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written, the full extent of Locke's work will be clearer still, even as the music he treats will continue to lie dormant. But a timeless example of the utopian music of happy laborers—one Locke buries in a footnote (p. 345, n. 102)—is easy enough to find: we need look no further than act III of *Les Troyens*, the splendid tableau where Dido rewards the builders of her North African fields, marine, and city-state. Here stands proudly erected a monument to the ideals of 1789 and 1830, and with a grace and splendor that would have delighted Saint-Simon himself.

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*Confronting Stravinsky: Man, Musician, and Modernist*. Ed. Jann Pasler. Berkeley and Los Angeles: University of California Press, 1986. xix, 380 pp. *Stravinsky Retrospectives*. Ed. Ethan Haimo and Paul Johnson. Lincoln, Nebr. and London: University of Nebraska Press, 1987. xii, 203 pp.

INCREASING INTERNATIONAL activity in the field of Stravinsky research, partly in reaction to the composer's death in 1971 and especially in anticipation of the centennial birthday celebrations held in several American and European cities in 1982, has resulted in the recent flood of scholarly studies dealing with Stravinsky's life and music.<sup>1</sup> Many of these studies were published in the two anthologies that are the subject of this review—Jann Pasler's volume based on the lectures given at the International Stravinsky Symposium at the University of California, San Diego (10–14 September, 1982); Haimo's and Johnson's based on lectures given at the Stravinsky Centennial Conference at the University of Notre Dame (22–3 November, 1982).

The editors of both volumes express interest in providing both updated research and a broad coverage of basic issues. However, while Pasler has aimed at a balance between analysis based on varying methodological approaches and perspectives derived from cultural history, aesthetics, performance practice, painting, and dance, Haimo and Johnson more narrowly direct their selections toward a balance between theory and musicology. The success of their efforts must be evaluated not only with respect to the specific content of the individual essays, but also in terms of the scope, organization, and ultimate coherence of each volume.

One is immediately impressed by the organization of the larger Pasler volume into an appropriately diversified, yet meaningful series of categories. The smaller Haimo/Johnson volume is simply ordered alphabetically according to authors' names, though related subject matter of several of the essays, especially with regard to certain theoretical issues, might have suggested a more imaginative ordering.

<sup>1</sup>Recent research has also been spurred by accessibility to the wealth of documentary material in the Stravinsky Archive, which was made available only a few years ago by the Paul Sacher Stiftung in Basel.

Pasler's primary concern is to identify, by means of an international and interdisciplinary "cross-fertilization of ideas and methodologies," those stylistic and technical sources of continuity and unity in a musical evolution that otherwise reflects "this century's restless multiplicity of styles" (p. x). This admirably broad and well-balanced selection of lectures may well constitute the most comprehensive book on Stravinsky to date.

In the first section, "Russian Background," three essays introduce the basic cultural and historical sources of Stravinsky's Russian-period works. In "Igor Stravinsky and Russian Preliterate Theater," Simon Karlinsky identifies authentic Russian folk materials in works from *The Firebird* (1910) through *Histoire du soldat* (1918), as part of a broader discussion of Stravinsky's Russian background. He considers ancient Russian rituals and their manifestations in Stravinsky's scores, drawing both on documentary evidence from the composer's correspondence and sketches and on studies by other scholars. No less important are Karlinsky's corrections of well-entrenched misconceptions arising from distorted translations of Russian song titles or from the confusion of rural folk songs with urban popular tunes quoted by Stravinsky in certain Russian scores.<sup>2</sup>

The absorption of Russian folk sources into the sphere of art music is the focus of Richard Taruskin's "From Subject to Style: Stravinsky and the Painters." The essay demonstrates that this tendency was realized first in the "neo-nationalist" movement of nineteenth-century Russia and then in Stravinsky's transformation of Russian folk sources and their synthesis with elements of Western-European art-music. This synthesis was to become the basis of the composer's approach to compositional techniques and to aesthetics. Taruskin's discussion develops his own earlier study of Russian folk melodies in Stravinsky,<sup>3</sup> in order to document a change in attitude toward folk sources that was crucial to the formulation of musical style in the early twentieth century. The detailed account also evaluates early critical attitudes toward Stravinsky's artistic position within the Russian cultural scene. Taruskin explores the influences on Stravinsky's new aesthetics, focusing on the publications of a new movement of folksong collectors as their principal musical source. Consequential for Stravinsky's new musical language was his implementation of the octatonic scale, emphasizing the tetrachordal (0,2,3,5) partitionings derived from the minor-tetrachordal structure of archaic folk melodies.

