

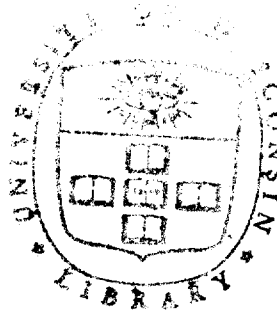
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**METHODS AND CATEGORIES OF JAZZ ANALYSIS:
A CRITICAL REVIEW OF FIVE APPROACHES
TO JAZZ HISTORY AND MUSICAL ANALYSIS**

BY

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CHAPTER I - INTRODUCTION

Today there is little question that jazz is a suitable object for the expenditure of academic energy. Partly, the reason for the acceptance of the study of jazz, at least in American universities, is the broader view of what many musicologists take to be the subject of their discipline. A significant reflection of this "broader view" is the announcement of the program of the Twelfth Congress of the International Musicological Society, which states in part, "Musicology today embraces the music of the entire world as the subject of its research. Scholars in every corner of the globe are studying their own music or that of others. And more than ever, they are reaching outside their own discipline for tools and methods for analysis and research. The Twelfth Congress aims to reflect the global and interdisciplinary nature of contemporary musicology."¹ This prospectus carries with it the underlying recognition that historical and analytical methods evolved for earlier, less broad definitions of music are not necessarily adequate to

1. "Announcing the Twelfth Congress of the International Musicological Society, August 21-27 (Sunday to Saturday), 1977," International Musicological Society mailing.

achieve the goals of present musicology: as the view of the subject of historical research changes, the statement suggests, historical methodology must also change.

One implication of this observation is that existing historical and analytical approaches to music might be critically reviewed for their utility. To the extent a broader view of the subject of musical scholarship and its attendant implications can be said to apply to jazz, it is worthwhile to critically examine existing approaches to jazz history and musical analysis with the purpose of showing in what ways they are inadequate or particularly useful for the study of jazz. Such a critical examination is the topic of this thesis.

As a means of accomplishing the task outlined above, five approaches to jazz history and musical analysis will be critically reviewed in the following pages. Observations from these reviews will form the basis of a scheme of categorization designed to isolate a few important aspects of the various approaches that might be of special value for studying jazz. By way of introducing the project at hand, it will be helpful to list the five sources reviewed and to classify them according to format for discussion. Several important terms must then be defined, and an explanation given of the taped musical examples used with this paper.

Of the many books and articles addressing themselves

to jazz history and musical analysis, five were selected as the core subject material for this thesis. These five are:

Andre Hodeir, Jazz: Its Evolution and Essence, trans. David Noakes (New York: Grove Press, 1956).

Gunther Schuller, Early Jazz: Its Roots and Musical Development (New York: Oxford University Press, 1968).

Alfons M. Dauer, "Improvisation. Zur Technik der spontanen Gestaltung im Jazz," Jazzforschung 1 (1969), pp. 113-32.

Frank Tirro, "Constructive Elements in Jazz Improvisation," Journal of the American Musicological Society 27 (1974), pp. 285-305.

Thomas Owens, "Charlie Parker: Techniques of Improvisation" 2 vols., Ph.D. dissertation, University of California-Los Angeles, 1974.

It seemed advisable to restrict sources for review to "analytical" approaches, the adjective "analytical" being broadly defined as approaches to jazz history and musical analysis making significant use of musical examples. All of the works listed above meet this requisite.

In order that the organization of the paper be coherent and the discussion proceed in an orderly fashion, the five works have been classified according to format and scope. The two books at the top of the list above belong to a type of study I will call the "analytical history." The analytical history is broad in scope and covers a variety of musicians and topics (like improvisation) over a span of time. Its approach is synthetic, since it seeks to reduce a complex interaction of music

events and historical processes to a few pages. The analytical history can be logically criticized, then, according to the quality of its synchronic analysis (how it deals with musical analysis and the description of jazz style) and its diachronic analysis (how it accounts for the interaction of styles and institutions over time). The two periodical articles in the list can be classified as "topical studies." The topical study concentrates on a single aspect of jazz music common to many players and styles. In this case, the topic of both articles is improvisation. Because the interaction of musical events over time is not always involved, diachronic analysis is not an issue in the topical study. Further, the choice of examples, the analysis itself and the relationship between analytical results and conclusions may be the focus of review. The classification "biographical study" applies to the dissertation at the bottom of the list of sources because the study focuses on one musician only. It differs from the topical study because of its approach to evidence: the topical study uses representative examples to demonstrate its arguments, while by comparison the biographical study treats the player's output exhaustively. This type of source may be reviewed according to its analytical method and its usefulness for studying jazz styles. These five sources will be reviewed in the following pages in the order they appear on the list,

the analytical history category of format first, then the topical study category and finally the biographical study category.

There are several important terms that represent concepts essential to the point of view expressed in the commentary in the critical reviews below. These terms are "style," "study of style," "composition" and "rendition." Rather than attempt to fashion definitions for them in this paper, it is appropriate within the scope of this thesis to adopt definitions, perhaps with some modifications, from an outside source. The pertinent definitions may be taken, for the most part as they appear, from Earl V. Spielman's Ph.D. dissertation at the University of Wisconsin-Madison, "Traditional North American Fiddling."²

Spielman's model is appropriate for jazz to the extent the characteristics of a "traditional" instrumental music and jazz overlap. The present author believes that several important features of traditional instrumental music as Spielman defines it are similar enough to some jazz to allow for the useful borrowing of conceptual and descriptive terminology. Jazz, for example, is at least

2. Earl V. Spielman, "Traditional North American Fiddling. A Methodology for the Historical and Comparative Analytical Style Study of Instrumental Musical Traditions," Ph.D. dissertation, University of Wisconsin-Madison, 1975.

in part an instrumental tradition. But perhaps the most important area of overlap is the notion of a "traditional" music itself. A primary feature of "traditional" music in Spielman's discussion is that it represents an oral musical tradition. To a significant degree, a great deal of jazz conforms to Spielman's criteria for identifying an oral musical tradition. In an oral musical tradition, according to Spielman,

the music has been learned and is performed from an oral (aural) source, i.e., either directly or indirectly from another performer, including electronic reproductions or previous performances via phonograph records or tape recordings. In addition, the music is performed with the understanding that what is played is merely one rendition of the tune or song and not the tune or song per se.³

To be sure, jazz is not entirely an oral tradition. A large amount of jazz, for example that performed by big bands in the 1930s and 1940s, is partially, if not entirely, arranged or composed prior to performance and therefore does not qualify as oral tradition according to Spielman's criteria. But for the purposes of defining terms for this project, there is sufficient similarity, particularly in what is generally referred to as "improvised" jazz and in the manner in which jazz is acquired and passed on, to validate the borrowing.

After discussing definitions of style rendered by several authors, Spielman summarizes as a kind of plan

3. Ibid., p. 104.

for the study of style what he finds their most useful implications:

Implicit in the quotations from all six authors whose definitions of "style" have been discussed, is the idea that the study of style is a comparative study, that some aspect or aspects are characteristic of or common in the music or art forms examined, and that these aspects can be recognized and identified. Furthermore, once identified, they can be recognized in other examples of the same style in that the latter demonstrate some degree of similarity to the examples first examined.⁴

"Style," then, may be defined as those characteristics a musical work has in common with other works in a given comparative context and by which it, and works similar to it, may be identified. The "study of style" is the process of determining common characteristics in a comparative framework.

As a part of his discussion of style, Spielman distinguishes between "composition" and "rendition." He writes:

A musical work exists as the conceptualized ideas of its composer. Based upon these ideas the composer produces a prototype which might exist in either of two forms: a pictorial representation of his ideas usually in the form of notation on manuscript paper, or a sound representation, i.e., an original performance preserved on tape or phonodisc. Ultimately the composer himself is the sole designator of what is to serve as the prototype. Following the establishment of a prototype, any performance of the composition, even one by the composer himself, is a rendition. In the case of non-traditional music, every performance is an attempt to reproduce the prototype as accurately as possible. Musical interpretation occurs when the prototype leaves aspects

4. Ibid., p. 110.

of the performance unspecified or unclear. In the case of traditional music, however, rarely is a prototype available and even when one does exist, its importance is negligible in the performance of the music. In other words, because the existence of a prototype is irrelevant to a performance, what governs the performer in his playing is his general concept of the work based upon former renditions he has experienced as well as an understanding of the performance style of a musical tradition.⁵

According to Spielman, in both non-traditional and traditional musics the concepts of composition and rendition exist. The notion of a prototype, however, distinguishes non-traditional and traditional musics with regard to the realization of subsequent renditions of a work in terms of the degree of influence or control the prototype exercises over the rendition. In non-traditional musics the degree of influence is great. In traditional musics, however, prototypes, if they exist, exercise a much smaller degree of influence over the rendition. With regard to Spielman's distinction between composition and rendition in the context of the present study, jazz will be considered a traditional music unless otherwise specified, i.e., unless specific references are made to arranged or notated jazz. An improvised jazz performance, then, will be considered a rendition in terms of a rendition of a traditional musical work, not the recreation of a prototype as in a rendition of a non-traditional work.

5. Ibid., pp. 116-17.

Throughout this paper bibliographic references to the five sources reviewed will appear in the text in parentheses following the passage in question. Other citations will be footnoted. Since it is believed that any analytical discussion of music ought to be accompanied by sound examples whenever practical, a magnetic tape of illustrations accompanies this project. The musical works discussed in detail in the text have been recorded in their entirety whenever a disc or tape recording of them has been accessible for dubbing. When taped examples are cited, they are designated in this fashion: Tape Example 1. The Tape Example number and title of each example is announced on the tape. Examples are recorded in the order they are discussed in the text. Discographical information appears in the Appendix, List of Tape Examples.

CHAPTER II - REVIEWS

Jazz: Its Evolution and Essence, one of the two books in the "analytical history" category of source described in the Introduction, was originally published in 1954 by Flammarion under the title Hommes et problèmes du jazz. For the purposes of this discussion, the largest portion of the book may be divided in two parts, as the French title suggests. In the first part, which includes Hodeir's introduction and the section headed "From the 'Primitives' to the 'Moderns,'" Hodeir describes the several stylistic periods into which he partitions jazz history from about 1900 to the late 1940s, focusing for the most part on five players and some of their works. In the second part, which encompasses the sections titled "The Problem of Improvisation" and "The Problem of the Essence of Jazz," Hodeir focuses on a variety of topics or "problems" in jazz that he believes are common to all of the style periods he names. Two final sections, "Jazz in Europe" and "Contemporary Jazz" (a brief survey of individuals and groups active around 1955 and written especially for the English edition) are

peripheral to or do not alter the direction of Hodeir's discussion in preceding sections and may be omitted from consideration in the present commentary.

These two parts of Hodeir's book suggest two angles from which a critical review of Jazz: Its Evolution and Essence might be fruitfully pursued. Along one angle might be viewed the consequences for the "history" part of Jazz: Its Evolution and Essence of Hodeir's general esthetic biases and his approach to style history. Along the other angle, the components of Hodeir's analytical method can be discussed. This division reflects not only the format of the book, but Hodeir's own intentions for his volume as well. In the following passage, for example, in which he downplays the importance of his own subjective preferences in his book, Hodeir distinguishes both historical and analytical dimensions of Jazz: Its Evolution and Essence:

If I happen to express a preference in these pages, let it serve merely as an indication to the reader . . . about the thing preferred and the person who does the preferring, enabling the reader to measure his taste against my own; but the essential part of my work consists in proposing and illustrating a method--the method of analysis which, for the time being in this field, must precede any constructive synthesis. (Hodeir, p. 20.)

The notion of Jazz: Its Evolution and Essence as a model for jazz analysis is clear. "The thing preferred" means those performers and pieces Hodeir believes are of special importance in the five periods and the half-century of

jazz history he writes about. Hodeir's view of the relationships among these performers and pieces constitutes the historical dimension of Jazz: Its Evolution and Essence. Because these pieces also comprise the repertory for which Hodeir's analytical method is designed, and because the results of his analysis will depend to a degree on how he analyzes the repertory, it becomes particularly important to understand what Hodeir's preferences are.

In another statement of purpose, somewhat different from the one quoted above in that the goal of developing an analytical method is implied rather than explicit, Hodeir encapsulates his preferences in terms of a critical point of view, an esthetic:

Jazz: Its Evolution and Essence is not an encyclopedia, but a simple essay dealing with some men and, occasionally through a study of their work, with the principal problems of jazz. The point of view expressed here is that of the European critic. (Hodeir, p. 2.)

In part, Hodeir means by "European critic" that his point of view will differ from an American critic's point of view to the extent jazz source materials and milieu in France differ from jazz source materials and milieu in the United States. Differing patterns of record distribution, for example, might be an aspect of such a difference, although it is probable that in 1950 most recorded jazz accessible to an American listener would

also have been accessible to a French one.

But Hodeir's expression "European critic" has another meaning directly related to the preferences he speaks about in the quotation from page 20 of Jazz: Its Evolution and Essence cited above. It means he is an assigner of value according to a particular esthetic and approach to style history. Understanding both esthetic and historical approach involves two operations: a description of Hodeir's notion of "classicism" in music (including jazz) and an exploration of how Hodeir applies this idea in Jazz: Its Evolution and Essence. The first of these tasks is difficult, for although Hodeir himself places a great deal of stress on "classicism" in music, he only sketches the characteristics by which he identifies the concept. An indication of the lack of an adequate definition of classicism in Jazz: Its Evolution and Essence is that the characteristics Hodeir does mention are not adequate to distinguish the "classical" jazz repertory from the other style periods he names. In illustrating this problem, however, it is possible to acquire sufficient familiarity with Hodeir's view of classicism in music to be able to understand the more important issue of how Hodeir uses the concept of a classical period of jazz in writing a history of style.

Hodeir identifies the classical period of jazz in a table titled "A Summary of the Evolution of Jazz," which shows all five periods of jazz history Hodeir

distinguishes. The "classical" period has as its chronological boundaries the years 1935 and 1945, New York as its principal center and as its "leaders" the instrumentalists Roy Eldridge, Dickie Wells, Coleman Hawkins, Lester Young, Fats Waller, Teddy Wilson, Art Tatum, Chick Webb, Cozy Cole, Lionel Hampton and Benny Goodman. (Hodeir, p. 24.) One characteristic of the period according to Hodeir is "the equilibrium which comes with maturity," by which Hodeir seems to mean (using his terminology) a balance between contrast and symmetry, or diversity and unity (say, diversity of note values balanced by thematic unity). Embodied in the most important style of the decade this equilibrium, Hodeir says, was called "Swing." Another characteristic is that classical jazz maintains its appeal over time: "Take an average record in any good series of the day--a Fats Waller or a Teddy Wilson, for example--and you will see that its style has not aged. Isn't such timelessness a distinguishing characteristic of classicism?" Yet another characteristic is high quality, because "A classical period is by definition a great period." And finally, Hodeir advances the idea that the decade of classical jazz was a crossroads, in the sense that

most of the great precursors of the classical period, like Armstrong, Hawkins, Hines, Henderson, Ellington and Moten, had become classical figures and were producing their best work while at the

same time, new leaders were coming up, men in whose work the discerning ear could already tell the direction modern jazz was taking (I am thinking particularly of the first Lester Young recordings). Never before or since have so many great musicians existed side by side, uniting their efforts to found a marvelously rich and diversified school of jazz" (Hodeir, pp. 30-31.)

These characteristics--balance created by diversity in expression coupled with unity of conception, timelessness, and so on--are comparative qualities and require referents against which they can be measured. One problem with the way Hodeir uses them to characterize a style period is that he does not always clearly define the referents. (Whether these qualities are as objective and meaningful to Hodeir's readers as they seem to be to Hodeir is another question.) For example, Hodeir describes individual features of a solo chorus by Charlie Parker in "Cool Blues" (take 4, recorded February 19, 1947, in Los Angeles) as "blending harmoniously into a whole that is homogeneous and varied at the same time." (Hodeir, p. 149.) I take this to be a description of balance indistinguishable from the balance that Hodeir mentions as characteristics of classical jazz, although Parker appears in the post-1945 period of "Modern" jazz in the table of style periods from Hodeir's book cited above. It is true that Hodeir names his style periods according to what he perceives to be their most prominent tendencies, and that exception to the period boundaries he draws are not uncommon. But

even the relative prominence of certain characteristics as a criterion for distinguishing one period from another is not adequately maintained in the book. The notion of balance or equilibrium as a characteristic of jazz played during certain years is insufficient, as far as Hodeir details it, to distinguish pieces of one period from pieces of another, or better, perhaps, this characteristic is not the most appropriate for drawing a chronological stylistic periodization. The other characteristics of classicism Hodeir mentions are not any more useful than this one as typological guidelines, and this problem is a partial explanation why no clear notion of "classicism" emerges from Hodeir's discussion.

But what classicism is is less important in comprehending Hodeir's historical approach than how Hodeir uses the concept of a classical period of jazz as an approach to the history of musical style and in assigning value. Generally speaking, classical jazz is also the best jazz according to Hodeir (although in much of his text, particularly that concerning jazz after 1945, he is less dogmatic about this assessment than the passages quoted on the next two pages might suggest). There is nothing wrong with this point of view per se since Hodeir's goal is criticism, but--and this is the observation of primary importance to make about the historical part of Hodeir's book--Hodeir makes classicism

the dynamic in stylistic evolution: according to Hodeir, jazz style evolved in order to realize a structural and sound ideal, namely the swing style of the late 1930s and early 1940s. For Hodeir, it was the ideal that caused the change from the collective styles of jazz in the early 1920s to swing, not the jazz players themselves in a particular social context. Two passages from the chapter sub-section called "Musical Evolution and the Idea of Progress" (Hodeir, pp. 26-30) are especially good illustrations of Hodeir's view of style evolution in music.

In one passage, Hodeir likens the history of European art music to the history of jazz:

Isn't a brief glance at medieval music enough to show that there is not only an evolution from century to century, but an almost continuous progress? Perotin was undoubtedly a musician of genius, but he came at a time when everything remained to be done; no one would think of putting his work on the same level as Bach's. An analysis of Machaut's beautiful but arid Mass shows by way of contrast how flexible and rich eighteenth-century polyphony was. European music has experienced a period of growth extending over at least five or six centuries; how can jazz be refused a similar period, even though it lasted only twenty-five years? (Hodeir, p. 27.)

It is apparent from this passage that according to Hodeir (1) the dynamic of style evolution is a certain set of abstract qualities, in this case, perhaps, "functional" tonality based on the triad, and (2) the same dynamic works in jazz history (with the set of qualities being the characteristics of classical jazz).

In the other passage, Hodeir focuses specifically on jazz:

It may surprise some people that I call the period between 1935 and 1945 "classical." Until recently, if such a term was used at all, it designated the New Orleans era. This idea was closely linked to the dogma of the purity of original jazz, but we shall see that this dogma rests on no serious foundation. A better sense of values and the passage of time make it possible today to correct this optical illusion. Classicism implies durability, above all. Isn't a simple glance back enough to show how outdated most of the works recorded before 1935 have become? Our record collections, which are the only impartial witnesses we have, prove that these works have diminished in value. Even more significantly, they reveal to us the image of an art still in gestation--hence, regardless of what people may say about it, still progressing--an art which, at the time of Louis Armstrong's Hot Five, was still a long way from having found the equilibrium that characterizes true classicism. (Hodeir, p. 26.)

The last sentence of this paragraph is particularly revealing because it demonstrates Hodeir's perspective that early jazz was more or less an undeveloped form of classical jazz. In addition, Hodeir's indication that an abstraction like the "art" of jazz could "find" equilibrium or other characteristics of classicism is, I think, more than a metaphor implying that the practitioners of the art were responsible for style change:¹ it implies further that the abstraction itself effects change.

There are several problems with this point of view of style evolution as Hodeir uses it in Jazz: Its

1. Assuming I accurately understand the implications of the original French through the translation.

Evolution and Essence (and, as will be shown, it has implications for Hodeir's musical analysis as well).

