more subtle, restrained style, revolutionizing storytelling in jazz with a particular feel. Due to her publicized personal problems, including a series of abusive relationships and indulgence in hardcore drugs, her frail vocal timbre is often interpreted as melancholic and powerless.

In “Strange Fruit” (1939), however, a song written by Abel Meeropol (1903–1986), Holiday describes in an impassive mode the brutality of the lynching of African Americans in the South. Defying the stereotype of black female vocalists singing loudly and vibrantly, her dry and shrill voice discloses the horrors of lynching from a modest point of view, turning it into her own sympathetic story. Her contemplative approach to the song makes her statement continue to be powerful and convincing to listeners today.

- Listening: Billie Holiday, “Strange Fruit” (1939)
<https://youtu.be/Web007rzSOI>

8.2 Instrumental Timbre

Musical instruments are typically identified and grouped by the way they are constructed and played, and the timbre they produce in the conventional manner of the region in which the instruments were conceived or primarily cultivated. In the tradition of European art music, the most used system of organology (the study of musical instruments) classifies instruments as **strings**, **woodwinds**, **brass**, **keyboards**, and **percussion**. Many of these instruments went through an evolution during the common practice period with an effort to emulate the sound of the human voice through the instruments within the ideal of refinement. Since the twentieth century, which in some ways detached itself from the past, conventional instruments began to be played in unconventional ways for the musician’s curiosity, search for originality, and also due to the limited resources that musicians had during the two world wars.

Due to the immense diversity of types and sounds around the world, another system of categorizing musical instruments includes **aerophones** (instruments such as flutes, reeds, and trumpets), **chordophones** (instruments such as lutes and zithers), **idiophones** (plucked, struck, and shaken instruments without any strings or membranes), **membranophones** (drums), and additionally **electrophones** (electrical devices). Aerophones are instruments that produce sound through the direct vibration of air or by blowing air directly into the body of the instrument. They are typically subdivided into three categories: flutes, reeds, and trumpets. Chordophones are instruments that are constructed with one or more strings stretched between two points. They generate sound through the vibration of the string(s). The majority of these chordophones are lutes and zithers, and additional instruments are harps and lyres. Though constructed differently, these instruments are often difficult to distinguish by timbre. Idiophones are instruments that produce sound through the instrument itself vibrating, such as rattles and bells. However, in practice, anything that makes a sound or noise can be regarded as an idiophone, the concept of which has become largely embraced by avant-garde musicians. Membranophones are instruments that vibrate a thin layer stretched over a frame, including most drums. Usually, smaller drums make a higher, tighter sound, and larger drums are deeper and earthier in character. Some membranophones can be tuned to specific pitches, while others cannot.

8.2.1 String Instruments

String or stringed instruments (also chordophones) create sound through the vibration of a string, conventionally by plucking, strumming, or bowing. Instruments that incorporate **plucking** or **picking** and **strumming** are, for example, harp, guitar, lute, and banjo. On the other hand, the violin, viola, cello, and double bass generate sound by **bowing** (also known as **arco** in Western classical music) and occasionally **plucking** (also known as **pizzicato** in Western classical music). Despite the conventional distinction between guitar-like and violin-like instruments and their performance practices, the growing demands for special effects lead string players to use all the performance techniques listed here, even tapping the body of the instrument, attaching it to an electronic amplifier, and more.

The Baroque Chamber Orchestra

Vivaldi’s “Autumn” from *The Four Seasons* (1725) is a solo concerto that involves a violin and a small ensemble primarily consisting of string instruments with **basso continuo** (continuous bass

or thorough bass). It was a convention of Baroque music that the composer did not specify the instrumentation of the basso continuo, which allowed performers to have freedom in choosing as the harmonic support whichever instruments were available to them. The instruments that were most commonly featured as basso continuo include the harpsichord, organ (especially for sacred works), lute, viola da gamba (similar to a cello but with frets and six strings), and bassoon. Of them, the harpsichord was the most popular and also served as the conductor of the ensemble, providing the signature sound of the Baroque ensemble. Although it is categorized as a keyboard instrument, its sounding mechanism that plucks the inside strings (rather than hammering them the way a piano does) causes the instrument to produce a sound very close to that of string instruments. Without much aid of wind and percussion instruments in the Baroque ensemble in general, the Baroque chamber orchestra creates a homogeneous, cool timbre that is distinctive for this style period.

- Video to Watch: Antonio Vivaldi, *The Four Seasons*: “Autumn,” Concerto, Op. 8, No. 3 in F Major, RV 293, Mov. I (1725)
<https://youtu.be/MBUCqwLtmJA> [to 5:05]

The String Quartet

Gabriela Lena Frank’s *Leyendas, an Andean Walkabout*, Mov. IV: “Chasqui” (2001) is intended for a string quartet, a group of four string instruments from the violin family. Breaking the expectation of the genre, which is conventionally to produce a homogeneous timbre, the use of plucking, bowing, strumming, and tapping leads these performing forces to create a heterogeneous timbre. When listening to this piece, it sounds as if it was played by more than four strings, including non-Western instruments, because of the composer’s methodical combination of the performing forces and techniques with novel melodic and rhythmic gestures. Reflecting on her Peruvian-Jewish heritage, Frank reimagined the sound of the Andean Mountains from Inca civilization through the classical string quartet. This movement, in particular, portrays “chasqui,” a legendary messenger who ran to deliver messages between towns separated by the Andean mountains in ancient times. According to her scholarly assumption, the chasqui needed to travel light, so he would have chosen the charango, a high-pitched cousin of the guitar, and the lightweight bamboo quena flute, both of which influenced the sound and imagery of this movement as well as the composer’s choice of the playing styles of the instruments.

- Video to Watch: Gabriela Lena Frank on the Future of Classical Music
<https://youtu.be/a6WNYFHn36M>
- Video to Watch: Gabriela Lena Frank’s *Leyendas, an Andean Walkabout*, Mov. IV: “Chasqui” (2001)
<https://youtu.be/MSer89HLnJ0>



Baroque Chamber Orchestra
 (Café Zimmermann, CC BY-SA 3.0 <<https://creativecommons.org/licenses/by-sa/3.0/>>, via Wikimedia Commons)



Emily Shinner's String Quartet (1886–1897): Emily Shinner (1st violin), Lucy Stone (2nd violin), Cecilia Gates (viola), and Florence Hemmings (cello)
 (Unknown author, Public domain, via Wikimedia Commons)

The Banjo-Fiddle String Band

Joe and Odell Thompson's "Black Annie" exemplifies the sound of an old-time banjo-fiddle string band that originated in the Appalachian Mountains. From a standpoint of the European classical violin and "American" five-string banjo, this performance features a seemingly unorthodox sound of the two instruments filled with what might be called extended string techniques. A constantly pounding banjo, a wailing fiddle, and a casually added vocal part hovering over the two instruments produce an unpolished sound. It was a traditional sound of early American banjo and fiddle music in the mountain region, however, and has since been adopted and adapted by later country and western musicians. The banjo would be regarded or played as a string instrument equivalent to the ukulele, mandolin, and guitar in the traditional sphere of the United States today. Yet in this instance, the banjo is visibly a drum that has strings, initially four, without much capability of sustaining a tone, as it was conceived by enslaved people who drew from African musical traditions. Intended for this stringed drum was a **downstroke** playing technique (also known as a **clawhammer** style) rather than an elaborate, melodic three-finger style devised by latter-day white performers. Likewise, the fiddle does not use melodious "slurred" bowing but, rather, uses a rhythmic "**saw stroke**" bowing in which every note is to be played with separate bowing for simplicity and clarity. As jagged as it may sound, the old-time string band aims for a subtle balance between the drive required for frolic or square dance and the elements of surprise and expression that listeners would enjoy in music.

- Video to Watch: Joe and Odell Thompson's Playing the Fiddle Tune "Black Annie"
<https://youtu.be/kwGL9Uuu7Qo>

The Ukulele and Steel Guitar

Dennis Pavao's "Puamana" ("Majestic Flower") from *Ka Leo Ki'eki'e* (1986), as discussed above in the section of this book that addresses Hawaiian falsetto, is accompanied by a ukulele and an electric steel guitar. The ukulele is a small four-stringed Portuguese version of the guitar, brought to the islands in the late nineteenth century. As the name *ukulele* (Hawaiian for "flying flea") references, it involves a rapid plucking technique, which produces a dainty and nimble sound. As

a counterpart to this rhythmic ukulele, the steel guitar tends toward a long, lilting melody incorporating “sliding tones” (called **portamento** when performed by a voice or **glissando** on instruments). It is produced by sliding a metal, “steel” bar along the strings without pressing them down to the raised fretboard of the guitar that is horizontally placed on the performer’s lap. This technique was originally experimented by Joseph Kekuku (1874–1932), who used a metal bolt on the acoustic guitar alternatively tuned in a Hawaiian **slack-key** finger/tuning style. This performance practice evolved into the use of the acoustic steel guitar and subsequently the electric steel guitar.

The guitar had arrived in Hawai‘i in the 1830s, along with Spanish and Portuguese laborers on sugar plantations and Mexican cowboys from southern California, which was then still a part of Mexico, to work on cattle ranches. When their work was done, they left behind the guitar and similar stringed instruments. Hawaiians picked up the guitar and soon developed it as a sunny and laid-back instrument by lowering the tuning of the pitch of the selected string, hence known as the “slack-key” guitar.

At the turn of the twentieth century, since the overthrow of the Hawaiian monarchy by American forces (1893), Hawaiian musicians, including Kekuku, traveled to the mainland to continue to perform their traditional music that had become prohibited on the islands. Among the crowds they attracted and were in close contact with were African Americans in the segregated South. The sliding tones of the steel guitar inspired blues singers to conceive a sliding technique called a “bottle-neck” style and incorporate it with the bending pitch of a blues singing style. As hinted in “Blue Yodel No. 11,” Jimmie Rodgers was one of the musicians who were fascinated with the Hawaiian, relaxed playing style. He even worked with the acoustic steel guitar player Joseph Kaipo (1896–1964) for “Everyone Does It in Hawaii” (1929, spelled without the ‘okino). Complimenting the timbre of the ukulele and steel guitar accompaniment, Rodgers conceived of yodeling as similar to Hawaiian falsetto singing. He also recorded “Tuck Away My Lonesome Blues” (1929) and “Moonlight and Skies” (1930), finding his place in between a Hawaiian timbre and a later country-and-western twangy sound.

- Listening: Dennis Pavao, “Puamana” (“Majestic Flower”) from *Ka Leo Ki‘eki‘e* (1986)
<https://youtu.be/TLZQxHlXggA>
- Video to Watch: Joseph Kekuku and the Steel Guitar
<https://youtu.be/xpPsRQx5r0w>
- Listening: Jimmie Rodgers and Joseph Kaipo, “Everyone Does It in Hawaii” (1929)
<https://youtu.be/uQliZlmYFHQ>



Lew and Ben Snowden on Banjo and Fiddle at Their Home in Clinton, Knox County, Ohio, ca. 1890s
(Unknown author, Public domain, via Wikimedia Commons)



The Kilima Hawaiians (1934 – 199?)
(AVRO, CC BY-SA 3.0 NL <<https://creativecommons.org/licenses/by-sa/3.0/nl/deed.en>>, via Wikimedia Commons)

8.2.2 Woodwind and Brasswind Instruments

Wind instruments are a group of instruments that generate sound by way of the breath, equivalent to aerophones, but do not include wind-driven keyboard-associated instruments, such as the organ and accordion. They are generally divided into two classes: woodwinds and brasswinds. Woodwinds are musical instruments whose sound emerges through the vibration of a column of air with the addition of specialized mouthpieces and often reeds that lead the instruments to produce a variety of timbres. As the nomenclature of “woodwind” implies, the flute, oboe, bassoon, clarinet, and saxophone were once made of wood or require a reed to produce sound. Brass instruments, which include the trumpet, trombone, horn, and tuba, among others, are played by blowing air through a cup-shaped mouthpiece. They were once made or derived from wood, shell, or animal horn but are made entirely of brass in modern times, and they serve as natural “amplifiers” in the symphonic orchestra. These woodwind and brass instruments are conventionally manufactured within the ideal of creating a focused and rounded sound. In latter-day music making, however, the instruments began to involve extended techniques for timbral variety, such as **overblowing** (blowing harder to produce a higher, fuzzy, or layered sound) and **wailing** (blowing even harder to produce a prolonged high-pitched sound). At the same time, devices, such as mutes and electric amplifiers, have helped change the color of sound, volume, and effect for brass instruments as well as other families of instruments.

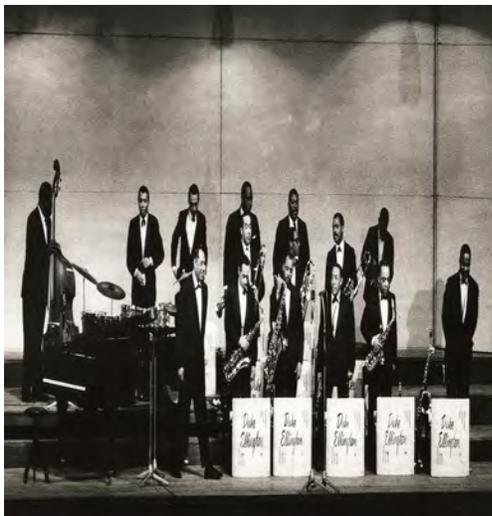
Duke Ellington (1899–1974) and his jazz orchestra are known for their distinctive timbre that is now called “the **Ellington effect**.” Among several compositional and performance techniques involved in this characteristic timbre, the growling sound with the “wah-wah” effects by the plunger mutes of the trumpet and trombone contributes most to Ellington’s music immediately recognizable sounds that distinguished his orchestra from contemporary swing and early bebop bands. The sound of plunger-and-growl was first conceived by the band members Bubber Miley (on trumpet) and “Tricky Sam” Nanton (on trombone), to whose particular style and technique Ellington tailored many of his compositions. In “Ko-Ko” (1940), for example, Ellington maintained the sound of plunger-and-growl, although Miley had left the band, while thrusting a simple, catchy melody into the rich texture of the brass colorfully dispersed from the top to bottom

parts of the band. Through this exuberant sonic structure, he reimaged the sound of Congo Square of New Orleans, the birthplace of jazz that had also been a gathering place for African Americans prior to the Civil War, as well as that of the famous Cotton Club of Harlem, in which he and his band resided to play for revues (variety stage entertainments) between 1927 and 1931, creating his so-called “jungle style.” Although his performances participated in bringing back plantation activities and references to a fantasy-like primitive Africa for the sake of the club’s white audiences who had a limited knowledge of what Africa was actually like, Ellington’s innovative use of timbre as a distinct style left a mark in the history of jazz orchestra.

- Listening: Duke Ellington and His Orchestra, “Ko-Ko” (1940)
<https://youtu.be/WY5nScVCLg8>

Against the conventional expectations for the timbre of horns in a jazz orchestra or big band, as well as the high demands for virtuosity in bebop combos, Miles Davis (1926–1991) experimented with a thin and dry tone color out of the muted trumpet and developed it as part of his signature style and sound. Similar to the way that Billie Holiday crooned in front of the microphone, Davis played his trumpet close to the microphone in an intimate, personal manner, with or without a mute. In reference to this new subdued character of trumpet, with little or no vibration and in low levels of volume, he altered the entire timbre of the jazz ensemble into a loosely textured and mood-oriented sonic structure, opening a new era of jazz known as “**cool jazz**.” In his *Kind of Blue* (1959), the best-selling jazz album of all time, Davis used a muted trumpet in “Blue in Green” and an unmuted one in “So What.” Both instruments sound different in volume and to an extent in timbre, as well, but almost indistinguishable in Davis’s stylistic sense of music. Bringing a contemplative quality into jazz, his tone color and style contributed to recreating jazz as a listening music (as opposed to bodily dance music), accessible for both professional and amateur audiences.

- Listening: Miles Davis, “Blue in Green” from *Kind of Blue* (1959)
<https://youtu.be/TLDFlhhdPCg>
- Video to Watch: Miles Davis, “So What” from *Kind of Blue* (1959)
<https://youtu.be/zqNTltOGh5c>



Duke Ellington and His Orchestra in Munich, Germany, 1963
(Hans Bernhard (Schnobby), CC BY-SA 3.0 <<https://creativecommons.org/licenses/by-sa/3.0/>>, via Wikimedia Commons)



Miles Davis at North Sea Jazz Festival in Den Haag, Netherlands, 1984, with a Muted Trumpet
(Rob Bogaerts / Anefo, CC0, via Wikimedia Commons)

John Coltrane’s album *Interstellar Space*, recorded in 1967 and released in 1974, encapsulates his spiritual and stylistic growth in jazz, incorporating such extended techniques as overblowing and wailing on the tenor saxophone. With the drummer Rashied Ali, Coltrane created the album, a duet suite that consists of four parts—“Mars,” “Venus,” “Jupiter,” and “Saturn”—alluding to an otherworldly experience in music, through **overtones**, **multiphonics** (playing more than one pitch at once), and **altissimo** (the uppermost-register) notes. As heard in “Jupiter,” his overblowing techniques enabled him to channel through a pitch’s fundamental sound and its overtones to an extent. In other words, by controlling the embouchure (the placement of the lips, facial muscles, and jaw) and wind pressure, he articulated some of the echoing notes. Similar in sound, multiphonics involves specific fingerings, along with all the above manipulations in order to produce a sound that evokes an interval or a chord. In “Jupiter,” all the squeals and cries of the saxophone with the rumbling of the drum culminate in the middle section at 3:20–4:28 before the return of the beginning melody (the “head”) and a closure that includes sleigh bells. Although this album has not received as much attention as his other albums, including *Giant Steps* (1960) and *A Love Supreme* (1965), its timbral variety and unrelenting outpouring level of energy were unprecedented in jazz literature thus far. Marking a turning point to free jazz, his rethinking of the elements of music emancipated timbre from pitch, and jazz as a whole from the written tradition of Western art music.

- Listening: John Coltrane, “Jupiter” from *Interstellar Space* (1967; 1974)
<https://youtu.be/n03AiKu6LVo>

8.2.3 Keyboard Instruments

Keyboard instruments are sounded by playing one or more sets of keyboards with the fingers, often with the feet using pedals. The most common keyboard instruments in Western music culture are the organ, harpsicord, piano, and synthesizer, in various sizes and types. As the “king of instruments,” in Mozart’s description, the pipe organ can produce the sound of an entire orchestra by means of keyboards (also called manuals), pedalboards, and stops (to control which set of pipes receive pressurized air to produce sound), setting an aura associated with the Christian church in many compositions of Western civilization. Likewise, smaller, portable organs have been

employed in close connection with a work's sacred function, content, venue, or audience, from the Middle Ages to contemporary music.

Despite the symbolic meaning and stature of the organ in classical music, the Hammond organ, an electric organ invented by Laurens Hammond (1895–1973) and John M. Hanert (1909–1962) and first manufactured in 1935, has been frequently used in jazz and popular music. It was initially offered as a lower-cost alternative to the pipe organ and piano in churches; the most popular model is the B-3, produced between 1954 and 1974. The organ, desired for its timbre and the mood it creates, also soon found its way into the organ trio (organ, drum, and guitar or saxophone), which became popular in clubs and bars during the 1950s and 1960s, playing a blues-based style of jazz. For similar reasons, the Hammond organ was also included in groove-infused, soul genres, such as blues, gospel, R&B, and funk, as James Brown did in “Funky Drummer.” The organ’s timbre in popular music to a large extent embodies the sentiments of black experience in the United States and the heightened spirit of African American music and its close connection with Christianity.

- Listening: James Brown, “Funky Drummer” (1969)
<https://youtu.be/dNP8tbDMZNE>

Unlike the wind-driven organ, the harpsichord produces a metallic, cool sound through plucking one or more strings with a plectrum, a mechanical part inside the harpsichord. Since its birth in later sixteenth century, it has been featured both as a solo instrument for its brilliant timbre and as the core of harmonic filler (**basso continuo**) for its volume in almost every Baroque music ensemble, complimenting the modest sound of all other instruments that were still developing. Despite its versatility, however, the harpsichord could neither sustain a tone nor produce gradations of volume. Without swelling or diminishing its sound, as was typical for most of the instruments at that time, the harpsichord could articulate only the extreme ends of volume, loud and soft, with no nuanced change in between. With these limited mechanisms and what was called later **terraced dynamics**, the harpsichord commonly gets extreme responses from modern listeners, who experience it as either refreshing or too mechanical.



Hammond B-3
(original author: Salli at it.wikipediaderivative work: Ritchie333, CC BY-SA 3.0 <<https://creativecommons.org/licenses/by-sa/3.0/>>, via Wikimedia Commons)



Harpsichord
(David Hilowitz from San Antonio, USA, CC BY 2.0 <<https://creativecommons.org/licenses/by/2.0/>>, via Wikimedia Commons)

Manifesting contemporaries' wishes for a more nuanced keyboard instrument, the earliest piano was invented by Florentine instrument maker Bartolomeo Cristofori (1655–1731) between 1709 and 1726. Though small at first, with barely four octaves, its timbre was definitely warmer than that of the harpsichord, due to the hammering, rather than plucking, of one or more strings inside. This new instrument was capable of expressing subtle dynamic shadings in between soft and loud volumes, hence, the designation of early piano as either **pianoforte** or **fortepiano**. The contemporaries of the eighteenth century regarded singing and playing an instrument, especially the piano, as an important means of music education at home and a method of romantic courtship. The piano became an iconic instrument of the middle-class family and its aspirations to a higher social standing in Europe and the early United States. Just like a radio, phonograph, or television in the twentieth century, the piano played a central role in providing domestic music making, education, and entertainment for the family.

The piano saw its most advancement in both technology and repertory during the nineteenth century's Romantic period. By the 1830s, the piano had reached a seven-octave range with quicker-responding key actions and improvements in pedals. Though there was no uniformity in the size, shape, weight, and scaling of the damper pedal or in the way it was activated, the **damper pedal** (the right, sustain pedal on the modern piano), found a better technology to increase the expressiveness of the instrument, while the addition of the **shift pedal** (the left pedal, also known as the soft pedal on the modern piano), allowed hammers to strike only one string (*una corda*) for each note and produce timbral variety. The last pedal to be added was the **middle, sostenuto pedal**, by which the pianist can sustain selected notes, while others remain unaffected. It should be noted that not all modern pianos include a middle pedal. The features of these pedals enable the piano to produce both lightness and power in sound, and composers to explore a wide range of sound and expression from personal feelings to dazzling orchestral effects.

The piano's capacity for swelling and diminishing its sound according to emotional changes is crystalized in Chopin's Nocturne in Eb Major, op. 9, no. 2 (1830–1832). With the enhanced resonance by the damper pedal, the lyrical melody sings smoothly, reaches its climax, and then sets itself free. Evoking the image of night, the piano features itself as a complete solo instrument in this piece. Whereas, Liszt's *Twelve Etudes d'exécution transcendante*, S. 139, no. 4 "Mazeppa" (1837; 1852), one of the most difficult pieces in the piano repertoire, showcases virtuosic scalar passages and a succession of octaves, sweeping across all the registers, along with dramatic intensity. As if unfolding the traumatic journey of the young man Mazeppa who was forcibly strapped to a horse as punishment for his affair with a married countess in Lord Byron's poem of the same title (1819), which was the inspiration for this piece, the evolving piano conveys the feelings of suffering and endurance the protagonist would have gone through.

- Video to Watch: Frédéric Chopin, *Nocturne in Eb Major*, Op. 9, No. 2 (1830–1832)
<https://youtu.be/-2y14caU3sg>
- Video to Watch: Franz Liszt, *Twelve Etudes d'exécution transcendante*, S. 139, No. 4 "Mazeppa" (1837; 1852)
<https://youtu.be/CXGeOHdiHrE>

The twentieth century saw little lasting technological changes in the piano but continued to experience changes in its sound quality when it was used for notable experiments in performance

practice. This conventional, melodic instrument began to be treated as a percussion instrument, with the recognition that the pitches are created by fingers pressing or pounding the keys on the surface while the hammers strike a set of tuned strings inside the instrument. Composers and performers utilized both inside and outside parts of the piano as a sounding mechanism. As already heard in some of nineteenth-century piano music, including Liszt's "Mazeppa," composers had begun to expand their sonic palette by utilizing all notes beyond the boundaries of major-minor harmony. The concept of the chord, three or more pitches sounding simultaneously, thus developed into that of **tone cluster** in which a highly dissonant, closely spaced collection of pitches are played together without much consideration of tonality. Especially at the piano, a tone cluster is usually executed by the hand, fist, or forearm striking a large number of keys to produce a special effect in musical and extramusical contexts.

Henry Cowell (1897–1965), an Irish American composer in the early twentieth century, is often credited with this technique. His *The Tides of Manaunaun* (1917), for instance, employs tone clusters in the left hand and forearm throughout the piece in order to reflect the presence of Manaunaun, the Irish mythological god of motion and the waves of the sea. The rumbling sound played by the left hand in the low registers gradually turns into a roaring of the forearm, which gradually calms down toward the end of the piece, while the right hand tells a story of the god of motion and its relationship with the universe through a poignant melody.

In addition to tone clusters, Cowell also conceived the idea of a "**string piano**" in which the pianist directly plays the strings inside the instrument by sweeping, scraping, and plucking them, as if the instrument were a harp. In *The Banshee* (1925), the eerie quality of the sound is created by sweeping and scraping the inside strings with the fleshy padded part of the finger and at times with the back of the fingernails. The occasional pluck of a string and the resonance by the damper pedal help to portray more vividly the picture of a banshee. According to Cowell, a banshee is "a woman of the Inner World" in Irish mythology, "who is charged with the duty of taking your soul into the Inner World when you die ... She has to come to the outer plane for this purpose, and she finds the outer plane very uncomfortable and unpleasant, so you will hear her wailing at the time of a death in your family."³

- Video to Watch: Henry Cowell, *The Tides of Manaunaun* (1917)
<https://youtu.be/mb4LIN35tfc>
- Video to Watch: Henry Cowell, *The Banshee* (1925)
<https://youtu.be/WaIByDIFINK>

Largely inspired by Cowell's string piano, John Cage (1912–1992) introduced the concept of the "**prepared piano**." According to the composer's instructions, the pianist inserts into selected strings such small objects as paper clips, bolts, rubber, wool, bamboo, and coins, and then plays the keyboard in a conventional way while producing unconventional sounds. As can be heard in *Our Spring Will Come* (1943), Cage directs the pianist to "prepare" the piano by weaving bamboo strips in and out of adjacent strings, and placing a combination of screws and bolts, or single screws, on selected strings. With the prepared and unprepared keys, the pianist produces a heterogeneous timbre and sound unusual for the conventional piano. Without the knowledge that a prepared piano is employed in this piece, the listener would readily assume that it is played by a piano with a percussion ensemble similar to Indonesian gamelan or Indian tabla.

- Video to Watch: John Cage, *Our Spring Will Come* (1943)
<https://youtu.be/nXN4AAoLUoQ>



String Piano
(Rhona-Mae Area, CC BY 2.0 <<https://creativecommons.org/licenses/by/2.0/>>, via Wikimedia Commons)



Prepared Piano
(Susanna Bolle / Non-Event, CC BY-SA 2.0 <<https://creativecommons.org/licenses/by-sa/2.0/>>, via Wikimedia Commons)

8.2.4 Percussion Instruments

The largest number of instruments fall under the percussion classification and its variety of sonic possibilities. They produce sound by being struck or, less often, scraped, shaken, or plucked. They are divided between membranophones and idiophones, each of which includes **definitely-pitched** and **indefinitely-pitched** instruments. The latter consists of most members of the drum family, which are used to add rhythm, texture, and effect; whereas, the former produces identifiable pitches, from a few notes to considerable melodies and chords. For example, the **timpani**, or kettledrums, are a set of drums, usually four to five in number, each of which is tuned by pedals to a definite pitch and played with mallets. They are regular members of the modern symphonic orchestra, providing thunder-like, sublime effects in many orchestral and choral works of the common practice period. On the other hand, percussion instruments such as the xylophone, marimba, and vibraphone can produce melodic profiles as expansive as keyboard instruments would do, along with rhythmic, textural, and timbral varieties.