Malcolm Hamrick Brown adduces early source material in a critical comparison of Stravinsky with his modernist Russian contemporaries, particularly Prokofiev, during this period of Stravinsky's development.<sup>4</sup> The importance of this essay, "Stravinsky and Prokofiev: Sizing Up the Competition," lies not so much in a new perception of the two composers' historical positions, but rather in its careful documentation, in its evaluation of early critical views of their roles in the national Russian school in the 1910s and

<sup>2</sup>These problems originally stem from Frederick W. Sternfeld, "Some Russian Folk Songs in Stravinsky's *Petrushka*," *Music Library Association Notes* 2 (March 1945), reprinted in the Norton Critical Scores Edition of *Petrushka* (New York, 1967).

<sup>3</sup>See Richard Taruskin, "Russian Folk Melodies in *The Rite of Spring*," this JOURNAL 33 (1980): 501-43.

<sup>4</sup>See Pasler, p. 43; Brown points to the decisive formulation by Boris Asafiev, in *Muzyka* (27 December 1914), of Stravinsky as the traditionalist and Prokofiev as the progressive.

1920s, and in its placement of these perceptions in the broader historical context. Quite striking is Brown's evidence revealing the ironic reversal of the two composers' positions with respect to the nationalist/nonnationalist ideologies in the post-World-War-I period.

The essays in the second section, "Dance, Theater, and Collaboration," encompass works from the Russian through the end of the neoclassical period. Pasler's imaginative study, "Music and Spectacle in *Petrushka* and *The Rite of Spring*," convincingly demonstrates that more than the usual analytical approaches is needed to understand Stravinsky's sudden change of style between *Petrushka* and *The Rite of Spring*. Pasler views these works as "total theater," and outlines the different critical opinions of the purely musical effects resulting from such a fusion of the arts. Her central argument—that Stravinsky's attempt to create special musical "correspondences" with stage events resulted in some of his most radical innovations—must be regarded as most significant. David Hockney's observations, "Set Designing for Stravinsky," implicitly support those of Pasler, pointing to Stravinsky's evolution from the "kinetic" to the "static" in works from *The Rite* to *Oedipus Rex*. The designer of the sets and costumes for productions of several stage works, Hockney discusses his conceptions of "total theater" and "visual equivalents" for the music.

The essays in the third section of the volume, "Theoretical Perspectives," highlight some of the most problematic and controversial issues in Stravinsky analysis. The editor's ordering demonstrates once again her awareness of the nature of the problems and the manner in which the discussions can best provide mutual clarification and elaboration. The first two essays, by Allen Forte ("Harmonic Syntax and Voice Leading in Stravinsky's Early Music") and Pieter C. van den Toorn ("Octatonic Pitch Structure in Stravinsky"), provide two contrasting, indeed opposite views of the pitch-set premise.

Forte claims an indebtedness to Arthur Berger's pioneering study of octatonicism,<sup>5</sup> but differs from Berger and van den Toorn in his adherence to the concept of "unordered" pitch-class sets as a primary analytical determinant. Forte finds musical significance in the pairing of specific pitch-class sets that are equivalent in interval-class content, but are not reducible by transposition or by inversion followed by transposition to a single prime form.<sup>6</sup> Without the crucial criteria of ordering or pitch-class invariance, the all-interval complementary sets such as 4-Z<sub>15</sub> (0, 1, 4, 6; C-C♯-E-F♯) and 4-Z<sub>29</sub> (0, 1, 3, 7; C-C♯-D♯-G) have little or no meaningfully heard relation between

<sup>5</sup>See Arthur Berger, "Problems of Pitch Organization in Stravinsky." *Perspectives of New Music* 2, no. 1 (1963):11–42. It is striking that in Forte's previous writings, significantly including *Harmonic Organization in "The Rite of Spring"* (New Haven, 1978), and *The Structure of Atonal Music* (New Haven, 1973), he never makes any reference to "octatonicism," nor does he single out this set-type (in his nomenclature, 8–28) as a primary referent. In the present essay, he now assigns to the octatonic scale or collection the status of "master octatonic set" (see 8–28 in his master list, or "Key to Pitch-Class Sets," p. 99).

<sup>6</sup>See *ibid.*, *The Structure of Atonal Music*, p. 21, where Forte refers to such twin pitch-class sets as a "Z-related pair." The "Z" nomenclature simply serves as a descriptor, while the number preceding Z (as in 4-Z<sub>15</sub>, C-C♯-E-F♯) identifies the number of pitch-classes in the set, the number following it the position of that set on a master list. The interval vector of the prime form of a given set, in this case [0, 1, 4, 6], is outlined by measuring the distance of each successive pitch-class from the initial one.