One problem resulting from his emphasis on an esthetic ideal rather than practitioners as the catalyst in style change is that Hodeir tends to pass over what might be called technological factors that act as constraints on sound systems. Consideration of these factors is essential to any meaningful comparison of musics separated by time or space. With reference to Hodeir's comparison of medieval polyphony to polyphony in the eighteenth century, for example, it is worth noting that certain kinds of polyphonic expression developed along with systems of notation capable of representing them; the notational conventions themselves may have set limits on expression, and a comparison not taking both together into account yields invalid results to the extent the technologies, as it were, of the constituent terms (of the comparison, e.g., fourteenth-century polyphony and eighteenth-century polyphony) do not overlap. Instruments are another consideration. Bach's polyphonic style must be considered at least to some degree in terms of a specific variety of instruments that would not have been at the disposal of a Perotin or a Guillaume de Machaut, or at any rate not in the same form.

Another question raised in these two passages is how applicable a model of historical periodization for European art music is to jazz history. It is surely

unsophisticated historical method to liken European music history to jazz history as Hodeir does, collapsing centuries into decades: "European music has experienced a period of growth extending over at least five or six centuries; how can jazz be refused a similar period, even though it lasted only twenty-five or thirty years?" (Hodeir, p. 27.) This kind of comparison results from the assumption that, as a measure of the rate of style change, a relatively few historical documents widely spaced in time compared with the vast and virtually day-to-day documentation of jazz recordings, means that styles must have changed slowly in European art music compared to jazz styles, and therefore that the same periodization and its referential framework can be applied to both European art music and jazz. Thus, for example, while the "test of time" for Bach has lasted over two centuries, twenty years is enough to prove Fats Waller's endurance. It is not the critical criterion itself, durability, that is objectionable in this case but the way Hodeir defines it, here legitimizing it by specious analogy to a periodization applied to European art music.

Questions of the instruments and systems of notation associated with specific repertoires of music and of the notion of historical periodization pertain mostly to Hodeir's view of style evolution. But it is clear from Hodeir's emphasis on "progress" as well as

change in the process of style evolution in the two passages quoted on pages nineteen and twenty above that the issue of value is tied in with style change. One specific case from Jazz: Its Evolution and Essence can be discussed to show how, in the historical section of the book, value works together with Hodeir's conception of style evolution as discussed above to form Hodeir's approach to jazz history. A related case will then demonstrate the relationship between Hodeir's approach in the historical section of his book and his musical analysis, and lead to a review of some analytical aspects of his volume.

Perhaps the greatest problem with Hodeir's approach to style evolution is that he evaluates players before 1935 according to the degree to which they exhibit classical characteristics. For example, Hodeir's history is almost entirely a history of soloists and solos because he views classical jazz for the most part as the product of the soloist.² Thus collective styles before the mid-twenties appear to merit Hodeir's attention only to the extent that they contributed to the development of the solo tradition.

2. Although Hodeir does stress the importance of big bands in jazz from 1935 to 1945, he sees their contribution in terms of offering support for a soloist, as in his discussion of Duke Ellington's "Concerto for Cootie," pp. 77-98.

For example, King Oliver's Creole Jazz Band is important, according to Hodeir, because it numbered Louis Armstrong among its personnel. The result of this perspective is that Hodeir evaluates the band's leader, cornetist Joe Oliver, and the clarinetist, Johnny Dodds, as lesser players trying to develop a solo style, rather than accomplished practitioners of a collective style. Hodeir leaves the impression that Oliver and Dodds had somehow "seen the light," intuitively perhaps, and knew how they ought to have been playing solos, but that they were unable to succeed entirely because they were somehow constrained by collective styles. Louis Armstrong, on the other hand, realized the solo ideal in his solo in "Big Butter and Egg Man From the West." (Tape Example 1.) "All things considered," writes Hodeir,

the timid solos that had previously appeared in recordings done in the New Orleans style were only fragments of collective improvisation removed from their polyphonic background. Couldn't King Oliver's famous solo in "Dipper Mouth Blues" and Johnny Dodds's in "Canal Street" both have been extracted, as is, from ensemble choruses? Neither of these musicians can be said to have fully freed himself from the framework of collective jazz. With his chorus in "Big Butter," Louis Armstrong begins using without effort the language of the individual soloist. This solo makes sense in the way a melody should. (Hodeir, p. 58.)

As was the case with Hodeir's critical criterion of durability, the objection here is not the observation itself Hodeir makes about solos "standing on their own" (perhaps a good way to indicate a change in the degree of importance of the solo chorus between Oliver's

conception of a balanced piece and Armstrong's), but rather with Hodeir's interpretation of the observation, that Oliver, Dodds and Armstrong were all aiming for the same goal but only Armstrong was successful in achieving it; therefore, Oliver and Dodds are less important in jazz style history than Armstrong. Here Hodeir has taken an analytical concept, the notion of a solo "standing on its own" (which implies to me that the solo defines itself harmonically, distinguishes phrases, beginnings and ends, and so on independently, for the most part, of the other players), and attached to it a qualitative value derived from his esthetic and approach to history.

One trouble with assigning value according to an approach to style evolution like Hodeir's is that it necessarily removes the works criticized from their context in time and place. I think it doubtful that when Oliver's contemporaries were dissatisfied with the band's recordings it was because they somehow perceived the performances to be experimental, aiming at but not achieving a style that perhaps no one had yet even heard. I think a more accurate approach to criticism is sensitive to those aspects of a past performance that knowledge of history indicates were important at the time of the performance. Lawrence Gushee offers an entirely different critical interpretation of the Oliver band's style in the Paramount and Gennett recordings (among

which are "Dipper Mouth Blues" and "Canal Street"). Although Gushee makes no explicit attempt to place these recordings in historical context, neither does he assign them value according to their resemblances to styles commonly practiced a dozen years later.

In Gushee's view, some of the most successful aspects of the recordings are the very aspects Hodeir views as the partially realized ideal of a classical style (if by "fragments of collective improvisation removed from their polyphonic background" Hodeir means the riff-like repetition of melodic figures generally about two measures in length, as in Oliver's solo choruses in "Dipper Mouth Blues," Tape Example 2); far from portraying Oliver as searching for a new style in these recordings, Gushee sees Oliver fully aware of the stylistic ends he desired and fully in command of the means of achieving them:

the Gennetts . . . sound fine. Chiefly they sound fine because Oliver, like Jelly Roll in his happiest days, knew the sound he wanted and had the brass and the guts and the prestige to run a band his way. . . . The truly phenomenal rhythmic momentum generated by Oliver is just as much dependent on continuity of rhythmic pulse [as on a flat four-four and relaxation]--only reinforced by uniformity of accentuation in the rhythm section and relaxed playing. One never hears the vertiginous excitement of a Bix or a Tesch; one never feels that, with a little less control, a break or an entire chorus would fall into irrationality or musical bizarrerie. Oliver's swing is exciting after a different fashion: it is predictable, positive, and consistent. . . . The impression of consistency is made all the stronger by the

refusal of the musicians to permit themselves too much freedom.³

Seen as a solo extension of the kind of continuity and consistency Gushee describes, Oliver's solos are quite effective in balancing Hodeir's unity/diversity scale with solo contrast to collective texture on one hand and consistent means of expression--riff-like repetition of one or two slightly varied melodic patterns in each solo chorus--on the other hand. Following this point of view, Hodeir appears not only to have missed the point of Oliver's style (because his historical approach leads him to consider only those features of "Dipper Mouth Blues" that are common to later jazz styles) but also to have portrayed Oliver (and through him recorded jazz in the early 1920s) as qualitatively inferior to jazz players from the 1930s and 1940s by wrongly applying critical criteria he developed for jazz played at one point in time to jazz played at other points in time.

Hodeir's approach to jazz history is not without influence on his approach to jazz analysis. Hodeir's jazz phrase typology is a good illustration of this influence. In the historical part of his book, Hodeir approaches diachronic relationships between style

3. Lawrence Gushee, review of "Louis Armstrong 1923: with King Oliver's Creole Jazz Band," Riverside RLP 12-122, The Jazz Review 1, No. 1 (November 1958), pp. 36-37.

periods via an esthetic based on the characteristics of one style period (the "classical" period). He takes a similar approach in the application of his phrase typology to individual pieces in that he uses it as a descriptive tool in comparing jazz from all of his style periods, but does not establish a norm for particular periods against which the meaning of assigning a piece to a particular type can be measured. An illustration from Hodeir's text will follow a brief description of the typology.

In his phrase typology, Hodeir classifies phrases of a jazz piece (generally a solo) according to their thematic resemblance to the piece's tune (or the tune of the piece from which the chord progressions for the new work are taken). Hodeir outlines his typology this way:

Two types of phrase exist side by side in jazz, just as in European music; one might be called theme phrase and the other variation phrase. They can hardly be confused, for their rhythmic equilibrium is not the same. The theme phrase is more stripped, less diffuse, because it has less ornament than the variation phrase. The latter may be subdivided into two principal types, the paraphrase and the chorus phrase. The first retains definite melodic affinities with the theme phrase from which it springs; the second, which is a kind of free variation, gets away from it completely. (Hodeir, p. 144.)

The main problem with this typology as Hodeir uses it is it presumes a player can choose to play any of the types of phrases, when actually other factors may control at least in part which type of phrase is played.

For example, when Hodeir uses phrases from the first two tenor saxophone choruses by Coleman Hawkins in "Body and Soul" (Tape Example 3) as illustrations of paraphrase and chorus phrases respectively, he tells us very little about Hawkins's improvising because, following contemporary formal practice, most jazz pieces around 1939--not just those Hawkins played--were more likely to begin and end with theme choruses than with other formats. By the same token, Hodeir reveals very little about Louis Armstrong's solo in "Big Butter and Egg Man" (Tape Example 1) when he types it as "only a paraphrase,"⁴ because one of the alternative types of phrase, the chorus phrase, was not a part of Armstrong's musical vocabulary in 1926 on records made by the Hot Five.

The closest Hodeir comes to a meaningful application of his phrase typology is in his chapter on Charlie Parker. Here he implies that Parker improvised paraphrase phrases by a different technique than chorus phrases:

Charlie Parker's sense of construction is highly developed. For one thing, he knows how to vary his effects within a single solo, using different contrasts with flexibility; for example, in his solo in "Bloomdido," after sticking to a fairly

4. "the most successful of all Armstrong's solos in the examples cited is "Big Butter and Egg Man." In this record, Armstrong manages to transfigure completely a theme whose vulgarity might well have overwhelmed him; and yet his chorus is only a paraphrase." (Hodeir, p. 56.)

low register, he suddenly moves into the high. But for another thing, on a broader scale, he shows that he can conceive a work in its entirety. The way he connects his solo in "An Oscar for Treadwell" to what goes before shows the concern he has for preserving the continuity of musical thought. Nevertheless, it is in paraphrasing that his intelligence flourishes best. (Hodeir, p. 106.)

The construction of the last sentence with "nevertheless" implies to me that, according to Hodeir's evaluation, Parker paraphrases a tune differently from the way he plays chorus phrases on a given set of chords. It also appears from this passage that Parker's paraphrase technique differs from his chorus phrase technique in the degree it involves Parker's "intelligence," which I take to mean something like conscious manipulation of melodic gestures in response to specific aspects of the melodic theme, as opposed to the use of patterns "in the fingers" cued by the chord progression. To be useful as a descriptive tool in comparing jazz pieces then, Hodeir's phrase typology really depends on defining norms--for the individual periods represented by single players, or for a single player's output if pieces within one performer's repertory are compared, as in the Parker example--so that the norms can be used as referents in applying the typology.

Actually, in a portion of the continuation of the same paragraph quoted above, Hodeir does not go on to distinguish different techniques in Parker's improvising. He even clouds the boundaries between chorus

and paraphrase phrases, and in so doing demonstrates the limits in objectivity of his phrase typology. Contrasting Parker's paraphrasing with Armstrong's, Hodeir writes:

Louis transfigures the original melody by subtly distorting it rhythmically and by adding some extra figures. Bird encloses it and leaves it merely implied in a musical context that is sometimes fairly complex. . . . In "Don't Blame Me" and "Embraceable You" . . . Parker now and again lets the phrase pretext [theme] put in a brief appearance, but at other times it can only be guessed at behind the garland of notes in which it is embedded and which, far from being useless embroidery, form by themselves a perfectly articulated musical discourse of which the theme, hidden or expressed, is merely one of the constituent elements. (Hodeir, p. 106.)

Hodeir's discussion above involves a lot more subjective interpretation than one would expect from a book intended in part to be a model of musical analysis applied to jazz. How "hidden" can a paraphrase phrase be, for instance, before it is more accurately described as a chorus phrase? The objective descriptive limits of the typology are exceeded when the theme of a paraphrase "can only be guessed at," that is, if the resemblance of theme to paraphrase is not reasonably secure to the ear or cannot be adequately demonstrated in notated examples.⁵

5. Here I beg the question, but further illustrate the problem. A particularly pertinent case of the line-drawing problem in distinguishing what is a variant of one model from what are different models is noted by Frank Tirro (refer to Tape Example 3): "[Hodeir] disavows thematic relationships in the improvisation, and,

One other aspect of Hodeir's notion of improvisation that is important to discuss is what Hodeir calls "pure" improvisation, by which he seems to mean performance that is unconnected with any kind of preparation or rehearsal prior to the performance in question. As far as Hodeir's critical evaluation of pieces is concerned, whether they are improvised or not seems to make little difference in Jazz: Its Evolution and Essence. But "pure" improvisation does have some analytical significance in the book. For example, a jazz phrase must be "purely" improvised in order to be classified as a chorus phrase. It is easiest to see how Hodeir uses the idea of "pure" improvisation when he contrasts it with notated composition or other levels or degrees of improvised performance (as measured by the degree to which the performance in question is "worked out" or a product of repeated performance). In the following passage for example, Hodeir describes Fats Waller's "Keepin' Out of Mischief Now" (Tape Example 4):

The piece may have been worked out, but we must make clear what we mean by this. It is not an

(Note 5, cont.) using Coleman Hawkins's solo on 'Body and Soul' as an example, says, 'the only thing the theme and the variations have in common is the harmonic foundation' . . . Gunther Schuller supports Hodeir's thesis . . . but acknowledges exceptions in a few great solos (it is amusing that he cites Hawkins's second chorus of 'Body and Soul' as an exception)." Frank Tirro, "Constructive Elements in Jazz Improvisation," Journal of the American Musicological Society 27 (1974), note 2, pp. 285-36.

organized composition, nor even the product of creative meditation, but the result of a crystallization of thought in the course of progressive improvisations. Even such a limited kind of working out makes it possible to eliminate weaknesses in continuity that pure improvisation lets by. (Hodeir, p. 174.)

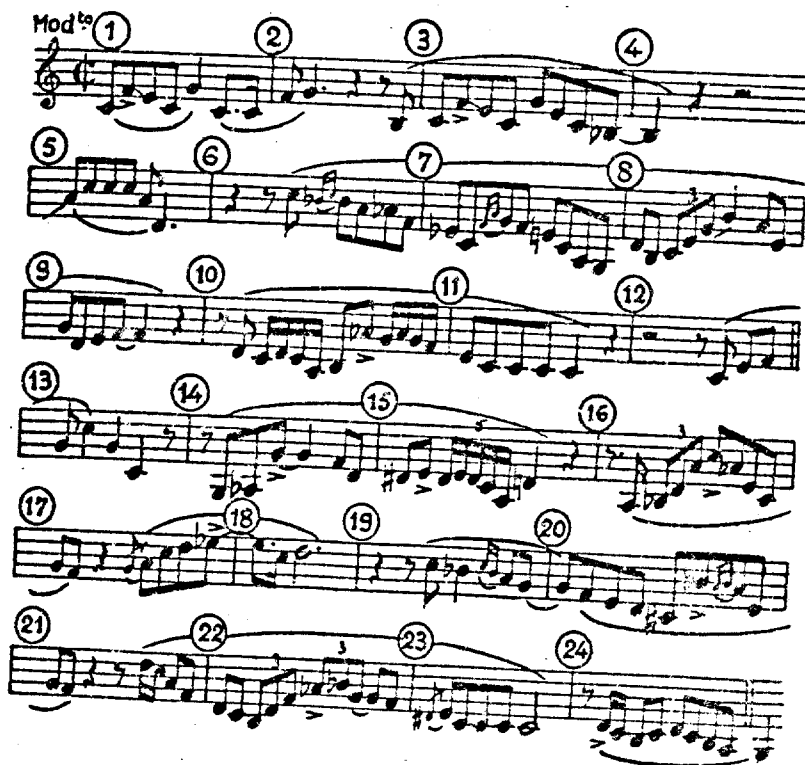
The expression "organized composition" is unfortunate because "Keepin' Out" is surely organized in one way or another, even if only by the chord scheme repeated every chorus. Probably Hodeir intends to indicate at least in part that "Keepin' Out" was not a notated composition, rather than what appears in translation as "unorganized." The problem here, however, is not the meaning of the descriptive terminology but the means for distinguishing each level or degree of improvised performance. It seems to me highly doubtful that any jazz performance achieves what Hodeir seems to have in mind when he uses the term "pure" improvisation. Hodeir himself indicates the difficulty of knowing from the recorded performance alone whether a piece is improvised or not. "To what extent was 'Keepin' Out' improvised?" asks Hodeir, "Was it worked out at all? It is impossible to judge at this distance in time without knowing all the details." (Hodeir, p. 174.)

As we will see, even when Hodeir seems certain that a particular performance has in no way been prepared or previously performed, there can nonetheless be indications that some kind of working out has indeed taken

place. The analytical method applied to such pieces has a great deal to do with observations about the degree to which they reflect some kind of previous preparation, or better, past musical experience.⁶

A good illustration is Hodeir's analysis of two of Charlie Parker's solo choruses from "Cool Blues," recorded for Dial on February 19, 1947, in Los Angeles (Example 1, page 33). The purpose of Hodeir's analysis is to illustrate how a good improviser exploits the harmonic foundation of a piece to create a solo that is "Homogeneous and varied at the same time." (Hodeir, p. 149.) Referring to these two choruses, Hodeir

6. "Preparation" and "rehearsal" imply that the performer views the performances prior to the one in question as incomplete or unfinished, not yet having achieved the goals the performer intends. The "progressive improvisations" of Waller's "Keepin' Out" that Hodeir mentions are not rehearsals in this sense; it would be more accurate to understand them as complete, finished performances even though subsequent renditions might be viewed in some cases as "improved" as a result of repeated performance. The expression "past musical experience," although somewhat cumbersome, is much more general than "rehearsal" or "preparation" (although it does not exclude them from consideration as they have been defined above); it avoids the inaccurate implication that a player's previous performances of a jazz piece are somehow incomplete or deficient, and allows that the present performance may be influenced by other musical experiences in the player's history than a previous performance of the same piece (i.e., same title and chord changes) as the term "rehearsal" implies. "Other musical experiences" might include anything from performances of the same chord scheme with a different theme or other performances in the same key to a radio broadcast or recorded performance of other players.



Example 1. First two solo choruses by Charlie Parker in "Cool Blues," take 4 (Hodeir, p. 149).

comments, "Remembering that this fragment, far from being the result of patient research, was spontaneously improvised, it is impossible not to bow in admiration." (Hodeir, p. 152.) But if all four takes of "Cool Blues" are examined in the sequence they were recorded (Tape Examples 5 through 8), some features of Parker's solos are repeated in patterns that suggest more working out than Hodeir's comment would indicate (Example 2).⁷

7. Hodeir may well not have had access to all four takes. The transcribed portions of the other takes shown in Example 2 on page 34 are by Thomas Owens, taken from his Ph.D. dissertation "Charlie Parker: Techniques (Note 7 continued on page 35)

The image displays two systems of musical notation for Charlie Parker's "Cool Blues". Each system consists of two staves: a treble clef staff and a bass clef staff. The notation includes various rhythmic values, accidentals, and articulations. Chord labels are placed above the staves, and measure numbers are indicated at the beginning of each measure. The first system covers measures 1 through 6, and the second system covers measures 7 through 12. A bracket labeled "B8-3" spans measures 1 and 2. A bracket labeled "D2-3" spans measures 3 and 4. A bracket labeled "D3-11" spans measures 11 and 12. The chord labels include B8-1, D2-1, D3-1, B8-2, D2-2, D3-2, B8-3, D2-3, D3-3, B8-4, D2-4, D3-4, B8-5, D2-5, D3-5, B8-6, D2-6, D3-6, B8-7, D2-7, D3-7, B8-8, D2-8, D3-8, B8-9, D2-9, D3-9, B8-10, D2-10, D3-10, B8-11, D2-11, D3-11, B8-12, D2-12, and D3-12.