An instrument that joined the percussion family relatively late yet has since become the heart of American popular music is the **drum set** or drum kit. It is a collection of percussion instruments performed by a single player, initially in order to simulate the sound of the “trap set” of an early marching band, which tied multiple percussion instruments together to have one player cover all the parts. In the early 1900s, the commercialized drum set included a single bass drum (also known as kickdrum) with a pedal, a snare drum, two cymbals, and a woodblock. Later, with the addition of three tom-tom drums (pitched high, middle, and low), the hi-hat (a pair of cymbals mounted on a metal stand), and other cymbals (ride, clash, splash, and others), the modern five-piece drum set began to take shape. Since then, drummers have extended or altered their drum sets by adding more drums, more cymbals, and many other percussion instruments including definitely-pitched instruments. Some rock and heavy metal drummers include two bass drums to match the sound volume of the band, and some progressive rock drummers incorporate classical percussion instruments, such as gongs and tubular bells.



Timpani

(Timpani21, CC BY-SA 3.0 <<http://creativecommons.org/licenses/by-sa/3.0/>>, via Wikimedia Commons)



Drum Set: 1. Ride Cymbal, 2. Floor Tom, 3. Toms, 4. Bass Drum, 5. Snare Drum, and 6. Hi-Hat

(Pbroks13, CC BY 3.0 <<https://creativecommons.org/licenses/by/3.0/>>, via Wikimedia Commons)

In jazz, the drum set is a part of the **rhythm section** that serves as a timekeeper of the band, together with the piano, string bass, and guitar. It was in the swing era that the drummer began to assume a visible role, not only providing a rhythmic drive for dancing but also displaying a flamboyant showmanship. The drummer Gene Krupa (1909–1973) in Benny Goodman’s rendition of “Sing, Sing, Sing” (1937) set a new standard for drummers with his rambunctious playing style and technique. His famous drum set featured tunable tom-toms and a foot-operated hi-hat cymbal. Throughout “Sing, Sing, Sing,” Krupa energetically alternates with other instruments and echoes them in his solos, fueling the band and amplifying the swing feel. In contrast, Clyde Stubblefield’s calm, slick, and precise pattern and crisp timbre in James Brown’s “Funky Drummer” (1969) internalize the groove with subtlety, which drew an indelible template for funk-style drumming and has played a guiding role in the manipulation of the **drum machine** (a digital device that imitates percussive sounds and sound effects) for hip-hop artists.

- Listening: Gene Krupa’s Drumming in Benny Goodman and His Orchestra’s “Sing, Sing, Sing” (1937)
<https://youtu.be/j9J5Zt2Obko>
- Listening: Clyde Stubblefield’s Drumming in James Brown’s “Funky Drummer” (1969)
<https://youtu.be/dNP8tbDMZNE>

Beside the type and size of instrument, performance technique, and individual style of performance, dynamics can also have a large impact on timbre. They are technically the loudness or softness of music, usually marked by the composer on the score. However, depending on all the variables of timbre, from the instrument to the performer, and from the type of venue to the characterization of music, the same loud or soft marking can be interpreted differently. Often, the performer is welcome to add, drop, or specify **dynamic markings**, according to the performer’s imagination of the piece of music. Some of the standard dynamic markings are as follows:

Dynamic Markings	Dynamic Shadings
Pianissimo (<i>pp</i>): very soft	Crescendo (<): growing louder
Piano (<i>p</i>): soft	Decrescendo or diminuendo (>): growing softer
Mezzo-piano (<i>mp</i>): moderately soft	
Mezzo-forte (<i>mf</i>): moderately loud	
Forte (<i>f</i>): loud	
Fortissimo (<i>ff</i>): very loud	

Chapter 9 Rhythm and Meter

Key Terms and Concepts

Rhythm

Rhythmical

Beat, meter, and tempo

Downbeat and upbeat (backbeat)

Metered/measured versus unmetered/unmeasured

Meter, time signature, simple meter, compound meter, and irregular meter

Tempo rubato, accent, and syncopation (offbeat phrasing)

Polymeter and polyrhythm

Tempo and expression markings

9.1 Rhythm

Rhythm is a regulated succession of strong and weak elements of music or a recurring sequence of movements, actions, or events in music. It can be highly regulated or less regulated, and **metered** or **unmetered**, depending on how the music is composed or performed. By the means of rhythm, which arranges longer and shorter sounds, along with silences, into patterns, music acquires a sense of organization in time, working closely with the **beat** (regular pulse), **meter** (grouping of the beats), **dynamics** (degrees of loudness and softness), and **tempo** (the speed of the beat).

In a broad sense, all music is **rhythmical**—in other words, every piece of music has its own internal pace of movement—but with respect to the metrical system of Western music, some music is metered, while other musical works are unmetered. Most religious chants in their earliest form, including Jewish, Catholic, Islamic, Buddhist, Native American, and Hawaiian, follow their own speech rhythms based on a natural pulse. Thus, they are considered rhythmical, yet unmetered or unmeasured. Most music we experience on a daily basis, however, other than that of older music of the traditional sphere or avant-garde and experimental music, is set either in a single meter or with metrical changes.

9.2 Meter

Meter is a recurring pattern of the beats with stresses or accents in a piece of music. It is usually notated at the beginning of a composition with a **time signature** that looks like a fraction in mathematics, but without the horizontal line. The upper number indicates the number of beats per measure, while the lower number indicates either the value of the beat in simple meter (for example, 2/4, 3/4, and 4/4) or the value of the division in compound meter (for example, 6/8, 9/8, and 12/8). Within a given meter, composers organize sounds and silences in their preferred rhythmic patterns, performers articulate the organization through their interpretation, and listeners promptly reorganize in their minds the metric interactions that they hear.

Meters in Western music are principally classified as duple and triple. The quadruple meter is a special type of duple meter. In fast-tempo music, duple and quadruple meters are often aurally indistinguishable, though with slightly different affects. In these duple, triple, and quadruple meters, the stress is strongest on the first beat of the measure. Additionally, the conductor's hand moves straight downward on the first beat; hence, the first beat of the measure is called the "**downbeat**." On the other hand, the beats that follow are less stressed, with the conductor's hand moving to the side or upward, and thus these beats are considered an "**upbeat**" or "**backbeat**."

Theoretically, these meters are supposed to stress the downbeat in order to establish the given meter in a stable way. In practice, however, any of the upbeat notes can be stressed by the composer's or performer's choice, which would incorporate accentuation, phrasing, and dynamic and expression changes. This process stirs up not only the regular stream of the meter but also the psychological and emotional balance of the listener. This is why the accentuation of the upbeat frequently occurs in fast-tempo dance music, and also explains why this type of music is called "upbeat" music by many public audiences, especially in the popular sphere.

Duple meter groups the beats into two, with the first beat stressed: ONE-two, ONE-two, etc. In conducting, accordingly, the hand goes DOWN-up, DOWN-up, repeatedly drawing downward and upward strokes. This symmetrical duple division sounds natural and comfortable to us, in that the design of our body and physical movement is primarily based on symmetry. The basic outlines of duple meter are thus readily compared to walking or marching steps. John Philip Sousa's *The Stars and Stripes Forever* (1897) is primarily in such duple meter. The entire marching band articulates the grouping of two beats and the accentuation of the first beat at the beginning and ending sections. The middle section, however, lessens the accentuation, shifting its interest to the lyrical melody. Not every downbeat is heard as strongly as in the outer sections, but on the basis of what is heard in the first section, the established duple meter is still felt, though with an effect quite different from that of the other two sections.

- Video to Watch: John Philip Sousa's *The Stars and Stripes Forever* (1897)
<https://youtu.be/a-7XWhyvIpE>

Triple meter groups the beats in three, with the first beat stressed, as well: ONE-two-three, ONE-two-three, etc. With the conductor's movements, the hand moves, if right-handed, DOWN-right-up, DOWN-right-up, and, if left-handed, it moves DOWN-left-up, DOWN-left-up, repeatedly drawing the triangular shape of a boat sail. Conductors frequently use both hands and personalize their conducting shape and technique. In comparison with the duple meter that is common in marches, triple meter is used more for dancing, especially with such stylized dances as the waltz, minuet, and mazurka in classical music. Albert von Tilzer's "Take Me Out to the Ball Game" (1908), though a popular song, is set in triple meter, which was less common meter in the industries of commercial music and jazz. Following the convention of songwriting in Tin Pan Alley at the beginning of the twentieth century, this song borrowed elements of classical music, from singing style to instrumentation, and then combined them with comical lyrics to depict the contemporary popularity of baseball games. Of the classical elements embedded in the song, the triple meter, which might be difficult to hear at first because of the brisk tempo, seems to make the most direct bearing on the lively and earthly affect of the song.

- Video to Watch: "Take Me Out to the Ball Game," Words by Jack Norworth and Music by Albert von Tilzer (1908)
<https://youtu.be/q4-gsdLSSQ0>

Quadruple meter groups the beats in four, with the first beat most accented and the third beat somewhat accented: ONE-two-THREE-four, ONE-two-THREE-four, etc. It is conducted by moving the hand DOWN-left-RIGHT-up, DOWN-left-RIGHT-up, in the right hand, and DOWN-right-LEFT-up, DOWN-right-LEFT-up, etc. in the left hand. The most common quadruple meter is 4/4 meter, which is also called "common meter" or "common time" notated with the letter C.

Quadruple meter often incorporates a moderate tempo (speed), clearly outlining the grouping of the four beats and bringing a strong sense of balance and stability. The second movement of Joseph Haydn's "Emperor" String Quartet is, for example, set in quadruple meter and with the tempo and expression marking *Poco adagio cantabile* (rather slow, songlike). In this rational conversation of the four instruments, as Goethe once described it with the spirit of the time in the Age of Enlightenment, the quadruple meter provides a vital rhythmic ground for such sensible, stoic character. Likewise, the quadruple meter heard in Louis Armstrong's "West End Blues," again in a moderate tempo, is a substantial part of the characteristic style and sound of New Orleans jazz. The emotional easiness and comfort experienced here work closely with the regularity of the 12-bar form, which unfolds a sequence of distinct solos that are rooted in the rhythmic principles of quadruple meter.

- Video to Watch: Joseph Haydn, "Emperor" String Quartet, Op. 76, No. 3, Mov. II (1797)
<https://youtu.be/mBmCcSz6HWw>
- Listening: Louis Armstrong and His Hot Five, "West End Blues" (1928)
<https://youtu.be/4WPCBieSESI>

While **simple meters**, such as 2/4, 3/4, and 4/4, carry the quarter note as the beat and subdivide it into two eighth notes (with each eighth note being half the length of a quarter note), **compound meters**, such as 6/8, 9/8, and 12/8, use the dotted quarter note as the beat and subdivide the beat into three eighth notes. In conducting, 6/8 meter is conducted in the same way as 2/4 meter, DOWN-up, DOWN-up. While conducting in two, ONE-two, the listener can hear and feel the triple subdivision, ONE-la-li-two-la-li (with "la" and "li" indicating the subdivision of the beat). Likewise, 9/8 is conducted in the same way as 3/4 meter, DOWN-right-up, DOWN-right-up, while ONE-la-li-two-la-li-three-la-li is articulated in a subtle manner. 12/8 follows the pattern of 4/4 meter in conducting: moving the hand DOWN-left-RIGHT-up, in a large scheme, while sensing the triple subdivision, ONE-la-li-two-la-li-THREE-la-li-four-la-li, in a smaller scheme.

Though possible, it is often not easy to recognize compound meters by listening alone, unless the music is played at a tempo that articulates both the larger and smaller metrical schemes, especially with the downbeat accented loud enough. For example, after listening to the first thirty seconds of the cellist Yo-Yo Ma's performance of J. S. Bach's Cello Suite no. 1, "Gigue," the listener can tell that there is a duple swing feel within a large scheme, while each beat is subdivided into three. Not only is the overt 6/8 meter articulated by the performer, but the composer also provides a clear signal at the end of each phrase by assigning the two-beat notes alone.

- Listening: J. S. Bach, Cello Suite No. 1 in G Major, Mov. VI: Gigue
<https://youtu.be/PEFJAp8BZek>

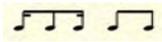
When compound meter accompanies a slow, emotionally charged tempo, however, listeners tend to be directed by the triple subdivision ($\underline{\text{J}}\underline{\text{J}}\underline{\text{J}}$) rather than the larger division of the music, hearing it as triple meter. This is because the slow tempo with its associated longer and smooth phrasing obscures the meter of the melody, while the triple subdivision with its rhythmic figure is more obvious. To many listeners' surprise, the well-known Frédéric Chopin's Nocturne in E-flat major, op. 9, no. 2 is written not in 3/4 but in 12/8 meter. Despite the composer's intention for the rocking and rolling feelings of 12/8 meter, and the performers' following efforts, the triple

subdivision of the bass is more often than not heard as if it were the larger metrical scheme of the music. In the meantime, the lyrical melody approaches meter rather flexibly by means of a technique called **tempo rubato** (“robbed time”). The term commonly means a lenient approach to tempo with expression, when indicated on the score. In nineteenth-century Romantic piano music, however, tempo rubato indicates a performance practice that involves the hand responsible for the melody pushing and pulling the tempo following the fluctuating emotion of the music, while the other hand for the accompaniment keeps a strict time. With the resulting independence between the two hands, thus, the triple subdivision of the accompaniment is one that plays a guiding role of pulsation in Chopin’s Nocturne. This way of interpretation and hearing is not incorrect but, rather, is highly acceptable, in that the meter operates flexibly in actual music, depending on the performer’s approach to accentuation, phrasing, expression, and dynamics.

- Video to Watch: Frédéric Chopin, *Nocturne in Eb Major*, Op. 9, No. 2 (1830–1832)
<https://youtu.be/-2y14caU3sg>

While the first beat of each measure naturally gets a stress or **accent** in metered music, other weak beats can occasionally be emphasized by means of a dynamic accent marked with >. The marked pitch or chord is played intentionally louder or bears a sharper attack. By disrupting the flow of the underlying meter (duple, triple, or quadruple), the dynamic accent causes music to sound unpredictable and interesting, refreshing the listener’s attention. In the “Dance of the Adolescents” from Igor Stravinsky’s *Le Sacre du printemps* (“The Rite of Spring,” 1913), for example, the first eight beats of 1-2-3-4, 1-2-3-4, seem to establish a duple or quadruple division (actually in 2/4 meter), yet this rhythm is soon skewed by intermittent dynamic accents and fragmentary melodic figures. When repeatedly counting the 1-2-3-4, the listener would find the highly irregular accentuation intrusive and disorienting, which is a similar effect to that of **polymeter** (two or more metrical groupings running simultaneously between different instruments or voices). The choreography of the dancers adds another element to the audience’s experience of the meter. This disturbing accentuation, along with unprecedented dissonances, has been notorious since its premiere, which caused a riot in the concert hall at that time.

- Video to Watch: “Dance of the Adolescents” from Igor Stravinsky’s *Le Sacre du printemps* (“The Rite of Spring,” 1913)
<https://youtu.be/XedawBHB-uc> [Accents Notable at 3:17 and on]

Another way of creating a rhythmic displacement is **syncopation**, at times called **offbeat phrasing**. In metered music, the downbeat tends to carry a longer value note than the following beats in order to establish or outline clearly the underlying meter. However, in pursuit of animating effects, from traditional, through classical, to popular music, a longer-value note is at times assigned to a weaker beat or a weaker part of the beat. The accent then naturally moves to the weaker beat, likely pushing the music forward. The jaunty, bouncy feelings associated with Scott Joplin’s “Maple Leaf Rag” (1899) are largely produced by syncopated rhythms (). Likewise, Joe and Odell Thompsons’ rendition of “John Henry” with an old-time string band articulates a similar rhythmic pattern. The fiddle comes slightly later than the downbeat, thereby starting to phrase offbeat, while the vocal part emphasizes naturally by placing a longer note on the weaker part of the beat when singing “[hen]RY” or “[ba]BY.” This basic rhythmic figure has survived from indigenous African practices, heard in whole or part throughout the Americas,

particularly in the Caribbean. In North American music by black composers and musicians, it has become the characteristic form of syncopation underlying blues, old-time fiddle, minstrel banjo, cakewalk, piano ragtime, and jazz styles. As an expansion of offbeat phrasing, the famous drum solo in James Brown's "Funky Drummer" articulates three different rhythmic patterns within the framework of 4/4 meter. The first beat bears the weight of the downbeat, synchronizing the rhythmic layers to come, while other beats receive dynamic accents and syncopations in the layers of the bass drum, snare drum, and hi-hat, as well as the vocal adlib, together resulting in a **polyrhythm**.

- Listening: Scott Joplin, "Maple Leaf Rag" (1899)
https://youtu.be/O_dI6BZt06U
- Listening: Joe and Odell Thompson, "John Henry"
<https://youtu.be/85WTwG1Df-A>
- Listening: James Brown, "Funky Drummer" (1969)
<https://youtu.be/dNP8tbDMZNE>

Finally, rhythm and meter can have room for adjustment by the performer's choice for a given tempo. **Tempo** is thus a means of interpretation, and it can create different effects and imbue a different character to a given piece of music. As can be seen on the table of select **tempo markings** below, these are basically verbal expressions in the Italian language, though often accompanied by precise metronome markings. Classical music usually shows a tempo marking at the beginning of the piece, with additional expression markings, and it should be noted that a piece of music may change tempos once or even more frequently. In a multimovement work, the tempo serves as a marker of the movement and as an indicator of the music's character. Adagio was, in particular, regarded as a specific quality during the Baroque, while its orientation to a beautiful, unending melody and the additional dense texture gave rise to a cult among German Romantic composers. Popular music tends to indicate the tempo by a metronome marking (for example, ♩ = 60) without the accompaniment of an Italian term, though the tempo still allows for extensive changes and varieties in pursuit of the performer's originality.

Tempo Markings
Prestissimo: as fast as possible
Presto: very fast
Allegro: fast (lively)
Allegretto: moderately fast
Moderato: moderate
Andante: a bit slow (walking)
Adagio: slow (at ease)
Largo: very slow (broad)

Chapter 10 Melody, Harmony, and Texture

Key Terms and Concepts

Note, pitch, duration, and timbre

Tune, theme, motive, and head

Conjunct and disjunct

Interval and chord

Diatonic and chromatic

Texted melody and untexted melody

Syllabic, neumatic, and melismatic text-setting styles

Harmony

Consonant and dissonant

Pre-tonal, tonal, and post-tonal

Monophonic, polyphonic, homophonic, and heterophonic textures

10.1 Melody

A **melody** is a succession of individual sounds or musical notes. Each **note** concerns both **pitch** (highness and lowness) and **duration** (longness and shortness), as well as **timbre** (tone color) through the performing forces. Most melodies consist of notes closely related to one another, resonating a sense of belonging, but some are designed to be less coherent and even arbitrary for a particular style and sound, as in serial, avant-garde, and experimental music. Melody works closely with rhythm that involves the duration and stress of sound, as well as with harmony that implies or outlines the relationship of the notes as they are played in succession or simultaneously. Although melody is often the element of music by which listeners recognize and remember a piece of music, some melodies are less lyrical or singable with an emphasis on rhythmic distinction.

Terms that indicate melody or melodic material in Western music are **tune**, **theme** or subject, **motive** (also spelled as motif), and **head**. The term tune is almost synonymous with melody but implies more of a finitude and closure. It is likely to denote a simple yet strong musical entity in content, especially in popular music. This type of melody is often borrowed in jazz and transformed by improvisation that is open to further development. Theme or subject refers to a melodic entity that is used as the basis for a larger musical form. It is designed with a strong potential for development throughout the composition, as fragments or in full length, in close association with other elements of the music. In classical music, a composition in fugue or in sonata form includes more than one theme. The thematic contents are called subject and countersubject in the genre of fugue, and primary and secondary themes in sonata form. Subjects or themes consist of smaller melodic or rhythmic ideas, each of which is called a motive that retains its own identity as the smallest musical unit. As a bearer of the theme, a motive is combined with other material and together elaborates the music, which provides coherence for the entire work. Lastly in jazz, the main melody is designated as a head, whether it is original or borrowed from an existing piece of music. Conventionally, just like a theme in classical music, the head is introduced at the beginning of the piece, transformed by means of soloists' creative improvisations, and then returns in the original form at the end of the piece.

Melody can be described in several ways, depending on the motion, the harmony, and the text-setting style when applied to vocal music. According to the melodic motion, melody is characterized as **conjunct** or **disjunct**. A conjunct melody primarily features successive pitches in small intervals, moving by seconds (for instance from the pitch C to D), which are also known as

steps (thus called **stepwise** motion, as well). In contrast, a disjunct melody features leaps (intervals larger intervals than seconds), moving between nonconsecutive pitches. A strong melody usually consists of both conjunct and disjunct motions, balancing out feelings of foundation and tension, or tension and release. Without this contrast, the melody would sound either too monotonous or too sporadic and random, unless explicitly intended for a particular philosophical and aesthetic reason.

Secondly, melodies are classified as **diatonic** or **chromatic** in close association with the concerned harmony. A diatonic melody indicates that a melody is primarily made of the pitches belonging to a specific church mode or a key of major-minor functional harmony. As one of the main constituents of the common practice period in Western music, in particular, a diatonic melody usually sounds agreeable to our ears and often accompanies an arch shape, with triadic motions (leaps in interval of thirds and sixths) and a lyrical quality. In contrast, a chromatic melody includes pitches outside of a particular key and can occur in a section of a diatonic composition or sometimes for the entire piece of music. Bringing cacophonous sounds and intense feelings to music without proper resolutions or emotional release, chromaticism has challenged audience's ears, while pushing the boundaries of major-minor functional tonality in the classical music since the turn of the twentieth century.

Lastly, according to the way that text is set to music in a **texted melody** or vocal music with lyrics, the music-text relationship or **text-setting style** is described in part as **syllabic**, **neumatic**, or **melismatic**. Syllabic means that each musical note is assigned to one syllable of text. This text-setting style is often employed when music is designed to convey a great amount of text or when the text is more important than music itself. Because this text-setting style provides less room for interpretation or dramatization of the textual meaning, it often incorporates an impassive or deadpan style of delivery. In contrast, melismatic indicates that a large number of notes, typically more than five, are assigned to one syllable of text in order to express a feeling of exultation, adoration, or anger, corresponding to the literal meaning of the word that employs the melisma. In between syllabic and melismatic is a neumatic style, in which around two to four notes are given to one syllable of text, often bridging syllabic and melismatic text-setting styles in a piece of vocal music.

In the Christmas carol "Angels We Have Heard on High" (1862), the melodies are diatonic and primarily conjunct with few intervallic leaps, and the lyrics are set in syllabic and melismatic styles. In a verse-refrain form, the verses syllabically recount the event of a singing celebration at the birth of Jesus. Whereas, the refrain "Gloria in excelsis Deo" ("Glory to God in the Highest") describes with imagination the sound of the actual singing at the event, beginning with a conjunct melisma above the syllable "o" in the word "Gloria." It is common that the verse delivers more words in a syllabic style, while the refrain carries fewer words with more musical notes to balance out its length with that of the verse. In contrast, Cesare's aria "Empio, dirò, tu sei" ("I say that you are ungodly") from George Frideric Handel's Italian opera *Giulio Cesare*, Act I, Scene 7 (1724) employs a melismatic text-setting style to express rage over the inhumanity of the situation by assigning a long melisma to the ending syllable "à" of "Crudeltà" (cruelty). This feeling soon turns into Cesare's sympathy with an emphasis on the word "Pietà" (pity) and its final syllable "à" with a long, elaborate melisma. These two melismas serve as a textual and musical rhyme between the opening and middle sections. Though the affects are contrasted, as designed for an aria in da capo form, the text-setting style helps to strengthen the structural unity.

- Listening: Christmas Carol “Angels We Have Heard on High” (1862)
<https://youtu.be/WHWqj6gKS9g>
- Video to Watch: Cesare’s Aria “Empio, dirò, tu sei” (“I say that you are ungodly”) from George Frideric Handel’s Italian Opera *Giulio Cesare*, Act I, Scene 7 (1724)
<https://youtu.be/uXBOOf43cYQ>

10.2 Harmony

Harmony is commonly perceived as the vertical dimension of music, providing depth and richness for the associated melody or melodies. Resulting from two or more pitches played at the same time, a harmony encompasses agreeable and disagreeable sounds, or more precisely, **consonant** and **dissonant** chords (the building blocks of harmony). Though the concept of harmony, based on chord progressions, has been developed in the realm of Western art music, non-Western music features a similar element through **drone** pitches, which are held or played continuously against a melody or melodies. It is not uncommon in the practices of Western music, either, from ancient Greek through Irish bagpipe to avant-garde music.

In Western art music, harmony is primarily classified as **pre-tonal**, **tonal**, and **post-tonal**. From the perspective of tonal harmony, which prevails in the majority of musical repertoires we encounter on a daily basis, pre-tonal or modal harmony sounds similar yet with a less of an inclination of going “home” in directionality, in that it does not always incorporate what is called the “leading tone” in tonal harmony. As exemplified in Catholic chants, also called Gregorian chants in musical recordings, pre-tonal harmony was formed within the system of church modes during the Medieval period and played a guiding role in composition until the establishment of the theory of tonal harmony. Composers have since adopted pre-tonality not only as an option of harmonic practice but also as a means of obscuring tonality or evoking a particular effect within the context of tonal music.

- Listening: “Gloria” from *Mass for Christmas Day*
<https://youtu.be/jQdASy2hZGM>

Tonal harmony combines consonances and dissonances in an orderly manner, creating a sense of motion through their interactions. Within the system of major and minor scales, the focus of tonal music lies in establishing a key, modulating to closely or remotely related keys, and then returning to the original key, outlining a narrative of “home-away-home” in sound. The cultivation of tonal harmony reached a pinnacle during the common practice period, along with the development of structural designs and genres that articulated harmonic progressions around a tonal center. Under this law of so-called “functional harmony,” all chords of a key have specific interrelations and hierarchical functions in relation to the tonic chord. The majority of popular music and jazz before free and avant-garde styles have since cultivated their styles and sounds within tonal harmony, as well. This was part of the reason that audiences flocked to jazz in the 1920s when classical music moved away from tonal harmony in order to search for innovation in atonal and atonal serial harmonies.

- Listening: Wolfgang Amadeus Mozart, Piano Sonata, No. 16, K. 545, Mov. I (1788)
<https://youtu.be/4xeAsc6m35w>

Unlike pre-tonal and tonal harmonies, **post-tonal** harmony purports to treat consonances and dissonances equally, and thus it is characterized by the obscure presence or absence of a tonal center. Liberating dissonances from the position of “second-class citizen” within the hierarchy of tonal harmony at the turn of the twentieth century, composers and theorists had first attempted to create a sound completely “not tonal”—hence, the term **atonal**. Arnold Schoenberg’s conception of **serialism** (also called twelve-tone technique or dodecaphony) in the 1920s exemplifies its attempt to treat equally the twelve notes of an octave (all the black and white keys of an octave, for example from one C to the next C on an instrument). Due to the confinement of atonality as a musical term and its improbability to embrace a variety of experimental sounds after the common practice period, however, the loosely defined term post-tonal has been introduced and used more commonly for latter-day music and its harmonic practices that surpass the limits of a tonal center.

- Video to Watch: Arnold Schoenberg, No. 7 “Der kranke Mond” (“The Sick Moon”) from *Pierrot lunaire* (“Moonstruck Pierrot,” 1912)
<https://youtu.be/bd2cBUJmDr8> [No. 7 at 10:55–13:10]
- Listening: Arnold Schoenberg, Piano Suite, Op. 25, Mov. VI: Gigue (1923)
<https://youtu.be/pLKVe8YikRo>

10.3 Texture

Texture in music is the density and disposition of the musical lines that constitute a composition or performance. Just like the texture of a piece of fabric, the way in which the individual properties operate together plays a defining role in the sound and affect of music. According to the number of musical lines (also called “voices” or “parts”) and the way they relate to one another, there are primarily three types of texture in music: **monophonic**, **polyphonic**, and **homophonic**.

Monophonic texture, as the term “mono”-“phonic” indicates, includes only a single musical line with no accompaniment or harmonization. Most religious chants in their earliest form were conceived in this texture, and it is the most basic and widespread musical texture in both sacred and secular music. For example, “Gloria” from *Mass for Christmas Day* is a Catholic chant in monophonic texture. The opening phrase “Gloria in excelsis Deo” is led by the priest, and then the rest of the chant is sung by a male choir in unison or at the octave. While the different vocal ranges and timbres of the individual singers may cause this melody to be heard as if harmonized, everyone sings the same pitch, either in unison or at the octave, and it is regarded as a monophonic texture, one of the essential characteristics of the chant, along with the unmeasured/unmetered rhythm, pre-tonal harmony, and Latin text.