them.<sup>7</sup> Yet, in passages from *The Firebird* (e.g., the four measures following rehearsal 134), Forte extends this principle to the even more problematic, larger six-note “Z” pairs, in an attempt to bring all the material of this passage into a larger octatonic interpretation. He states that although the non-octatonic set-type 6-Z28 (0,1,3,5,6,9;  $F\sharp-G-A-B-C-D\sharp$ )<sup>8</sup> in the consequent phrase of the subject (rehearsal 135+2) replaces the octatonic set-type 6-27 (0,1,3,4,6,9;  $D\sharp-E-F\sharp-G-A-C$ )<sup>9</sup> of the antecedent phrase (rehearsal 135-2), the passage is nevertheless octatonic. This is inferred on the basis that 6-Z28 is the complement of the octatonic-hexad 6-Z49 (0,1,3,4,7,9;  $F\sharp-G-A-B\flat-D\flat-E\flat$ ),<sup>10</sup> the latter of which does not occur in this passage. While one can assert that the passage has some octatonic implications, the essentially diatonic character of this 6-Z28 set actually disrupts rather than induces the octatonic color of the passage. Instead, what is produced is a hybridized, or sort of gypsy-minor scale ( $A-B-C-D\sharp-E-F\sharp-G$ ). Forte’s invocation of the nonexistent 6-Z49 by means of “complement-extension” thereby contradicts the essential musical role of 6-Z28 here. By means of such complementary associations, one can erroneously imply almost any type of collection at any point.

Forte makes questionable assertions throughout the essay. In *The Nightingale* (Example 7.4), Forte ignores the tertian harmonic context and rather arbitrarily selects four-note segments, e.g., according to rhythmically non-analogous assignments of set 4-7,  $C-D\flat-E-F$  (treble of m. 2, second and third eighths) and  $E\flat-F\flat-G-A\flat$  (bass of m. 5, fourth and fifth eighths), the latter of which excludes other notes in the harmony. Thus, his multiple set-type assignments contradict Stravinsky’s larger, explicit metric and phraseological articulations.

In contrast to Forte’s multiple units, van den Toorn documents octatonic-diatonic interactions in Stravinsky’s Russian and neoclassical periods, showing that these pitch-set relations act as a logical continuation of Taruskin’s historically oriented discussion of the changing role of the octatonic scale in late nineteenth- and early twentieth-century Russian music. His attempts to establish specificity as well as global unity in Stravinsky’s musical language based on pitch content and intervallic ordering contrast with Forte’s singular representation of the octatonic collection (as set 8-28 of his master list). Van den Toorn provides criteria for distinguishing three transpositions and two permutational models of the collection to establish the primordial references for its subcollections and their interactions with the diatonic sphere.<sup>11</sup> While

<sup>7</sup>See p. 99 for the position of these sets in Forte’s master list.

<sup>8</sup>See *ibid.* for T-o:  $C-C\sharp-D\sharp-F-F\sharp-A$ .

<sup>9</sup>See *ibid.* for T-o:  $C-C\sharp-D\sharp-E-F\sharp-A$ .

<sup>10</sup>See *ibid.* for T-o:  $C-C\sharp-D\sharp-E-G-A$ .

<sup>11</sup>The octatonic collection, as an eight-note symmetrical scale, can be arranged either in alternating half and whole steps (intervals 1 and 2) or whole and half steps (intervals 2 and 1). There are altogether three different octatonic collections, each of which can be arranged according to these two orderings. In van den Toorn’s two representative octatonic “Models” (see p. 132), given as A and B in his book, *The Music of Igor Stravinsky* (New Haven, 1983), pp. 50-51, the specific intervallic order (A: 1, 2, 1, 2, 1, 2, 1, [2], in ascending sequence, e.g.,  $C\sharp-D-E-F-G-A\flat-B\flat-B-[C\sharp]$ ; or B: 2, 1, 2, 1, 2, 1, 2, [1], in descending sequence, e.g.,  $C\sharp-B-B\flat-A\flat-G-F-E-D-[C\sharp]$ ) is determined by a pitch-class priority in a given passage. (Each “Model B” collection is equivalent to starting on the second note of the corresponding “Model A” collection.)

he provides no new perspective or information beyond what he has already developed in his earlier articles and in his book,<sup>12</sup> his more concise discussions of certain basic principles in this essay are more accessible than his earlier, more turgid and repetitive presentations.

In his analysis of *The Rite*, van den Toorn reduces the melodic and harmonic materials to a few octatonically derived components. He shows that characteristic arrangements of other, seemingly traditional diatonic constructions (e.g., the dominant-seventh chord in "tight" or "close" arrangement,  $E^b-D^b-B^b-G$ ) establish them as nonfunctional partitions of a specific octatonic model as well as permitting octatonic-diatonic exchanges. Van den Toorn's approach, in contradistinction to Forte's frequent violations of the logic of the local musical design, often contributes to our perception of a large unity stemming from the a priori "order" principle. The identity of the pitch-class units and their larger referential sets in the context of phrasal or other block constructions is convincingly shown to be supported by fixed register, instrumental repetition, and rhythmic organization.

Problems sometimes arise from van den Toorn's somewhat narrow analysis of certain passages, as for example in his discussion of the Introduction to Part 2 of *The Rite*, where he interprets the opening minor triads simply as components of the three octatonic collections (p. 142), thus obscuring the projection of the  $C\sharp$ -melodic-minor hexachord ( $C\sharp-D\sharp-E-F\sharp-G\sharp-A\sharp$ ) and its complete whole-tone cyclic extension from the alternating  $C\sharp$ - and  $D\sharp$ -minor triads.