Example 2. Charlie Parker's "Cool Blues," take 2, chorus 8 (measure numbers prefixed B8) and take 4, choruses 2 and 3 (measure numbers prefixed D2 and D3); C major twelve-bar blues transcribed by Thomas Owens. Bracketed motives (B8-3, D2-11 and D3-11) sound related and mark harmonic articulations of the blues chord framework, suggesting "working out."

For example, the rhythmic and melodic characteristics of the motive ending the phrase in measures 11 and 23 of Hodeir's transcription (corresponding to Owens, Vol. II, p. 345, measures D2-11 and D3-11, bracketed in Example 2, page 34 above) may represent a different version of a phrase ending in take 2 (Owens, Vol. II, p. 343, measure B8-3); listening to the takes in sequence, it sounds to me as though it does (there is nothing in these phrases, however, that suggests to me the specific order of the takes). That is, Parker may have tried the motive out in take 2 and returned to it in take 4, where it marks not only a phrase ending, but a particular point in the blues harmonic structure as well, namely the return to the tonic at the end of the twelve bar blues chorus. A working-out process is suggested in this case by the repetition of melodic motives that (1) sound related, and (2) are functionally similar. This phrase ending is not the only feature that suggests working out. Another is a turn figure with the variants shown in Example 3 on the next page. This figure appears only twice in take 1 (Owens, Vol. II, p. 342, measures A3-2 and A8-4) but more frequently in succeeding

(Note 7, cont.) of Improvisation (reviewed later in this paper). In Owens's system of measure numbering, the upper case letters indicate the take (A = take 1, B = take 2 and so on), the Arabic numbers immediately following indicate the chorus, and the Arabic numbers following the en dash indicate measures within the chorus.

takes, up to ten times in take 4 (Owens, Vol. II, p. 345, measures D2-6, 7, 10; D3-3, 7, 8, 12; and D8-4, 10). The increasing frequency of sixteenth-note turns might also have been affected by tempo. The tempo



Example 3. Turns appearing in takes 1-4 of Charlie Parker's "Cool Blues" (these examples from Owens, II, p. 345).

was slowed down, apparently to accommodate pianist Erroll Garner (according to jacket notes on Dial Spotlight 102). Owens marks the tempos in this sequence: take 1, ♩ = ca. 260; take 2, ♩ = ca. 220; take 3, ♩ = ca. 165-155; take 4, ♩ = ca. 180. The turns might have been easier to hear (or for Parker to play) clearly in the last two takes. This kind of observation must, of course, be tentative. Turns like this appear "in virtually any context" according to Owens (Owens, I, p. 18), and form one of Parker's most frequently used motives. But even so, auditioning this set of takes indicates to me resemblances among the renditions with a higher degree of functional and melodic similarity than one would expect if the term "pure" improvisation as Hodeir defines it could have been appropriately applied.

Hodeir's analytical method is not able to reveal these kinds of similarities systematically. Because his method focuses on thematic similarities (perhaps both cause and effect of his jazz phrase typology, in which all phrases are classified by how closely they resemble the theme of a piece), rather than other kinds of similarities (for example chord scheme, key, size of personnel or live versus studio performance context), a chorus from a single rendition of a piece like "Cool Blues" in which the theme and chorus have little in common melodically might give the impression of being entirely without relation to past musical experience as far as the process of the chorus's production is concerned.

This view also tends to draw analytical attention to relationships within a single piece. Other levels, however, might influence the shape of an individual improvisation. One level, for example, might be all the pieces with the same theme and title, as in the "Cool Blues" illustration above. On this level, similarities between pieces can be revealed that indicate what Hodeir calls "working out" if transcriptions of the different takes are lined up horizontally so the chord schemes of the pieces are in vertical correspondance (as in Example 2). Thomas Owens has pursued other levels of analysis, for example pieces sharing the same key and the same chord scheme regardless of theme and title (his analysis

will be considered later). But it is helpful in understanding Hodeir's notion of improvisation to realize that his analytical method is responsible at least in part for his category "pure" improvisation.

By way of concluding the review of Jazz: Its Evolution and Essence, brief mention may be made of an insightful paragraph by Hodeir that points directly at the concept of different levels of improvisation, but the implications of which Hodeir does not explore. (Indeed, he carefully confines the passage to his chapter, "Notes on the Problem of Creation." Emphasis mine.) Near the end of Chapter 11 of his book, Hodeir summarizes how he thinks a good improviser creates:

{The jazz musician's} style is not worked out, like the European composer's in solitary meditation. It is born as a result of actual experience, individual or collective (the nights at Minton's come to mind), but may be brushed up at leisure. It is easy to imagine someone like Garner working at home to perfect, not particular phrases themselves, but a type of phrase that he will use in his improvisations, just as a tennis player works out special strokes in preparation for coming matches. (Hodeir, p. 190.)

It is possible to question whether the way the European composer composes is so different from the way Hodeir imagines Garner improvises, at least, as different as Hodeir seems to assert in this passage. But the main point of interest here is the notion that a jazz player may have a repertory of phrase types which go to make up his improvisations, not, on the one hand, phrases memorized by rote, and on the other hand, immediately

new phrases. This suggests that improvisation might be approached on other levels than that of the individual piece, i.e., of specific motives, perhaps that of a handful of melodic types common to many pieces, of which the "surface structure" motives are examples. The implications of this notion seem to me to be at odds with the level on which Hodeir analyzes jazz pieces ("Cool Blues," for instance), but Hodeir does not probe the matter further. The kind of passage quoted above and others like it passim, perceptive but unexpanded, make Hodeir's book more a source of ideas than a model for jazz analysis or a useful history.

Gunther Schuller's book Early Jazz: Its Roots and Musical Development, is a representative of the analytical history category of format outlined in the Introduction. In Early Jazz, Schuller covers a variety of topics, styles and performers, aiming to satisfy in part the need for "a systematic, comprehensive history dealing with the specifics of the music" left, according to Schuller, by books like Sargeant's Jazz: Hot and Hybrid⁸

8. Winthrop Sargeant, Jazz: Hot and Hybrid, 3rd ed. (1946; reprint. New York: Da Capo Press, Inc., 1975).

and Hodeir's Jazz: Its Evolution and Essence, which were analytical but "Highly selective in the kind and amount of material analyzed," and Marshall Stearn's The Story of Jazz,⁹ which was comprehensive but "directed to the layman and general reader" and therefore did not analyze jazz in a technical sense. (Schuller, p. viii.) Early Jazz is the first of two planned volumes that are to comprise this "comprehensive history."

In chronological scope, the book begins with what Schuller calls the pre-history of jazz and continues up to about 1932, "the era of the Depression and the transitional period just prior to the Swing Era." (Schuller, p. xi.) The seven chapters dealing with this period of jazz include one called "The Origins," about such features as rhythm, form, harmony, melody, timbre and improvisation in jazz and their relationship with similar features of some African music, a chapter on jazz bands of the 'teens and early 1920s, several chapters on jazz soloists, and two chapters on big bands like those of Bennie Moten and Duke Ellington. An interview with violinist and band leader George Morrison comprises an appendix, and included in the book are a selected discography and glossary including some jazz

9. Marshall W. Stearns, The Story of Jazz, London: Oxford University Press, 1958.

terminology (which the newcomer to jazz might find quite helpful).

The "origins" chapter of Early Jazz does not represent the first attempt by a writer of jazz history to discuss the relationship of jazz to musics in or derived from West Africa and Western Europe. The books by Sargeant, Hodeir and Stearns cited on the preceding page all have sections devoted to the subject, and indeed, some exploration of the topic would seem necessary in any jazz history probing the musical and social sources of the music. But if many authors have felt compelled to write about jazz and the music of Africa and Europe, few seem to have had the access to anthropological source material by trained experts, or to have themselves had the expertise in the ethnomusicology of Africa, to discuss the matter with the greatest accuracy. The most careful, perhaps, of these authors have at least acknowledged the difficulties involved. Sargeant writes, for example,

Tracing jazz to Africa has proved difficult business, primarily because so little is known, in relation to the territory involved, about the music of Africa. It is a very large continent, containing not only a vast field of distinct and dissimilar tribal customs, but considerable variation in racial character as well. Physical types, habits and music differ greatly as between one tribe and another. Coastal and North African regions which have been in contact, for centuries, with alien European, Semitic and Oriental peoples, often show the influences of these peoples in the local music. The Negro slaves of America's South, who arrived from widely separated African sources, must have

brought with them a somewhat mixed musical heritage.¹⁰

But since the first edition of Jazz: Hot and Hybrid in 1938, studies have appeared that significantly increase the accessible amount written about African music by anthropologists and ethnomusicologists. Compared with the entries in Douglas H. Varley's African Native Music: An Annotated Bibliography¹¹ published in 1936, for example, bibliographies by Alan Merriam (1951)¹² and L.J.P. Gaskin (1965)¹³ show an increasing number of books and articles in scholarly journals devoted entirely to the study of various aspects of African music and dance.

In view of this amount of material, one might expect from Schuller a relatively careful account of musical relationships between regions of Africa and America based on the work of such investigators as Herskovits, Rouget and Nketia. But Schuller seems not to have exploited these sources. Frank Gillis and Pekka Gronow comment in their review of Early Jazz in

10. Sargeant, pp. 213-14.

11. Douglas H. Varley, African Native Music: An Annotated Bibliography (1936; reprint. Folkestone: Dawsons of Pall Mall, 1970).

12. Alan P. Merriam, "An Annotated Bibliography of African and African-Derived Music Since 1936," Africa 21 (1951), pp. 319-29.

13. L.J.P. Gaskin, A Select Bibliography of Music in Africa (London: International African Institute, 1965).

Ethnomusicology that "He [Schuller] makes comparisons and draws conclusions from a musical analysis based on relatively few samples of present-day African Music. . . . It is obvious . . . that Schuller lacks a solid background in the available literature and phonorecordings of African music. Most of his work in this chapter ["The Origins"] is based on two sources: A.M. Jones' Studies in African Music (London: Oxford University Press, 1959; 2 vols.) and the album of recordings Anthologie de la vie africaine (three 12" 33 1/3 rpm discs, edited by Herbert Pepper, issued on Ducretet-Thomson 320 c 126-128)."¹⁴ With these observations in mind, there are two points to mention involving the way Schuller covers the cultural and ethnological distance between descriptions of aspects of African (usually Ghanaian) musical examples on the one hand, and aspects of early jazz that, according to Schuller, are analogous, on the other hand. Both points show that Schuller is less specific and systematic than he claims in his preface he would like to be.

The first point, in the "Rhythm" section, so to speak, of Chapter 1, is that Schuller seems to stretch an interpretation of the rhythmic characteristics of

14. Frank J. Gillis and Pekka Gronow, review of Early Jazz: Its Roots and Musical Development by Gunther Schuller, Ethnomusicology 13 (1969), p. 564.

African musical examples to show that through syncopation in jazz, "The Negro . . . found a way of retaining the equality or 'democratization' of rhythmic impulses" (Schuller, p. 16.) Referring to examples from Jones's Studies in African Music (particularly to a portion of the "Nyayito" dance of the Ewe in Ghana, reproduced in Example 4 below, as it appears in Early Jazz), Schuller comments in a footnote

38 39

GANK

AXAT

CLAPS

SONG

ec - ee, Aaykoovo ru-doo wu ge ne-ya - la - ee, na-do-beroo ghe ee mi doro.

REPEAT

ATSI

* KID, GA-GA KID - KID GAA - GA KID - KID GA KREBE-GI KI-DE, GA KREBE-GI KI.

SOGO

KIDI

-DID-GI, KRID KRI KI-DID-GI,

KAG

KA-GAD KA-GAD

Example 4. Measures 38-39 of the Ewe "Nyayito" dance transcribed by A.M. Jones and printed in Early Jazz, page 12. Asterisks represent "accented" notes.

that "The African's polymetric designs . . . presume the basic equality and autonomy of all accented notes." (Schuller, p. 13, note 14.) To my knowledge, this

statement is correct for the examples Schuller cites. Schuller then indicates, not incorrectly, that "Syncopation is the most direct way a musician has of emphasizing weak beats, other than outright accentuation" (page 16). But the juxtaposition of these jazz and African examples suggests some functional identity between emphasized weak beats in jazz and equal and independent accented notes in the "Nyayito" dance. The "accented" notes in the Ghanaian example play a fairly narrowly defined role on the level of the individual part, namely to mark the articulation of particular rhythmic patterns that will be continuously repeated (though not necessarily through the entire performance). I perceive no such function for syncopation in jazz, and Schuller has therefore been somewhat uncautious in stating that the African example represents the antecedent of jazz syncopation.

But Schuller's case for this relationship might still be plausibly argued because, to the extent that an African retaining a given musical tradition came in contact with other traditions on the journey from his home to an African slave port, aboard ship to the Americas through whatever intermediate stopovers may have occurred, and finally in new American locations, one would not expect his native tradition to remain unchanged. To argue this case one would have to account as thoroughly as possible for the musical and

social mechanisms by which the native tradition, to whatever extent, was retained.¹⁵ This brings us to the second point about "The Origins," which is that this link in the musical connection with Africa is perhaps the weakest aspect of Schuller's chapter. Instead of describing social, religious or work institutions which may have helped alter or perpetuate an African musical tradition, Schuller continually attributes possible African survivals to the Negro's "natural" or "instinctive" musical sensitivities. Schuller expresses his view of the mechanisms of acculturation operating on African music in America succinctly: "Very gradually, Negroes all over the South, each in his own individual way and unaware of the totality of this process of musical acculturation, infused the white man's music with their own instinctual traits." (Schuller, p. 35.)

This point of view weakens Schuller's objectivity because of the difficulty of measuring what is instinctive and what is learned or acquired in another way; that a particular musical behavior is instinctive can be neither proved nor disproved, at least at the present time as far as I am aware. Further, to the extent historical and anthropological research can establish tangible factors of acculturation, it is unnecessary

15. Paul Oliver attempts such an account in his book, Savannah Syncopators, African Retentions in the Blues (New York: Stein and Day, 1970).

to account for African retentions in terms of "instinct."

More seriously, Schuller's view fosters the idea of a "pure" or archetypical jazz rhythm, form, melody and so on. This idea is evident in Schuller's text in passages like this one:

We have been certain for many years that jazz inflection and syncopation did not come from Europe, because there is no precedent for them in European "art music" . . . But until now we have lacked musically documented proof of the fact that the syncopation of jazz is no more than an idiomatic corruption, a flattened-out mutation of what was once the true polyrhythmic character of African music. (Schuller, pp. 13-15.)

Because Schuller regards these "pure" forms as instinctive, he associates the best or most jazz-like aspects of jazz, or any Afro-American music, with black practitioners:

Perhaps the most far-reaching changes in the early Afro-American's way of life occurred in religion and music; but even here . . . it was not a matter simply of adopting the white-man's conventions, but rather of infiltrating these, wherever possible, with features preserved from the Negro's own milieu. (Schuller, p. 15.)

But other factors than the black American's retention of "instinctive" African musical behavior would seem to have influenced the development of jazz, in part because of ethnologic considerations. Paul Oliver discusses some of these considerations in his book Savannah Syncopators,¹⁶ and his remarks are worth quoting at length. After noting that Melville Herskovits, in

16. See Note 15, page 46.

preparing his Anthropometry of the American Negro,¹⁷
"concluded that over seventy percent of his informants
had knowledge of white persons in their ancestry,"
and that "This and other evidence was sifted by the
team led by Gunnar Myrdal who substantially agreed
with his [Herskovits's] findings," Oliver writes:

It is popularly assumed that the Negro has an innate sense of rhythm; that his capacity for music and dance, for athletic performance and even sexual performance relates to inherent abilities. Whether these are diminished or diluted by the presence of more or less white blood is seldom questioned in the folk myth, for the Negro is a Negro and the question does not arise. The belief that cultural traits can be inherited is generally discounted by the anthropologist. Though he was dedicated to Negro studies, Herskovits questioned von Hornbostel's earlier propositions on this point. "It has been claimed by Professor von Hornbostel that the spirituals of the United States are essentially European folksongs created by the innate musical genius of the African, and that only the motor behaviour which biologically determines the manner in which they are sung is African. But would this type of motor behaviour persist in crossing? For the appearance of the mixed Negroes and the pure ones when singing these songs is quite the same," he commented, posing the fundamental question, "what is innate and what is cultural?"¹⁸

Although Herskovits addressed himself to "spirituals" and not "jazz," the fundamental question he poses can be appropriately directed toward Schuller in Early Jazz as well. Because of Schuller's bias toward the African-survival view of the origin of jazz, he seems to

17. Melville J. Herskovits, The Anthropometry of the American Negro (New York: Columbia University Press, 1930).

18. Oliver, pp. 10-11.

underemphasize the role of white culture in the development of jazz in the United States. For example, Schuller leaves quite unexpanded a comment he makes concerning the career of George Morrison, as Morrison described it in the interview with Schuller transcribed in Early Jazz:

The picture that emerges from these careers is that the music played depended almost entirely on for whom it was played. The music of a Negro playing for white society dances was different from that required at a rough southwestern honky-tonk; and both were different from that of the novelty bands of New York. . . . (Schuller, p. 70.)

Since it is Schuller's belief that Morrison's "life's story is . . . typical of his generation of Negro musicians" (p. 68), and therefore, apparently, of no little significance as source material for tracing the development of early jazz, Schuller's reticence on the matter is puzzling.

Other aspects of Schuller's book reflect the problems of objectivity in his view of mechanisms of acculturation. Schuller himself seems not totally unaware of these aspects, for he acknowledges that objectivity is not the only aim of Early Jazz. Schuller explains in his Preface that "the book attempts to combine the objective research of the historian-musicologist with the subjectivism of an engaged listener and performer-composer." (Schuller, p. ix.) But at some places in Early Jazz these two points of view seem incompatible and one approach--that of the engaged listener--usually

dominates. An example is in Schuller's second chapter, "The Beginnings," where he attempts to characterize the development of jazz in America from an esthetic--not an historical or musicological--point of view.

Schuller writes:

early jazz represents, speaking strictly musically, a relatively low point in the Negro's musical history. Indeed, how could it have been otherwise? Circumstances such as segregation and extreme race prejudice forced the music to be what it was. That it was as much as it was, and that it had enough strength to survive and eventually grow into a world music, is abundant proof of its potential strength and beauty.

From this nadir, jazz gradually developed not only in quality but also in basic conception and intent. The musicians who produced it were undergoing some profound social changes, and their music obviously had to reflect this. (Schuller, p. 164.)

Schuller is probably correct in perceiving that some relationship existed between the black American's social circumstances and the music around him, but to say that race prejudice and segregation acted directly on the music is at the least an oversimplification of this relationship, and implies that jazz was the product of an abstraction like "prejudice," not of people in a particular social context. Speaking of this same passage in his review of Early Jazz in Arts in Society, Lawrence Gushee reflects:

Are we to assume from this that an improvement in the circumstances of life of a black musician--which would presumably have to include a hardly demonstrable decline in segregation and extreme race prejudice in the Northern cities of the 1920s--led directly to an improvement in musical quality?

Or was it a matter of capitalizing on the possibilities of becoming creative within the framework of American urban popular music in general, thereby transforming it? On the sociological side, there are many untouched and unresolved issues in Early Jazz.¹⁹

In fact, Schuller does not even outline the "very profound social changes" that affected jazz, much less say how these changes operated. Early Jazz, then, is not as successful a combination of methods as Schuller intends it to be.