- Listening: “Gloria” from *Mass for Christmas Day*
<https://youtu.be/jQdASy2hZGM>

Polyphonic texture indicates that there are more than two musical lines, and that the lines are also independent. Depending on their relationship, it is classified as **imitative polyphonic** and **free polyphonic**. The former is similar to a round or strict canon in which more than two voices sing or play the same melody or the same beginning at different times, creating various, more likely consonant vertical intervallic relationships. As heard in the children’s rhyme “Row, Row, Row Your Boat,” one voice enters first, and then the next duplicates it after a while. As they progress, the lines harmonize each other, despite their asynchronous moves. This method of

writing music is called counterpoint; thus, the term **contrapuntal** is occasionally exchangeable with polyphonic, especially within the context of tonal harmony. In contrast, free polyphonic texture incorporates more than two voices without any sort of imitation. The lines begin either simultaneously or at different times, without much consideration of the vertical, consonant relationship. Due to the perceived freedom, this texture is frequently incorporated in music with improvisation in various spheres.

- Listening: “Row, Row, Row Your Boat”
<https://youtu.be/iiRJ20LPTv0>

In John Coltrane’s “Jupiter,” for example, the saxophone and the drum play together as a duet but maintain separate musical lines. Neither part supports the other line in a conventional, euphonious manner. However, within the context of free/avant-garde jazz, these highly improvised lines create a free polyphonic texture and successfully combine it with atonal or post-tonal harmony. Likewise, in James Brown’s “Funky Drummer,” at 3:20, the voice, horn, guitar, drum set, and organ follow their own rhythmic lines without much concern about synchronization. Due to the high interest in rhythm and the percussive use of all the performing forces, this free polyphonic texture would be better described as a polyrhythmic texture.

- Listening: John Coltrane, “Jupiter” from *Interstellar Space* (1967; 1974)
<https://youtu.be/n03AiKu6LVo>
- Listening: James Brown, “Funky Drummer” (1969)
<https://youtu.be/dNP8tbDMZNE>

Just like polyphonic texture, homophonic texture involves several musical lines, together resulting in a harmony; however, as the term “homo”-“phonic” implies, this texture produces a more vertically aligned, congruent sound. Within a hierarchy of musical lines, one line takes the lead as the main melody, while the others serve as an accompaniment, moving at the same or a similar pace, in order to support the main melody and resonate better. Because the text as well as the main melody is clearly delivered with the depth of harmony, it is probably the most common texture in vocal music, from hymns to popular songs, constituting an entire piece of music or a section alternating with other textures for variety.

Particularly in vocal music, texture is often used as a tool of word painting. Homophonic texture is assigned to a relatively more important textual message, while a polyphonic texture is reserved for the description of a chaotic situation or to convey an intensifying moment. Likewise, monophonic texture is tied with the meaning of oneness or solitude. In the “Hallelujah” chorus from *Messiah*, for example, George Frideric Handel effectively uses the three types of texture in line with the meanings of the textual phrase. The powerful announcement of “Hallelujah! Hallelujah!” is supported by a homophonic texture. Then the texture changes into monophony to convey the sovereignty of God (“For the Lord God Omnipotent reigneth”). Once the message is established, around 0:46, the choir turns into a noisy exultation in a polyphonic texture, combining “For the Lord God Omnipotent reigneth” with “Hallelujah.”

- Video to Watch: George Frideric Handel, English Oratorio, *Messiah*, the “Halleluiah” Chorus (1741)
<https://youtu.be/1NNy289k6Oc>

Similarly, in the second movement of Joseph Haydn’s “Emperor” String Quartet, set in a theme and variation form, the theme is announced for the first time by the full forces in a homophonic texture in which the first violin takes the main melody while the lower strings provide it with a depth and richness of harmony. In Variation 1, for a textural change, the main melody goes to the second violin, and the first violin takes an independent, characteristic line as if a bird were chirping around the main melody. They together produce a duet in a polyphonic, or more precisely free polyphonic, texture. In Variation 2, the cello that takes the main melody, while the other instruments play a dual role in creating both polyphonic and homophonic textural support.

- Video to Watch: Joseph Haydn, “Emperor” String Quartet, Op. 76, No. 3, Mov. II (1797)
<https://youtu.be/mBmCcSz6HWw> [Variation 1 at 1:39 and Variation 2 at 2:46]

¹ Translated by Cynthia Beard the editor of this textbook.

² Goethe’s letter to Zelter on 9 November 1829 from *Goethe’s Letters to Zelter with Extracts from Those of Zelter to Goethe, Selected, Translated, and Annotated by A. D. Coleridge, M.A.* (New York: George Bell & Sons, 1892).

³ Interview with Cowell recorded on *Henry Cowell: Piano Music* (Washington, D.C.: Smithsonian Folkways, CD SF40801)

PART III: MUSIC AND IDENTITIES

Overview

In Parts I and II, we studied the key elements of music that constitute the mainstream compositional and performance practices of the United States, as well as the associated philosophical and aesthetic ideas and beliefs. On the basis of this knowledge, we are now going to stretch our discussion to contemporary music-making conventions that distinguish themselves for their diverse historical and cultural roots, while endeavoring to stay current and original in dialogue with other types of music and their developments.

Chapter 11 puts a spotlight on the musicians whose Native American and Asian Pacific American heritages have been shared with other cultural communities through their blended styles and sounds. Chapter 12 retraces a brief history of jazz through style periods, articulating its difference in components, style, and sound, and Chapter 13 illuminates the roots of country music (also called country-and-western music) that blend various sources of music and style. In both spheres of music, diversity has been a marked feature, apart from the black-and-white binary image that has been institutionalized in the commercial music market. Chapter 14 discusses American popular music culture in the 1960s, characterized with counter-culturalism that accompanied political and social messages or encouraged a collective search for spirituality as an alternative. Chapter 15 outlines the beginnings of hip-hop culture and music and its impact on both domestic and international musical scenes as a political, social, and aesthetic outlet of marginalized communities. Chapter 16 covers contemporary efforts to recreate and thereby preserve traditional music in changing classical and jazz spheres, such as tango, mariachi, dabke, and klezmer. Concluding our narrative of *Open Listener*, the final chapter of this textbook, Chapter 17, presents notable examples of cross-cultural experience and identification in American music-making. Such exchanges primarily occur in two ways. On the one hand, competent musicians continue to immigrate to, temporarily reside in, or regularly visit this country in order to collaborate with other practitioners and learn from their unique experiences in life and music. On the other hand, a growing number of informed listeners have shown an open-mindedness that has led them to explore a wide range of global music available through the internet, creating new cultural sensations and fandoms in their own, seemingly unlimited boundaries.

Chapter 11 Native American and Asian Pacific American Music

The history of the United States consists of not only European Americans and their cultures but also Native Americans, Asian Americans, and Pacific Islander Americans, among others, whose heritages and distinctions have contributed to the identification, development, and diversification of the nation's culture as a whole. As discussed in Chapter 1, Native Americans who had migrated from Asia to Alaska across the Bering Strait first discovered and lived in the Americas tens of thousands of years ago, developing a wide range of languages, customs, and civilizations. Asian Pacific Americans came from the part of the world surrounded by the Pacific Ocean, which includes East, South, and Southeast Asia as well as the oceanic regions of Australasia, Melanesia, Micronesia, and Polynesia. Historical evidence indicates that Polynesians first arrived and settled on the Hawaiian Islands as early as 400 C.E. In the mainland United States, Filipinos arrived in California through a Spanish trading vessel in 1587. Chinese then flocked to the West Coast in the 1850s to escape economic instability in China and seek fortune during the California Gold Rush. When the Gold Rush ended, Chinese Americans found employment in agriculture, mining, and

railroad construction. It was the Chinese Americans who built the Transcontinental Railroad in the 1860s. In the same decade, the first official group of Japanese immigrants landed on the Hawaiian Islands in order to work in the sugarcane fields. Many of them moved to the West Coast of the United States mainland, working as farmers and fishermen. By the twentieth century, more people from Asian Pacific nations migrated to the United States and other regions of the Americas for such reasons as war, trading, and education. These new Asian Pacific settlers became part of the United States with their rich and diverse cultures. The United States today is home to more than 22.6 million Asian Pacific Americans, according to the data of the 2018 Population Estimates from the United States Census Bureau.

11.1 Native American Music

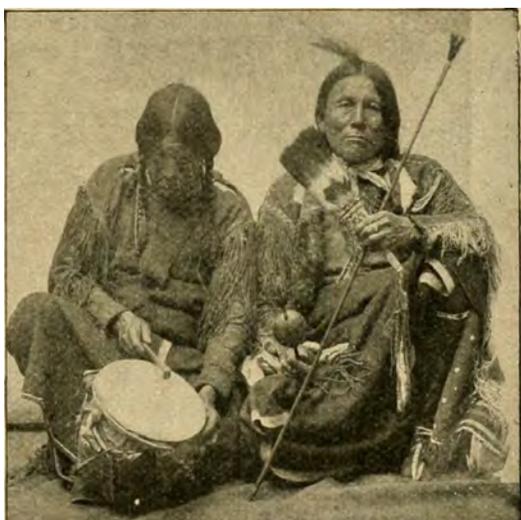
The history of the music and cultures of Native Americans dates back to the early settlement of the Paleo-Indians on the North American continent, and subsequently all of the Americas, more than 40,000 B.C.E. They developed their own beliefs and cultures that vary from one tribe to another. However, the arrival of Europeans from the sixteenth century onward caused a decline in Native American cultural practices: the eventual extinction of some practices and even the disappearance of some tribes, in part, due to the lack of official recognition of them.

Music of Native Americans plays an important role in maintaining group identity as a distinctive ethnic and cultural community. Wisdom and traditional ways of life have been transmitted for generations through songs, dances, and musical instruments that served their spiritual ceremonies and social activities. Since many practices were lost or legally prohibited until the later part of the twentieth century, the Native American musical practices of today are only a portion of their long and great heritage transmitted orally with modifications and reconstructions.

Apart from the shamanic cultures that were discussed in Chapter 1, modern practices of Native American music include sacred songs sung in the annual summer Sun Dance ceremony, the sacred vision quest, and sweat lodge ceremonies (sometimes referred to as the “inipi”), songs and dances of social gatherings such as powwow and friendship events, and lullaby and storytelling traditions. The themes of these songs center on spirituality, nature, landscape, forest, waterfall, stream, and the tribes. Vocal music has more functions in Native American cultures than does instrumental music. Geographically, there are nine cultural regions of Native Americans on what is known as Turtle Island (the North American continent), including the Southeast, Southwest, Plains, Plateau and Basin, California, Northwest Coast, Subarctic, Arctic, and Northeast. Although each tribe in each region has its own language, there are similar musical characteristics as follows:

- use of vocables: such untranslated syllables as *ne*, *weh*, and *yah* that possess secret meanings in communicating with the spirits
- repetition of words or phrases
- repeated pitches
- more syllabic setting (one note per syllable) than melismatic (many notes per syllable)
- accompanied by drum(s) or rattles
- monophonic singing or unison
- melody within the range of an octave
- alternation between a soloist and a group (also known as call-and-response)
- frequent change of meter due to asymmetrical repetition of phrases
- melodic contour gradually descending from high to lower registers

Musical instruments commonly found in Native American communities are drums, rattles, panpipes, and flutes. The size and style as well as the materials used for the instruments vary. **Peyote songs** (or Native American Church songs) are often accompanied by a small water drum. In **powwows**, however, the drummers, who are also singers, sit around a large double-headed drum (known as the “host” drum) and play only one head that faces up. The flute is made of cedar wood or other materials, such as bone and reed. The flute often calls for a solo performance, which was derived from the traditional use of it in courtship rituals of the Plains tribes. Typically, the flute has five to six fingerholes. Each tribe decorates its flute differently, but a bird effigy is often placed on the flute itself, either at the base end or on the external block of wood that sits on top of the flute, below the mouthpiece (see the illustration below). The unique sound of the flute is projected by a blocking mechanism at the mouthpiece that directs the air from the first chamber to the second, creating a vibration of sound inside the air column. Having evolved as a personal, courtship instrument to a public representation of cultural identity, the Native American flute is popular in other, nontraditional types of music, such as jazz, fusion, classical, and new age.



Kiowa Musicians at Peyote Ceremony (1901)
(Internet Archive Book Images, No restrictions, via Wikimedia Commons)



Native Americans at Powwow (2007)
(Smithsonian Institution from United States, No restrictions, via Wikimedia Commons)

11.1.1 R. Carlos Nakai (b. 1946)

Raymond Carlos Nakai, whose heritage is from the Navajo and Ute tribes of the Southwest, is one of the most well-known Native American flute players in the world today. He grew up in Tucson, Arizona and began his early music education by playing trumpet in the school band and later at Northern Arizona University. He was drafted into the Navy and continued his musical training there, but then he had an accident that left him unable to play trumpet. Later, he received a Native American flute as a gift and started playing it in 1980. Since flutes were not common for the Navajo tribe, Nakai learned the Plains flute on his own. Another challenge was that many traditional Native American songs were transmitted orally, which presented difficulties in finding printed music for the flute. As a result, Nakai learned vocal repertoires and conveyed them to the flute. Nakai has issued more than 40 albums, including recordings that feature collaborations with musicians in the United States, Europe, and Japan. With flexibility and openness, “experiencing life in its totality” in his own words, he has continued to expand his musical style to new age, jazz, and classical with his Native American flute. Earning a master’s degree in American Indian Studies

from the University of Arizona, he also teaches music and cultural awareness in schools on the Navajo reservation.

11.1.2 Ohad Bar-David

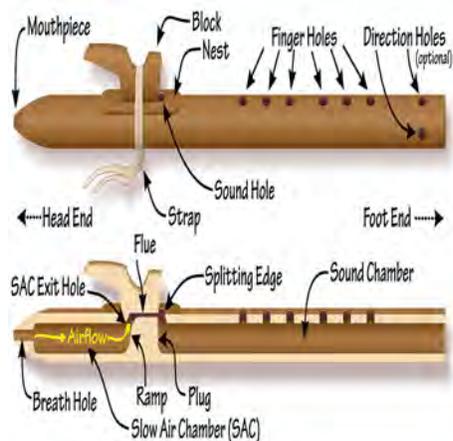
Ohad Bar-David, known as Udi, is an Israeli American cellist who actively collaborates with both classical and world-music performers. He was born in Tel-Aviv, Israel and began music lessons at the age of seven. He furthered his cello study at the Juilliard School in New York City and studied conducting at the Curtis Institute of Music in Philadelphia, Pennsylvania. In 1976, he won the International Villa Lobos Competition in Brazil and WFLN Young Instrumentalist Competition. As a soloist, he performed with orchestras in Israel and served as principal cello in the International Youth Orchestra and the National Orchestra of New York. Since 1987, he has been a member of the Philadelphia Orchestra. In 2003, Bar-David became the founder, president, and artistic director of Intercultural Journeys, a non-profit organization that aims to provide a platform for learning about various musical cultures and peoples. The Intercultural Journeys collaborated with the Philadelphia Orchestra in 2007–2008 to create multimedia concerts including Arab-Jewish cross-cultural traditions. This initiative also paid homage to Native American music and its influence on Antonín Dvořák’s “New World” Symphony (1893). Bar-David has performed with many artists from various cultures, such as Nawang Khechog, Jiebing Chen, and R. Carlos Nakai.

R. Carlos Nakai and Ohad Bar-David, “Prayer from Jewish Life” from *Voyagers* (2007)

Voyagers is an album in which the Native American flutist Nakai and the Israeli American cellist Bar-David collaborated in a cross-cultural expression of music from Native American, Jewish, Arabic, and Indian cultures, plus in a new-age musical style. The composition “Prayer from Jewish Life” is the eighth piece of the album, originally composed by Ernest Bloch, a Swiss American composer and pianist, and arranged by both Nakai and Bar-David.

The sound of the cello and the Native American flute communicating with each other in the “Prayer from Jewish Life” displays the characteristic free rhythmic nature of both cultures. Their techniques of fluttering the pitches and ornamenting the melody produce a melancholic sound in which both Nakai and Bar-David express the beauty of their cultures and the sentimental past of their histories. Both in this piece and in the album as a whole, Nakai strives to send this message to his audience: “our primary importance as musicians is trying to tell people that history can’t be changed, but the future can be. Personally, I feel I should try to contribute something that would encourage people to change, to become more positive about our situation, to reorganize and reorient ourselves together instead of continuing to build walls.”¹

- Video to Watch: Intercultural Journeys in Arizona
<https://www.youtube.com/watch?v=3n4G5KgSirs>
- Listening: R. Carlos Nakai and Udi Bar-David, “Prayer from Jewish Life” from *Voyagers* (2007)
<https://www.youtube.com/watch?v=LGtJDoVAN3M>



Native American Flute

(Clint Goss, CC BY-SA 3.0 <<https://creativecommons.org/licenses/by-sa/3.0/>>, via Wikimedia Commons)



Dawn Avery of the Mohawk Nation at the Ft. Meade Annual American Indian Heritage Month Festival (2019)

(Fort George G. Meade Public Affairs Office, CC BY 2.0 <<https://creativecommons.org/licenses/by/2.0/>>, via Wikimedia Commons)

11.1.3 Dawn Avery (b. 1961)

Dawn Avery is a composer, cellist, vocalist, and educator of Native American, Mohawk descent. She earned a degree in music from Manhattan School of Music, a Master of Fine Arts from New York University, and a PhD in ethnomusicology from the University of Maryland. Currently, Avery directs a World Music program at Montgomery College in Rockville, Maryland. As a composer, she has incorporated elements of Native American music with folk, pop, and classical music. She has performed with the New Jersey Symphony and New York City Opera as well as with many well-known musicians including Luciano Pavarotti, Sting, Philip Glass, John Cage, and R. Carlos Nakai. She combines several cultures in her work; for example, the recent 2019 album *Beloved* is a blending of Mohawk music with Sufi dervish music, recognized by Global Music Awards silver medals for best lyrics/songwriter and female vocalist. Avery won a Global Music Award in 2014 for her album *50 Shades of Red*, in which traditional Native American music is presented in a contemporary style that integrates music, dance, film, and ritual. Her 2017 album *Crane on Earth, in Sky: A Journey* won two silver medals in the Golden Music Awards for Outstanding Achievement. Avery also performed in many Native American documentaries and for the Smithsonian. Besides performing and composing music from her cultural heritage, Avery has led workshops, projects on Native American music and cultures, and meditation groups in a variety of places, including the Esalen Institute, the Omega Institute for Holistic Studies, and *Musicales Visuales* in Mexico City. Her particular interest in sacred world music and meditation, a common feature of all religions, guided Avery to explore diverse ideas and beliefs, including Hinduism and Sufism. Avery received the 2011 Maryland Professor of the Year award from two national groups, the Council for Advancement and Support of Education and the Carnegie Foundation for the Advancement of Teaching.

Dawn Avery, “Wakan Tanka” (Buffalo) from *Crane on Earth, in Sky: A Journey* (2017)

Crane on Earth, in Sky: A Journey is a collaboration with Larry Mitchell, a Grammy Award-winning engineer and a guitarist. The album is used as the soundtrack of *Ajijaack, a Crane's Journey*, a theatrical work with puppetry produced by Heather Henson and Ty Defoe. This puppet spectacle tells the story of a crane named *Ajijaack* who brings back language, culture, and balance to the earth with the help of the ancestors *Ajijaack* had met along her journey. The soundtrack was written with lyrics in English and Mohawk, and it incorporates the sounds of animals, along with

strings, electric guitar, a female vocalist, and a children's choir. "Wakan Tanka" (Buffalo) is the fourth piece of the album *Crane on Earth, in Sky: A Journey*. According to Native American mythology, Wakan Tanka is the supreme being and creator in the Lakota tribe. It is also Great Spirit that created the universe and various gods and spirits, including animal spirits. As a spiritual force, Wakan Tanka is present in all things, interconnecting them with the natural world.

- Listening: Dawn Avery, "Wakan Tanka" from *Crane on Earth, in Sky: A Journey* (2017) <https://www.youtube.com/watch?v=2kZCmC8B8AA>

11.2 Asian Pacific American Music

Asian Pacific American music is made up of many multicultural roots, of which Hawaiian music has played the most active role in the growth of American musical cultures. Hawai'i, the fiftieth state of the United States, is part of Polynesia consisting of islands such as Tahiti, Tonga, Samoa, and others. Native Hawaiians are thus Polynesians who have lived on the islands since the fifth century. The natives believed in animism and practiced Kapu, the ancient Hawaiian legal and regulatory code, which became strictly taboo in the eyes of European settlers. The arrival of the British captain James Cook in 1778 severely impacted the lives of the islands' native people. Foreign trade and Christian propagation weakened traditional beliefs and practices. Americans' investment in plantations and their businesses became more powerful than the authority of the native monarchy system, which ended in 1893. Hawai'i was eventually annexed to the United States in 1898 and received statehood in 1959.

In 1978, Native Hawaiian cultures were revived by the Hawai'i State Constitutional Convention that called for the education and promotion of Hawaiian culture, history, language, and lifestyle. The traditional music and dance of Hawai'i, **hula**, was integrated into the school curriculum. Hula is an indigenous dance of Hawai'i that is accompanied by chanting. There are two types of hula dance: *hula kahiko* (traditional) and *hula 'auana* (modernized). Traditionally, the dance was performed to worship the goddesses Laka and Pele. Rules had been passed down to those who practiced the hula kahiko, including a purification ritual with seawater. Dancers followed the tradition of not cutting their hair and fingernails. Costumes included leis (a flower garland), pa'u (a skirt), and ankle bracelets made of the bones of whale or dogteeth.

While dancers today can be of any gender, the chanter who accompanies the dance is traditionally restricted to male only. The chant, known as **mele**, has the role of storytelling, while the hula dancer depicts the story through hand gestures and footwork. Instruments that provide rhythm for the dance include bamboo sticks, rattles, and gourds. The drum used in the hula dance is called **ipu**, a gourd drum. Modern Hula dance is often accompanied by ukulele or guitar and bass, however.

Ukulele

As discussed in Chapter 8: Timbre, the ukulele is a signature Hawaiian instrument whose delightful sound has attracted people of all ages in the United States and been circulated around the world. The ukulele is a small four-stringed guitar that had been developed from **machete**, a Portuguese plucked string instrument brought to Hawai'i by the immigrants in the nineteenth century. The name *ukulele* in Hawaiian means "jumping flea," which was derived from its performance style of rapid strumming and finger movements on the instrument. There are four types of ukuleles that are different in size and range: soprano, concert, tenor, and baritone.

11.2.1 Israel Kamakawiwo‘ole (1959–1997)

Israel Kamakawiwo‘ole, also known as Bruddah Iz or Iz, was a Hawaiian singer. He started playing Hawaiian music at the age of 11. In the 1970s, during his teenage years, Israel and his brother formed a trio band called Makaha Sons of Ni‘ihau. The band sang Hawaiian traditional as well as contemporary songs. They became the most popular group in Hawai‘i. Kamakawiwo‘ole made his first recording in 1984. In 1993, his solo album *Facing Future* sold more than a million compact discs in the United States. In 1997, he received the annual Nā Hōkū Hanohano Awards for Male Vocalist of the Year, Favorite Entertainer of the Year, Album of the Year, and Island Contemporary Album of the Year. Due to health problems, he had to be hospitalized repeatedly, and the same year that he received the awards, he died of respiratory failure at the age of 38.

Israel Kamakawiwo‘ole, “Over the Rainbow/What a Wonderful World” from *Facing Future* (1993)

“Over the Rainbow/What a Wonderful World” is Kamakawiwo‘ole’s cover of the two songs. The former was originally written by Harold Arlen and E.Y. Harburg, and made famous by Judy Garland in the movie *The Wizard of Oz*; and the latter was by Bob Thiele and George David Weiss, and became popular by Louis Armstrong. Kamakawiwo‘ole first recorded the song “Over the Rainbow” in 1988 and later as a medley with “What a Wonderful World” in the album *Ka ‘Ano ‘i*, which was included again in the album *Facing Future* in 1993. It has been used in many film soundtracks, such as *Meet Joe Black*, *Finding Forrester*, and *50 First Dates*. The album features Kamakawiwo‘ole on voice and ukulele, accompanied by two guitars, electric bass, acoustic bass, keyboard, and percussion.

- Listening: Israel Kamakawiwo‘ole, “Over the Rainbow/What a Wonderful World” from *Facing Future* (1993)
https://www.youtube.com/watch?v=Z26BvHOD_sg

11.2.2 Jake Shimabukuro (b. 1976)

Jake Shimabukuro, a Japanese Hawaiian American, was born in 1976 in Honolulu. He is known as a virtuosic ukulele soloist and a composer. He started playing the ukulele when he was four years old, with his mother as his first music teacher. He joined Pure Heart, a trio band, in 1998. The group issued its first eponymous album in 1999, which gave them four awards from the Hawai‘i Academy of Recording Arts. The group issued several albums after that, leading to several additional awards. Shimabukuro signed his recording contract with Sony Music Japan International in 2002, and his music was played on many Japanese radio stations. From 2002 to 2005, he released his albums in the United States as a solo performer: *Sunday Morning* (2002), *Crosscurrent* (2003), *Walking Down Rainhill* (2004), and *Dragon* (2005). He also wrote soundtracks for the Japanese films *Hula Girls* (2007) and *Sideways* (2009). He received a 2012 award for the documentary *Jake Shimabukuro: Life on Four Strings*, which was aired on the PBS channel. He integrated various musical styles into his composition and performance, including rock, bluegrass, jazz, folk, and flamenco. Shimabukuro developed a technique of using **effects pedals** on his ukulele playing. The YouTube video of his playing George Harrison’s “While My Guitar Gently Weeps” on ukulele received international acclaim and more than 15 million views. This led to international collaborations with many musicians including Yo-Yo Ma, Jimmy Buffett, and Ziggy Marley. He released the album *Gently Weeps* in 2006, which became number two on Billboard’s Top World Music Albums.

Jake Shimabukuro, “While My Guitar Gently Weeps” from *Gently Weeps* (2006)

Shimabukuro’s *Gently Weeps* won the 2007 Nā Hōkū Hanohano Award. The album features his virtuosic ukulele playing. The recording was produced by Mac McAnally, lead guitarist of Jimmy Buffett’s Coral Reefer Band. The most famous song on the album is “While My Guitar Gently Weeps,” a song by George Harrison, who was a member of the Beatles before he went on to have a solo career.

- Listening: Jake Shimabukuro, “While My Guitar Gently Weeps” from *Gently Weeps* (2006) <https://www.youtube.com/watch?v=puSkP3uym5k>
- Video to Watch: Jake Shimabukuro’s Use of Effects Pedals and Extended Techniques in “Dragon” <https://www.youtube.com/watch?v=mljFr7yuYzk>

Hawaiian Steel Guitar

In the 1880s, Mexican cowboys visiting Hawai‘i introduced the Spanish guitar to the islands, and Hawaiians quickly made two modifications to the instrument to fit their style of music. The first was to change the tunings of the strings so that all the open strings would play a chord (today known as **slack-key guitar**), and the second was to play it by using a slide instead of the fingers. To complete the transformation, they added an extension on the nut of the guitar to hold the strings about a half-inch above the frets and then played the guitar by laying it flat on the performer’s lap. For this reason, it is sometimes called a “**lap steel**” guitar, but Joseph Kekuku, who invented this guitar in 1889, called it *Kika Kila*, literally translated as “**steel guitar**.”

While the left hand moves the slide to adjust the pitches that are played, the right hand uses picks on each finger to play the selected strings. To make the instrument louder, Hawaiians started putting a bell brass resonator into the top of the guitar to allow it to be the solo instrument in an ensemble. Shortly after that, electric instruments were invented, more strings were added, and even more necks, each with its own set of strings in different tunings. Some versions were set on a stand with pedals to control the pitches, which became known as the **pedal steel guitar**. By the mid-1930s, the instrument had made its way to the mainland and became popularized by Bob Wills and His Texas Playboys as well as other country-and-western music groups. The piercing sound, the capability of sliding from one pitch to another, and its ability to play harmonies made the instrument a natural fit for this type of music. When Bill Haley and the Comets made the switch from country to rock and roll music, he continued to use the steel guitar on his recordings, such as “Shake, Rattle and Roll.” Another rock song that featured the steel guitar in 1959 was “Sleepwalk” by Santo and Johnny. In Hawaiian music, the steel guitar is mostly used to reflect a relaxed, dreamlike quality, but it is also used to play marches and other more active tunes.