Louis Cyr, in his careful study of Stravinsky's primary-source materials, "Writing *The Rite* Right," offers valuable insights regarding the revision of dynamics, orchestration, transpositions, and metronome markings. Cyr is aware of the problems in understanding discrepancies between published sketches, drafts, and different published versions of *The Rite*. While most of his interpretations are convincing, at least one discussion in connection with the bassoon theme at no. 12 of the "Introduction" (see Example 9.1) must be questioned. He states that the final minor-third descent to an F in the bassoon part (1913 version) and piano four-hand version (1968) "simply makes no sense," because it "would seem obviously foreign to the mode of the theme itself." (p. 158) This statement suggests that Cyr has analyzed this work without full comprehension of the musical language. George Perle, in his analysis of the descending minor-third structure of the theme and its three variant statements, demonstrates that the original statement of the theme on the half step above progresses twice from A to the  $F\sharp$ .<sup>13</sup> Cyr's argument about the difficulty for the bassoonist of playing the  $F\flat$  does not require refutation.

In the evolution of his sense of musical design, Stravinsky manifested an increasingly cerebral attitude. Jonathan Kramer ("Discontinuity and Proportion in the Music of Stravinsky") offers a detailed analytical survey of "moment" form and block construction to show, in works primarily from

<sup>12</sup>See *ibid.*, which is an expansion of his articles, "Some Characteristics of Stravinsky's Diatonic Music," *Perspectives of New Music* 14 (1975): 104-38; and 15 (1977): 58-95.

<sup>13</sup>See George Perle, "Berg's Master Array of the Interval Cycles," *Musical Quarterly* 63 (1977): 11-12; also see Elliott Antokoletz, "Interval Cycles in Stravinsky's Early Ballets," this *JOURNAL* 39 (1986): 602-3.



*Symphonies of Wind Instruments* through *Agon*, an increasing structural unity based on Stravinsky's change from the use of equal lengths for disparate moments toward use of a single multiplicative ratio (p. 177). While the concepts of block structure and harmonic stasis have been well-known in Stravinsky's oeuvre, since the essay by E.T. Cone<sup>14</sup> (not referred to in Kramer's essay), Kramer's analyses are the first to probe deeply into proportional structural relations in connection with the evolutionary perspective.

While most of Kramer's proportional diagrams are convincing, a couple of his contentions are questionable. With regard to the *Sonata for Two Pianos* (Table 10.4), how relevant is his reference to the golden mean in the third movement (p. 186), given its limited local occurrence in the context of a multiplicity of ratios? Furthermore, it seems arbitrary to show "Duration-in-Seconds" equivalences between non-analogous sections of the sonata-allegro movement (see the "subsection" portion of the Table). More problematic is the author's selection of non-analogous sections to implicate a binary sonata form, i.e., the repeated exposition (124.8 seconds) is shown to be compositely balanced by development (38.1 seconds), recapitulation (64.3 seconds), and coda (15.2 seconds), thereby showing a ratio of 1.06 between exposition and the composite development-recapitulation-coda.

Among the most prominent features of Stravinsky's more cerebral approach in his late works is the serial-rotation principle. While detailed discussions of Stravinsky's serial works based on principles of hexachordal rotation have been developed in the writings of Claudio Spies and others,<sup>15</sup> Milton Babbitt ("Order, Symmetry, and Centricity in Late Stravinsky") provides us both with a lucid historical perspective of this development and with new insights into the composer's attitude toward control of structural relations. Stravinsky's primary concern was to generate the vertical material, or chord combinations, resulting from a matrix derived from hexachordal rotation and transposition to a single pitch level. Babbitt's special contribution to our understanding of the wider ramifications of the rotational principle is the derivation of symmetrically inversional relations that define a pitch-class center or axial point of convergence, a role assigned to pitch-class *E<sup>b</sup>* in the *Movements* for Piano and Orchestra and *F* in the *Requiem Canticles*. By comparing Babbitt's first 6 x 6 array of the set (S) with the 6 x 6 array of the inversion (I), as in *Movements* (Table 14.1),<sup>16</sup> a special relationship can be observed between them. Commencement at successive elements of the first S hexachord (0,1,7,5,6,11), followed by transposition of each rotation to a

<sup>14</sup>See E.T. Cone, "Stravinsky: The Progress of a Method," *Perspectives of New Music* 1, No. 1 (1962): 18–26. Also see Pierre Boulez, "Stravinsky Remains," *Notes of an Apprenticeship*, trans. Herbert Weinstock (New York, 1968), pp. 75–79, for analyses of metric-rhythmic relations to structural blocks.