At this point it is necessary to acknowledge that although Schuller sometimes omits social and historical background at important points in his discussion, he supplies much more of it than Hodeir does (or needs to, actually) in his volume. An example can be drawn from Schuller's sixth chapter on the big bands. He makes a conscious effort to show the influences various features of the prevailing musical environment in certain geographic areas may have had on the development of big bands and the characteristics of their style. For example, by way of setting an historical background for a Southwestern big band style, as distinct from that of the East (New York), Schuller writes:

The neglect of the Southwestern tradition [by early jazz historians] was due not so much to regional prejudice as to what we might call geographical circumstances. The numerous Southwestern

19. Lawrence Gushee, "Musicology Rhymes With Ideology," Arts in Society 7 (1970), p. 235.

jazz groups, large and small, ranging from small "territory" bands to large city-based orchestras, were overlooked by the recording companies operating out of New York and, to a lesser degree, Chicago. Occasionally, an adventurous recording scout would come upon one of these bands, or one of the orchestras would venture to the big cities. But these were exceptions. The point is that these Southwestern orchestras provided much of the musical entertainment for the region, and in the process developed a self-sufficiency which in turn reflected itself in regional stylistic characteristics.²⁰ (Schuller, pp. 280-81.)

One might desire more details about the Southwest's "self-sufficiency," but this effort at historical context is better than none at all.

The main problem with Early Jazz seems to be that Schuller does not always achieve the ambitious goals he sets for himself. Perhaps the most significant manifestation of this problem is the manner in which Schuller analyzes specific jazz pieces, significant because it characterizes almost every analysis Schuller performs and therefore affects the entire volume. Essentially, the distinctions between jazz and European art music that Schuller draws so carefully in his Preface are covered over by the analysis he actually performs. In analytical approach, Schuller

20. Ross Russell corroborates this view in his book Jazz Style in Kansas City and the Southwest (Berkeley: University of California Press, 1971). He observes on page 3, "Kansas City and the cities of the American Southwest were remote provincial towns well off the beaten track, and in general they were left to their own devices. It was here, during the period from about 1920 to 1940, that a new jazz style arose."

fails to treat jazz differently from composed "classical" music. Although Schuller's analysis of individual pieces is generally cogent and insightful as will be shown, he does not succeed in demonstrating analytically the general approach to writing jazz history he sketches in his Preface. A brief discussion of several aspects of Schuller's general point of view will provide the background necessary for a critical look at specific analyses in Early Jazz.

One aspect of Schuller's approach important to mention here is that the approach is intended to encompass the recordings of lesser jazz figures as well as great ones. Schuller writes: "This history . . . attempts among other things to . . . explore, as it were, the foothills as well as the peaks of jazz. In fact, this volume has been written on the assumption that virtually every record made, from the advent of jazz recordings through the early 1930s, has been listened to, analyzed, and if necessary discussed." (Schuller, p. ix.) Such breadth, Schuller says, is necessary to provide a comparative context in which an analysis of a piece or the development of a style can be evaluated.

Schuller then advances the philosophy according to which he will select particular examples for analysis, posing several questions which the results of his

analysis might answer:

Another approach employed here is to concentrate on those moments, those performances, and those musicians who in one way or another represent innovational landmarks in the development of jazz. In a sense this book is an answer in terms of specific musical detail to a series of interrelated questions: What makes jazz work? What makes jazz different from other music? Why do so many people find jazz exciting? How did it get that way? (Schuller, p. ix.)

Perhaps the most important aspect of Schuller's general outlook as far as his approach to analysis is concerned is his conception of the difference between the sources for jazz history as opposed to the sources for the history of European art music, namely the sound recording and the written score respectively. This conception is the basis of Schuller's distinction between jazz and other musics, and can be viewed as a partial answer to the question cited above, "What makes jazz different from other music?" It is best to quote the entire paragraph in which Schuller explores this difference.

Verbal explication and notated musical examples are of course no substitute for the music itself. If this is true of histories of "classical" music, it is even truer of jazz, a basically improvised music defying notation and in which recourse to the written score is both impossible and--if scores existed--irrelevant. Despite the limitations of musical notation, a score by Beethoven or Schoenberg is a definitive document, a blueprint from which various slightly differing interpretations can be derived. A jazz recording of an improvised performance on the other hand is a one-time thing, in many instances the only available and therefore "definitive" version of something that was never

meant to be definitive. That it is and can only be definitive--whether inspired or not is, of course, another question--is inherent in the very nature and definition of improvisation. The jazz historian therefore is forced to evaluate the only thing that is available to him: the recording. Whereas we are interested primarily in the "Eroica" and only secondarily in someone's performance of it, in jazz the relationship is reversed. We are only minimally interested in "West End Blues" as a tune or a composition, but primarily interested in Armstrong's rendition of it. Moreover, we are obliged to evaluate it on the basis of a single performance that happened to be recorded in 1928 and are left to speculate on the hundreds of other performances he played of the same tune, none exactly alike, some inferior to the recording, others perhaps even more inspired. Jazz improvisation constitutes "work in progress"; and it ought to give the jazz historian pause for thought that certain artists never played their best performance of a given piece in the recording studio. (Schuller, p. x.)

For our purposes, these paragraphs show that Schuller's general approach is to emphasize particular groups, players and pieces that, compared to their contemporaries, he regards as in some way innovative, according to criteria specially tailored for improvised jazz documented by recordings as opposed to composed music documented by notated scores.

On the level of the musical analysis of particular pieces, Schuller sometimes succeeds in following his general approach. It is noteworthy, for example, that Schuller often tries to explain why particular pieces are not especially successful, therefore giving the reader a more complete picture of early jazz and better insight into Schuller's own analytical approach than if such examples had not been admitted.

For example, in a brief comment on a 1924 recording by Jelly Roll Morton with Jelly Roll Morton's Steamboat Four, Schuller explains why a common early 1920s ensemble gesture, the "climactic double-time stomp" chorus, fails to achieve its effect and thereby illuminates, perhaps, what the more numerous, non-exceptional jazz band performances of the early 1920s (the performances which, Schuller complains, generally go unconsidered in jazz histories) may have been like. Schuller writes, "Morton misjudges the structural pacing in the Paramount version of 'Mr. Jelly Roll' (or 'Mr. Jelly Lord') by arriving much too late (and after much bland noodling by a kazoo) with what was clearly intended to be a side-saving climactic double-time stomp. Coming too late, and being unrelated to anything previously on the record, it merely sounds tacked on." (Schuller, p. 154. Tape Example 9.) Schuller is perhaps too quick to conclude what Morton "intended" for this chorus, since its type and place in the piece are not unusual for the style and the period, but the implications of this observation are nonetheless valuable.

Further, compared with some other jazz histories, Schuller does indeed attempt to "explore the foothills as well as the peaks" of jazz. Several pages are devoted to trumpet players Johnny Dunn and Jabbo Smith (although they may have little more in common than

the space they share in Early Jazz), neither of whom is indexed in the volumes by Hodeir (Jazz: Its Evolution and Essence), Leonard Feather (The Book of Jazz),²¹ Sargeant (Jazz: Hot and Hybrid), or Stearns (The Story of Jazz). Schuller notes that Dunn influenced Bubber Miley's playing, and that Smith was a consistent, imaginative and technically proficient player, suggesting that a history of jazz trumpet playing in the 1920s based entirely on Louis Arsmtrong is inadequate. (Schuller, pp. 208-14.)

Schuller provides detailed analyses for the pieces and players he regards as "innovational landmarks," for example, Armstrong's 1926 recording of "Big Butter and Egg Man," Jelly Roll Morton's "Black Bottom Stomp" (1926), Bennie Moten's "Kansas City Stomp" (1928), and some of Ellington's 1926-27 versions of "East St. Louis Toodle-Oo." One of the best examples for showing the strengths of Schuller's analytical approach, and at the same time the weaknesses of his approach and book as a whole, is his treatment of Louis Armstrong's 1928 recording of "West End Blues," made with the Hot Five (Tape Example 10). Schuller himself attaches a great deal of significance to the piece as a "profoundly creative innovation" that "summarized the past and predicted the future" (Schuller, p. 89), in terms of both Armstrong's output and the

21. Leonard Feather, The Book of Jazz From Then Till Now, new revised edition (New York: Dell Publishing Co., Inc., 1976).

history of the jazz soloist, and his analysis of it provides a good context in which to critically evaluate the relationship between his general point of view as expressed in his Preface and his approach to musical analysis throughout the book as represented by his handling of "West End Blues."

Schuller's analysis may be divided in three sections, corresponding to the introduction and the two choruses in which the trumpet is prominent. With reference to the introduction (Example 5, page 60), Schuller proceeds almost note-by-note. He calls attention to the articulation of the first four notes, emphasizing their swing and continuing at length on the fourth note, F sharp:

it is interesting to note that the f sharp of measure one is held a fraction longer than the previous three notes. This is not accidental, for this f sharp serves a triple function: (1) in conjunction with the next two notes (g and b flat) it is the beginning of Oliver's theme; (2) as the "blue" lower neighbor of g, it definitely established the key of E flat (these notes are unaccompanied and on paper, for example, could belong to the key of C minor); and (3) it is the most pungent and striking note in the entire first phrase (one need only substitute any other harmonically possible note--b flat, e flat, g, c, or even a flat--to appreciate the excellence of this pitch choice). (Schuller, pp. 116-17.)

Schuller then notes that in measure three Armstrong changes the tempo--slows it down--so that the triplet eighth-notes have the same duration as the duple eighth-notes in measure 2, an "unorthodox procedure, in jazz," according to Schuller. Armstrong extends a favorite

motivic device in measures 5 through 9 by

A) $\text{♩} = 240$

B) C^1 C^2 D^2

Example 5. Louis Armstrong's trumpet introduction to "West End Blues" (Schuller, p. 116).

sequence and repetition, writes Schuller, so that "the blistering drive and swing of the phrase opening relaxes gradually into a state of repose . . . to set up the quiet statement of the theme itself." (Schuller, p. 118.)

In his discussion of the theme chorus (Example 6, page 61) Schuller says that after the first six measures of the theme, which contrasts Armstrong's introduction by its simplicity, Armstrong's line "begins to build up again, expanding in its contours and intensity, until--in the last two bars of that chorus--Louis is ready for the spiraling triplet arpeggio, a variant of measure three of the introduction." (Schuller, p. 118.) Armstrong's last chorus (Example 7, page 61), writes Schuller, "is the perfect climax, structurally and emotionally. . . . Beginning with a long high b



Example 6. Armstrong's theme chorus from "West End Blues." (Schuller, p. 118.)



Example 7. Final trumpet chorus from "West End Blues." (Schuller, p. 119.)

flat, held for almost four measures, Louis builds up an extraordinarily sustained tension. All the pent-up tension of this long note finds release in an impassioned, almost stammering repetitive phrase that seems to float, completely unencumbered rhythmically, above the accompaniment. This chorus fulfills the structural conditions of climax with a sense of inevitability that is truly astonishing in an improvised work." (Schuller, pp. 118-19.)

I find Schuller's analysis of "West End Blues" insightful and compelling. Gauged according to the criteria of structural balance, of economy of means expressed as thematic relationship between one part and another, of contrast of note value tempered by smooth transition from simple to complex and back, of climax and release, "West End Blues" is indeed a masterpiece. But as Lawrence Gushee comments in his review, there may be a problem with the role individual analyses like this one play in Schuller's book. In Schuller's approach to jazz history, Gushee notes,

there is a constant tendency for a given performance to be treated as a Work of Art, rather than a sample of a process. Schuller pays little attention to idioms, patterns or formulas as they characterize the playing of a group of musicians (e.g., New Orleans clarinetists) or of an individual. To the extent that jazz in general is an unwritten and an improvised music, and that some jazz can not be measured by the criteria of Works of Art, an essential dimension is lacking."²²

Perhaps part of the reason why Schuller's opposition between art music and jazz is unclear lies in what Schuller means by "improvization." In this connection, the last sentence of Schuller's analysis, quoted on page 61 above, is most revealing. It is only at the end of an entirely traditional musical analysis that Schuller refers to improvisation, a term he associated in his Preface with jazz as a feature

²². Gushee, "Musicology," p. 232.

distinguishing it from European music. Even then he uses the concept only to awe the reader at Armstrong's achievement, not to add substantively to the analysis. Nor is this kind of conclusion uncommon in Schuller's book. Following his analysis of a 1928 recording of "Weather Bird" by Armstrong and Earl Hines, Schuller says, "The cohesiveness of this performance is at a level we usually attribute to consciously premeditated composition. When we realize that it is the result of spontaneous creation born of the passing moment, we can only marvel at the musicianship displayed." (Schuller, p. 126.)

The main problem with Schuller's conception of improvisation is that he fails to pursue the idea he mentions in the Preface that "jazz improvisation constitutes work in progress," a processual rather than a static view of improvisation. At certain points in his text Schuller seems to verge on such a view. He writes, for example, that "'West End Blues' was not without its antecedents. It did not spring full-blown from Armstrong's head. Its conception was assembled, bit by bit, over a period of four or five years, and it is extremely instructive to study the process by which Armstrong accumulated his personal style, his 'bag' as the jazz musician would put it." (Schuller, pp. 89-90.) Or more specifically, speaking of the introduction to "West End Blues," "The second phrase

(B) [see Example 5, page 60] is one of the descending lines ending on the seventh that we have seen many times previously in Armstrong's work." (Schuller, p. 118.) But it does not seem to occur to Schuller to follow up the processual implications in passages like these by trying to explain, say, why they are particularly successful here but less so elsewhere.

Perhaps the reason Schuller never quite arrives at a satisfactory definition of improvisation, and therefore does not convincingly keep a distinction between jazz and art music in terms of the type of analysis applied and the critical standards set, is, as Lawrence Gushee noted, his tendency throughout Early Jazz (contrary to his prefatory remarks) to treat a recording like a notated score in the sense that the final product is the focus of attention and not the circumstances by which it was produced. It is true, as Schuller comments in the paragraph quoted on pages 55-56 above, that "we are obliged to evaluate ["West End Blues"], on the basis of a single performance that happened to be recorded in 1928, and are left to speculate on the hundreds of other performances he played of the same tune. . . ." But Schuller fails to speculate at all about these other performances, choosing instead to view the history of jazz as a history of recorded jazz, as a series of single performances

rather than a series of examples of a process. To the extent that it was by these unrecorded performances, played in clubs, dance halls, jam sessions and the like, that Armstrong, or any jazz performer, became known to record buyers, developed a style, and was influenced or exercised influence, Schuller's analytical approach is unequipped to effectively distinguish between improvised jazz and European art music.

Alfons M. Dauer's article "Improvisation. Zur Technik der spontanen Gestaltung im Jazz" represents the "topical studies" category outlined in the Introduction (it concentrates on a single aspect of jazz associated with more than one player or style).²³ In his article, Dauer focuses on methods of improvisation found in various "styles" of early jazz he calls "traditional Oldtime jazz forms." For the most part,

23. The article is published in the first volume of Jazzforschung/Jazz Research, the official periodical of the Internationale Gesellschaft für Jazzforschung. The journal is issued, generally yearly, by the Institut für Jazzforschung an der Hochschule für Musik und Darstellende Kunst in Graz. According to the entry "Jazzforschung," no. 3328, in RILM Abstracts 3 (September-December 1969), p. 12, Dauer's article was presented as a paper at the First International Jazz Congress in Graz, April 16-20, 1969.

Dauer identifies these styles with the type of group that plays them. Thus, for example, he mentions the styles of Country Brass Bands, Street Bands, String and Spasm Bands, Skiffle Bands, Ragtime Bands, and those styles generally known as New Orleans or classical. (Dauer, pp. 113-14.) Dauer concentrates on techniques of improvisation originating before the earliest known jazz recordings in 1917 and 1923. He represents these early styles by using recorded musical examples from a later period, made by ensembles using instrumental combinations, forces and improvisational techniques similar to those of the earlier groups.

Dauer takes a somewhat different approach to improvisation than Hodeir in Jazz: Its Evolution and Essence. Hodeir's is a prescriptively oriented approach: he provides examples of what he considers good improvisation, and abstracts from them general rules that form a model against which any jazz improvisation can be critically evaluated. The goal of this evaluation is the recognition of the best improvisation, and what makes it good. Dauer's approach on the other hand is descriptively oriented. He selects examples and formulates generalizations about how improvisation works according to typological guidelines, not critical ones. The goal of Dauer's analysis is an explanation of how particular musical tasks, in this case thematic variation, are accomplished by the improviser.

Particularly characteristic of Dauer's approach is a typology of methods of improvisation, each of which is specially suited to a certain type of melodic form in traditional jazz styles. A melody in the form of a litany for example, will be improvised by a different method than a melody in Stollen-Abgesang form.²⁴ Another factor affecting the way a melodic line is improvised is the functional role of the particular instrument, for example accompanying or leading.

Dauer's approach can be characterized by comparing it at two points to the discussion of Hodeir's view of improvisation (pages 30-39 above). First, in the sense that he views improvisation as the realization in sound of a thought-out plan or preexistent technique, Dauer looks at improvisation as composition. This distinguishes his approach from Hodeir's. Second, the controls on composition are in Dauer's view not a function of the player's past musical experience (as we suggested in the review of Jazz: Its Evolution and Essence they might be), but of such external factors as the role of the instrument in the ensemble and the formal features of the

24. "Die Improvisation in den traditionellen Jazzstilen benutzt diese Melodietypen durchaus nicht einheitlich, sondern verfügt für verschiedene Typengruppen über unterschiedliche Methoden, die dem jeweiligen Character der Melodik spezifisch angepasst sind. So wird z.B. eine Melodie im Litaneityp völlig anders improvisiert als eine Melodie in der Stollen-Abgesangsform." (Dauer, p. 115.) In Dauer's usage, "Litanei" can be taken to mean "call-and-response," and "Stollen-Abgesangsform" to mean an AAB melody type.

melody. According to Dauer, these factors determine what type of improvisation will be used.

Dauer does not describe an exhaustive list of types of improvisation, but two of the methods he develops in detail are noteworthy because they are unique, to my knowledge, among approaches to describing the process of improvisation. They are also tailored to particular jazz styles (like the ones named above, page 66) so that Dauer avoids the problem of faulty historical comparison inherent in a critical approach like Hodeir's.

The first type of improvisation, called the Klangvertretungstechnik or tone substitution technique, is based on the tonal characteristics of traditional jazz styles. According to Dauer, these tonal forms are survivals of African tonal conceptions (although Dauer, like Schuller, does not say which African tonal conceptions). The forms, or scales, are the pentatonic, the hexatonic and the heptatonic forms. These forms have two features in common: they are anhemitonic (lacking half steps) and the pitches of each are separated by equal intervals. (Dauer, p. 114.) The characteristics of these forms are the source of such features of early jazz as cadencing via the mediant or submediant, the lack of chromaticism and the incapacity to form functional dissonances, among others.²⁵ (Dauer, p. 114.)

25. "In the characteristics of these forms, ist

Whatever the particular melodic form may be, melodic variation (which, according to Dauer, is the primary aim of the oldest jazz styles) is always achieved by means of the Klangvertretungstechnik. In this method, a player creates variation by substituting for a given pitch the pitch most closely related to it in the particular tonal form of the piece. In the heptatonic form, the pitch most closely related to a given pitch is the tone a third away. The entire pitch range for a given piece is divided in half, Dauer says, forming two scales or, arranged vertically, chords. The pitches of each scale are more closely related than immediately adjacent pitches when the scales are combined (see Example 8, page 70).²⁶

The notated illustration of this type of improvisation demonstrates "a very typical feature of melody in older jazz, namely the tonal variation of a melody

(Note 25, cont.) die Quelle für off-pitchness, tone clusters, [and] Bluestonalität. Für die alten Jazzformen leiten sich daraus verschiedene typische tonale und melodische Merkmale ab, so die Blue Notes, die nach unten auflösende Leittonführung, die Kadenzialtechnik mit Ober- und Unterterz, der fallende Verlauf der Melodie-Schwerpunkte (resultierend in der typischen Intensitätskurve der Jazzmelodik), der gänzliche Mangel an Chromatik und die Unfähigkeit zur Bildung funktioneller Dissonanzen." (Dauer, p. 114.)

26. "Der jeweilige Melodie- oder Hauptstimmton wird durch seine harmonisch nächst verwandten Intervalle ersetzt . . . z.B. der übernächste Ton in der Materialleiter. Der gesamte Tonalitätsraum gliedert sich in zwei alternative Intervall- bzw. Klangreihen, zwischen denen umschichtig hin und her gewechselt wird." (Dauer, p. 115.)