Sam Ku West (1907–1930) with a Hawaiian Steel Guitar
 (Unknown author, Public domain, via Wikimedia Commons)



Steel Guitar
 (Patlaff, CC BY-SA 3.0 <<https://creativecommons.org/licenses/by-sa/3.0/>>, via Wikimedia Commons)

11.2.3 Henry Kaleialoha Allen (b. 1933)

Henry Kaleialoha Allen is a native Hawaiian who moved to Los Angeles to study jazz and became a studio musician as a guitarist and singer contributing to many movies about Hawai‘i that were made in the 1960s. When he returned to the islands, he saw that not many people had carried on the tradition of playing the steel guitar, which led to his learning to play and teach it, seeking to expand the possibilities of steel guitar in both traditional music and jazz. His composition “Kalele–Swinging” from *Magic of Steel Guitar* (1992) took advantage of the many ways in which the instrument can shift pitches by half-steps. Allen also published the books *How to Play the Hawaiian Steel Guitar* (2008) and *Treasures of Hawaiian Sheet Music* (2013). He was a winner of a Nā Hōkū Hanohano Lifetime Achievement Award presented by the Hawai‘i Academy of Recording Arts in 2015.

- Listening: Henry Kaleialoha Allen, “Kalele–Swinging” from *Magic of Steel Guitar* (1992) <https://youtu.be/5vCPYO5cAuk>

Chapter 12 Jazz: Its Key Elements and Style Periods

12.1 The Origins of “Jazz”

Jazz is a musical genre that originated from African American communities in New Orleans, Louisiana, amalgamating various types and elements of music from blues and wind band, through ragtime, to classical music. The origin of the term “jazz” is not clearly known, except for a few historical references on its distinctive, or the then perceived “unorthodox,” qualities as music. It was spelled variously as “jass,” “jas,” or “jazz.” As early as 1860, there had been an African American slang “jasm,” which means “vim” or “energy.” While this slang word corresponded to the earliest audiences’ fascination with the vigor of jazz in sound, it also picked up references tinged with sexual connotations, including a reference to a woman’s backside, probably due to its association with the birthplace of jazz, Storyville, the red-light district of New Orleans from 1897 to 1917. The term “jazz” also appeared in contemporary popular culture, with a connotation of something distinctive and different. *The Times* on 2 April 1912 had reported that a hard throwing yet erratic pitcher named Ben Henderson planned on throwing one or two curve balls, or what he called a “jazz ball,” in his upcoming game. Then in music, the New Orleans Times-Picayune newspaper for the first time referred to “jas bands” on 14 November 1916. In the following year, 1917, the very first commercial jazz recording, “Livery Stable Blues,” was released by an all-white, five-person band named “The Original Dixieland Jass Band.” The members of the band intentionally imitated animal sounds in order to realize as closely as possible the style and sound that they had heard from black musicians. Although it was sensational to many audiences, the song faced allegations of copyright infringement and criticisms due to the contemporaries’ racial biases against the origins of the style.

12.2 Key Elements of Jazz

The key elements of jazz consist of **“feel,” improvisation, instrument-voice equivalency, harmony,** and the **form** that is referred to as the “chorus” (a basic iteration of the tune’s structure, which can be repeated multiple times). Just like other disciplines of music, jazz provides its own emotional experience for both performers and audiences. As we studied in Chapter 6: Emotion, it is called “feel,” “swing,” or “swing feel,” largely derived from the then unconventional treatment of rhythm—dividing the beat note (a quarter note) into two unequal (eighth) notes and then swinging them by playing slightly behind the beat, with the spirit of freedom.

This “swing feel” and the flexible approach to rhythm owed much to the practice of improvisation, rather than simply playing what was printed on the score, which is the most important aspect of jazz compositions and performances. In early history, before the rise of modern jazz, musicians would borrow a melody from Broadway hit tunes, popular songs of Tin Pan Alley, or traditional tunes. Taking advantage of the audience’s familiarity with the popular melody, the performer morphs the borrowed melody (or the so-called **“head”**) throughout the performance. The sections of improvisation that follow the head display various combinations of instruments, textures, and tone colors. However, in later jazz, especially with free jazz and onward, the distinction between composition and improvisatory performance is often not so clear. With minimal sketches of ideas, performers did not hesitate to throw themselves into music by letting the music unfold unpredictably in the process of improvised performance.

Jazz is primarily an instrumental genre, and an ensemble music. The band traditionally consists of the **front line** and the **rhythm section**. The former includes such melodic horns as trumpets, trombones, saxophones, clarinets, flutes, and others. The latter, as the “conductor” of the

band, includes the piano, drum, double-bass, and guitar. It was not until the 1930s that vocal parts were added, and its distinctive timbre began to develop. As we studied in Chapter 8: Timbre, a wide range of singing styles and techniques have been devised or adopted into jazz, including scat-singing, bending, growling, and crooning.

Another key element is harmony, especially tonal harmony. This was brought into jazz by Creoles in New Orleans, people of mixed black and French or Spanish ancestry. They were educated in European classical music, enjoying many of the same privileges as whites. As Creoles were socially demoted after the American Civil War and during the Reconstruction Era (1865–1877) and thereby had more contact with black descendants of enslaved people, jazz gradually adopted a European tonal harmony. By the end of the nineteenth century, a great melding of technique and style had occurred and turned into an art form, even stealing some of the audiences from the sphere of classical music, which had begun to experiment with atonal harmony.

Lastly, the structural plan of the **chorus** in jazz conventionally follows either a **12-bar form** or a **32-bar form**. The former stemmed from the structure of the blues, and the latter from that of popular songs produced exclusively in Tin Pan Alley at the turn of the twentieth century. On the principles of strophic form, the 32-bar form outlines an AABA structure. Of the many Tin Pan Alley songs that were written in this form in part or in entirety and became part of the standard repertory of jazz (**jazz standards**), the chorus of the song “I Got Rhythm” from George Gershwin’s musical *Girl Crazy* (1930) takes the most notable place in jazz history. The chorus section of this song has been borrowed not only for its structure (AABA) but also for its chord changes, hence called “**rhythm changes**.” Composers have written original tunes over this harmonic progression, and performers have produced legendary improvisations, articulating the structural outline and their connection with the past.

12.3 Style Periods in Jazz History

Jazz is deeply rooted in African American musical traditions and has owed much to African American originators for its distinctive style and sound. As jazz stretched its genre boundaries to include global influences during the twentieth century, it has since repositioned itself as a solid discipline of music in higher education as well as in contemporary music culture. As we will explore below, the history of jazz echoes the history of the United States to a large extent. The music’s spirit of freedom and the openness to other styles represent the ideals of American music, inspiring musicians of various origins and backgrounds around the world.

The history of jazz is commonly traced by the following style periods: **New Orleans Jazz** (1900s–30s), **Swing** (1930s–40s), **Bebop** (late 1940s–mid 50s), **Cool** (1950s), **Hardbop** (1950s), **Free/Avant-Garde Jazz** (1960s), and **Jazz Fusion** (1970s). Original and significant though the styles and sounds of the first two periods were, jazz at those times primarily catered to the tastes of white audiences as their entertainment and dance music, maintaining the air of minstrelsy and its performance aesthetics in white-only jazz clubs and dance floors. For example, Duke Ellington (1899–1974) and his band were known for “jungle music” in their early days. It was original in style but was primarily played to accompany the Cotton Club’s exoticized floor shows between 1927 and 1931, flattering whites’ nostalgic memory of their first encounter with the perceived wildness of jazz. Then, it was bebop through which jazz took a great flight to present itself as modern jazz and a true genre of freedom. Experimenting with instrumental styles and sounds and endorsing individual improvisation and virtuosity, bebop opened a new era of jazz paralleled with the experimental spirit of contemporary classical music. From the bebop period and on, jazz and classical music have developed with similar interests, from complex harmonies through timbre

and texture to non-Western elements in pursuit of spirituality and variety. Popular music soon joined this stream, once the initial excitement of rock and roll took a turn to progressive rock (also known as art rock), R&B, and funk in the late 60s.

12.3.1 The Rise of Jazz as a “Music of Difference” (1800s)

New Orleans, Louisiana, the birthplace of jazz, had a long history of struggle with a succession of colonialists’ ambitions for the acquisition of it—France (1718), Spain (1763), French (1802), and then the United States (1803). During the early nineteenth century, the city saw a continuous wave of white and free black immigrants, as well as enslaved people from the Caribbean Islands, as New Orleans became a rapidly growing commercial center and the largest port in the South. With its African, Caribbean, European (Spanish and French), and Creole influences, the region turned into a cultural melting pot for race, religion, and music. It offered a bustling musical life from rituals and ceremonies to classical music schools and opera companies.

One of the most significant contributors to the original style and sound of jazz was the public ceremony of traditional African religions, including Vodun (also spelled as Voodoo or Vaudun), and other African religious practices such as the Yoruba pantheon of orishas. Vodun is a syncretic religion that originated in ancient African rural societies, dating back more than ten thousand years ago before migrating to West Africa and then to the Americas. According to historical documents, enslaved people gathered at Congo Square in New Orleans on Sunday afternoons in order to celebrate the spirits intermediating between individuals and God as well as to relieve themselves from the hardship of weekdays. Without a clear demarcation between sacred and secular, the congregants chanted, sang, danced, and body-drummed (because actual drums were prohibited due to white people’s perception of it as a devil’s instrument that might communicate subversive messages that challenged the authority of slave owners).

These activities would have been directly associated with the public ceremonial aspects of Vodun and other African religious traditions or with that of the **ring shout** (or shout), a semi-secretive dance performed across the South and in the Caribbean after regular religious services were completed or after midnight in secluded natural settings. As a way of survival and preservation, musical practices and rituals from Africa adapted to changing geographical, cultural, and political environments of the New World. Despite the changes in format and associated occasion, their sacred-secular music-making seeded the sonic characteristics of jazz, such as **call-and-response**, repetition with improvisation, percussive vocal, **syncopation**, bending notes (**blue notes**), and heterophonic texture and harmony.

Incorporating the musical elements of African American rituals, early jazz actively communicated with such musical genres as the **blues**, **spiritual**, **minstrelsy**, **ragtime**, and **wind band music**. Before the emergence of what we know as blues music in written tradition or the stylization of it as classic, country, and a dozen more kinds in commercial spheres, the **blues** originated in an oral tradition as a formless music. Traced to the Deep South, including small towns and rural regions, Mississippi Delta plantations, and industries of heavy manual labor, the beginnings of blues were prefigured by field hollers, work songs, and spirituals. Through a wide range of expression from despair to laughter, the creators of blues music alleviated their pain of life’s hardships such as poverty and isolation. They showed a resilient attitude toward separation and loss. Such spirit of blues served as “the roux for gumbo” in the formation of jazz, as described by trumpeter Wynton Marsalis, providing a vital sentiment for the feel of jazz as a whole. Its flexible approach to pitch, rhythm, timbre, and form—inflected, relaxed, coarse, and unrestrained

in sound—was in effect favored in almost all spheres of American music, influencing not only jazz but also classical, country-and-western, and rock and soul music.

- Video to Watch: Belton Sutherland’s Field Holler
<https://youtu.be/1CPJwt14d5E>

The **spiritual** is a religious folk song cultivated by both white and black people as early as the eighteenth century. The term today most often refers, however, to a repertory of religious songs orally transmitted by blacks until the late 1860s, blending the characteristics of African ritual music and Evangelical worship music. Especially during the Second Great Awakening (ca. 1780–1830), religious camp meetings (also known as revivals) were attended by both blacks and whites. The preaching and singing at revivals were highly emotional, encouraging collective singing without written aid and allowing for screaming, jumping, jerking, falling, and clapping hands. Song leaders consequently added a wandering refrain (a refrain that was attached and repeated to the verse of a different hymn), used repetitive phrases, set words to catchy tunes, and improvised new songs through call-and-response with the worshippers.

The lyrics of spirituals retold stories of the Bible, especially ones about the triumph of ordinary men over powerful foes, and at times inserted real-world topics into the songs. As a genre, the spiritual covers a wide range of content, form, and style, more likely defined by the occasion and venue where the song is performed. Today, many well-known spirituals, including “Steal Away,” “Swing Low, Sweet Chariot,” “Deep River,” and “Go Down, Moses,” appear in various forms and arrangements. Depending on the context, each of them can be identified as a worship song, a song for baptism and burial, a coded song with a disguised message to signal a planned escape, a lullaby, a work song, a social song, or even an art song with piano accompaniment.

- Listening: Spiritual “Swing Low, Sweet Chariot”
<https://youtu.be/CU8DBguyYps> [Sung by Roland Hayes]

Minstrelsy (or the minstrel show) was an extremely racist theatrical form conceived and performed by a troupe of white entertainers dressed in blackface in the United States, mimicking often in a derogatory fashion the music, dance, language, manners, and appearance of enslaved blacks. Beginning to take a shape in the 1830s, it had become the most popular, nationwide entertainment by the 1840s, reaching its peak for next three decades, and was endured until the mid-twentieth century. After the American Civil War, some of the minstrelsy were run by black owners and managers, providing a profitable source of income, as well as the only public creative outlet, for many gifted black musicians, actors, and composers. It was said that when they performed, following the white tradition, black performers had to paint their faces in black.

According to the format of the E.P. Christy’s Minstrels, the show featured comic songs and dances, instrumental numbers, and skits, along with a band originally consisting of the **banjo** (from Africa), **fiddle** (from Europe), **bones** (a pair of clappers from Irish music), and **tambourine** (an ancient hand drum of Near Eastern origin). For the majority of the urban, lower-class, white male audiences, the show would have served as a means of comic relief from the conditions of their own lives. By popularizing such characters as Jim Crow and Zip Coon, however, the genre wrongly stereotyped blacks as lazy, unsmart, ridiculous, and yet happy-go-lucky under slavery, an image that persisted for decades in various performance mediums including television shows. Viewers

should be prepared for offensive images in the following video clip that is included here in order to illustrate the genre.

- Video to Watch: Minstrelsy, a Video Clip from *Jazz* by Ken Burns (2001)
<https://youtu.be/8ciHJvs9wPk>

Ragtime is commonly known as a style of piano music, thereby called **piano rag**, and was conceived in African American communities at the turn of the twentieth century. As exemplified by Scott Joplin's "Maple Leaf Rag" (1899), ragtime is characterized by a highly syncopated melodic lead over a rhythmically steady, march-like bass in a lively duple meter. The "ragged" perpetuating rhythmic movement originated from that of **pattin' juba** (also known as juba or hambone), however, an African American dance that incorporates stomping feet and patting the arms, legs, chest, and cheeks. There were not only piano rags but also banjo rags, ragtime songs, orchestras, and wind bands. Ragtime was more than a style or genre of music; much like rock and roll, it was a musical sensation that held sway both in the United States and abroad, enthralling to young people and yet threatening to polite society.

Because of the dominating feature of **syncopation**—the displacement of the beat, or offbeat phrasing—the listener readily feels relaxed, a sentiment that evoked both racist and classist stereotypes. As early white observers had noticed what later became known as "banjo figurations" in black pianists' rags, the beginnings of ragtime drew from contemporary banjo music that accompanied the cakewalk, a common finale of the minstrel show. The feel of a "short-long-short" rhythm in duple meter, commonly found in ragtime, is also deeply rooted in African drumming, partly derived from Afro-Caribbean dance rhythms and paralleled with the rhythm of the British jig and reel. As the fad of ragtime had been supplanted with jazz by 1917, the syncopated rhythm and the structure of ragtime, consisting of three or four sections (strains), became crucial ingredients of New Orleans jazz. Jelly Roll Morton's piano rags in a jazz style exemplify such phenomenon.

- Listening: Jelly Roll Morton's 1938 New Orleans Jazz Rendition of "Maple Leaf Rag"
<https://youtu.be/divhKPj6g0Q>

Wind band music had prepared for the birth of jazz in two aspects: one in instrumentation and the other in style. In the early United States, following European traditions, military bands had assumed a special position in providing music for various civic patriotic occasions. During the American Civil War, the band functioned to incite troops, communicate orders, and regulate the march steps. Some of the band members, often talented musicians in their own right, would play to entertain themselves and their mates off the battlefield. When the Civil War was over, many of the wind and percussion instruments were left behind in the South. They were soon picked up by local musicians in New Orleans to be adopted as major performing forces for sacred and secular occasions including parades, parties, gatherings, churches, and funeral processions. Especially led by black musicians, wind band music underwent experimentation with its format. By strengthening the bass of the band with the tuba and later the sousaphone, and adopting the style of march by John Philip Sousa, the band moved from formal parlors to the streets. For their living, New Orleans musicians often combined street music-making with their regular gigs in nightclubs, ballrooms, and brothels of Storyville. In so doing, the wind band adopted diverse styles and repertoires of

music and then fused them with elements of African American traditional rituals, which paved the way for the rise of jazz and its long journey of becoming the “music of difference.”

- Video to Watch: A New Orleans Jazz Funeral March Procession
<https://aeon.co/videos/the-reverence-and-revelry-of-a-new-orleans-jazz-funeral-procession>

12.3.2 New Orleans Jazz (1900s–1930s)

On the basis of earlier traditions of regional music, New Orleans had a newfound love for ensemble dance music at the dawn of the twentieth century, from which jazz evolved as a style of music. Musicians primarily grouped by race as white, black, and Creole played ragtime dances and social dances the names of which reference animals, such as the foxtrot, turkey trot, and bunny hug. With great noise and gyration, this hot music and its practice of improvisation caused outside audiences to frown but had such a distinctive sound that appealed to a select few. Anchored in the ideas of freedom, novelty, and resistance, the style and sound of New Orleans jazz, or New Orleans traditional jazz, differentiated itself from other music.

The conventional New Orleans dance band was originally led by a violinist and joined by cornet, clarinet, trombone, drums, guitar or piano, and double bass. The wind instruments served as the **front line**, playing melodies and countermelodies, while the rest of the instruments formed the **rhythm section**, providing steady beats and a swing feel for the entire band. This format gradually replaced the guitar and double bass with the louder banjo and the deeper-sounding tuba, dropped the violin, and eventually adopted the saxophone family. In the traditional ensemble, though the instrumentation varied from band to band, the cornet (a brass instrument similar to the trumpet) usually assumed the lead, while centering on collective improvisation. With a strong foundation in the blues, New Orleans jazz set loose and ragged melodies in **quadruple meter** at a moderate tempo, outlining the **12-bar form** in each chorus.

Louis Armstrong and His Hot Five’s “West End Blues” (1928) hints at the procedure of traditional jazz, yet with a growing attention to individual solos. Each chorus features one or two solo instruments for improvisation. The dexterity culminates in Armstrong’s opening **cadenza** (an improvisatory ad-lib), which has continued to challenge many latter-day musicians. In addition to Armstrong, pianist Jelly Roll Morton (1890–1941) and drummer Warren “Baby” Dodds (1898–1959) were also native to New Orleans and had great careers in jazz. The former, also as a composer, contributed most to creating semi-orchestral effects in jazz band, while the latter was one of the first drummers who improvised and interplayed with other members of the band. He is also known for his colorful sounds and diverse drum patterns.

- Listening: Louis Armstrong and His Hot Five, “West End Blues” (1928)
<https://youtu.be/4WPCBieSESI>

The year 1917 witnessed several significant changes in the South, New Orleans, and jazz as a whole. Driven by unsatisfactory job opportunities and harsh segregationist Jim Crow laws, a large number of African Americans had begun to head North where hard-labor industries awaited them to fill the jobs of the European immigrants who had left to serve in World War I. From about 1916 to 1970, around six million African Americans relocated from the rural South to the cities of the North, Midwest, and West. This historic move, described as the Great Migration, was joined by musicians who lost jobs in 1917 when the Storyville district was closed in New Orleans. The

regional Army and Navy Bases had demanded the ending of the district's twenty-year business of drinking, gambling, and prostitution. Musicians who made a living out of playing for nightclubs, dance halls, and bordellos looked to the North, carrying their music with them to Chicago, Kansas City, St. Louis, Detroit, and New York City—important centers of jazz in the following decades. The presence of New Orleans musicians in New York City resulted in the first commercial jazz recording by the Original Dixieland Jass Band, also in the year 1917. The New Orleans tradition on the one hand continued in the city's dance bands for social elites. On the other hand, blacks' efforts to build a new place for themselves in public life, confronting racial prejudice as well as political, social, and economic challenges, intersected with the Harlem Renaissance in the 1910s–1930s. It was a cultural reawakening of African Americans in literature, visual arts, and music. Among the intellectuals was Langston Hughes (1902–1967) whose so-called jazz poetry elicited a personal and collective African American experience in the United States. As in “The Weary Blues” (1925) and “Trumpet Player” (1947), Hughes explored African American identity through the imagery of a jazz musician playing out his past and present in solemn words.

- Listening: The Original Dixieland Jass Band, “Lively Stable Blues” (1917)
<https://youtu.be/5WojNaU4-ki>
- Video to Watch: Langston Hughes, “The Weary Blues” (1925)
<https://youtu.be/uM7HSOwJw20>

12.3.3 The Swing Era (1930s–1940s)

New Orleans jazz continued to survive and attract audiences in cities like New York City and Chicago in the 1920s, by the new label “**Dixieland jazz.**” Deriving from the name of the Original Dixieland Jass Band, which had released the first commercial jazz recording in New York City, it initially referred to the style of jazz played by white musicians from New Orleans but later to the looser, more blues-like style of New Orleans jazz as a whole in urban centers. Meanwhile, dance bands in Chicago, Kansas City, and other cities experimented with a new style of jazz with great emphasis on rhythm and drive, which led to the rise of **swing**. Involving not only lively rhythmic music but also a feverish physical dance, the swing quickly rose to become a prominent form of popular music. Many of the swing bands resided in dance clubs and played regularly, some toured, and some of the musicians at times joined travelling territory bands, popularizing swing and ballroom dancing across the Midwest and Southwest. The catchy rhythms and tonal harmonies also drew attention from many of the classical music audiences who had been lost in contemporary composers' experiments with atonal harmony. Despite the economic downturn, from the stock market crash in 1929 to the Great Depression in the 1930s, the public showed an unprecedented enthusiasm for music, specifically in the swing style, probably to make up for the difficult times.

The ensemble that played swing was known as a **big band** or **jazz orchestra**. Larger than New Orleans traditional jazz band in size, and no longer carrying the banjo and the tuba, it included thirteen or more players divided into reed, brass, and rhythm sections. By articulating all four beats of each bar instead of beats 1 and 3 only, swing provided the intensity of forward motion in a fast tempo, while creating a bassline that resembled walking (known as a rapid **walking bass**), especially through the string bass, bass drum, and at times the hi-hat. As bands got equipped with better players, and to accommodate the expected showmanship for the dancing crowd, big bands increased solo improvisation. Also, catering to the public's taste, composers borrowed popular tunes from Tin Pan Alley and Broadway, arranging them for the big band, occasionally including

vocals. One of the popular choices was Gershwin's "I Got Rhythm." At that time, the 32-bar form of Tin Pan Alley songs became an option for the structural plan of the chorus, alongside the 12-bar form.

Many of the composer-arrangers were competent improvisers themselves and had keen ears to each member's ability and tone color, often serving as the leader of the band with excellent management skills for the music business. Benny Goodman (1909–1986), known to many as the "King of Swing," was a clarinetist well-versed in both classical and jazz. As heard in his solo in Jimmy Mundy's arrangement of "Sing, Sing, Sing" (1937), Goodman's eloquent and spirited sound became the standard by which all jazz clarinet players were measured. Forming his own band in 1934, he performed for radio shows, led the band's West Coast tour, and had a concert at Carnegie Hall, contributing greatly to jazz's eventual appeal to mainstream audiences. Most notably, he was one of the first bandleaders who formed a racially integrated band. Working with pianist Teddy Wilson (1912–1986), vibraphonist Lionel Hampton (1908–2002), guitarist Charlie Christian (1916–1942), and trumpeter Cootie Williams (1911–1985), Goodman helped to initiate racial equality within the music industry.

Another multi-talented bandleader in the swing era was Duke Ellington (1899–1974). His middle-class upbringing and well-mannered behavior and entrepreneurial spirit had already prepared him to become a successful bandleader. He was good at not only managing and publicizing the band but also recognizing the band members' abilities and incorporating them into his compositions. In "Ko-Ko" (1940), Ellington featured the plunger-and-growl sound from his band members, trumpeter Bubber Miley and trombonist "Tricky Sam" Nanton, and developed it as a substantial part of his so-called "jungle style," which was later re-pronounced as an African-themed style in order to disassociate it from its initial connection with the white audience's nostalgia for minstrelsy at the Cotton Club in Harlem. Above all, his talent and hard work for orchestration resulted in a wide range of compositions from jazz through popular styles to large-scale classical works. His longest and most ambitious work was *Black, Brown and Beige* (1943), a jazz symphony which portrays in three parts the black experience in the United States from its beginning to World War II.

- Video to Watch: Benny Goodman and His Orchestra, "Sing, Sing, Sing" (1937)
https://youtu.be/u_E0UVNtJ9Y
- Listening: Duke Ellington and His Orchestra, "Ko-Ko" (1940)
<https://youtu.be/WY5nScVCLg8>

12.3.4 Bebop (Mid-1940s–Mid-1950s)

In the 1940s, the popularity of the swing style began to decline for several reasons. First, World War II had drafted many of the band members. Glenn Miller (1904–1944), whose name and legacy continues today by the still-existent Glenn Miller Orchestra (1956–present), broke up his band and joined the Army Air Corps. In addition to the decrease in the number of available musicians, the Musicians Union went on strike from 1942 to 1944, which resulted in a recording ban. With the shortage of recorded new music for those two years, swing could not meet the public's expectations, witnessing a gradual loss of interest for the style. Yet another challenge was that a stiff federal cabaret tax was imposed on New York nightclubs, demanding 30% of their ticket sales in taxes, causing musicians to downsize the swing band into smaller combos in order to save on expenses. Lastly, young band members who had become restless while playing the rigid structure and rhythm

of dance music and entertaining the public began to test the boundaries of music for their own interests. Gathering after hours for jam sessions at Minton’s Playhouse in Harlem, they applied a more experimental approach to tempo, harmony, melody, and improvisation. The three musicians who were largely responsible for this revolution were trumpeter Dizzy Gillespie (1917–1997), pianist Thelonious Monk (1917–1982), and saxophonist Charlie Parker (1920–1955).

The term “bebop” originated from various descriptions of the characteristic rhythmic endings of phrases the musicians were experimenting—“bip bop,” “rebop,” and finally “bebop.” It is a virtuosic style of jazz that requires tremendous technique and agility on the instrument and a deep understanding of chord functions and harmonic progressions. As a purely instrumental jazz style played by a combo consisting of a rhythm section with a front line of two horns, it involves faster tempos, complex harmonies and chord progressions, lengthy melodies that are not always singable by the lay person, and most importantly extended solo improvisations. These new demands encouraged composers and performers to write more original compositions, while the convention of borrowing a pre-existing melody or chord progression continued to be welcomed, with longer extended and idiosyncratic solos. In pursuit of intricacy and intensity, some of the musicians, such as Dizzy Gillespie, began to incorporate Afro-Cuban and Latin American rhythms with fast-moving chord changes and dense textures.



Dizzy Gillespie (1971)

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Charlie Parker (saxophone) with Tommy Potter (bass), Max Roach (drum), Miles Davis (trumpet), and Duke Jordan (piano) at Three Deuces, New York, ca. 1947

(William P. Gottlieb, Public domain, via Wikimedia Commons)

“Confirmation” is a bebop standard written by saxophonist Charlie Parker in 1945. It is known for its long and complex **head** and rapid **chord changes**. After the piano-drum introduction, Parker’s alto saxophone draws undulating and unpredictable melodic lines for 32 measures in quadruple meter. While outlining an AABA structure, the head neither turns into a full-fledged melody in a conventional sense nor articulates each phrase’s beginning or ending on a strong beat. Over the subtle timekeeping, and the repeated chord changes, the head is continuously ornamented and changed through the saxophone’s spontaneous improvisation. Though structured, strictly following an AABA plan in each chorus, the instability that comes from the melody and its implicit harmonic transformation not only moves the song forward but also engages the audience deeply and closely. Exemplifying the spirit of bebop—creativity, virtuosity, and complexity—it is intended for listening rather than dancing, and for musical intellectuals rather than the masses. Shifting the focus of interest from entertainment to achieving artistry, bebop marked the beginning of the modern age in jazz.