<sup>15</sup>See as one example of Spies's writings on this subject, "Some Notes on Stravinsky's Requiem Settings," *Perspectives on Schoenberg and Stravinsky*, rev. ed. Benjamin Boretz and Edward T. Cone (New York, 1972), 233–49. See also John Rogers, "Toward a System of Rotational Arrays," *American Society of University Composers, Proceedings of the Second Annual Conference* (April 1967), 61–74, and "Some Properties of Non-Duplicating Rotational Arrays," *Perspectives of New Music* 7 (1968): 80–102.

<sup>16</sup>In the corresponding letter nomenclature of Table 14.2, the fifth element (*F*) of the fifth vertical and sixth element (*G*) of the sixth vertical appear to be misprints and should read *E* and *B<sup>b</sup>*, respectively.

single pitch level, diagonally projects the hexachordal inversion (0,11,5,7,6,1) within the S array. What becomes apparent in a comparison of the S and I arrays is an “inversion, retrogression duality” between symmetrically placed pairs of pitch-class equivalent S and I verticals. The axis for all the symmetrically related verticals is the initial pitch-class of the hexachords. Thus, the tonal primacy of Stravinsky’s first two style periods appears to be significant in his serial period as well.<sup>17</sup>

In contrast to Babbitt’s axial concept, Charles Wuorinen and Jeffrey Kresky (“On the Significance of Stravinsky’s Last Works”) focus on the attainment of centricity in rotational procedures by means of frequency and regularity of occurrence of a zero pitch-class (i.e., derived from transposition of the rotated hexachords to a single pitch level). They also observe certain traditional diatonic properties (including triads, leading-tones, and 2–1 descents) within the serial contexts, suggesting a fusion of tonal and serial principles. At the same time, the authors point to the disappearance of functional distinctions in scale collections of Stravinsky’s neoclassical works as an adumbration of the pitch-set concept, thereby supporting the well-known contention of continuity in Stravinsky’s changing stylistic periods.

New information on Stravinsky’s sources, attitudes, approaches, and personality is provided in the last two sections of Pasler’s volume, headed “Currents and Contemporaries” and “Personal Portraits from the California Years.” The last two essays, by Edwin Allen (“The Genius and the Goddess”) and Lawrence Morton (“Stravinsky at Home”), are particularly valuable because of both authors’ close personal associations with the Stravinsky household and the direct information they provide in connection with the contents of Stravinsky’s personal library, his compositional process, and theoretical attitude. Allen offers his personal recollections in a somewhat romanticized tone, referring to the marriage of Vera and Igor as “one of the supreme love stories of all times.” However, as someone who assisted Stravinsky in arranging his private papers and library, he is able to reveal not only the archival content and classification, but also the composer’s meticulous attitude toward his materials. Morton’s personal accounts of the composer and his creative thought are more detailed and historically relevant. He discloses previously unknown primary source materials and information on Russian folk sources and popular songs that Stravinsky had reverted to in his late neoclassical years. Quite striking is Morton’s evidence, despite Stravinsky’s own disclaimers, that all of the Norwegian folk tunes used for his *Norwegian Moods* could be found only in the four-volume collection, *Norges Melodier*, dating from 1875 to 1924. Morton’s analytical comments on the orchestrational, metric, and motivic developments from the manuscript stages of *Histoire* to a consideration of the music-textual syllabifications in the sketches of *Threni* are equally interesting. The author also gives an account of Stravinsky’s psychological state during his weakened

<sup>17</sup>Despite Babbitt’s involutioned mathematical discussions of the stages of Stravinsky’s rotational procedures, the resulting inversionally complementary hexachordal relations of the S and I arrays now seem quite rudimentary in light of the highly evolved use of cyclic-interval arrays and symmetrically inversional procedures that serve as the basis of tonality and progression in the compositional language discussed by George Perle, in *Twelve-Tone Tonality* (Berkeley and Los Angeles, 1977).



physical condition of his last years, and of the effects this had on his composing.

The smaller Haimo/Johnson anthology is less impressive in terms of its overall organization, balance, and scope of topics, its merits lying solely with several individual contributions. The alphabetical placement of Milton Babbitt's complex essay ("Stravinsky's Verticals and Schoenberg's Diagonals") as the first of the four analytic discussions is particularly unfortunate, for this essay is the least appropriate one for reflecting Stravinsky's overall artistic development. Indeed, the editorial weakness of this volume as a whole is signaled by the inclusion of Babbitt's essay at all, for the essay, notwithstanding its merits, is an almost exact duplication of that in the Pasler volume.

The alphabetical placement of Claudio Spies's essay ("Conundrums, Conjectures, Construals; Or 5 vs. 3: The Influence of Russian Composers on Stravinsky") toward the end of the volume is equally unfortunate. Placed at the beginning, his essay might have better served to establish the groundwork for Stravinsky's evolution from late nineteenth-century Russian influences to his new musical language. Furthermore, the excessive length of the essay, which covers one-third of the volume, is hardly justified by the actual scope of the materials.