The image shows two musical staves. The top staff is labeled 'Heptatonic' and shows a scale of seven notes with dashed lines connecting them. To its right, 'Substitute Scales' shows a similar scale with different note placements. Further right, 'Substitute Chords' shows two chord diagrams. The bottom staff is labeled 'Pentatonic' and shows a scale of five notes with dashed lines connecting them. To its right, 'Substitute Chords' shows two chord diagrams.

Example 8. Tonal material used in the Klangvertretung type of improvisation (from Dauer, p. 115).

with the retention of its original rhythmic movement structure."²⁷ According to Dauer, the example is "Take Rocks and Gravel to Build a Solid Road," played by the Laneville-Johnson Union Brass Band in Laneville, Alabama, in 1958. (Dauer, p. 116.) Actually, it seems to be "Wild About My Daddy," recorded by the same group in 1954 (Tape Example 11).²⁸ The lead horn (an alto

27. "eine sehr typische Eigenschaft der älteren Jazzmelodik, nämlich tonale Variation einer Melodie unter Beibehaltung ihrer originalen rhythmischen Bewegungsstruktur." (Dauer, p. 115.)

28. Dauer does not supply the reader with discographical information. He does mention in passing however, as a source of examples for this kind of improvised variation technique, the Ethnic Folkways Records series called Music from the South, recorded and compiled by Frederic Ramsey Jr. The piece Dauer transcribes is on volume one of this set, Folkways Records FP 650, side one, band 3, and is called "Wild About My Daddy" according to the label. ("Takes Rocks and Gravel to Build a Solid Road" immediately precedes it on band 2.) Since Dauer cites no source that contradicts the label information, the error appears to be Dauer's. The notes accompanying the recording contradict Dauer's date as well. They indicate the piece was recorded May 6, 1954.

saxhorn) makes the most use of the Klangvertretungs-technik. This melody is reproduced in Example 9, page 72, after the full-score transcription by Dauer (Dauer, p. 117).

The tonal material for the piece is pentatonic. Dauer leaves the reader to decide which notes belong to the "original" melody and which are substitution tones; he neither provides an illustration of a standard version of the tune, nor designates which pitches are which in the text. In the phrases of measures 1-2 and 9-10, however, E and A might be considered substitutes for C. The rhythmic structure is the same in both phrases, both are formally related (they function as Stollen in the AAB Stollen-Abgesang form of the piece), and they are related because they belong to the same substitute scale. Thus, they fulfill the requirements for the Klangvertretung type of variation.

The descriptive advantage of this approach over a "pure" improvisation view like Hodeir's is that it accounts for certain aspects of the performance, such as the absence of a leading tone (B-natural in this example) and the consistent use of certain rhythmic patterns, as features of a norm limited to defined chronological and generic boundaries, and not as the free choice of the player from a nearly unlimited range of possibilities.

The theoretical advantages and disadvantages of

Musical notation for Example 9, alto saxhorn line from "Wild About My Daddy." The notation is on a single staff in 3/4 time, showing measures 1 through 23. The key signature has one sharp (F#). The melody consists of eighth and quarter notes, with some rests. Circled numbers 1 through 23 are placed above the notes to indicate specific points of interest or analysis.

Example 9. Alto saxhorn line from "Wild About My Daddy," from the full-score transcription in Dauer, p. 117.

Musical notation for Example 10, author's coarse transcription of the first seven measures of the first chorus of "Wild About My Daddy." The notation is on a single staff in 3/4 time, showing measures 1 through 7. The key signature has one sharp (F#). The melody consists of eighth and quarter notes, with some rests. Circled numbers 1 through 7 are placed above the notes to indicate specific points of interest or analysis.

Example 10. Author's coarse transcription of the first seven measures of the first chorus of "Wild About My Daddy" from Folkways Records FP 650. (See below, page 80.)

Dauer's approach are best seen in terms of the second type of improvisation, a kind of complement to the first type, in which thematic variation is achieved by "the systematic alteration of the rhythm, that is, the movement-regulating structure of the melody,"²⁹ while the melodic (intervallic) structure of the melody remains essentially the same.

According to Dauer:

For the Oldtime-Jazz musician, systematic alteration of the movement structure of a melody does not mean simply the harmless shift of a few melodic accents ahead or behind: the musician does that not on formal grounds, but to spice up the playing with senso-motor excitement. This is a kinetic element of jazz, not primarily musical (even if realized by musical means). The formal variation of the rhythmic movement structure is a much more difficult way of playing When it appears, it is a complementary procedure to melodic variation through tone substitution. That is, old style jazz musicians use one or the other technique . . . they vary the melody tonally or rhythmically, but not in both ways at once.³⁰

29. "die systematische Veränderung des Rhythmus, d.h. der bewegungsmässigen Struktur der Melodie." (Dauer, p. 118.)

30. "Systematische Veränderung der Bewegungsstruktur einer Melodie heisst für den Oldtime-Jazzmusiker nun aber nicht harmloses Verschieben von ein paar wenigen Melodieakzenten nach vorn oder hinten: das tut er nicht aus gestalterischen Gründen, sondern um dem Spiel den notwendigen Pfeffer in Form sensomotorischer Erregung zu geben. Diese ist ein kinetisches Element des Jazz, kein primär musikalisches (wennschon sie mit musikalischen Mitteln erzeugt wird). Die gestaltmässige Variation der rhythmischen Bewegungsstruktur ist ein viel diffizileres Spiel Wenn sie auftritt, ist sie eine Art Gegenstück zur Melodievariation durch Klangvertretung, d.h. die archaischen Jazzmusiker benutzen entweder die eine oder die andere Technik . . . sie variieren die Melodie entweder tonlich oder rhythmisch, nicht aber beides zugleich." (Dauer, pp. 118-19.)

Dauer's example of this improvisation technique is Bunk Johnson's "Panama," recorded in 1942 (Tape Example 12). Johnson's first two choruses are the subject of Dauer's analysis. The first sixteen-measure chorus has a melody structure of four four-measure phrases, a b a c, repeated in the second chorus. Melodically, there is no variation to speak of. Rhythmically however, the structure is more complex: each four-measure phrase has two parts, Vordersatz and Nachsatz, each of which has its own binary division, vordere Hälfte and hintere Hälfte. On the level of vordere and hintere Hälfte (the level of the measure) a number of rhythmic motives are stated, repeated and recombined to effect the process of variation. What distinguishes this rhythmic variation from a "spicing-up" type of rhythmic alteration is that the binary division on each level, vordere to hintere Hälfte and Vorder- to Nachsatz, is spanned by an antecedent-consequent (i.e., structural) relationship. Further, the musician endeavors "not just to play a continuous, running alteration of the melody, but to create variations in a regulated fashion and from thought-out points of view. He gives each portion of the variation of a motive a complementary answer in that he uses rhythmic forms that either increase or decrease tension."³¹ That is, not

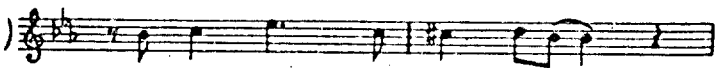
31. "nicht nur ununterbrochene Abwechslung in den Melodieverlauf zu bringen, sondern dass er diese


only does Johnson give structural substance to his two choruses by arranging rhythmic motives as antecedents and consequents, but he also makes the choruses dramatic by arranging the motives according to a plan: "The first chorus begins with the least tension and complexity, proceeds, with both aspects increasing, to a climax in the first half of the second chorus, then decreases in tension and complexity toward the end, in that the last half of the second chorus returns to the patterns of the beginning of the first chorus."³² (Example 11, page 76, shows Dauer's transcription of these two choruses; Example 12, page 77, shows Dauer's schematic outline of them.)

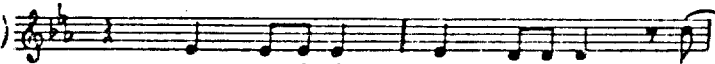
The theoretical advantage of Dauer's approach as illustrated by this type of improvisation is the notion of a plan which it entails, of a set of rules which controls some aspects of the performance. The idea of a jazz improviser creating variations "in a regulated fashion and from thought-out points of view" is analogous to the compositional dimension of the notion of "past


(Note 31, cont.) Abwechslung in völlig geregelter Weise und nach vorbedachten Gesichtspunkten schafft. Er gibt jeder Veränderung eines Motivteils sofort eine entsprechende Beantwortung, indem er Bewegungsformen benutzt, die entweder spannen oder entspannen." (Dauer, p. 124.)

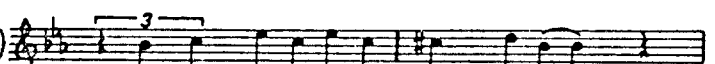
32. "Der erste Durchgang beginnt mit der geringsten Spannung und Komplexität, dann steigert sich beides, erreicht in der ersten Hälfte des zweiten Durchgangs den Höhepunkt und entspannt sich gegen Ende, indem z.B. in der letzten Hälfte des zweiten Durchgangs auf die Eingangsformulierungen zurückgegriffen wird." (Ibid.)


(1)  a V

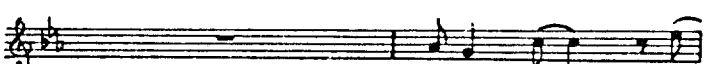
(2)  a N


(3)  b V


(4)  b N

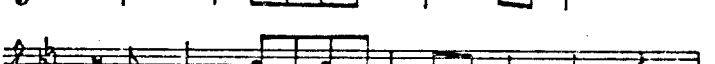
(5)  a V

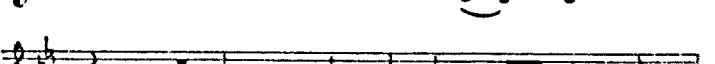
(2)  a N


(6)  c V

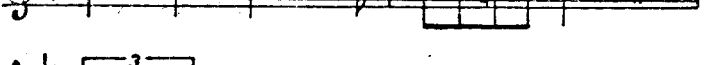
(-)  c N

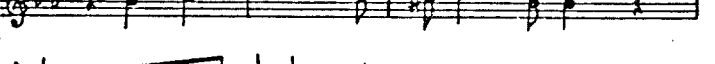
(7)  a V

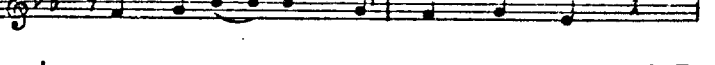
(8)  a N

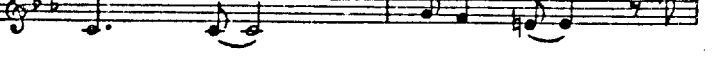
(9)  b V

(10)  b N

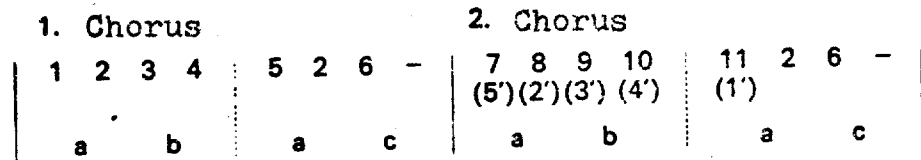
(11)  a V

(2)  a N

(6)  c V

(-)  c N

Example 11. Bunk Johnson's first two choruses in "Panama." (Dauer, p. 123.) See Example 12, page 77, for a schematic outline of the choruses and Note 33, page 77, for an explanation of symbols.



Example 12. Schematic diagram of Bunk Johnson's first two choruses in "Panama."³³ (Dauer, p. 122.)

musical experience" that was developed in the review of Jazz: Its Evolution and Essence, mainly in the sense that it more accurately reflects the proportion of spontaneously created features to more predictable or characteristic features of jazz improvisation in a given style. Dauer's concepts of "rules" and "point of view" are important here. In Johnson's first two choruses in "Panama," the "rules" are represented by the type of improvisation, which in this case determines that melodic variation will be achieved primarily by rhythmic as opposed to diastematic means. The "point of view" is represented by the manipulation of tension to

³³. Lower case letters represent thematic components. Numbers represent rhythmic components on the Vorder- and Nachsatz level. Different numbers indicate different components. The dashes immediately preceding the solid vertical lines (which represent the end of each chorus) signify the component C Nachsatz, and that it always has the same rhythmic shape. Numbers with superscripts (in parentheses) indicate that the components numbered above them are derived from and are variants of analogous components in the first chorus.

hold the listener's attention and produce a sense of climax.

The analogy to composition can be applied to the Klangvertretung type of improvisation as well, where the most important of the melodic characteristics of the variations are based on diastematic and not rhythmic alteration, and on a specific type of tonal material (pentatonic).

The analogy to composition is not applicable in every sense, however. Since the rules guiding a particular type of improvisation derive from formal structures or the role of the instrument and not an individual's past musical experience, Dauer's typology of improvisational techniques applies only to the collective styles he mentions in his article, not to individual player's styles. A disadvantage of Dauer's approach is that it is almost entirely structural. That is, it adequately perceives features of an improvised performance like the repetition of patterns--features which are easily portrayed in notated transcription and which are characteristic of European art music as well as improvised jazz--but does not consider the role of aspects peculiar to simultaneous composition and performance. Dauer's transcriptions are symbolic of his structural approach because they only loosely represent what is actually played. He "corrects" wrong notes or notes of uncertain pitch and sometimes alters even pitch

and note value in order to construct a model or archetype of the piece. His full-score transcription of the chorus from "Wild About My Daddy," for example, is a hybrid: as nearly as I can tell, no such chorus is ever played (unless perhaps another take of the piece was issued). Dauer does not say which chorus he transcribes, but if it is the first, his transcription differs in a number of respects from what I hear on the disc. Example 10, page 72 above, is my transcription of the lead horn's first seven measures in the first chorus. Measure 1 shows differences in note duration and pitch (the note head "x" represents a muffed note of indeterminate pitch, probably intended as C). Measure 5 shows conflicting rhythmic values, a disagreement of more consequence since the retention of a particular rhythmic structure is characteristic of the Klangvertretung type of improvisation of which this piece is an example.

Since Dauer's analytical approach is likely to eliminate individual features of a performance in favor of general ones, it is of most use in describing stylistic norms. Further, it accounts for these norms not in terms of the player's "free choice," but in terms of the constraints particular techniques of improvisation and particular types of tonal material place on an improviser.

Some aspects of Frank Tirro's conception of improvisation, as it is expressed in his article "Constructive Elements in Jazz Improvisation," are similar to the view of improvisation based on past musical experience presented in the discussion of Jazz: Its Evolution and Essence. For example, Tirro would accept the view that an improviser's past musical experience is reflected in a present improvisation by characteristic melodic gestures, agreeing that a notion of improvisation as a "simple emanation inspired by a given harmonic sequence" (like Hodeir's) is neither psychologically satisfying nor in line with observable evidence. But Tirro's analytical approach is distinctive among those discussed so far because with it he accounts for musical expression, or at least seems to account for it, in terms of what he would call syntactic analysis. The characteristics and drawbacks of Tirro's view will be the focus of the commentary here.

My meaning in the foregoing paragraph by saying Tirro "seems" to account for musical expression is that the subject and focus of Tirro's approach, that is, what he analyzes and what he analyzes for, is not entirely clear. A variety of causes for this lack of clarity appear in Tirro's article, and perhaps the best way to proceed with the review of "Constructive Elements in Jazz Improvisation" is to consider each of them individually.

First, some of Tirro's footnotes are minor instances of a kind of haziness of antecedent-to-consequent relationship contributing to the confusion. Take for example the note following this phrase: "Since process and product tend to fuse in improvisation, it is commonly assumed that jazz improvisations do not achieve the same heights as the products of notating composers." (Tirro, p. 285.) Tirro's note to this (footnote 2, p. 285) seems to have nothing to do with this idea. The note begins, "Andre Hodeir's excellent critical study, Jazz: Its Evolution and Essence . . . errs in this regard" because Hodeir "disavows thematic relationship in the improvisation. . . ." Tirro then claims that Gunther Schuller agrees with Hodeir on this point in his article, "Sonny Rollins and Thematic Improvising" (in Jazz Panorama, ed. Martin Williams [New York: 1964], p. 240). As nearly as I can tell, neither Hodeir nor Schuller believes improvised jazz is not as good as notated music because of the fusion of process and product in improvisation. The relationship between the footnote and the passage it is intended to amplify is unclear.

There is a similar problem with footnote 6, page 288. Tirro intends the note as an explanation of his editorial policy for musical transcriptions. He writes, "Traditional Western notation, which is somewhat imprecise for the recording of the standard repertory, is

quite inadequate for transcribing the jazz repertory. Microtonal pitch variation, characteristic articulations, and tempo-dependent rhythmic patterns are only a few of the jazz performance-practice peculiarities that are essential to the style but have developed no explicit notation." Tirro's observation is true enough, but since none of these "performance-practice peculiarities" enter into Tirro's discussion, I do not understand his objection to traditional notation. Tirro might have clarified the note by adding something like "because these aspects are not used constructively in my analysis of improvisation, however, Western notation is suitable for the transcriptions here."

A second cause of confusion in Tirro's article of the hazy antecedent-consequent variety is a kind of patch-work internal organization. The two paragraphs on the blues and their five notated examples, pages 292-94, are a case in point. They could be omitted from the article without affecting its conclusion or the development of its arguments. The sole purpose of the section seems to be to show the variety of expression possible within the confines of a limited harmonic and phrase structure. Since Tirro does not connect the idea of variety of expression with the subject of constructive elements in improvisation, its appearance at that point--or at all for that matter--is puzzling and seems out

of place.

But a more serious kind of confusion than in the foregoing aspects surrounds the subject and focus of Tirro's analysis. It is not clear to me in the article whether the subject of Tirro's analysis is all improvised jazz, or only certain styles of improvised jazz; neither is it clear whether the focus of his analysis is solely the melodic aspects of an improvisation, i.e., its intervallic structure, as his musical examples show, or a broader range of aspects than melody alone, as the title of the article, "Constructive Elements in Jazz Improvisation," suggests ("Some Constructive Elements . . ." would have been more accurate).

With reference to the focus of Tirro's analysis, there is a lack of definition from the outset of his article. This passage is an example:

The jazz improviser reuses and reworks material from previous performances; and, as will be demonstrated, musical ideas evolve through the passage of time and during subsequent performances. The skilled improviser begins with neither a completely free or totally blank situation nor rambles aimlessly to an inconclusive termination, but instead develops motives with cyclic treatment. (Tirro, p. 286.)

Tirro never defines the terms "material" and "musical idea." The only clue to their meaning in this passage is the term "motives" which, in light of his musical examples, implies that Tirro is analyzing for aspects of improvised melody. Although Tirro does not state

that melody is the goal of his analysis, he uses the musical examples in his article, almost without exception, to show melodic relationships between various transcribed improvisations. A good example is Tirro's series of transcriptions from "Lover Come Back to Me" by Stan Getz (Tirro's examples 11-14). Example 14 (my Example 13, page 86) in particular is intended to show graphically some melodic relationships between two choruses of "Lover Come Back to Me."

Another questionable phrase in the quotation above is "cyclic treatment." Tirro seems to have in mind a process in which an improviser returns again and again to an archetype of a melodic motive, changing the derived motive with each successive return. Yet a linear model might work just as well. Tirro himself implies a linear model in this interpretation of six choruses from two takes of Charlie Parker's "Ko-Ko:" "Each reworking of the idea introduces just enough change so that the relationship of version 1 to version 6 is clear only if versions 2 through 5 are known or assumed." (Tirro, pp. 301-02.)

As Tirro continues, his focus becomes even less clear. He names three structural levels on which the improviser reworks material from previous performances. "On the lowest level, the improviser creates new phrases whose continuity overlaps cadences and elides normal phrase structure; on a higher plane, the improviser

Motive transformation in improvisation by Stan Getz

From Ex. 11

X X Y = three $\frac{3}{4}$ measures Z

From Ex. 12

Y

From Ex. 12

Z

From Ex. 13

X

From Ex. 13

X X X

From Ex. 13

Y

From Ex. 13

Z

Ex. 14

Example 13. Motives from Stan Getz's "Lover Come Back to Me." (Tirro, p. 301.) Tirro's comments on this example and the examples from which it is derived help demonstrate that melodic aspects of music are the focus of his analysis: "Example 11 is Getz's first introduction of the thematic motive. Examples 12 and 13 are taken from his first improvised chorus and demonstrate his further reworking of previously stated material. Example 14 illustrates musical relationships that exist in Examples 11-13." (Tirro, p. 297.)

constructs consequential choruses out of antecedent situations which are in relatively close proximity, usually the preceding chorus; on the highest level identified, the improviser manipulates musical ideas stemming from remote past events." (Tirro, p. 286.)