- Listening: Charlie Parker, “Confirmation” (1945)
https://youtu.be/3XA_Jugejto

12.3.5 Trends after Bebop (1950s–1970s): Cool Jazz, Hard Bop, Free Jazz, and Fusion

The reaction to the explosive style of bebop came in two ways in the 1950s: cool jazz and hard bop. **Cool jazz** is a softer and more laid-back style, avoiding the harshness and complexity of bebop. With a “cool,” objective approach to the musical material, the sound of the ensemble is subdued, and the emotion is highly controlled with a bare minimum of lyricism. The focus of the composer’s skillful arranging lies on such details as timbre, texture, and ambience, along with the balance between composition and improvisation. As the entire ensemble attempts to tone down itself, the drummer lightens the rhythm section’s sound by moving the timekeeping from the bass drum to the **hi-hat** or to the suspended **ride cymbal**, while using more brushes than sticks to generate the sound. In contrast, **hard bop** is a further evolution of bebop with an influence of **rhythm and blues (R&B)**. With subjective and fluctuating emotions, hard bop embraces **funk** and **soul**, which were derived from earthy blues and gospel music. The focus of this style is still the improvisation, which embellishes the hard-driving style and maintains its high emotional content. In a fast and furious tempo, hard bop features the drum not merely as a timekeeper but also as a virtuosic solo instrument with an aggressive drumming style.

The style of **cool jazz** was introduced and continued to be practiced by musicians on the West Coast, including Gerry Mulligan (1927–1996), Lee Konitz (1927–2020), and Stan Getz (1927–1991). “The Girl from Ipanema” from *Getz/Gilberto* (1964) by American saxophonist Stan Getz and Brazilian guitarist João Gilberto, with Gilberto’s then-wife Astrud Gilberto providing the vocals, reached the crux of this movement in the public’s mind. This song not only popularized **bossa nova** (a style of Brazilian popular music influenced by samba and cool jazz) in jazz but also helped jazz itself to regain attention from the masses who had long been occupied with popular music, especially rock and roll.

In New York City, on the other hand, the album *Birth of Cool* (1949–1950) produced by trumpeter Miles Davis (1926–1991) and his first collaboration with composer-pianist Gil Evans (1912–1988) played a defining role in what was to become **cool jazz**. After establishing his early career in bebop with Parker and Gillespie, Davis tested himself in cool jazz and soon fashioned it into **modal jazz** by simplifying the conventional harmonic construction from chord changes into one or two chords. This practice of little to no chord changes also slowed down the tempo, altered the character of music, and above all enabled the performer to explore a wider range of chords and notes that are outside the main scale or mode. The Miles Davis Quintet’s “So What” from *Kind of Blue* (1959) is constructed on two chords—D minor and Eb minor—the conception of which is attributed largely to pianist Bill Evans (1929–1980). With this simple harmony, and brief sketches of his ideas, Davis carefully tried out the notes of his choice, limited but well-placed in the sparsely interwoven, pointillistic texture. In parallel with Davis’s impersonal sound and timbre on the trumpet, Coltrane’s tenor saxophone still lingers on in afterthoughts of bebop and its irresistible personality. Their stylistic and emotional counterpoint, and the involved tension, mirrors the coexistence of cool jazz, modal, and hard bop in the 1960s.

- Listening: Stan Getz and João Gilberto, “The Girl from Ipanema” from *Getz/Gilberto* (1964)
<https://youtu.be/sVdaFQhS86E>

- Video to Watch: Miles Davis, “So What” from *Kind of Blue* (1959)
<https://youtu.be/zqNTltOGh5c>

Free/avant-garde jazz was one of the artistic approaches to jazz in the 1960s, characterized by no explicit compositional and improvisational rules. Free from the strictures of earlier, conservative jazz styles, from chord progressions, through structural layouts, to meters and tempos, performers compose as they improvise the given idea of music in notation. There are no fixed instrumental roles between the front line and rhythm section, or solo and accompaniment, and no clear distinction between chord tones and outside chord tones. Free improvisation incorporates chromatic intervals and harmonies, as well as **microtones** (an interval smaller than a half-step), **overtones** (resonances), **multiphonics** (artificial harmonics), and **tone clusters** (chords made of adjacent notes).

This style was first tested out by alto saxophonist Ornette Coleman (1930–2015) with his album *Free Jazz: A Collective Improvisation* (recorded in 1960), which broke the norm of how jazz had been processed and provided the name for the rising style. Apart from a few predetermined section marks, the entire album is a continuous free improvisation by double quartets. From the beginning to the end, recorded in one single take without overdubbing or editing, the eight musicians simultaneously created their own parts and counterparts through improvisation, resulting in one massive soundscape. While signifying the collective call for freedom of the 1960s, Coleman’s album is a literal sonic description of the contradiction between reality and ideal.

- Listening: Ornette Coleman, *Free Jazz: A Collective Improvisation* (rec. 1960)
<https://youtu.be/WB8f7bxioro>



Ornette Coleman at Moers Festival, Moers, Germany (2011)
(Nomo michael hoefner / <http://www.zwo5.de>, CC BY-SA 3.0 <<https://creativecommons.org/licenses/by-sa/3.0/>>, via Wikimedia Commons)



John Coltrane (1963)
(Hugo van Gelderen (Anefo), CC0, via Wikimedia Commons)

John Coltrane (1926–1967) joined this stream by taking a spiritual approach to the musical and extramusical elements of jazz. Influenced by non-Western religious practices, from African traditions to Islam, Zen Buddhism, and Hinduism, Coltrane integrated elements of modal jazz and hard bop with African and Indian concepts of music. He “chanted” through musical notes that often imitated the pitches and intonation of religious speech, in a most humble attitude. On the other hand, he wailed and shrieked in his improvisations, expressing the era’s anger at the political and social establishment in the surroundings of the 1960s.

Coltrane's album *A Love Supreme* (1965), consisting of four parts ("Acknowledgement," "Resolution," "Pursuance," and "Psalm") along with his written poem, was a magnum opus that marked Coltrane's spiritual and musical quest. After overcoming his long struggle with drug and alcohol addiction, he celebrated a religious awakening in his life and reidentified his faith in God. The signature four-note motive, first introduced by the double bass in "Acknowledgement," functions as a **riff** (a short, repeated musical pattern) until Coltrane utilizes it as the core of his improvisation, repeatedly playing it in every key. Then he re-presents it throughout the entire work in subtle and methodical ways, as if delivering a message of the omnipresent spirit of God, the "Love Supreme." Coltrane's spiritual understanding of music, and his serious attitude toward improvised music, continued to be present in his career, including his tribute to the victims of Hiroshima with "Peace on Earth" during his tour of Japan (1966) and his existential questions of the universe through the album *Interstellar Space* (1967). The high level of artistry he brought to improvised performance had a significant impact on the generations that followed.

- Listening: John Coltrane, "Acknowledgement" from *A Love Supreme* (1965)
<https://youtu.be/fth9UUa1Mfw>
- Listening: John Coltrane, "Peace on Earth" (1966)
<https://youtu.be/IEgP7hVTGBE>
- Listening: John Coltrane, "Jupiter" from *Interstellar Space* (1967)
<https://youtu.be/n03AiKu6LVo>

Fusion or **jazz-rock** began to emerge in the late 1960s in an attempt to combine the visceral power of rock with the complexity of jazz harmony and improvisation. With an emphasis on the intensity of rock, funk, and rhythm and blues, fusion jazz employed **electronic instruments**. Brass and woodwind instruments, such as the trumpet and saxophone, were still part of the ensemble, albeit occasionally amplified, but the piano and double bass were replaced with electric guitar, synthesizers, and bass guitar. Among jazz musicians who had grown up listening to rock, Miles Davis found a kindred spirit between jazz and rock and released a series of recordings that pioneered this new style. In his 1968 album *Filles de Kilimanjaro*, he included "Mademoiselle Mabry" (Miss Mabry), a tune based in part on Gil Evans's reworking of Jimi Hendrix's rock ballad "The Wind Cries Mary." In the following year, he experimented with electric keyboards and distorted, rock-style electric guitar for the album *In a Silent Way* (1969). Breaking away from his earlier styles, this album signaled the beginning of fusion.

Finally, in *Bitches Brew* (1970), Davis expanded the size and scale of his band by adding two drummers, a bass clarinetist, a percussionist, a guitarist, and two electric keyboards to his usual setting of the quintet. The band provided distorted **reverb effects**, timbral and textural varieties, dissonant harmonies, and tone clusters. Most notable is that Davis's serious artistic intent and experimental spirit led him to abandon his tie with the past, the "swing eighth" or "swing feel," one of the fundamentals that had run through in the tradition of jazz. It is thus a daunting experience to listen to each piece of this album, which is massive and complex for any audience. Perhaps, the best advice for appreciating it would be to follow individual lines, one at a time, including the bass lines, trumpet solo, collective and simultaneous improvisation, textural changes from thin to thick and vice versa, elements of rock rhythms, and varied tension levels created by the transformations of **vamp** (a short section of music to be repeated until a new musical statement is ready to be

introduced). Even to this day, *Bitches Brew* is unique as its own kind. It certainly pointed to another new direction for Davis whose relentless mind had never stopped him from continuously exploring his creativity anew throughout his career as he lived the modern history of jazz from bebop to fusion. Simultaneously, it was a milestone that envisioned for listeners the future of jazz with no single style dominating but with different styles surviving only by striking combinations.

- Listening: Miles Davis, “Bitches Brew” from *Bitches Brew* (1970)
https://youtu.be/eE_D6Kve1SM

Chapter 13 The Roots of Country Music

13.1 The Beginning of “Country Music”

The 1920s, roughly a decade between the end of World War I (1914–1918) and the 1929 stock market crash, was a prime time for American popular music culture. The United States and its allies’ victory in World War I brought the country its first experience of being a global power. The modern automobile and airplane industries were well in place. A stable and strong economy, based on mass production, gave an early boost to American consumerism in music. Accelerated by the idea of modernism and expansions in communications technology—the phonograph, radio, and motion pictures—popular music embarked on a change in the format of access, from sheet music to records, while rushing to search for new styles, genres, and traditions in order to meet growing commercial pursuits and consumers’ demands. The record industry saw the appeal of records made exclusively by and for blacks with the unexpected success of Mamie Smith’s “Crazy Blues” (1920), composed by Perry Bradford (1893–1970). Other record companies were quick to market to the black community, together creating a business segment called “**race records**,” a label that denoted the advancement of African Americans as a cultural force within the milieu of the Harlem Renaissance.

While continuously scouting for commercially viable blues singers, the industry found another style in the rural South, more likely by accident, but this time for a white audience. In 1923, “Fiddlin’” John Carson (1868–1949), a fifty-year old white entertainer, sang a couple of old tunes to his fiddle playing, including a traditional dance tune called “The Old Hen Cackled and the Rooster’s Going to Crow” and an old minstrel song “The Little Old Log Cabin in the Lane.” Even with the low estimation of his singing quality, the record eventually sold several thousand copies, hinting at the possibility of a new market soon stood by “**hillbilly records**.” The label “hillbilly music” was wary, but the old-fashioned flavor heard in Carson’s songs became a selling point for many Southern audiences, signaling the beginning of **country music** or **country-and-western music**.

- Listening: “Fiddlin’” John Carson, Minstrel Song “The Little Old Log Cabin in the Lane” <https://youtu.be/5SrD1DIA6-s>

Despite the stereotypes associated with the perceived “whiteness” of its origins, including Carson’s well-known racist and anti-Semitic beliefs, and the continuous consumption of it as “white” music in some parts of the United States, country music is actually a blend of many sources: the music of the southeast, based on traditional Anglo-American ballads and fiddle tunes, western cowboy songs, popular songs of Tin Pan Alley, the blues, banjo music, and other African American traditions, Hawaiian music and the steel guitar with its slide technique, big-band swing, and gospel songs. As we will examine through bluegrass music and its historical roots, many subgenres of country music had a collective origin from diverse folk and popular traditions, sacred and secular, black and white, and urban and rural. Crossing the social and ethnic lines, or the white dominance framed by longstanding media representations, country music has appealed to a broad audience, embodying the early American experience as a whole, with a syncretic stylistic history of diverse musical communities in this country.

13.2 Bluegrass Music and Its Key Elements

Bluegrass music is a subgenre of country music that emerged in the mid 1940s. As the nomenclature indicates, the founding of bluegrass music is attributed to Bill Monroe (1911–1996) and his band, the Blue Grass Boys. During his formative years, Monroe owed much to his mother, his Uncle Pen, musical brothers Birch and Charlie, and Arnold Shultz (1886–1931), a local African American miner who was an accomplished fiddler and guitarist. Innovating the old Southern sound with a modern flair, Monroe and his band were officially debuted and broadcasted regularly through the Grand Ole Opry, the longest-running radio show in Nashville, Tennessee, in 1939. Their square dance or barn dance music began to take shape as a signature style and sound in 1945 when banjoist Earl Scruggs (1924–2012) and guitarist Lester Flatt (1914–1979) joined the band. For the characteristic repertory, instrumentation, affect, syncopation, and improvisation, they soon found their followers and imitators, hence known as **bluegrass music**.

Principally following Anglo-American folksong traditions, and with the assimilation of African American work songs, spirituals, and blues, these founding musicians covered a broad range of repertory including sentimental secular songs, country blues, religious songs, revival hymns, and instrumental numbers. While consciously preserving the traditions of rural Appalachia, and enjoying varying degrees of commercial success, bluegrass music has become a popular traditional music genre favored by both rural and working-class people as well as urban and upper-class constituencies. Its distinctive musical characteristics, and the associated cultural communities and values, have found an important place in contemporary musical scenes and higher education in the United States. By applying rock, folk, pop, and jazz repertoires and styles to bluegrass performing forces and techniques, some musicians have created a subgenre called “newgrass.”

Bluegrass music typically involves a casual, family-looking group of four to seven performers who sing and accompany themselves on acoustic string instruments, such as the five-string banjo, fiddle, mandolin, guitar, and double bass. The guitar and double bass primarily serve as rhythm instruments, while the banjo, fiddle, mandolin, and a second guitar function as melodic instruments. Lead instrumentalists take solos (also called **breaks**) between verses of a song and provide a harmonic and rhythmic background for the vocals in a call-and-response style. The vocal range of bluegrass is higher than most country music singing, pitched in the upper end of the singer’s register and colored with a twangy and nasal quality called a “**high lonesome voice**.” Traditionally sung and played primarily by men, though that is changing today, the vocals can span from a duet to a quartet, in which the main melody is taken by the first tenor, the second tenor takes a higher line, the baritone is below the first tenor, and the bass has the lowest line. These parts usually create a homophonic texture to have the story heard well but, in religious songs, can feature a contrapuntal texture, as well, repeatedly delivering the message through one voice after the other.

Bluegrass is often set in duple meter and in a fast tempo with a happy-go-lucky affect, regardless of the detailed emotional nuances of the text. Following the tradition of British folksongs, bluegrass maintains a rather distant relationship between music and text. The music sets a mood corresponding to that of the concerned text; however, it does not dramatize every textual change or meaning as expected in classical art songs and emotionally charged contemporary popular songs. Without much concern about word painting, the **strophic form** repeats the same music for every strophe or verse. The impassive, undramatic tone of delivery sets up the singer as an impartial storyteller. Apart from the perceived monotonous tone, the singer’s stoic demeanor invites listeners to pay attention to the words, grapple with their sharp images, and interpret the lyrics on their own. The stories employed in bluegrass music are typically neither cheery nor

overtly troublesome and dark. Mirroring the mountain ballad tradition that narrates with honesty the reality of life hardship from a natural disaster to a loved one's cruelty, the singer's delivery of the text is often a deadpan report of isolation and lonesomeness to untrue love. A more emotive vocal style may be involved in the themes of nostalgia, family solidarity, tragic love, and religious affirmation. As can be heard in Bill Monroe and His Blue Grass Boys' "It's Mighty Dark to Travel" (1947), however, the music tends not to internalize the personal tragedy and misery but to sympathize it from a distance.

- Listening: Bill Monroe and His Blue Grass Boys, "It's Mighty Dark to Travel" (1947)
<https://youtu.be/-MEw8tuhWZ4>



Bill Monroe in Streeker Moor, Germany (1989)
(Rockalore, CC BY-SA 4.0 <<https://creativecommons.org/licenses/by-sa/4.0/>>, via Wikimedia Commons)



Earl Scruggs at Hardly Strictly Bluegrass in 2009
(Eric Frommer from Everett, WA, United States, CC BY-SA 2.0 <<https://creativecommons.org/licenses/by-sa/2.0/>>, via Wikimedia Commons)

The fast, hard-driving energy prominent in bluegrass music stems from the characteristic treatment of **syncopation** and virtuosic **improvisation** with performance techniques. Though there was no direct communication between bluegrass and jazz in their beginnings, the emergence of bluegrass and its signature characteristics paralleled the rise of bebop and its fast and furious tempo, energy, and virtuosity. With regard to the use of syncopation, bluegrass performers tend to come in slightly before the downbeat in contrast to jazz whose signature swing feel leads performers to play slightly behind the beat. While the folklike, rustic simplicity, as well as the musicians' humble beginnings, has been an underlying theme of bluegrass music, the genre has always welcomed and encouraged technical challenging performance styles and prowess. Of the legendary bluegrass virtuosos, Earl Scruggs (1924–2012) had a tremendous impact on developing and popularizing the five-string banjo as an independent solo instrument with the so-called "Scruggs style" or **three-finger style**. By combining harmonic syncopated rolls with melodic notes within the three fingers (the thumb, index, and middle fingers) of the right hand, his playing technique facilitated the role of the banjo as an accompaniment to other instruments and as a solo. As can be heard in his composition "Foggy Mountain Breakdown" (1949), Scruggs's banjo breaks effortlessly and flawlessly come and go in balance with other instruments' breaks. Highly repetitive on three chords yet dazzling in a breakneck speed, his improvisation continuously ventures to a new terrain but never overloads the sonority of the ensemble.

- Listening: Earl Scruggs, “Foggy Mountain Breakdown” (1949)
https://youtu.be/z_Y3mnj-8IA

13.2.1 The Roots of Bluegrass Music

Bluegrass music is rooted in the traditions of Southern Mountain music, today known as **old-time music**, the accepted term that has replaced the more derogatory term hillbilly music. It was practiced by both whites and blacks, and some Native Americans, in the rural parts of the thirteen states of the Appalachian Mountain region that stretches from the Southern Tier of New York to northern Alabama and Georgia. Though the number of blacks and Native Americans was small, they were in close contact with whites for farming, logging, coal mining, and railroad work as well as music-making. As old-time musicians Tommy Jarrell (1901–1985), Joe Thompson (1918–2012), and Raymond Fairchild (b. 1939) acknowledged, and as did Bill Monroe, multiculturalism was inherent in this region from its very beginning. With their ethnic distinctions and different musical styles, they viewed each other’s musicianship in a positive light and interplayed to cultivate the wealth of old-time music.

- Video to Watch: “Appalachian Journey” by Alan Lomax (1991)
<https://youtu.be/MXh8SDp0H-E>

Old-time music is a synthesis of Appalachian and Affrilachian musical traditions, and more. As a counterpart to “Appalachian,” associated with the white community in public perception, the term “Affrilachian” (a portmanteau of Appalachian, African, and American) denotes people of African descent from Appalachia. It was coined by the Kentucky native and writer Frank X Walker (b. 1961) who had been struck by the absence of African Americans in the traditional dictionary definition of “Appalachian.” Since his publication of *Affrilachia* (2000), a collection of poems that candidly reports personal struggles with stereotypical public images of his home state of Kentucky as homogenously white, the concept of Affrilachia has become a style marker for a poetics that gives writers of African descent from Appalachia a voice, identity, and meaningful place in literature. In line with the 1920s Harlem Renaissance and the 1960s Black Arts Movement, it serves as a compelling cultural consciousness and arts movement, providing a backdrop for reconstructing African American literature, history, social studies, and music of the Southern Mountain region.

- Video to Watch: Frank X Walker: Affrilachian Poet
<https://youtu.be/IIZ9qXZDi4E>

The elements of Appalachian and Affrilachian music are distinguishable but not entirely distanced from each other in practice. The former includes British, Old World ballad tunes, fiddle dance tunes such as jig and reel, a narrative singing style with impassive delivery, and clog dancing. The latter consists of blues, gospel, an emotive singing style, banjo and its downstroking playing style, and flatfoot (or buck) dancing. These elements collectively shaped the most common form of old-time music, the **fiddle-banjo string band**, and its modern variations. Tommy Jarrell’s playing style in Alan Lomax’s film *Appalachian Journey* demonstrates that the African American musical traits of middle-body movement and sliding technique are embedded in white fiddle playing. Likewise, as we will examine below, Snuffy Jenkins plays the banjo in both Appalachian

and Affrilachian ways. This spirit of exchange continues in The Carolina Chocolate Drops and Rhiannon Giddens’s new music making in old-time traditions.



Frank X Walker at an Event Hosted by Split This Rock (2018)
 (Slowking4, CC BY-SA 2.5 <<https://creativecommons.org/licenses/by-sa/2.5/>>, via Wikimedia Commons)



Rhiannon Giddens (2015)
 (Schorle, CC BY-SA 4.0 <<https://creativecommons.org/licenses/by-sa/4.0/>>, via Wikimedia Commons)

13.2.2 The Interconnectedness of Appalachian and Affrilachian Music

The five-string **banjo** often symbolizes Appalachia and its people, and it is overwhelmingly associated with whiteness in the modern public consciousness. However, the banjo itself, with four strings, originated in Africa, most likely West Africa. It arrived in North America no later than 1740 and was soon played throughout the Upland South, including Tennessee, West Virginia, and western Kentucky, and even further down to New Orleans’s Congo Square in the late 1820s. Until about 1830, when whites began to adopt and popularize it in the minstrel show, blacks were the only musicians who played the banjo for their family, friends, and white audiences on plantations, primarily for occasions that involved dancing.

Much of what is now considered to be characteristic for the sound of the banjo (its twangy, bright, metallic timbre and the rolling texture it creates) is from the five-string banjo adapted by white players during the development of minstrelsy. In the white tradition, the banjo is a stringed, melodic instrument, as demonstrated in Scruggs’s three-finger style. However, the banjo is visibly a stringed drum, without much capability of sustaining a tone. The top, fifth-thumb string, though known as the “short-drone,” thus does not function as a drone string in the black tradition; rather it “chimes,” “tolls,” “peals,” or “rings like a bell.” This sound of chiming, along with that of beating the body of the instrument and its lower strings, was meant to provide a rhythmic, percussive background for music, dance, and song, resonating far more with an African-descended than with a European-descended character.

Although most African American banjo pickers play the five-string banjo today, the **downstroking** playing-style, also known as “thumping,” “knocking,” “mountain frailing,” “rapping,” or “clawhammer” style, originated with players from Africa and continues to remain a distinctively Affrilachian style. This picking style, combining a percussive melody with syncopated or “off-beat phrasing” rhythms, articulates the underlying principles of West African music. Joe and Odell Thompson’s old-time string band version of “John Henry” in contrast to Bill Monroe’s bluegrass version, as well as Snuffy Jenkins’s banjo solo without vocals, demonstrates the aesthetic of Affrilachian music through a constantly pounding banjo, a wailing fiddle, and a casually added vocal line hovering over the two instruments. The resulting syncopated rhythm,

heterophonic texture, and unconstrained manner of expression have a unique and intriguing sound. Monroe's bluegrass version, on the other hand, produces a still unassuming but more structurally organized pairing of banjo and fiddle alongside the other instruments of the ensemble. The Monroe version is melodically rolling and rhythmically syncopated, while emotionally smoothed-up and at a much faster tempo. Unlike these two, Snuffy Jenkins (1908–1990), an early proponent of the three-finger style predating Earl Scruggs and a white practitioner of the clawhammer style, focuses on the interworking of the tune itself rather than the narration of the story. Combining the ringing quality of the instrument with melodic, rhythmic, and harmonic possibilities created by his fluid technique, this performance features the banjo as a complete instrument. Jenkins's integration of melody and countermelody, and ping-pong and rolling, demonstrates the interconnectedness of Affrilachian and Appalachian music.

- Listening: Joe and Odell Thompson, “John Henry”
<https://youtu.be/85WTwG1Df-A>
- Listening: Bill Monroe and His Bluegrass Boys, “John Henry”
<https://youtu.be/i9TUaHPRsq0>
- Listening: Snuffy Jenkins, “John Henry”
<https://youtu.be/241G1mSO8Mc>

Different from the banjo's route from Africa to the New World, the **fiddle** and **guitar** came from Europe. Although there was an instrument like the fiddle in Africa, the fiddle found in the New World was mostly from northern Europe. As the key instrument of old-time music, and later bluegrass music, the fiddle carried a number of old tunes from Ireland and Scotland. Simultaneously, there arose in the nineteenth century a strong fiddle tradition among black musicians. Some of this music started out as fiddling performed by enslaved people, in which talented musicians were sent to places like New Orleans to learn how to play the fiddle for standard dance tunes. Different from white fiddling with slurred bowing (the **shuffle stroke**), which is frequently described as “smooth,” “clear,” or “notey,” black fiddling tends to involve what has been described as “rough,” “scraping,” “sawing,” and “jerky” sounds with separate bowing techniques. As heard in the fiddle playing of Joe and Odell Thompson, black fiddling incorporates loosely organized, jagged rhythmic patterns with moaned and wailing notes in a heterogeneously interwoven texture. Black fiddling displays a particular sense of timing and disposition of rhythmic forces originating from African dances. This style was soon adopted in the white Appalachian tradition, which assimilated into a bluegrass breakdown (a rapid instrumental performance of a fiddle tune). Here the fiddler emphasizes a rhythmic **saw stroke** (bowing without slur) with double stops in which two strings are sounded simultaneously, so that the melody is heard against a droning background note.

As early as the 1600s, Spanish settlers had brought to the Americas a guitar with five sets of double strings, and by 1800, the six-string guitar known today had evolved in southern Europe and was brought over from Italy and France. In early American cities and towns, the instrument was popular as a literate parlor instrument and saw the first instructional manual published in 1816. In the antebellum rural South, however, it was not working-class whites but enslaved blacks who first got to know and played the instrument, almost all residing in the Mississippi River Delta in Louisiana, the origin of Delta blues. While the blues guitar players adopted the steel guitar and

slide/bottleneck technique from travelling Hawaiian musicians at the turn of the twentieth century, the guitar's better resonance, as well as melodic and chordal qualities, gradually replaced the banjo in black folk culture. The clawhammer style shaped the **thumpicking style** of the guitar with an emphasis on rhythm. This thumpicking or thumb style is credited to the African American multi-instrumentalist Arnold Shultz (1886–1931). His thumb-style influenced a long lineage of modern guitarists from Ike Everly (1908–1975), through Kennedy Jones (1900–1990), Mose Rager (1911–1986), and Merle Travis (1917–1983, with his “Travis” picking style), to Chet Atkins (1924–2001). As mentioned above, Shultz also played with the Monroe brothers for square dances in the 1920s, and Shultz's sound and musicianship served as a crucial model during Bill Monroe's formative years.

These early country musicians' curiosity and receptiveness to their surroundings have been crystalized in the singer-songwriter and multi-instrumentalist Rhiannon Giddens's (b. 1977) intercultural journey and vision as an American musician. Beginning her professional career as a founding member of The Carolina Chocolate Drops, she has embraced old-time music's African roots through a modern interpretation and demonstrated the central role African Americans have played in shaping our nation's popular music from its beginnings. Mentored by the late Joe Thompson (1918–2012), with her musical background in opera, Giddens and The Chocolate Drops revived the black string-band tradition and renewed it with the principles of blues, jazz, and folk balladry. Through the Affrilachian aesthetic, she discovered black musicians excluded from historical narratives, from anonymous enslaved people to forgotten musicians, and gave them a voice to tell their stories through her purposeful delivery. The latest album *There Is No Other* (2019), which delves into the sounds of African, Arabic, and European worlds through the lenses of American music is her open but civil statement to oppose the social practice of “othering” or dismissing the subjectivity of those marked as outsiders. Her project invokes a dialogue and understanding across social and cultural lines, as she defies the boundaries of genre and nationality through music. Launching her new role as the artistic director of Silkroad, an organization that promotes cross-cultural collaborations in music with an educational mission of teaching the ideals of communication and creating a better world, she stretches her responsibility from retracing her own ethnic roots to constructing bridges between global traditions through music.