Spies provides numerous musical excerpts to compare Stravinsky with Rimsky-Korsakov and Tchaikovsky. His largely speculative and subjective comparisons seem to be more concerned with proving that Stravinsky was a better composer than Rimsky than with the more relevant issue regarding Russian influences. Indeed, Spies spends pages attempting to show that Rimsky actually played an insignificant role in influencing Stravinsky's musical idiom, stating that "in assessing its overall effect on Stravinsky, Rimsky-Korsakov's music may be more accurately judged a deterrent" (p. 104). Furthermore, given Spies's inclination toward a speculative approach to source comparisons, why should he have chosen excerpts from Rimsky and Tchaikovsky to the exclusion of Mussorgsky and the other *kuchkists*?<sup>18</sup> After all, *The Rite* seems to invoke more of the sonorities, themes, figurations, and orchestrations of *Night on Bald Mountain* than of any other Russian work.

While many would agree that Stravinsky is a better composer than Rimsky, this hardly bears on the question of either the influence or the revolutionary importance of Rimsky's techniques. On the contrary, Spies's comparisons, which point to Rimsky's exploitation of root progressions based on the whole-tone scale and other cyclic intervals (minor thirds) derived from the octatonic scale in *The Golden Cockerel* (his Example 3) and *The Invisible City of Kityezh* (his Example 9), and to the use of thematic repetition, ostinato, juxtaposition of block structures, and the same Russian folk tunes by both composers, suggests that Rimsky's significance as a direct source for Stravinsky's musical language, *especially* in his Russian period, was considerable indeed. Certainly, while such cyclic progressions and other devices referred to by Spies are common in works throughout the nineteenth century, it is with Rimsky that the octatonic scale became pre-eminent. As

<sup>18</sup>Taruskin points to evidence from Stravinsky himself (p. 164 of the Haimo/Johnson volume), revealing César Cui's influence on Stravinsky's operatic thinking, despite whatever other opinions Stravinsky may have had about him.

Taruskin has remarked, it was a “legacy he bequeathed to his pupils—practically all of whom made conspicuous use of what they all called the ‘Rimsky-Korsakov scale.’”<sup>19</sup>

The second half of Spies’s essay explores Tchaikovsky’s influence on Stravinsky, based on some convincing comparisons, especially including passages (e.g., in *Le baiser de la fée*, Examples 30 and 31) where Stravinsky attains Tchaikovsky-like string or string/wind sounds through special textural doublings and contrapuntal juxtapositions. Less convincing are examples of common procedures based on successions of specific tetrachords and their interlockings that result in intervallic transformations. Here one must agree with Spies himself that “such evidence of connectedness may seem flimsy or even capricious” (p. 123).

Among the most impressive contributions to this volume is Richard Taruskin’s impeccable research into Stravinsky’s approach to folk sources. “Stravinsky’s ‘Rejoicing Discovery’ and What it Meant: In Defense of His Notorious Text Setting” deals with the transformation of Stravinsky’s rhythmic practices stemming from his rhythmic-accentual transgressions in the settings of Russian folk texts. Like Spies’s essay, Taruskin’s provides an approach to the question of the effect of Russian sources on Stravinsky’s idiomatic development. Taruskin documents not only many occurrences of structural misaccentuations of words in the authentic folksong anthologies themselves,<sup>20</sup> but also Stravinsky’s conscious attempt as early as the *Japanese Lyrics* to develop this practice into a technique based on irregular accentual shifts. Stravinsky was eventually to extend this technique beyond his Russian texts.

The three remaining analytical essays, by Ethan Haimo, Paul Johnson, and Joseph Straus are concerned with pitch-class priority primarily in Stravinsky’s neoclassical works. As an alternative to the traditional “misapplications” of tonal concepts and categories to Stravinsky’s idiom, Haimo (“Problems of Hierarchy in Stravinsky’s Octet”) proposes a systematic approach to the concept of hierarchy by means of “a series of interlocking relations.” Basic to this concept is the notion of collectional and non-collectional tones, but without implication of consonance and dissonance or leading-tone functions. In contrast with certain a priori assumptions of the traditional diatonic system, pitch-class membership in a collection in Stravinsky is contextually determined. By identifying collectional units and their component pitch-classes according to registral partitioning, rhythm, and repetition, etc., the author suggests that a tonic can be identified and, consequently, the articulation of a referential collectional ordering. While more than one tonic and referential ordering can occur in a given collection, lack of a tonic is also possible.

Haimo’s interpretations, based on analyses of passages from the *Octet*, provide a viable alternative to traditional functional interpretations. He

<sup>19</sup>See Richard Taruskin, “Chernomor to Kashchei: Harmonic Sorcery; or, Stravinsky’s ‘Angle,’” this JOURNAL 38 (1985): 99. Also see the discussion of this development in Stravinsky’s music in my article, cited in n. 13 above, especially pp. 579–87.