It is unclear from this part of Tirro's discussion whether all of these levels have to be present in a particular improvisation at once, or an improviser can work on a single level or a combination of them. To depart from our discussion of Tirro's focus for a moment and move to the issue of his subject, this raises the question of what kind of jazz Tirro analyzes. Tirro's three structural levels do not apply equally well to all jazz. While overlapping cadences and eliding phrase structure may be typical of Charlie Parker's improvisational techniques (as they are in Tirro's well-chosen illustration, the bridge sections of Parker's solos from takes 3 and 4 of "An Oscar for Treadwell," Tirro's Example 25, p. 304), such techniques are not common in Bunk Johnson's playing at all (cf. Example 11, page 76). It becomes unclear at this point whether the scope of Tirro's subject is jazz improvisation in general or improvisation within a particular stylistic norm, like the bop style. Further, Tirro verges on the same kind of inappropriate value judgement Hodeir makes when he speaks of one level of improvisation being "higher" than another.

To return to the focus of Tirro's analytical approach, it is unclear what Tirro analyses for--which "elements" in jazz improvisation are "constructive" elements. The reason for this lack of clarity is the gap between the broad scope of musical features and styles Tirro claims to explain and the narrower scope of the feature of melodic development in certain jazz styles that his text and musical examples actually demonstrate. If, as an illustration of this disparity, we were to judge which elements in improvisation are constructive ones on the basis of the summary I have presented thus far, the conclusion would be that melodic aspects alone are used constructively.

The passage from Tirro's article cited on page 84 above and Tirro's careful and abundant transcriptions support this conclusion. The title of Tirro's article, however, suggests that a much broader range of aspects of improvisation than melody are somehow used constructively. Contributing to the impression of a broad focus are Tirro's comments on the emotive dynamics of music (including jazz improvisation). Early on in his article, for example, Tirro compares jazz improvisation as a compositional process to composition in a notated tradition:

Musical development and the expansion of motivic material in the extended improvisation of a great jazz performer is comparable to that found in notated compositions of Western music. The best

jazz solos are indeed constructive in nature and may be evaluated syntactically as are other teleological compositions of the notating Western composer.

Both the traditional Western composer and the jazz improviser proceed by attempting to continue an antecedent musical situation in such a way that the piece fulfills latent expectations implied by the beginning while traversing a musical obstacle course that delays gratification and creates tension. (Tirro, p. 286.)

Since Tirro does not say exactly what musical development or motivic expansion is, it is not clear what creates expectation and tension. The passage implies to me that more than melodic aspects of improvisation are at work, for example harmonic tension or rhythmic impetus. There is thus a disparity between what Tirro actually analyzes (melodic aspects of jazz improvisation) and the implication of his method. This disparity blurs his analytical focus. The scope of Tirro's subject is likewise unclear, because the procedures of improvisation Tirro names are not common to all players or stylistic norms.

The question of the scope of Tirro's subject brings us to the crux of the issue presented by the two quotations above, and the crucial issue in the review of "Constructive Elements." The central question is the general appropriateness of a syntactic kind of analysis to jazz improvisation. A brief outline of this last part of the review of "Constructive Elements" will be helpful.

It will first be necessary to understand what Tirro means by "syntactic analysis." The task is difficult, for Tirro, adopting Leonard B. Meyer's conception of musical meaning and syntax (among others; see Tirro's note 9, p. 294), does not explicitly restate the features of Meyer's theory essential to a syntactic analysis of jazz. This makes it necessary for the purpose of this review to assume the kind of analysis Tirro performs in his article, melodic analysis, is the same as the syntactic analysis he prescribes. From this point, two cases can be cited, one from Hodeir's Jazz: Its Evolution and Essence and the other from "Constructive Elements" itself, to show that melodic analysis is not always appropriate for jazz improvisation. We can then conclude the review with some remarks on the general usefulness of Tirro's approach to improvisation.

The essential portion of Tirro's discussion of syntactic analysis is in his review of Charles M.H. Keil's article, "Motion and Feeling through Music."³⁴ (Tirro, pp. 295-96.) A summary of Keil's position will be helpful in defining Tirro's understanding of "syntactic analysis" applied to jazz. Keil begins with a summary of the principles in Leonard Meyer's book, Emotion and

34. Charles M.H. Keil, "Motion and Feeling through Music," Journal of Aesthetics and Art Criticism 24 (1966), pp. 337-49.

Meaning in Music³⁵ and in several of Meyer's articles. According to Keil, two of Meyer's key principles are the concept of syntax and the analysis of music on the basis of its syntax. In Keil's words, Meyer develops the idea of syntactic analysis "by first examining the form of music, a succession of tones, and then relating this form via psychological principles to meaning and expression."³⁶ Keil's basic objection to this type of analysis is "This procedure assumes that for analytical purposes music can be fixed or frozen as an object in a score or recording, and it implies not only a one-to-one relationship between syntactic form and expression but a weighting in favor of the former factor to the detriment of the latter."³⁷ Keil finds generally applicable "this equation of form and expression that for Meyer equals 'embodied meaning,'" and also Meyer's dictum that "Music must be evaluated syntactically." But Keil qualifies, "When, however, this equation and the corresponding evaluative criteria are applied to non-Western styles or to certain Western compositions in performance, we often find that something is missing."³⁸ Keil goes on to list a number of musical qualities that define "embodied feeling," a listener's

35. Leonard B. Meyer, Emotion and Meaning in Music, (Chicago: The University of Chicago Press, 1956).

36. Keil, p. 337.

37. Ibid.

38. Ibid., pp. 337-38.

understanding of performance process, as opposed to Meyer's "engendered meaning," a listener's understanding of musical syntax. Embodied feeling is Keil's name for what is "missing" from the result of a syntactic analysis of performed music.

Responding to Keil's argument, Tirro writes, "I would argue that Keil has confused compositional process with its result, the notated version or performance of a traditional Western composition: a confusion of process and product. In jazz, process and product are simultaneous. When the analyst deals with syntactical relationships, he is dealing with the results of the compositional process, the music itself." (Tirro, p. 296.)

Tirro's response is confusing because Keil's thesis is aimed directly at music in which "process and product are simultaneous," in which composition cannot be considered independently of performance. That Tirro overstates Keil's opposition to syntactic analysis adds to the confusion. (Keil's position is more accurately represented in Keil's comment that "Syntactic analysis is a necessary condition for understanding such music [as jazz, but not sufficient in itself, to account for expression]." 39) In any case, Tirro's equation of "syntactical relationships" with "the music itself"

39. Ibid., p. 338.

is a generality that implies to me, to reiterate a cause of much confusion in "Constructive Elements," melodic, harmonic, rhythmic and any other aspects of music the analyst cares to mention, not solely melodic (or intervallic) aspects. The expression "syntactic analysis," which focuses on "the music itself," needs an explicit definition and set of limitations to make it descriptively useful. Since Tirro does not provide such a definition, his analysis itself must then serve to define his approach, and his analysis is directed toward melody.

One final terminological problem in "Constructive Elements" can be mentioned as an introduction to a discussion of the limits of syntactic analysis as Tirro describes it. It would have been most helpful for the reader's understanding of the relationship between musical syntax and expression if Tirro had been careful to define the boundary between constructive or syntactic aspects of jazz on the one hand and performance practice aspects on the other. The closest Tirro comes to doing this is at the conclusion of his review of Keil's "Motion and Feeling through Music," where he writes:

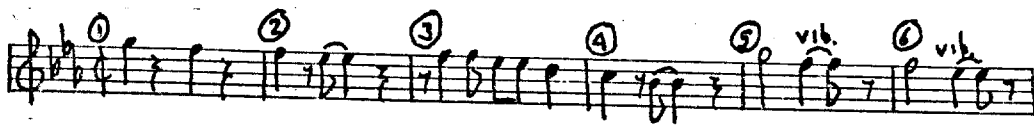
When, as Keil does in his discussion "Motion and Feeling through Music," an author describes the motion of rhythm-section attacks, verbalizing the action of drummers who "lay back" or play "on top of the beat," he is dealing with performance practice, not compositional process. They affect each other to a certain degree because they are somewhat

interrelated, but they can be dealt with separately and should not be confused." (Tirro, p. 296.)

The degree to which performance practice influences compositional process is significant enough to require more elucidation than Tirro gives it in "Constructive Elements." A case in point is Hodeir's analysis of the first few measures of "Jeepers Creepers" by Louis Armstrong (apparently the 1939 version on Decca 2267). The analysis can be seen in two parts, first a syntactic view, and then a performance practice view. This case shows that while much of the effect of Armstrong's playing could be described syntactically, Armstrong's distinctive tone and exploitation of instrumental qualities like vibrato are not only essential features of the expressive qualities of this example, but also may affect the form the music takes, the compositional process.

In his analysis, Hodeir states that the best examples of improvisation that proceed by interpreting a given tune (as opposed to creating an entirely new one)

are to be found in the work of Louis Armstrong. . . . Without changing a note or even a time value, Armstrong sometimes succeeds in making the dullest musical line positively glitter. Thus, the only liberty he takes with the theme in the first six bars of his solo in "Jeepers Creepers" . . . [Example 14, page 95] is the lengthening of certain notes in measures 1 and 3. This is a skillful but trifling variant. The real metamorphosis of the theme under Armstrong's hands depends much more on his attacks, on the precision of his syncopations, and on the vibrato he uses on certain sounds, giving them an expressive density that makes each



Example 14. From Louis Armstrong's "Jeepers Creepers" (Hodeir, p. 159).

completely different from the others. In this way, the rhythmic variant of measures 5 and 6 takes on its full significance only in terms of the vibrato that heightens the effect of the second note each time. (Hodeir, pp. 159-60.)

One way of stating the importance of performance practice to compositional process (as revealed by syntactic analysis) would be to ask if, assuming we accept Hodeir's opinion of the success of "Jeepers Creepers," anyone other than Armstrong could have performed the same line as successfully. That is, without performance practice features like vibrato, the variation of measures 1-2 in measures 5-6 as it stands (as syntactic analysis would reveal it) would not achieve the same expressive heights. A corollary of this is that Armstrong, conscious of the effect he wanted, composed measures 5 and 6 (i.e., played the notes where and when he did) with the effect of vibrato in mind, and therefore that the line would have had a different shape if Armstrong had not chosen to emphasize the second notes in measures 5 and 6 with vibrato. Tirro's syntactic approach to improvisation, at least in this case, would have been

unable to adequately account for compositional process.

Paradoxically, an example from Tirro's article itself demonstrates that syntactic analysis, as Tirro performs it, is inadequate to account for musical expression. At the least, this example shows there is more overlap between syntax and performance practice than Tirro acknowledges.

Continuing the passage quoted on pages 93-94 above, Tirro writes "Example 5, 'Bea's Flat' [my Example 15], played by Chet Baker, is a good example of a jazz piece that creates tension syntactically. The relationship of musical sounds does account for expression." (Tirro, p. 296.) But Tirro's comments about the piece earlier

Trpt.

B \flat F \sharp m7 BM7 Em7 A7 Dm7

Bm7 E7 Eb7 Bbdim A7 B \flat Cm7 Dm7 G7

Cm7 F7 B \flat G7 Cm7 F7

Example 15. Chet Baker's "Bea's Flat" (Tirro, p. 292).

in the article admit of more than one interpretation. Describing the flexibility of the blues chord scheme, Tirro observes, "Harmonic speed may . . . be varied while still maintaining a basic framework if the choice of chords at structural points remains consistent with the model. By inserting a more complex harmonic framework into the normal blues framework, musical tension can be increased by raising the level of difficulty of correct performance . . . Trumpeter Chet Baker accepts the challenge of the thickened progression in his performance of 'Bea's Flat'" (emphasis mine). (Tirro, pp. 189-90.) Even if Tirro's apparent notion of musical syntax is expanded to include harmonic structure as well as melody, the concept of difficulty is not inherent in "the music itself;" it is meaningful only in the context of performance and cannot be described solely as a function of musical syntax. If Tirro accepts tension as an element of expression, and difficulty can affect tension, then the relationship of musical tones (syntax) does not account for expression.

Two points about Tirro's approach to improvisation in "Constructive Elements in Jazz Improvisation" can be made with these examples. One is that a syntactic type of analysis alone is not always adequate to account for musical expression. This is apparent from both examples. The other point is that the shape or form of

a jazz improvisation (the "substance" of the performance), a key source of evidence about the compositional process of the improviser, is at least influenced and at times perhaps even controlled by performance practice features, features of the "manner" of performance. My interpretation of Hodeir's analysis of "Jeepers Creepers" by Louis Armstrong was intended to demonstrate this.

These points lead to a few observations on the analytical usefulness of Tirro's approach to improvisation. First, I would like to emphasize Tirro's contribution to a working conceptual notion of improvisation. His view that "product" is a reflection of "process" is an essential tool for the adequate description and historical evaluation of musical style. As a descriptive tool, this view provides the causal link between the performer and what he plays that is necessary to the comparative aspect of the study of style. An "accidental" or "simple emanation" view like Hodeir's is not conceptually adequate for demonstrating continuity or change in style. As a tool for historical stylistic analysis, Tirro's view contributes the idea that stylistic evolution can be traced through documents, such as recordings and transcribed performances, and is not necessarily a function of a general esthetic, which can be known only with the sacrifice of much objectivity.

These contributions notwithstanding, Tirro's approach is not suitable for analyzing all jazz improvisation. His heavy stress on melody makes his analysis less suitable for players whose expressive qualities are manifested in other aspects of music, for example Armstrong's vibrato in certain pieces. Similarly, Tirro's notion of levels of improvisation seems more applicable to players in bop and other styles after about 1945, than to improvisers in earlier collective or solo styles. The overlapping of cadences and phrase structure, Tirro's "lowest" architectonic level of improvisation, seems especially well adapted only to styles like Charlie Parker's. It is significant in this connection that the oldest musical example Tirro uses dates from as recently as 1945 (Parker's "Now's the Time, Verve MG V-8005), and most of the others come from the 1950s and early 1960s.

Finally, the usefulness of Tirro's approach could be increased if the notion of compositional process were refined to include a distinction between conscious and unconscious aspects of improvisation. Particularly on the "highest" of Tirro's architectonic levels, at which, according to Tirro, "the improviser manipulates musical ideas stemming from remote past events," it seems questionable that the improviser controls the selection and sequence of notes without recourse to an inventory of characteristic gestures or formulas

that, when repeated under certain conditions over a period of time, are identified as a player's style. Tirro's approach is perhaps not as thorough as it could be because it lacks such a distinction.

The final approach to jazz analysis reviewed here is Thomas Owens's Ph.D. dissertation at the University of California at Los Angeles, "Charlie Parker: Techniques of Improvisation." This 900-page thesis represents the biographical study category of format outlined in the Introduction because it concentrates on a single jazz player. In this case, the adjective "biographical" is somewhat misleading because the subject of the dissertation has little to do with the circumstances of Parker's life. "Biographical" is a useful term for the purposes of this review, however, because it differentiates the format of Owens's paper from the formats Dauer and Tirro use in their articles. While Dauer and Tirro consider representative pieces by a variety of players, Owens examines a large portion of a single player's recorded output over most of the player's career.

The important aspects of Owens's approach are best explained by comparing them to the approaches to improvisation in the preceding reviews, particularly to

Tirro's since he and Owens have much in common as far as their views of the process of improvisation are concerned. But before such a comparison can be thoroughly explored, it will be necessary to describe Owens's dissertation in detail by summarizing representative sections from it.

The dissertation can be divided in two parts for discussion. In the first, Owens catalogs and describes melodic motives Parker used in his improvisations. To do this, he uses his own transcriptions of about 250 of Parker's solos, of which 190 appear in Volume II of his thesis. Owens discusses the transcriptions by key, generally devoting one chapter to each key. In the second part of his thesis, Owens compares pieces sharing the same chord scheme regardless of key, and analyzes sample solos, using Salzerian methods of analysis,⁴⁰ with the aim of showing how Charlie Parker characteristically used the cataloged motives.

The first part of the dissertation begins with a biographical sketch of Parker's life and a brief description of some of the features of his musical style (Chapters 1 and 2). Chapter 3, "Motives," is a kind of introduction for the main body of the first part. This chapter begins with a statement of Owens's view of the

40. "Salzerian" analysis is an extension of Schenkerian methods of musical analysis developed by Felix Salzer, especially in Salzer's book, Structural Hearing: Tonal Coherence in Music, 2nd ed. (New York: Dover, 1962).

process of improvisation. This paragraph is particularly important because it shows why Owens chooses to concentrate on Parker's melodic motives, instead of, say, rhythm or phrase in Parker's playing (we will return to it later, after the summary of Owens's thesis). Owens writes:

Every mature jazz musician develops a repertory of motives and phrases which he uses in the course of his improvisations. His "spontaneous" performances are actually precomposed to some extent. Yet the master player will seldom, if ever, repeat a solo verbatim; instead he will continually find new ways to reshape, combine, and phrase his well-practiced ideas. An awareness of these melodic ideas allows the listener to follow a solo with great insight into the creative process taking place. (Owens, vol. I, p. 17.)

For Owens, aspects of jazz like rhythm and phrase are subsumed under the aspect of melody. Owens does not state this position explicitly, but it is apparent from passages like the foregoing one that a description of melodic motives includes a description of features such as rhythm, at least in Owens's view. For Owens, therefore, motivic analysis reveals some of the most important aspects of improvisation.

Chapter 3 continues with a catalog of 64 melodic motives and their variants. Owens describes the motives this way, emphasizing their context in the harmonic and phrase structure of Parker's playing:

Parker's motives fall into several categories. Some are only a few notes long and are adaptable to a wide variety of harmonic contexts. They tend to be the most frequently used motives, occurring

in virtually every key and piece. Others form complete phrases with well defined harmonic implications and are correspondingly rare. Most motives occur on a variety of pitches, but some are confined to one or two pitch levels. A few occur only in a single group of pieces in a single key. (Owens, I, p. 17.)

Owens ranks the motives according to frequency of appearance, assigning the lowest numbers to the commonest motives. The most common motive, the M.1A group, shown in Example 16 below, page 104, "appears once every eight or nine measures, on the average, in the transcriptions." Motive 1A "frequently begins a phrase [although] it may occur anywhere in the course of the phrase. . . . About 40% of these arpeggios are of minor-seventh chords; G minor-seventh is the most common, perhaps because notes in the E-flat-major scale are particularly easy on the alto saxophone." (Owens, I, p. 17.) Owens counts about 1800 examples of this motive in the solos he transcribes. A less common group of motives, M.12A (Example 17, page 104), occurs around phrase endings. A third and relatively rare motive, M.59 (Example 18, page 104), appears only in "Night in Tunisia." Although not all of Parker's improvisation is made up of cataloged motives, he had a "heavy reliance" on them, according to Owens (no reference to Parker's apparently voracious appetite for sex and intoxicants is intended). In fact, in the four excerpts from Parker solos Owens cites to illustrate the seventeen commonest motives, cataloged motives take up over half the playing (see Owens, I, pp. 31-34). Owens does



Example 16. Motive 1A. (Owens, II, p. 1.)



Example 17. Motive 12A. (Owens, II, p. 3.)



Example 18. Motive 57. (Owens, II, p. 9.)

not mean to say that this proportion is large compared to other player's use of motives, but that it is large enough to make motivic analysis potentially significant.

After describing Parker's motives in Chapter 3, Owens goes on to show the motivic composition of a sampling of pieces in all the keys Parker used. This forms the greater portion of the first part of the paper.

Chapter 8, on pieces in B flat, is a good illustration of what Owens does.