- Video to Watch: The Carolina Chocolate Drops, “Don't Get Trouble in Your Mind” from *Heritage* (2007)
<https://youtu.be/odacWiXSI8g>
- Video to Watch: The Carolina Chocolate Drops, “Snowden's Jig” from *Genuine Negro Jig* (2010)
<https://youtu.be/nliiRDmBbEQ>
- Video to Watch: Rhiannon Giddens, “There Is No Other” from *There Is No Other* (2019)
https://youtu.be/_-39C6DOOBo

Chapter 14 Popular Music with a Social Message and Spirituality in the 1960s

14.1 The United States in the “Sixties”

The 1960s was a defining decade in American history, during which the rising drive for social consciousness led the country to seek an identity beyond the political narrative of democracy versus communism at the closure of World War II. As tumultuous as it was hopeful, the Sixties saw the Vietnam War (1954–1975) and protests against it, the milestones of the Civil Rights movement, the Cuban Missile Crisis (1962) and its impact on the Cold War period, and the assassinations of United States President John F. Kennedy (1963) and Dr. Martin Luther King, Jr. (1968). This decade also saw an increase in support for the initiatives of Women’s and LGBTQ (lesbian, gay, bisexual, transgender, and queer) Rights movements. Other cultural milestones included the Apollo 11 spaceflight and Neil Armstrong’s walk on the moon as well as the first Woodstock festival in 1969.

Apart from the mainstream view of the era as representing the decay of the traditional social order, the Sixties generally marked the rise of a counterculture in social norms with regard to fashion, music, lifestyle, sexuality, formalities, and schooling. Postwar teenagers who had emerged as a new economic force through the industry of rock and roll grew into younger audiences for John F. Kennedy’s liberal ideas and policies. The new technology of television and televised political activities, military crises outside the United States, and protests against contemporary social challenges influenced public opinion and especially stirred up young people’s minds. The ideologies of antiwar and antiauthoritarianism soon became slogans of countercultural activities, broadening the generational gap between young adults and their parents. The growing cause of freedom, along with the callings to justice and equality, helped to instill a new sense of identity in the United States, from which social activism and the hippie movement headed toward political and cultural revolutions, respectively.

As part of the ongoing Civil Rights movement since the 1950s, student activists, both black and white, began to test out more aggressively the changes of the Jim Crow system that had been entrenched in the South since the end of the 1870s. Four African American students staged a sit-in at a segregated Woolworth’s lunch counter in Greensboro, North Carolina, and refused to leave after being denied service. The sit-in movement soon spread to college towns throughout the South. To capitalize on the momentum of this movement, the Student Nonviolent Coordinating Committee (SNCC) was founded in Raleigh, North Carolina, in April 1960. As one of the leading forces of the Civil Rights movement, SNCC organized Freedom Rides through the South in 1961, contesting the Southern states that ignored court rulings that declared segregated public buses were unconstitutional. The organization also led the historic March on Washington in 1963, at which Martin Luther King, Jr. gave his seminal “I Have a Dream” speech.

Some of the group members initiated the Black Power movement (1960s–1970s), which peaked in the early 1970s, enlarging the aims of the Civil Rights movement. A cultural revolution as much as a political revolution, this movement emphasized pride in “blackness,” economic empowerment, and the creation of political and cultural institutions. Their ideas of safety and self-sufficiency could result in responding to violence directed toward them with self-defense tactics, which raised a harsh criticism among leaders of the Civil Rights movement who advocated for non-violence in all circumstances. Nevertheless, the Black Power movement articulated a distinctive black culture and to a large extent contributed to recognizing the legitimacy of a different culture and challenging the idea of white cultural superiority. A black aesthetic that

revealed the worth and beauty of blackness by its own measure has since become influential in diversifying standards of beauty and aesthetic choices.

Corresponding to the milieu of the Sixties, music played a significant role as a symbol of counterculture. Unlike earlier times, in which music rather passively reacted to outside changes, this decade saw music often leading social movements, becoming the core of the associated events. The late politician and civil-rights leader John Lewis (1940–2020) remarked “... if it hadn’t been for music, the Civil Rights movement would’ve been like a bird without wings. Music ... it brought us together. It created a sense of solidarity...”² As American popular culture began to form on a large scale, many of popular, folk, and classical musicians endeavored to meet the public, political and social demands for freedom by writing and delivering music with purpose. At the forefront of change, music detached itself from the baggage of the past—European roots and the World Wars—by blurred the boundaries of music, while seeking to find an identity that would represent the culturally independent desegregated United States.

A wide range of music and cultures started to mingle, from rock, through protest songs and hippie songs, to avant-garde music by American experimentalists. Each sphere of music was fascinated with discovering a new timbre and combining it with a political, cultural, or social message, and at times spirituality, for the cause of freedom. Marking the beginning of the decade, Ornette Coleman, through his album *Free Jazz: A Collective Improvisation* (rec. 1960), inverted all formal trainings and traditions that had come before in jazz. Jimi Hendrix’s seeming distortion of the national anthem at Woodstock, promoted as “An Aquarian Exposition: 3 Days of Peace & Music,” expressed the Sixties’ experience of contradictions between how the United States was seen by outsiders and what it was struggling inside the country, while pulling together younger, optimistic communities. Seeking guidance from sources outside the Judeo-Christian tradition and Eurocentric genres, popular, classical, and jazz musicians also incorporated the ideas of Eastern religions and the sounds of Eastern musical styles as a sign of their new direction and identity.



Major Events in the Sixties

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Timeline of Major Events in the United States during the Sixties

- 1960 First Televised United States Presidential Debate
John F. Kennedy, Youngest Elected President in US History
“The Pill,” the First Contraceptive Drug, Released
Ornette Coleman’s Album *Free Jazz: A Collective Improvisation*, Recorded
- 1961 Freedom Riders Travel to the South to Protest Jim Crow Segregation
Closure of the Original Highlander Folk School
- 1963 Vatican II Begins, Convening Catholic Leaders to Determine the Future of the Church
Martin Luther King, Jr.’s Speech “I Have a Dream”
JFK Assassinated
Betty Friedan’s Book *The Feminine Mystique*
- 1964 MLK Awarded Nobel Peace Prize
The Beatles’ US Debut on Ed Sullivan Show
Freedom Summer (or the Mississippi Summer Project)
Civil Rights Act
- 1965 Voting Rights Act
Malcom X Assassinated
- 1966 Mao Zedong’s (Chairman Mao’s) Cultural Revolution Begins in China
Black Panther Party Founded
- 1968 The Last Poets Founded, Promoting Black Nationalism through Poetry
MLK Assassinated
Robert F. Kennedy Assassinated
Richard Nixon Wins Presidency
- 1969 Stonewall Riots in New York Mark the Public Beginning of the LGBTQ Rights Movement
Space Shuttle Apollo 11’s Neil Armstrong Walks on the Moon
First Woodstock Festival
John Lennon Declares His Departure from the Beatles

14.2 Music with Countercultural Messages and Spiritual Alternatives

The younger audiences of the Sixties, who pressured society for major changes in a way that it had never done before, found their countercultural and spiritual identities in **folk and rock music**. Forward-thinking musicians did not adhere to tradition in each sphere but, rather, experimented with sonic possibilities in a broad dialogue with other musical styles, including classical, jazz, and non-Western music. Despite the seeming chaos in the music industry and resisting traditional categories and conventional norms, many contemporary musicians merged into a single organized voice that envisioned the future of American music and its pluralism to provide cultural and aesthetic alternatives. In calling for freedom, the major trends of counterculture were as follows: topical and protest songs that provided vivid reports of outside events and reactionary movements, patriotic and utopian songs that empowered the youth and an optimistic vision, and avant-garde music that successfully achieved the ideal of new music without rejecting contemporary public interests and demands.

14.2.1 Topical and Protest Songs

Since the end of World War II, traditional music had begun to be tied to political causes in American popular culture and to be embraced by people outside the communities in which it originated. Folk musicians and collectors who had been politically engaged since the prewar years

hinted at a renewed interest in folk music known as the urban folk revival. Envisioning the latter-day idea of interculturalism, these musicians performed folk songs from traditional cultures outside of their own backgrounds. Topical songs often used preexisting melodies with new words that commented on current political and social issues. As a subgenre, protest songs stylized these folk and topical songs with modern popular sensibilities.

A key figure in the urban folk revival was Pete Seeger (1919–2014). He had begun writing music with Woody Guthrie (1912–1967) to support labor unions and the disenfranchised during the Dust Bowl of the 1930s. They were concerned that every person be able to enjoy the freedoms of democracy equally. As such, they wrote songs that were opposed to wars, against the corporatized capitalist control of the country, and in favor of civil rights and equal opportunity for all people. When the Civil Rights movement under the leadership of Dr. Martin Luther King, Jr. and other activists started, the United States began to face a new reality that had been suppressed for far too long. Seeger was a supporter of these efforts, especially with his song “We Shall Overcome” (adapted in the 1960s).



Woody Guthrie (1943)

(Al Aumuller/New York World-Telegram and the Sun (uploaded by User:Urban), Public domain, via Wikimedia Commons)



Pete Seeger Performing for IDF Soldiers in Israel, 1964

(Motke Avivi (Israel National Photo Collection), Public domain, via Wikimedia Commons)

The song “We Shall Overcome” was originally a spiritual entitled “I’ll Be Alright Someday,” sung by enslaved people in the South. With modification by Charles Albert Tindley (1851–1933), a Methodist minister and gospel music composer, the song grew in popularity as the church hymn “I’ll Overcome Someday” (1901). The first political use of this song occurred in 1945, in Charleston, South Carolina. Tobacco workers on strike marched and sang it as a protest song. Seeger learned this song from Zilphia Horton (1910–1956) at the Highlander Folk School, which had become a center for educating social movement leaders and organizing protests. They published the song in the *People’s Songs* newsletter in 1948. Shortly after that, Seeger changed the words from “We Will Overcome” to “We Shall Overcome,” while Guy Carawan (1927–2015) and Frank Hamilton (b. 1934) altered the rhythm. They copyrighted their version of the song with a decision to give all the royalties to a nonprofit fund that supports equal rights.

One night in 1958, the police decided to raid the Highlander Folk School and had the city turn off all electricity to the campus. A 14-year-old girl named Jamila Jones (b. 1944) was there that night, attending a workshop to learn more topical and protest songs. When the lights went out, she sat quietly in the darkness unsure of what was happening. Then she began singing “We are not afraid” and added a new verse to the song as others throughout the room joined her. Other verses that Seeger used are “We’ll walk hand in hand,” “We shall all be free,” “The truth will set us free,”

“Black and White together,” and “Love will see us through.” In 1960, Carawan taught the song to a group of about sixty African American college students from SNCC who were preparing to stage protests in cities throughout the South. Through their influence, the song quickly became an unofficial anthem for the Civil Rights movement. In the decades since, the song “We Shall Overcome” has been embraced by civil rights and pro-democracy movements in nations worldwide from Eastern Europe to Asia, and from South Africa to South America, for its message of solidarity and hope.

- Listening: “We Shall Overcome” by Pete Seeger (1960s)
https://youtu.be/M_Ld8JGv56E

Following the stream of the folk counterculture, Bob Dylan (b. 1941) combined old and new forms of folk song to comment on current issues and individualized the genre as a new type of song that today is often called the protest song. Although Dylan has resisted the label, and any categorization of his music in general, his songs in the Sixties gave rise to folk songs in the popular sphere. Inspired by Woody Guthrie’s records and autobiography, Dylan began his singing career in Greenwich Village folk clubs. His first album was mostly composed of songs that borrowed tunes from traditional folk songs with new words, more likely as topical songs.

For his second album, *The Freewheelin’ Bob Dylan* (1963), however, he wrote almost entirely original songs, three of which express his realistic yet cynical view on the ongoing Vietnam War (1954–1975), Civil Rights movement, including, “Blowin’ in the Wind,” “Masters of War,” and “A Hard Rain’s A-Gonna Fall.” His perceptiveness and abstract expression, along with his mysterious personality, penetrated his art of assembling words. Although he has continuously experimented with new styles and sounds in music, including folk, blues, rock, gospel, country, traditional popular, and jazz, the focus of his artistry has always been on the lyrics, with words that lead us to contemplate on ourselves and our surroundings, then and now. He was the first songwriter from any country to win the Nobel Prize in Literature, in 2016.

In “A Hard Rain’s A-Gonna Fall,” modelled on an innocent dialogue between a mother and her son from the old Scottish ballad “Lord Randal” (Child 12), Dylan proves his ingenuity in combining the old and new in general and juxtaposing the contradictory circumstances and dealings for a deeper meaning. On the basis of the classic question-and-answer structure, and with the traditional means of pastoral objects such as mountains, forests, and oceans, Dylan portrays what is happening outside in an indirect manner, which would otherwise transpire an irrational, harsh tone to the perceived brutalities of reality. His careful composition progressive arrangement of words, from affective, through visual, sonic, and physical realms, to the visionary, intensify the content without much dramatization in his music. Although his singing voice and dynamics in guitar gradually rise toward the end of the poem, the protagonist coming through Dylan’s voice continues to keep the listener from becoming emotional before being aware of the reality. This is the attitude that Dylan would have intended for his audience who strived to find an answer for life in facing the actuality of the contradictory United States of the Sixties. The poet, or the musician, may be viewed as the last person who would care about social movements and people’s struggles, perhaps being inspired, at best. Dylan calls to action in the final verse, however, to get into trouble rather than avoid it, following the footsteps of the folk counterculture that had been established by Guthrie, Seeger, and their contemporaries. There was a dark reality in these lyrics, but there was also an optimistic future ahead of the time they were able to envision through their work of art.

- Video to Watch: Bob Dylan, “A Hard Rain’s A-Gonna Fall” from *The Freewheelin’ Bob Dylan* (1963)
<https://youtu.be/hXn9ZKPx6CY>
- Lyrics of Bob Dylan, “A Hard Rain’s A-Gonna Fall” from *The Freewheelin’ Bob Dylan* (1963)
<https://www.bobdylan.com/songs/hard-rains-gonna-fall/>

14.2.2 Patriotic and Utopian or Hippie Songs

The spirit of the folksingers and players as musical spokesmen in the Sixties had been largely prepared by Woody Guthrie (1912–1967) and his rich repertory of songs that emphasized the plight of common people during the Great Depression and the Dust Bowl drought, particularly in Oklahoma, eastern Colorado, the Texas Panhandle, and the High Plains more generally. Guthrie’s lack of formal training in music and his lifestyle that included a stint as a laborer, street singer, and traveling migrant worker, as documented in his autobiography, *Bound for Glory* (1943), left a strong impression on countercultural musicians and their audiences. His song “This Land Is Your Land” (1963), whose affirmative tone has served many young and old patriotic minds in the United States, was actually a politically charged, leftist song tinged with his dislike of greed, care of underprivileged people, and deep appreciation of the country’s everyday folk. When it was first written in early 1940, as a direct response to the popularity of Irving Berlin’s “God Bless America” (1918; rev. 1938) and its idealized view on the country and its people, Guthrie expressed his rant in the original final stanza, cynically speculating whether Berlin’s “America” included him. At the same time, Native American activists have since pointed out that “This Land Is Your Land” neglects to recognize that this land was originally stewarded by indigenous people before Europeans arrived.

- Listening: Woody Guthrie, “This Land Is Your Land” (1963)
<https://youtu.be/wxiMrvDbq3s>
- Reading: The Story of Woody Guthrie’s “This Land Is Your Land” (including the Original Lyrics)
<https://www.npr.org/2000/07/03/1076186/this-land-is-your-land>

While Guthrie was embraced by left-leaning intellectuals and activists in New York City who were sympathetic to the ideals of communism, he became one of the principal songwriters for the Almanac Singers (1940–1943), a group of activist musicians, including Lead Belly, Pete Seeger, Sonny Terry, Brownie McGhee, and Cisco Houston, who used their songs as means of expressing their antiwar, anti-racist, and pro-union philosophies. Guthrie’s work was an inspiration for the American folk revival of the 1960s, at the head of which were Bob Dylan, Joan Baez, and Phil Ochs.

During the mid-1960s, the folk counterculture began overlap with the rise of the hippie movement, another countercultural movement whose members rejected the conventions of mainstream American life, identifying themselves with both folk and rock music. The hippies were largely influenced by the Beat poets in the 1950s who had led a movement of young people, sometimes referred to as the “Beat Generation,” believing in non-conformist ideas and spontaneous creativity. Although the Beats were regarded as being against formal academic

training, the movement was initiated by student-writers at Columbia University, including Jack Kerouac (1922–1969) and Allen Ginsberg (1926–1997), with the latter poet also eventually helping to form what is now Naropa University in Boulder, Colorado. They posited their literary works against the traditional narrative styles and values of their professors' works. On a spiritual quest, instead of being focused on materialism, they touted the explorations of Eastern and Western religions, especially Zen Buddhism, spiritual experimentations with psychedelic drugs, and sexual liberation, also associating themselves with modern jazz. All these ideas and ideologies gave rise to the characteristics of the hippies during the Sixties. Though partly rooted in beliefs that were antiwar and supportive of peace as an opposition to the American involvement in the Vietnam War, college students and young adults of the hippie movement were not directly engaged in politics, distinguishing themselves from activists of the Civil Rights movement.

The new culture of hippiedom was expressed through hairstyle, dress, and lifestyle as much as through beliefs. Distancing themselves from middle-class society, they favored long hair, beards for males, casual dress, often in “psychedelic” color combinations, sandals, beads, and rimless glasses. Hippies often took up communal living arrangements, were prone to vegetarian diets due to a concern for the environment, and they practiced holistic medicine. They tended to be disengaged from society and school, forgoing conventional jobs and careers. Advocating the ideas of nonviolence and love, they promoted openness and toleration as alternatives to the proprieties of middle-class life. They found their spiritual guidance not in Judeo-Christianity but in Buddhism, the core of which lies in nonviolence and non-economic materialism, and other Eastern religions. Their interest in the unity and harmony of the universe caused them to study astrology. As a way of expanding consciousness to simulate spiritual ecstasy, as well as a way of celebrating life, they justified their consumption and partying with hallucinogenic drugs, especially marijuana and LSD (lysergic acid diethylamide, nicknamed “acid”).

Music was integral to hippie culture. Closely identified with the movement were folk and rock musicians. The culmination of their musical culture was a three-day music festival known as Woodstock, held in rural New York State on 15–17 August 1969, drawing more than almost half a million people and featuring thirty-two musicians, a combination of local and world-famous talents. Of them were Richie Havens, Ravi Shankar, Arlo Guthrie, Joan Baez, Santana, the Grateful Dead, Janis Joplin, Sly & the Family Stone, Jefferson Airplane, and Jimi Hendrix. This epic event later became known simply as Woodstock, and it was synonymous with the counterculture movement of the 1960s. During a period of great unrest and protest, the festival provided a chance for young people to escape into music and spread messages of unity and peace. Despite sex, drugs, rock, and rain, Woodstock was a peaceful celebration with an optimistic message, taking an important place in pop culture history.

The recreational use of street drugs among the hippies of the Sixties also led to the emergence of a new style of rock music known as **psychedelic rock**. Reflecting drug-induced states of mind, this style of rock incorporated **feedback** (sound distortion by the return of the output signal of an electric device to the input), electronics, and intense volume. Such groups as the Grateful Dead, Love, The Charlatans, The Doors, and Jefferson Airplane led this major rock phenomenon, which quickly traveled from the West Coast to the East Coast. Meanwhile, the 13th Floor Elevators from Austin, Texas epitomized the darker, more psychotic frenzy of acid rock, utilizing overdriven guitars, amplified feedback, and droning guitar motifs influenced by Eastern music. As it continuously expanded to new styles of rock music, other established rock style bands adopted the elements of psychedelic rock to refurbish their aesthetic outlook. Notable examples

included the Beatles' albums *Revolver* (1966), *Sgt. Pepper's Lonely Hearts Club Band* (1967), and *Magical Mystery Tour* (1967).

The song "Love You To" from *Revolver* was the Beatles' first full attempt to record a song in the Indian classical style. It was written while George Harrison was learning the sitar from the world-famous Indian sitar musician Ravi Shankar (1920–2012) who encouraged him to study more about Indian music and Eastern religions. Harrison, who wrote and sang this song, incorporated the sound of acoustic and electric guitars, bass guitar, and tambourine with that of the Indian instruments **sitar**, **tabla**, and **tambura**. Mirroring the procedure of improvisation on **raga** and **tala** in Indian classical music, especially Hindustani music, the sitar slowly opens the song, sustaining a couple of pitches as a **drone**, which leads the listener's mind to be attuned to the musical meditation. As the song progresses, the rhythmic and textural density gradually increases. After several cycles of the music, from 2:35 to the end, the instrumental section speeds up, resulting in an intensity and excitement that expands the listener's consciousness. Corresponding to the lulling, psychedelic effect of the music, the lyrics hint at the mantra of the antiwar movement commonly associated with the culture of hippies: "Make love, not war."

- Listening: "Love You To" from *Revolver* (1966)
<https://youtu.be/s1X-q7MweIc>

Popular songs marked with such messages as peace, love, and other utopian ideals also formed an important part of the repertory of hippie songs in the Sixties. The Beatles' "All You Need Is Love" from *Magical Mystery Tour* was written by John Lennon for Our World, the world's first televised satellite link-up between 25 countries worldwide. The song's message sums up the optimistic mood of the Summer of Love (a social phenomenon of hippies in mid-1967 leading up to Woodstock). In order to correspond to the rising communal spirit of hippies and the special occasion of Our World, Lennon wrote this song for a large performing force that includes not only a rock band but also classical orchestral instruments and a vocal chorus. Though not aurally recognizable, other instruments including the harpsichord, piano, banjo, and accordion were also featured, and a conductor facilitated the coordination of the vast instrumental forces. The opening fanfare of the song, which was borrowed from the French national anthem, "La Marseillaise," suggests the mottos of the French Revolution—freedom, equality, and fraternity. The familiarity of the tune is articulated by the simplicity of the message, "All You Need Is Love." With the lengthy **coda** (an additional, tail-like section), which repeats a variation on the title's lyrics as it gradually collects all the individual melodic and rhythm lines into one **sound mass**, the song marches away, echoing in the listener's mind the global ideology of love.

- Video to Watch: The Beatles, "All You Need Is Love" from *Magical Mystery Tour* (1967)
<https://youtu.be/4EGczv7iiEk>

The collective voice calling for love continued in Lennon's later song "Imagine" from *Imagine* (1971), this time more likely as a personal plea for peace and unity. In a similar vein, Louis Armstrong also recorded "What a Wonderful World" (1967), written by Bob Thiele and George David Weiss, who felt the fractured United States needed a healing message. Although it took a slow path to popularity in this country, not receiving much attention until after Armstrong had passed away, "What a Wonderful World" became a number one hit in England in 1968 and had an immediate appeal to audiences in other European countries, South Africa, and Asia.

- Listening: John Lennon, “Imagine” from *Imagine* (1971)
<https://youtu.be/907-MBGOk9A> [w/ Lyrics]
- Video to Watch: Louis Armstrong, “What a Wonderful World” (1967)
<https://youtu.be/CWzrABouyeE>
<https://youtu.be/6Gpir1K3g94> [w/ Lyrics]

14.3 Avant-Garde Music with a Political and Social Consciousness

The attitude of rejecting established laws and institutional values, pushed forward by the countercultural movements of the Sixties, was also prevalent in contemporary jazz and classical music. Avant-garde musicians who had already begun to experiment with the shape and timbre of music made an imprint on psychedelic rock’s stylistic and sonic characteristics—extended improvisation, a warped and distorted sound, and effects generated by electronic devices. As studied in Chapter 12, jazz finally broke the traditional dynamic of stylistic changes between white appropriation and black reaction, between pre-bebop and bebop, or between cool jazz and hard bop; hence, free jazz emerged as an independent style of jazz in its modern history. From the early 1960s, in particular, John Coltrane began to align himself with the avant-garde in musical vocabulary, while approaching it through his spiritual lenses to contemporary political and social issues. Likewise, classical music composers, such as Steve Reich, Krzysztof Penderecki, and George Crumb, came into their own as artists but did not always view music as an outcome of the interworking of sonic elements and structures. With a broader range of aesthetic and stylistic means, including post-tonality, electronic media, and the concept of indeterminacy, they responded more intensely to their surroundings with political and social consciousness.

Coltrane’s “Alabama” (1963) was an artistic response to the racist bombing of the 16th Street Baptist Church in Birmingham, Alabama. The explosion killed four young black girls and injured many others, on a day when a sermon entitled *The Love That Forgives* was scheduled to be delivered. Three days after the bombing, Dr. Martin Luther King, Jr. delivered a speech, which inspired Coltrane to capture its inflections as well as its narrative structure and tone, shifting from mourning to a renewed determination to fight against racially motivated crimes. The saxophonist Coltrane was accompanied by the members of his classic quartet—McCoy Tyner on piano, Jimmy Garrison on bass, and Elvin Jones on the drums. Despite the understandable anger for the violence and devastation of the resulting deaths, Coltrane maintained his composure throughout the song. It is dark and somber in tone yet caring and healing in melody and its affect. Coltrane’s song was a protest song with a gentle spirit, and an elegy with purified feelings for the victims.

- Video to Watch: John Coltrane, “Alabama” (1963)
<https://youtu.be/saN1BwlxJxA>
- Video to Watch: “Alabama” John Coltrane and Martin Luther King [Jr.]
https://youtu.be/aiJ_0gp-T9A

Steve Reich (b. 1936) is one of the leading composers whose continuous evolution and reinvention reflects seemingly unceasing artistic curiosities and desires. Yet, his artistry does not always find a home in a purely musical realm but often confronts our challenging world and its demand for music. Of his early works, “It’s Gonna Rain” (1965) and “Come Out” (1966) were

created by his accidental manipulation of two tape loops that happened to be played out of sync with each other. The resulting sound was similar to an effect of a **canon** or a **round** with repeatedly echoing messages. His discovery of this new impersonal medium and sound marked the official beginning of **minimalism** as a mainstream of American avant-garde music. For the then-classical, art music audience who would otherwise have remained aloof to the outside happenings of the Sixties, Reich's works delivered realistic yet objective reports on the events or challenging messages facing the world.

The source of "It's Gonna Rain" was taken from the preacher Brother Walter's enthusiastic street sermon, which Reich stumbled across in the San Francisco Union Square, on the biblical flood and Noah's ark. Reich was fascinated with the preacher's speech pattern and the musicality of his vocal delivery, while conjoining the perceived urgency with his chilling memory of the Cuban Missile Crisis that had occurred a couple of years prior to this encounter. During the cumulative time of 17 minutes and 56 seconds (Parts I and II), Reich demonstrated how one minimal "musical" phrase can process to become a larger idea of music or shape a piece of music without much planning and control, to an extent following the principle of **indeterminacy**.

- Listening: Steve Reich, "It's Gonna Rain" (1965)
<https://youtu.be/vugqRAX7xQE>

In the following year, Reich made a sound composition titled "Come Out" (1966). It begins with the voice of a man: "I had to, like, open the bruise up and let some of the bruise blood come out to show them." After repeating this statement two more times, the composition gradually develops the fragmentary phrase, "come out to show them," until it is nearly indistinguishable, resulting in a thick texture of polyphony and an unending echo of the message. Before this project occurred, Reich had happened to obtain the recording of Daniel Hamm, one of the young African American men who intervened to protect children against the threat of excessive force in April 1964 after they had been targeted in connection with a fruit stand that had been knocked over in Harlem. Hamm was detained overnight and severely beaten by police. Because Hamm was bruised, not bleeding, he was deemed ineligible for medical treatment. Knowing that it was impossible to prove his pain by describing it, he had to open the bruise up and let some of the bruise blood come out to show that he had been injured. Using the technique that we know as **phrase shifting**, Reich looped the sample of Hamm's voice on two channels that start in unison and slowly slip out of sync. The resulting sound is the young man's candid revealing of racial violence and asking for justice.