<sup>20</sup>Such evidence showing incongruities between stressed syllables and musically stressed notes appears in Cecil Sharp’s *One hundred English Folksongs* (see pp. 174–75) as well as Russian and other national folksong collections.

outlines seven referential collections, five of which form traditional diatonic modes. The remaining two are referred to as extended, eight-note diatonic collections (*C-D<sup>b</sup>-D-E<sup>b</sup>-F-G-A<sup>b</sup>-B<sup>b</sup>* and its transposition, *C<sup>#</sup>-D-D<sup>#</sup>-E-F<sup>#</sup>-G<sup>#</sup>-A-B*). The C-scale form is abstractly assumed for all of these collections, as indicated by the name he gives to each collection (e.g., major keys of *E<sup>b</sup>/A<sup>b</sup>* and *E/A* for the latter two collections, respectively).

Haimo's suggestion of directed linear motion (p. 49), in which he imputes a background leading-tone function to an underlying bass motion from *D* in the Introduction to the *E<sup>b</sup>* tonic of the Exposition is a problematic one. Without the occurrence of traditional functional relations as a pervasive local harmonic determinant, any sense of expected resolution seems fortuitous. Since no criteria for leading-tone functions have been established on the local level, there is no reason to infer an anticipatory significance to the final motion from *D* to *E<sup>b</sup>*. Otherwise, Haimo's theoretical formulations suggest valuable tools for further investigation into the problematic tonal issues of Stravinsky's neoclassical works.

Johnson's exploration of collectional orderings and their interrelations ("Cross-Collectional Techniques of Structure in Stravinsky's Centric Music") represents an important continuation of Haimo's premises, and provides an expanded interpretation of the potential functions of these collections in the establishment of a hierarchy of tonics. In developing the larger implications of Haimo's eight-note diatonic collection, 0, 1, 2, 3, 5, 7, 8, 10 (given in Ex. 2 at transposition *E-F<sup>#</sup>-G-A-B-C-D*), Johnson focuses on its symmetrical ordering. By permuting it to *C-D-E-F/F<sup>#</sup>-G-A-B*, its shared characteristics with the symmetrical octatonic scale 0, 1, 3, 4, 6, 7, 9, 10 (*C-D<sup>b</sup>-E<sup>b</sup>-E-F<sup>#</sup>-G-A-B<sup>b</sup>*) and the means by which they are employed by Stravinsky to articulate tonal hierarchies become apparent. While the octatonic scale can provide four areas of tonal polarity (at 0, 3, 6, and 9) in each of its two orderings (1, 2, etc., or 2, 1, etc.), the symmetrical eight-note diatonic collection has two tonal areas of polarity (at C and G), based on major-scale content differentiation between its two referential seven-note forms (*C-D-E-F-[F<sup>#</sup>]-G-A-B* and *G-A-B-C-D-E-[F]-F<sup>#</sup>*).<sup>21</sup>

While Haimo focuses primarily on contextual factors, Johnson explores the properties of three tetrachordal symmetries inherent in the larger eight-note collections as determinants of hierarchy, polarity, and collectional ordering. These tetrachordal sonorities normally used by Stravinsky (0, 4, 7, 11; 0, 3, 7, 10; and 0, 3, 4, 7) contain the basic intervals of the traditional triad (*M<sub>3</sub>*, *m<sub>3</sub>*, and *P<sub>5</sub>*), which permit certain tonal invariances to occur under transposition. For example, the major-third polarity (*C*, *E*) between two of the three referential orderings of the eight-note diatonic collection (*C-D-E-F-F<sup>#</sup>-G-A-B* and *E-F-F<sup>#</sup>-G-A-B-C-D*) is reflected in the derived-tetrachord 0, 4, 7, 11 (*C-E-G-B*), i.e., the transpositional difference between one of the sets of duplicated intervals (*C-G* and *E-B*) of this tetrachord is the major third (*C-E*).

Johnson's contextual evidence for these principles is generally convincing. At the center of the first movement of the *Symphony in C*, the author points to a reinterpretation of the eight-note diatonic collection as a means of

<sup>21</sup>The author points to "Stravinsky's common practice of extracting different tonics from the same collection, or, conversely, extracting the same tonic from different collections" (p. 57).

articulating the shift of pitch-class priority from *C* to *E*.<sup>22</sup> He shows that the priority of *C* is established in the opening polarity between *C* major and *E* minor by the functions of the two unique, or non-duplicated intervals (*B-C* and *E-G*) of the 047e tetrachordal harmony (*C-E-G-B*). While *E-G* is common to the *C*-major and *E*-minor triads in the tetrachord, the thematic half-step *B-C* (i.e., the outer major-7th of the tetrachord) induces the referential symmetrical position of the tetrachord to define it as “*C*-based.”

In several neoclassical works, including the *Sonata for Two Pianos*, *Symphony in C*, and *Octet*, Joseph Straus (“Sonata Form in Stravinsky”) establishes certain criteria to explain Stravinsky’s synthesis of the classical sonata model with block structures based on nonfunctional harmony. In the absence of traditional tonal functions so essential to the organic sonata concept, Stravinsky himself expressed an interest in deriving the form from “the interrelation of the building material.”<sup>23</sup> Straus’s primary contention is that, in addition to the establishment of tonality by assertion, tonal integration is achieved by means of reflections between local and background-level melodic/harmonic schemes.