This chapter, like most of the others in the first part, is divided into three subsections according to chord scheme: blues, "I Got Rhythm," and an "other pieces" subsection for improvisations with harmonic schemes Parker used less often. Owens discusses several of the transcribed performances in each subsection, moving through the examples by chronological order of recording date and devoting about a paragraph to each piece. The paragraph on "The Opener," a B-flat blues from a 1949 Carnegie Hall performance, is typical. Owens briefly describes the tempo and indicates the number of solos each player takes, then comments on Parker's seven-chorus solo. In his comments, Owens notes that "Parker's last three choruses are accompanied by riffs from the other players, but in spite of their distracting nature, the riffs have no discernible effect on his playing. He simply ignores them." (Owens, I, p. 89.)

Owens covers various takes of about seven solos in similar fashion, emphasizing what he believes to be outstanding features of each. He then makes shorter comments on several more solos and concludes the subsection on B-flat blues pieces with a three-part summary. In the first part of the summary, Owens synthesizes his

comments on the solos. He notes that the theme and accompaniment of a piece have no influence on Parker's improvising; that there is no significant change in Parker's improvisational style between the earliest and latest performances ("Tiny's Tempo" in 1944 and "Laird Baird" in 1952); and that "tempo is the primary variable in these solos; the slower the tempo the more florid the improvisation and the less predictable the phrases." (Owens, I, p. 92.) In the next part of the summary, Owens lists the motives Parker used most frequently in the B-flat blues. By comparing this list with the list ranking the overall frequency of motives, he shows which motives characteristically appear, or are lacking, in the B-flat blues. The third part of the summary shows where and in what percentage of the examples the most common motives occur, as in Example 19 on the next page.

Owens treats each of the three subsections in the B-flat chapter (blues, "I Got Rhythm" and "other pieces") in the same fashion, and the entire chapter is typical of the other chapters in format. The only differences occur when there are too few solos in a particular key to warrant a separate subsection or chapter. All the transcribed solos in minor-mode keys, for example, are grouped in Chapter 13.

In Chapters 14-16, what I have called part-two of the dissertation, Owens compares the transcriptions

M.4B (10%) ①

M.29A

M.5B

M.4A-E

M.4A-E (25%)

M.4A

M.26A (15%)

M.4A

M.4A

M.6A

M.4A

M.8 (20%)

M.5A

M.1A

M.40A

M.4E

M.4Eb

p

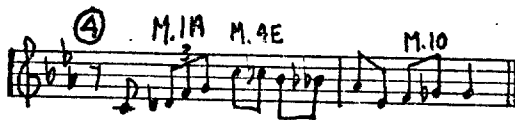
1

Example 19. Summary of Parker's commonest B-flat blues motives in their harmonic context, measures 1-4. (Owens, I, p. 95.)

using harmonic scheme, rather than key, as the common denominator. In these comparisons, Owens finds motives that typically occur in the changes Parker played most frequently, like blues, "I Got Rhythm," "Whispering" and "Embraceable You." Owens writes, for example, that in the blues chord scheme, "variants of a handful of standard phrases occur frequently [in measures 4 and 5,

and 7 and 8, while, three portions of the blues chorus [measures 1 and 2, 6, and 12] . . . defy generalizations concerning typical motives." (Owens, I, p. 218.)

Example 20, below, shows a common phrase for measures 4 and 5 in all blues keys except G. (Motive 4E and Motive 10 appear in this configuration in the first solo chorus of "Cool Blues," take 1 [Tape Example 5], from the same set of takes cited above on page 32ff.)



Example 20. A common phrase in measures 4-5 or blues progressions in all keys except G. (Owens, I, p. 213.)

Each of the chapters 14-16 concludes with analyses of representative solos from that particular chord scheme. In them, Owens tries to show how Parker linked motives together to form entire choruses. "Until now," explains Owens,

I have been focusing attention on details of Parker's blues improvisation; indeed, throughout this study the details have been of primary importance. However, in looking at entire choruses as entities, it is possible to see an overall organizational process at work, a process that emerges clearly under Salzerian (or Schenkerian) analysis. (Owens, I, p. 219.)

The results of Owens's analysis show that Parker generally connected structural tones in his melodies by

descending scalar passages extended by octave shifts and interval inversions. An example is the first eight measures of "Tiny's Tempo," take 1, shown in Example 21. Owens's analysis, Example 22, shows that the structural tone F is prolonged in the first four measures by means of an octave shift, while an interval inversion in measures 7 and 8 (the structural descending major second D-C is realized as an ascending minor seventh) continues the downward motion of the passage. This middleground organization, according to Owens, is a source of coherence in Parker's improvised solos.



Example 21. The first eight measures of the B-flat blues, "Tiny's Tempo," take 1. (Owens, I, p. 135.)



Example 22. Salzerian analysis of the first eight measures of "Tiny's Tempo," take 1. (Owens, I, p. 220.)

The conclusions Owens draws from his analysis in Chapter 14 are much the same as his conclusions in Chapters 15 and 16, the two remaining chapters in the second part. Owens's comments at the end of Chapter 14, then, describe Parker's playing in general, at least as Owens views it. Owens writes:

In Chapter 3 (pp. 27-28), I pointed out the descending tendency of many of Parker's favorite motives. A study of the choruses discussed above and dozens of additional blues choruses in various keys reveals that the descents in those motives are part of larger designs, for most structural tones are approached and connected by descending scale passages. These descents are often disguised by the devices discussed above [like octave shift and interval inversion], but analysis reveals them unmistakably and helps the listener hear the logical cohesion that Parker achieves by using them. (Owens, I, p. 231.)

The foregoing summary provides the information necessary to discuss Owens's approach to improvisation in comparison with some of the other viewpoints in the review at hand, especially Frank Tirro's. As a good point of departure, we can refer to the paragraph quoted above, and to the one with which Owens began his third chapter, "Motives," cited on page 102 of this paper and again below:

Every mature jazz musician develops a repertory of motives and phrases which he uses in the course of his improvisations. His "spontaneous" performances are actually precomposed to some extent. Yet the master player will seldom, if ever, repeat a solo verbatim; instead he will continually find new ways to reshape, combine, and phrase his well-practiced ideas. An awareness of these melodic ideas allows the listener to follow a solo with great insight into the creative process taking

place. (Owens, I, p. 17.)

One observation about these two paragraphs pertinent to the following comparison is that they make it possible to view Owens's thesis on two levels, one general and one particular, corresponding roughly to the two parts into which I divided the dissertation for summary. The paragraph from the "Motives" chapter presents a general view of improvisation in the sense that the view applies, according to Owens, to "Every mature jazz musician." The first part of Owens's thesis can be regarded as a case in point of his view that most jazz improvisers use, to some extent, a repertory of motives and phrases they have developed during their playing careers. The paragraph summing up Parker's use of motives presents a particular view of improvisation, one that describes Charlie Parker's improvising alone. Owens devotes portions of the second part of his dissertation to exploring this view. Of these two levels, the general level of the first part is the most useful one on which to compare Owens to Tirro, since Tirro also is concerned with describing improvisation as a process many players follow.

Tirro and Owens share certain ideas about improvisation. Recalling the last sentence of Owens's paragraph from "Motives," it is clear that Owens identifies a connection between "process and product" that makes

possible the study of an improviser's musical thought by examining the music he plays. In this sense, Owens's view is similar to Tirro's. Further, Owens, like Tirro, would disagree with Hodeir that a player improvises a solo by drawing on a practically unlimited variety of combinations of notes. In this connection, both Tirro and Owens view the boundaries of the range of musical material an improviser uses in terms of the player's past musical experience. Tirro writes, for instance, that the improviser's "memory recalls, consciously or unconsciously, musical events, patterns and sound combinations that have become a part of the improviser's musical self." (Tirro, p. 268.) This resembles Owens's view that a significant part of a player's musical experience is made up of a well-practiced "repertory of motives and phrases which he uses in the course of his improvisations."

But when Tirro and Owens begin to discuss melodic motives or patterns in detail, their conceptions of improvisation start to diverge. Thus, although both agree that an improviser relies to some extent on a motive lexicon, Tirro and Owens have different views of how and why the improviser uses the lexicon; that is, they have different views of jazz syntax. Likewise, the notion of "motive" or "pattern" plays a central role in both approaches, but Tirro and Owens define the concept quite differently. Further, in the sense that

these different points of view of syntax and of analytical concepts like "motive" involve different uses of evidence, Tirro's and Owens's approaches have different implications for style analysis. A detailed comparison of Tirro and Owens on these three points--concept of "motive," syntax, and style--will be the subject of this review.

Tirro's view of jazz syntax is closely associated with his conception of a "motive" or "pattern." When Tirro refers to groups of notes as "patterns," he means that he perceives the groups of notes as entities in the context of the performance. For Tirro, a pattern is something one can "hear." A more important aspect of Tirro's definition of "pattern" for this comparison is that a pattern is related in some specific way to another pattern, that one pattern is derived from, or is a variation of, another. Tirro's conception of "pattern" or "motive" is not very different from what Hodeir calls the paraphrase type of variation phrase, except that the more general terms "pattern" or "musical event" replace "phrase." Usually, Tirro discusses patterns in the context of a single piece, as in his transcribed choruses from Stan Getz's "Lover Come Back to Me," when the "piece" is defined as a single set of chord progressions with a single title and theme (as opposed to pieces based on the same chord scheme but with little more than that in common). Sometimes,

Tirro refers to patterns in a series of versions of the same piece (in other words, the same title and theme, as well as changes), as in different versions of Charlie Parker's "Ko-Ko."

In any case, the key idea in Tirro's conception of melodic patterns, as far as his view of jazz syntax is concerned, is "related." For Tirro, the most important feature of a jazz improvisation is how patterns evolve, how a melodic idea changes over repeated choruses, yet remains the "same" in the sense that each version is derived from an earlier one. Put another way, the process of improvisation as Tirro conceives it is, in its best examples, a process of thematic development. This point of view is implicit, I think, in his comment, "Musical development and the expansion of motivic material in the extended improvisation of a great jazz performer is comparable to that found in notated compositions of Western music." (Tirro, p. 286.)

The concept of thematic development is certainly important in some jazz improvisations, and other analysts have emphasized it as well. For example, Gunther Schuller's analysis of Sonny Rollins's "Blue 7"⁴¹ is, to me, a convincing argument that an understanding of

41. Gunther Schuller, "Sonny Rollins and the Challenge of Thematic Improvisation," The Jazz Review 1 No. 1 (November 1958), pp. 6-11, 21.

how melodic and rhythmic motives develop or evolve in the saxophone part of "Blue 7" is one of the best ways to understand the piece. (It is, of course, difficult to know the degree to which "Blue 7" was written out, memorized or rehearsed before it was recorded, but it probably makes little difference in this case.) But Tirro's view of thematic development in jazz improvisation (his idea that, in the portion of a piece that comes from a motive lexicon, the best players always draw on the lexicon so that thematic development takes place), is perhaps not the best, and certainly not the only view of jazz syntax. Not all jazz improvisation is most plausibly understood as a process in which the improviser creates tension and musical coherence by developing and expanding thematic material over a period of time. Owens's thesis may be taken in evidence of this observation: although he never explicitly rejects an interpretation of Parker's improvising taken from the point of view of thematic development, Owens pays the view no significant attention anywhere in his extensive examination of Parker's repertory.

Just why Owens's approach to jazz syntax has an advantage over Tirro's will be easier to understand if we return to the idea that Owens's thesis can be viewed on two levels (see page 111, above). In the same paradigm as the general and particular levels of the

two parts of the thesis we might place two levels of jazz syntax, contextual and conceptual. Simply put, contextual syntactic features, like key, tempo, and harmonic scheme, are not associated with a particular player or a particular rendition of a piece; instead, they provide a context for a particular player's performance. Conceptual syntactic features, by contrast, are the "rules" by which a particular player improvises, the constraints he imposes on the sound material. The two levels are closely related, but our concern at the present time is with the contextual level of Owens's view of jazz syntax.

Owens defines a "motive," the basic unit of his analysis of Parker's improvised solos, almost entirely in contextual terms. The characteristics by which Owens identifies a motive are harmonic and melodic structure, and the place a motive commonly occurs in the chord progressions of a piece. Motive M.1A, for example, "is an ascending arpeggio, usually played as a triplet, but also common in other rhythmic configurations. . . . Preceded by an upper or lower neighbor, it frequently begins a phrase. About 40% of these arpeggios are of minor-seventh chords. . . ." (Owens, I, p. 17.) The M.8 group "contains several inventively complex melodic patterns. The common feature of these figures is motion to the dominant via $b7$ and $b6$ Decorated forms of M.8b and M.8c appear in M.8ghi. . . . These phrases,

in contrast to the first five simple phrases, are absolutely linked to the keys shown, probably because they are easy to play in these keys." (Owens, I, p. 21; M.8 group illustrated in Owens, II, p. 3.) It is not important in Owens's definition of a motive that the motive be perceived as such in the performance; the motives Owens catalogs are, properly speaking, not Parker's motives at all in the sense that they are representations in sound of Parker's musical thought. The same terms by which Owens describes motives in Parker's improvising could be used to describe the improvising of any other performer playing a melodic instrument.⁴²

Owens's contextual definition of "motive" is reflected by his view of jazz syntax on the contextual level. On the basis of the format and text of the first part of his dissertation, it is apparent that Owens believes key, chord progression and tempo have some effect on the way a player uses his motive lexicon. In Parker's improvising, according to Owens, Parker's reliance on his commonest motives generally increased when he improvised in very rapid tempos. For example, Owens writes of Parker's solo from "Salt Peanuts," Tape Example 13, in a Royal Roost broadcast on February 5,

42. In this paper, I will not extend Owens's view of syntax to include the instruments of the rhythm section.

1949, that "Parker's solo is amazing facile, although he has to rely heavily on some stock motives because of the speed [$\text{♩} = \text{ca. } 385$]." (Owens, I, p. 136, transcribed in Owens, II, pp. 309-10.) Further, Owens finds that certain of Parker's motives were more likely to occur than others at particular points in a set of changes. The illustration reproduced in Example 19, page 107 above, shows that M.4A-E appeared in measures 4 or 5 in 25 percent of the B-flat blues pieces Owens transcribed. Even the key of an improvisation, according to Owens, can affect what the improviser plays. Owens suggests that some of Parker's motives occurred more often in certain keys than in others because they were simply easier to play in those keys, for example the G-minor version of M.1A in the key of E^b (see above, page 103).

It should be emphasized at this point that the first part of Owens's dissertation is primarily descriptive; Owens is extremely cautious about interpreting his statistical data to mean that key and chord progression acted as cues for Parker to recall motives from a particular corner of his lexicon. Owens does not try to establish a hierarchy of influence among these three aspects of an improvisation, nor does he state that taken together they were the exclusive influence in or dictated which motives Parker played in a given improvised

solo. Nonetheless he asserts their influence. In Chapter 17, "Summary and Conclusions," Owens writes that Parker's

solos are . . . influenced by three main factors: tempo, key, and harmonic structure. First, the slow pieces are extremely florid and rhythmically complex, while the moderate and fast pieces are usually simpler. Second, his use of his repertory of motives changes from one key to the next. For example, his typical melodies for the blues in C major are not simply transpositions of his typical melodies for the blues in B flat, but are distinctively different. Third, his use of motives is different for each harmonic plan (blues, "I Got Rhythm," "Cherokee," etc.), both within each key and from key to key. (Owens, I, pp. 269-70.)

Owens also believes that key, chord progression and tempo, features of improvisation I have named contextual syntactic features, probably have some influence on the way many players improvise, so that Owens's analytical approach, at least on this level, ought to apply to most improvisation, not Parker's alone.

The advantage of an analytical approach which distinguishes contextual and conceptual levels of jazz syntax is that such a distinction increases the versatility of the approach. A contextual analysis is compatible with a variety of conceptual approaches. Tirro distinguishes only one level of syntax, a conceptual one, and accordingly presupposes that only one kind of jazz improvisation is practiced, or at least that the best jazz improvisers practice only one kind. Tirro, paralleling Owens, differentiates

motives or patterns from choruses and solos in the sense that the former are constituent parts of the latter. But he defines these descriptive analytical units according to their thematic characteristics relative to each other, so that the constituent part anticipates or even predicts the organization of the whole. Tirro's is a single-level, conceptual view of jazz syntax in which the best improvisers create musical tension and coherence only by thematic development.

On the conceptual level, however, it may be that not all jazz improvisation is best understood in terms of thematic development. Owens's Salzerian analysis of Parker's solos reveals that, on what I have called the conceptual level, "regardless of variations from one solo to the next, one group of solos to the next, and one key to the next, there is a basic organizing device linking the great majority of Parker's improvised solos: descending scale passages." (Owens, I, p. 270.) It is not a distortion of Owens's conclusion to rephrase and interpret it this way: in the portions of Parker's improvised solos that came from his lexicon of motives, Parker drew on the lexicon so that structural tones in the melodic line were generally connected by descending scalar passages. Owens thus takes the view that Parker's improvising is most plausibly understood in terms of descending scale passages, not thematic development.

It would have been impossible for Tirro to arrive at such an interpretation of Parker's improvising. I see no reason, however, why Owens's analytical method could not have accommodated a thematic-development interpretation of another player's improvising. Owens's view of jazz syntax, then, increases the versatility of his approach compared to Frank Tirro's. Versatility is not a virtue in and of itself. But in the context of musical analysis applied to jazz, where so much of the object of analysis is produced by a process as difficult to define as improvisation, an analytical approach like Owens's in which description and interpretation can function independently of each other, at least to some degree, is more desirable than an analytical approach in which description presumes interpretation.

We have compared Tirro's and Owens's approaches to jazz improvisation in terms of the way each defines analytical concepts like "motive" and views jazz syntax in improvisation. We may conclude the comparison with a short discussion of the implications each view has for style analysis.

The key to this comparison is the way Tirro and Owens use evidence. In each case, the use of evidence is a function of the view of syntax. In Tirro's analysis, a single piece is sufficient to demonstrate the point

of view of syntax; additional examples simply reinforce the conclusions. That is, since a theme, almost by definition, is associated with a particular version of a piece or series of versions of the same piece, as "piece" was defined on pages 114f, above, and since the development of thematic material is the focus of Tirro's analysis, it follows that individual pieces are significant as evidence in his analysis. Tirro's approach thus provides almost no basis for comparison of individual player's styles because it generates no normative description of a style.

In Owens's statistical kind of analytical approach, just the opposite is true. The individual piece is of almost no significance in the analysis. On the contextual level, motives are associated with a particular key or chord progression only when they are characteristic of that key or progression (although they may be either characteristically present or characteristically absent). On the conceptual level, Owens regards the descending scale passage as an aspect of Parker's style only because his analyses consistently reveal it as an organizational device. Thus, Owens's approach provides a firm basis for comparing Parker's style of solo improvising with other player's styles.

CHAPTER III - CONCLUSION

Each of the five analytical approaches to jazz reviewed in the foregoing pages has its own particular merits and limitations. Along with Sargeant's Jazz: Hot and Hybrid, Hodeir's volume represents one of the earliest attempts to deal with jazz topics and history in an analytical way. The book is frankly opinionated and reads very well, at least in translation. But even though the emphatically stated point of view of a critical approach like Hodeir's is refreshing, such an approach has drawbacks as well. As an analytical history of jazz, Jazz: Its Evolution and Essence is much too narrow in terms of the esthetic it advocates, particularly since the esthetic significantly influences the analytical method. Schuller's approach is broader than Hodeir's, as can be seen in the number of performers discussed in Early Jazz who are not commonly included in other histories of jazz, and in Schuller's willingness to consider why jazz performances fail as well as why they succeed. Generally speaking, Schuller's analysis of individual pieces is intensive and cogent. But Schuller tends to view the individual piece as a prototype, lending

single performances more significance as events that influenced other jazz players and shaped jazz history than they ought perhaps to have. Further, Schuller hints at aspects of jazz history that might be profitably approached from the methodological point of view of ethnomusicology or sociology (his comment about the George Morrison interview in the appendix of Early Jazz, cited on page 50 in Chapter II, is such a gesture) but does not always pursue these points systematically when the discussion warrants.