- Listening: Steve Reich, "Come Out" (1966)
<https://youtu.be/pZUB5iSEifl>



Steve Reich (2006)

(Steve_Reich.jpg: Ian Oliver derivative work: LPLT, CC BY 2.0
<<https://creativecommons.org/licenses/by/2.0/>>, via Wikimedia Commons)



Krzysztof Penderecki (2015)

(Pr osv, CC BY-SA 4.0 <<https://creativecommons.org/licenses/by-sa/4.0/>>, via Wikimedia Commons)

In addition to the medium of tape loop as well as other electric and electronic devices that followed, **post-tonality** (harmony without a sense of home key) also enabled composers to create realistic and surrealistic descriptions of the war and express raw feelings about it through music. In *Threnody for the Victims of Hiroshima* (1960), Krzysztof Penderecki (1933–2020) effectively associated the work’s emotional power in sound with the horror of the United States’ nuclear bombings of Hiroshima and Nagasaki, Japan, in 1945. With his individual system of notation, he employed as many kinds of tones as possible, including whole tones, semitones, and microtones (intervals that are less than half-steps such as a 1/4 interval and its expanded 3/4 interval). For the 52 acoustic string instruments, he called for unconventional ways of playing the instruments, including playing between bridge and tailpiece, behind the bridge, or striking the sounding board.

- Listening: Krzysztof Penderecki, *Threnody for the Victims of Hiroshima* (1960)
<https://www.youtube.com/watch?v=HilGthRhwP8&t=53s> [w/ Animated Score]

In a similar vein, George Crumb (b. 1929) wrote *Black Angels: Thirteen Images from the Dark Land* (1970), revealing strong feelings against ongoing involvement of the United States in the war in Vietnam. He used an electric string quartet plus maracas, tam-tams, and water-tuned crystal glasses played with a violin bow, along with unusual performance techniques, to create surrealistic images through sound that would have been experienced in the battlefield. The members of the string quartet also click their tongues, whisper, and shout numbers in Hungarian, Japanese, Russian, German, and Swahili. Structuring the work in three parts, “Departure”–“Absence”–“Return,” Crumb delineates the fall of mankind, complete destruction, and ultimate redemption, along with the questions about life, death, God, and the devil.

- Video to Watch: George Crumb, *Black Angels: Thirteen Images from the Dark Land* (1970)
<https://youtu.be/mt3qN-8mwBE>

Chapter 15 Hip-Hop: Its Past and Present

15.1 The Origins of Hip-Hop

Hip-hop is a genre of popular music that originated from the performance practices of disc jockeys (deejays or DJs) and masters of ceremonies (emcees or MCs) who played dance party music for Black and Latino youth in the Bronx Borough of New York City in the mid-1970s. In a broader sense, hip-hop also refers not only to the music but also to the arts, media, cultural movement, and community, driven by the idea and language of resistance and urgent self-expression. As an outlet for communities' frustration, joy, energy, anger, and solidarity in living in underfunded, impoverished areas, hip-hop initially represented the artistic elements of deejaying (or turntabling), emceeing (rapping), b-boying/b-girling (or breakdancing), and graffiti art and writing. Gaining widespread popularity in the 1980s and 1990s, due to concert tours, films, and MTV, hip-hop has evolved from a block party music, through a political medium, to a commercially viable musical genre. In recent years, it has grown into a global phenomenon, a subculture that involves music, fashion, language, attitude, and lifestyle.

The term "hip-hop" was first coined in the mid-1970s by rapper Afrika Bambaataa as part of the non-lexical syllables that he would use while improvising, or "free styling," in rap performances. Other rappers quickly adopted and popularized this technique throughout the late 1970s. It was in the fall of 1979 that the term caught national attention when it was featured in the very first line of the first commercially issued rap recording, "Rapper's Delight," by The Sugarhill Gang on the independent African American-owned label Sugarhill Records. Since this studio recording was produced, detaching itself from original venues such as parties, park jams, and club events, hip-hop has rarely involved an actual deejay, while graffiti and breakdancing have detached from the music industry, becoming independent art forms. Although hip-hop is the culture, and rap music is the product, the term hip-hop is widely considered a synonym for **rap music** today.

- Listening: The Sugarhill Gang, "Rapper's Delight" (1979)
<https://youtu.be/tUqvPJ3cbUQ>

15.2 Elements of Hip-Hop

Hip-hop is a complex culture that consists of four major elements: **deejaying**, **emceeing**, **breakdancing**, and **graffiti**. Also included are a system of knowledge that unite these elements, the idea of self-awareness, especially by socially conscious hip-hop artists, and beatboxing. First, deejaying refers to a disc jockey's manipulation of sound records by using two or more turntables and an audio mixer that controls the amplified volume of the turntables by the sound system. It is also called **turntabling** or **turntablism**, with primary techniques that include scratching, looping or cutting, beatmatching, and beat juggling. The first major hip-hop deejay was DJ Kool Herc (Clive Campbell, b. 1955), an 18-year-old immigrant who introduced the sounds of his native Jamaica to inner-city parties. Kool Herc and other hip-hop deejays including Grand Wizard Theodore (sometimes spelled Grand Wizzard Theodore, b. 1963), Afrika Bambaataa (b. 1957), and Grandmaster Flash (b. 1958) developed further the **break beat** (the part of a dance record where all sounds but the drums drop out). Beside turntabling skills, extensive record collections and an encyclopedic knowledge of their contents are also important components of expert deejays.



DJ Kool Herc (2009)
 (Bigtimepeace, Public domain, via Wikimedia Commons)



Afrika Bambaataa (2009)
 (docmonstereyes from USA, CC BY 2.0 -<https://creativecommons.org/licenses/by/2.0/>, via Wikimedia Commons)

Emceeing is the role that a master of ceremonies (emcee or MC) plays by rapping or adding other vocal components to hip-hop music. Originally, rapping was carried out by the deejay's spoken interjection over the music that was being mixed and scratched through the records. As turntablism grew complex, the role was handed over to the emcee. Although what an emcee does is considered to be rapping or vocalizing, reputed emcees or rappers, especially in hip-hop's early history, are also good writers of poetry who carefully weave the content with inner and outer rhymings of words and phrases. Among the oratorical precedents of the practice of emceeing are West African griots' (poets or musicians who function as historians) epic storytelling, blues singers' narratives, jailhouse toasting (recounting boastful stories), the dozens/dirty dozens (a game based on exchanging humorous insults, usually about members of the opponent's family, with an aesthetic of challenge). Other influences include R&B radio deejay Jocko Henderson's fast-talking jive, the black consciousness poetry of Amiri Baraka (1934–2014), Gil Scott-Heron (1949–2011), and the Last Poets, and rapping sections in disco or funk-based recordings by Isaac Hayes, James Brown, and George Clinton.

Breakdancing or b-boying/b-girling is a highly athletic dance style, usually done by groups known as crews. This dance style involves spinning on the floor, body popping, and jerky, staccato, robotlike moves. The roots of these basic moves trace back to nineteenth-century black social dances, largely categorized as buck (involving a percussive footwork) and wing (flapping body parts). In the 1980s, breakdancing was commodified by the film industry, taking a central place in such movies as *Wild Style*, *Flashdance*, *Style Wars*, *Beat Street*, and *Breakin'*. Similar to the origin of deejaying, breakdancing has been cultivated in local gatherings and regional, national, and international battles through which the crews compete and continue to hone their skills. Among the international champions of breakdancing outside the United States are especially those from South Korea, France, and Japan. South Korean K-pop artists usually spend seven to ten years training as singers and hip-hop dancers before their debut.

Graffiti is an artistic form of visual communication by an individual or group that typically appears in unauthorized public spaces. Apart from its long history dating back to ancient Roman ruins, graffiti in the United States was started around 1972 by a Greek American teenager who signed (or "tagged") Taki 183 (his name and street, 183rd Street) on walls throughout the New York City subway system. By 1975, youths in the Bronx, Queens, and Brooklyn had taken this medium into train yards to spray-paint colorful mural-size renderings of their names, imagery from

underground comics and television, and even Andy Warhol-like Campbell's soup cans onto the sides of subway cars. As public officials have often associated graffiti with criminality, it is an illegal activity and, despite its artistic qualities, considered vandalism in most jurisdictions. To many observers, however, graffiti has been received as a defining feature of city landscapes and as an important medium and genre of pop art. In graffiti, some art collectors see these artistic expressions as having as powerful of a visual impact on specific communities as that of the famous murals by painter Diego Rivera in Mexico. In the 1980s, prominent New York artists, such as Jean-Michel Basquiat (1960–1988) and Keith Haring (1958–1990), were recognized for their social activism and journalism in graffiti. Meanwhile, Lady Pink (b. 1964) has endeavored to promote graffiti as a positive form of art, especially recounting the diversity of graffiti artists, to empower women as having agency in hip-hop culture. Her work challenges the tradition of graffiti and offers an alternative to male-dominant, at times misogynistic viewpoints (for more information, visit <https://www.ladypinknyc.com/murals>).

Of the additional elements that have been considered to be part of hip-hop, **beatboxing** is the art of producing drum-machine sounds and effects using one's mouth and, occasionally, the body. The three basic sounds of beatboxing are the sounds that imitate the bass or kick drum, hi-hat, and snare drum, commonly pronounced in the syllables “b,” “t,” and “pf,” respectively. The beatboxer at times includes sounds that resemble electronic sampling and the sounds of scratching a phonograph needle grating against a vinyl record. It is most often executed by one person alone, **a cappella**, sometimes with a microphone for amplification. Some scholars find the roots of beatboxing in the practice of pattin' juba, an African American dance, also known as juba dance or hambone, which involves stomping as well as slapping and patting body parts. Like graffiti, beatboxing arose in the multitudes of anonymous artists in under-resourced places such as the Bronx, where most community members could not afford drum machines and synthesizers. As beatboxing imitates machine-generated sounds by a human mouth, it creates a distinctive aesthetic in hip-hop music. Apart from the identified roots of Black and Latino music cultures, the almost nonexistent language barrier of beatboxing, as well as its exploration of various speech rhythms for advanced sounds and techniques, the technique attracts more and more global performers.

15.3 Hip-Hop Music to Hip-Hop Nation

Throughout the last half century, hip-hop has undergone considerable change in its identity from politically conscious music to commercial and global music. The late Sixties' emphasis on black racial and national identity energized by the Civil Rights movement laid a foundation for hip-hop's humble yet assertive beginnings that were rooted in the struggles of life in the South Bronx. With a growing knowledge of self, early African American writers in New York City spotlighted through their poetry the economic and social injustices of the 1970s. Of these influential figures, the Last Poets, especially with members of Jalal Mansur Nuriddin (1944–2018), Umar Bin Hassan (b. 1948), and Abiodun Oyewole (b. 1948), came into public notion. Their sung poem “When the Revolution Comes” (1970), along with Gil Scott-Heron's response, “The Revolution Will Not Be Televised” (1970), functioned as a call to action. With gentle groove music underlaid as the counterpart to the critical spoken words, they warned against the growing power of television for public communication and the decade's fascination and reliance on it in the hopes of television being a source for political and social change. The poetry of the Last Poets has been revisited by some later hip-hop musicians who search for the original spirit of non-commercial, independent hip-hop with public messages of political and social activism.

- Listening: The Last Poets, “When the Revolution Comes” (1970)
https://youtu.be/8M5W_3T2Ye4
- Listening: Gil Scott-Heron, “The Revolution Will Not Be Televised” (1970)
<https://youtu.be/QnJFhuOWgXg>

“The Message” (1982) by Grandmaster Flash and the Furious Five marked the first major hip-hop song that concerned social issues in the realm of music. Frustration with the early years of President Ronald Reagan’s administration and its economic policies became a source of inspiration for the song. The lyrics functioned as a protest song that spoke to the specific community of that time. While the words, rapped by Melle Mel (b. 1961) and Duke Bootee (b. 1951), make sharp attacks on a system that caused worsening poverty, the lightly pulsating beat of the song, generated by the use of a drum machine and synthesizer, still conveys a party-music spirit, making the words sound impersonal yet heard clearly.

- Video to Watch: Grandmaster Flash and the Furious Five, “The Message” (1982)
<https://youtu.be/PobrSpMwKk4>

In contrast, Public Enemy’s message in “Fight the Power” (1989) is more urgent and emotional. As the leader of the group, Chuck D (b. 1960), who once described hip-hop as “Black People’s CNN,” crafted his words with direct and poignant messages, criticizing systematic racism, which left no room for blacks in society and in the public representation of American culture. Exemplifying what followed in hip-hop music, this song is filled with a polyphonically interwoven funk groove and sound by means of many layers of **loops** (small musical units) and **looping** (processing one section of a song over and over, through the alternation of two copies of the same record). Also embedded are various **samples** (short pre-recorded musical clips that are incorporated into a new song) and allusions to African American culture, including Dr. Martin Luther King, Jr., worship phrases commonly heard in black churches, and samples of singer James Brown’s music as well as Clyde Stubblefield’s drum patterns from “Funky Drummer.” As director Spike Lee originally commissioned this song for the movie *Do the Right Thing*, Public Enemy’s “Fight the Power” successfully created a musical rally that could be considered an “anthem” of black consciousness in the contemporary hip-hop industry, with a message that remains relevant today in the fight against racial inequalities around the globe.

- Video to Watch: Public Enemy, “Fight the Power” (1989)
<https://youtu.be/mmo3HFfa2vjg>

In the 1990s, mainstream hip-hop music made a drastic change in direction from conscious hip-hop to **gangsta rap**. The outlaw lifestyle promoted through the songs of the 1990s was favored by rebellious white suburbanites and those who had firsthand experiences with the harsh realities of under-resourced metropolitan neighborhoods. East Coast rappers, especially led by Schoolly D, had produced graphic tales of gangs and poverty-driven violence, while West Coast hip-hop defined what is known as gangsta rap with the release of N.W.A.’s controversial album *Straight Outta Compton* (1989). Drawing from personal experiences with racism and excessive policing, N.W.A. plainly chronicled the lifestyle of the streets of south-central Los Angeles and neighboring Compton. Through their own versions of protest song, infused with pain and anger, these songs

include explicitly offensive words, misogynist views, and a glorification of drugs and crime. The industry of commercial music quickly picked up the elements of glitz, guns, and girls, publicizing them as a complete package to a specific audience by means of both audio and video, while downplaying the social struggle that was the initial motivation for the gangsta rap.

The commercialization of gangsta rap gradually shifted the role of hip-hop from being a performer's expression to the listener's entertainment. The emphasis in the industry subsequently moved from poetry to music, and from rhyme to beat. Dr. Dre (b. 1965), one of the members of N.W.A. who went on to have a successful solo career, released *The Chronic* in 1993 with a new style of music called **G-funk**. Drawing on samples from James Brown (1933–2006) and George Clinton (b. 1941), he reinterpreted the stylistic characteristics of funk within the genre of hip-hop. Highlighting a repetitive, hypnotic groove, complex and percussive bass lines, a sparse texture, female background vocals, and countermelodic synthesizer lines, G-funk created a languid mood that would reflect the lifestyle of gangsters on the West Coast. Tupac Shakur's "Changes" (1998), posthumously released, exemplifies the sound of G-funk style, which tempers to an extent the conventional urgent narrative delivery of rap. Tupac's individualized, relaxed popular singing style and his poetry offered a socially conscious yet laid-back attitude within the mode of gangsta rap.

- Video to Watch: Tupac Shakur, "Changes" (1998)
<https://youtu.be/eXvBjCO19QY>



Dr. Dre (2013)

(Justin Davis from San Jose, US, CC BY-SA 2.0 <<https://creativecommons.org/licenses/by-sa/2.0/>>, via Wikimedia Commons)



Eminem at Lollapalooza, Chicago, 2011

(- EMR -, CC BY 2.0 <<https://creativecommons.org/licenses/by/2.0/>>, via Wikimedia Commons)

In 2002, Dr. Dre's protégé Eminem released "Lose Yourself" as the soundtrack of the film *8 Mile*. The song, written and produced by Eminem himself, carries his semi-autobiographical story on the intense groove of hip-hop. Eminem's unique vocal timbre and tone of delivery is backed up by the signature sound of chunky guitar and a straightforward drum machine, which had a direct bearing on the fighting spirit of this song. Along with the dramatic quality of the music, Eminem's poetic writing, which reflects a young rapper's personal attempts to overcome adversity, led it to become the first hip-hop song that won the Academy Award for Best Original Song. Despite the public assumption that the voting members would have been racially biased toward the rapper in the initially Black-Latino genre that had been so long marginalized as of bad taste, the song's popularity, as well as the commercial success, helped the public rethink hip-hop as a positive medium of self-expression for millennials.

- Video to Watch: Eminem, “Lose Yourself” (2002)
<https://youtu.be/EY3vLdHmNjY>

In recent decades, the elements of hip-hop have been widely infused in other popular-music genres, while hip-hop music simultaneously helped to create global musical communities that share the political and social ideologies and messages. With the themes of action for change and self-awareness, hip-hop became a new international language with textual and musical coding in various countries. In the 2011 Arab Spring uprising, during which a series of prodemocracy protests began to occur in Tunisia, Morocco, Syria, Libya, Egypt, and Bahrain, El Général’s “Rais Lebled” (“Head of State”) went viral on YouTube and Facebook with a homemade video, mobilizing the Arab World for political revolution. The then twenty-one-year-old Tunisian emcee, who himself was heavily influenced by the lyrics of Tupac Shakur, directly criticized the country’s corruption and racism. The lyrics called out President Zine El Abidine Ben Ali for the government’s role in perpetuating poverty. El Général’s political act through hip-hop prompted national protests, which led to the removal of the president, while inspiring other musicians with North African and Middle Eastern roots, including Arabian Knightz (an Egyptian hip-hop trio), Master Mimz (a Moroccan-born, United Kingdom-based female hip-hop musician), and Omar Offendum (a Syrian American hip-hop artist).

- Video to Watch: El Général, “Rais Lebled” (“Head of State”)
<https://youtu.be/IeGIJ7OouR0>

In South Korea, hip-hop music has laid a significant foundation for what is known today as **K-Pop**. Since the 1990s, popular music in South Korea has vigorously adopted the elements of hip-hop through boy bands and girl bands and, of course, appropriated them, according to the sentiments of Korean language and music. Seo Taiji and Boys (서태지와 아이들, active in 1992–1996) is credited with introducing rap into Korean popular music with their debut song “I Know” (“난 알아요”). The members of the group, serving as executives and producers, have had a significant impact on the culture and operational system of the industry. They changed it into a mega entertainment company system that incorporates a record label, talent agency, music production, event management, concert production, music publishing, and even clothing lines. Almost two decades later, in 2012, Psy (싸이) released his sixth album, in which “Gangnam Style” (“강남 스타일”) became an international sensation for the singer’s humorous voice and dancing style, while contributing greatly to bringing attention to K-Pop and its potential as “soft power.”

Unlike the use of hip-hop as a means of social activism in African and Latino American communities of the United States or as a youth-driven political voice in the Arab World, hip-hop in South Korea has served as an emotional outlet for teenagers who were repressed and agonized in the social hierarchy between the old and the young, the rigorous educational system, and the lack of individualistic awareness, which are deeply rooted in the still prevalent traditional, Confucianist way of thinking and systems. As can be heard in BTS (also known as the Bangtan Boys; 비티에스/방탄소년단)’s debut single album *2Cool 4Skool* (2013), the seven-boy group used hip-hop, from rap and breakdancing to dress code, as a symbol of rebellion against the traditional high pressure of societal and parental expectations, not so different from the motive and attitude that ignited the musicianship of Seo Taiji and Boys. As hip-hop itself has evolved globally in recent years, BTS’s artistry has changed to claim an independent style that fuses various sources

of music, poetry, and language. As heard in the songs “Idol” (“아이돌”) from *Love Yourself: Answer* (2018) and “Daechwita” (“대취타”) from *D-2* (2020) by Agust D (an alter ego of Suga, a member of the group), BTS mixes both Korean and English, and at times records in Japanese, while incorporating popular music with Korean traditional musical genres and elements— **Changdan** (a traditional rhythmic mode; 장단), **Talchum** (mask dance; 탈춤), **Daechwita** (royal, military march; 대취타), and **Buchaechum** (fan dance; 부채춤). The subject matters cover social isolation, mental health, personal troubles with self-acceptance, and an anxiety for the uncertainty of the future. Today, as a voice of youth, BTS has been actively involved in an anti-violence and anti-bullying campaign in partnership with UNICEF, while receiving strong support from the Korean government for globalizing the country’s national pride and modern identity.



Seo Taiji (2014)
 (박경은의 쟁있게 살기, CC BY 4.0 <<https://creativecommons.org/licenses/by/4.0/>>, via Wikimedia Commons)



BTS at Mnet Asian Music Awards, 2 December 2016
 (Divine Treasure, CC BY 4.0 <<https://creativecommons.org/licenses/by/4.0/>>, via Wikimedia Commons)

- Video to Watch: Seo Taiji and Boys, “I Know” (1992)
<https://youtu.be/TGQwW0B1d2c>
- Video to Watch: Psy, “Gangnam Style” from *Psy 6* (2012)
<https://youtu.be/wMMp-09BH0>
- Video to Watch: BTS, “No More Dream” from *2Cool 4Skool* (2013)
<https://youtu.be/btIzXwxDWOY>
- Video to Watch: BTS, “Idol” from *Love Yourself: Answer* (2018)
<https://youtu.be/K1scjbfNsk> [w/ Nicki Minaj]
- Video to Watch: August D, “Daechwita” from *D-2* (2020)
<https://youtu.be/qGjAWJ2zWWI>

Chapter 16 Tango, Mariachi, Dabke, and Klezmer in Contemporary Music

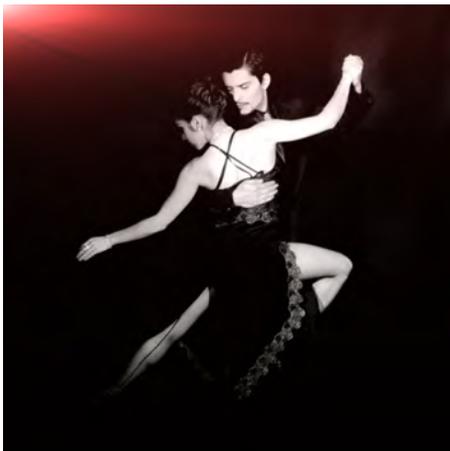
Tango, Mariachi, Dabke, and Klezmer are traditional musical genres, each of which originated from a particular cultural region before becoming part of popular world music cultures and materials. The works of the composers included below exemplify modern-day musicians' efforts to blend their cultural and ethnic heritages with mainstream musical styles in pursuit of searching for novelty. Simultaneously, they help to promote cultural awareness within the music industry, continuing to cultivate music as a platform of political expression and social justice.

16.1 Tango

Tango today refers to a type of rhythm and dance, along with the associated music, that originated in Argentina. In the nineteenth century, tango was a popular dance in Spain and many Latin American countries. The origin of the word “tango” is unclear. Some scholars say that the root of the word could be derived from an old Spanish word *taño*, which means playing an instrument. Others claim that the word itself means African dance, dating back to the time when black enslaved people had forcibly labored in the colonial period in Argentina and Uruguay. It is likely that tango was fused into various cultural practices and products including the Carnival of Santiago de Cuba, Roma tango, flamenco, and habanera. In the twentieth century, tango became the most popular dance of Argentina and one of the most popular ballroom dance styles in many parts of the world after World War I.

Whatever cultures are blended to the dance, tango commonly includes a duple meter with dotted rhythmic patterns (long-short or short-long groupings). The music is played by a solo guitar, guitar duo, or an ensemble of two violins, flute, clarinet (optional), piano, double bass, and two **bandoneons** (similar to an accordion, but with a distinctive sound). A singer or a tango lyricist-reciter can be part of the ensemble, as well.

Around the mid-twentieth century, tango music was at its height, due to the Argentinian composer Ástor Piazzolla, who developed the new sound of tango, known as *Nuevo Tango*, bringing classical and jazz styles to the traditional tango. The renewed interest in tango music has continued with the development of a new style of tango called neo-tango, which includes electronic instruments.



Tango Dance in Buenos Aires, Argentina

(carlos luque, CC BY 2.5 <<https://creativecommons.org/licenses/by/2.5/>>, via Wikimedia Commons)



Ástor Piazzolla (ca. 1962)

(Unknown author, Public domain, via Wikimedia Commons)

16.1.1 Ástor Piazzolla (1921–1992)

Ástor Pantaleón Piazzolla was an Argentinian composer, bandleader, and bandoneon player. In 1925, his family immigrated to New York City. During his childhood, Piazzolla loved to listen to tango music, as well as other musical styles including classical and jazz music. He composed his first tango music and began piano lessons with the Hungarian pianist Bela Wilda. After returning to his homeland in Argentina, Piazzolla played with many tango orchestras and studied composition with Alberto Ginastera. In 1953, Piazzolla won the composition competition for the Fabian Sevitzky Award with a grant to study in Paris with the renowned composition teacher Nadia Boulanger at the Fontainebleau Conservatory. Integral to her pedagogical methods, Boulanger strongly encouraged Piazzolla to continue to search for his own voice in tango. He composed several tango compositions and recorded them with the String Orchestra of the Paris Opera.

Upon his return to Argentina, Piazzolla formed his own music ensembles. His appreciation of jazz music, as well as his training in classical music, helped him to integrate these styles into his tango works. He changed the way of performing the bandoneon by standing, instead of sitting as was the tradition. His tango works differed from traditional tangos, in that they included the elements of jazz, dissonant harmonies, counterpoints, and extended musical forms, plus they were typically performed on concert stages, instead of functioning as dance music.

In 1958, he returned to New York City and formed the Jazz Tango Quintet and recorded new music with the group. Later, he formed many ensembles including the *Quinteto* (bandoneon, piano, violin, electric guitar, and double bass), the *Nuevo Octeto* in 1963, and the *Electronic Octet* in 1975 (bandoneon, electric piano, organ, guitar, electric bass, drums, synthesizer, and violin). He traveled to Paris, Argentina, and Italy to publicize both his orchestral works and film compositions. Many of his compositions won awards from multiple countries. Piazzolla died in 1992 in Buenos Aires, Argentina.

Ástor Piazzolla, *Adiós Nonino* (“Farewell Granddad,” 1959)

In 1959, while Piazzolla was on tour, he learned that his father had passed away in Mar del Plata, Argentina. After returning to his home in New York City, Piazzolla asked his family to leave him alone in his apartment, and quickly composed *Adios Nonino* in memory of his father. The title of the work was derived from his father’s nickname, “Nonino,” and the work was based on an earlier composition called *Nonino* (1954) that he had written in Paris. *Adios Nonino* was written for his **quintet** (bandoneon, piano, violin, electric guitar, and double bass), structured in fast-slow-fast-slow sections with a coda. The fast sections emphasize the tango rhythms, while the slower sections display the lyrical solo of the bandoneon, with a deep, sorrowful melodic line. The piano serves as the fundamental rhythm of the entire piece. The electric guitar interpolated the improvisatory passages with the double bass, thickening the sound of the ensemble.

- Listening: Astor Piazzolla, *Adiós Nonino* (1959)
<https://www.youtube.com/watch?v=VTPEC8z5vdY>

16.2 Mariachi

Mariachi is a signature cultural marker of Mexico. Today, mariachi refers to musicians who are dressed in charro (cowboy) attire, wearing wide brimmed sombreros (hats), and playing in a band of **violins**, **vihuelas** (small treble guitars), **guitars**, **guitarrón** (six-string bass guitar), and **trumpets**. Vocals are frequently added, and an accordion, a harp, and a flute are included

occasionally in a large-scale band. UNESCO (the United Nations Educational, Scientific, and Cultural Organization) recognized mariachi as an Intangible Cultural Heritage (ICH) in 2011.

Originally, mariachi emerged in the eighteenth century in the countryside of western Mexico. Spanish music played a major influence on mariachi music. Before 1940, musicians were all male. Later in the twentieth century, mariachi became a popular practice in urban areas, and the Mexican government saw the potential to cultivate mariachi as a means of promoting Mexican culture. The genre was modernized with the incorporation of waltzes and polkas, and the trumpet was added as well as the charro attire, creating a modern form of mariachi that blended both indigenous culture and the influences of foreign music. Mariachi music is performed on many occasions and is involved with the social structure of Mexico and the lives of the people. For example, the *sereneta* is a love message with mariachi music, sent from a man to the woman he loves. *Misa Panamericana* is performed at the Catholic church on All Saints' Day with an accompaniment of mariachi band. Within mariachi music, there are various musical styles such as ballads, boleros, rancheras, and polkas. Each musical style displays its own musical characteristics and different meters, duple or triple. Lyrics encompass love, death, lives, and politics.