Such structural projections are convincing in most of his discussion of the *Symphony in C*, asserting that the entire sonata form is an expression of a basic polarity between the two pitch centers (*C* and *E*) as well as their triads (*C-E-G* and *E-G-B*), analogous to the tonic and dominant polarity of the traditional sonata form. The metric-rhythmic prominence of the opening thematic-note *B*, rather than *C*, projects a tonal ambiguity through to the coda, where the polarity between *C* and *E* is not resolved traditionally, but rather absorbed by synthesis into a single sonority. In the *Sonata for Two Pianos*, the supposed projection of the main *F* and *C* tonalities of theme 1 and theme 2 from local harmonic occurrences of perfect fourths in the outer voices at the opening is tenuous, since virtually none of the occurrences of local fourths consist of these two pitch-classes. Straus’s notions of pattern completion and large-scale relations in other works are perhaps somewhat more plausible— see, for example, his chromatic encirclements of tonalities and figures in the *Octet*.

In the opening essay of the volume (“Stravinsky’s ‘Fortunate Continuities’ and ‘Legitimate Accidents,’ 1882–1982”), William Austin provides an original, though somewhat vague approach to Stravinsky’s general historical position in the “noncontinuous” scheme of twentieth-century music, deriving his concepts of “continuities” and “accidents” from Stravinsky’s own speculative and subjective views in the *Poetics* (n. 1). It would have been appropriate had the editors concluded rather than begun the volume with Austin’s general essay, since Austin’s arguments could have benefited from the reader’s having read those discussions dealing with the more specific stylistic factors that contributed to Stravinsky’s evolution.

Austin is aware of the need for a more precise meaning of “evolution” within a broader historical perspective. However, the underlying problem is that neither Stravinsky nor Austin establishes any concrete definition of “evolution,” “mainstream,” “accident,” etc., nor does Austin make any

<sup>22</sup>Joseph Straus further shows how, through transposition and modification, the *E* polarity is manifested as centric in subsequent sections of the sonata-allegro plan; see pp. 148 ff.

<sup>23</sup>See Igor Stravinsky, “Avertissement,” *The Dominant* (December 1927), reprinted in Eric Walter White, *Stravinsky: The Composer and His Works* (Berkeley, 1979), pp. 531–32.

logical connections between concepts of historical continuity in unrelated areas such as audience, collaborators, compositional methodology, etc. To reconcile the obvious difference between historical "continuities" and "accidents," Austin follows Stravinsky's own idea that composers are related in varying degrees to some sort of evolutionary thread. For instance, Haydn and Mozart are viewed as parts of a continuity, not by fitting them in with routines of craft or academic theories, but rather by understanding them as unusual peaks or "legitimate accidents" that send out "the rays of their genius" in order to promote what Stravinsky regarded as "true evolution." Carried to the extreme, even a "freak" like Berlioz may send out rays of genius that influence continuity, "despite the discontinuity of his work with his near-contemporaries" (p. 4). Stravinsky is similarly viewed as a participant in many continuities without representing any one of them.

In sum, the individual contributions of these two Stravinsky anthologies provide new insight into historical and technical issues, as well as confirmation of established information; they also raise new questions and point to new directions for future Stravinsky research. The individual achievements, scope, organization, and interrelatedness of the materials in the more substantial Pasler volume make it the most important and up-to-date single volume for anyone interested in the wealth of historical and artistic issues embodied in the musical world of this twentieth-century master. The study of both volumes can lead to a heightened awareness of issues that are highly "symptomatic" of current tendencies in Stravinsky research. The writings of three scholars are most notable in this regard. On the historical side, Taruskin's studies of authentic Russian folk sources and their bearing on Stravinsky's "modernist" musical language are particularly laudable and timely, especially so because of the relevance of his studies to a broader field of current research into ethnomusicological influences on Eastern-European, Latin-American, and other national art-music developments throughout the twentieth century. On the theoretical side, van den Toorn's discoveries, based on octatonic-diatonic pitch-set interactions in Stravinsky's oeuvre, provide an essential key to understanding a new system of harmonic and melodic unification in an idiom largely devoid of traditional functional procedures. Forte has also been developing a unique and generalized approach to pitch-set theory. The high degree of abstraction of his applications, which often have little connection with other musical parameters and their syntax, as well as the lack of connection between these applications and historical context, seem particularly problematic. Nevertheless, the writings of all three scholars stand out from the many valuable essays in these volumes, either for the controversies they have aroused, or for the broader influence they have had on other writers.

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Roman Ingarden, *The Work of Music and the Problem of Its Identity*.  
Translated from the original Polish by Adam Czerniawski. Ed. Jean