The article by Dauer affords a unique look at some very specific procedures of improvisation. But its method is most useful when applied to pieces in a collective format where some of the most important aspects of the performance can be viewed in terms of the interactions among many or all of the players, rather than in terms of solo performances. Tirro contributes greatly to the development of a view of improvisation as a process, but his approach to analysis can produce only a single type of insight into why a performance takes the shape it does.

The disadvantages of Owens's approach have perhaps been obscured by my enthusiastic interpretation of its positive features. With the assets of the approach as I view them no doubt fresh in the reader's mind, it is appropriate to add, in the interest of showing some of the dissertation's limitations, that Owens's approach,

because it stresses norms and statistical significance so heavily, is apt to obscure unusual or one-of-a-kind features in single performances that may nonetheless be important. It is also possible that features of a performance might have statistical significance on another level than that of key or chord scheme "populations." For example, in "Cool Blues," Tape Examples 5-8, the motive shown in Example 2, page 34, occurs frequently enough to be a significant feature of that set of takes, but occurs rarely in other C major blues and therefore does not appear in Owens's tables as a significant motive in blues progressions in C major.

While it is unlikely that any type of musical analysis or historical method applied to jazz would be without limitations or disadvantages of some sort, a critical review of a variety of approaches to jazz history and musical analysis can reveal some categorical distinctions that single out the features of an approach most usefully applied to jazz. The reviews that form the main portion of this thesis suggest to me a classification of three pairs of categories which fall into two large groups. The first group includes categories of synchronic (musical) analysis, analysis that is not concerned with jazz in history but rather with jazz at a particular point in time or in a particular era, or with topics in jazz that do not include a diachronic

dimension. The second group includes categories of diachronic analysis, or the approach taken in the writing of jazz history.

Because a given approach can contain a number of distinguishable aspects, it is possible for some of the books and articles reviewed to be represented in both groups. These groups and the categories they contain are not necessarily the only groups or categories appropriate for classifying the five sources reviewed in the preceding pages, but they are the ones most directly related to the review commentary and therefore most pertinent to the topic of this thesis.

Two pairs of categories comprise the synchronic group of approaches to jazz analysis. The first pair serves to distinguish musical analysis concerned with the substance of jazz composition from musical analysis concerned with the manner of jazz composition. The second pair serves to differentiate analytical approaches distinguishing one level of jazz syntax, conceptual, from those distinguishing two levels, conceptual and contextual. The difference between these two pairs of categories can be expressed in terms of the components of a musical analysis. The first pair of categories refers to what the results of the analysis are intended to reveal or demonstrate, the goal of the analysis. The second pair of categories refers to what aspects of the

musical data the analysis focuses on. We will begin with the first pair of categories.

To understand the distinction between manner and substance of composition in jazz it is necessary to return to Earl Spielman's "Traditional North American Fiddling" in which these categories are drawn up. The notion of "composition" as it is used in the thesis at hand applies to improvised jazz as well as to arranged jazz or jazz written out in notation and performed from a score. In this sense, any controls the performer exercises over the shape of a piece can be referred to as "composition," whether such controls are exercised on paper before performance or in performance itself. This is a modification of Spielman's concept of "compositional style"¹ but does not damage Spielman's categories as they are used here. As Spielman defines the categories of substance and manner of composition, "substance [refers] to the actual composition and manner [denotes] the way in which a person goes about composing."² This distinction is roughly analogous to the distinction Tirro makes in "Constructive Elements in Jazz Improvisation" between "product" and "process" in improvisation.

Early Jazz and, for the most part, Jazz: Its

1. Earl V. Spielman, "Traditional North American Fiddling," Ph.D. dissertation, University of Wisconsin-Madison, 1975, pp. 114-15.

2. Ibid., p. 116.

Evolution and Essence belong to the category of analysis focusing on the substance of jazz composition (or improvisation). Schuller does not consider how the pieces he analyzes are put together by the performer, but concentrates on the piece itself as it appears in notated transcription. Similarly, although Hodeir's book contains a chapter called "Musical Thought," which includes such subsections as "How the Improviser's Thought Works" and "Continuity of Thought," the analyses he executes in these sections and throughout Jazz: Its Evolution and Essence are essentially descriptive accounts of the musical examples in highly literary terminology. What is lacking from Hodeir's book in those sections which might at first appear to deal with the manner of composition is a systematic attempt to induce from the various analyses a general theory of improvisation (composition) on any level--for all jazz, for a style period or for an individual performer. Without such a theory, Hodeir's book cannot properly be viewed as an account of the manner of jazz composition.

Dauer's article "Improvisation," Tirro's article "Constructive Elements" and Owens's dissertation "Charlie Parker: Techniques of Improvisation" can all be classified in the category of musical analysis focusing on the manner or process of composition. Dauer discusses various "types" of improvisation by which players of

certain instruments in various kinds of "traditional" jazz ensembles create melodic variations. He analyzes musical examples in order to illustrate a process and does not make the analysis of pieces an end in itself. The same observation holds for Tirro's article except that his analysis concentrates on jazz solos recorded after 1944 and emphasizes a single type of improvisation, thematic development. Similarly, Owens's primary goal is the formulation of a theory of how Charlie Parker improvised (namely that Parker generally organized motives in a fashion of scalar descent).

Of these two categories of analysis, the one representing analysis that aims to illuminate the manner of composition is probably the most useful for jazz. Because prototypes of jazz pieces often do not exist, the make-up of many jazz pieces can best be understood in terms of the performer's compositional process and not in terms of the recreation of a prototype. Furthermore, while analyses in the "substance" category can be conducted without reference to compositional process, analyses in the "manner" category incorporate analysis of the substance of the performance as a means of elucidating manner. In this sense, analysis of the manner of composition is a broader and more comprehensive study than analysis of the substance of composition.

The second pair of categories in the group of

synchronic approaches to jazz analysis differentiates musical analyses according to a particular concept of levels of jazz syntax. One category includes approaches to analysis that focus on what has been called in this paper the conceptual level of syntax and the other category includes approaches to analysis distinguishing both conceptual and contextual levels of syntax. An analysis of context, as context is defined on page 117, refers to the analysis of features of a performance not associated with a particular player or single performance rendition. An analysis of concept refers to the analysis of a particular player's "theory" of improvisation (or composition), the controls he exercises on the substance of the performance. This pair of categories applies only to performances by individuals (that is, solos or single melodic lines in a collective texture). It does not account for the interaction of players in a group.

Hodeir, Schuller and Tirro are representatives of the category of approaches distinguishing only the conceptual level of jazz syntax. Hodeir, for the most part, does not include features like key, chord scheme or tempo in his analytical method. He does occasionally refer to different renditions of a piece by an individual player using a contextual feature of the example as a comparative device. An example is Hodeir's discussion

of two Armstrong renditions of "I Can't Give You Anything But Love," in which he compares the first four measures of the original tune with the first four measures of two of Armstrong's choruses, using the chord scheme as the common element in the comparison (see Hodeir, pp. 162-63). But Hodeir does not use this method of analysis systematically for comparing pieces or performers, or to evaluate whether the chord scheme itself contributes to the shape of the piece. The same can be said of Schuller's and Tirro's approaches. They sometimes refer to more than one performance in a given set of chords but generally treat each transcribed piece as a prototype, and therefore focus on aspects of the piece the player contributes, not aspects of the piece that can be described apart from a specific player's performance.

Owens's dissertation can be placed in the category of approaches distinguishing contextual and conceptual levels of jazz syntax. The role of a contextual level of syntax in "Charlie Parker: Techniques of Improvisation" has been described in detail (pages 117ff); here we need only recall that Owens's method of analysis makes extensive use of such contextual features of his transcribed musical data as key, chord progression and tempo for classificatory and comparative purposes. Alfons Dauer's article on improvisation can also be

included in the category of analysis distinguishing contextual and conceptual levels of a performance. Dauer, like Owens, distinguishes certain features of the performance that are not associated with a particular player or piece from other features that are. In Dauer's analysis, the role of the performer in the ensemble, the formal type of the piece and the type of improvisation represent the contextual dimension of his analysis. Although Dauer is concerned with illustrating processes of improvisation and not describing styles, his method could be used as part of a stylistic study of individual lead instrumentalists in collective ensembles.

For the analysis of jazz, the more useful of the two categories of approaches based on levels of syntax is the one distinguishing both contextual and conceptual levels. Assuming the definition of style adopted for this thesis, one of the measures of the usefulness of an analytical approach is its appropriateness for the study of musical style in jazz. Since the study of musical style is by definition a comparative study, aspects of an approach that facilitate comparison add to the usefulness of the approach for stylistic study. Approaches distinguishing contextual and conceptual levels of syntax in a performance facilitate comparison because they seek a kind of "control" feature in the pieces of music they analyze, some aspect of the music

that can be considered analogous between the terms of the comparison. That is, in whatever sense style is studied--individuals, groups in specified geographic locations, defined chronological periods and so on--this category of analysis defines commonalities among the pieces, groups or periods compared that act as referents against which differences can be measured. The approaches in Dauer's and Owens's projects, then, belong to the more useful of the categories distinguishing levels of syntax because they are the most appropriate for the comparative study of jazz style.

The second group of categories of analysis, applying to diachronic aspects of an approach, is represented by a single pair of categories. These two categories distinguish approaches to jazz history on the basis of their underlying concepts of how and why jazz institutions (for example the big band) and jazz styles develop or change. The categories are called "qualitative" and "quantitative" categories of analysis.

In the qualitative view of jazz history, changes in jazz styles and institutions are explained as a product of an esthetic ideal or other qualitative criteria. The ideal, which is presumably understood and held in common by a majority of the music's practitioners, directs choices involved in such areas as composition and stylistic models and therefore determines the kind and direction of change. To

understand the ideal is to understand the history according to this approach, and only those features of jazz music and social environment which illustrate the ideal constitute the written history. By contrast, a historical approach in the quantitative category of analysis accounts for change in styles and institutions by interpreting music in the context of a cultural and musical environment. These environments can be more or less objectively defined by using the most accurate historical knowledge accessible.

Of the five sources included in this study, only the ones by Hodeir and Schuller can be appropriately classified in the diachronic group of categories of analysis. Hodeir's book, represented in this categorization only by the chapters devoted to jazz up to about 1945 (chapters 2-6), can be classified in the qualitative category of diachronic analysis because of his use of the concept of a "classical" period of jazz in interpreting jazz history. This categorical placement is appropriate only for a portion of Jazz: Its Evolution and Essence because no general theory of historical change applies throughout the book. This is probably a result of the critical function of the book, since an analytical or historical point of view applied to one piece or section need not necessarily be the same as that applied to other pieces or sections in

order to maintain the critical force of the volume; even though Jazz: Its Evolution and Essence may seem to flow smoothly from one analysis and section to the next, it is frustrating to seek general principles that pertain throughout. The unity of Jazz: Its Evolution and Essence is literary in origin, not theoretical or logical. The section in which a general historical approach seems to be most important to Hodeir's argument, then, can be taken to represent the book in this categorization.

Schuller's book can be classified, with reservation, in the quantitative category of diachronic analysis. Although Schuller often asserts the importance of such non-quantifiable factors as musical instinct in accounting for the origin of certain characteristics of early jazz, he also considers certain quantifiable factors in explaining the development of jazz institutions and styles. His references to the importance of "geographical circumstances" in the stylistic characteristics of big band styles in the Southwest is an example. The reservation about this classification is the subjective dimension of Early Jazz, particularly apparent in Schuller's chapter "The Origins." In this case, no criticism of Schuller's study is intended; it is merely necessary to point out that while Early Jazz can serve to illustrate the quantitative category of historical approach, it is not the best model of it.

Of these two categories of diachronic approaches to jazz history, the quantitative approach is probably the most useful. While the qualitative approach might be accurate, certainly in part anyway, it is impossible to arrive at criteria for testing the truth of the point of view. Therefore, the qualitative approach is of little value in writing and communicating an interpretation of jazz history. The results of the quantitative approach, on the other hand, can be tested against knowledge about a given period of jazz history and are more likely to provide an accurate history of jazz.

To summarize quickly, the categories of jazz analysis drawn up here are intended as a heuristic to suggest analytical procedures that might be particularly useful in the study of jazz. The categories themselves and the terminology associated with them do not necessarily have descriptive or analytical value outside the context of this paper and the five analytical studies reviewed. But if the most useful of the analytical features the categories aim to isolate are applied, singly or together, in a systematic fashion, it is believed that a more cogent analysis and more accurate history of jazz than has often appeared in the past, is achievable.

Although the primary task of this thesis has been to review existing analytical and historical approaches

to jazz, it is not out of order to conclude the project with a few comments on other approaches to analyzing music and assessing its role in human culture that have not before been applied to jazz, or have only recently be applied in a systematic way to any music.

Although the study of melodic curve as a means of distinguishing repertories of music is not a new one, particularly among ethnomusicologists, its systematic and unambiguous application has continued to be problematic, if the variety of approaches reviewed in Charles R. Adams's study are any indication.³ Adams's attempt is one of the more recent efforts to, paraphrasing his article, reduce the ambiguities and increase the replicability of typologies in research applications by treating analytical concepts formally and constructing typologies systematically.⁴ Adams develops concretely defined criteria for determining and distinguishing melodic contour type and melodic contour shape: type is determined by various configurations of the four parameters of initial pitch, final pitch, highest pitch and lowest pitch relative to each other in a given melodic segment; shape is determined by the proportions

3. Charles R. Adams, "Melodic Contour Typology," Ethnomusicology 20 (1976), pp. 179-215.

4. Ibid., pp. 202-03.

of these configurations.⁵ Adams tests the typology by applying it to a comparative study of 138 Flathead songs collected by Merriam and 197 Southern Paiute songs collected by Sapir.⁶

Applied to jazz melodies, such a typology might be most useful in defining various stylistic "schools" of jazz soloists, or particularly in comparing portions of a single player's recorded works, say "early" versus "late" of (if documents exist) studio recordings with a three-minute time limit with longer, live performances. In this connection, it might also be fruitful to compare melodic contour in solos limited to one chorus with solos of other lengths (providing the pieces are structured by repeated choruses). It might be that the "process" of improvisation with regard to melodic contour varies according to the length of the solo. It should be remembered, however, that a typology like Adams's applies only to uniformly defined groups of samples; it compares norms, not individuals, and therefore cannot be used to analyze or classify single pieces. The advantage of the approach lies in the fact that it avoids making groupings of pieces based on such subjective concepts as "theme," "variation" or "phrase."

Analytical concepts borrowed from linguistics form

5. Ibid., pp. 195-202.

6. Ibid., pp. 202-212.

another area of approaches to musical analysis that might have application in jazz studies. Dauer has taken a step in the direction of the linguistic concept of "allophone" in his description of the Klangvertretung technique of melodic variation discussed on page 69, and a variety of other attempts at conceptual and methodological borrowing from linguistic analysis have been published.⁷ Linguistic approaches to musical analysis must be taken up cautiously because the viability of linguistic concepts such as "phoneme," "morpheme," "contrastive" and "complementary distribution" depends on very specific and well-defined conditions which cannot often be replicated in music.

But linguistic methods have in some cases been helpful. In his article "The Songs of Ishi: Musical Style of the Yahi Indians"⁸ Bruno Nettl distinguishes "quasi-phonetic" and "phonemic" levels of pitch variation in grouping into families' songs recorded by the Yahi Indian, Ishi. Such a distinction in levels of a jazz player's improvising might aid in determining those aspects of a performance by which the player's style is distinguished from other styles. That is, variations

7. See the "References Cited" section of Steven Feld's article, "Linguistic Models in Ethnomusicology," Ethnomusicology 18 (1974), pp. 213-217.

8. Bruno Nettl, "The Songs of Ishi: Musical Style of the Yahi Indians," The Musical Quarterly 51 (1965), pp. 460-77.

on the "phonetic" level of playing would identify different performances by the same player, while variations on the "phonemic" level would identify different performers.

Studies of melodic contour and linguistic approaches to musical analysis are primarily descriptive in function. They are useful for comparative purposes and in defining categories. They are less useful, however, in increasing our understanding of how music is produced, the "manner" of composition. An approach that seems to have wide implications for the study of musical process is Leo Treitler's discussion of plainchant transmission in The Musical Quarterly.⁹ Because Treitler's article focuses on the particular problem of transmission in a specific repertory of music, it should not be taken as it stands as a model for the analysis of other musics. But in the sense that plainchant was at one time an oral musical tradition as some jazz seems to be, and in the sense the notion that "in the absence of scores, the medium of composition is the medium of performance"¹⁰ can be said to link plainchant in an oral tradition to jazz "improvisation" from the point of view of analytical

9. Leo Treitler, "Homer and Gregory: The Transmission of Epic Poetry and Plainchant," The Musical Quarterly 60 (1974), pp. 333-72.

10. Ibid., p. 346.

method, Treitler's approach is well worth investigating.

Perhaps what is most significant about the approaches mentioned in these few pages is that they all seem to reject the notion that a single piece of music is a completely discrete phenomenon, an isolatable individual event separate from other musical systems and processes, which in turn reflect the systems and processes of man in general. This broader view of music reflects the insight that the constraints on a sound system which result in what we may call music do not always stem ultimately from the individual composer or performer, but from a variety of sources, social, stylistic and "technological" as well as individual. Perhaps one of the goals of musical analysis should be to develop ways of sorting out the origin and intensity of these various constraints, and insofar as jazz can be a laboratory for this type of investigation, it should prove a fruitful object for research energy, the products of which ought to deepen our understanding of all musics.

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APPENDIX

List of Tape Examples

When available, discographical information in this list will be presented according to the following scheme:

"Title"

- (a) recording group
- (b) city and date
- (c) original issue label and number, (matrix)
- (d) label and number of disc used for dubbing

1. "Big Butter and Egg Man From the West"
 - (a) Louis Armstrong and His Hot Five
 - (b) Chicago: November 16, 1926
 - (c) Okeh 8423, (mx 9892-A)
2. "Dipper Mouth Blues"
 - (a) King Oliver and His Creole Jazz Band
 - (b) Richmond: April 6, 1923
 - (c) Gennett 5132, (mx 11389-B)
 - (d) Riverside RM 8805, "Classic Jazz Masters"
3. "Body and Soul"
 - (a) Coleman Hawkins and His Orchestra
 - (b) New York: October 11, 1939
 - (c) Bluebird B-10523, (mx 042936-1)
 - (d) Smithsonian Collection of Classic Jazz (SCCJ)
P 11893
4. "Keepin' Out"
 - (a) Fats Waller and His Rhythm
 - (b) New York: June 9, 1937
 - (c) Victor 25618, (mx 010652-1)

5. "Cool Blues" - take 1
 - (a) Charlie Parker Quartet
 - (b) Los Angeles: February 19, 1947
 - (c) Dial DLP1, (mx B1054A)
 - (d) Dial Spotlight 102
6. "Cool Blues" - take 2
 - (a) same
 - (b) same
 - (c) Dial DLP901, (mx B1054B)
 - (d) same
7. "Cool Blues" - take 3
 - (a) same
 - (b) same
 - (c) Dial 1015, (mx B1054C)
 - (d) same
8. "Cool Blues" - take 4
 - (a) same
 - (b) same
 - (c) Dial DLP-1, (mx B1054D)
9. "Mr. Jelly Lord"
 - (a) Jelly-Roll Morton's Steamboat Four
 - (b) Chicago: April, 1924
 - (c) Paramount 20332, (mx 8065-2)
 - (d) Riverside RM 8816, "Classic Jazz Masters"
10. "West End Blues"
 - (a) Louis Armstrong and His Hot Five
 - (b) Chicago: June 28, 1928
 - (c) Okeh 8597, (mx 400967-B)
 - (d) SCCJ P 11892
11. "Wild About My Daddy"
 - (a) Laneville-Johnson Union Brass Band
 - (b) Laneville, Alabama: May 6, 1954
 - (c) Folkways Records FA 2650, (mx CO 352A)
 - (d) Folkways Records FA 2650
12. "Panama"
 - (a) Bunk Johnson's Original Superior Band
 - (b) New Orleans: June 11, 1942
 - (c) Jazz Man 8, (mx MLB140)
 - (d) Good Time Jazz M12048

13. "Salt Peanuts"
 (b) New York (Royal Roost Broadcast): February
 5, 1949
 (c) Jazz Cool JC 102
 (d) Everest FS-232