Mariachi was not only popular in Mexico, but it also became entertainment music in the Southwestern United States. The most famous mariachi bands are located in Southern California, Texas, and Florida. Since the 1960s and 1970s, some school programs have begun to teach mariachi in the public schools. There are even schools where more students involved in the mariachi program than the conventional wind band program. There are also state and national competitions that involve thousands of young people in mariachi music and dance performances. The Mariachi Vargas Extravaganza is the largest of these national competitions for both group performance and vocal soloists at both the high school and professional levels. These groups perform arrangements of music customized for their own ensembles, wearing elaborate costumes and having every move choreographed and rehearsed. The music they play is not simple folk music but uses sophisticated vocal harmonies, technically difficult instrumental parts, and rhythms that frequently set triple meter phrases against duple meter countermelodies.

The following video features the Mariachi Juvenil Azteca from Edcouch-Elsa High School in Elsa, Texas, at the 2018 Mariachi Vargas Extravaganza. They perform a set of two songs here titled "Son Jalisco" and "A Mi Veracruz." The flawless performance and refined stage presence make it hard to believe that these are young high-school students.

- Video to Watch: Mariachi Juvenil Azteca, 24th Annual Mariachi Vargas Extravaganza Concert
<https://youtu.be/RKZIQgbdyvo>



Mariachi Band in Jalisco, Mexico (2015)

(AlejandroLinaresGarcia, CC BY-SA 4.0 <<https://creativecommons.org/licenses/by-sa/4.0/>>, via Wikimedia Commons)



Tino Contreras (2013)

(Tino Contreras, CC BY-SA 3.0 <<https://creativecommons.org/licenses/by-sa/3.0/>>, via Wikimedia Commons)

16.2.1 Tino Contreras (b. 1924)

Fortino Contreras González is the full name of the legendary Mexican composer Tino Contreras. Contreras was born into a family of musicians in Chihuahua, Mexico, in 1924. He started playing drums when he was 8 years old and became a drummer for the Los Cadetes del Swing orchestra when he was 15. At the age of 17, he formed his own band called the Youth Orchestra. In his twenties, Contreras moved to Juarez where he would cross the border to El Paso, seeking out pre-war jazz and swing by traveling musicians from New York. Then, he moved to Mexico City and started touring, and he became the star drummer of the famous Orquesta de Luis Arcaraz. His touring continued internationally as he performed in Central and South America as well as the Caribbean. Since the 1950s, he has released albums in every decade. His music spans straight-ahead jazz (jazz that eschews the influences of rock music), mariachi jazz, Afro-Caribbean rhythms, and a series of records that included pre-Colombian musical forms and instruments. At a time when Cubans Machito and Mario Bauza as well as Brazilians Luis Bonfá and Antônio Carlos Jobim were composing jazz music that represented their countries, Tino Contreras was the leading voice in composing jazz that embraced the spirit of Mexico.

Tino Contreras, “Sombrero Charro” from *Jazz Mariachi* (2010)

“Sombrero Charro” is a composition by Tino Contreras for Jazz big band. The title refers to the wide brimmed hats traditionally worn by mariachi musicians. It was first released on the 2010 album *Jazz Mariachi* when the drummer-composer was 86 years old. Incorporating a sentimental, tuneful melody with laidback Latin rhythms, it features an extended, improvised piano solo.

- Listening: Tino Contreras, “Sombrero Charro” from *Jazz Mariachi* (2010)
<https://youtu.be/nXSQYDhGdeg>

16.2.2 Mariachi in American Popular Music

Other well-known instances of mariachi making its way into American popular music include Ritchie Valens’s rock and roll hit “La Bamba” (1958) and the success of Herb Alpert and the Tijuana Brass in the 1960s. Ritchie Valens, whose real name was Richard Valenzuela, was born to Mexican American parents in Los Angeles and grew up hearing mariachi music and flamenco guitar besides jump blues and R&B. He was a self-taught musician who started his own band in

high school and began his recording career at the age of 17. Though he did not speak Spanish, he had the idea of turning an old Mexican folk tune into an upbeat rock song, and he recorded “La Bamba” in June of 1958 with drums, bass, and rhythm guitar backing up his vocals and guitar solo. It reached number 22 on the Billboard charts and launched the teenager on a national tour. Tragically, he was killed in a plane crash only eight months later, along with the rising rock-and-roll stars Buddy Holly and The Big Bopper (remembered as “The Day the Music Died”). Richie Valens was 17 years old at that time.

- Listening: Richie Valens, “La Bamba” (1958)
<https://youtu.be/Jp6j5HJ-Cok>
<https://youtu.be/NH9K5YTR2k4> [w/ Lyrics]

Herb Alpert (b. 1935) grew up in East Los Angeles during the Depression and World War II. He started playing trumpet at the age of 8 and attended the University of Southern California in the mid-1950s. His first real job was as a songwriter for Keen Records. He built a recording studio in his garage and started a record label called A&M Records with his friend Jerry Moss. On a trip to Tijuana, Mexico, he heard mariachi music at a bullfight and decided to recreate that sound and feeling in his studio by overdubbing himself—there were no other brass players. He pushed the record to deejays throughout Southern California, and it finally became a Top Ten hit in 1962. With a high demand for live performances of The Tijuana Brass, he put together a group from session musicians and produced nine albums over the next six years, all of which charted in the Top Ten. At the same time, A&M records produced stars of other artists creating Latino-influenced pop music, and he became a very wealthy man generously giving millions of dollars to endow the schools of music at UCLA, the California Institute of the Arts, and the Harlem School of the Arts. He also continued to record as a solo artist. The song “The Lonely Bull” was his first major hit, which he produced in his garage studio.

- Listening: Herb Alpert and The Tijuana Brass, “The Lonely Bull”
<https://youtu.be/414VaKKb9Hc>

16.3 Dabke and Klezmer

16.3.1 Dabke

Dabke is a Middle Eastern, more specifically Levantine (referring to the eastern Mediterranean part of Western Asia), traditional dance originating in mountain regions. It was derived from the lives of villagers who would work together during storms. When their houses, which were built with mud and tree branches, were damaged, they would form a line and hold hands together while stomping the mud to repair roofs on homes. The singing during this work developed into a genre known as dabke. With many variations, it is popular in Lebanon, Syria, Palestine, Jordan, and among the traditionally nomadic Bedouin tribes.



Levant

(Unknown author, Public domain, via Wikimedia Commons)



Palestinian Dabke (2016)

(Sarah Cabel, CC BY-SA 4.0 <<https://creativecommons.org/licenses/by-sa/4.0/>>, via Wikimedia Commons)

In Lebanese culture, dabke is a community dance that is performed at weddings and other festive events. The dancers hold each other's hands while dancing, imitating the action of stomping on the mud. There are several musical styles of dabke, which are varied by their dance patterns and rhythms. For examples, the *al karradiyeh* and *al tayyara* are suited for younger people due to their fast rhythms and quick dance steps. The *al dalouna* is for people of all ages and incorporates a moderate rhythm. The *al shamaliyya* is the most popular style of dabke, in which men and women hold hands and form a line or circle. The music accompanying the dance is performed by a band, consisting of **oud** (lute), **mijwiz** (a double-pipe), **tablak** (a pair of drums), **daff** (a frame drum), and **arghul** (a double-pipe).

Dabke was also modernized from a simple dance to a complex dance for theatrical performance. In 1979, El-Funoun Palestinian Popular Dance Troupe won an award for creating dances to promote Arab-Palestinian cultures. Besides its stage and theatrical function, dabke is at times associated with political protest. As early as the British Mandate for Palestine (1918–1948), Palestinians performed a dabke dance as a statement of resistance to land grabs and the displacement of Palestinian people. Since then, it has become one of the forms of cultural resistance and struggle among Palestinians and international communities.

- Video to Watch: Palestinian Dabke in Dearborn, Michigan
https://youtu.be/0Zzy_p_Mdos

16.3.2 Klezmer

Klezmer is one of the cultural practices of the Ashkenazi Jews of Eastern Europe. The ensemble that performed klezmer is called **kapelye**, and the musicians are called **klezmerim**. The dance is performed at weddings and other celebrations. Klezmer is a Hebrew word meaning “musical instruments.” Traditionally, the instruments of klezmer include the **clarinet**, **violin**, **bass**, and **cimbalom** (hammered dulcimer).

Although there were earlier Jewish immigrants to the Americas, many Jewish people from Eastern Europe migrated to the United States between 1880 and 1924. In the United States, klezmer music was sung in Yiddish. The characteristics of klezmer music include expressive melodies imitating human emotional expressions of crying, weeping, and laughing, and the abundant use of ornaments added to the melody to articulate these emotions. Klezmer in the United

States could be performed in its original tradition or in a fusion style that integrates Afro-pop, jazz, rock, and hip-hop music. In early twentieth century, the Maxwell Street Klezmer Band performed the music of Jewish immigrants that adapted to American cultures and instruments. Their arrangements resulted in various musical styles of Russian dances, Hungarian folk music, Dixieland, swing, and the Yiddish rhumba. By the late twentieth century, the band performed in public concerts, weddings, bar and bat mitzvahs (coming of age rituals and celebrations), and parties in the United States and worldwide. There are other klezmer bands that extended to other styles, such as avant-garde jazz and rock style on klezmer melodies.

- Video to Watch: Maxwell Street Klezmer Band
<https://youtu.be/CM6bBNOeqWw>



Jerusalem Klezmer Band (2011)
(Dontworry, CC BY-SA 3.0 <<https://creativecommons.org/licenses/by-sa/3.0/>>, via Wikimedia Commons)



Mohammed Fairouz (2008)
(Kurtis Young, CC BY-SA 3.0 <<https://creativecommons.org/licenses/by-sa/3.0/>>, via Wikimedia Commons)

16.3.3 Mohammed Fairouz (b. 1985)

Mohammad Fairouz is an American composer of Palestinian heritage. He began composing music when he was 7 years old by setting Oscar Wilde's poem "The True Knowledge" to music. Later, he studied composition at the New England Conservatory of Music and the Curtis Institute of Music. His compositions cover various types of music including opera, symphony, vocal, choral, chamber, and solo works. The BBC (British Broadcasting Corporation) praised him as "one of the most talented composers of his generation." The works he has created are associated with politics, social issues, and philosophies. This can be seen in one of his symphonies *In the Shadow of No Towers*, in which he conveys sympathy for the loss of American lives after the 9/11 tragedy. Fairouz has also tried to create cultural awareness in audiences by incorporating elements of poems and prayers by both Arabs and Israelis, including Fadwa Tuqan, Mahmoud Daewish, Yehuda Amichai, and the Aramaic hymn Kaddish. His compositions have been performed in major venues in the United States and worldwide, including Carnegie Hall, Lincoln Center, Boston's Symphony Hall, and venues in the Middle East, Europe, and Australia. In 2015, he issued an album with Deutsche Grammophon, which made him the youngest composer to record with the company. He was described by the label as "a post-millennial Schubert."

Mohammed Fairouz, “Mar Charbel’s Dabkeh” from *Jebel Lebnan* (2011)

Jebel Lebnan (“Mount Lebanon”) is a composition for wind quintet commissioned by the Imani Winds, with scoring for flute, oboe, clarinet, French horn, and bassoon. Throughout the four movements, this work chronicles the events of destruction, death, and rebirth in the Mount Lebanon range, especially from the time of the Lebanese Civil War (1975–1990) to current time in that region. “Bashir’s March,” the first movement of the work, represents Bashir Gemayel, the leader of the Lebanese Phalanges Party who was behind the Sabra and Shatila refugee camp massacres. The first movement is followed by the solo interlude on the Nay (also spelled Ney), a Middle Eastern flute. “Ariel’s Song” is a funeral march, lamenting upon the death of about 200,000 civilians. The third movement, “Song and Little Dance,” depicts the recovery of Lebanese people from the tragic incident, through a celebrative sound. “Mar Charbel’s Dabkeh” is the last movement of the work, featuring a dabke rhythm and sound. Fairouz integrated Arabic tunes to awaken the spirit of Mar Charbel, the patron saint of Lebanon. He structured the final movement in a rondo-like form. Not only does it present the Lebanese signature dance of the **dabke**, but it also includes the style and sound of Jewish **klezmer music** in order to highlight that the land has been tied to the history of both Arabs and non-Arabic Jews.

- Listening: Mohammed Fairouz, “Mar Charbel’s Dabkeh” from *Jebel Lebnan* (2011)
<https://www.youtube.com/watch?v=mOg9955i7Lo>

Chapter 17 Cross-Cultural Experience and Identity through Music

This final chapter of *Open Listener* discusses the music of cross-cultures, between the East and the West and between one region and another. The study of cross-cultural expression can enhance the level of our ability to recognize and understand the beauty of differences, how each of the cultures came together through human creativity, and the particular intention to combine cultures in order to present multiple identities in a single piece of music. The works of various styles and genres presented below offer a glimpse of the intercultural enhancement through the creativity of Japanese, Chinese, and Thai composers who have endeavored to balance cross-cultural identities in music, instead of letting one culture dominate others.

17.1 Asian Music's Past and Present in the United States through Interculturalism

Interculturalism refers to an interaction of different cultures in a productive way. In the case of music, it is applied to the art of bringing multiple cultures together through composition and performing arts in order to present both the differences and similarities that the cultures share on an equal footing. Interculturalism in music is not the same as musical **orientalism** and **exoticism**, since interculturalism embodies different intentions and messages to the audience. While interculturalism aims to promote an awareness and education about the identities of different cultures, orientalism and exoticism were created by Western, especially European, composers to create an oriental flavor to entertain Western audiences, often to the detriment of cultures; the associated compositions commonly bring about a sonic curiosity rather than demanding knowledge and understanding about cultural differences. Before the second half of the twentieth century, classical compositions were mostly the work of Western European and white American composers. Even though many works had musical and sometimes dramatic content that was associated with other cultures, the intention was not to present the musical identities of those cultures with accuracy, and thus the result did not articulate intercultural exchanges in materials and the unique outcomes in style and sound.

The second half of the twentieth century was a time when multiculturalism impacted many major cities around the world. Composers of non-Western countries had more opportunities to study abroad, especially in the United Kingdom, the United States, and Europe. Non-Western composers, especially those of Asian origin, now have knowledge and skills in bridging the compositional techniques of Western classical music with traditional genres, styles, and instrumentations of their own cultures, successfully creating cross-cultural opportunities to collaborate to compose music. This section presents some early Asian composers who attempted to promote interculturalism in their music.

José Maceda (1917–2004), a Filipino composer and ethnomusicologist, studied composition at the École Normale de Musique de Paris in France. He continued his studies in musicology at Columbia University and anthropology at Northwestern University, receiving a doctorate in Ethnomusicology at UCLA. Maceda combined his research of Filipino ethnic music with Western composition. Moreover, he conducted research on other Southeast Asian musical traditions and developed his own compositional techniques to create cross-cultural music that combines Southeast Asian and Western music. He integrated traditional instruments and folksongs in various instrumental and vocal genres as well as electronic music.



José Maceda
(Victorino Z. Serevo, Public domain, via Wikimedia Commons)



Chou Wen-Chung at Columbia University, 1980
(Sumin Chou, CC BY-SA 4.0 <<https://creativecommons.org/licenses/by-sa/4.0/>>, via Wikimedia Commons)

Chou Wen-Chung (1923–2019), a Chinese American composer who immigrated to the United States in 1946, studied composition at the New England Conservatory of Music and Columbia University. Wen-Chung was among the pioneers in bridging Chinese music with Western classical music. He was appointed the director of a research project on Chinese music and drama at Columbia University. His research aimed to relate the Chinese arts of calligraphy, playing the qin (a zither-like string instrument), and I-Ching (an ancient Chinese divination text) to composition. He later became the vice-dean of the School of the Arts at Columbia University and educated the next generation of Chinese composers who gained international fame, including Chen Yi, Zhou Long, Tan Dun, and Chinary Ung.

Chinary Ung (b. 1942), a Cambodian American composer, followed a similar path to that of Wen-Chung in music. Ung came to the United States in 1964 to study composition at Columbia University. He created his cross-cultural compositions by blending the musical traditions of Khmer (the predominant ethnic group in Cambodia) with Western music. Ung received many awards including the Kennedy Center Friedheim Award, the International Grawemeyer Award, and recognition from a variety of organizations, including the American Academy of Arts and Letters, Asia Foundation, Asian Cultural Council, Rockefeller Foundation, Ford Foundation, and Guggenheim Foundation. He teaches composition at the University of California, San Diego and at Chapman University.

Tōru Takemitsu (1930–1996) was one of the first Japanese composers who successfully integrated the sound of traditional Japanese instruments with Western compositions and film scores. He transmitted the sound of biwa (a Japanese lute) and shakuhachi (a Japanese flute) to Western avant-garde compositions. Takemitsu won several awards for composition, both in Japan and abroad, including the Prix Italia in 1958, the Otaka Prize in 1976 and 1981, and the Los Angeles Film Critics Award in 1987.



Chinary Ung (2020)

(VOA/ 18 July 2020 Chetra Chap, Public domain, via Wikimedia Commons)



Tōru Takemitsu (1961)

(株式会社新潮社 (Shinchosha Publishing Co., Ltd.), Public domain, via Wikimedia Commons)

17.2 Shōji Yamashiro (b. 1933) and His Cross-Cultural Identification of Japanese and Indonesian Music

Shōji Yamashiro, whose real name of Tsutomu Ohashi, is a Japanese composer, film producer, and scientist. He received a doctoral degree in Agriculture and Ecological Anthropology at Tohoku University. After his graduation, he taught at Tsukuba University, the National Institute of Multimedia Education, and Chiba Institute of Technology and worked as general manager at the Department of Kansei, Behavior, and Brain Sciences, ATR Human Information Processing Research Laboratories. Apart from his degree and occupation in science, Yamashiro's passion is creating soundtracks for films. He has published extensive research on sound and brain interactions. In 2019, he received the Suksma Bali award in Indonesia for his research on the hypersonic effects of the sonic frequency of Gamelan (a traditional Indonesian orchestra that is common among the Javanese, Balinese, and Sundanese ethnic groups) on human brain.

Shoji Yamashiro, *Akira*, “Kaneda’s Theme” (1988)

Yamashiro composed the soundtrack for the anime film *Akira* in 1988. *Akira* is an animated post-apocalyptic cyberpunk movie directed by Katsuhiro Otomo. In 1989, *Akira* was released in the United States by Streamline Pictures and became a huge success. Each song on the soundtrack was composed in the form of a symphonic suite. The soundtrack for the anime film was an amalgamation of the type of Japanese traditional music that accompanies **Noh** (Japanese traditional masked drama) performance and Indonesian **Gamelan** music. The soundtrack was recorded by Geinoh Yamashirogumi, a group known for performing folk music. Besides gamelan music, he also drew the inspiration from Stravinsky's *The Rite of Spring*, as well as the Hougou Buddhist chant from the Omizutori ceremony at Todaiji temple in the City of Nara, Japan.

- Listening: Shoji Yamashiro, *Akira*, “Kaneda’s Theme” (1988)
<https://youtu.be/GK4jviXPzMU>

17.3 Tan Dun (b. 1957) and His Cross-Cultural Identification of China and the West

Tan Dun aims to create compositions that blend the cultures of the East and the West. Many of his works incorporate Chinese traditional instruments, rhythms, and modes with Western classical music elements. Not only does the timbre of the musical instruments of both cultures become

agreeable and pleasant in an intriguing way, but the sonic identity also comes together, producing a new sound of cross-cultural experience. Dun also explores in sound various Chinese subcultures including court music, theatrical performance, and music of different ethnicities in China. As a result of his work in promoting cultural diversity in composition, he was named the “Cultural Ambassador to the World” for the 2010 World Expo Shanghai. Previously, he was commissioned to write the logo music and award ceremony music for the Beijing Summer Olympic Games in 2008.

Tan Dun, *Crouching Tiger, Hidden Dragon*, “Night Fight” and “Farewell” (2000)

In the year 2000, Dun composed the soundtrack for the film *Crouching Tiger, Hidden Dragon*. The movie won the Academy Award and Golden Globe Award for best soundtrack. The soundtrack was performed by the Shanghai Symphony Orchestra, Shanghai National Orchestra, and Shanghai Percussion Ensemble. He included solo cello passages for the renowned cellist Yo-Yo Ma. Dun later arranged part of the full score as a concerto for cello and orchestra, entitled *Crouching Tiger Concerto*.

Besides Yo-Yo Ma’s expressive cello solo, Dun also assigned other Chinese traditional instruments to perform solos. These instruments include erhu (two-string fiddle), dizi (transverse flute), bawu (free reed flute), rawap (long-necked plucked lute from the Uyghur ethnic group), hand drum, and other percussive instruments. Yo-Yo Ma performed the cello with Chinese influences by incorporating microtones, pitch bending, and glides. The traditional instruments, when interacting with Yo-Yo Ma’s cello, create a synergy of the East meeting the West. Of many excerpts in the soundtrack, the “Night Fight” begins with a solo passage on the **bawu** over the low strings, introducing the nighttime scene with suspense that something significant is about to happen. Fighting breaks out violently with the percussive sound of Chinese traditional drums, clappers, and the **rawap**, gradually increasing in intensity with a rapid rhythm. The “Farewell” begins with the melancholy sound of the cello that was interpolated with the sweet sorrowful sound of the **erhu**. Both fiddles of the East and the West exchange their deepest sentiments through tears of sound that flow over the background of the Chinese drum.

- Listening: Tan Dun, *Crouching Tiger, Hidden Dragon*, “Night Fight”
<https://www.youtube.com/watch?v=5Y7EQDNQm5g>
- Listening: Tan Dun, *Crouching Tiger, Hidden Dragon*, “Farewell”
<https://www.youtube.com/watch?v=V0CELgEyIAw>



Chinese Traditional Musical Instruments: Erhu, Bawu, Dizi, and Rawap (clockwise)³

17.4 Narongrit Dhammabutra (b. 1962) and His Cross-Cultural Identification of Southeast Asian Nations and the West

Narongrit Dhammabutra is a professor of Music Composition at the Faculty of Fine and Applied Arts, Chulalongkorn University in Bangkok, Thailand. He received a doctoral degree in Music Composition from Michigan State University in the United States. His compositions have been performed regularly by leading orchestras and ensembles in the United States, Europe, Asia, and Australia. In Thailand, a number of his compositions have been performed by the Royal Bangkok Symphony Orchestra, Thailand Philharmonic Orchestra, and the National Symphony Orchestra of Thailand.

Dhammabutra's compositions aim to present not only music of his own nation, Thailand, and the West, but also the music of Southeast Asia as a whole, with Western elements. As Southeast Asia has tightened its diplomatic relationships under the Association of Southeast Asian Nations (ASEAN) in order to promote the growth of that region in the world, Dhammabutra is committed to bringing together the similarities and differences of the countries of Southeast Asia and integrating them with his contemporary compositional techniques. His music displays the cultural interplay of Southeast Asian music and Western music. He has experimented with the tuning systems of traditional Southeast Asian instruments and Western instruments, accommodating the differences in three ways: changing the tuning to match one culture, tuning only the tonic and dominant pitches, and letting all of the instruments maintain their original tuning systems through the management of consonances and dissonances in orchestration. He also developed techniques to have Western instruments depict the sounds of Asian instruments as a means for cultural exchange so that both can learn from each other—the East from the West as well as the West from the East.

His compositions include large orchestral works and small chamber music. He has composed eight symphonies, five concertos, overtures, quintets, and more. Most of his compositions have been supported by grants from the Thailand Research Fund to promote music of ASEAN countries in contemporary compositions. In 2008, the Ministry of Culture awarded Dhammabutra the prestigious Silpathorn Artist for his outstanding artistic career.

Narongrit Dhammabutra, *Harmony of Chimes* (Symphony No. 5), Mov. VII: “The Harmony” (2014)

Dhammabutra composed *Harmony of Chimes*, a symphony for ASEAN instruments and orchestra, in 2014. He intended to integrate the sound of chimes and gong-chimes of Southeast Asia with the Western “chimes” of the European-American orchestra, such as the vibraphone and glockenspiel, to create a relevance between the Eastern world and the Western world, along with articulating the musical identity of each ASEAN nation. Gong-chimes are part of the gong culture, an important aspect of the ancient civilizations of Southeast Asia. While large gong ensembles are performed for royal and government ceremonies in major cities, smaller ensembles are used in the countryside.

The title *Harmony of Chimes* came from the idea that the differences in each musical identity can be unified through the sound of chimes, which serves as a thread binding all nations together. In order to project the vastness of Southeast Asian cultures into a symphonic work, Dhammabutra laid out his composition in seven movements and scored it for solo instruments from five ASEAN countries and a Western classical orchestra, depicting the story and the beauty of Southeast Asia. Significant symbols of each nation are used as the themes and titles of the movements spanning the *Harmony of Chimes*. “The Chimes,” the opening movement, sets the

atmosphere of the region; “Thazin Orchid,” with solo saung-gauk (a Burmese harp), depicts the national flower of Myanmar (also known as Burma); “Wayang Kulit” portrays a traditional Indonesian shadow puppet performance through the instrument bonang (small gongs used in the Javanese gamelan orchestra); in “Naga,” the fourth movement, Thai pi (a variety of quadruple reed instruments) symbolizes the mysterious Naga (serpent deity) of the Khong (or Mekong) River; in “Mt. Apo,” a sacred volcano of the Philippines is presented by kulintang (gongs that are common in Eastern Indonesia, the Southern Philippines, Eastern Malaysia, Brunei, and Timor); the sixth movement, “River of Nine Dragons,” includes dan bau (a Vietnamese stringed instrument) portraying the splendid Khong River in Vietnam; and “The Harmony,” the finale, ends the composition by having all of the instruments perform united as one, signifying the harmony of the region in a benevolent friendship.

The last movement of the symphony is, in particular, “The Harmony” of the entire multi-movement composition. Beginning with the bell sounds, the final movement’s theme is introduced by brass, along with the themes of the previous movements returning through thematic and rhythmic developments. In the middle section of the movement, the solo instruments perform a modified melody from Brunei, creating a kaleidoscopic interplay of sonic exchange among Burmese **saung-gauk** (harp), Thai **pi** (a variety of reed instruments), and Vietnamese **dan bau** (a stringed instrument). A brief orchestral interlude is followed by an improvised dialogue between Filipino **kulintang** (gongs) and Indonesian **bonang** (gongs from the Javanese gamelan orchestra) on six-note melodies, which is then blended with the dan bau performing a Vietnamese tune and the pi playing a newly composed melody. The orchestra introduces a new theme, “the Amity,” intertwined with the main theme, leading the movement to a climax. The coda (beginning around 49:05 in the following video) is an intense, long, virtuosic solo of the five Southeast Asian instruments in balance with the force of the orchestra. They produce “The Harmony” altogether, reflecting the powerful musical sonority of the ASEAN (for more details, visit http://www.narongrit.com/en/page_music.php). In the following performance, the pi soloist uses **khlui** (a vertical, reedless bamboo flute) in the coda.

- Listening: Narongrit Dhammabutra, *Harmony of Chimes*, Mov. VII: “The Harmony” (2014) <https://youtu.be/-qXHgS7uR5I> [at 40:40 & Coda at 49:05]



Southeast Asian Traditional Musical Instruments: Kulintang, Dan Bau, Bonang, Khlui, Pi Mon, Saung-Gauk (clockwise)⁴

¹ R. Carlos Nakai, “Nakai on His Music,” <https://rcarlosnakai.com/reviews/> [accessed August 9, 2021].

² John Lewis’s Remarks at the 2005 Choral Arts Humanitarian Award, <https://choralarts.org/johnlewis/> [accessed August 9, 2021]

³ Credits for the Images: Erhu from The original uploader was ElenaG at French Wikipedia., CC BY-SA 3.0 <<http://creativecommons.org/licenses/by-sa/3.0/>>, via Wikimedia Commons; Bawu from Badagnani at English Wikipedia, CC BY-SA 3.0 <https://creativecommons.org/licenses/by-sa/3.0>, via Wikimedia Commons; Dizi from David290, CC BY-SA 3.0 <https://creativecommons.org/licenses/by-sa/3.0>, via Wikimedia Commons; and Rawap from Jo Dusepo, CC BY-SA 4.0 <https://creativecommons.org/licenses/by-sa/4.0>, via Wikimedia Commons.

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